# TOOL 3: CEA SELF-ASSESSMENT AND PLANNING WORKSHOP

### **Guidance notes**

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**Other resources linked to this tool:**

1. Force field analysis worksheet
2. Self-assessment worksheet
3. Action planning worksheet
4. Self-assessment and action planning excel tool
5. PPT slides

#### Purpose of this tool

This tool provides facilitator notes, word and excel worksheets, and PowerPoint slides to deliver a one-day community engagement and accountability (CEA) self-assessment and planning workshop. This workshop can be added at the end of the CEA Foundation training with the aim of supporting a National Society to finish the training with a clear action plan for how they can strengthen CEA institutionally and within programmes and operations.

The workshop includes:

* An exercise called force field analysis, which can be used to explore the factors that are supporting or preventing stronger accountability to communities within the National Society. This includes identifying potential solutions to overcome these barriers.
* A self-assessment exercise to measure how well the National Society and its programmes and operations are meeting the minimum actions for CEA, covered during the CEA training course.
* A planning exercise to agree which CEA priorities to focus on at the institutional level and within programmes and operations, including roles, responsibilities, resources, and timelines.

It is critical that there is someone within the National Society who can follow up after the workshop by translating the discussions and draft action plans from each group into a CEA strategy or workplan for the National Society.

#### Advice on delivering this workshop

|  |  |
| --- | --- |
| **When to deliver the workshop?** | * Works best when added to the CEA Foundation training, so all participants understand CEA and its purpose * If delivered as a standalone day, all participants should have a good understanding of CEA and consider adding an introduction to CEA session and an overview of the minimum actions to institutionalize CEA, both of which can be taken from the CEA Foundation training package |
| **Facilitators** | * As most of the workshop is group exercises, two facilitators are needed to provide adequate support to each group * Facilitators should have a good understanding of CEA and facilitation skills. All facilitators must read through this guidance note and understand how the exercises work |
| **Participants** | * Suitable for staff and volunteers at all levels, including leadership, programmes and operations staff, technical areas such as PMER and NSD, and branch teams * The ideal number of participants is 20-30, but the methodology can accommodate more if there is strong interest from the National Society to participate |
| **Methodology** | * Mainly group work, with some limited PPT to explain exercises and plenary discussion to share findings |
| **Materials** | * Facilitator guidance note (this document) * PPT * Group exercise worksheets (separate from this document) * Stationary - flip chart paper, pens, small stickers, and a projector * Copies of the [Movement Guide to Community Engagement and Accountability](https://communityengagementhub.org/resource/ifrc-cea-guide/), or PDF version shared in advance with all participants. If full copies of the guide are not available, print out the CEA minimum actions one-page infographic |
| **Preparation** | * Read this guidance note and make sure you understand how each exercise works * Prepare the first group exercise on flip chart paper in advance or print enough worksheets for each group * Print enough self-assessment and planning group exercise worksheets for each group, or email these to groups if they prefer to work on their computers. The self-assessment and action planning worksheets are available as word or excel depending on participant preferences and capacity * Allocate all participants to a group in advance. Groups should have a maximum of 6 people to ensure everyone can participate. People should be grouped with those working at a similar level in the organization (e.g., senior managers and leaders, programmes and operations teams, cross-cutting areas such as PMER, NSD and CEA, support services, branch teams). This is to ensure all participants feel comfortable to speak honestly and freely in front of their group. |

#### Facilitator notes for each session

##### 1. Welcome and introductions

**Time:** 30 mins

**Purpose:** To introduce the purpose of the day, allow people to get to know each other through an icebreaker that includes some grounding questions for the workshop.

**Preparation:** Familiarise yourself with the slides.

**Materials:** PPT slides

**Instructions:**

1. **(Slide 2)** Explain the purpose of the self-assessment and planning workshop:
   1. Help the National Society understand what is supporting it to be accountable to communities, and what the barriers are, at the organizational level and how to overcome them
   2. Carry out a self-assessment exercise to see how well the National Society is meeting the 18 minimum actions for CEA at the institutional level and within programmes and operations
   3. Use these assessment exercises to develop action plans setting out the activities the National Society needs to implement to strengthen CEA institutionally and within programmes and operations, including who can take this forward and the resources needed
   4. Following the workshop, the force field analysis, self-assessment, and action plans can be used to develop a CEA Strategy and/or workplan for the National Society.
2. **(Slide 3)** Provide a brief overview of what CEA is.
3. **(Slide 4)** Ask participants to take 5 mins to discuss with the person sitting next to them the 5 grounding questions.
4. Go around the room and ask each person to introduce their partner and one thing they said that surprised them or they strongly agreed with. Ask people to be brief so this can be completed in 10 mins.
5. **(Slide 5)** Wrap up the introduction by asking if anyone has any questions.

##### 2. Force Field Analysis exercise

**Time:** 2.5 hours (including a 15 min break)

**Purpose:** Help the National Society understand what is supporting it to be accountable to communities, and what is holding it back, at the organizational level and brainstorm potential solutions to overcome these barriers, including who can lead on each solution and the resources needed.

**Preparation:** Familiarise yourself with the slides and the instructions for each stage of the force field analysis exercise. Groups can either complete the force field analysis on a flipchart paper, which makes it easier to work on together or by printing out the force field analysis worksheet for each group.

**Materials:** PPT slides and force field analysis worksheet.

**Instructions:**

Force field analysis stage one

1. **(Slide 7-8)** Introduce the force field analysis methodology by explaining:
   1. Force field analysis is an approach widely used in the peacebuilding field to understand the drivers of conflict
   2. For this workshop, force field analysis will be used to understand the factors that are supporting or enabling the National Society to have strong accountability to communities and the factors that are preventing or blocking the National Society from having a more systematic, reliable (institutionalized approach) to CEA
   3. This exercise is focused on the National Society **at the organizational level**, rather than what happens within specific programmes or operations (this will come later in the workshop). So, participants need to think about what is helping or hindering the National Society from having a strong, systematic, and reliable approach to CEA, where CEA has been *institutionalized* in the National Society’s ways of working
   4. The force field analysis workshop was used by the Africa region to develop the CEA Strategy. Show the photo of one of Burundi Red Cross’ branches taking part in the exercise to highlight this is a simple and effective approach that all staff and volunteers can do.
2. **(Slide 9)** To ensure everyone is on the same page and has a similar understanding take a few minutes to explain what is meant by institutionalizing CEA and by factors:
   1. Institutionalizing community engagement and accountability means making it part of the organisation’s DNA, or business as usual. It means integrating community engagement into strategies, policies, plans and ways of working until it becomes a predictable, systematic part of every activity, at every stage of the programme or disaster response cycle
   2. Factors are the elements that exist within the organization that either help the National Society to be accountable or act as a barrier or blockage. This can be things we can see, such as policies, funding, staff positions, manuals or things that cannot be seen, like organizational culture, staff attitudes and behaviours, or relationships between different groups in the organization, i.e., between leadership and staff or between staff and volunteers.
3. **(Slide 10)** Provide instructions for the first stage of the force field analysis exercise by explaining:
   1. In the first step of the force field analysis, participants will complete the table on the slide – called the three-box exercise
   2. Groups will discuss what factors are supporting or enabling the National Society to have a strong systematic approach to accountability to communities **right now**. Stress the exercise is not asking what *should* be in place to support strong accountability, but rather what is in place **at this point in time**. This could be policies, staff positions, funding, partner support or staff commitments
   3. Next groups need to discuss what is preventing or blocking the National Society from having a more institutionalized approach to CEA. Again, this could be tangible things like no policy, limited funding, no dedicated staff positions or intangible things like knowledge, no training, or not seen as important by leadership or staff
   4. Ask if anyone has any questions about the exercise.
4. **(Slide 12)** Show the groups for the force field analysis exercise and ask each group to sit together. Hand out a pre-prepared force field analysis stage one flip chart or printed worksheet to each group. One person in the group needs to be the note taker and fill in the flip chart.
5. Groups have 50 mins to complete the exercise. Facilitators should visit each group regularly to check they have understood the instructions but should largely leave the groups to discuss amongst themselves. Key potential issues to look out for include groups straying into discussing what *should* be in place to support strong CEA, rather than what actually is in place. Try to encourage groups to also focus on barriers and enablers within the organisation, rather than externally. Remind groups to focus on the current situation within the National Society.
6. In the final 10-15 mins of the groupwork, the facilitators should visit each group and ask them to prioritize which three negative factors are presenting the biggest barrier to a stronger, more institutional approach to CEA within the National Society. Groups should prioritize the barriers that if they could be addressed, would have the biggest positive impact on CEA institutionalization within the National Society.
7. Close the groupwork but assure groups that if they did not complete the prioritization, they can still do this in the next stage of the exercise.

Force field analysis stage two

1. **(Slide 13)** Provide instructions for the second stage of the force field analysis exercise by explaining:
   1. Groups will now look at the three main barriers preventing CEA they prioritized and discuss for each one, what is causing this barrier and what its effect or impact is on the National Society. An example is included on the slide to help. It’s likely there will be some overlap between the causes and effects, and there may be similar causes and effects for different barriers. This is fine and just demonstrates how different forces or elements within the National Society work together.
   2. Then for each barrier against CEA in the organization, they should discuss potential options or solutions that would help to address or overcome the barrier. Then identify who is needed to make sure the solution can be implemented and what resources would be needed to implement it. Ask groups to be specific when it comes to listing resources. For example, they should not just say ‘funding’ but explain what funding would be needed for, or not just say ‘staff’ but explain what positions would be needed and where.
   3. Ask everyone to get back into the same groups as before and hand out a pre-prepared force field analysis stage two flip chart, or they can use the printed worksheet, to each group. One person in the group needs to be the note taker and fill in the flip chart.
2. Groups have 50 mins to complete the exercise. Facilitators should visit each group regularly to check they have understood the instructions but should largely leave the groups to discuss amongst themselves. Key potential issues to look out for include groups not being specific enough when they list solutions, key people, and resources. These need to be specific-enough to be used to develop a CEA strategy or workplan.

Reporting back

1. Allow 20 mins for groups to report back on their discussions. This can either be through each group taking 5 minutes to share one barrier and the solutions they identified. Alternatively, all groups could post their flipcharts on the wall, and everyone can walk around the room and read what other groups included. Allow 5 mins for plenary if you use this method to ask if anyone read anything they really agreed or disagreed with.
2. Groups should keep their flip charts safe so they can refer to them for the action planning exercise and the facilitator should take photographs of each flip chart so these can be used when developing the National Society CEA strategy or workplan after the workshop.

##### 3. Self-assessment exercise

**Time:** 1 hour 20 mins

**Purpose:** A self-assessment exercise to understand which CEA minimum actions the National Society is meeting well and where the gaps are in institutionalization, programmes, and operations. This will help to identify which CEA minimum actions to focus on in the action planning exercise.

**Preparation:** Familiarise yourself with the slides and the instructions for the self-assessment exercise. Decide whether to use the word or excel version of the self-assessment worksheet. Print or email a copy of the self-assessment word or excel worksheet for each group.

**Materials:** PPT slides and self-assessment worksheet. It would help for participants to have a copy of the CEA Guide, or the link to view this online and access to laptops (<https://communityengagementhub.org/resource/ifrc-cea-guide/>).

**Instructions:**

1. In plenary, take 10 mins to provide instructions on how groups can complete the three sections of the self-assessment worksheet. There are examples on the slide of how these sections could be filled in.
2. Participants should remain in the same groups as before.
3. Remind participants they can refer to the CEA Guide, or ask one of the facilitators, if they are unsure what any of the actions mean or include.
4. Groups only need to complete the sections where they have knowledge and experience. For example, if a group has no experience of emergency operations, they don’t need to complete this section.
5. For the institutionalization section:
   1. There are four minimum actions to institutionalize CEA in the National Society. Under each action is a list of questions to assess whether the National Society has the necessary elements in place to meet that action. Groups should read each question and answer yes, no, or somewhat/sometimes. For any they don’t know, they can leave blank.
6. For the programmes section:
   1. Groups can answer this section based on one specific programme (if you have a group that all work on the same programme), or the National Society’s programmes in general (if the group is people working across multiple programmes)
   2. For each of the 14 minimum actions, rate how often and how well each action is implemented within the National Society’s programmes. If the group has people from several programmes, they need to discuss and agree ‘on average’ how often and how well the National Society’s programmes meet each action
   3. Once they have rated how well the action is implemented now, and how well it should be done, they need to calculate the gap between the two
   4. Groups then need to decide which CEA minimum actions should be improved as a priority and so included in a CEA strategy or plan of action. Higher numbers in column five indicate where the biggest gaps in CEA exist. However, groups are also free to prioritize actions with smaller gaps if they feel these are more important for the National Society
   5. Advise groups not to make all 14 actions a priority. They should be realistic about how many actions can be improved within a year or two, or whatever timescale the CEA strategy or action plan will cover.
7. For the emergencies section:
   1. Follow the same process as above, for the 10 minimum actions for CEA in emergency response operations. These actions are a subset of the programmes actions and highlight which actions to focus on when time and resources are limited.

##### 4. Action planning

**Time:** 1 hour 30 mins

**Purpose:** Groups develop a CEA action plan using the findings from the force field analysis and the self-assessment. These action plans will be used after the training to develop a CEA strategy and/or workplan for the National Society, including priority areas of focus, roles, responsibilities, resources, and timelines.

**Preparation:** Familiarise yourself with the slides and the instructions for the action planning exercise. Decide whether to use the word or excel version of the action plan worksheet. Print or email a copy of the action plan word or excel worksheet for each group. This could also be copied onto a flipchart if preferred.

**Materials:** PPT slides and action plan worksheet. It would help for participants to have a copy of the CEA Guide, or the link to view this online and access to laptops (<https://communityengagementhub.org/resource/ifrc-cea-guide/>).

**Instructions:**

1. In plenary, take 10 mins to provide instructions on how groups can complete the action plan worksheet. There is an example on the slide of how this can be filled in.
2. Participants should stay in the same groups as previously.
3. The template action plan has a section for institutionalization, programmes, and operations. Groups do not have to complete all sections, only those they discussed and identified as priorities in the self-assessment exercise. So, if a group only completed the self-assessment for their specific programme, then they can focus on the programme section in the action plan.
4. Groups should use the information from the self-assessment and force-field analysis exercise to complete the action plan.
5. Groups can add more boxes at the end if they need more space. However, remind them to be realistic about how much can implemented within the action plan timeframe.
6. Groups are welcome to add activities that fall outside the CEA minimum actions if these were identified as important during the force field analysis exercise.
7. Ask groups to be as specific and detailed as possible when explaining what activities will be implemented. They should note if activities will only be implemented within one location, department, programme, or operation.
8. To complete the action plan, groups should:
   1. Copy the CEA minimum actions identified as priorities in the self-assessment exercise into the relevant section of the action plan template
   2. List the activities that will be implemented to meet the action. It is fine to list multiple activities under one minimum action
   3. Explain who will lead the action and who else needs to be involved. This can include people in the National Society, wider Movement or externally. Ideally this should be named people, but specific positions or departments will also suffice
   4. Note the resources required to implement the activities including funding, staff positions and time, materials, or partner support
   5. Include the date when the activities should be completed by
   6. Outline any enablers or barriers identified during the force-field analysis that might help or hinder the implementation of the activity
   7. Add any solutions identified in the force-field analysis as a way of overcoming the barrier. In some cases, the solution might be the same as the activity being discussed – this is fine and just shows that the barriers and solutions identified in the force-field analysis are similar to the CEA minimum actions.

##### 4. Reviewing and voting on plans

**Time:** 30 mins

**Purpose:** Groups can review each other’s action plans and vote on the minimum actions and activities they think should be prioritized in the National Society CEA strategy and workplan.

**Preparation:** None

**Materials:** Small coloured stickers. If not available, coloured pens would also work.

**Instructions:**

1. Ask each group to post their action plans on the wall. Ideally somewhere with enough space for others to gather around and read.
2. Give each participant 10 stickers each. Or if stickers are not available, tell them they have 10 votes they can give using a coloured pen.
3. Ask them to read the other groups action plans and put a sticker next to the activities they feel are most important. They are **not allowed** to add stickers to their own plan.
4. The facilitators should collect all action plans, with votes at the end of the session.

##### 4. Final reflections and close

**Time:** 15 mins

**Purpose:** Collect feedback on the day, provide participants with information on next steps and what is needed from them, and close the workshop.

**Preparation:** If using the PPT slide, add more details on next steps.

**Materials:** PPR slide, but does not need to be used.

**Instructions:**

1. Ask one person from each group to share a reflection on the day and what they hope will come from it. Alternatively, ask participants to write on three separate post-it notes what they liked about the day, what they didn’t like, and what they hope will happen next and stick these to a flipchart with the same headings at the front of the room.
2. Explain what will happen next, including how a CEA strategy or workplan will be developed and when a first draft can be shared with participants.
3. Thank everyone for their active participation and close the workshop.

#### Annex 1: Agenda

Suggested timings for the workshop below. If you are including sessions on what is CEA and institutionalizing CEA from the Foundation Training you may need to shorten some of the groupwork or add more time:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **TIME** | **DURATION** | **TOPIC** | **METHODOLOGY** | **RESOURCES** |
| 09.00 – 09.30 | 30 mins | **Welcome and introductions**   * Explain the purpose of the workshop and agenda for the day * Introduction ice breaker and questions | Plenary and discussion in pairs | PPT slides  Ice breaker exercise on slides |
| 09.30 – 09.40 | 10 mins | **Force field analysis stage one – three-box exercise**   * Instructions for the solutions stage of the force field analysis exercise | Plenary with PPT | PPT slides |
| 09.40 – 10.30 | 50 mins | **Group work – force field analysis three-box exercise & prioritization**   * Groups discuss the factors for and against stronger accountability to communities and who is key to this process in the National Society * Facilitator should go to each group in the last 10-15 mins of the group work and ask them to prioritize the top three negative factors that are preventing stronger accountability to communities | Group work with facilitator support  Additional facilitator instructions in the last 10 mins of the exercise | Flip charts or printed worksheet |
| 10.30 – 10.45 | 15 mins | **Break** |  |  |
| 10.45 – 10.50 | 5 mins | **Force field analysis stage two – finding solutions**   * Instructions for the solutions stage of the force field analysis exercise | Plenary with PPT | PPT slides |
| 10.50 – 11.40 | 50 mins | **Group work – force field analysis solutions exercise**   * Groups discuss the causes and effects of the top three factors against stronger accountability * Then identify potential solutions to overcome these challenges, including who can lead on each solution and the resources needed | Group work with facilitator support | Flip charts or printed worksheet |
| 11.40 – 12.00 | 20 mins | **Groups report back**   * Each group shares some of the challenges and solutions they discussed – either by presenting or having each group post their flip chart on the wall | Plenary group discussion | None |
| 12.00 – 13.00 | 1 hour | **Lunch** |  |  |
| 13.00 – 13.10 | 10 mins | **Introduction to the self-assessment exercise**   * Explanation of the self-assessment exercise where groups will use a scorecard to assess how well their National Society, programme, operation and/or branch is meeting the minimum actions for CEA | Plenary with PPT | PPT slides |
| 13.10 – 14.20 | 70 mins | **Group work – self-assessment exercise**   * Groups will complete the self-assessment scorecard for CEA, either for all 3 sections (institutionalization, programmes, and emergencies) or for just some of these, depending on their roles | Group work with facilitator support | Self-assessment worksheet for each group |
| 14.20 – 14.35 | 15 mins | **Break** |  |  |
| 14.35 – 14.45 | 10 mins | **Introduction to the action planning exercise**   * Explanation of the action planning exercise using the findings from the force field analysis and self-assessment exercises | Plenary with PPT | PPT slides |
| 14.45 – 16.15 | 90 mins | **Group work – planning exercise**   * Groups complete the action plan template using the results of the self-assessment and force field analysis | Group work with facilitator support | Action planning worksheet for each group |
| 16.15 – 16.45 | 30 mins | **Reviewing and voting on plans**   * Each group can walk around the room and see what activities other groups have included in their plans and add stickers to activities they think should be prioritized | Plenary walk around | Stickers |
| 16.45 – 17.00 | 15 mins | **Wrap up and close**   * Reflections on the workshop and agree next steps | Plenary | PPT slides |