# MANAGEMENT OF CHANGE

## A tool guide for **local and regional authorities**

Partnership for Good Governance

EUROPEAN UNION

COUNCIL OF EUROPE
CONSEIL DE L'EUROPE

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# FOREWORD

In today's changing world, different levels of government - and local authorities are no stranger to this - are confronted on a daily basis with the need to adapt, but above all, to provide meaningful answers to the challenges that arise. Moreover, in order to respond to the increasing and more informed demands of citizens, local authorities need to drive change so as to provide better and relevant public services, whilst ensuring an efficient administration. As citizens' expectations are higher than ever, not having the capacity to address these may have significant consequences, not only in terms of declining citizen satisfaction, but also in the erosion of overall public trust.

Only by ensuring genuine democratic governance through the promotion of inclusive decision-making processes, and by establishing effective and accountable institutions, are local authorities able to meet expectations and change. A transparent local public administration, which follows the principles of ethical behaviour, open governance and accountability, is instrumental in this regard. With this view, the Congress of Local and Regional Authorities of the Council of Europe, as a political forum and a partner in enhancing the quality of local and regional democracy across Europe, has been working directly with mayors in Armenia, Georgia, the Republic of Moldova and Ukraine to strengthen their roles as leaders for change.

Measuring the quality of local democracy is a demanding task, especially when it comes to managing the findings and leading the necessary change, where local authorities need to orient their policies, services and approaches to meet the expectations of citizens. Appropriate answers require adequate management and, more importantly, continuous monitoring.

Therefore, based on the experiences and in particular the local initiatives on transparency and citizen participation, supported by the Secretariat of the Congress, this tool guide aims to help local authorities in addressing identified challenges, recognising the needs, and developing demand-driven and responsive policies. It provides step-by-step guidance towards the successful assessment of the efficiency of local policies and the effective management of change in local communities.

Bringing on board innovative and creative ways to engage with citizens, including with women, youth and minorities, is a litmus test for democratic governance in the 21st century and this tool guide brings along the contribution of the Congress to that endeavour.

**Andreas Kiefer**

Secretary General
Congress of Local and Regional Authorities

# INTRODUCTION

The objective of this document is to provide support and practical tools to mayors and civil servants to gather relevant data and review local projects and/or initiatives. Prepared with the support of the International Organisation Development Ltd. (IOD PARC), a UK based organisation focused on organisation development and performance assessment, this guide has been developed to assist local authorities in Armenia, Georgia, Moldova and Ukraine implementing local initiatives on ethics, transparency and citizen participation, with a view to its applicability as a tool for measuring change within any other local project or initiative.

The guide is prepared within the thematic programme "Strengthening institutional frameworks for local governance", funded by the European Union and the Council of Europe, and implemented by the Council of Europe, through the Partnership for Good Governance (PGG) 2015-2017 for Armenia, Azerbaijan, Georgia, Moldova, Ukraine and Belarus. It is implemented by the Secretariat of the Congress of Local and Regional Authorities of the Council of Europe (the Congress), in close co-operation with the Directorate General for Democracy.

The purpose of the thematic programme is to support the on-going processes of local government reform and to promote ethical behaviour by local authorities in the respective countries. In particular, it aims to foster a more efficient, transparent and ethical governance at the local level, and increase citizen participation.

The tools covered in this document have been adapted for your use as mayors, councillors, and civil servants. Nevertheless, a few of the tools do require more than a beginner's level of

**A note on how to use this document**

*Please use the tools and suggestions in this document as and when you need them.*

*Perhaps they are useful during project implementation or perhaps you might like to refer to them independently.*

*See this document as a good starting point for how you can listen to the voice of your community.*

understanding. Furthermore, each tool has a different level of effort required to implement it. Table 1 sets out the level of effort[1] (high, medium or low) and skill[2] required (beginners, intermediate, experienced) by tool. It also includes some points for consideration around data quality and ethics. Please refer back to the following Table as you work through the tools.

**The document includes introductory guides to six monitoring and review tools.** The structure of this document presents the six tools as you require them. It begins with those used in baselining:

1) Adapted Community Scorecard;
2) Semi-structured interviews; and,
3) the Knowledge Attitudes and Behaviour (KAB) short survey.

Then the tools to be used, in addition to these, for monitoring and review are set out:

4) Focus Groups;
5) Success Story; and,
6) optional Significant Change Story.

It finishes with a plan for how, should you wish, you can bring together the tools to provide you with a baseline and monitoring system.

*1 Low: 1 month's work from start (design) to end (write up); Medium: 1 to 2 months work start to finish; High: more than 2 months*

*2 Beginner: not used the tool before; Intermediate: have used the tool before; Experienced: have used the tool in several different settings and feel competent in all aspects of design, analysis and write up of data gathered.*

Table 1: Breakdown of effort and skill level by tool

| Tool | Effort | Skill Level | Considerations |
|---|---|---|---|
| **Adapted Community Scorecard** | *Low to Medium*<br><br>Effort level higher if community participates in setting criteria. | *Beginners*<br><br>Must have confidence in holding a public meeting and managing a voting process. | If the community are not involved in setting the criteria, they must at least agree to the criteria being assessed. |
| **Semi-Structured Interviews** | *Medium to High*<br><br>Depends on sample size and detail of notes taken. The analysis of the results is more intensive the larger the number. | *Experienced*<br><br>Conducting an interview well is a skill developed over time. | Think about who is interviewing who. Can the interviewee in all honestly speak freely? Are they in a safe place? As much as is possible ensure that all interviews are held in confidence. This means that all data associated with the interviews must be stored anonymously and unless agreed otherwise, it is not attributed (i.e. person x said y) in any write up. |
| **Focus Groups** | *Medium to High*<br><br>Setting up and running a focus group takes time. The analysis of the results is also more intensive the larger the number. | *Experienced*<br><br>The facilitator needs to ensure that everyone has their say and contributes. It is also important to be able to hold a silence and allow the conversations to develop. | Ensure as far as possible a balanced gender and mix of ages.<br><br>Ask all participants to agree to full confidentiality of what is said during the focus group. |
| **Knowledge, Attitudes and Behaviour Short Survey** | *Medium*<br><br>Effort level is in response to size of sample. | *Beginner to Intermediate*<br><br>The skill is in setting the most useful questions and analysing the responses. | To ensure data quality and ethics when engaging with survey participants, the interviewer must reassure the respondent of the confidentiality of their answers. |
| **Success Story** | *Low*<br><br>Once the story is selected then the majority of the work is done. | *Beginner*<br><br>This requires a competent writer to accurately depict the story | This is one story perhaps of many that the community and municipality like, so the selection of it is more relaxed than the change story tool below.<br><br>It is however important to validate the story being told. For example, did the individual do what they say they did? Verify this. Then also validate the consequences of this. |
| ***Optional* Significant Change Story** | *High*<br><br>To ensure that a significant story is chosen requires community participation in the selection. | *Intermediate to Experienced*<br><br>The writing up of this story is akin to conducting an interview, therefore the skills required are greater than the success story. | Consider who is choosing what is significant. There is a detailed methodology that lies behind this story tool. Here it has been adapted for use, however it is still important to understand that all community members have a say in the selection of the story. |

TOOL 1

# ADAPTED COMMUNITY SCORECARD

**SNAPSHOT**

**By running a community scorecard process, the community are able to participate in rating the services or other important aspects of community life. It provides direct feedback to elected officials who can in turn prioritise Municipal action.**

*It builds community voice, transparency and drives accountability.*

## Introduction

The community score card process is a community based monitoring tool. A tool to ascertain social and public accountability and responsiveness from service providers. It uses the "community" as its unit of analysis, and is focused on monitoring at the local/facility level. It is a strong instrument for empowerment as it brings together the service providers and the beneficiaries. It gathers user's perceptions on quality, efficiency and transparency.

An effective Scorecard undertaking requires the following criteria to be satisfied. In italics we have included our assumptions about how a Scorecard will run for the Programme to meet these criteria.

1. Understanding of the socio-political context of governance and the structure of public finance at a decentralized level. The mayor will help set the questions posed to the community and will ensure that all misunderstandings are dealt with on the day.
2. Technical competence of an intermediary group to facilitate process. It is hoped that the coach will be there to support/facilitate the short process.
3. A strong publicity campaign to ensure maximum participation from the community and other local stakeholders. It is proposed that the scorecard is used at the launch event with the community present.
4. Steps aimed at institutionalising the practice for iterative civic actions. It is expected that the scorecard could then be adapted for use on the municipality website where periodically the mayor could 'take the temperature' of this community, find out what is working well, what not so well and where she/he needs to direct their attention.

The Scorecard approach allows for many different types of activity to be tracked (please see listed below). For the purpose of this Programme, we are focusing in on the final 3 areas under e), f) and g).

a) tracking of inputs or expenditures (e.g. availability of drugs);

b) monitoring of the quality of services/projects;

c) generation of benchmark performance criteria that can be used in resource allocation and budget decisions;

d) comparison of performance across facilities/districts;

e) generating a direct feedback mechanism between providers and users;

f) building local capacity;

g) strengthening citizen voice and community empowerment.

**How to design a Scorecard**

For this programme of work the Scorecard approach has been adapted. It has been shortened to become a mechanism for gaining direct feedback from the whole community on a range of issues. To design the scorecard, there are few relevant options that a mayor or municipal team may wish to consider, which are listed below.

However, before selecting the best option, the mayor and her team may wish to think about how often they will want to use the tool. Will it be something they would like to come back to in a year's time? Might it become a method of long term communication with the community? If the answer to these questions is yes then it might be valuable to spend more time setting criteria which will last. In this way, the mayor and team will have a longitudinal view (ie a picture over time) of community satisfaction with the criteria chosen.

**Option 1** The mayor sets the criteria for the scorecard and asks the community to approve the criteria at the beginning of the rating meeting (with alterations possible to the criteria).

**Option 2** The mayor works with a small group of community representatives to set the criteria. He/She could do this by asking a few short questions on the perceptions of the community around the main topics of interest ie. Health services, schools, ethics, transparency and citizen participation. To get the discussion going he/she could give an example - how good are our municipality staff at sharing what's going on? He/She could then ask the community to agree a full list of criteria to be scored.

**Option 3** Involves congregating the whole community (or as many as possible) to agree the criteria for rating. This is much more labour intensive and a challenging process to manage, however it is the way the tool is traditionally used. The Scorecard is normally used in an outdoor setting/place where all the community can gather round and discuss the topics in focus.

### The scoring process

No matter which option is chosen, the community 'scores' the final list. Please note that no locally elected representatives can take part in the scoring and in general, someone other than a civil servant should run the scoring process[3], for example a local teacher, midwife or doctor. The scoring is captured in terms of % of scores at different ratings (1 to 5). Any remarks are added into the final right column. Please see outline scorecard below.

| Community generated criteria | Score | | | | | Remarks |
|---|---|---|---|---|---|---|
| | 1<br>Very bad | 2<br>Bad | 3<br>OK | 4<br>Good | 5<br>Very good | |
| Availability of Municipal staff | <enter Score %> | | | | | |

To ensure that this is an inclusive process (those who are illiterate can also be involved), the method for scoring is a human face with differing degrees of agreement or disagreement (please see example below). The questions need to be read out loud and also visible in large lettering. This can be done by painting/ writing them on a wall or a sheet. If this is going to be a method for ongoing civic discussion, perhaps a more tailored board can be created that becomes a permanent fixture. So, the criteria remain the same and periodically the community

*[3] It may not be possible to find someone to facilitate the scoring process. If this is the case, then someone from the Municipalitymunicipality can facilitate but all community members must be comfortable with this. Otherwise, there is a high risk of the data being unreliable i.e. the community may say what the Municipalitymunicipality wants to hear.*

comes together to score against them. All of these options work.

Depending on the size of the community it might well be possible to include the majority of the municipality's citizens in the scoring process. If this is not possible, then it is adviseable that a random group of citizens are selected to represent the wider community. If this is the best option then it is important that the same group of individuals are used when doing follow up scorecards to get the before and after picture.

The final decision on what score to give each criteria must be in dialogue with the community. The score is then noted.

| Criteria | Facial Expression | Score |
|---|---|---|
| Very bad | | 1 |
| Bad | | 2 |
| Just OK | | 3 |
| Good | | 4 |
| Very Good | | 5 |

**Lessons learned for success of tool**

This tool and method are very popular in international development where social accountability programmes are being delivered. Some top tips for using the tool are highlighted below with comments in italics.

- An understanding of the local socio-political governance context is essential. *The initiatives/projects/services involved have been designed and are owned by the municipalities. Hopefully this will ensure that the criteria are relevant.*
- A technically competent intermediary to facilitate the process. There is a breadth of capacity across the initiatives. Perhaps where the competence is developing it might be appropriate to invite the coach to support the facilitation process.

- A strong public awareness and information dissemination campaign to ensure effective community participation. It is suggested that the scorecard is used during project launch events or annual gatherings to gain maximum participation.
- Participation/buy-in of the service provider. The scope of the scorecard criteria can be wide. By deciding to undertake a scorecard, the municipality is indirectly committing to follow up with all service providers (healthcare, education and so on).
- Coordinated follow up. It is suggested that if appropriate, the scorecard is also conducted at the end of a project/period of time to see if there are any apparent changes in the satisfaction/dissatisfaction of the community. However, please note that there are many factors involved in a successful outcome for initiatives and it will often not be possible to directly attribute change to the project unless there is a clear results chain (i.e. we took this action, this then happened directly as a results of our input with no other actors or factors involved).

**Challenges**

Finally, the following are important to bear in mind.

- Service providers and policy makers may feel threatened by the Scorecard initiative.

- It is not guaranteed that service providers will be receptive to the problems identified.
- Service providers at local level do not always have the capacity to implement change.
- Risk that the Scorecard process could result in disillusionment if there is no implementation of improvements.

TOOL 2
# SEMI-STRUCTURED INTERVIEWS

**What is a semi-structured interview?**

A semi-structured interview is a qualitative method of inquiry that combines a pre-determined set of open questions (questions that prompt discussion) with the opportunity for the interviewer to explore particular themes or responses further. A semi-structured interview does not limit respondents to a set of pre-determined answers (unlike a structured questionnaire).

Semi-structured interviews are used to understand how interventions work and how they could be improved. It also allows respondents to discuss and raise issues that you may not have considered.

Semi-structured interviews sit halfway between a structured survey and an unstructured conversation. Semi-structured interviews are particularly useful for collecting information on people's ideas, opinions, or experiences. They are often used during needs assessment, program design or evaluation. Semi-structured interviews (or interviews from herein) should not be used to collect numerical information, such as the number of households with a bed net, or the number of farmers using fertiliser. In that case a quantitative survey would be better.

To do interviews properly you need: i) time to dedicate to interviews (transcribing, analysis and write up take time); and, ii) skills to conduct one properly to ensure that the data you have collected is useful and of high quality. Below are some ethical issues you may wish to consider prior to conducting interviews.

**Consider ethical issues:**

Although it might seem like you're just sitting down to have a chat with some stakeholders, an interview is actually a research tool and so you need to consider the ethical implications. You should always ask for informed consent and explain the purpose of the interview and how the information will be used. In some cases the consent could be done verbally, and in other cases you may need to have written consent. So for example, a mayor may only be willing to give opinions on service levels and his/her capability in certain areas if they are assured of the confidentiality of their responses.

You also need to consider who will be doing the interview (including if there is a translator), and whether they are suitable for the topic being discussed. In some cultures it may not be appropriate for men or women to discuss particular topics. It also wouldn't be appropriate to have field staff interview participants about the effectiveness of the activities they run, as the participants may feel pressurised to give positive answers. So, mayors must consider carefully who they want to interview and who is best placed to conduct the interviews.

**Requirements for conducting semi-structured interviews:**

- A pre-prepared and pre-tested question guide, in the local language
- A note book or voice recorder.
- Semi-structured interviews should last no more than an hour.

**How to conduct a semi-structured interview:**

**1) Prepare an interview guide**

By definition, a semi-structured interview needs to have some structure, although that structure should be flexible. This flexible structure is normally provided by an interview guide that lists the key questions for the interview. The interviewer is normally free to add questions or change the order if necessary.

- Write the interview questions in the local language first: If you're a native English speaker, it can be tempting to write the interview questions in English first and then translate them into the local language (either in advance or during the interview). As with survey questions this can lead to a whole range of misunderstandings and confusion that could make your interview results useless. Where possible write the questions in the local language first and then translate them into English or another language if required.
- Include space for demographic information: It's helpful to include some space at the start of the interview guide to record key demographic information about the interviewee. This could include their sex, age, position, location, and their name (unless the interview is confidential). This information will be helpful during the analysis and report writing later on.
- Use open ended questions: The purpose of an interview is to understand people's ideas, opinions

## SEMI-STRUCTURED INTERVIEWS

and experiences. These are best captured using questions that don't have a fixed set of answers, such as "What are your views on X?" or "How do you feel about Y?" If you find yourself writing multiple choice questions then reconsider whether you should actually be doing a survey.

It is important that you phrase questions in a way that gets respondents to provide detailed answers, rather than simple 'Yes' or 'No' answers. For example, if the mayor wanted to gauge the opinion of citizens on a specific project he/she may wish to ask questions like:

- How did you get to find out about this project?
- What is your involvement in this project? What are the strengths and weaknesses of the project?
- How has the project changed the way you live/ your community lives?
- How do you use the new information (or skills) in your day-to-day life?
- What hurdles remain to you being able to take action?
- How would other people benefit from this project?
- Do you think the changes as a result of this project will continue?
- What other types of projects should be implemented to build on this one?

It is good to have a set of questions at hand, but the interviewer also needs to also be prepared to expand or probe on the pre-determined questions as the need arises. This is the essence of qualitative interviews.

**Provide a section for the interviewer's observations and opinions:**

One of the most common problems with semi-structured interviews done by program staff is that the interviewer mixes in their personal opinions when they are taking notes. Sometimes it can be difficult to tell what the real opinion of the interviewee was compared to the interviewer. One of the best ways to prevent this is to provide a separate space at the end of the form where the interviewer can put their own subjective opinions (e.g. "the chief was present so I don't think she gave accurate answers", "I think the reason she said the activity wasn't useful is because lunch wasn't provided").

**Test the guide and train the interviewers:**

It is important to pre-test and pilot a survey questionnaire to make sure your interview guide works in practice. Pre-testing can also be used as an opportunity for training the interviewers. It's usually better to train those using real interviews, rather than just running through the questions together at the office.

**2) Sampling and who to interview**

Interview as many people as necessary to find out what you need to know

One of the most common questions asked about interviews is how big the sample size should be. There is no correct answer to this question because it depends on what you need to know.

One method that is often used is to choose a range of people with different backgrounds and positions (e.g. some poor, some rich, some old, some young, some men, some women, some community members, some community leaders, etc.). Then to keep interviewing people until you're no longer getting any new information.

**3) In the interview:**

- Begin with a welcome and introduction. Make sure that you are clear as to what information you want to obtain. It is important that you are clear as to whom you want to speak to, how you will collect the information (recording, notes etc.) and what will be done with the information. Inform people as to whether the interviews and the content are anonymous or not and whether what they say will directly be attributable to them. If recording the interview, it is important that you gain consent. Depending on your organisation's policies, you may need to obtain written consent.

- If you are using a translator then make sure you rehearse the key questions with them beforehand, as well as any follow-up questions you are likely to ask. They should have a copy of the interview guide written in the local language. When conducting the interview sit in a triangle shape so that all three of you can see each other easily.
- Listen to the answers and ask follow-up questions: When you're conducting an interview, one of the most important skills is to listen to the interviewee's answers closely. You can then use the answers to ask follow-up questions in order to get more useful information.

For example:

**Primary Question:** *"What did you think of ……?"*

**Answer:** *"It was good"*

**Secondary Question:** *"Why was it good? Can you give me some examples/ more detail…?"*

This can be one of the most difficult skills to learn, particularly if the individuals are used to doing fully structured surveys where no creativity is required. It can be useful to include some suggested follow-up questions in the interview guide. The most common follow-up questions should become obvious during the pre-testing.

- Recording answers can be done through taking notes (or audio-recording if available). Taking notes keeps the interviewer involved in the process. Taking notes allows the interviewer to highlight key points to probe further,
- Record key quotes word-for-word: Often the interviewer just takes hand written notes on the interview guide form. However, one of the dangers of this is that the original "voice" of the interviewee will be lost. So even if the interviewer is handwriting notes during the interview, it's still very important to try and write the key quotes word-for-word in the language they were said in.
- Deciding when to end an interview may depend on a number of factors. For example, the interviewer may feel that they have exhausted their questions, and that they are no longer getting new information, or if the respondent seems tired or has other commitments to attend to. A good practice is for the interviewer to summarise the key points that they feel the respondent has provided, as this provides the respondent with a final chance to expand or clarify any points. It is important to finally thank the respondent for their time, and provide them with the interviewer's contact details.

**4) Analysis and making sense of the data:**

Use the results to write contrasting stories or identify common themes: There are two basic ways to analyse and report interview data – you can use it to write stories or to identify common themes.

Use the interviews to identify people who have different ideas about how successful the program was. For example, in a micro-enterprise program find one person whose business was very successful, one who had a moderately successful business, and one whose business failed. Then use the interviews to tell their individual stories, including direct quotes from them.

The alternative method is to have a group of people look at all the interviews to identify the common themes. A common theme is something that is said repeatedly by different interviewees. For example, in a training program many people might have said that the training sessions are too long. This would be a theme. Once you've identified all the themes you can describe them in your report.

**What do you do with the results?**

The findings from multiple interviews are brought together as suggested above in sense making. It is then the responsibility of the lead researcher to decide how to include the data from the interviews in a final report or product. It may be that the themes emerging from the interviews validate data from other enquiry streams (i.e. from the Scorecard or survey). If you are able to find the same theme emerging across multiple streams of data then this tells you the finding is valid!

Once you have brought the interview data together with other findings, you need to conclude your work and make recommendations. This can be done in a formal report or in a shorter reflection note. It is important to disseminate the results of the baseline or the review to your citizens. Ensure beneficiary feedback is a central part of everything you do.

**Optional Sample interview guide for mayor[4]**

Instructions - The purpose of the interview is to establish a baseline in capacity of the municipalities across the whole Regional Programme. In addition, it is the opportunity to hear from you the mayor about your broader priorities in relation to promoting democratic governance that were perhaps not captured on the application form. The interview will last no longer than one hour.

[4] *This sample guide has been included to support the work of the coaches in establishing a baseline for the mayor.*

1. How long have you been a mayor?
2. What priorities have been identified for your Municipality?
3. What are the key issues in your Municipality? And, for whom (i.e. who are the key stakeholders)?
4. What are your proposed solutions?
5. How does the programme of work with Council of Europe fit into this? Prompt if required about: code of ethics, transparent local self-government and citizen participation.
6. What systems do you currently have for financial management? If no formalised system, what processes and procedures are followed? Who has responsibility for these?
7. What systems are currently used for project management? Again, if an informal system, what processes and procedures are followed? Who has responsibility for these?
8. What results would you like to see at the end of the project?
9. Do you have anything else to add?

TOOL 3

# KNOWLEDGE ATTITUDES AND BEHAVIOUR SHORT SURVEY

**What is a KAB survey?**

A KAB is a standardised test of people's knowledge, attitudes and behaviours concerning the basics (in this instance) of local self-governance. It can look at a definitive list of themes or perspectives e.g. transparency in local self-government, citizen participation and ethics to understand democratic governance. It is important to know what the beliefs and usual practices of the beneficiaries are so that interventions can tackle problems in an acceptable and sustainable way.

The main objective of a KAB survey is:

To quantify the typical behaviour of the target population, and what informs that behaviour, in relation to certain indicators.

Main outcomes of the survey are to:

- Find out the knowledge and some of the usual practices of people in the area of intervention in relation to specific topics (in example given below the topics are: transparency in local self-governance, ethics and citizen participation).
- Establish a baseline from which in the future, the situation will be compared to assess behaviour change over time, and so the long-term impact of the programme.

**SNAPSHOT**

**Once a municipality is aware of the knowledge and attitudes held in a community it can begin to work with citizens to achieve the desired change.**

*It builds community voice, transparency and drives accountability.*

**How is it designed?**

The person designing the short survey needs to know well the topics under analysis. This means that he/she is able to construct questions or statements that accurately reflect points of law, commonly held beliefs and perhaps is aware of current levels of behaviour with regards to certain topics. Such a person can ably develop an initial list of themes/statements under each heading. This list then needs to be reviewed by the municipality. The first review is to check that all necessary topics are on the list.

Once the list has the correct topics covered, the survey designer then goes away and develops the statements or questions against which the respondent will state True/False for knowledge or use the Likert scale (judge the level of agreement with a statement by scoring it between 1 and 5) for attitudes and behaviour. Then the second review happens with the municipality. During this review the survey is piloted with 2 to 3 people to ensure: consistency of understanding of the statements and verification that the true/false statements are accurate. Indeed, it is wise to ensure that,

- There is no bias in the questions and no “leading questions”;
- Where possible, questions should speak to a strategic priority of the municipality;
- The answers should provide a meaningful insight; and
- Questions should avoid any obvious attempts at self-promotion.

From this, a two-page telephone questionnaire script is developed that contains the set of true/false items testing respondents’ knowledge of a topic e.g. democratic governance, a set of Likert-type items running from 'strongly disagree' (=1) through 'are unsure' (=3) to 'strongly agree' (=5) concerning respondents' attitudes, and a set of true/false items concerning respondents' behaviours. Following these items there was a set of standard demographic questions concerning gender, age and so on.

The survey is then rolled out to a random[5] sample of households who are phoned to gather their responses to the statements.

**How is it implemented? Sample size?**

The KAB could be implemented in several different ways depending on sample size and availability of staff to administer the survey. The administration of a large survey is outside the scope of most Municipal work. Therefore it is suggested that the mayor together with his/her team decides the maximum time that can be spent on the survey, how many people can work on it versus the need / benefit that could be derived from the information.

If there is a smaller sample size and the municipality can dedicate a small team to phoning households to gather responses then this is ideal. If however the sample size is larger, then the municipality may wish to administer an online survey. Survey tools such as Fluid Surveys are easy to use and set up. This of course assumes internet access and an email address for each recipient.

[5] *Random means that*
- *Each household is selected by chance*
- *Each household has an equal chance of being selected*
- *We do not 'choose' households (e.g. because they are easier to reach)*

The following timeframes could be used as a rough guide:

- Design survey: 2 days
- Set up online survey: 2 days
- Train people to manage online survey or train people to conduct telephone survey: 1 day
- Agree online survey respondent list or agree telephone survey respondent list: 2 days
- Conduct survey (includes follow up, ensuring good enough sample) online: 1 to 2 weeks
- Clean data (check that all responses are valid): 1 day
- Enter data into spreadsheet (telephone survey only): 3+ days (depends greatly on sample size)
- Analyse data: 1 week
- Write up results: 1 week
- Disseminate results: as required.

If the administration of the survey is problematic, then the municipality may wish to share the survey on its newly launched website. For short periods a team could open up the survey on the website, promote the survey and ask households to respond. The survey would close and then a subsequent later survey would be held when the municipality would be able to see if anything had changed.

**Managing the sample: who responds and when?**

The household as a unit can be a single person, a married couple, a young family, an elderly person living alone or many other combinations. The survey will capture the respondents age and gender. However, the person managing the overall survey process needs to actively address generating responses from all segments of the local population as well as seeking responses from men and women. Indeed, the survey manager in country may need to think carefully about when they call the household as this may directly affect who is at home to answer. At other times, there might be a choice of household member and in this instance the survey could be directed to female occupants if the general response trend has been male.

Please be careful about when you launch the survey. If it is after a significant community event this may generate bias in the sample responses. It is important that this survey is done as much as possible away from municipality events to allow the sample to contain as little bias as possible and be as true a representation at this point in time of the existing KAB.

**Storage and Analysis of results**

All data collected from the survey needs to be stored in one central spreadsheet or word document. If possible and there is a reliable internet connection, the survey can be created on Fluid Survey and the results entered by the interviewer as the survey is taken. The responses need to be held in confidence (with each respondent being referred to by number and not name). The results of this survey are then shared with the mayor and research team for analysis.

**What could you find out?**

Using the primary data generated from this exercise and the somewhat crude tests for measuring levels of knowledge, attitudes and behaviours, it is possible to show many different conclusions. For example, it would be possible to look at whether different age groups and gender have attitudes favourable to the topic in question and whether gender is relatively more influential than age. It will also be possible to sum or count up how many people of which gender and age hold the same attitudes. It will be possible to look at the proportion of your community sample that behaves in a certain way.

Other differences of interest to explore may be: (1) is gender more influential than youth in your sample? For example, were girls somewhat more disposed towards certain attitudes, while favourable attitudes were most influential for the adult samples; and (2) are attitudes as influential as knowledge in one age group compared to another? For example, could attitudes to citizen participation be as influential as knowledge in the youth sample, whereas for the adult sample, attitudes were vastly more influential than knowledge/education.

Before sharing any of the findings, please make sure that you set the results in the context of your municipality's reform programme. This exercise is to build citizen participation and transparency. It is equally important that the service providers and locally elected representatives are able to respond to the issues raised.

# KNOWLEDGE ATTITUDES AND BEHAVIOUR SHORT SURVEY

**What will the results be used for?**

- To gather information that reflects what communities have learnt and how they have changed over the time
- To tailor initiatives and reforms to target specific gaps.
- To gather baseline data at the start of a long-term intervention.

**Knowledge, Attitudes and Behaviour Sample Survey Guide**

**Instructions**

Thank you for agreeing to take part in this Knowledge Attitudes and Behaviour short survey.

The purpose of this survey is to generate a baseline against topics such as ethics, citizen participation and transparency in local self-governance in your municipality. We are contacting <insert number> households to gather primary data which can then form the body of evidence from which the project/ municipality reform programme is monitored. Your participation is greatly appreciated.

All responses that you provide are anonymous (we assign you a number and do not refer to your name) and will be held in a central database which is password protected and only accessible to the survey manager. The short survey should take no longer than 10 minutes to complete. I will now ask you 3 questions on knowledge which are either true or false.

***Questions***

**On Knowledge**

1. Citizen participation is a mandatory requirement in law (True/False)
2. The mayor is responsible for ensuring all financial accounting meets recognised benchmarks. (True/False)
3. I know what the impact of the most recent decisions taken by the mayor will be on me and my family. (True/False)

*I will now ask you a set of questions on attitudes. The responses to these are based on the extent to which you agree with the statement. Please select a number between 1 – strongly disagree to 5 strongly agree.*

**On Attitudes**

1. Taking an active role in my municipality helps promote local democracy 'strongly disagree' (=1) through 'are unsure' (=3) to 'strongly agree' (=5)
2. It is important to participate in local decision making processes 'strongly disagree' (=1) through 'are unsure' (=3) to 'strongly agree' (=5)
3. There is no point getting involved in local politics because I trust my local authorities 'strongly disagree' (=1) through 'are unsure' (=3) to 'strongly agree' (=5)
4. I have confidence in my locally elected representatives 'strongly disagree' (=1) through 'are unsure' (=3) to

'strongly agree' (=5)

5. It is ok for my locally elected representatives to accept gifts from citizens for a job well done 'strongly disagree' (=1) through 'are unsure' (=3) to 'strongly agree' (=5)
6. Our local self-government is efficient, transparent and accountable - 'strongly disagree' (=1) through 'are unsure' (=3) to 'strongly agree' (=5)
7. Our mayor's work is of good quality - 'strongly disagree' (=1) through 'are unsure' (=3) to 'strongly agree' (=5)

**On Behaviours**

1. I exercise my right to be part of local decision making processes (True/False)
2. I am interested in reading more about my municipality online (True/False)
3. During my weekly activities in town, I try to find out about what my mayor is doing (True/False)

*Finally, I will ask you a few questions so that we can know more about the sample we are collecting.*

*Male / Female* *Age group:* *15 – 34* *35 – 54* *55 plus*

TOOL 4

# FOCUS GROUPS

### What are focus groups?

A focus group is where a group of people (from around 4 to 12) are asked questions about their experiences and opinions on particular topics. Focus groups provide valuable qualitative information on the strengths and weaknesses of a project, based on the viewpoint of the participants (or other stakeholders). As such, the process can provide some valuable learning to evaluate, to improve further phases of a program, or to design a new program or vision for future initiatives.

Focus groups are led by a facilitator and a semi-structured interview process to prompt discussion amongst a group of people. The facilitator or other participants can pursue ideas generated by the group. The facilitator can draw out motivations, feelings, and values behind verbalisations through skilful probing and restating responses. Participants stimulate each other in an exchange of ideas that may not emerge in individual interviews or surveys.

Focus groups should not be confused with community meetings, group discussions with leaders or government officials, or informal brainstorming as they must be designed, structured and moderated. The responses generated from focus groups cannot be added up and used as quantitative data.

The group can be representative of the beneficiaries or an intervention, or they may represent subsets of the beneficiaries if you are looking to identify how different groups have experienced a certain intervention (for example in a school lighting intervention, focus groups could be conducted with teachers, parents or pupils, or a combination).

**SNAPSHOT**

**Focus groups are a great way to understand what a community thinks of a particular issue. It provides insight into the motivations behind certain behaviours.**

*It is a useful method for learning and a great way to stimulate insightful conversations.*

# FOCUS GROUPS

The strength of Focus groups relies on allowing the participants to agree or disagree with each other so that it provides an insight into how a group thinks about an issue, about the range of opinion and ideas, and the inconsistencies and variation that exists in a particular community in terms of beliefs and their experiences and practices.

**Advantages of using focus groups:**

- Provides valuable information to explore the impact a project/particular topic has had on a community.
- Provides valuable information on the context of participants and stakeholders who were the recipients of services or engaged in a project.
- Focus groups can be used as an effective tool for getting the views of people who might not participate in larger meetings (i.e. women, children etc.). The outputs from focus group meetings can be presented to larger group meetings, giving a “voice” to those in the community who are unable to speak up in a larger meeting.

**Requirements for conducting focus groups:**

- A facilitator to lead the discussion, prompt participants and to ensure everyone can participate. A pre-prepared guide of the topics you wish the focus group to cover.
- Around 90 minutes should be sufficient for most focus groups. Someone to take notes of what is discussed in the session.

**How to conduct a focus group:**

1) Developing Questions for your focus group:

- Think about the questions for your discussion guide. An important step in preparing for the focus group interview is the development of a set of questions which encourage participants to respond and solicit the information needed from the group.
- Good questions sound conversational and natural. They are usually short, open-ended, and one-dimensional (they ask only one question at a time). What is it you want to know? Are the questions the same for everyone? How can the questions be adapted to different groups?

For example, there are five general types of questions used in focus group interviews:

- Opening questions are used to get people talking and feeling comfortable. They should be easy to answer, but should not emphasise differences among group members. *Example: Tell us your name and how long you have been living in the municipality*
- Introductory questions are used to get the group to start thinking about the topic at hand. They help focus the conversation. *Example: When did you become aware of the role of locally elected representatives? Have you ever been involved with*

*the municipality?*

- Transition questions provide a link between the introductory questions and the key questions. They typically ask participants to go into more depth than introductory questions. *Example: Think back to when you first became aware of the role of the mayor, what were your first expectations of him/her? Why?*
- Key questions focus on the major areas of concern. The majority of the time is devoted to discussions of these questions. Please see later in this section for more specific examples. In general, one could ask: *What is the role of your local municipality? Have you seen any changes in services (good or bad) that you would like to talk about here?*
- Ending questions bring the session to closure. *Example: Is there anything we should have talked about, but didn't?*

The specific order in which the questions are asked is called the questioning route. A good questioning route has an easy beginning, flows logically and naturally from one question to another, and moves from the general to the specific. It is important to estimate the time required to exhaust the discussion on each question. These time estimates can be used to help manage the focus group discussion.

2) Consider the composition of your planned focus group: Who are the key stakeholders? Who is it you need to hear from? How many groups will you need and how is it best to divide these groups? For example, For example, is it best to conduct focus groups with different sections of the community separately (i.e. pupils, teachers, parents, local authorities)?

Be aware of the context, protocols and dynamics of the group/community, and the importance of allowing everyone an opportunity to participate. Consider that there may be factions of a community (women for example) who are unable or unwilling to speak up. Separate meetings with these people can be held, and their perspectives as a whole brought back to the larger meetings. Are women likely to participate in the focus groups if there are men present? Is it more appropriate to have single sex groups?

3) Arrange a convenient time and place for the focus group. Remember that people have different time constraints, e.g. women may not be available to attend at the same time as men or that there might be times of the year when large numbers of the community are busy.

4) Ensure the group is sat in a circle or horseshoe shape so that they can see each other and interact during the focus group.

5) Start the focus group with a general welcome and be clear about the purpose of the focus group and the kind of topics you would like to discuss. It might be helpful to use an icebreaker as a way of getting everyone talking. Set some 'ground rules' for the focus group discussion, such as listening to other people, respecting everyone's opinion, and not having one person dominate the conversation.

6) A crucial element of successful focus groups is effective facilitation. As a facilitator:

- You must ensure even participation, careful wording of the key questions, maintain a neutral attitude and appearance, and summarise the session to reflect the opinions evenly and fairly.
- Effective facilitation requires preparation, mental discipline and skill in facilitating group interaction. But first and foremost, facilitators must believe that all participants have something to contribute

to the discussion, regardless of their education levels, experiences, or backgrounds. Facilitators must listen attentively with sensitivity and try to understand the perspective of each participant. Lack of respect or interest is quickly transmitted to participants and results in reduced participation.

- Be sure to look at participants when they are talking and demonstrate active listening techniques (nodding, eye contact) with empathy and positive regard for participants.
- Refrain from expressing personal views; you are there to gather the views and experiences of the participants and your own perceptions and opinions on the intervention should not be part of the discussion or influence it.
- Be aware that it is easy for focus groups to go 'off topic' and that it is your role as facilitator to guide the discussion so as to get the information and evidence needed.
- The community or group may put the facilitator in a position of "expert" and expect them to carry the whole meeting. Develop methods that foster participation.
- Do not ask leading questions or assume you know in advance what results might come from the focus group discussion. Prompt and facilitate discussion but do not put words in people's mouths.

- An important technique for facilitating focus groups is the pause and the probe.

The pause is simply a period of silence after the question is asked. Although a five-second pause may seem awkward to the inexperienced moderator, it is usually successful in encouraging a response from the group. There is usually some group member who is willing to break the silence. The probe is simply a question or statement which encourages group members to add to or elaborate on something which was said. Here are some examples of probes.

  - Would you explain further?
  - Would you give me an example of what you mean?
  - Would you say more?
  - Can you please clarify?
  - Is there anything else?

- You must have enough authority to keep the meeting on track, but enough sensitivity to include as many people in the discussions as possible.
- Ask participants to reflect on what they are telling you, for example, when highlighting changes they have observed in their community "Was this a positive or negative change?", "Do you think this change will continue?"

- In your summary at the end of the session, sum –up in general terms what has been said, e.g.: "We have discussed the changes in local services today and the impact they have had on people's lives people. We have discussed changes in (health/ incomes/time-use etc.) and in general, people are…."
- A detailed report should be prepared after the session is finished. Any observations during the session should be noted and included in the report.

7) Data Analysis and Write Up:

Data analysis consists of examining, categorising, tabulating or otherwise recombining the "evidence" collected during the focus group to address the initial propositions of the study. The purpose of the study drives the analysis. The sources of information that are used in the analysis are the note takers notes or the facilitator's notes and memory.

The Analysis of focus group data normally involves three steps: indexing, management, and interpretation. However, for those new to the technique, it is recommended that the analysis is simplified.

It is recommended that the notes from the Focus Group are read and reread until it is clear that certain messages are coming out from the data. These messages would be called emerging themes. Write up these emerging themes. Next the reader should look for contradictions in the text. So does one group of participants state there has been a change where another denies it? If so, then it is important to accurately reflect this. Note down all the points of difference/contradiction. Now look at who said what. Are there any similarities within groups? So, do the youth have a unified voice on a topic? Is this also reflected in what the elderly feel or perhaps the women across the groups? Once you have written up these findings, call this your first draft.

Now start to reread your draft. Do you see any further similarities or differences in what has been said? What are your headline findings – so the ones that stand out most strongly? Set these out at the beginning of the second draft. Then as much as is possible, write up the findings in order of importance. This is your final draft.

To quality assure your report; please ensure that no individual can be identified in the text. If they can, then please alter the text or consider deleting the passage. Share the report with a colleague or the mayor. Ask them to read it and make sure it makes sense. Then make your final changes.

The final written report of the study is often then discussed with key stakeholders. In the summary of the findings, data is frequently organized around the initial questions which were answered by the focus group study. It is typical to discuss several key themes which emerged for each question.

**Focus Group Guide Example**

Today we are undertaking a Focus group to look at the topic of local self-governance. Thank you for taking part. This group will last for 1.5 hours. My role is to facilitate this group, this means <please enter your understanding here>. There are some ground rules which are important to discuss before we begin <set these in here>. Are there any questions?

Thank you, now we will begin the group discussion.

*<insert here your opener questions, your simpler questions>*

Now we will move onto the specific questions of interest today.

1) The initiative in your community has focused on <enter subject here e.g. code of ethics>. What is your understanding as a group about this topic?

2) Is there a need in your community to tackle this?

3) Has the project contributed to any changes in your life over the last 6 months? Do you think it might?

4) If there are no differences or changes, are you aware of any challenges or factors hindering progress?

5) What would you recommend to the mayor as a way forward or as a follow up to this project?

6) Is there anything else you would like to add?

TOOL 5

# SUCCESS STORY TOOL

**What is a success story?**

A success story brings to life something that the project team is particularly proud of. It is one story that encapsulates the focus and meaning of the project and hopefully also the desired change.

**How will I use it?**

Over the course of the project, the mayor and the municipality team involved in the delivery of the initiative may come across great examples of change that they wish to share for learning purposes.

## SNAPSHOT

**A quick and effective way of generating learning.**

*Easy to share and create, this product can be shared orally (in workshops) or published online for general consumption.*

# SUCCESS STORY TOOL

**Together the team will write up the story in the template below.**

| |
|---|
| **Thematic or Subject Area** |
| <enter text> |
| **Background Information** |
| <enter text> |
| **Situation Before:** |
| **Use photos – what was happening – focus on outcome level thinking** |
| **Situation Now:**<br><br>***Include quotes and include pictures*** |
| **What happened to change it?** |
| <enter text> |

| | | | |
|---|---|---|---|
| **Analysis** | | | |
| <enter text> | | | |
| **Lessons Learnt :** | | | |
| | | | |
| **Next steps:** | | | |
| | | | |
| **Who is this learning relevant or useful for?** | | | |
| | | | |
| **How do you plan to share this? Are there any additional learning products?** | | | |
| | | | |
| **Title:** | | | |
| | | | |
| **Basic information:** | | | |
| **Author(s):** | **Country** | **Grant Number(s):** | **Date:** |

TOOL 6

# OPTIONAL SIGNIFICANT CHANGE STORY TEMPLATE

**What is a Significant Change Story?**

Significant change stories are an adapted and shortened version of the Most Significant Change methodology[6] (MSC). This qualitative method is a means of discerning the most important change that occurred during the lifetime of a project/ programme. The process involved in MSC is highly participatory and takes place over a longer timeframe than the CoE initiatives have open to them.

This tool is appropriate for use if there has been a significant event in the community over the course of the 6 months that the municipality feel is important to capture.

If a story of impact comes to light then it is recommended that the municipality meets and discusses this story, its merits for inclusion and agree whether or not to take it forward into the write up phase.

If the story is taken forward then the individual (beneficiary) involved would be interviewed by a person independent of the Municipality. Alternatively, the template could also be used as a prompt to collect audio or video recording of the story.

**SNAPSHOT**

**A powerful tool that builds community knowledge, changes behaviour and can increase participation from previously silent citizens.**

*This tool tells management what is important and significant to the community.*

[6] *www.mande.co.uk/docs/MSCGuide.pdf please see this link for the guide to MSC.*

# OPTIONAL SIGNIFICANT CHANGE STORY TEMPLATE

**Template**

Name (optional) or first name only: Male / Female

Age group: 15 – 34 35 – 54 55 plus

Domain, please select from the following by circling:

Citizen Participation Ethics

Transparency All

**TITLE OF STORY (can be completed after story telling session)**

1. Tell me how you (the storyteller) first became involved with this project and what your involvement in the project was:
2. From your point of view, describe a story that best describes the most significant change that has resulted from your involvement in this project:
3. Why was this story significant for you?
4. What have been the challenges/opportunities as a result of this project?
5. What worked/ did not work well?
6. What have you learnt?

# BASELINE AND MONITORING PLAN

**Below is the plan for how these would come together as part of a baseline and review plan for a Regional Programme. The team is responsible for gathering data, analysing this data and writing it up. Outputs of the process are suggested.**

| Task | Deadline | Effort | Which tool and when? *Given in priority order* | Responsibility for collecting data and analysis | Output |
|---|---|---|---|---|---|
| Base-line | Within 2 months of starting | Medium | 1. Adapted Community Scorecard at launch event<br>2. Semi-Structured interview with Mayor Knowledge Attitudes and Behaviour house-hold short survey I | 1. municipality runs shortened scorecard exercise based on their priorities. mu-nicipality writes up and disseminates results.<br>2. Interviewer writes up interview tran-script and shares with mayor.<br>3. municipality conducts analysis of survey results and shares report with other interested stakeholders. | **Baseline report** consisting of short note on results of scorecard exercise and KAB survey |
| Review | In final month | High | 1. Knowledge Attitudes and Behaviour house-hold short survey II<br>2. Focus Groups (2 per municipality) that dis-cuss issues raised during Scorecard and any changes during lifetime of project<br>3. Success Story written per initiative and deliv-ered at Regional Peer Learning Event<br>4. Semi-structured inter-view with mayor<br>5. *Optional* Significant Change Story Tool | 1. Municipality conducts second survey, analyses survey results and writes report.<br>2. municipality conducts focus groups and reflects on issues raised during initial scorecard exercise and what changes have ensued.<br>3. mayor convenes a sample of bene-ficiaries or members of municipality to discuss and choose a success story that sums up the project. mayor writes up story<br>4. Follow up interview with mayor to monitor changes.<br>5. If there is a significant change, then this is recorded by an independent person. | **6 month review narrative report** that includes reflection on: i) results of second KAB survey (what has changed in 6 months); ii) how issues of CSC have been picked up and analysed in FGs; iii) points of general interest from mayor's inter-view; and, iv) the success story. |

# NOTES

# NOTES

The objective of this document is to provide support and practical tools to mayors, councillors, and civil servants to gather relevant data and review local projects and/or initiatives. The document includes introductory guides to six monitoring and review tools.

The guide is prepared within the thematic programme "Strengthening institutional frameworks for local governance", funded by the European Union and the Council of Europe, and implemented by the Council of Europe, through the Partnership for Good Governance (PGG) 2015-2017 for Armenia, Azerbaijan, Georgia, Moldova, Ukraine and Belarus.

ENG

The European Union is a unique economic and political partnership between 28 democratic European countries. Its aims are peace, prosperity and freedom for its 500 million citizens – in a fairer, safer world. To make things happen, EU countries set up bodies to run the EU and adopt its legislation. The main ones are the European Parliament (representing the people of Europe), the Council of the European Union (representing national governments) and the European Cmmission (representing the common EU interest).

**http://europa.eu**

The Council of Europe is the continent's leading human rights organisation. It comprises 47 member states, 28 of which are members of the European Union. The Congress of Local and Regional Authorities is an institution of the Council of Europe, responsible for strengthening local and regional democracy in its 47 member states. Composed of two chambers – the Chamber of Local Authorities and the Chamber of Regions – and three committees, it brings together 648 elected officials representing more than 200 000 local and regional authorities.

**http://www.coe.int/congress**

EUROPEAN UNION

The Congress
Le Congrès

COUNCIL OF EUROPE
CONSEIL DE L'EUROPE