PROBLEM SOLVING:

Guidebook for ADB-Assisted Projects

ASIAN DEVELOPMENT BANK

ADB

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Acknowledgement

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List of Key Approaches

Abbreviations

ADB	Asian Development Bank
CAREC	Central Asia Regional Economic Cooperation
CBO	community-based organization
DMS	detailed measurement survey
FGD	focus group discussion
M&E	monitoring and evaluation
MSC	most significant change
NGO	nongovernment organization
OSPF	Office of the Special Project Facilitator
RACI	responsible, accountable, consult, inform
SMART	specific, measurable, attainable, realistic, time-bound
SPF	Special Project Facilitator

Terms and Definitions

ADB-Assisted projects - A project financed or to be financed, or administered, by ADB, covering both sovereign and nonsovereign operations

Cause – The producer of an effect, result or consequence

Complaint - The expression of dissatisfaction from stakeholders

Effect - A change that is a result or consequence of an action or other cause

Issue - Smaller, less threatening and require minimal effort to find resolution

Operations staff - Any staff that handles the formulation, processing, or implementation of an ADB-Assisted project

Parties – Entities that have agreed to participate in the problem-solving process

Problem - A discrepancy between what is and what ought to be. In general, a material problem is a state wherein important stakeholders are dissatisfied, because they believe that the situation or reason for dissatisfaction can be improved

Project-affected people – Project-affected communities who believe they are or could be harmed by the environmental or social (including human and labor rights) effects of a Project

Root cause - A root cause is the deepest cause in a chain of causes of the problem that can be resolved.

Solution - A means of solving a problem or dealing with a difficult situation

Stakeholders - Individuals, groups, and institutions that may be affected by or have an effect on a project.

Introduction

About the Problem Solving Guidebook

Project managers often face problems with projects. By building problem solving and problem collaboration into projects, managers can ensure that problems are dealt with promptly. The goal is to identify problems early before they have an impact on the project. It is far easier to deal with a problem before it becomes a crisis.

This Guidebook is a product of the Asian Development Bank (ADB) Accountability Mechanism's Office of the Special Project Facilitator (OSPF). Built on the experiences and lessons of OSPF's problem solving with ADB-Assisted projects, it spells out a practical approach to solving problems encountered in projects. The value of the OSPF approach to problem solving is recognized in resolving community development problems, in facilitating improved relations within teams and stakeholders, and in putting together difficult agreements.

This Guidebook draws on existing literature and current practice from various organizations and includes references and links to useful web resources.

Operations department have the initial responsibility for responding to the concerns of affected people. The operations departments will also continue to improve their problem prevention and problem solving capabilities. OSPF's role is to resolve complaints only when the operations department has not adequately dealt with them.

OSPF also provides generic support and advice to operations departments in their problem prevention and problem solving activities, but not for specific cases under problem solving by the operation departments.

Scope of the Guidebook

OSPF has developed a lot of reference materials and case studies on problem solving, these materials focus more on procedures used internally by OSPF. This Guidebook offers more tools and techniques.

This Guidebook is a reference document structured using a problem solving approach and supplemented with tools and techniques that can be used to effectively implement a problem solving process. While suggestive in most places, it is not a policy document, and its contents are not mandatory for operations staff to use.

Who Can Use It

This Guidebook will benefit people and teams involved in various stages of the ADB project cycle. The primary target audience is ADB staff, followed by their stakeholders such as implementing or executing agencies and local nongovernment organizations (NGOs) working with communities that are influenced by development projects. In addition, it can serve as an informative document for consultants involved in project design and implementation.

The ADB Accountability Mechanism is dedicated to improving its efforts toward grievance redress and collaborative problem solving on projects. Specifically designed for addressing and resolving problems, OSPF is responsible for the problem solving function of ADB's Accountability Mechanism. Through OSPF, people who believe they have been adversely affected by an ADB-Assisted project can voice their needs and concerns and seek solutions to their problems. OSPF responds to problems of locally affected people in ADB-Assisted projects through a range of informal, flexible, and consensus-based methods.

How to Use It

To be able to make best use of this Guidebook, it helps to understand its structure, key elements, and the ensuing content.

- The Guidebook is structured based on a problem solving methodology uniquely constructed with the ADB project environment in mind.
- The methodology consists of multiple phases broken down into activities starting from identifying and articulating a problem to reporting on the impact of the solution.
- Each activity is supplemented by information such as key tools and related templates.
- There are case examples that reflect practical applications of the tools and templates.
- In addition, certain key approaches that are common and applicable across the problem solving process have been interspersed in the Guidebook.

Training will be offered to staff to ensure common understanding of the content and how to put it to best use. Figure 1 below depicts the flow of information and different sections in the Guidebook.

Figure 1: Guidebook Information Flow
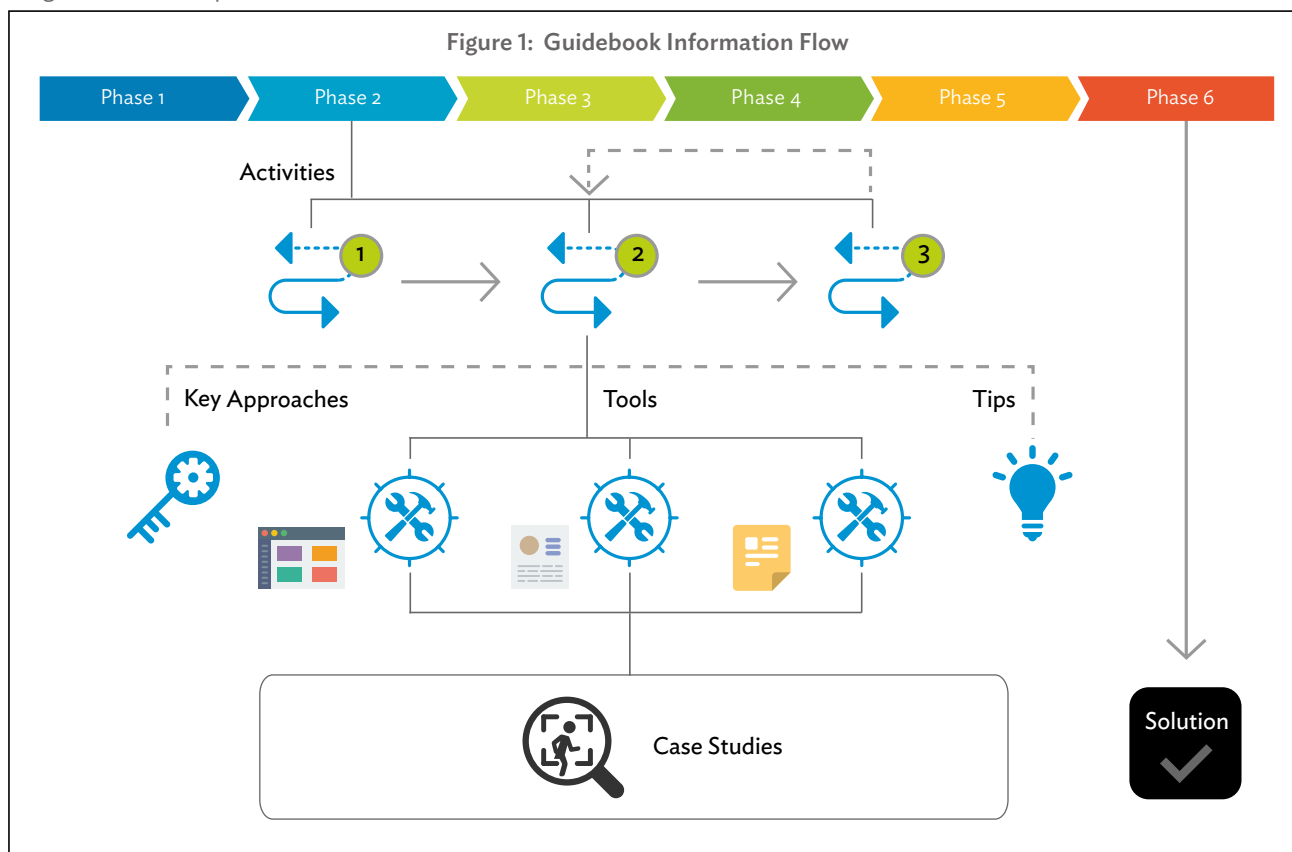
This Guidebook will serve as:

1. A reference material when one is at any stage of solving a problem; and
2. A refresher on a range of data collection and problem solving tools and resources that can be applied for one's own use or to share with key stakeholders involved in project implementation for their effective use.

The tools listed here have been selected and articulated to serve as a means to the end you are pursuing—an optimized solution to the problem at hand. Given that most problem solving requires flexibility, it is important to note that the use of tools and techniques or phases in the process will vary depending on the actual situation you may face in your projects.

To navigate through the information, several graphical elements have been incorporated. The information here has also been packaged into an interactive Guidebook.

Projects and Problems

ADB Project Cycle

ADB provides financing for projects to assist its developing member countries in reducing poverty. In doing so, it follows the ADB project cycle, which consists of various stages from country programming to project completion and evaluation (ADB, 2015). Figure 2 shows the ADB project cycle.

Prepare project completion report to document the implementation experience.

Study the entire results chain from inputs to outputs.

Create partnership agreement for medium-term development plan for the country.

Execute project guided by the agreed-upon schedule and procedures.

Prepare feasible projects for the country.

Draft loan agreement and project proposal and get feedback.

Figure 2: ADB Project Cycle

Along the different stages of the project, unexpected problems may occur. When problems arise, one should be prepared to deal with them—or the problems will affect the project's outcome. This means that a problem solving process should be in place before starting a project—to make sure the project stays on schedule, and meets its objectives.

Several problems, if unresolved, can create unnecessary conflicts, delays, or even failure in the project deliverables. Given there are many factors that cannot be controlled during project design and/or implementation, the problem solving approach and related tools in this Guidebook can be useful in addressing problems early and appropriately.

Nature of Problems in Projects

The subjects and frequency of problems in projects received and registered by OSPF from 2004 are listed below (ADB, 2015) as of 31 July 2015:

Table 1: Subjects and Frequency of Problems in ADB Projects

Subject of Complaints	Number of Times Raised	Share of Total (%)
Resettlement, compensation, and land acquisition	43	35.2
Information	22	18.0
Consultation and participation	18	14.8
Agriculture, natural resources, and environment	15	12.3
Village infrastructure	11	9.0
Community and social issues	7	5.7
Livelihood	2	1.6
Others	4	3.3
Total	**122**	**100**

Descriptions of the aforementioned subjects are as follows:

1. Resettlement, land acquisition, and compensation: The processes undertaken for resettlement and land acquisition are done with little information shared among affected people. They also include inadequate information on calculation of compensation.
2. Information: Information about project design and implementation and about schedules of construction may be lacking. Or information may be available but it is not presented in local languages or in appropriate forms.
3. Consultation and participation: Lack of or inadequate public consultation with project beneficiaries and affected people throughout the project cycle and/or lack of participation of communities in the decision making process for the project may be source of problems.
4. Agriculture, natural resources, and environment: There may be disruption of agricultural production and activities due to the damage to agriculture structures, poor design of facilities (drainage and piping), and/or inadequate social and environmental due diligence done for the projects.
5. Village infrastructure: Problems may arise concerning the design and decision making about choice of village infrastructure (including school reconstruction, bus stops, road alignment, underpasses for agricultural machinery, cattle passes, and distributary links).
6. Community and social problems: Health and safety may be at risk because of a project, lack of attention paid to indigenous people.
7. Livelihood: Disruption and loss of livelihood because of a project (infrastructure) may be caused by resettlement.
8. Others: Problems on high electricity rates, power sector reform, procurement, and/or contracting problems.

Introduction to Problem Solving and Decision Making

Standardizing the Approach — RESOLVE

A logical thought process and structured approach guides professionals through the analysis of a problem and helps them make important decisions from various options. To bring focus and incorporate the best practices from the existing problem solving approach followed by OSPF, the RESOLVE framework has been articulated. The phases are shown in Figure 3.

Figure 3: The RESOLVE Approach to Solving Problems

Review & Expound > **Solicit** > **Observe** > **anaLyze options** > **improVe** > **Evaluate**
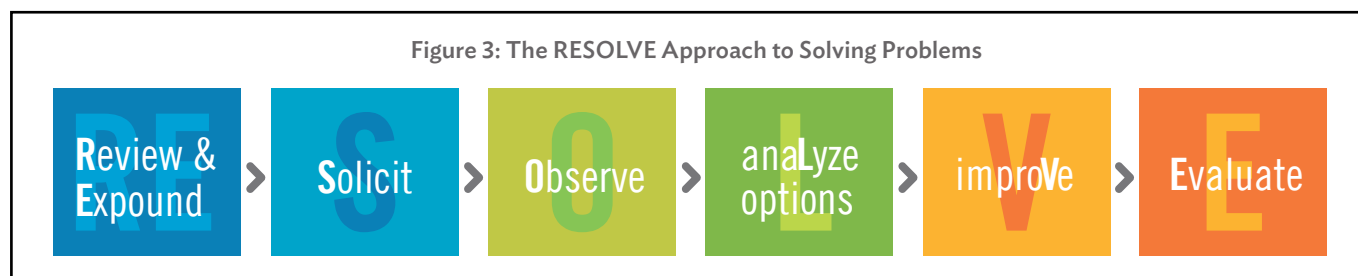
Key Aspects and Attributes

Review and Expound
The first phase of RESOLVE includes qualifying and framing the problem. It involves reviewing and expounding on the issue-at-hand to map out the key elements—such as stakeholders, timeline, impact, and risks in the early stages—albeit in preliminary form.

Solicit
The second phase involves gathering data from the field to build on the initial understanding of the problem and refine the problem statement. Given the nature of the project and its context, it involves significant liaison with various stakeholders.

Observe
This phase entails verification of the facts and data collected from the field as well as through observation to assess the risks associated with the problem and their potential root causes.

Analyze Options

A critical phase moving from problem analysis to decision making, analyzing options requires identifying, generating, and analyzing solution ideas that can appropriately address the root causes of the problem. This phase culminates with making the best decision after appropriate analysis of the generated options.

Improve

The quality of any solution is a function of the decision as well as the success of implementation. This makes critical the actual process leading up to the implementation of the solution including action planning, resource allocation, and communication to the stakeholders.

Evaluate

The objective of this phase is to continuously monitor the implementation and evaluate the outcomes—to ensure that the objectives set out are achieved.

Table 2: Phase vs. Tools Matrix

••• Phase	⚬—• Activity	••• Output	✖ Tools
Review and **E**xpound	• Collect data about the problem and the situation • Analyze the scenario • Analyze stakeholders • Frame the problem	Problem Statement	• Affinity Diagram • Stakeholder Analysis • Problem Framing Tool
Solicit	• Identify data required • Collect data • Validate the problem	Problem Statement with Specific Qualitative and Quantitative Information	• Data Collection Matrix • Field Survey
Observe	• Analyze data • Engage stakeholders and gather inputs	Root Cause of the Problem	• Root Cause Analysis • Focus Group Discussion
ana**L**yze options	• Define the objective of the potential solutions • Generate solutions • Analyze potential solutions • Choose the solution	Relevant and Most Feasible Solution	• Brainstorming • Multistakeholder Consultation • Dialogue and Negotiation • Mediation • Negotiation • Shuttle Diplomacy • Weighted Average Analysis
impro**V**e	• Design a plan of action • Firm up the Communication Plan • Implement solution	Implementation Plan	• Action Plan • RACI Matrix • Gantt Chart • Communication Plan
Evaluate	• Monitor the solution implementation • Evaluate solution implementation • Report and close the problem	Problem Resolution	• Most Significant Change Technique • Problem Reporting

💡 General Tips for Problem Solvers

In finding ways to help parties address their problems, the problem solver should take no position on the validity of allegations made nor impose solutions. Instead, the problem solver should encourage, as much as possible, solutions shared by all stakeholders. One's main function is to build the parties' trust in the process and in each other in order to arrive at an agreed-upon solution by all.

1. **Establish good communication.**

   Good communication between the problem solver and the key stakeholders is essential to understand the underlying interests of the parties in a problem solving process. Thus, it is important for the problem solver to establish and maintain a direct channel of communication and relationship with all stakeholders. When direct communication is not possible, choose trusted representatives of stakeholders to pass on messages.

2. **Understand that the problem solving process may take time.**

   There are different paths to solve a problem, and the problem solver needs to become flexible and open to the parties' preferences as long as there is progress with the process. Consequently, the number of meetings required and the amount of time it will take for the whole problem solving process to conclude are not predictable.
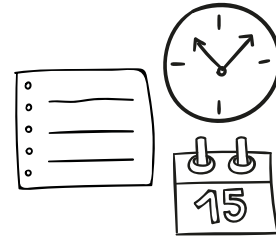
3. **Organize ground rules for the parties.**

   The parties need to establish mutually accepted ground rules that include the agreed-upon objectives, agenda, and duration of meetings and documentation of outcomes. This will guide them on how to engage with each other and agree on terms such as nonintimidation and nondisclosure of sensitive information. The problem solver will seek to maintain the parties' adherence to preagreed ground rules during the dialogue, and respect for local cultural norms as long as the integrity of the dialogue process is protected.

4. **Conduct training for the parties.**

   The problem solver can offer training and orientation to reinforce the capacity of the parties so they actively and effectively participate in the problem solving process.

A sample set of ground rules that can guide all parties is shown on the next page.

Sample OSPF Ground Rules:

Recognizing that all stakeholders are working towards a solution to the existing problem, the parties should discuss and agree on ground rules for their interaction. Ground rules can always be revised when and if the parties consider that changes or additions are necessary.

1. Agree on objectives, agenda, duration of the meeting, and documentation of outcome (if required), including follow up.

2. Maintain a professional atmosphere. Participants must address one another in respectful ways. Only one person will speak at a time, and no one will interrupt another person.

3. Keep comments short and to the point. Keep the discussion focused on the topic and constructive. Any disagreement must be focused on the problems, not on one another: participants will not make personal attacks and will respect each others' views.

4. Each person will speak to facts and substantiate the sources of the information (no hearsay, no general statements).

5. Each person must express his/her own views, or the views of his or her organization, rather than speaking for others.

6. It is important to find creative, innovative solutions; therefore participants, should avoid judging ideas prematurely, should look for ways to improve proposals, and should remain open-minded.

7. Make sure that nonverbal communication and body language in meetings reflect positive or neutral attitudes.

8. Side conversations, checking email/sending texts, etc. should be avoided. All mobile phones must be switched off or put on silent mode, and participants will not take calls or answer text messages or emails during meetings.

9. When multiple languages are spoken in meetings, ensure good quality, independent simultaneous translation.

10. No party will give interviews, make statements in the media, or try to get messages across using the media during the consultation process unless agreed to by all stakeholders.

A Note on the Cases

To help with the practical understanding and application of tools and techniques in this Guidebook, real OSPF cases and their use are presented. For all the following tools: Affinity Diagram, Stakeholder Analysis Matrix, Problem Framing Tool, Data Collection Matrix, Root Cause Analysis, Weighted Average Analysis, Action Plan, RACI Matrix, Gantt Chart, and Communication Plan, presented later in the Guidebook, please refer to the case study shown below.

Greater Mekong Subregion: Rehabilitation of the Railway in Cambodia Project

ADB and the Government of Australia have been working with the Royal Government of Cambodia and other aid partners to rehabilitate the national railway of Cambodia. The aim is to position Cambodia as a subregional transport hub, and to create new jobs and business opportunities. In November 2011, OSPF received a complaint from project-affected households through an NGO regarding resettlement, compensation, indebtedness, public services at relocation sites, and lack of information and consultation.

The Complaint

Relocation site-specific problems

The affected households at the relocation sites have acknowledged that the environment is better compared with their previous sites, although it can still be improved. While water and electricity connections are mostly available, the access roads in some sites are not passable all year around. Some people are concerned about flooding, attributed to insufficient drainage. In some sites, the distance to schools and hospitals is now much farther.

Problems related to individual life situation

A number of households mentioned that they are indebted and have to pay high interest rates. They are afraid of losing their houses and land, which they used as collateral for their loans. They attribute their indebtedness to the low compensation rates they received from the project. The affected households are also afraid that they cannot pay off their loans because they were unable to restore their incomes after moving.

Problems along the railway tracks

Many households are hesitant to move to the relocation sites and have asked for additional compensation. They have requested that the project explain how compensation will be calculated. They are also afraid of losing the income opportunities they have in the center of the city and are concerned about restoration of their livelihoods.

Project-related information, consultations, and communications

The affected households would like to receive timely and appropriate information. In relocation sites, for example, they would like to know more about the Income Restoration Program.

Review and Expound

| Review and Expound | Solicit | Observe | anaLyze options | improVe | Evaluate |

1. Collect data about the problem and the situation
2. Analyze the scenario
3. Analyze stakeholders
4. Frame the problem

A problem, simply put, is a discrepancy between what is and what ought to be. In general, a material problem is a state wherein important stakeholders are dissatisfied, because they believe that the situation or reason for dissatisfaction can be improved. In the ADB project context, problems are often made known through complaints, which can be categorized as follows:

- Queries, questions, comments, and suggestions made to ADB that require a simple response
- Problems and allegations about project activities including procurement, safeguards, etc.
- Allegations against ADB staff, consultants, or partners involved in the ADB-Assisted project

Understanding the background to the problem will help in finding the right solution. The following key activities are recommended for problems that require more action than a simple response:

1. Collect Data about the Problem and the Situation

One of the most important phases while approaching a problem is to understand and qualify the situation. To do this, having basic information about the problem is critical. This phase entails finding out about the history of the project, the key stakeholders, the profile of the complainants, stakeholders' perspectives on the problem, etc.

| Review and Expound | Solicit | Observe | anaLyze options | improVe | Evaluate |

1. Collect data about the problem and the situation
2. Analyze the scenario
3. Analyze stakeholders
4. Frame the problem

Tips for Stakeholder Identification

1. Identify key stakeholders.

In a problem solving context, it is vital to identify the stakeholders involved. Stakeholders are individuals, groups, and institutions that may be affected by or have an effect on a project. They may be also interested in, able to significantly influence, or important to achieving the outcome of the project.

The main groups are project-affected people, the government, donors, the private sector, and civil society. Each has many subgroups. The problem solver must ensure that the other groups participate. Engaging civil society is crucial in guaranteeing a participatory problem solving process.

Some typical stakeholders include the following:

Project-affected people
Individuals or groups of people who are affected by the project. Some of these people could also be complainants.

Civil society
National and international NGOs, community-based organizations (CBOs), foundations, labor unions, and independent research institutes

Government
Line ministry and project staff, implementing agencies, local governments, project consultants, and contractors

Private sector
Private companies, umbrella groups representing groups in the private sector, and chambers of commerce

2. Review key project documents and related information.

Project preparation reports, feasibility studies, minutes of consultations with stakeholders, memorandums of understanding, mission back-to-office reports, articles, and reports by others on the project all help establish traceability with regard to what has been done, who has done it, and when it was done.

3. Talk to key stakeholders identified and get their opinion on the situation.

Have informal discussions with stakeholders through meetings, telephone conversations, or a site visit to gain a first impression of their perspective on the situation.

How do I identify the stakeholders?

To help you identify all possible stakeholders, consider these questions:

- Who is affected by the complaint?

- Who has interest in the complaint and its outcomes?

- Who can affect the implementation of remedial actions following the complaint?

- Who has relevant responsibilities in the project?

- Who are the sources of reaction to or discontent about what is going on?

Media is a critical stakeholder as they are the main means of mass communication. It is important to deal with them because they have the power to disseminate information quickly. When faced with media inquiries, it is important not to ignore them, instead, check the journalists' deadline, ask them to get back, and confirm you'll meet the deadline or connect them to the organization's spokesperson. Approach journalists as professionals in their own right. Respect their role and their experience.
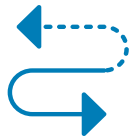
1. Collect data about the problem and the situation
2. Analyze the scenario
3. Analyze stakeholders
4. Frame the problem

2. Analyze the Scenario

In analyzing the scenario, make sure to review the problem and its related information, not just the symptoms. The focus of the solution is on the root cause.

While analyzing the situation, consider using the affinity diagram and answering these questions:

- What is the problem?
- Is this the real problem, or merely a symptom of a larger one?
- If this is an old problem, what's wrong with the previous solution?

- Does it need an immediate solution, or can it wait?
- What are the critical dimensions of the problem that need to be taken into account?

Tool 1a. Affinity Diagram

An affinity diagram is a tool used to collect a large amount of issues related to a problem of the project and to categorize them under subheadings based on their natural relationships. This tool is useful in identifying problems and engaging stakeholders in its initial analysis.

Key Steps:

1. **Generate inputs on the problems.**

   Brainstorm to get a list of the problem and write them down. You can ask each participant to individually write his/her own problem on Post-it notes or note cards, if done in a common place.

2. **Display the problems**.

   Place the problem on the wall.

3. **Sort the problem into related groups.**

   Participants may sort the Post-it notes into groups by following this process:

   a. Start by looking for two problems that seem related in some way. Place them together in a column off to one side.
   b. Look for problems that are related to those already set aside and add them to that group.
   c. Look for other problems that are related to each other and establish new groups.
   d. This process is repeated until the team has placed all of the problems in groups.

Note:
Ideally, all of the problems can be sorted into related groups. If there are some problems that don't fit any of the groups: don't force them into groupings where they don't really belong. Let them stand alone under their own category headings.

1. Collect data about the problem and the situation
2. **Analyze the scenario**
3. Analyze stakeholders
4. Frame the problem

4. **Create headers for the groups.**

   A header is an idea that captures the essential link among the problems contained in the grouping. This problem is written on a single card or Post–it and must consist of a phrase or sentence that clearly conveys the meaning. Develop headers for the groups by:

   a. Finding already existing cards within the groups that will serve well as category headings and placing them at the top of the group of related cards.
   b. Alternatively, discussing and agreeing on the wording of cards created specifically to be headers.
   c. Discovering a relationship among two or more groups and arranging them in columns under a major category heading. The same rules apply for major category headings as for regular header cards.

5. **Draw the finished affinity diagram.**

   a. Write the problem statement at the top of the diagram.
   b. Place category headings and major category heading cards above the groups of problems.
   c. Review with the team and clarify the problems and groupings.

6. **Document the finished affinity diagram.**

Template:
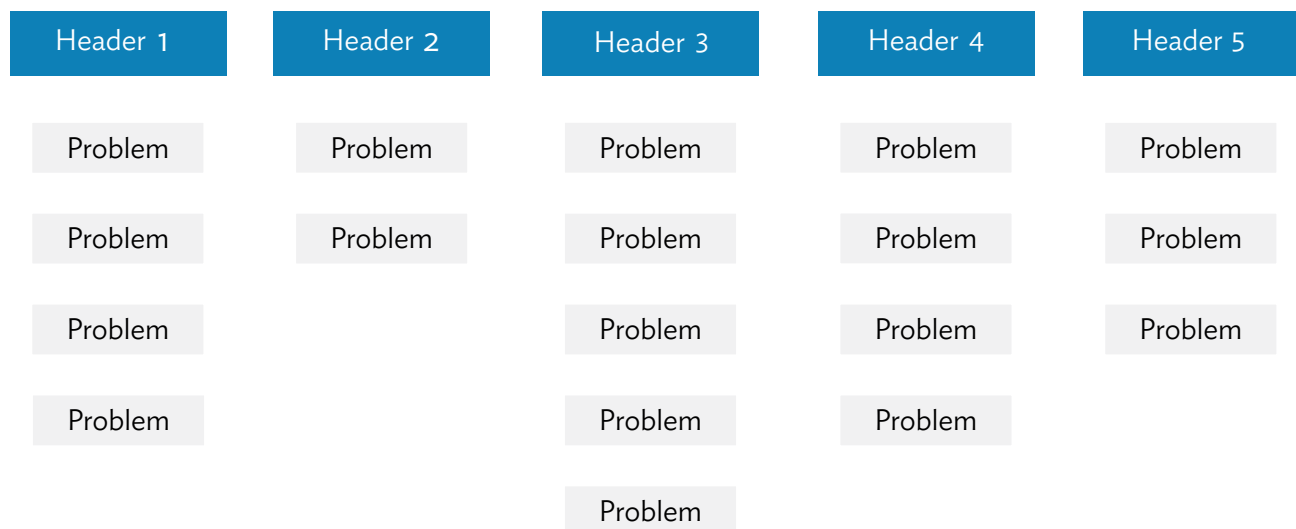
Header 1	Header 2	Header 3	Header 4	Header 5
Problem	Problem	Problem	Problem	Problem
Problem	Problem	Problem	Problem	Problem
Problem		Problem	Problem	Problem
Problem		Problem	Problem	
		Problem		

Review and Expound | Solicit | Observe | anaLyze options | improVe | Evaluate

1. Collect data about the problem and the situation
2. **Analyze the scenario**
3. **Analyze stakeholders**
4. Frame the problem

Tool in Action:

Compensation	Relocation Sites	Life Situations	Railway Tracks	Information, Consultations, Communications
Payments too low	Inaccessible roads	Loss of livelihoods	Houses are now too small to live in	Have no idea how compensation was calculated
Mistakes in calculations	Inadequate drinking water	Site too far to keep old jobs	Damage caused by construction	Not present when calculations were done
Payments take too long	Poor quality sanitation	Require transportation to get to new jobs		No information on progress of project
		Owe money lenders		No information about livelihood needs
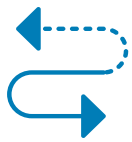
3. Analyze Stakeholders

While stakeholder analysis has always been done in the early stages of a project, it is important to revisit the stakeholders in the context of the problem. Analyzing stakeholders provides room for systematically gathering and analyzing qualitative information to determine whose interests should be taken into account when carrying out the problem solving plan.

Stakeholder analysis is the process of identifying the individuals or groups that are likely to affect or be affected by a proposed action, and sorting them according to their impact on the action and the impact the action will have on them. In problem solving, stakeholder analysis is used to develop cooperation between the stakeholders and the project team, ultimately assuring successful outcomes for the project. During the problem analysis stage, stakeholder analysis can be useful to clarify the consequences of a project complaint in connection with required changes to the project.

The information from the stakeholder analysis is used to assess how the interests of those stakeholders should be addressed in resolving the complaint. The stakeholder analysis is best carried out with the project team.

1. Collect data about the problem and the situation
2. Analyze the scenario
3. **Analyze stakeholders**
4. Frame the problem
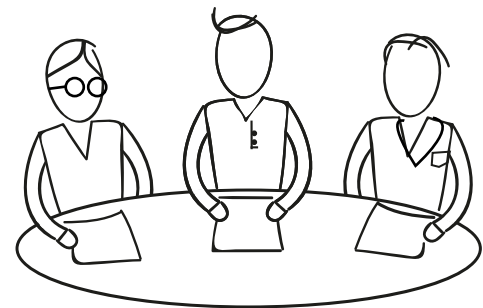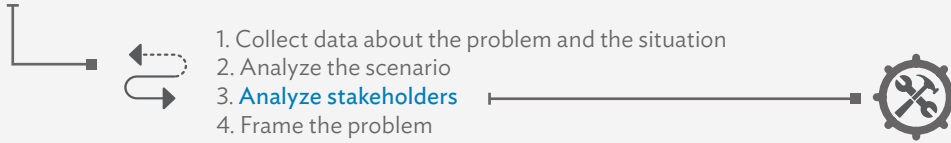
Key Steps:

1. Identify the problem, the target area of where the problem is and/or the sector it affects, and the affected people.

2. Review the project's existing stakeholder analysis.

3. List all stakeholders on cards and sort them by stakeholder category, e.g., civil society, private sector, donor agencies, and government. Place each group on a separate row (column 1).

4. Discuss the interests of each group by referring to the problem—how and why they are involved, their expectations, and the potential for them to benefit or suffer as a result of the complaint (column 2).

5. Clarify how each group perceives the problem (column 3). State the perceived problem clearly. Refrain from using negative statements, e.g., roads are poorly maintained (correct), no road maintenance system (incorrect).

6. Identify the source of power, rights, and responsibilities for each group (column 4), both informal and formal. Also identify institutions of which they may be a part (e.g., labor unions).

7. List the conflicts and impacts between the groups deriving from the problem (column 5).

8. Identify the willingness and capacity of the groups to participate in problem resolution through collaboration and consensus building (column 6).

Tool 1b: Stakeholder Analysis Matrix

Template:

| Who Are the Stakeholders?	Interests/Benefits Derived from the Problem?	Perception of the Problem?	What Is Their Source of Power, and Responsibilities?	Conflicts and Impacts between and from the Stakeholders?	Capacity to Participate in Resolving the Problem?

1. Collect data about the problem and the situation
2. Analyze the scenario
3. **Analyze stakeholders**
4. Frame the problem

Tool in Action:

Who Are the Stakeholders?	Interests/Benefits Derived from the Problem?	Perception of the Problem?	What Is Their Source of Power, and Responsibilities?	Conflicts and Impacts between and from the Stakeholders?	Capacity to Participate in Resolving the Problem?
Complainants/ affected households	Additional compensation, better public facilities in the relocation site	Lower compensation rate from that expected Lack of proper facilities in the relocation site Loss of livelihoods Lack of information about the compensation calculation	Ability to stop the project Ensure that project delivers as promised	Not being heard	Medium
ADB staff	Proper implementation of resettlement plan	Inadequate management of the resettlement of affected households	To ensure that affected households are properly resettled	Disagreement with NGO's motives Need to ensure good working relationship with government Reputational risks	High
Equitable Cambodia (NGO)	Represent complainants and provide support to strengthen their negotiation	Increased poverty of affected people	Public influence to represent the interests of the complainants To determine resources of Government of Australia are well spent	Low confidence in ADB and government	High
Government of Australia	Proper implementation of resettlement plan	Low compensation rate for affected households Lack of information available about the process of rehabilitation Poor management of the detailed measurements survey (DMS) results	Provides the finances for the project	Reputational risks	High
Interministerial Resettlement Committee (IRC) of the Ministry of Public Works and Transport of Cambodia	Reliable railway system	NGOs, ADB, and Government of Australia overreacting to complaint	Borrower that implements the project to provide essential railway system and better public services at relocation sites	Unwillingness to work with NGOs Strained relations with ADB Increased project expenditure	High

Tips for Stakeholder Analysis

1. Stakeholder analysis may comprise a series of focus-group meetings and workshops among the project team.

2. Define group categories narrowly or broadly, depending on the situation.

3. Make sure to have all fundamental information about the key stakeholders.

4. Perform detailed analyses of the key stakeholders.

5. Keep stakeholder analyses updated during the problem solving process, because this is a vital source of information. This process can be integrated into regular project review missions.

Review and **E**xpound → **S**olicit → **O**bserve → ana**L**yze options → impro**V**e → **E**valuate

1. Collect data about the problem and the situation
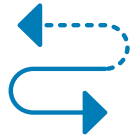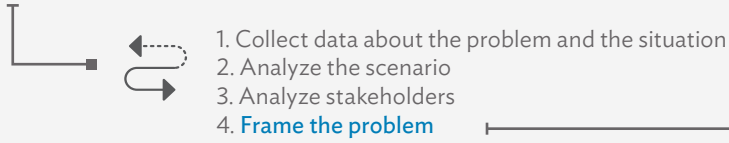2. Analyze the scenario
3. Analyze stakeholders
4. Frame the problem

4. Frame the Problem

The problem definition is a crucial part of the problem solving process. The problem statement should be developed carefully, considering the stakeholders' inputs. Although the problem statement may change at a later stage, a working definition of it should be established. This will make it possible to describe the problem to others who may become involved in the problem solving process.

Tool 1c: Problem Framing Tool

Based on the accomplished affinity diagram and stakeholder analysis matrix, we would have gained enough inputs to draft a clear statement that defines the problem. A problem framing tool is used to articulate the critical elements of the problem to express its intensity. This aims to provide a clear sense of the situation. The following items should be focused on in generating the problem statement:

- Affected areas in terms of geography
- Value of the impact (quantified if possible)
- Timeline or period over which the problem has persisted
- Frequency of occurrence of the causes or impact related to the problem

Tool in Action:

Ambiguous Statement
The beneficiaries of the relocation project are dissatisfied because of lack of compensation.

Clear Problem Statement
155 complainants out of almost 4000 affected people from across three of the five relocation sites allege that the compensation they received was 30%—50% below expected rates. For those of them who relocated, basic services at the site are unavailable or substandard. The inadequate compensation has led many to borrow money, which they fear cannot be repaid. All of this made the affected people worse off.

Solicit
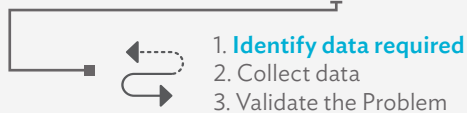
After framing the problem using relevant information, this phase aims to solicit and investigate the relevant data around the problem to reconfirm if its definition is still valid. Frequently, after exploration of critical information, people discover that the problem they really want to answer is very different from their original interpretation of it.
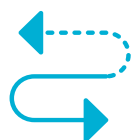
1. Identify Data Required

1. **Identify internal and external partners for the problem solving.**

    This includes colleagues, clients, NGOs, development partners, and others who may all be useful partners in quality decision-making.

2. **Find out what type of data are required to specifically identify the problems.**

    This answers the question: What information is required to make an informed and justifiable decision?

3. **Identify potential sources of data.**

    Common sources of data are community members and existing documents of the project.

4. **Arrange meetings with involved stakeholders to collect information that is not already available.**

    Schedule interviews, create surveys, arrange focus groups, collect documents to be reviewed, train focus group facilitators, and schedule performance observations as deemed necessary.

1. **Identify data required**
2. Collect data
3. Validate the problem

Tool 2a. Data Collection Matrix

A clear and agreed problem statement along with the previous outputs serve well as a starting point to define critical data that must be collected to better analyze the problem and its causes. This is a simple tool used to ensure that all elements of data collection are covered through an effective articulation of the different elements involved.

Key Steps:

1. Identify the right metrics that will tell you more about the problem.

2. Define the purpose of the data.

3. Determine the owner of the data (who will get the data).

4. Get to the source of data (from whom the data come or where they can be found).

5. Identify which type of data should be collected.

6. Plan how the data collection will be executed and create specific ways that it will happen.

7. Specify how often or at what frequency the data must be collected / reviewed.
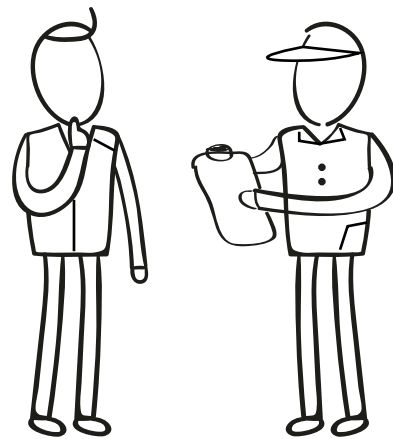
Template:

Indicator/ Parameter	Purpose	Owner (of data)	Source (of data)	Type (qual/quant)	Who (will collect)	How (will the collection happen)	How Often

1. **Identify data required**
2. **Collect data**
3. Validate the Problem

Tool in Action:

Indicator/ Parameter	Purpose	Owner (of data)	Source (of data)	Type (qual/quant)	Who (will collect)	How (will the collection happen)	How Often
Compensation amount	To understand how compensation was calculated	Government	Detailed measurement survey (DMS)	Quantitative	ADB project officer	Get hard copies of all DMS	Once: Data collection and evaluation stages
Basic services in relocation sites	To qualify the level/standard of basic services	Community	The services themselves – roads, water supply, sanitation, and electricity	Qualitative	Representatives of ADB, government, and community	Site visit	Twice
Worsening livelihoods for affected people	To verify if livelihoods have become worse because of resettlement	Community NGOs	From observations and surveys conducted	Quantitative and qualitative	ADB project officer Government	Surveys Interviews Focus group discussions	Twice: Before and after relocation
Risks for households not relocating	To estimate effects and damage caused for people not relocating	ADB and government	The physical conditions at the sites	Qualitative	ADB and government	Site visits	Twice: Before and after construction
Information, communication, and consultation	To identify gaps in information	ADB Government Community NGOs	Community Communication Plan / project documents	Qualitative and quantitative	ADB project officer	Document reviews Interviews Survey	Throughout the project cycle

2. Collect Data

Use the information collected from the data collection matrix as a guide in gathering more data about the problem. Get the perspectives of different individuals on the primary problem at hand. When collecting information, it is important to listen—far more than to talk—to solve the problem.

Approaches to gather information may include:

- Desk review
- Stakeholder interviews and field surveys
- Joint fact-finding

| Review and Expound | Solicit | Observe | anaLyze options | improVe | Evaluate |

1. Identify data required
2. **Collect data**
3. Validate the problem

Tool 2b. Field Survey

Field Survey is one good tool to collect real-time as well qualitative data (that is identified as relevant from the data collection matrix) from different stakeholders. A field survey is done to connect with people affected by the project. It is an effective way to engage stakeholders in which their knowledge about the project is tapped and their opinion on the problem is solicited.

1. **Define the purpose of the survey.**

   A clearly defined purpose helps in formulating the questions for the field survey. This way, questions are well thought out to fulfill the purpose that has been identified.

2. **Keep questions simple.**

   Any questionnaire that is designed for the field survey should be one that people are willing to answer. The main point is to make participation easy and inviting. If it's too complex or time-consuming, the recipient may not be willing to share his/her thoughts.

3. **Ask open-ended questions.**

   In addition to simple yes/no and multiple-choice questions, it is also essential to ask a few "open-ended questions" that call for short responses. Although these are typically difficult to tally and are likely to draw a smaller number of responses, they can elicit new ideas.

4. **Tally the results.**

   When all the responses are collected, results can be tallied. The answers to open-ended questions need to be summed up or paraphrased and then sorted into rough categories. Similar responses can be grouped together and counted, accurately measuring the extent of, or pattern of, the available responses.

Key Approaches

Joint Fact-finding. In cases where the problems concern facts on the ground, it is important to build trust among the parties by assuring maximum transparency and disclosing relevant information. In such situations, utilize a joint fact-finding mission where all parties "walk the land," verify facts together, and come up with possible solutions. This approach encourages the parties to jointly agree on the problems to be examined; the methods, resources, and people to conduct the examination; and the way that information generated from the process will be used by the parties.

Stakeholder Interview. One important way to interact with stakeholders is to interview them. The goal of the interview process is to discover information about what happened and why, which will lead to the identification of the root cause.

The six steps below will prepare and guide the problem solver to conduct an effective interview:

1. **Do the homework.**

   This means that as an interviewer, the objective of the interview should be clearly established and the people needing to be interviewed are identified. Interviewers may need to have some background check about each interviewee. From this, the interviewer can anticipate problems from an interviewee's perspective. Arrangements for meeting with the interviewees (i.e., time, date, and venue) should also be secured at this stage

2. **Create the interview guide.**

   In drafting the interview guide, consider writing four to six key questions. Make sure to use appropriate question types to uncover underlying problems.

3. **Start the interview.**

   To start the interview, the interviewer should introduce himself/herself first and establish rapport. The issue at hand should be explained and the agenda for the interview should be clearly set. The interviewee should be given an opportunity to provide his/her feedback on the agenda and discussion objectives and be free to add relevant topics.

4. **Build rapport with the interviewee.**

   Start by building rapport on a personal basis. The interview should be informal and relaxing. Find out about the person before you start the interview questions. Use language that is simple to understand and "open-ended questions" to encourage the interviewee to speak.

5. **Close the interview.**

   The interviewer should summarize the key points to check if both of them have a common understanding and if he/she covered everything. An open door should be created for contacting the interviewee again should there be a need for more information or clarification. It is also important to thank the interviewee for his/her time.

6. **Document the interview.**

   Make sure that important points that transpired in the interview have been documented. This provides a general overview of the picture that has been built up through the interview process.

Review and Expound | **S**olicit | **O**bserve | ana**L**yze options | impro**V**e | **E**valuate

1. Identify data required
2. **Collect data**
3. Validate the problem

Case Scenario

Scenario:

The objectives of the Community Empowerment for Rural Development Project in Indonesia were to upgrade Indonesia's capacity for community development by establishing community savings and loans organizations, upgrading infrastructure in villages, and supporting project management in 11 districts of Kalimantan and Sulawesi. The complaint lodged in 2005 by NGOs acting as representatives of the communities highlighted that communities were not adequately consulted about the infrastructure to be upgraded or constructed under the project. Other problems related to the lack of capacity building provided for communities to manage finances (under the savings activity), and lack of information about the project design in general.

Tools/Approaches Used: Joint Fact-finding:

The on-site inspection of the infrastructure constructed under the project (roads, culverts, bridges, and water supply) led to (i) a systematic overview of the villagers' actual understanding of infrastructure built under the project, its reported flaws and improvements made, as well as its present condition; (ii) determination of the benefits from the infrastructure; and (iii) agreement on improvements to be made.

Results:

Joint fact-finding was held to discuss details of the requirements and problems relating to the existing and planned infrastructure. It emphasized shared responsibilities required and the setting of priorities. As a result, through transparency and participation, capacity building and financing for facilities were improved. It also resulted in the upgrading of a grievance redress mechanism that allowed all parties to report problems relating to implementation of the project and to resolve them accordingly.

Learning:

Joint fact-finding is a central component of many consensus-based processes. It extends the interest- based, collaborative efforts of parties into a realm of information gathering and scientific analysis. In joint fact-finding, stakeholders with different view-points and interests work together to develop data and information, analyze facts and forecasts, develop common assumptions and informed opinion, and finally, use the information they have developed to reach decisions together.
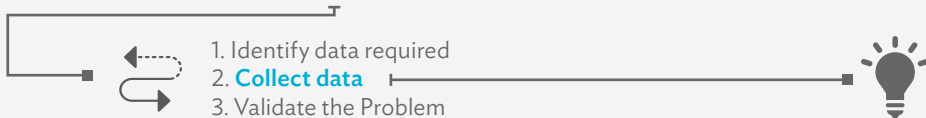
Tips for Conducting Interviews

To better understand the complaint, it is advisable to interview all stakeholders involved. Interviews can be formal or informal, structured or unstructured, conducted one-to-one or in groups, face-to-face or by telephone, Skype, or email. At this point in the process it is important for the interview to proceed like a friendly, nonthreatening conversation. Questions should be prepared in advance.

Here are some tips about possible questions to ask:

Project Team

- What is the project/loan name?
- Who are the staff involved?
- Where is the project situated?
- What is the status of the project in relation to the project cycle?
- Are staff aware of the complaint?
- What is the complaint all about in their opinion?
- How do they think the problem came about?

Complainants

- Cross-check information provided in the complaint letter:
- What is the complaint all about?
- How do staff think the problem came about?
- What is the harm done to you?
- What information do you have about the ADB-Assisted project?
- What are the desired outcomes and remedies?
- How did you make good faith efforts to address your problems first to ADB's operations department? What is the evidence you can provide for these efforts?
- OR: Why could any of the above information not be given?

If **NGOs** are involved or have filed on behalf of affected people:

- What are the NGO's own accountability measures (registration, certification, reputation)?
- What are the NGO's objectives?
- What role is to be played by the NGO (representative, channel of ,

1. Identify data required
2. **Collect data**
3. **Validate the problem**

intermediary, advisor to complainants, observer, etc.)?
- What is their proof of authority to represent the complainants?
- What is the complaint all about in their opinion?
- How do they think the problem came about?

Executing and Implementing Agencies

- Information: Are they aware of the complaint? What is the complaint all about in their opinion?
- Cause: How do they think the problem came about?
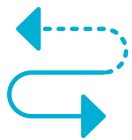
3. Validate the Problem

The purpose of this activity is to validate the initial assumptions about the complaint. The initial problem statement is usually vague, and the problem solvers need to gather sufficient data to validate and confirm the existence of the problem. Using the data gathering tools and tips and available resources suggested, the problem and its scope will be more detailed and focused.

In refining the problem statement, the problem solver is assured that the right problem is being addressed.

Tips for Validating the Problem

1. Build on the original problem statement and look at it more deeply based on the data collected.

2. Don't hesitate to change the problem statement based on the data gathered.

3. Consider exploring other ways to state the problem. Word choices usually influence the perspective of an individual. Rephrasing the problem can help in coming up with more creative solutions.

Observe

Observing the problem involves using the data collected from the earlier stages and analyzing the problem to get to the root cause. Understanding where the problem is coming from, how it fits in with the current developments, and what the current environment is helps to decide whether a solution will work or not. This phase of the problem solving process ensures that time is spent in stepping back and assessing the current situation and what actually needs to be changed.
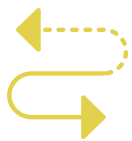
1. Analyze Data

Analyze and synthesize the information collected during the data solicitation phase. Data should be analyzed to find out the root cause of the problem. Analysis and synthesis should be done using appropriate quantitative or qualitative techniques suggested below. To ensure that analysis and synthesis are not biased, you are encouraged to do this analysis with all stakeholders.

Tool 3a. Root Cause Analysis Tool

Good root cause analysis is built on relevant data collected using effective means / tools so it is important to use the outputs from the previous activities. A cause-and-effect diagram, also known as an Ishikawa diagram or a fishbone diagram, is a picture composed of lines and words designed to show meaningful relationships between an effect and its causes.

This tool helps the problem solver identify a problem's root causes so that he/she can take corrective action.

Identify the problem | What are the factors involved? | Possible Causes

Key Steps:

1. **Identify the problem.**

   Write down the specific problem. Where possible, identify who is involved, what the problem is, and when and where it occurs. Then, write the problem in a box on the right-hand side of a large sheet of paper. This arrangement, eventually looking like the head and spine of a fish, allows space to develop ideas.

1. **Analyze data**
2. Engage stakeholders and gather inputs
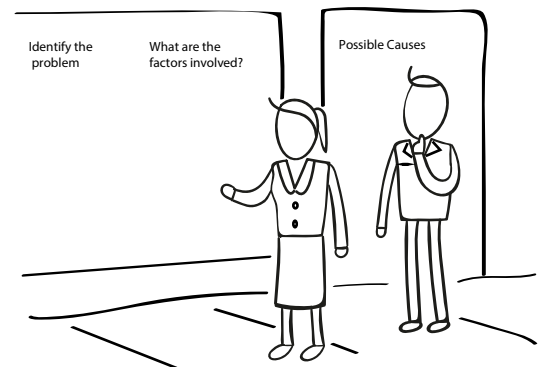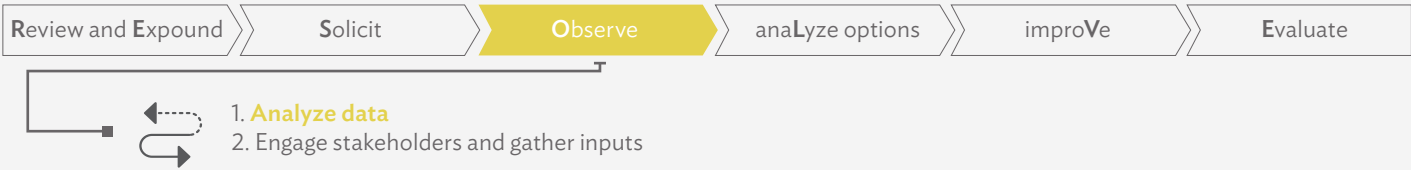
2. **Work out the major factors involved.**

Next, identify the factors that may be part of the problem. These may be systems, equipment, materials, external forces, people involved with the problem, and so on. Try to draw out as many of these as possible. Brainstorm any other factors that may affect the situation. Then draw a line to the "spine" of the diagram for each factor and label each line.

3. **Determine possible causes.**

Now, for each of the factors considered in step 2, brainstorm possible causes of the problem that may be related to the factor. Show these possible causes as shorter lines coming off the "bones" of the diagram. Where a cause is large or complex, it may be best to break it down into subcauses. Show these as lines coming off each cause line.

4. **Analyze the diagram.**

By this stage, there should be a diagram showing all of the possible causes of the problem that can be thought of by the project staff. Depending on the complexity and importance of the problem, the most likely causes can be investigated further. This may involve setting up investigations, carrying out surveys, and so on. These will be designed to test which of the possible causes is actually contributing to the problem.

Template:

1. **Analyze data**
2. **Engage stakeholders and gather inputs**

Tool in Action:

Capacity

Lack of knowledge among resettlement staff and consultants on the design and implementation of the detailed measurement survey (DMS)

Lack of knowledge of government staff about ADB safeguard policy and procedures

Methodology

No inflation built into the compensation rates

Replacement costs matrix too complex to understand

Effect

Inadequate supervision of staff in the conduct and review of the DMS for the project

Inadequate guidance of government staff on implementation of ADB safeguard procedures

Supervision

Inadequate training of staff in conducting the DMS

Inadequate training of government officials on ADB safeguard procedures

Training

2. Engage Stakeholders and Gather Inputs

Stakeholder engagement can be done through conducting field visits to meet with government officials, representatives of local and international NGOs, affected people, and other stakeholders. The purpose of this activity is to open productive communications and gain insights/consensus on the causes of the problem through a participatory approach.
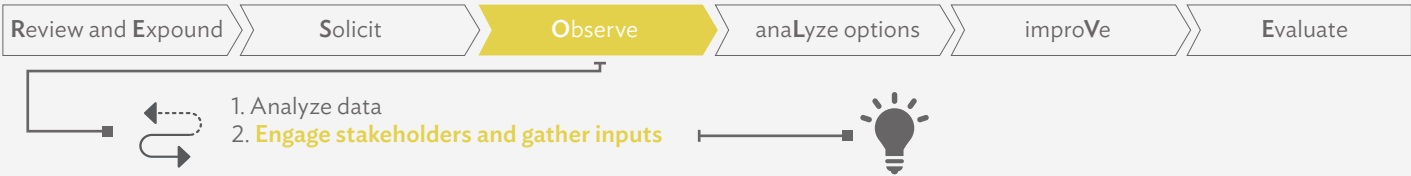
Tips to Maximize Participation and Stakeholder Engagement

Stakeholder engagement requires carefully chosen approaches to build rapport and ensure meaningful feedback**.**

1. **Establish clear roles and expectations.**

   Stakeholders must be clear about their roles and the expectations of them in the project.

2. **Create common and meaningful goals and objectives.**

   Involving stakeholders early on to establish common goals and objectives can help ensure that efforts are successful. It also ensures that everyone is working together toward objectives in which they are invested.

3. **Provide opportunities for input/feedback.**

   No matter what role stakeholders are serving in, make sure to allow opportunities for them to provide input and feedback. Think about the various stages of the project cycle. When is it most helpful to ask for stakeholder input or feedback? In the planning stage? Implementation stage? Evaluation stage? Or throughout the project cycle?

4. **Use a common language.**

   To make sure that stakeholders understand what the project is trying to accomplish, it is helpful to use a common language. Avoid using jargon and acronyms that stakeholders may not understand, and provide common definitions of terms that are important to the project.

5. **Build trusting relationships.**

   Most importantly, work to forge trustworthy interpersonal relationships among stakeholders. Try to arrive at decisions together, stick to plans, and fulfill obligations. Explore win-win opportunities by asking: What benefits will stakeholders receive by working together? Ensuring a stakeholder benefit will maximize their engagement and strengthen the success of the project.

1. Analyze data
2. **Engage stakeholders and gather inputs**
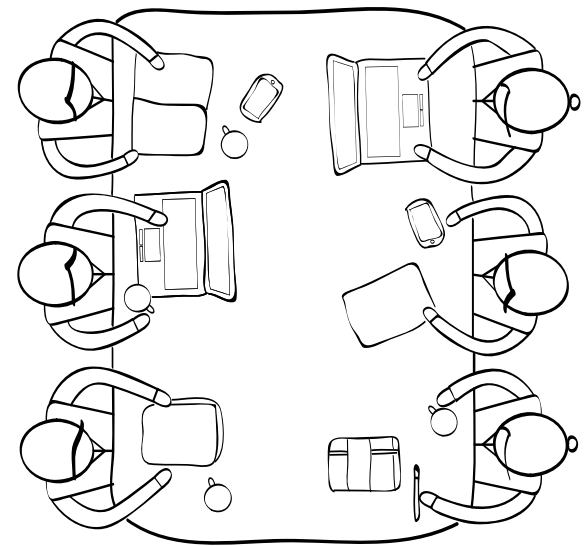
Key Approach

A Facilitated Meeting is the process of designing and running a productive and impartial meeting so the group is not distracted. The meeting aims to lead the team in analyzing the problem at hand. Such a meeting could be held with all the parties such as the affected people, project staff, and others concerned, or the project staff only. Many techniques are available for the team to use in analyzing the problem.

Key Steps:

1. **Create the agenda.**

   State start and end times along with time limits for each topic. Ask the people within the organization, or the person calling the meeting, for topics they need to include in the meeting, including a brief description of their topic.

2. **Send out meeting invitations; include an RSVP (please respond) deadline.**

   This gives the organizer of the meeting time to prepare the materials needed for all participants.

3. **Set up the meeting space.**

   How tables and chairs are arranged in a meeting room depends on how the content will be delivered to participants. Different setups allow for different types of learning and audience participation or interaction. Choose a room that will help achieve the objectives of the event.

4. **Provide the necessary tools for the meeting.**

   These include pens, notepads, handouts, and other materials.

5. **Send reminders about the meeting.**

   These should go out at least 2 days before the meeting.

6. **Start the meeting on time.**

   It is rude for those who were prompt to wait for latecomers.

7. **Keep to the agenda of the meeting.**

   Stick to the appointed schedule for lunch and breaks.

8. **Answer as many questions as possible.**

   Take questions from the participants.
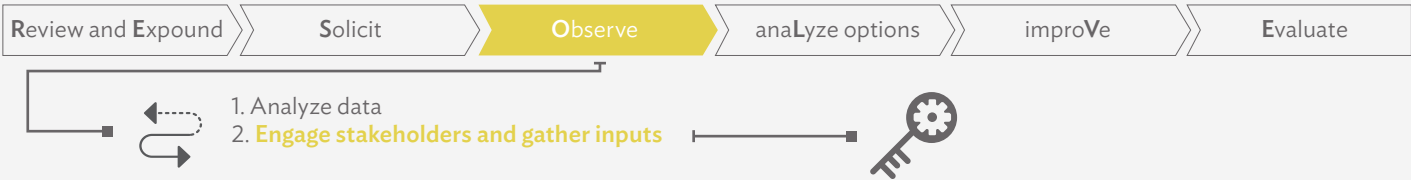
Other Approaches

Here are a few other approaches that can be used to gain stakeholder inputs and engagement.

Online and Written Consultation. This typically involves using a specific consultation web page to introduce the policy, strategy, or project and the aim of the consultation. The consultation structure may vary. A draft document, broad topics, or open-ended questions can be used to guide comments; or a survey style with closed questions may be used. Public comments allow discussion between stakeholders. Social media can be used. Online consultation enables open public consultation, but it reaches only those who are literate and with internet access, and therefore not the most disadvantaged. Written feedback posted or e-mailed is also common.

Public Meeting. Meetings are an open, accessible method of consulting with the public. They may take place at any level (community, regional, national, etc.). Ensure that they are fully accessible, and give adequate notice to interested bodies. Also, meeting size affects participation. Groups of under 20 people ensure that everyone can speak. Breakout sessions and participatory methodologies (e.g., ranking, diagrams) can help capture all viewpoints.

Workshop. Workshops involve gathering a group to gain their feedback in a structured format. The face-to-face format allows for brainstorming and testing ideas. Preferable to a single workshop, a series produces greater output. Try different workshop types (e.g., open space, write shop, participatory methods). Facilitation is important, and a skilled neutral individual can help ensure that group rules are clear, views are taken seriously, and no participant dominates.
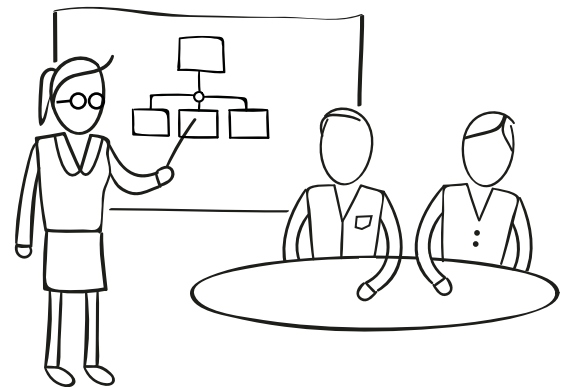
In-Depth Interview. Face-to-face interviews with individuals (e.g., community members, key informants, or civil society leaders) can elicit a sense of stakeholders' perspectives. They can be structured (formal and closely following a written interview guide), semistructured (partly directed by an interview guide, but open and conversational to allow interviewees to introduce other topics of interest), or unstructured (organized around a few general questions or topics, but informal and open-ended) depending on the context. Structured interviews are likely to yield information that can be compared and generalized, while less structured ones can explore an issue in depth and permit related problems to be raised. Interviews with key informants possessing particular knowledge of an issue are especially useful.
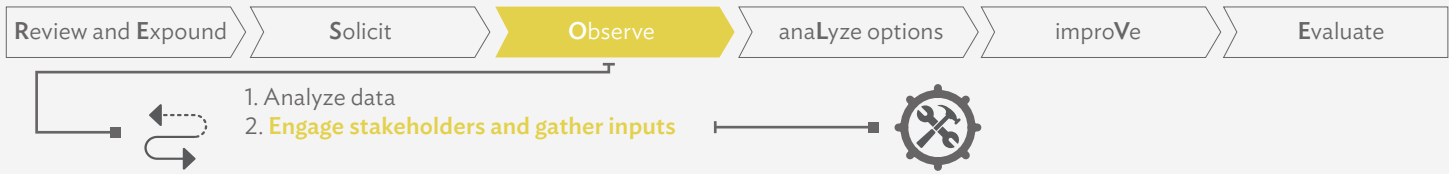
Tool 3b. Focus Group Discussions

Another approach to engage stakeholders is through focus group discussions (FGDs). Conducting focus groups allows the problem solver to get information from a small group (for instance, 5—12 participants) in a systematic and structured format. Through FGDs, participants interact with a facilitator, who presents the participants with questions designed to elicit insight into identifying the root cause of the problem.

Key Steps:

1. **Understand the role of the facilitator.**

   a. Stay neutral. The role of the facilitator is to create the process and conditions that enable a group to discuss, plan, or make decisions.
   b. Achieve learning objectives. The facilitator should try to encourage everyone to participate.
   c. Ask open-ended questions if needed.
   d. A facilitator helps only if all the parties agree.

   Note: If the facilitator needs to participate, he/she needs to inform the group that his/her role will be shifted to a member of the group, and that he/she will participate only briefly. This is done only if the problem solver is actually a member of the group.

2. **Provide structure to the discussion.**

   a. Decide on a process for the discussion.
   b. Begin with some form of ice breaker or questioning on the background of the problems. This helps participants get involved immediately to address the problems at hand.

   Note: Structure the discussion, rather than allowing a free-for-all, to ensure greater participation.

   Here are some techniques that can be used to maximize participation:

   a. Each person will speak in turn.
   b. Small group discussions. Break big groups (more than eight) into smaller groups to discuss and then report about the subject. Using smaller groups ensures greater participation.

3. **Guide the discussion.**

   a. Focus on group process. Identify if the group is repeating itself or if the discussion is staying on track and on time.
   b. The facilitator should explain what he/she knows about the problem and then ask participants to confirm if their experience is the same. It is important to be factual and specific. Avoid blaming or criticizing individuals.
   c. Summarize what is being said. Ask questions to open up discussion, to help the group to decide whether their process is working, or to think about new directions.
   d. Closed-ended questions (yes/no or factual) are useful for summarizing or reality checks, but they don't elicit much input.
   e. Open-ended questions (how, what, why, tell me, describe) draw people out. If your discussion isn't getting off the ground, try an open-ended question.

4. **Record the discussion in a visible way.**

   Facilitators should record the discussion in a way visible to the group. Use flip charts, or meeting software projected onto a screen by the facilitator or a helper. Having the discussion visible helps the group to see the progress it's making and to refer back to earlier comments.

   Note: Whenever possible, use the speaker's own words, and be sure to record everyone's comments to avoid creating tension and resistance.

1. Analyze data
2. **Engage stakeholders and gather inputs**

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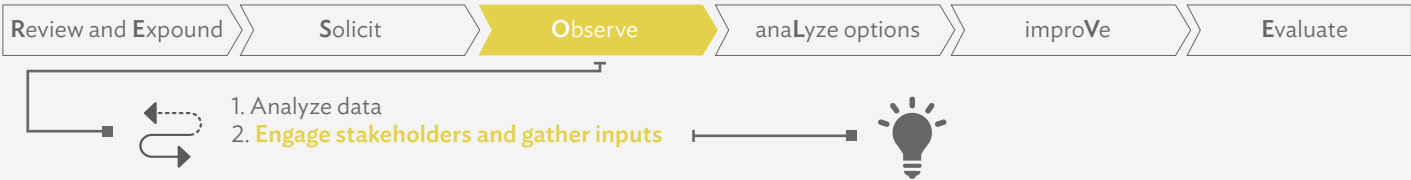
5. **Ensure productive group behaviors.**

   a. Secure agreements about starting on time, coming prepared, and working toward consensus. Refer to the agreements when necessary to get the group back on track.
   b. Make sure everyone is included.
   c. Look for common ground.
   d. Deal with conflict by talking about the facts.
   e. Ask for feedback.

6. **Summarize the results.**

   Summarize key points at the end of the session for:
   • Learning
   • Follow-up
   • Future action

Tips for Effective FGDs

Types of questions to encourage participation:

1. **Open-ended question:** Starts the discussion on a subject

   - What do you think about the project?
   - How do you feel about the project team visiting the village?

2. **Follow-up question:** Enquires about the answer to the first question and gets more details (open-ended)

   - What benefits do you think the project will bring to your community?

3. **Probing question:** Clarifies the information

   - Can you please tell me more?
   - Can you give me an example?

4. **Questions for the focus group on the problems should be**

   - Short and to the point
   - Nonthreatening, not embarrassing
   - Worded in a way that they cannot be answered with a simple "yes" or "no"
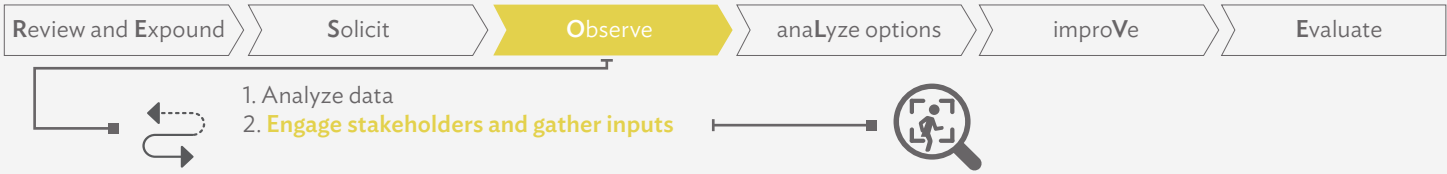
Case Scenario

Scenario:

As presented in page 10, OSPF received a complaint on the Greater Mekong Subregion: Rehabilitation of the Railway in Cambodia Project.

Tools/Approaches Used: Round Table Discussion/ Focus Group Discussion:

OSPF recommended a round table discussion with representatives of the affected people to better understand the problems in the complaint. Key to the discussion was to get everyone to participate and share their perspectives of what was not going well in the project and how it was affecting the community.

Results:

OSPF conducted a half-day round table in Phnom Penh to better understand the complaints of the affected people and to analyze their cause. At first the affected people mentioned many problems depending on their perceptions. By guiding the conversation and helping analyze cause and effect, the group was finally able to narrow down their complaints to the following: (i) relocation site-specific problems; (ii) problems related to individual life situations; (iii) problems of people living along the railway tracks; and (iv) project-related information, consultations, and communication. Grouping the problems helped to structure the various perspectives and to focus on how each group of problems needed to be resolved.

Learning:

By sharing ideas and interacting with others, our understanding of the problems is greater than if we were on our own. In this case, listening to and sharing the problems faced by the affected people helped us to hear different perspectives and to look at the problems from various angles. It also helped all the participants in the roundtable to give feedback on each other's ideas and thoughts.

anaLyze options

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1. **Define the objective of the potential solutions**
2. Generate solutions
3. Analyze potential solutions
4. Choose the solution
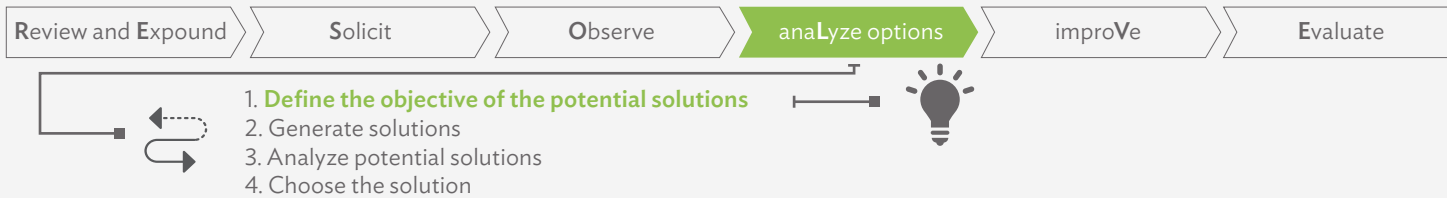
Once the problem has been defined along with its root cause, the problem solver needs to explore a full range of viable solutions before arriving at a decision. This phase helps to identify several solutions from which a final solution is chosen. This phase will also introduce problem solvers to tools that can be used to analyze the solutions and to select the most relevant and feasible one.

1. Define the Objective of the Potential Solutions

This is the most critical phase in decision making once the problem and root cause analysis have been completed. Deciding on the right objectives will set the tone for the team to generate most plausible solution options. It is advisable to follow SMART objective-setting guidelines and use the risk response categories as a basis.

Tips in Defining the Objectives

A clear set of objectives is needed before identifying solutions. In doing this, make sure to follow the SMART way of stating it:

 S- pecific
 M- easurable
 A- ttainable
 R- ealistic
 T- ime-bound

- **Specific** – well-defined objectives
- **Measurable** – knowing when objectives will be reached
- **Attainable** – objectives that can be obtained
- **Realistic** – within the availability of knowledge, resources, and time
- **Time-bound** – grounded within a time frame

1. **Define the objective of the potential solutions**
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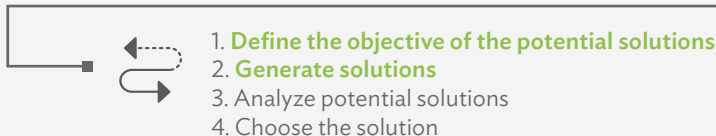
When drafting the objectives, consider the solution option to fall under one of the major risk response categories:

Accept, Avoid, Mitigate, and Transfer

- **Accept** means acknowledging the risk as-is, and taking no action to mitigate it. It's a reasonable strategy for a risk that will have only a small impact or is unlikely to happen, and where taking any action to mitigate it could be disproportionately expensive (NOT just financially but also in terms of time, effort, etc.); but it's not going to work for every risk on your list.

- **Avoid** means making every effort to evade or prevent the risk. This strategy is normally very expensive and worthwhile only for really catastrophic risks that are almost certain to happen.

- **Mitigate** is the most usual response strategy, which aims to limit the likelihood or the impact of the risk, and therefore reduce the effect that it will have on the business or project. It's a bit like a hybrid acceptance/avoidance strategy.

- **Transfer** is the allocation of risk to someone else who is prepared or liable to accept it. This response strategy comes into play when organizations decide that the solution is not part of their core competency or responsibility.

2. Generate Solutions

Generate as many potential solutions as possible. At this stage, it is necessary to relate to the cause of the problem and merge similar or related solutions. The point of this stage is to reduce redundancies of potential solutions and eliminate any possibility that doesn't address the causes identified in the earlier phase.

> **Note:** A useful tool that can be used in generating solutions is the affinity diagram (see Tool 1a, pages 12—14). A filled out template can be seen in the next page.

1. Define the objective of the potential solutions
2. **Generate solutions**
3. Analyze potential solutions
4. Choose the solution

Compensation	Relocation Sites	Life Situations	Railway Tracks	Information, Consultations, Communications
Payments too low – redo market survey	Inaccessible roads – accessible roads	Loss of livelihoods – match affected households with livelihood programs	Houses are now too small to live – build standard housing	Have no idea how compensation was calculated – explain the calculation method and process
Mistakes in calculations – review calculations	Inadequate drinking water – provide better water systems	Site too far to keep old jobs – create jobs closer	Damage caused by construction – repair damage	Not present when calculations done – have one-on-one session to explain method
Payments take too long – shorten payment time	Poor quality sanitation – improve sanitation	Require transportation to get to new jobs – provide means of transportation		No information on progress of project – project brochure with time schedule
		Owe money lenders – cancel debt		No information about livelihood needs – community meetings to match affected households with livelihood programs

Tool 4a. Brainstorming

Using the analyzed data, the problem solver can generate solutions through brainstorming. Brainstorming is a technique used to quickly generate, clarify, and evaluate a large list of ideas. This can be used to find the best solutions for the problem. Brainstorming allows all the project staff and key stakeholders to contribute in the process.

Key Steps:

1. State the problem to be brainstormed and write it on a flip chart.

2. Select a note-taker/recorder to capture solutions on the flip chart.

3. Generate solutions, with each team member taking a turn, until all possible solutions are exhausted

4. Go over the brainstormed list as a team to eliminate duplication and make sure everyone understands all of the items.

5. Evaluate solutions and select those for further action.

Note: An alternative is for team members to speak out whenever they have an idea.

1. Define the objective of the potential solutions
2. **Generate solutions**
3. Analyze potential solutions
4. Choose the solution
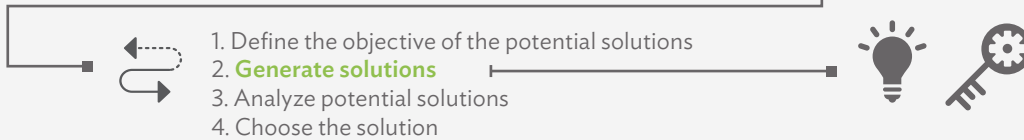
Tips for Effective Brainstorming

- Clearly state the purpose.
- Deal with one thought at a time.
- Do not criticize any ideas.
- Pass a turn if needed.
- Add to or build on the ideas of others.
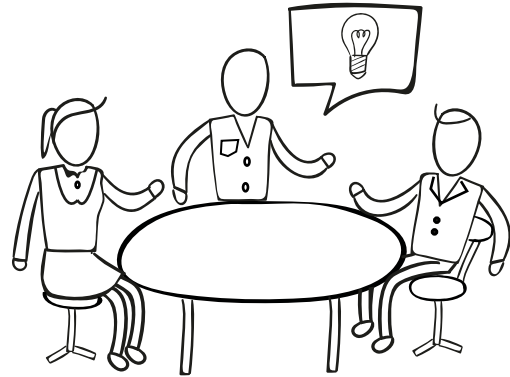
Key Approach

Multistakeholder Consultation. In order to generate solutions, stakeholders should be consulted to create understanding about the problem among those it affects, and to learn how these parties view the solutions being set and their attendant risks, impacts, and opportunities. Listening to stakeholder concerns is a valuable source of information that can improve the solution rollout and help in identifying and controlling the external risks associated with each solution.

Key Steps:

1. **Plan ahead.**

   Before starting the consultation process, make sure to answer questions about who needs to be consulted, on what topics, and for what purpose? This helps the problem solver save time and reduces costs.

2. **Consult using basic principles of good practice.**

   A good consultation process is targeted at those most likely to be affected by the problem. It should also be two-way so both sides have the opportunity to exchange views and information, to listen, and to have their problems addressed.

3. **Incorporate feedback.**

   Feedback generated from the consultation process should be taken seriously, and problems raised should be addressed.

4. **Document the process and results of consultation.**

   This is critical in reviewing the outcome of the multistakeholder consultation. Information such as when and where such meetings took place, with whom, around what topics and themes, and with what results should be documented.

5. **Report back.**

   It is common courtesy to follow up with stakeholders who are consulted, to let them know what has happened, and what the next steps in the process will be.

1. Define the objective of the potential solutions
2. **Generate solutions**
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4. Choose the solution

Special Tools

Not all problems are dealt with alike—when problems revolve around settlement problems, there is a high probability of conflict among stakeholders. This requires special tools that address conflicts effectively using diplomatic approaches.

The special tools below can be used to engage stakeholders in generating solutions for such scenarios.

Dialogue and Negotiation

Where communication among parties has been limited or disrupted, they may engage directly in dialogue to address and resolve the complaint. Dialogue can be done through round table discussions or consultations, depending on the number of participants. Round tables are best suited for a smaller number of decision-makers while consultations allow for larger numbers.
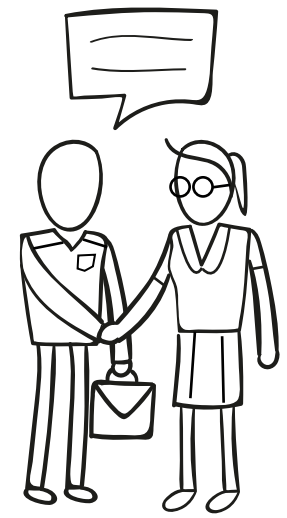
Mediation

This involves intervention by a neutral third party with the purpose of assisting the parties in conflict in reaching their own mutually satisfying agreement. The mediator has no power to either impose a decision on the parties or provide any opinion as to the merits of the dispute. Mediators serve at the pleasure of all parties in the conflict and can be engaged only with their consent. To facilitate a settlement, the mediator generally holds joint meetings with all of the parties present and may also hold separate meetings, often called caucuses, with each of the parties alone. These meetings allow the mediator to create an atmosphere appropriate for obtaining useful information, identifying the interests of each party, and helping the parties find common ground for the resolution of their problem.

Negotiation

This is an open process for two parties to find an acceptable solution to a problem. Some specific conditions wherein negotiation will achieve the best results are when:

(i)   the conflict consists of two or more parties or groups;
(ii)   a major conflict of interest exists between both parties;
(iii)   all parties feel that the negotiation will lead to a better outcome; and
(iv)   all parties want to work together, instead of having a dysfunctional conflict situation.

Note: In order to use these special tools effectively, staff need deeper knowledge and specialized skills. This might require separate training or development programs.

1. Define the objective of the potential solutions
2. **Generate solutions**
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4. Choose the solution

Shuttle Diplomacy

In some situations, direct communication between the parties is unlikely to reduce tensions, but may actually make the situation worse. A situation can be so extreme that merely seeing the other side can cause a setback. Shuttle diplomacy, or caucuses or mediated communication, can be useful in these types of situations, at least in the early stages when direct communication is likely to be counterproductive. The essence of shuttle diplomacy is the use of a third party to convey information back and forth between the parties, serving as a reliable means of communication less susceptible to a face-to-face confrontation. The intermediary not only serves as a relay for questions and answers, but can also provide suggestions for moving the conflict toward resolution, and doing so in private.

When using dialogue, negotiation, or joint fact-finding:

- Ensure that appropriate individuals from parties are participating.
- Be conscious in drawing out each person's view of the situation.
- Clearly define the problems people want to talk about.
- Identify each party's highest priority, concerns, and needs.
- When appropriate, incorporate complainants' or villagers' traditional ways of resolving disputes.

Case Scenario

Scenario:

A complaint was filed in 2006 against the **National Highway Development Sector Investment Program in Pakistan**, which had the objectives of promoting economic growth, improving policy toward Pakistan's road sector, and strengthening the institutional capacity of the National Housing Authority. The complainants requested (i) alternate alignment of the highway to avoid their displacement; (ii) full transparency with regard to the project's processes of land acquisition and resettlement; (iii) detailed information about ongoing land acquisition and resettlement activities; and (iv) full compensation for their losses at market value, paid in a single installment.

Tools/Approaches Used: Multistakeholder Consultations:

Multistakeholder consultations were convened at various times to discuss the problems raised. Through better understanding of the project

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1. Define the objective of the potential solutions
2. **Generate solutions**
3. **Analyze potential solutions**
4. Choose the solution

background and technical details, complainants came to understand why the alignment could not be changed.

In addition, they also understood resettlement procedures and policies including the calculation of compensation rates. The OSPF multistakeholder consultations helped project parties talk to one another. By listening and talking to one another, the parties appreciated and understood different opinions, enabling agreements to be reached together and preventing opposition at a later stage, which can slow down the decision-making process.

Results:

The consultations led to binding agreements that included (i) release of a list of affected persons; (ii) construction of underpasses; (iii) explanation of the proposed compensation rates, resurvey of land, and review of land rates; and (iv) disclosure of the revised resettlement plan. The consultations helped to open up communications with all parties, which led to regular monitoring of the agreements, and briefing complainants on the progress achieved in the resettlement and compensation process. They also helped project-affected people to make informed decisions.

Learning:

Stakeholder consultation is really about initiating and sustaining constructive external relationships over time. Listening to stakeholder concerns and feedback can be a valuable source of information that can improve project design and outcomes and help the government to identify and control external risks. It can also form the basis for future collaboration and partnerships. For project-affected people, the consultation process is an opportunity to get information as well as to educate themselves about the project and its potential benefits, raise problems and concerns, ask questions, and potentially help shape the project by making suggestions for the government to consider and respond to.

3. Analyze Potential Solutions

Evaluating each potential solution's strengths and weaknesses is critical in arriving at the best solution. In analyzing potential solutions, evaluation criteria should be established. Due to the unique constraints associated with each program, no single set of evaluation criteria can be created. Rather, each program must document the evaluation criteria it will use. Two general criteria can be applied (but are not limited to) to analyze potential solutions: feasibility, and acceptability by key stakeholders.

1. Define the objective of the potential solutions
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4. Choose the solution
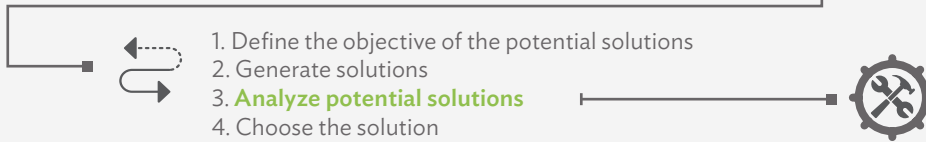
Feasibility is determined by asking the following questions:

- Can it be implemented in a reasonable time?
- Can it be done within cost limits?
- Will it work reliably?
- Will it use staff and equipment efficiently?
- Is it flexible enough to adapt to changing conditions?

To assess acceptability, these questions can be asked:

- Do the implementers support the solution, perceiving it as worth their time and energy?
- Are the risks manageable?
- Will the solution benefit the persons affected by the problem?
- Will it benefit the problem solver and his/her organization?

Tool 4b. Weighted Average Analysis

A decision matrix or weighted average analysis is a powerful technique to make decisions, particularly when you have a number of good alternatives to choose from, and many different factors to take into account. This makes it a great technique to use in almost any important decision where there isn't a clear and obvious preferred option.

Key Steps:

1. List all of your options as the row labels on a table.

2. Identify key factors such as cost, beneficiary's satisfaction, or duration of the implementation of the solution, that you need to consider while assessing the options. The factors must be based on the stakeholder discussions and knowledge of the problem at hand. List them along the first row to create a matrix against the options.

3. Once the factors are identified, prioritize them by providing a weightage (%) value. It might so happen that some of the factors you identified do not make the cut (The sum of all % values of the factors cannot exceed 100. So only the top factors will become part of the evaluation process).

4. Establish a scale (1—3, 1—5, etc.), and rate each of the options against each of the factors. Keep in mind the positive and negative factors.

5. For each option, multiply the rating for every factor by its weightage (%) to get the score for that option.

6. Continue this across the row (for each option) and sum the scores from each factor to get the final score of the option.

7. Repeat the same for all options.

8. The option with the highest score is the ideal one to choose.

Note: There might be cases where the scores of multiple options are too close to make a call.

This might be due to:
- incorrect weightages or incorrect rating of each option, or
- the choices might really be closely ranked.

1. Define the objective of the potential solutions
2. Generate solutions
3. **Analyze potential solutions**
4. Choose the solution

In such cases, it is best to have a quick review of all the steps and reestablish scoring. It would also be a good idea to discuss the same with relevant stakeholders and make a joint decision on the way forward.

Template:

Options	Factors & Weightage				Overall Score
	Factor 1 (%)		Factor 2 (%)		
	Rating	Score	Rating	Score	
Option 1					
Option 2					
Option 3					

Tool in Action:

Options	Factors & Weightage				Overall Score
	Cost (60%)		Beneficiary's satisfaction (40%)		
	Rating	Score	Rating	Score	
Provide accessible roads	2	1.2	2	0.8	2
Provide better systems	2	1.2	3	1.2	2.4
Improve sanitation	3	1.8	1	0.4	2.2

1 - Low   2 - Medium   3 - High

Review calculations and correct mistakes to see the best option based on the weighted average analysis.

1. Define the objective of the potential solutions
2. Generate solutions
3. **Analyze potential solutions**
4. **Choose the solution**

Tips for Assessing Solutions

1. In critically assessing the alternative selected, the following questions should be answered:

   (i) Does it conform to local laws, policies, and procedures?
   (ii) Are the required expertise and capacity available to carry it out?
   (iii) Is it affordable and cost effective, and is the necessary financing available?
   (iv) Is it socially acceptable by the target beneficiaries?
   (v) Is it likely to result in any negative externalities that will require mitigation?
   (vi) How dependent is it on any of the other alternatives also being implemented?
   (vii) What are the major risks, and how can they be mitigated?

2. Be mindful of situations in which consultants may propose solutions they prefer or are familiar with, but which may be neither relevant to the local circumstances nor validated against desirable stakeholder criteria.

3. The decision to pursue just one or a combination of results chains through a single project or program will depend on how closely they are dependent on each other for achieving the desired outcome.

4. If agreement cannot be reached on how the project proposal should be formulated, then it may be necessary to return to the objectives tree, and perhaps even the problems tree, and rethink them.

5. For every objective there will be a number of alternative approaches. For example, "raise awareness of farmers about modern techniques" could be achieved in a number of ways, such as (i) organize a study tour for farmers, (ii) train farmers in a classroom, or (iii) provide farmers with handbooks and manuals.

4. Choose the Solution

The results of the decision analysis should be appropriately applied to choose the right solution. Team members should collaborate to share ideas and choose the right alternative for the solution. At this point, the team prioritizes solutions into what would work the best. This is a slow process of elimination. One or two best solutions will emerge from this process, and the team should then discuss those solutions and come to a consensus on the best one.

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1. **Design a plan of action**
2. Firm up the communication plan
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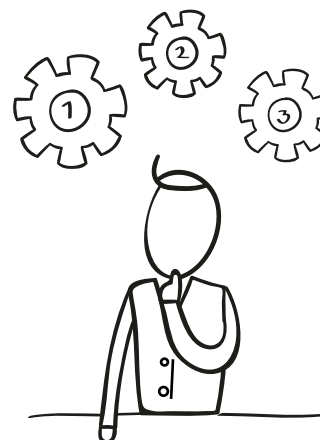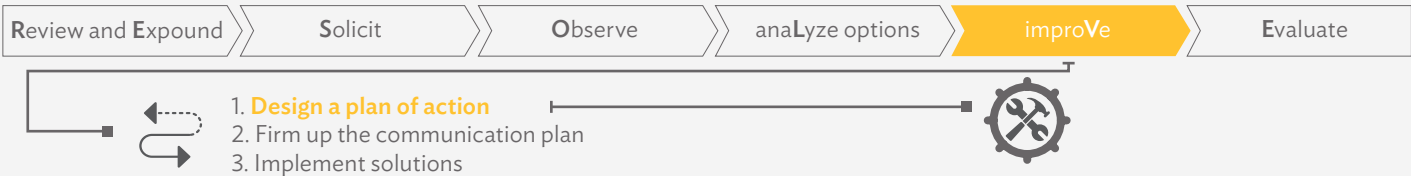
Choosing a solution does not immediately solve a problem. Putting a solution into action can be as difficult as deciding on one. The implementation stage requires action planning. This phase familiarizes problem solvers with activities that will help them in designing the action plan and implementing the best solutions that materialized in the analysis phase.

1. Design a Plan of Action

The plan of action describes what actions are required and how they will be implemented to ensure success. This involves systematically identifying and recording the action required to implement the solution, schedule for each action, resources required (time, human resources, money, materials, space, information, etc.), and measures to counter adverse consequences. Having a plan of action also requires informing the stakeholders about it, identifying who will implement the solution, and exploring the best possible means of implementing the solution.

Tool 5a. Action Plan

An action plan is a way to describe how to implement the necessary actions to meet your objectives or roll out the chosen decision option. An action plan consists of a number of action steps or changes to be implemented.

Each action step or change to be sought should include the following information:

- **What** actions or changes will occur?
- **Who** will carry out these changes (use RACI matrix in cases of complex problems or where the stakeholders involved are broad - refer to Tool 5b)?
- By **when** will they take place, and for **how long** (best described through a Gantt Chart – refer to Tool 5c)?
- What **resources** (e.g., money, staff) are needed to carry out these changes?
- **Communication** (Who should know what?)

1. **Design a plan of action**
2. Firm up the communication plan
3. Implement solutions
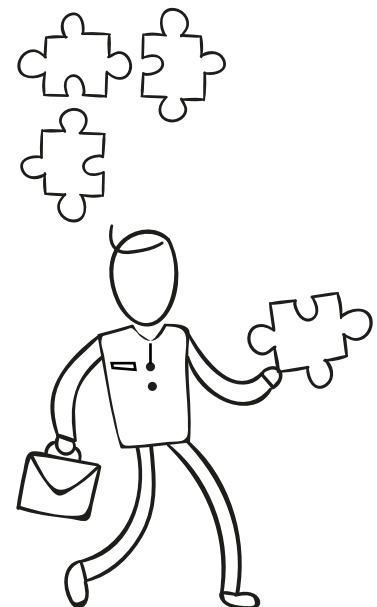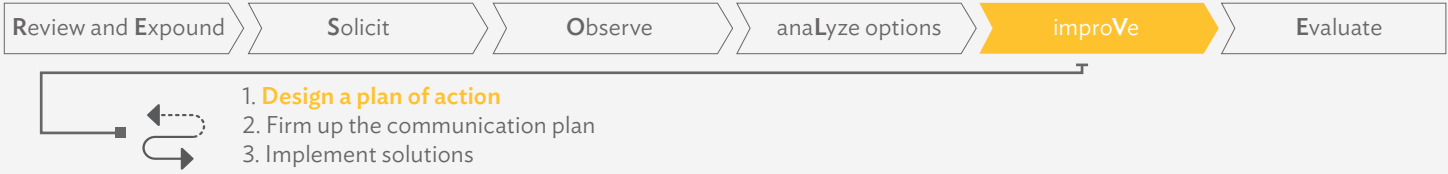
Key Steps:

1. **Determine the key stakeholders that must become part of the team for action planning.**

2. **Convene the planning group to design your action plan.**

3. **Develop an action plan composed of action steps that address all proposed changes.**

4. **Review your completed action plan carefully to check for completeness.**

5. **Follow through on planned actions.**

6. **Keep everyone informed about what's going on.**

    Communicate to everyone involved how his/her input was incorporated. Given the nature of stakeholders, their involvement, and the impact of their participation on the success of the solution, it is necessary to create a solid communication plan. The communication plan must articulate who the stakeholders are, what form of communication they require, and what information they must receive. (Read more about it in the **Communication Plan,** Tool 5d)

7. **Keep track of what (and how well) you've done.**

    Always keep track of what the group has actually done. If the community change (a new program or policy) took significant time or resources, it's also a good idea to evaluate what you have done, either formally or informally.

Template:

Action Plan				
Goal:				
Activities	Responsible	Target Date	Resources Needed	Communication Plan

1. **Design a plan of action**
2. Firm up the communication plan
3. Implement solutions

Tool in Action:

Action Plan				
Goal: Provide better water systems in the relocation sites				
Activities	Responsible	Target Date	Resources Needed	Communication Plan
Technical and financial proposal on 2 types of water systems	Government	August 2012	Engineer and/or consultant	Government and ADB
Review and approval of most feasible system	Government and ADB	September 2012	Proposal and budget	Government and ADB
Contracting for water system	Government	October 2012	Advertisement for assignment budget	Government and ADB
Meeting for affected people	Government and ADB	November 2012	Schedule for construction	Government and ADB
Construction	Contactors and government	January 2013	Budget	Government and ADB

Tips for Action Planning

1. **Complete?**

   Does it list all the actions or changes to be sought in all relevant parts of the community (e.g., schools, business, government, faith community)?
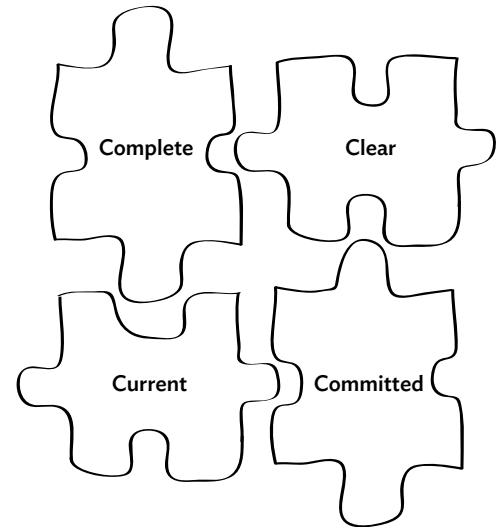
2. **Clear?**

   Is it apparent who will do what by when?

3. **Current?**

   Does the action plan reflect the current work? Does it anticipate newly emerging opportunities and barriers?

4. **Committed?**

   Have all stakeholders signed off on the action plan and committed to ensure its implementation?

Complete   Clear

Current   Committed

1. **Design a plan of action**
2. Firm up the communication plan
3. Implement solutions

Tool 5b. Establishing Team and Roles & Responsibilities (RACI Matrix)

To successfully implement an action plan, one important supplementary tool to use for assigning roles and responsibilities is the RACI Matrix. RACI is a tool that stands for responsible, accountable, consult, and inform. It is used to identify and allocate the right personnel to the actions that must be accomplished in order to deliver the solution.

Roles and Responsibilities Charting Definitions

"R" RESPONSIBLE
The responsible individual(s) is/are the ones who actually complete the task. He/She is responsible for action/ implementation. Responsibility can be shared. The degree of responsibility is determined by the "A" individual.

"A" ACCOUNTABLE
The accountable person is the individual who is ultimately answerable for the activity or decision. This includes "yes" or "no" authority and veto power. Only one "A" can be assigned to an action.

"C" CONSULT
The consult role is played by individual(s) (typically subject matter experts) to be consulted prior to a final decision or action. This is a predetermined need for two-way communication. Input from the designated position is required.

"I" INFORM
This is the individual(s) who needs to be informed after a decision or action is taken. They may be required to take action as a result of the outcome. It is a one-way communication.

Key Steps:

1. **Identify the work process.**

    • Start with high impact areas first.
    • Don't chart processes that will soon change.
    • Work process must be well defined.

2. **Determine the decisions and activities to chart.**

    Avoid obvious, generic or ambiguous activities, such as:
    • "attend meetings"
    • "prepare reports"

    Each activity or decision should begin with a good action verb.

    Examples:
    Evaluate, Schedule, Write, Record, Determine, Operate, Monitor, Prepare, Update, Collect, Approve, Conduct, Develop, Inspect, Train, Publish, Report, Review, Authorize, Decide.

Note:

• Fewer than 10 activities implies that the definition is too narrow.
• More than 25 acitivities implies that the definition is too broad.

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1. **Design a plan of action**
2. Firm up the communication plan
3. Implement solutions

3. **Prepare a list of roles or people involved in those tasks.**

   - Roles can be individuals or groups.
   - Roles are better than individual names.

4. **Develop the RACI chart.**

   - As a general rule, first assign R's, then determine who has the A, then complete C's and I's.
   - For larger groups or more complex problems, an independent facilitator is required.

5. **Get feedback and buy-in.**

   - Distribute the RACI chart to everyone represented on the chart but not present in the development meeting.
   - Capture their changes and revise the chart as appropriate.
   - Reissue the revised RACI chart.
   - Update as necessary on an ongoing basis.

Note:

- The ideal group size is 4—10 people
- A follow-up meeting may be necessary if significant changes are made.

Template:

Key Actions	Personnel 1	Personnel 2	Personnel 3	Personnel 4	Personnel 5
Activity 1					
Activity 2					
Activity 3					

Tool in Action:

Key Actions	Project Manager	Project Staff	Key Partner	Communication Associate	Administrative Staff	Affected people
Technical and financial proposal on 2 types of water systems	C	A	R			I
Review and approval of most feasible	C	A	R			I
Contracting for water system	C		R		A	I
Meeting for affected people	A		C		R	I
Construction	A		R			C/I

1. **Design a plan of action**
2. Firm up the communication plan
3. Implement solutions

The following tables show the possible interpretations after the matrix is filled up:

Vertical Analysis

Finding	Possible Interpretation
Lots of R's	Can this individual stay on top of so much?
No empty spaces	Does the individual need to be involved in so many activities?
Too many A's	Can some of the accountability be "pushed down" in the organization?
No R's or A's	Is this a line position? Could it be expanded or eliminated?
Overall Pattern	Does the pattern fit the personality and style of the role occupant? Does it go against the personality type of the role occupant (i.e., either too much or too little involvement, etc.)?

Horizontal Analysis

Finding	Possible Interpretation
Lots of R's	Will the task get done? Can the activity or decision be broken into more specific tasks?
Lots of C's	Do all these individuals really need to be consulted? Do the benefits of added input justify the time lost in consulting all these individuals?
Lots of I's	Do all these individuals really need to be routinely informed, or could they be informed only in exceptional circumstances?
No R's	Job may not get done; everyone is waiting to approve, be consulted, or be informed; no one sees his/her role as taking the initiative to get the job done.
No A's	There is no performance accountability, therefore, no personal consequence when the job doesn't get done. Rule #1 in RACI charting: There must be one, but only one, "A" for each action or decision listed on the chart.
No C's / I's	Is this because individuals/departments "don't talk"? Does a lack of communication between individuals/departments result in parallel or uninformed actions?

1. **Design a plan of action**
2. Firm up the communication plan
3. Implement solutions
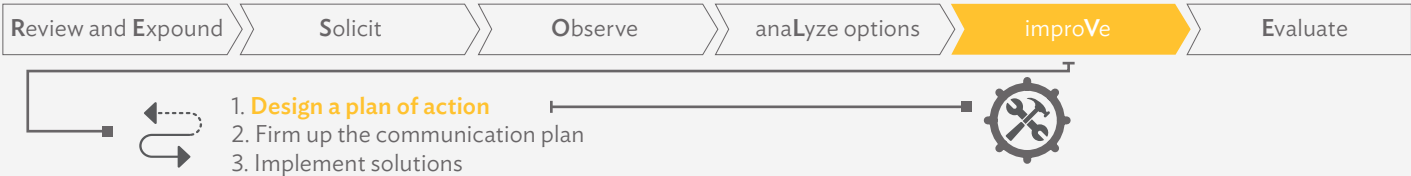
Tool 5c. Gantt Chart

Once the key activities and their owners are identified, it is important to break these down into meaningful chronological tasks. A Gantt chart allows the problem solver to think through all of the tasks that need to be accomplished in rolling out the solution. In this process, who will be responsible for each task, how long each task will take, and what problems the team may encounter will be identified.

It is one of the most popular and useful ways of showing activities (tasks or events) displayed against time. On the left of the chart is a list of the activities and along the top is a suitable time scale. Each activity is represented by a bar; the position and length of the bar reflect the start date, duration, and end date of the activity. This allows you to see at a glance:

- **What the various activities are;**
- **When each activity begins and ends;**
- **How long each activity is scheduled to last;**
- **Where activities overlap with other activities, and by how much; and**
- **The start and end dates of the whole project.**

Key Steps:

1. List all the activities that need to be accomplished.

2. Input activities into the template.

3. Identify and enter the responsible functions (or personnel) for each activity. The number of people associated with a task can be singular or multiple depending on its nature, complexity, and duration. The best Gantt charts break down the tasks to a level of detail wherein singular responsibilities can be identified and articulated.

4. For each task, map the start date, duration, and end date.

5. Indicate them through a colored bar.

6. Colors are typically used to identify/differentiate several aspects such as:

   a. responsible personnel in the solution rollout
   b. home office or field work
   c. dependencies with other activities
   d. activities common to other projects, etc.

7. Use a different color to identify critical milestones that need to be highlighted.

8. Any colors or representations used within the Gantt chart must be explained as a footnote to ensure that the reader can follow the details.

Note: The most common tools used for creating Gantt charts are MS Excel and MS Project. Depending on which tool is used, some of the complexities above are either addressed through prebuilt functionalities available within the tool or through simple improvisation by the user.

1. **Design a plan of action**
2. Firm up the communication plan
3. Implement solutions

Template:

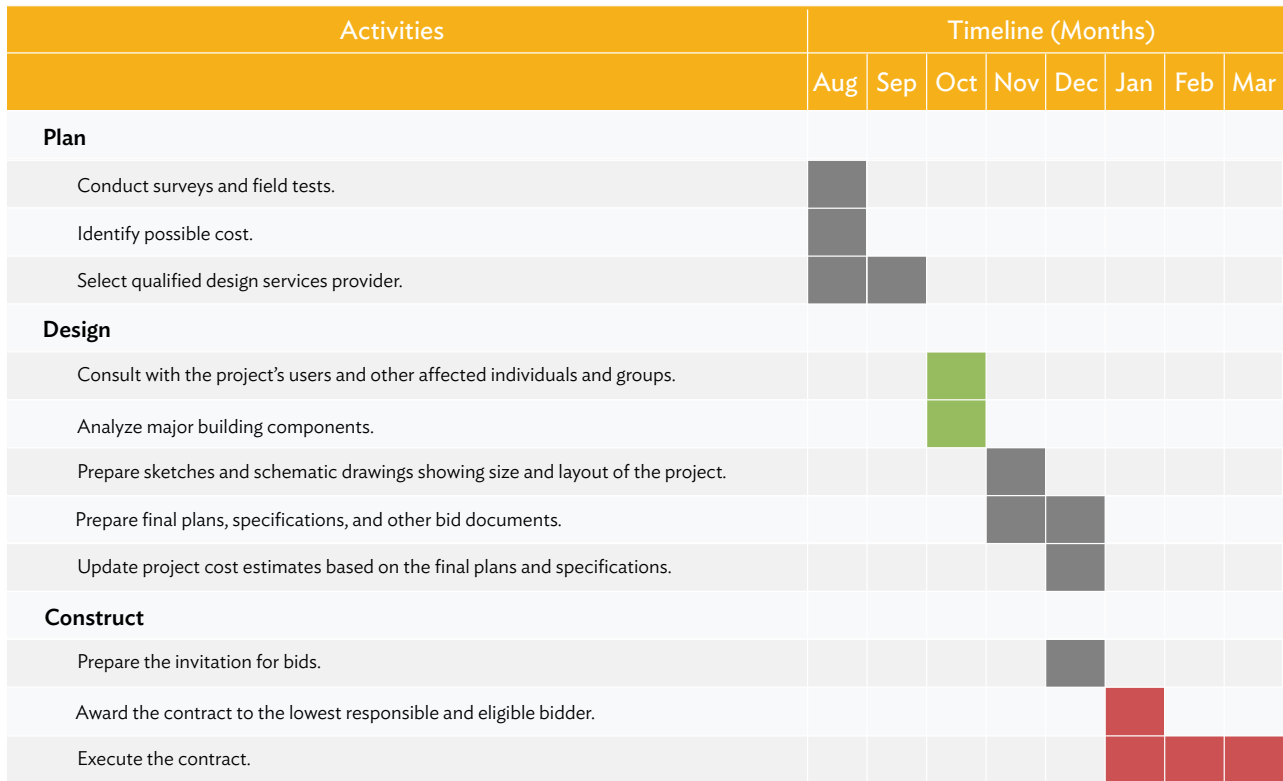| Project Task	Start Date	End Date
Project 1		
Task 1	July 02, 2013	July 19, 2013
Task 2	July 04, 2013	July 29, 2013
Task 3	June 20, 2013	July 03, 2013
Project 2		
Task 1	July 08, 2013	July 12, 2013
Task 2	July 10, 2013	July 17, 2013
Task 3	July 11, 2013	July 24, 2013
Task 4	July 17, 2013	July 22, 2013
Project 3		
Task 1	July 22, 2013	July 29, 2013
Task 2	July 01, 2013	August 10, 2013
Task 3	June 12, 2013	July 05, 2013

Tool in Action:

Activities	Timeline (Months)							
	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Plan								
Conduct surveys and field tests.	■							
Identify possible cost.	■							
Select qualified design services provider.	■	■						
Design								
Consult with the project's users and other affected individuals and groups.			■					
Analyze major building components.			■					
Prepare sketches and schematic drawings showing size and layout of the project.				■				
Prepare final plans, specifications, and other bid documents.				■	■			
Update project cost estimates based on the final plans and specifications.					■			
Construct								
Prepare the invitation for bids.					■			
Award the contract to the lowest responsible and eligible bidder.						■		
Execute the contract.						■	■	■

■ On-site activity   ■ Off-site activity   ■ Milestone

Review and Expound ⟩ Solicit ⟩ Observe ⟩ anaLyze options ⟩ improVe ⟩ Evaluate

1. Design a plan of action
2. **Firm up the communication plan**
3. Implement solutions
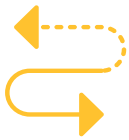
2. Firm Up the Communication Plan

Once the action plan for implementing the solution is created, it is advisable to have a clear communication plan that articulates the type, form, timing, and content of the message that must be conveyed to the various stakeholders. Depending on the complexity of the problem and the extent of involvement from various stakeholders, the communication plan can vary in its level of detail. Projects may already have a communication plan established during the design stage. If such is the case, the plan needs to be updated to include communications about the action plan.

Once the communication plan is drafted, it must be rolled out to all key stakeholders and ensured that it is available for viewing/reviewing at any time in a common place—be it digital or in other media forms. Any updates or revisions made to the plan must be communicated accordingly as well.

Tool 5d. Communication Plan

A communication plan is a means to plan for and ensure that the right message is sent to the right audience at the right time through the right channels and available for review at any point during the course of the project (or solution implementation) and beyond its lifetime.

Key Steps:

1. Define clearly the overall communication objectives. What do you want to achieve, by when, and why? Record these as the first part of the communication plan.

2. Identify and list down the key audience that the communication plan must cater to. Information and output from previous actions such as stakeholder identification and stakeholder analysis will serve as a very good input.

3. Then clarify specific objectives for each audience group identified as a target. Ask what they need and want to know from you. List the key objectives for each audience group/type in your plan.

4. List down the most relevant communication channels you could use for each audience. Try and reuse the existing communication channels that have already been set up as part of the project if they work well. If they require rework or revision, by all means adopt new methods.

1. Design a plan of action
2. **Firm up the communication plan**
3. Implement solutions
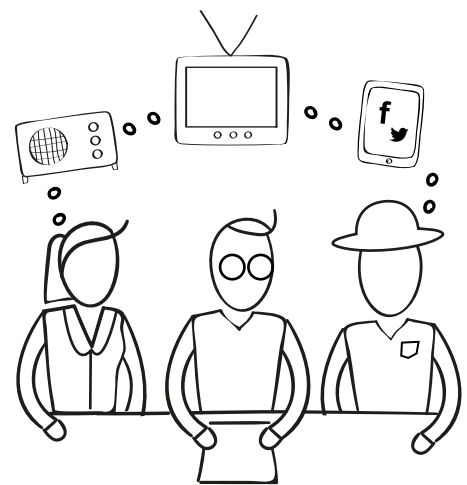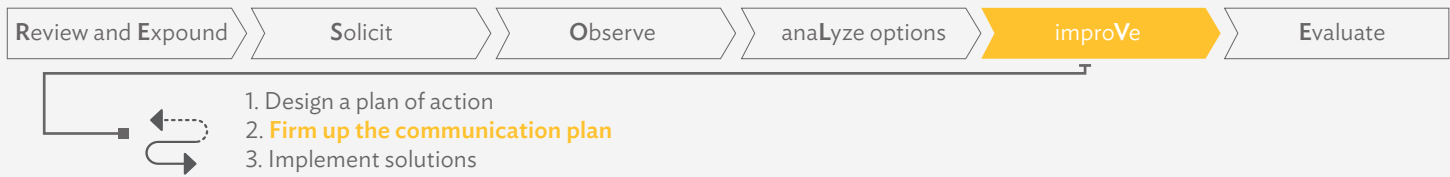
5. To plan out the message for each audience, start by thinking about the broadest audience groups first.

   As you consider each audience in turn, ask the following questions:
   • What does this group need and want to know?
   • When do we need to communicate?
   • What is the regular or preferred channel for reaching this audience?
   • For this specific audience and message, what is the most effective way to get your message across?

6. Once the communication plan is complete and agreed upon by the key stakeholders that must provide their inputs, roll it out. It can be updated or revised based on the success during the course of solution rollout.

Several messages over time may be required to meet the objectives of each audience. Make sure the messages you plan "add up" and are aligned with the overall objectives.

Template:

Communication Plan				
Overall Objectives:				
Audience	Objective	Message	Channel	Timing

1. Design a plan of action
2. Firm up the communication plan
3. **Implement solutions**

Tool in Action:

Communication Plan				
Overall Objectives: Provide information on the process of recalculating the compensation rate and inform stakeholders of the proposed solution.				
Audience	**Objective**	**Message**	**Channel**	**Timing**
OSPF, ADB, Government of Australia, Goverment, complainants	Provide information on the problem.	Problem statement	One-day workshop	August 2012
OSPF, ADB, Government of Australia, Goverment, complainants	Disseminate the proposed solution.	Solution	Meeting	August 2012
Complainants	Inform affected households about how compensation is going to be recalculated.	Methodology of the DMS	One-day workshop	August 2012
Complainants	Provide information on the problem.	Step-by-step guide on the disbursement process	One-on-one mediation	August 2012

3. Implement Solutions

The implementation of the solution is the culmination of the preceding activities; it is critical to ensure that the rollout goes well. As highlighted earlier, the success of the solution is a function of the choice and the rollout or implementation. Ensure that the action plan and communication plan created are followed and continuously reviewed to ensure that implementation is on track.

Evaluate

1. **Monitor the solution implementation**
2. **Evaluate the solution implementation**
3. Report and close the problem

Evaluation of the solution is essential to ensure that the implemented decision meets the objectives and actually solves the problem. The objective of this phase if to get stakeholder feedback and redefine the implementation plan according to what has transpired from the evaluation.

1. Monitor the Solution Implementation

This activity helps to ensure that milestones are met, costs are contained, and work is completed. This is essential to ensure continued results. Monitoring also provides opportunities for planning additional feedback mechanisms to detect the need for midcourse corrections and to ensure that the problem is solved without creating new problems.

It is advised that at this stage participatory monitoring and evaluation (M&E) should be applied. This ensures that stakeholders are involved in every process including monitoring and evaluating the solution, and help in taking or identifying corrective actions. This benefits both the stakeholders, and the problem solving team, as lessons can be gained from different stakeholders, and stakeholders' ownership of the activities in the solution rollout is increased.
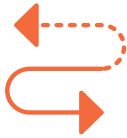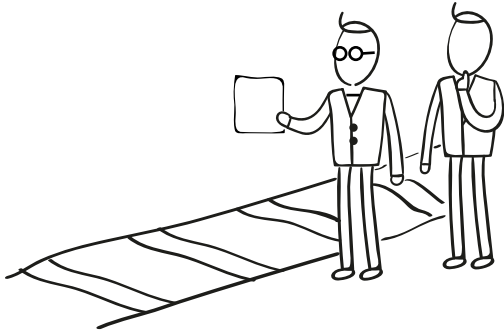
2. Evaluate the Solution Implementation

To make sure that the solution has positively affected the beneficiaries and most if not all stakeholders are content with the solution, the implementation of the action plan should be evaluated. The effect of the solution on the organization's resources and stakeholders should be closely assessed. If results show that the solution does not meet the problem solving team's expectations, other potential solutions should be reviewed.

Note: To assess the impact of the solution rollout, multistakeholder consultation and a field survey are useful tools to gather meaningful responses.

1. Monitor the solution implementation
2. **Evaluate solution implementation**
3. Report and close the problem

Tips for Successful Participatory Assessment, Monitoring, and Evaluation

1. Make sure to involve staff, consultants, or CBOs with participation experience. They should be equipped to execute the participatory assessment and/or M&E process. Many NGOs are skilled in these methods.

2. Allocate resources for participatory assessment and M&E, as they require time and funds. Compared with conventional approaches, participatory assessment and M&E take more resources. However, this process leads to more effective implementation and builds stakeholders' analytical skills and understanding of accountability.

3. The problem solving team along with the donors and executing agencies should be flexible. This requires adjusting their initial preconceived ideas and tested assumptions to reexamine what constitutes progress, and facing up to problems highlighted.

4. The problem solving team should state clear objectives and ensure that the stakeholders avoid unrealistic expectations.

5. The findings of the participatory assessment and M&E should be constantly followed-up to improve ongoing work. Principles of learning, flexibility, and transparency are integral to followup.
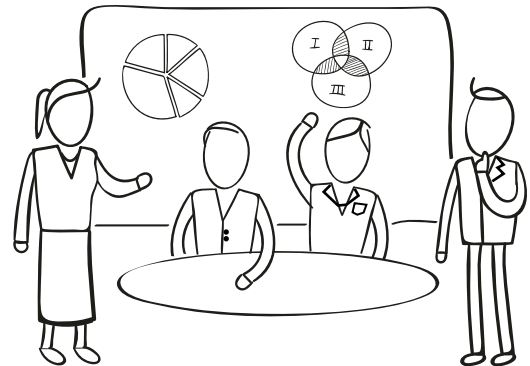
Tool 6a. Most Significant Change Technique

The most significant change (MSC) technique is a form of participatory M&E. Involving the key stakeholders of the solution rollout makes this technique participatory. They are included in deciding if changes have been recorded and in analyzing the data. This technique helps in monitoring, because this is done throughout the execution of the solution and provides information for managing the solution rollout. It also contributes to evaluation, because it provides data on impact and outcomes that can be used to help assess the effect of the solution as a whole. This technique facilitates the problem solving process by shifting the direction of work to what the problem solver and stakeholders want to achieve and what they will do to get more of it.

Review and Expound 〉 Solicit 〉 Observe 〉 anaLyze options 〉 improVe 〉 **Evaluate**

1. Monitor the solution implementation
2. **Evaluate solution implementation**
3. Report and close the problem

Key Steps:

1. Ask field staff to elicit anecdotes from stakeholders, focusing on what most significant change has occurred as the result of the solution rollout, and why they think that change occurred.

2. Verify the stories.

3. Involve stakeholders in analyzing the data. Create a panel of designated stakeholders and staff who will systematically select the most significant of these stories of significant change.

4. Communicate the results of the selection process.

Case Scenario

Scenario:

The CAREC Transport Corridor I (Zhambyl Oblast1 Section) [Western Europe-Western People's Republic of China International Transit Corridor] Investment Program - Project 2 in Kazakhstan aimed to improve road sections in the Kazakhstan portion of the Central Asia Regional Economic Cooperation (CAREC) Transport Corridor and to construct bypasses and new alignments to make the corridor suitable for international traffic. Sent by an NGO, the complaint reached OSPF in November 2009, and complainants requested for two cattle passages and a bridge or underpass for agricultural machinery, which they had requested in earlier consultations with the project but to no avail. They were concerned about access to grazing pastures; the safe passage of agricultural equipment; adequate means of water flow from the south side to the north side of the road, where the village is located; accessing the highway; and obtaining information about the project in general.

Tools/Approaches Used: Participatory Monitoring and Evaluation:

All stakeholders agreed that a participatory and consultative process was required to provide the opportunity for the key stakeholders to engage in constructive dialogue and problem solving around the problems raised in the complaint. For this it was decided that three consultations would be organized, each to discuss a set of problems determined by the stakeholders. One of the problems discussed was the role of stakeholders in monitoring the implementation of the project. ADB, the Committee of Roads from the government, and NGOs agreed on their joint monitoring of the project. Roles and responsibilities of each stakeholder were also agreed upon.

Review and Expound >	Solicit >	Observe >	anaLyze options >	improVe >	Evaluate

1. Monitor the solution implementation
2. **Evaluate solution implementation**
3. **Report and close the problem**

In addition, a mode of cooperation within the framework of each stakeholder's role and responsibility was determined.
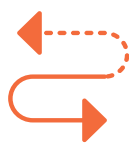
Results:

Monitoring activities were held throughout 2010 and 2011 and consisted of (i) two OSPF missions, (ii) regular communication with the complainants through the Taraz Press Club (an NGO), and (iii) ADB operations department safeguard specialists' communication and visits during regular safeguard missions to the project. The NGO was the link between the community and the project in that it provided regular updates about the project to the community and also fed back grievances from the community to the project. The constant sharing of information enabled the project to act quickly on problems that the community raised. All requirements of the community requested through the complaint were implemented to the community's satisfaction by 2012.
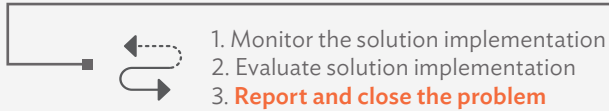
Learning:

Participatory M&E can be used for many purposes. In this case it was used for two reasons: (i) allowing stakeholders to understand and negotiate interest, and (ii) using information gained in a timely way to improve project planning and implementation. By choosing participatory M&E, the stakeholders are directly or indirectly involved in deciding what the project will achieve and how it should be achieved. The key stakeholders are active participants and offer new ways of assessing and learning that are more inclusive, and reflective of the perspectives and aspirations of those most directly affected.

3. Report on and Close the Problem

Collecting data and reporting on what has been accomplished make the organization/project staff credible with its constituents/beneficiaries. Reflecting on its own processes and results keeps the project staff effective. It also brings the problem solving process full circle, as reflecting on results helps project staff identify its next phase.

1. Monitor the solution implementation
2. Evaluate solution implementation
3. **Report and close the problem**

Tool 6b. Problem Reporting

The essential components of a problem report include the following:

1. **Executive summary**

   The **executive summary** provides the gist of the problem and the solution, including the recommendations. It is suggested to write this part last, so the recommended solution is clear.

2. **Background**

   This section introduces the report and briefly sets out what it is about. It should relate back to the organization's strategy or vision to demonstrate how solving the problem is important to the organization. This includes the overview of the project, the complaint, and how the eligibility of the complaint has been determined.

3. **Review and assessment**

   This section provides a more detailed account of the problem and why it was important to address it. It should include the details of the problem such as the impact of and reasons for having the problem. The objectives and methodologies that govern the problem solving process should also be presented here. Stakeholder identification and assessment of problems should also be clearly stated in this part to provide a clearer vision of the scope of the problem.

4. **Course of action, recommendation, and schedule**

   The course of action should be detailed in this part of the report. This includes the action plan and the Gantt chart, which clearly shows the activities conducted for solution rollout. The reasons for choosing the solution should be included here.

5. **Conclusion**

   This provides information on the challenges that have been encountered during the problem solving process and the lessons learned from them. It also details the outcomes of the problem solving process.

Summary and Conclusion

This guide is intended as a resource for reference and review for those preparing and implementing projects and programs. In this dynamic field, OSPF believes it is essential for all development professionals to continue learning and to refresh practice and skills. The problem solving process is flexible, and beyond formal conflict management, the approaches, tools and skills are relevant and transferable to everyday business. To assist with this, OSPF offers a training program, which can be found on the OSPF website, www.adb.org/site/accountability-mechanism/problem-solving-function/office-special-facilitator. The OSPF website provides access to problem solving cases that demonstrate the benefits of the problem solving process.

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Problem Solving: Guidebook for ADB-Assisted Projects

This Guidebook is a product of the Asian Development Bank (ADB) Accountability Mechanism's Office of the Special Project Facilitator (OSPF). Built on the experiences and lessons of OSPF's problem solving with ADB-Assisted projects, it spells out a practical approach to solving problems encountered in projects. The value of the OSPF approach to problem solving is recognized in resolving community development problems, in facilitating improved relations within teams and stakeholders, and in putting together difficult agreements.

About the Asian Development Bank

ADB's vision is an Asia and Pacific region free of poverty. Its mission is to help its developing member countries reduce poverty and improve the quality of life of their people. Despite the region's many successes, it remains home to the majority of the world's poor. ADB is committed to reducing poverty through inclusive economic growth, environmentally sustainable growth, and regional integration.

Based in Manila, ADB is owned by 67 members, including 48 from the region. Its main instruments for helping its developing member countries are policy dialogue, loans, equity investments, guarantees, grants, and technical assistance.

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