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Assessing Multi-stakeholder Processes (AMPS):
Guidance & Tools from an Access to Medicines Project

This document was developed by the Institute of Development Studies for the Medicines Transparency Alliance

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We must acknowledge the work done by Dr Paul Engel and his team on Rural Appraisal of Agricultural Knowledge Systems (RAAKS) which has underpinned the approach and much of the materials of this toolkit. Similarly we have referenced 'Tools for Development' produced by the UK Department for International Development in March 2003 in some of these exercises. Indeed, we recognise that many exercises in the toolkit have been informed by the rich history of research and capacity building in participatory approaches to development. We are therefore grateful to the community of practice from which this work has been generated and request your patience with any omissions of acknowledgement in advance.

How to use this document

This document is intended for use by those involved in both planning and assessing the quality of multi-stakeholder partnerships at country level. Designed as an off-the-shelf, self-directed learning guide, the document broadly describes a series of key steps in conducting a multi-stakeholder assessment. It also provides a range of tools within a methodological framework, which can also be used to identify the need for multi-stakeholder processes.

Contents of Toolkit

Please note tools 1, 7, 9, 13 and 14 are downloadable from the MeTA website

Introduction

The Medicines Transparency Alliance (MeTA) is a unique collaboration between governments, the private sector and civil society in seven countries around the world. It aims to improve access to and affordability of good quality medicines for people, often the country's poorest, who are unable to access medicines due to high cost or local unavailability.

This document was created from a MeTA baseline assessment methodology itself based on and adapted from the Rapid Appraisal of Agricultural Knowledge Systems (RAAKS) [1] - a model of participatory learning developed for agricultural systems [2] - and then tested with MeTA stakeholders.[3]

MeTA partnered with the Institute of Development Studies in order to create a set of tools that could provide a snapshot of the multi-stakeholder process and suggest ways that barriers and challenges could be overcome. Although designed for the health sector, it became apparent that the lessons learned could be applied in other areas. This document sets out guidance and provides a toolkit for a wider audience.

MeTA's multi-stakeholder assessment methodology

Multi-stakeholder processes have been shown to be useful in complex environments where there are no easy solutions to complicated development problems. The aim of these processes is to bring people together to communicate and make decisions collectively to improve transparency and accountability. An important part of any multi-stakeholder process is dialogue – conversations that are aimed at resolution.

MeTA's use of the multi-stakeholder process in its pilot countries has led to co-ordinated action, collection and disclosure of information, as well as a greater ability to collectively resolve issues about the medicines supply chain.

Systems theory of social innovation

This multi-stakeholder assessment is underpinned by the assumption that knowledge and information systems emerge as different individuals and groups begin to work together toward a shared aim. These systems are constructed by the social actors within them and their boundaries change over time. Formal and informal links between network actors – for example regular meetings or mutual friends – can facilitate the flow of information and exchange of resources or knowledge. Through these interactions social innovation occurs. The success of multi-stakeholder processes depends on cooperation among actors, effective communication, agreement on objectives and interests, and how well the system defines and coordinates its

[1] Salomon & Engel (1997)

[2] Local stakeholders use a range of analytical tools to consider their effectiveness as networkers, and in doing so identify the barriers they face in communicating effectively. Stakeholders are then encouraged to find their own solutions to the challenges they face. RAAKS was developed in the 1990s for Wageningen Agricultural University.

[3] The document has also been adapted liberally from materials created throughout the history of participatory development. Please contact the authors with any concerns regarding this.

tasks. By studying the existing system, actors can see what changes to social organisation might be useful to help them work toward a common end.

The methodology emphasises innovation as a social process, brought about by joint enquiry and contrasting of views around problem diagnosis and subsequent solution formation. Participatory tools are used to gather, organise and interpret information.

Objectives of the multi-stakeholder assessment

The methodology developed for this assessment will help you to understand:

- the system your organisation is working within;
- how different actors communicate and organise themselves;
- what stakeholders want from the multi-stakeholder process;
- what it achieves/ does not achieve.

The multi-stakeholder assessment methodology has 3 distinct phases constituting a learning process where each phase adds value to the next.

The assessment process will help you understand the quality of multi-stakeholder partnerships in your network, build a rich picture of multi-stakeholder engagement and help identify areas for improvement.

The specific objectives of the assessment process are:

- To identify opportunities to improve the knowledge and information systems within which stakeholders are working – to improve the organisation, decision-making and exchange of information among institutions and individuals, with the aim of improving the potential for learning and innovation;
- To create awareness among relevant actors (such as target groups or constituencies, managers, policymakers, producers, retailers, researchers) with respect to the opportunities and constraints that affect their performance; and
- To identify existing actors and potential actors who do, or could, act effectively to remove constraints and take advantage of opportunities to improve innovative performance and to encourage their commitment to such changes.

Throughout the document reference is made to a selection of tools that can either be found in the Toolkit section of this document which starts on page 14, or downloaded separately. Tools have been included within the document wherever possible, but tools 1, 7, 9, 13 and 14 are only downloadable from the Medicines Transparency Alliance website.

Summary guidance on key phases and tasks

The multi-stakeholder assessment methodology is built around 3 phases; with a focus on the collection of information, qualitative analysis, and strategic decision-making. Each phase of the assessment process provides insight on: the range of stakeholders that are participating and those that are not; how stakeholders obtain and share their information; and barriers to effective multi-stakeholder engagement and ways to overcome them.

Phase A: Defining the relevant system and its problems
The first phase is to identify opportunities to improve the knowledge and information system. This involves looking at the broader environment that stakeholders are working within, the problems that the multi-stakeholder process is hoping to overcome and the stakeholders involved. This phase also includes developing questions for a stakeholder questionnaire. The tools used in this phase include core document review, informal conversations with key informants and desk-based research.

Phase B: Analysing constraints and opportunities
In the second phase team members conduct face-to-face interviews with stakeholders to systematically gather information on the social organisation of innovation. This creates a more detailed picture of how different networks of stakeholders interact, the issues dominating their debates, and the way they coordinate their activities or fail to do so. The research team and other staff discuss interview findings to gain a better understanding of the importance of each respondent's role within the network. The findings are then placed into a matrix grid to allow for easy identification of recurring themes and patterns, helping to guide the analysis.

Phase C: Articulating strategies for action
During the third phase the opportunities and constraints already identified form the basis of an agreement on future actions to strengthen the multi-stakeholder process. A multi-stakeholder workshop is the main tool for this phase, where analysis from the earlier phases is discussed and understood. The aims of the workshop and assessment itself are clarified; then Problem and Innovation Trees are used to confirm the data already collected, check findings are consistent and plan how particular barriers can be overcome.

Key tasks in the assessment process

	Task	Days	Output
A. Defining the relevant system and its problem	Engagement process with steering team	5	✓ Steering team informed and engaged
	Sourcing, interviewing, selecting and recruiting of in-country consultant	14	✓ In-country Consultant Contracted
	Meet with steering team and conduct stakeholder analysis	2	✓ Stakeholder Analysis
	Develop series of key questions with the aim of eliciting information on improving the multi-stakeholder process	½	✓ Stakeholder Questionnaire
B. Analysing Constraints and Opportunities	Conduct a series of face-to-face interviews with key informants using the stakeholder questionnaire tool	12	✓ Interviews completed
	Produce a report which synthesises the key findings from the stakeholder interviews making use of available tools	3	✓ Synthesis report from stakeholder interviews
C. Articulating Strategies for Action	Design workshop held with staff and key internal stakeholders	½	✓ Staff informed about workshop process ✓ Staff given opportunity to influence workshop design and process
	Hold a one-day stakeholder workshop with at least 20 participants	3	✓ Agreement of project's purpose ✓ Stakeholders appraised of findings from Interviews ✓ Input from stakeholders on key challenges and innovations ✓ Participants agree the workshop meets its objectives
	Report with recommendations	5	✓ Report produced

Detailed guidance on key phases

Phase A: Defining the Relevant System and its Problems

The aim of this initial phase is to clearly identify the objectives of the assessment (See page 4), and those stakeholders to be included.

Key tasks in completing this phase include:

I. Communicating the aims of the multi-stakeholder assessment at country level, including relevant stakeholders;

II. Desk-based research to gather intelligence on the information, communication and health policy environment at country level;

III. Conducting a stakeholder analysis;

IV. Communicating with stakeholders to schedule appointments for stakeholder interviews (Phase 2);

V. Sourcing a suitable venue for the one-day stakeholder workshop and scheduling a suitable date to hold the workshop (Phase 3).

Key Tools in Phase A

Communicating Aims of the Assessment	A slide-set [English] has been developed that can be used to communicate the aims of the multi-stakeholder assessment to stakeholders at country level. This should be translated into local languages where required	➢ Tool 1 Slide-set reproduced here for illustrative purpose [online]
Desk-Based Research	Make use of available on-line resources to gather intelligence on the information, communication and health policy environment at country level	➢ For guidance on conducting desk-based research see http://www.eldis.org/go/topics/dossiers/using-the-internet [4]
Stakeholder Analysis	A range of tools is available to support stakeholder analysis. Work with colleagues to identify the most suitable tools given your country context. Available tools include an on-line guide from Oxford Journals on stakeholder analysis; and 2 tools taken from the RAAKS toolkit, “Actor Identification Tool” and “Actor Objective Tool” (These are not guides to help you organise your existing knowledge about stakeholders.)	➢ Tool 2 Actor Identification tool ➢ Tool 3 Actor Objective tool ➢ For guidance on conducting a stakeholder analysis see http://heapol.oxfordjournals.org/cgi/reprint/15/3/338.pdf[5]

4 Zussman [online] accessed 23/08/10

5 Varvasovszky and Brugha (2000)

Phase B: Analysing Constraints and Opportunities

The aim of this phase is to begin systematically gathering information from stakeholders in the field to assess and identify:

- the range of available information and communication channels;
- the extent to which such channels support stakeholders in delivering the aims;
- ways in which stakeholders interact;
- how stakeholders co-ordinate their activities;
- constraints to effective communication;
- innovative ways stakeholders believe they can overcome challenges to multi-stakeholder working.

Key tasks in completing this phase include:

I. developing a stakeholder questionnaire to elicit information from stakeholders;

II. developing a consent form for stakeholders to give their written consent to use the information that they provided

III. conducting up to 20 face-to-face interviews with stakeholders (as informed by the stakeholder analysis conducted in ***Phase A***);

IV. developing a reporting template to collect responses from stakeholders during face-to-face interviews; and

V. preparing a synthesis report that groups stakeholder responses using key themes.

Key Tools in Phase B

Stakeholder Questionnaire	This questionnaire has been developed to support stakeholder interviews. This should be reviewed and adapted given your country context and translated where necessary.	➢ Tool 4 Stakeholder Questionnaire
Stakeholder Interviews	Making use of the stakeholder analysis from Phase A you should conduct a series of interviews with stakeholders using the Stakeholder questionnaire (Tool 4) and capture their responses using the reporting template (Tool 5).	
Questionnaire Reporting Template	Use this template to collect responses from stakeholders. If you are using a laptop when interviewing stakeholders you can directly type their responses into the template; or if you are taking notes you can populate the template following the interview. One template should be completed for every stakeholder interviewed.	➢ Tool 5 Questionnaire Reporting Template
Consent Form	This form ensures informed consent from stakeholders taking part in interviews and is also a measure of good research governance. All interviewees should complete a consent form prior to the commencement of their interview.	➢ Tool 6 Interview Consent Form
Synthesis Report	The template allows you to distil key themes from stakeholder interviews. The Stakeholder Interview Matrix should be filled in as you progress through the interviews. This helps with early identification of themes and trends. Once you have finished the stakeholder interviews and used the interview matrix to support your analysis of the findings, you are ready to prepare your report. Use the reporting structure provided in the toolkit.	➢ Tool 7 Stakeholder Interview Matrix [online] ➢ Tool 8 Synthesis Report Template

Phase C: Articulating Strategies for Action

The aim of this phase is solicit stakeholders' thoughts about how to improve the multi-stakeholder process. Collectively you will identify people who might be able to help make these improvements happen and consider how to make multi-stakeholder engagement better.

Key tasks in completing this phase include:

a) Holding a design workshop with a small working/steering group comprised of stakeholders to assess the tools selected for use in the one-day stakeholder workshop and modify accordingly;

b) Finalising the stakeholder workshop programme and logistics;

c) Reviewing all necessary materials to hold the stakeholder workshop;

d) Delivering a one-day stakeholder workshop with no fewer than 20 stakeholders.

Key Tools in Phase C

Design Workshop	– Familiarise yourself with Problem Tree Analysis methodology; a copy of a guidance on this has been included in the toolkit – Convene a small working group of 4-5 stakeholders who will review the proposed stakeholder workshop programme, tools and activities – Incorporate any suggestions made by the working group into the final stakeholder workshop design; updating tools, activities and resources to be used on the day as necessary – The slide-set will support you in facilitating a session with the working group.	➢ Tool 9 Design Workshop Slide-set [online] ➢ Tool 10 Problem Tree Analysis
Workshop Programme	– Use the proposed stakeholder workshop outline to guide the development of the workshop	➢ Tool 11 Stakeholder Workshop Programme
Stakeholder Workshop Resources	– The one-day stakeholder workshop is an important element of the multi-stakeholder assessment process. It brings a range of stakeholders together to assess the findings from ***Phase A*** and ***Phase B***. The workshop, through the use of participatory tools, provides stakeholders with opportunities to articulate solutions to identified problems – A range of resources have been developed to support the delivery of the stakeholder workshop; **these should be reviewed and amended as necessary.** – The toolkit contains specimens of slide-sets, facilitation plans, activity sheets and handouts; however these are not intended to be off-the-shelf resources. They have been developed and used in other countries but will require modification to meet the needs of your assessment.	➢ Tool 12 Workshop Checklist ➢ Tool 13 Stakeholder Workshop Slide-set [online] ➢ Tool 14 Stakeholder Workshop Facilitation Plan [online] ➢ Tool 15; Tool 16; Tool 17; Tool 18 Stakeholder Workshop Handouts

Toolkit - how to use the tools

Tool 1 – Slide-set

Use this slide-set to communicate the aims of the multi-stakeholder assessment to stakeholders at country level. Translate into local languages where required. Please note the reproduction of Tool 1 in this toolkit is for illustrative purposes only, and it should be downloaded separately for use.

Tool 2 – Actor Identification Tool

Use this tool to identify those acting in your system, (or those who could act in your system) and their relative importance to the system. Follow the steps as laid out in the instructions to do this.

Tool 3 – Actor Objective Tool

Use this tool to identify the objectives of the actors within your system, the importance they attribute to these objectives, and what drives the actors towards these objectives. Follow the steps as laid out in the instructions to do this. Please note – this tool will need some modification to apply to your assessment.

Tool 4 – Stakeholder Questionnaire

This questionnaire has been developed to support stakeholder interviews. This should be reviewed given your country context and translated where necessary. Use alongside Tools 5 and 6.

Tool 5 – Questionnaire Reporting Template

Use to record responses from stakeholders to Tool 4: Stakeholder Questionnaire. If you are using a laptop when interviewing stakeholders you can directly type their responses into the template; or if you are taking notes you can populate the template following the interview. One template should be completed for every stakeholder interviewed.

Tool 6 – Interview Consent Form

This form ensures informed consent from stakeholders taking part in interviews and is also a measure of good research governance.

All interviewees should complete a consent form prior to the commencement of their interview

Tool 7 – Stakeholder Interview Matrix

Use this matrix to collate interview responses. Follow the instructions for use included in the matrix.

Tool 8 – Report Template

Use this template as a starting point for writing a report of your findings.

Tool 9 – Design Workshop slide-set

Use this slide-set to facilitate the design workshop. Please note it is animated, and therefore easiest to view in Slide Show mode. It can be edited before use.

Tool 10 – Problem Tree Analysis

This tool offers an overview of problem tree analysis. Use it to familiarise yourself with the methodology before conducting the design workshop.

Tool 11 – Stakeholder Workshop Programme

Use this proposed outline to guide the development of the workshop

Tool 12 – Stakeholder Workshop Checklist

Use this checklist to help you plan and prepare for the stakeholder workshop

Tool 13 – Specimen Workshop Slide-set

This slide-set is an example from a MeTA workshop, provided for illustrative purposes. It should be adapted before use in your own assessment. As before, it is an animated slide-set and therefore can be read most easily in Slide Show mode.

Tool 14 – Specimen Workshop Facilitation Plan

This sample facilitation plan provides approximate timings, guidance and notes to assist with facilitating a stakeholder workshop as part of the Multi-stakeholder Assessment process. These notes provide a starting point for planning your stakeholder workshop but clearly have to be modified to meet your needs, as they are based on MeTA workshops. Use with Tools 12 and 13.

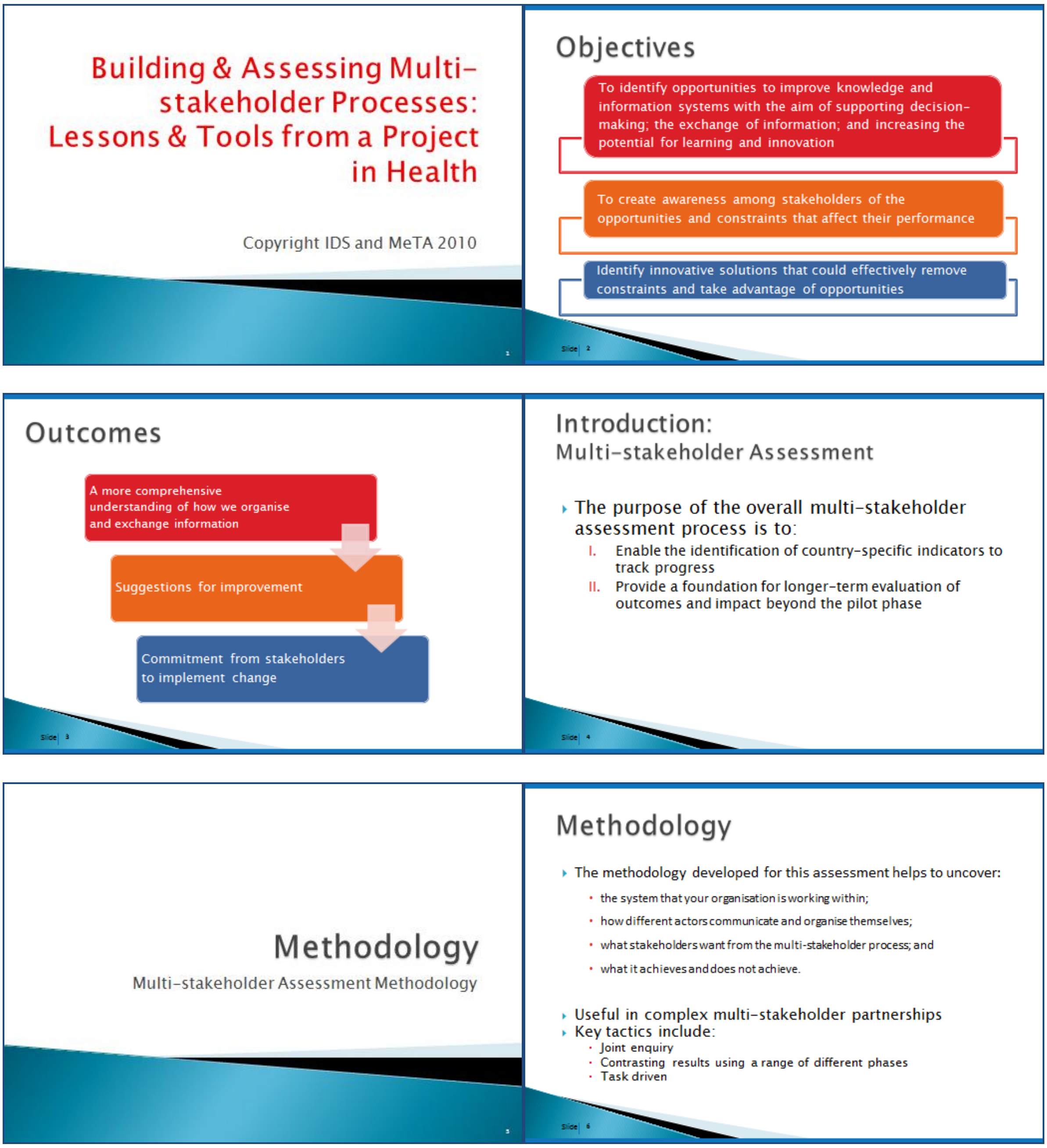
Tools 15 - 18 – Workshop Handouts

These tools are handouts for the stakeholder workshops. As well as handouts relating to Problem Tree Analysis, there is an evaluation form for feedback after the workshop. This will need to be updated with appropriate contact details.

Tool 1 – Slide-set for communicating aims

[Download here]

Use this slide-set to explain to stakeholders at country level the aims of the multi-stakeholder assessment. It should be translated into local languages and otherwise updated where required. It is included here for illustrative purposes, it should be downloaded for your use.



Methodology

- Our methodology has 3 main phases
  - **Phase A**: Defining the relevant system and it problems
    - Stakeholder analysis; development of questionnaire tool
  - **Phase B**: Analysing constraints and opportunities
    - Stakeholder interviews; analysis of key findings
  - **Phase C**: Articulating strategies for action
    - Stakeholder workshop; Country report; participatory tools

Slide 7

Methodology

- **Phase A: Defining the relevant system and its problems**
  - To identify opportunities to improve the knowledge and information system.
  - By looking at the broader environment stakeholders work within, the problems to be overcome and the actors involved.
  - Tools in this phase include core document review, informal conversations with key informants and desk based research.

Slide 8

Methodology

- **Phase B: Analysing constraints and opportunities**
  - Face-to-face interviews with stakeholders to systematically gather information on the social organisation of innovation.
  - Creates a picture of how different networks interact, what they discuss, and how they coordinate activities or fail to coordinate; as well as the importance of each respondent within the network
  - The findings are then placed into a matrix grid to allow for easy identification of recurring themes and patterns, helping to guide the analysis.

Slide 9

Methodology

- **Phase C: Articulating strategies for action**
  - The opportunities and constraints already identified form the basis of an agreement on future actions to strengthen the multi-stakeholder process.
  - The main tool for this is a multi-stakeholder workshop where the analysis from the first 2 phases is discussed and understood, and mission clarification is conducted.
  - Participatory tools are used to corroborate data, triangulate findings and strategise on overcoming barriers.

Slide 10

Next Steps

- We will produce a stakeholder analysis (approved by xxx)
- A date will be set for a one-day stakeholder workshop and invites sent out to all stakeholders
  - Support in sending out invites to the workshop is appreciated

Slide 11

Next Steps

- We will begin a round of stakeholder interviews and produce an analysis of findings
  - The findings from the interviews will be shared with a working group during a design workshop (see point below)
- We will lead a design workshop with a working group
  - The design workshop provides an opportunity to shape the final design of the stakeholder workshop
- We will lead a one-day stakeholder workshop
  - This will be a one-day participatory workshop
- We will produce a final country report

Slide 12

Tool 2 - Actor Identification Tool: stakeholder analysis

Use this tool to identify those acting in your environment, (or those who could act in your system) and their relative importance to the system.

TOOL: Actor identification exercise

Expected outputs

- A general list of systems actors and possible actors, which is as complete as possible given the information available at this stage.
- A first general diagnosis of the relative importance of each actor for the functioning of the system.
- A list of arguments to support this diagnosis.

Relevant questions

- For the area of human activity defined by the team, which actors play a role? Try to be as specific as possible. 'Farmers' for example are often not a homogenous category but need to be specified as small/large scale, female/male, young/old, remote or not, or by ethnic group, etc.
- Which actors play a significant role in technological innovation, policymaking, research, or exchange or ultilization of new or existing knowledge? Why and how? Be sure to include gender aspects.
- Who else could make an important contribution? Why and how?
- What do the various actors contribute? Is there a difference between mandatory and necessary contributions? Why?
- Which actors can be seen as key actors? Why?
- What subsets of actors can be distinguished?

Working procedure

The actor identification sheet (see below) can be drawn on a flip chart or on overhead sheets, so that the team can keep the information. The team then has a brainstorming session to generate a list of actors in the system – again, these might be either individuals or organizations. After making a list of ideas, the team discusses which of the actors listed are truly relevant, and which are to be considered key actors. Reasons for the choices regarding key actors should be written on the sheet.

In Phase B the team may find it necessary to go into more detail on actors. This is relevant, for example, if the system needs to adjust to changing conditions, and actors are seeking new partnerships.

Actor Identification Sheet

System actors	Do you see this person/organization as a key actor? (yes/no)	Why or why not?
1.		
2.		
3.		
.		
N		

Resettlement project for youngsters in the Congo

The National Volunteers Organization for Development (ONVD) was founded in Congo in 1987. The objective was to offer unemployed urban youngsters new possibilities in rural areas. Starting capital was provided by UNDP, a private French institute, and the Dutch Ministry for Development Cooperation. In 1994 this Congolese NGO provided housing, education and work in agriculture for thirty male and three female youngsters. During a RAAKS study, the listing of key actors given below was made by the team.

Actors?	Key actors?	In what way?
ONVD	yes	Provides housing, training and work for youngsters
Village Chief	Yes	Provides access to village life
Youngsters Female Male	 Yes yes	
Parents of youngsters From the village From elsewhere	 Yes No	 Provide social network for youngsters In effect, absent: group is small in number
Landowners Parents State farms	 Yes Yes	 Provide access to land Determines availability of land
Consumers	Yes	Provide market opportunities
Village farmers	Yes	Compete with new farmers
Transporters	Yes	Provide distribution to market
UNDP	Yes	Provided initial funding
French private institute	Yes	Provided initial funding
Dutch development cooperation	Yes	Provided initial funding
Banks	Yes	Provide loans for future investment
Congo Ministry of Agriculture	Yes	Designs national agricultural policy
Congo Ministry of Cooperatives	Yes	Designs national policy on cooperatives
Traders	Yes	Determine market opportunities
Bakers	Yes	Customer of bread
Subdistrict administration	Yes	Implements government policy
Research	Yes	Provide production technology for manioc, bananas, beans

Source: Congo case discussion at the International Workshop on Agricultural Extension in Africa, Yaoundé, Cameroon 24-28 January 1994.

Tool 3 - Actor Objective Tool: stakeholder analysis

Use this tool to identify the objectives of the actors within your environment, the importance they attribute to these objectives, and what drives the actors towards these objectives. Please note – this tool will need some modification to apply to your assessment. It is a particular way to organise knowledge about the stakeholders – focusing on their interests and motivations. This tool is for organising or analysing information – which may have been acquired in a number of ways. The questionnaire in tool 4 is for gathering further information.

TOOL: Actor objective sheet

Expected outputs

- Statements of the objectives/mission statements of a number of actors, which will be used and further developed during the multi-stakeholder assessment.
- An overview of the arguments actors put forward and the criteria they apply in rating the degree of importance of each of their objectives with respect to the direction development should take.
- A first assessment of the driving force(s) and actor(s) behind each of the different objectives.

Relevant questions

- What do the relevant actors see as their objectives?
- How does each of these actors perceive their contribution to the development of the process?
- Who are the real beneficiaries of each of these objectives?
- What technologies and/or activities are being developed or implemented as a result of each objective?
- Which actors are crucial to implementing each objective?
- Is there a *shared* objective?

Working procedure

Each team member will be able to think of several possible actor objectives, based on their own perception of the system, and/or the information they have gathered. Sources might include documents (annual reports, articles, speeches) as well as interviews with relevant actors. Generally no one objective can adequately reflect the visions of the many different actors involved in the system. Therefore the team creates a large variety of possible objectives, even including 'unrealistic' ones, to explore the boundaries of the system. These objectives are discussed, compared and evaluated by the team. One or several actor objectives are then selected as the most relevant to use in beginning the RAAKS study. In the course of the diagnosis, the team will develop a clearer picture of shared or conflicting objectives which may stimulate or hamper system performance.

Tool 4 - Stakeholder Questionnaire

This questionnaire has been developed to support stakeholder interviews. This should be reviewed given your country context and translated where necessary. Use alongside Tools 5 and 6: Questionnaire Reporting Template and Interview Consent Form.

Assessment of Multi-stakeholder Engagement
Stakeholder Interview Schedule of Questions

The aim of this questionnaire is to guide you when interviewing stakeholders during ***Phase B*** of the baseline assessment of the multi-stakeholder engagement methodology. [6] Information gathered during stakeholder interviews will be used during ***Phase C*** which consists of a stakeholder workshop and will be used to shape a final report with recommendations.

Questions are designed to assess the quality of the multi-stakeholder process by gathering information in the following areas:

1. The multi-stakeholder process;
2. Information and communication channels;
3. Policy framework processes;
4. Communication capacity to engage;
5. Barriers, gaps and challenges to multi-stakeholder engagement;
6. Highlight key organisations and individuals who are influential in the process; and
7. Identify innovative processes to enhance multi-stakeholder working.

As well as capturing stakeholder responses to the questions presented here the following additional information will be captured: full name; gender; organisation; designation/ job title; and organisational type and main activities.

[6] Use tool 5 to collate information on stakeholders and their responses

Set of Questions 1

The following questions are designed to gather information on the **multi-stakeholder process** and to highlight **information and communication channels**:

1. Who's engaged in the multi-stakeholder process?
2. How do you and others engage in the multi-stakeholder process? (E.g. how do you co-ordinate joint work? What joint work do you do? Do particular stakeholders take on certain roles?)
3. Who's missing from the multi-stakeholder process?
   i. Why do you think they are missing from the multi-stakeholder process?
   ii. What impact does their absence have on the multi-stakeholder process?
4. Who has power in the multi-stakeholder process? Also, who does not have power?
5. What would improve your joint work as a stakeholder?
6. How do you relate/communicate with International partners?
7. What are the main ways in which you get information? (e.g. newspapers, internet, academic publications, face-to-face meetings, list serves, and so on)
8. How would you like to get information from the network?
   i. How could existing communication from the network be improved?
9. This question aims to assess the quality, quantity and timeliness of the information that you receive.
   i. Firstly, when you have a problem or need to answer a question can you easily access relevant information? How does the network support this?
   ii. Secondly, can you access information in good time to inform your decision-making process? How does the network support this?
   iii. Finally, do you feel there are a diverse range of information sources that you can draw on to inform your decision-making processes? Please give examples.

Set of Questions 2

The following questions are designed to gather information which assesses how the multi-stakeholder group relates to **policy processes:**

1. What would you identify as the key policy challenges currently in your field and are we working on these priorities?
2. How would you go about highlighting policy challenges to other stakeholders?
3. What part should we play in overcoming these policy challenges?
4. How might the multi-stakeholder process help or hinder work to overcome these policy challenges?
5. Can you identify opportunities where we could work to improve policy development and the implementation process?

Set of Questions 3

The following questions are designed to gather information which assess **communication capacity** within the multi-stakeholder process**:**

1. How would you describe your ability to influence essential decision-making processes?
2. What tools do we use to support stakeholders to work in [particular area]?
3. Who are your key contacts and collaborators within this programme and how do you engage with them?
4. In your view who are the main influencers within this programme and within this field more broadly, and how do you engage with them?

Set of Questions 4

These questions are designed to gather information that identifies **innovative processes that the network could utilise:**

1. Are there people or organisations that you are aware of that are using different ways of communicating that you particularly like? Please give examples and explain what you particularly like about them?
2. Can you think of simple, quick and easy changes that could be made to improve the multi-stakeholder process and communication exchange within this network that would have a big impact?

End of Questionnaire

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Tool 5 - Questionnaire Reporting Template

Use to record responses from stakeholders to Tool 4: Stakeholder Questionnaire. If you are using a laptop when interviewing stakeholders you can directly type their responses into the template; or if you are taking notes you can populate the template following the interview.

One template should be completed for every stakeholder interviewed.

Questionnaire Reporting Template

Name:	
Organisation:	
Job title:	

Set of Questions 1

The following questions are designed to gather information on the **multi-stakeholder process** and to highlight **information and communication channels**:

1.	Who's engaged in the multi-stakeholder process?
2.	How do you and others engage in the multi-stakeholder process? (e.g. how do you co-ordinate joint work? What joint work do you do? Do particular stakeholders take on certain roles?)
3.	Who's missing from the multi-stakeholder process?
3i.	Why do you think they are missing from the multi-stakeholder process?
3ii.	What impact does their absence have on the multi-stakeholder process?
4.	Who has power in the multi-stakeholder process? Also, who does not have power?
5.	What would improve your joint work as a stakeholder?
6.	How do you relate/communicate with International partners?
7.	What are the main ways in which you get information? (e.g. newspapers, internet, academic publications, face-to-face meetings, list serves, and so on)
8.	How would you like to get information from the network?
8i.	How could existing communication from the network be improved?

9.	This question aims to assess the quality, quantity and timeliness of the information that you receive.
9i.	Firstly, when you have a problem or need to answer a question can you easily access relevant information? How does the network support this?
9ii.	Secondly, can you access information in good time to inform your decision-making process? How does the network support this?
9iii.	Finally, do you feel there are a diverse range of information sources that you can draw on to inform your decision-making processes? Please give examples.

Set of Questions 2

The following questions are designed to gather information which assess how the multi-stakeholder group relates to **policy processes:**

1.	What would you identify as the key policy challenges currently in your field and is the network working on these priorities?
2.	How would you go about highlighting policy challenges to other stakeholders?
3.	What part should the network play in overcoming these policy challenges?
4.	How might the multi-stakeholder process help or hinder work to overcome these policy challenges?
5.	Can you identify opportunities where we could work to improve policy development and the implementation process?

Set of Questions 3

The following questions are designed to gather information which assess **communication capacity** within the multi-stakeholder process**:**

1.	How would you describe your ability to influence essential decision-making processes?
2.	What tools does the network use to support stakeholders to work in [particular area]?
3.	Who are your key contacts and collaborators within the programme and how do you engage with them?
4.	In your view who are the main influencers within the programme and within the field more broadly, and how do you engage with them?

Set of Questions 4

The following questions are designed to gather information that identifies **innovative processes that you could utilise:**

1.	Are there people or organisations that you are aware of that are using different ways of communicating that you particularly like? Please give examples and explain what you particularly like about them?
2.	Can you think of simple, quick and easy changes that could be made to improve the multi-stakeholder process and communication exchange within the network that would have a big impact?

End of Questionnaire Reporting Template

==================================

Tool 6 - Interview Consent Form

This form ensures informed consent from stakeholders taking part in interviews and is also a measure of good research governance. All interviewees should complete a consent form prior to their interview

CONSENT FORM

Name of Interviewer:	
Please initial box	

Please tick only the statements which apply to you:

1. I confirm that I have willingly taken part in this interview, that I understand why I have been asked to take part and that I understand how the information I have given will be used. ☐
2. I give full permission for the information that I give in this interview to be used by xxx and their partners. ☐
3. I give full permission for the information that I have given to be used in the preparation of reports, presentations, on the world wide web and other documentation by xxx and their partners. ☐
4. I am happy for my name and organisation (where applicable) to be associated with the information that I have given during this interview process. ☐
5. I am happy for the information that I have given to be used but I do not want my comments to be quoted or attributed to me or my organisation. ☐
6. I am happy for the information that I have given to be used, quoted or attributed to me, but not to my organization or as representing the views of my organisation. ☐

Additional Comment:

Name of Interviewee	Date	Signature

Tool 7 - Stakeholder Interview Matrix

Use this matrix to collate interview responses. Follow the instructions for use included in the matrix: download here

Tool 8 - Report Template

Use this template to report on your interview findings. As you are responding to these questions for your summary, be particularly mindful of any suggestions or innovations and where stakeholders agree or disagree on policy.

Suggested Report Headings

Executive Summary

Provide a summary of the main findings from the stakeholder interviews drawing out the main points.

Key Findings

Present key findings under sub headings that answer the following questions:

1. Who are the main stakeholders?
2. Which stakeholders are actively participating?
3. How do stakeholders work together?
4. Who has and does not have power within the multi-stakeholder process?
5. What are the main ways in which stakeholders communicate with each other and how can this be improved?
6. Who is missing from the multi-stakeholder process and why?
7. What are the main barriers to multi-stakeholder engagement?
8. How can engagement barriers be overcome?

Reflections and observations

Present your professional reflections and observations here. These might include: any challenges you faced in conducting the assessment; lessons learnt and recommendations for improving the assessment process; and any other comments you may have.

Appendices

Include any supplementary information you may have gathered during the assessment process as an appendix.

Tool 9 - Design Workshop slide-set

Use this slide-set to facilitate the design workshop. Please note it is animated, and therefore easiest to view in Slide Show mode. It can be edited before use and downloaded here.

Tool 10 - Problem Tree Analysis

Taken from *Tools for Development* [7]

Familiarise yourself with this methodology before holding your stakeholder workshop.

Problem and Situational Analysis helps to determine real - as opposed to apparent - development needs. In addition, it helps to bond programme participants together by identifying a variety of issues that may need to be dealt with, such as the roles of different partners in resolving those issues, or the timescale and resources needed to achieve a given solution.

Sometimes, for example, the analysis for a proposed activity may reveal 'upstream' issues that need to be tackled before the apparent development activity 'downstream' can take place. Or it may identify underlying issues affecting the sustainability of development benefits once the immediate activity is finished.

<u>Problem analysis helps by:</u>

- Building a better understanding of the underlying causes of development issues;
- Building stakeholder consensus;
- Identifying potential constraints;
- Aiding the analysis of the real causes of the problem;
- Helping establish meaningful relationships with other implementers;
- Helping establish the actual size of the problem and the likely resources needed to tackle it;

Problem tree analysis workshop with key stakeholders

Problem tree analysis is undertaken in a workshop setting, where a variety of stakeholders are brought together to analyse the existing situation.

The first task is to identify major problems, then the main causal relationships between them are visualised using a problem tree.

How to do it

During the Problem Analysis stage, it is important that as many possible options are examined as possible. Here, the aim is to establish an overview of the situation. Later in the process, the perspective will be narrowed and deepened in order to prepare an activity design.

Box 1: Steps in undertaking a Problem and Situational Analysis

Guidance notes and key questions	Hints

[7] DFID (2002)

Step 1: Formulate problems

A. Stakeholders brainstorm suggestions to identify problems areas

B. Each identified problem is written down on a separate card or Post-It.

Post-Its are a particularly useful device, otherwise use small cards, such as 5 x 3 record cards, and display them where all participants can see them.

Try only to identify existing problems, not possible, imagined or future ones.

What is a 'problem'? A problem is not the absence of a solution but an existing negative state: 'Crops are infested with pests' is a problem; 'No pesticides are available' is not.

Step 2: Select Focal Problem

A. Stakeholders brainstorm suggestions to identify a focal problem, that is, to describe what they consider to be the central point of the overall problem.

B. Each identified problem is written down on a separate card or Post-It.

What is a 'focal problem'? One that involves the interests and problems of the stakeholders present.

If agreement cannot be reached, then:

- arrange the proposed problems in a problem tree according to the causal relationships between them;
- try again to agree on the focal problem on the basis of the overview achieved in this way.
- If no consensus can be achieved:
- try further brainstorming;
- select the best decision, e.g. by awarding points; or
- decide temporarily on one, continue your work but return at a later stage to discuss the other options.

Whenever possible, avoid a formal vote by the participants to obtain a majority decision.

Step 3: Develop the problem tree

A. Identify immediate and direct causes of the focal problem.

B. Identify immediate and direct effects of the focal problem.

C. Construct a problem tree showing the cause and effect relationships between the problems.

D. Review the problem tree, verify its validity and completeness and make any necessary adjustments.

In developing the problem tree, the cards or Post-Its can be moved so that:

- the immediate and direct causes of the focal problem are placed in parallel beneath it;
- the immediate and direct effects of the focal problem are placed in parallel above it.

Causes and effects are further developed along the same principle to form the problem tree.

The problem analysis can be concluded when the stakeholder groups are agreed that all essential information has been included that explains the main cause and effect relationships characterising the problem.

Step 4: Developing the Objectives Tree

A. Reformulate all the elements in the problem tree into positive desirable conditions.

B. Review the resulting means-ends relationships to assure the validity and completeness of the objective tree.

C. If required:

- Revise statements;
- Delete objectives that appear unrealistic or unnecessary;
- Add new objectives where required.

D. Draw connecting lines to indicate the means-ends relationships.

In the objectives analysis, the problem tree is transformed into a tree of objectives (future solutions of the problems) and analysed.

Working from the top, all problems are reworded, making them into objectives (positive statements).

Difficulties in rewording may be solved by clarifying the original problem statement.

If a statement makes no sense after being reworded, write a replacement objective, or leave the objective unchanged.

Check that meeting objectives at one level will be sufficient to achieve the objectives at the next level.

Problems: 'If cause is A, then the effect is B'

Objectives: 'The means is X in order to achieve Y'

Note: Not every cause-effect relationship becomes a means-ends relationship. This depends upon the rewording.

Working from the bottom upwards, ensure that cause-effect relationships have become means-end relationships.

Draw lines to indicate the means-ends relationships in the objectives tree.

Step 5: Alternative Analysis

A. Identify differing 'means-ends' ladders, as possible alternative options or activity components.

B. Eliminate objectives that are obviously not desirable or achievable.

C. Eliminate objectives being pursued by other development activities in the area.

D. Discuss the implications for affected groups.

The purpose of the alternative analysis is to identify possible alternative options, to assess their feasibility and agree upon one strategy for action.

Possible alternative means-ends branches in the objective tree that could become activities are identified and circled.

These means-end branches constitute 'alternative options'.

Alternative options should be discussed in the light of the interest groups that would be affected by them and the ways in which they would be affected.

Step 6: Selecting the Activity Strategy

A. Make an assessment of the feasibility of the different alternatives.

B. Select one of the alternatives as the activity strategy.

C. If agreement cannot be reached, then:

- introduce additional criteria;
- alter the most promising option by including or subtracting elements from the objectives tree.

In selecting the most viable alternative a series of criteria should be developed and used. These could include:

- costs;
- benefits to particular groups, e.g. the 'poverty focus' of the activity;
- the probability of achieving objectives;
- the social risks and costs;
- the assumptions made.

Stakeholders should also agree on other criteria to use when assessing the viability of the alternative options. These could include:

Social criteria. Distribution of costs and benefits, gender issues, socio-cultural constraints, local involvement and motivation;

Environmental criteria. Environmental effects, environmental costs versus benefits.

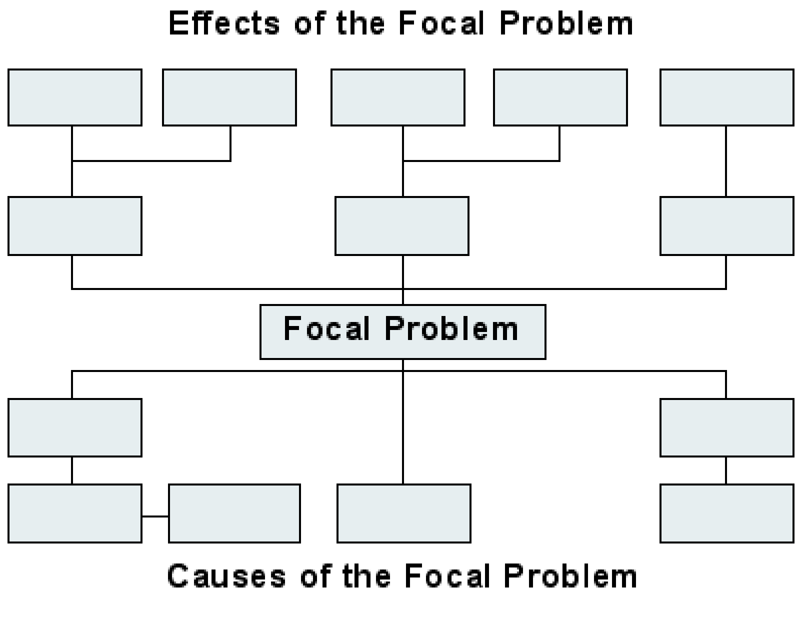
Technical criteria. Appropriateness, use of local resources, market suitability.

Institutional criteria. Capacity, capability, technical assistance.

Economic criteria. Economic return, cost effectiveness.

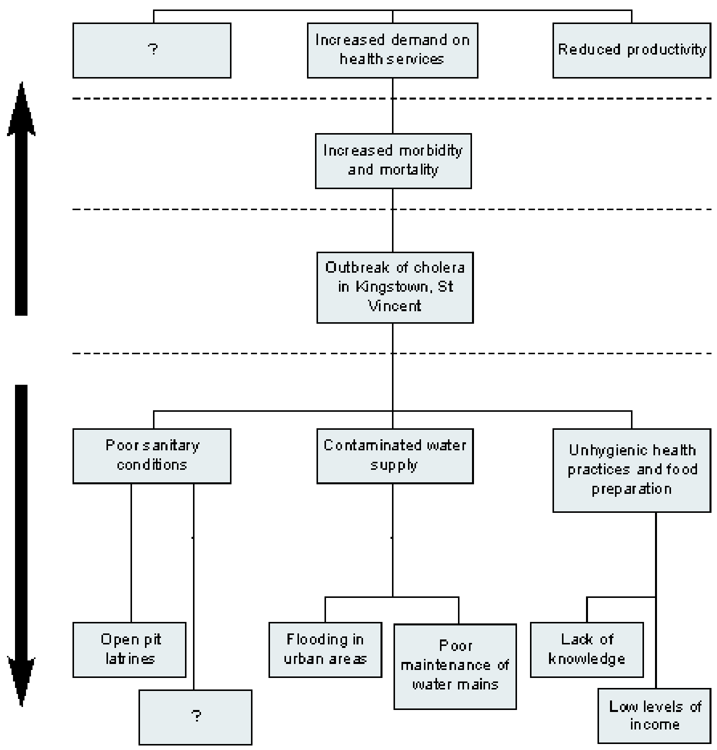
Financial criteria. Costs, financial sustainability, foreign exchange needs.

Box 2: Structure of the problem tree showing causes and effects



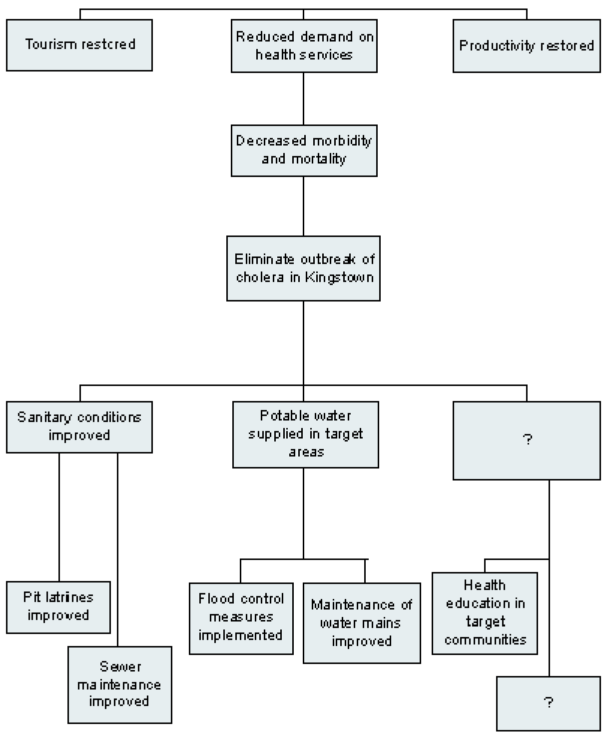
Box 3: Problem tree analysis

Define the focal problem, its immediate and direct causes and its effects



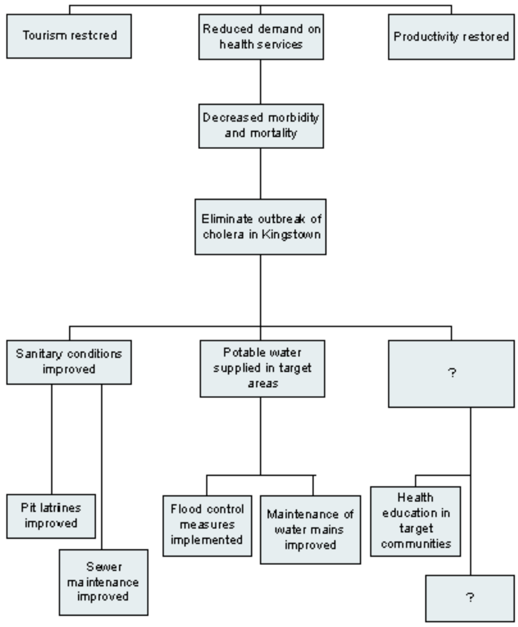
Box 4: Objectives tree analysis

Transform each problem statement into an objective



Box 5: Alternatives analysis

Using objective criteria, analyse which objectives should be central to the activity design.



Tool 11 - Stakeholder Workshop Programme

Use the proposed stakeholder workshop outline to guide the development of the workshop

Stakeholder Workshop

[Enter Date]

Aim of Workshop

The stakeholder workshop is designed to assess the quality of the multi-stakeholder processes within the programme. The objective is to strengthening the work plan's development and implementation through collective analysis of constraints and the identification of innovative solutions to multi-stakeholder engagement.

Specific Objectives

1. To identify opportunities to improve knowledge and information systems with the aim of supporting decision-making; the exchange of information; and increasing the potential for learning and innovation
2. To create awareness among stakeholders of the opportunities and constraints that affect their performance
3. Identify innovative solutions that could effectively remove constraints and take advantage of opportunities

Expected Outcomes

1. A comprehensive understanding of how we work together as a multi-stakeholder group
2. Suggestions for improving our performance as a multi-stakeholder group
3. Stated commitment from stakeholders to implement change

Programme

Time	Detail
8.00	Arrival and Registration
8.30	Introductory Session
9.00	Background to Multi-stakeholder Assessment
9.15	The Assessment Process
9.45	Introducing Workshop 1
10.10	Morning Break
10.30	Workshop 1: Problem Tree Analysis
12.00	Introducing Workshop 2
12.30	Lunch
14.00	Workshop 2: Creating an Innovation Tree
15.00	Afternoon Break
15.20	Workshop 3: Reviewing Innovations & the role of [organisation]
16.20	Reflections
16.30	Close

Tool 12 - Stakeholder Workshop Checklist

Workshop Planning Checklist

This checklist is designed to assist in the planning and preparation of the one-day Stakeholder Workshop.

Description	✓
Prior to the workshop, visit the venue and make sure the room is appropriate for what you have planned. Check that you have enough space for activities and if you need tables or additional chairs that these are available for use. If the room is quite small you may be able to arrange to use break out rooms.	
Try to meet with the caterers in advance of the workshop and be clear about the start and finish times of breaks. If possible it is ideal to have breaks in another room or area; this gives the participants a fresh venue and break from the workshop as well as allowing catering staff to clear away cups and plates without disrupting the workshop sessions.	
If you require the use of a laptop and projector make sure these have been booked for your use and if possible test them before the workshop. If there is not a wall to project onto you should order a projection screen.	
Print out any handouts and copies of the workshop presentation in preparation for the workshop (if possible do not give the presentation slides to participants until the end of the day)	
The following items are required for your workshop:	
Flipchart paper x 2	
Marker Pens x 15	
Post it notes x 4	
Blu-tac or masking tape	
A4 Paper x 1 ream	
Card or paper for name labels x No. Of participants	
Register of Attendance	
Camera for taking photos of workshop outputs	

Tool 13 - Specimen Workshop slide-set

Download here

This slide-set is an example from a MeTA workshop, provided for illustrative purposes. It should be adapted before use in your own assessment. As before, it is an animated slide-set and therefore can be read most easily in Slide Show mode.

Tool 14 - Specimen Workshop facilitation plan

Download here

This sample facilitation plan provides approximate timings, guidance and notes to assist with facilitating a stakeholder workshop as part of the Multi-stakeholder Assessment process. These notes provide a starting point for planning your stakeholder workshop but clearly have to be modified to meet your needs, as they are based on MeTA workshops. Use with Tools 12 and 13.

Tool 15 - Workshop Handout 1 – Instructions for Problem Tree Analysis

Workshop 1: Problem Tree Analysis

This handout provides instructions for completing the problem tree analysis in your group. Please read this carefully before proceeding. Should you require any clarification, please speak with a facilitator. **Remember the use of DIALOGUE is key to the success of this activity!**

In addition to this handout you have been provided with:

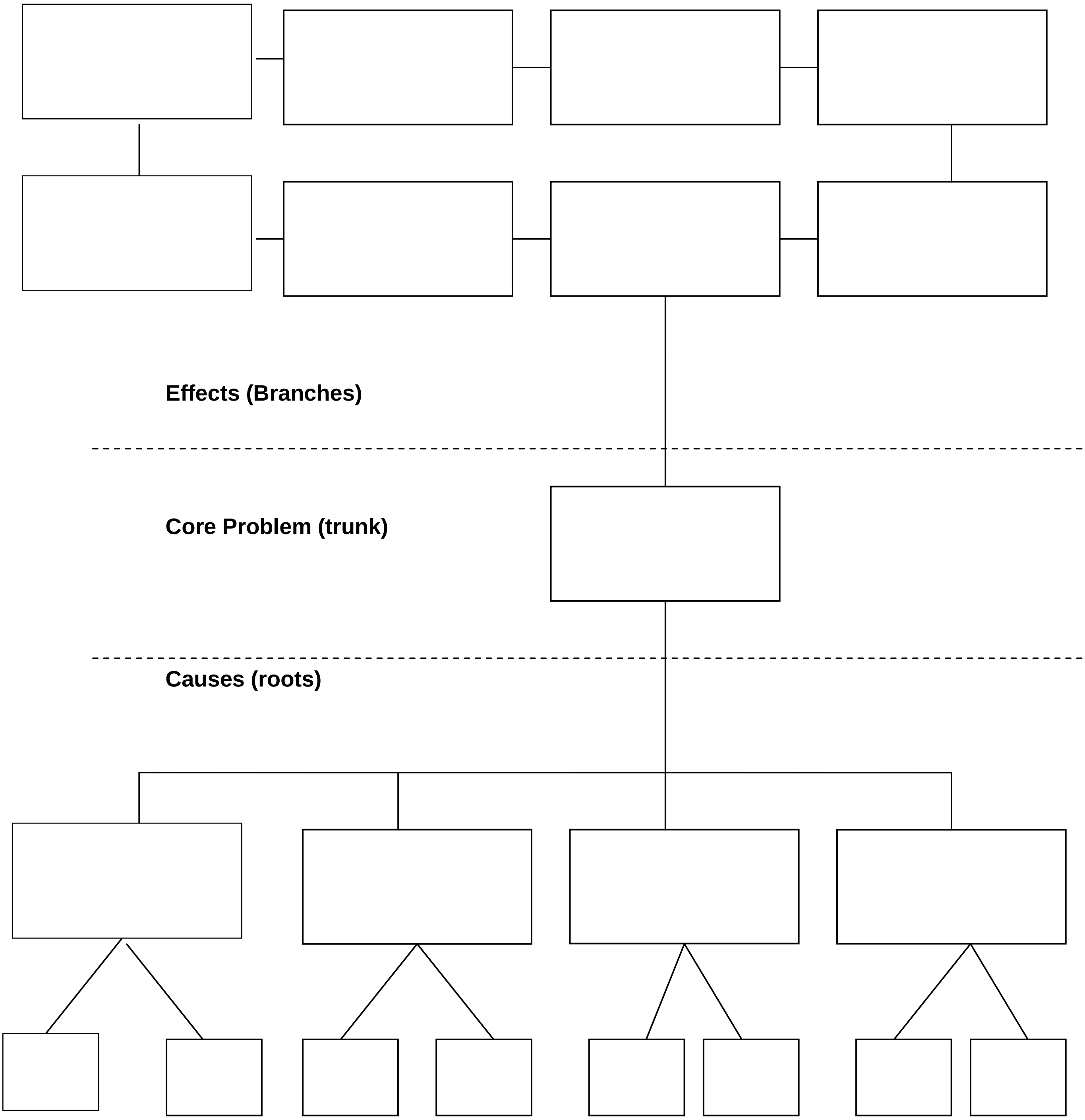
- a problem tree template handout for you to make notes on if you wish
- a core problem definition which will be agreed in the workshop prior to starting the analysis of the problem (of course there may be more than one core problem)
- examples of causes and effects related to the core problem on pieces of paper

Key Steps in Problem Tree Analysis	✓
1. Does the group agree with the way the core problem has been written? If not rewrite the core problem in a way that the group is happy with.	
2. Brainstorm a series of causes and effects relating to the core problem. Each cause or effect should be written on a separate piece of paper. Please focus on the present, do not write down problems that may occur or effects that may happen. Focus on present day problems.	
3. Separate causes from effects and place these on relevant part of your problem tree.	
4. Can the group identify groups/categories of causes? If so group causes together and give them an appropriate category heading.	
5. Finally, check the logic of your problem tree. Are the causes roots of the core problem? And do the root causes result in the effects you have described?	

Tool 16 - Workshop Handout 2 – Blank Problem Tree Template

Workshop 2: Problem Tree Analysis

This handout provides you with a blank problem tree that you can use to make notes on



Tool 17 - Workshop Handout 3 – Instructions for Creating an Innovation Tree

Workshop 3: Creating an Innovation Tree

This handout provides instructions for creating your innovation tree. Please read this carefully before proceeding. Should you require any clarification, please speak with a facilitator.
Remember the use of DIALOGUE is key to the success of this activity!

In addition to this handout you have been provided with:

- Examples of innovation solutions..

Key Steps in Creating Your Innovation Tree	✓
6. Begin by writing the core problem as a positive statement and check agreement in the group before proceeding	
7. Rewrite all the causes and effects from the problem tree as positive statements/desirable effects. Any difficulties the group has in rewording can be clarified by revisiting the original 'core' problem statement	
8. If necessary you may need to revise some statements and/or delete statements that seem unrealistic or unnecessary	
9. Check that the logic is maintained in the innovation tree by drawing connecting lines between 'means' and 'ends' . Please note that not all relationships will necessarily be cause and effect as this will depend on how the group has worded each statement.	

Evaluation Form

We gratefully welcome your feedback on today's workshop.

Your feedback will help us to refine our methodology. Please take a few moments to complete the following questions. You may also like to contact us to provide additional comment. Please email your comments to xxx

Using the sliding scale below please tell us to what extent you feel the workshop achieved its objectives (1 not met at all; 5 mostly met; 10 completely met).

Objective 1: **To identify opportunities to improve knowledge and information systems with the aim of supporting decision-making; the exchange of information; and increasing the potential for learning and innovation**									
1	2	3	4	5	6	7	8	9	10

Please circle

Objective 2: **To create awareness among stakeholders of the opportunities and constraints that affect our collective performance**									
1	2	3	4	5	6	7	8	9	10

Please circle

Objective 3: **Identify innovative solutions that could effectively remove constraints and take advantage of opportunities**									
1	2	3	4	5	6	7	8	9	10

Please circle

Please circle 5 words that best describe today's workshop for you					
well presented	meaningful	stimulating	nothing new	good exercises	changed my views
Disorganised	thorough	interesting	valuable	rushed	too long
practical	interactive	indifferent	exhausting	participative	waste of time
boring	too simple	motivating	exciting	too theoretical	challenging
professional	helpful	thought provoking	irrelevant	refreshing	fun

In your view what has been the most significant output from today?

What are your thoughts on the tools used in the workshop sessions?

What would you change about today's workshop?

Do you have any other comments?

Thank you for completing this evaluation form!

Please leave this on your chair or desk for collection

References

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