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## APPENDICES

### *Appendix 1. Mentor and peer review demographics for action learning reflective data analysis*

<b>Mentors</b>	
Penny Ward	Facilitator and rights-based consultant, SA
Ingrid Obery	Facilitator and development consultant, SA
Annalize Fourie	Health systems expert and development consultant, SA
Sue Soal	CDRA: Developmental practice facilitator and writer, SA
Bridgit Snell	Oxfam America: Organizational Learning and Knowledge Manager, USA
Denise Hunt	Executive Director; AIDS Consortium
<b>Questionnaire respondents</b>	
Caitlin Blaser	CIVICUS: International NGO and advocacy organisation, SA
Ebbie Dengu	Development Consultant, Zimbabwe
Jennifer Bisgard	Khulisa Management Services: M&E agency, SA
Linda van Blerk	USAID agencies: Director, SA
Shani Winter	UNICEF: Rights-based practitioner, USA
Janine Mitchell	FPD: NGO capacity and training, SA
Sheelagh O'Reilly	IOD: International Organisation Development, UK
Anthony Kinghorn	TSF: Director, Development contracting house and UN agent, SA
Mutizwa Mukute	Development Consultant, Zimbabwe
Rebecca Freeth	Rights-based, developmental practice consultant, SA
John Wilson	Livelihood Consultant, Zimbabwe
Sue Soal	CDRA: Developmental practice facilitator and writer, SA
Anita Simons	Development Consultant, SA
Martyn Foot	World Vision: Development & Learning Advisor, SA
Indran Naidoo	DDG, Leadership & Management, Public Service Commissioner, SA
Mark Keen	IOD: Director, International Organisation Development, UK
David Douglas	NGO Financial management consultant, SA
Davine Thaw	Organisation Development Consultant and facilitator (ex Olive OD)
<b>Exchange events<sup>35</sup></b>	
SAMEA, 2007	Paper presentation, 2nd Biennial Conference of the South African M&E Association, Johannesburg, 25-27 March 2007.
SAMEA, 2007	Workshop with Mark Keen (IOD-UK) on action learning in organisations
NGO Conf 2008	Paper presentation, 1st South African NGO Conference, CSIR, Pretoria, 24-25th Oct 2008.
IDEAS, 2009	International Development Evaluation Association Global Assembly 2009, Jhb, 18 Mar '09.
Cairo, 2009	Conference on Perspectives on Impact Evaluation 2009, Cairo, 29 March – 2 April 2009 (3IE <sup>36</sup> / AFREA <sup>37</sup> )
Prague, 2009	Keynote Speaker, Conference on Civil Society Effectiveness 2009, Prague, June 23rd.
SAMEA, 2009	Paper presentation, 3rd Biennial Conference of the South African M&E Association, Jhb Aug 27th.

<sup>35</sup> Details of contributions listed in the reference under Konstant or Konstant and Stanz

<sup>36</sup> International Initiative for Impact Evaluation

<sup>37</sup> African Evaluation Association

## *Appendix 2. The questionnaire template*

Dearest Evaluation and Development Thinker

I am working with the AIDS Consortium and its Community-Based Organisation affiliates (CBOs) in Gauteng, on a research project to develop stronger developmental approaches to evaluation. This contributes to my PhD with University of Pretoria in Organisational Behaviour. It is also intended to contribute to conversations, thinking and stimulating dialogue.

I have spent time with CBOs working through a process, and attempting to improve this process with each experience. While some powerful elements have emerged, we find ourselves stuck at a dilemma. I would very much appreciate your help in thinking through it. Would you mind interacting with this conversation, to the extent that it intrigues you?

I have three questions. They apply specifically to front-line implementers of community development, especially thinking of CBOs and local NGOs, in their relationships with funding agencies.

### **Question 1.**

**What do you think of the following rationale? Please consider whether you agree or not, and elaborate if you would like to.**

<b>Logic sequence</b>	<b>Please circle your closest response and qualify your answer by adding a comment if you choose.</b>
Development interventions should enhance people's and organisation's belief in themselves (buzzwords like self-actualisation, empowerment)	Yes / No; But / And:
Belief in ourselves includes our belief in our power to influence our own situation (buzzwords like internal locus of control)	Yes / No; But / And:
Organisations sometimes colour their story of themselves to attempt to appear more attractive to someone else. This makes them feel that they fall short under judgement, and their esteem for their whole selves is lessened.	Yes / No; But / And:
Equally, when they selectively understate their weaknesses or challenges to appear competent or capable enough, they give up part of their internal sense of ability.	Yes / No; But / And:
Where a funder requires a CBO to prove diligence and competence to delivery against the funders criteria, this process and experience reduces the organisation's belief in the power it sees itself as holding.	Yes / No; But / And:



**Question 2.**

Given this scenario:

Assuming that financial honesty is already established (say, we know that the organisation is not out to pinch the petty cash and do a runner):

Funding agencies need to make good decisions on partnership. They run the risk in doing so, of unavoidably and unintentionally damaging the organisations they assess. Evaluators can encourage organisations colour their story; to feel judged as adequate or inadequate against someone else's criteria.

As an external evaluator wishing to be true to my values as a development practitioner, I observe that even the mildest implication of judgement causes community organisations to feel accused.

In search of practical suggestions and principles that can really be applied, how can evaluation for funding decisions uphold the power of people and organisations over their self-determination?

Your innovative suggestions, experiences, "tough luck" responses and justifications, etc, would be much appreciated. If you disagree with the scenario, please talk about that too.

**Question 3) How do you think funding agencies should make decisions on who to support?**

Please score each as being **critical** (1) to **not important** (5) in the following criteria for deciding on funding eligibility, in your practical experience and honest opinion:

<b>1 = Critical. 5=Not important</b>					
<b>Criteria for choosing to partner with a community organisation:</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
<i>Please add your own three criteria of choice in the last 3 spaces.</i>					
1. Very basic, convincing enough, financial systems in place					
2. Financial systems that meet our due diligence requirements					
3. Demonstrated ability to deliver services					
4. Demonstrated ability to report on results					
5. Demonstrated ability to govern					
6. Skilled staff with experience and qualifications					
7. Staff with positive attitudes					
8. Values that align with those of the funding agency					
9. Values for community based development					



1 = Critical. 5=Not important					
Criteria for choosing to partner with a community organisation:	1	2	3	4	5
<i>Please add your own three criteria of choice in the last 3 spaces.</i>					
10. An established office and infrastructure					
11. Potential to improve to meet the needs of the programme					
12. Capacity to absorb a substantial enough minimum grant to make it worth while					
13. As partner, I intuitively feel that we can work well together					
14. I trust them, I think they are good people with strong abilities					
15. Demonstrated competency not to waste money or be inefficient					
16. Ability to convincingly describe their own strengths and weaknesses in detail					
17. Ability to assertively negotiate for their rights in the partnership					
18.					

Any comments you might like to add around your reasons for this scoring:

### About yourself

My organisation, and/or I :

Indirectly funds CBOs (e.g. through an intermediary) \_\_\_\_\_

Directly funds CBOs as a donor agency \_\_\_\_\_

Is a grant-maker for donor funding to CBOs \_\_\_\_\_

Independently evaluates CBOs on behalf of funders \_\_\_\_\_

Independently evaluates CBOs on behalf of CBOs \_\_\_\_\_

Is a CBO \_\_\_\_\_

Has another connection to this dialogue (please tell) \_\_\_\_\_

Please feel free to make any further general comments that you might wish to

My sincere thanks for your time and energy, which I appreciate is stressed and stretched. I do hope you enjoyed the conversation, and I am very grateful for your joining it.

A massive thank you

Tracey

*Appendix 3. TOC - Presentations, and written publication on a CD attached to this thesis (to be compiled for final publication)*

Konstant, T.L., 2007. *Using Grounded Evaluation: systems for operationalising the principles of grounded evaluation into mainstream practice*. [Paper presentation] 2<sup>nd</sup> Biennial Conference of the South African Monitoring and Evaluation Association, Johannesburg, 25-27<sup>th</sup> March 2007.

SAMEA, 2007 Workshop with Mark Keen (IOD-UK) on action learning in organisations

Konstant, T.L., 2008. *Learning through stories, sharing through pictures*. [Paper presentation] 1<sup>st</sup> South African NGO Conference, CSIR, Pretoria, 24-25<sup>th</sup> October 2008.

Konstant, T.L., 2009a. *People talking about AIDS: Working with gender, culture and HIV in rural South Africa - Evaluation using Stories of Most Significant Change*. Oxfam America. [Online].

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[http://issuu.com/oa-padare/docs/final\\_oxfam\\_msc\\_report\\_october\\_2009\\_padare\\_versi/1?mode=a\\_p](http://issuu.com/oa-padare/docs/final_oxfam_msc_report_october_2009_padare_versi/1?mode=a_p)  
[Accessed 6<sup>th</sup> January 2010]

Konstant, T.L. 2009b. *Power, development and civil society*. Invited Keynote Speaker, Conference on Civil Society Effectiveness 2009, Prague, June 23rd. Czech Forum for Development Cooperation

Presentation available at FORS / Seminars & conferences / 23-24 June 2009

<http://www.fors.cz/assets/files/konference/TraceyKonstant.pdf>  
[Accessed 6<sup>th</sup> January 2010]

Konstant, T.L. & Stanz, K., 2009a. *Paris, Power and CBOs*. Paper presentation at the International Development Evaluation Association Global Assembly 2009, Johannesburg, 18 March 2009. [Online full text and presentation]

Available at IDEAS / IDEAS Conferences / IDEAS Global Assembly, 2009 / Building Evaluation Capacity in Response to the Paris Declaration and the Accra Agenda for Action

[http://www.ideas-int.org/documents/file\\_list.cfm?DocsSubCatID=24](http://www.ideas-int.org/documents/file_list.cfm?DocsSubCatID=24)  
[Accessed 6<sup>th</sup> January 2010]

Konstant, T.L. & Stanz, K., 2009b. *Power, Conundrums and CBOs*. Paper presentation. 3iE / AFREA Conference on Perspectives on Impact Evaluation, Cairo, 29 March - 2 April 2009.

Konstant, T.L. & Stanz., K. 2009c. *Evaluation: the value in evaluation for community-based organisations*. 3<sup>rd</sup> Biennial Conference of the South African Monitoring and Evaluation Conference 2009, Johannesburg, August 27<sup>th</sup>, 2009.

Presentation available at SAMEA / 2nd SAMEA eVALUation Conference 2009 / Conference Presentations 2009

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[Accessed 6<sup>th</sup> January 2010]

*Appendix 4. Programme for the Partners' inception meeting for the NW Province Gender, Culture and HIV programme MSC review*

**Meeting Objective:**

To gain informed collective support to and awareness of the project closure research project, enabling optimal contributions to the project, and optimal use and relevance of the research outputs.

**Sub-objectives**

- To align and agree among partner organisations on the purpose of the MSC research project.
- To orient management and researchers to the MSC approach, its relevance in this context and fitness to the purpose envisaged by OA
- To enable the coalition of organisations to consider its collective use of the products of this research
- To enable the individual organisations to reflect on the value and relevance of their participation as researchers and users of the research

TIME	OBJECTIVES/ACTIVITIES
09h00	<p><b>OPENING AND INTRODUCTION BY MARIAN (OXFAM AMERICA)</b></p> <p>Welcome the participants and introduction of the research programme. Introductory conversation by Marian on how we come to be at this point, and the OA vision for this process. Questions and answers.</p>
09H30	<p><b>EXPECTATIONS OF THE RESEARCH</b></p> <p>Stories of impact: Participants reflect on their involvement or impressions of NW Province Gender, Culture and HIV programme, in order to share with the meeting on the questions below (5 minutes individual reflection time):</p> <ul style="list-style-type: none"> <li>● An event, conversation or experience that signifies the impact of the programme.</li> <li>● Their expectations of the MSC project.</li> <li>● What they imagine contributing.</li> <li>● What they imagine gaining from it.</li> </ul>
10h20	<p><b>OVERVIEW OF THE DAYS PROGRAMME</b></p>
10h30	<p>Tea Break</p>
10:45-11:45	<p><b>THE PROGRAMME TO DATE</b></p> <ul style="list-style-type: none"> <li>● Discussion on the Theory of Change for the NW programme, including the formation and the coalition as a key process.</li> <li>● Discussion on where participants feel that this Theory of Change holds true, and where it might not.</li> </ul>



TIME	OBJECTIVES/ACTIVITIES
11:45-13:00	<b>WHAT IS MSC</b> Orient the group to the theory behind MSC: <ul style="list-style-type: none"><li>• Exercise using MSC using the example of the formation of the coalition.<ul style="list-style-type: none"><li>○ Domains of change for formation of the coalition (30)</li><li>○ Reflect on stories and allocate them to a domain (20)</li><li>○ Select the most significant story and given reasons for your selection (20)</li></ul></li></ul>
60 minutes	Lunch Break
14.00-15.00	<b>WHAT IS MSC CONT' and WHY</b> <ol style="list-style-type: none"><li>1) Feedback/discussion on the story selection and criteria for selecting stories (15)</li><li>2) Verification and quantification - discussion (15)</li><li>3) Revising the system (15)</li></ol> Summary of the method. Overview of the reasons for using MSC. What they can expect from MSC, and what not.
15:00-15:30	<b>DOMAINS OF CHANGE</b> Exercise on defining domains of change for the MSC process Formulate advice to the training and field work planning process on the questions which will offer greatest insight on the outcomes of the programme
15:30-16:00	<b>MSC PLANNING</b> Advice regarding the target audiences to be engaged, opportunities for focus groups (support groups, organisation meetings) Logistical issues confirmed regarding field time.



*Appendix 5. Partners' meeting for the NW Province Gender, Culture and HIV programme MSC field work preparation and training*

**Meeting Objective:**

To build the field teams capacity to learn about the significant changes in the Mabeskraal Area with regard to:

- 1) Where and how is HIV being discussed
- 2) How have the views and actions of traditional leaders changed, and how has this influenced view and actions of the community
- 3) How has behaviour changed with regard to a) demand for services; and b) sexual risk behaviour

Each of these questions is asked for a) male/female; b) youth/adult; c) within organisational settings of traditional leaders, traditional healers, CSOs and public.

**Enabling objectives**

By the end of the course, participants should be able to:

- Capture comprehensively, the details of stories, including sound bites.
- Listen well, and listen in a way that encourages story telling
- Interview well to achieve rich stories across the domains of change
- Facilitate group discussions on these issues and capture the stories and conversations that emerge in focus groups
- Analyse stories for significance, themes and gender disaggregation

The field team should have:

- Heard each others most significant stories of change
- Defined the stakeholder groups to be interviewed and agreed a strategy on accessing each of these groups, including group and individual meetings, and gender disaggregation
- Agreed on terms of engagement and ethical practice for the research process.
- Planned division of roles, allocation to interviewing teams and logistics for field work next week.

TIME	OBJECTIVES/ACTIVITIES
09h00	<b>OPENING AND INTRODUCTION</b> Recap on the conclusions of the first session. Highlight the goals of the two day course. Introduction bingo - getting to know each other better
09H20	<b>EXPECTATIONS OF THE RESEARCH</b> Review the expectations of the first session: Are there new or specific expectations for this course? Would we like to refine the Domains of Change at this point?
09h40	<b>OVERVIEW OF THE 2 DAY PROGRAMME</b> Including introduction of Opmaat.



TIME	OBJECTIVES/ACTIVITIES
10h00	<p><b>NOTE TAKING</b></p> <p>Discussion on the importance of capturing data.</p> <p>Discussion on strategies for ensuring that the stories are fully and comprehensively captured - e.g. voice recorder, scribe role, reading back to the informant.</p> <p>Story by Mbuyisele for note taking.</p> <p>Notes contest - who do we think has captured the story best? What makes their account so good?</p> <p>Discussion: Challenges in note taking</p>
10h45	Tea Break
10h45	<p><b>LISTENING SKILLS</b></p> <p>Exercise demonstrating the challenges of poor listening, and the importance of effective listening to communication</p> <p>Exercise on reflective listening as a means of probing in research; Exercise allowing time for reflection; Discussion on listening and research</p> <p>Working in pairs they were asked to</p> <ul style="list-style-type: none"> <li>• Tell their stories simultaneously (an important event in their childhood)</li> <li>• Become gradually distracted as their talking partner related a story (An important event in adulthood)</li> <li>• Keep a fixed expressionless face during their talking partner's account (An important event in adulthood)</li> </ul> <p>Debrief: bad listening</p> <ul style="list-style-type: none"> <li>• Try to reflect back in the same words what the person says (Why I do the work I do)</li> <li>• Try to reflect back in different words – what you understand from the person (Why I do the work I do)</li> <li>• Try to get the person to say more about something – note what phrases you use for this (My first party)</li> <li>• Switch</li> </ul> <p>Debrief: What helped to get the most information possible.</p>
11:45	<p><b>INTERVIEWING SKILLS: GETTING STARTED</b></p> <p>Introducing ourselves; Approaching a person or a group; What is the role of a researcher? Role plays on opening a conversation</p>
12:45	Lunch Break
1:45	<p><b>INTERVIEWING SKILLS: STEPPING STONES</b></p> <p>Framing the questions</p> <p>Breadth: Moving from problems to solutions, statements to stories</p> <p>Depth - Probing for underlying issues: Why, why, why? Reflecting.</p>
2:15	<b>THE BALL GAME:</b> Exercise demonstrating team roles
2:30	<b>OUR STORIES:</b> Group exercise with respondent, facilitator and note-taker.
3:30	Tea Break
5:00	<b>CLOSURE FOR DAY 1:</b> Review of the day's events. Opmaat team

TIME	DAY 2
08:00	<b>OPENING AND INTRODUCTION</b> Opmaat Recap on reflections on the Day 1
08:30	<b>ANALYSIS</b> 1) 3 stories - the tortoise that saw the world, the teacher and nasrudin's boat, the priest and the treasure (write down what you think is the significant lesson/change in each story, and vote for Most Significant of these - why is it the most significant?)  Posting up the stories of change - in themes, under gender Clustering the stories into themes, choosing the most significant story for each theme (men and women votes disaggregated) All stories grouped into male's stories and female's stories: choosing the most significant story within those categories (men and women votes disaggregated) <b>Why were these most significant?</b> <b>What does this say about change and HIV?</b> <b>What are the themes that have emerged?</b> <b>What does this say about our approach?</b> What can we say we have achieved? What are the risks? What should we do differently?
10h0	Tea Break
10:15	<b>THE CHAIR GAME</b> Exercise on agendas, communication and third solutions
10:45	<b>STAKEHOLDER MAPPING</b> Brainstorm - What makes someone an appropriate respondent; and what do we expect of an appropriate setting? E.g. able to spend time, able to concentrate, somewhere we can speak in privacy, the respondent "type" will be available for analysis next week? List: Who are the key groups of respondents? <b>Allocate groups to each stakeholder group by expertise - strategy for how best to reach this group? Where? Individually and in groups.</b> Feedback and discussion: Strategy for each of these groups  <i>LOCATIONS</i> How many locations can we work in? Map of the area please
12:15	<b>FOCUS GROUP DISCUSSION</b> Discussion on how to run a focus group Role play - Focus group discussion using Group Members, Note takers and Facilitators. The rest of the participants are observers 20 minutes discussion Debrief and feedback from observers



TIME	DAY 2
12:30	Lunch Break
1:15	<b>ETHICS</b> What might go wrong and what are the risks to our participants? What are the risks to the local organisations involved? What are the implications for confidentiality? What does sensitivity look like? How do we manage these risks?
2:15	<b>THE BALL GAME and Team planning</b> Exercise on flexibility and cooperation  <i>TEAMS</i> How many teams do we need? Who will have specific roles? Allocation to teams for the field work <i>Self-evaluation according to confidence in different skills - who should allocate team members?</i>
3:00	<b>PLANNING</b> The story of the rabbi - I told you, I don't know.  <i>Brainstorm - what do we need to plan?</i> <i>Groups to prepare a draft for discussion on each of:</i> <b>MATERIALS:</b> Prepare the introductory paragraph and the ethics statement Prepare the demographics page - what do we need to know about each person? <b>EQUIPMENT</b> - what does each team and each individual need? Who will provide this? <b>TRANSPORT</b> - who needs to be transported from where to where, when? How will this be organised?
4:30	<b>CLOSURE</b>

*Appendix 6. MSC Community feedback Mabeskraal 25 September 2009 Draft Plan.*

**Purpose of the feedback**

- To give feedback on the findings of the MSC Process.
- To report on the results of the MSC and the changes.
- Show casing of the active organisations in the community in Mabeskraal.
- To report on what has been done in the last 12 months in Mabeskraal.

**Target Audience**

- 150 people.
- The community of Mabeskraal.
- The Kgosi's from the neighboring community.
- Government departments.
- Other Community Based Organisations.

**Proposed Draft Agenda**

**Programme Director: Mr. Thapelo Rapoo**

**Time: 10h00am to 13h00pm**

**Venue: Mabeskraal Tribal Office hall**

<b><u>Activity</u></b>	<b><u>Responsible person</u></b>	<b><u>Time allocated</u></b>
<b>Opening Prayer and word of encouragement</b>	Kgosi Sefanyetso	15min
<b>Welcome and introductions</b>	Kgosi Mabe	15min
<b>Purpose of the day</b>	Marian Gotha	15min
<b>Partnerships in NW</b>	Mr. Ian	15min
<b>MSC Process</b>	Ms. Tracey Konstant	10min
<b>Organisations working in Mabeskraal</b>	Ms. Wendy Mofokeng (Aids Consortium NW)	20min (5 minutes speaking, 15 discussion on this theme, facilitated by Sammy)
<b>Story of Kgosi and the Youth</b>	Ms. Lerato Mphato (Bacha ba Kopane Organisation)	20min (5 minutes speaking, 15 discussion on this theme, facilitated



<b>Activity</b>	<b>Responsible person</b>	<b>Time allocated</b>
		by Sammy)
<b>Boswagadi and the Challenges facing older people</b>	Ms. Motshidisi Kgasoe (Botho Jwa Rona)	20min (5 minutes speaking, 15 discussion on this theme, facilitated by Sammy)
<b>Story on personal experience and behavior change</b>	Ms. Lesedi Molibatsi (Pholo Modi wa sechaba)	20min (5 minutes speaking, 15 discussion on this theme, facilitated by Sammy)
<b>Story on the youth and behavior change</b>	Ms. Julia (Lovelifa)	20min (5 minutes speaking, 15 discussion on this theme, facilitated by Sammy)
<b>Closing Recommendations from the audience</b>	Mr. Sammy Kgaswe	15min
<b>Vote of Thanks and summary of the main points provided from the audience</b>	Ms. Denise Anthony (Aids Consortium Gauteng)	5min

**Note:**

- It was agreed that organisations that were involved in the MSC will exhibit as part of profiling them.
- Sammy, Micheal and Motshidisi will be responsible for distribution of the invitations, with the help of other partners in Mabeskraal.
- Thapelo will be responsible of the logistics around the event (i.e. catering, communication, etc).
- Tracey and Sammy will lead the Process on the presentation of the findings.
- Sammy will lead/facilitate the community recommendations session.
- There will be catering for 150 people.

Bafana represented Sonke will not be at the event; due to that Mbuyiselo has family commitments on the day.