A MANAGER'S GUIDE TO WORK PLANNING A VALUE CHAIN DEVELOPMENT PROJECT

Questions or Feedback? Please contact TLS@acdivoca.org, or share your experience on AspireGlobal.

This guide was prepared by Paul Guenette and Anna Garloch of ACDI/VOCA in June 2013.

Introduction

Why is this Important?
The value chain approach requires, by its very nature, a complex and nuanced view of how systems operate.

To successfully implement a value chain development program, projects must process and prioritize diverse sets of information on multiple, interconnected systems, innovate in the types and phasing of activities and grants, define the responsibilities of staff vs partners, manage separate yet linked streams of interventions, and redefine what is considered a "milestone."

These all have implications for how value chain development program work plans are crafted, articulated to the donor, and used as part of an active, ongoing adaptive management tool throughout implementation.

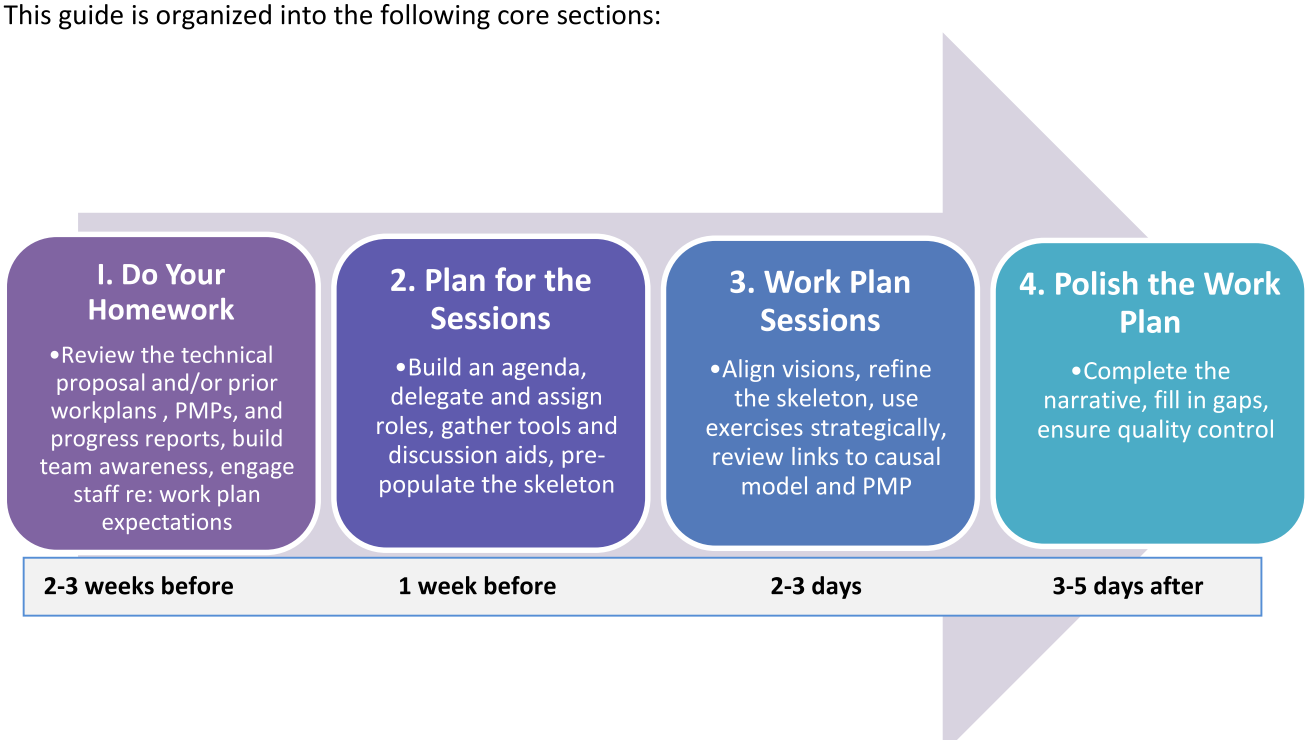
Purpose of Guide
The purpose of this guide is to help ACDI/VOCA value chain development program leaders:

- Improve the quality and technical consistency of annual work plans
- Use the process to build staff buy-in and capacity to use the value chain approach
- Review general best practices in work planning

Overview
This guide includes the following:

- A narrative outline of the work planning process for value chain projects, with guidance and tips, in accordance with ACDI/VOCA recommended practices
- A sample 3-day work planning session agenda
- Suggested work planning session activities/exercises (with ready-to-print templates for ease of use)
- Sample work plans from ACDI/VOCA value chain development projects

This guide is organized into the following core sections:



I. Do Your Homework

A. Anticipate the Technical Work Plan

Review the program proposal and/or the previous year's work plan and recent progress reports. What did we promise? For those in Year 1 work planning, the proposal often includes a draft Year 1 implementation timeline which can jump-start the process.

Re-read any value chain analyses that have been conducted. How well did we understand and articulate the dynamics of the value chains in the proposal or in prior project reports? Are there changes to the design activities which need to be articulated in the upcoming work plan? Are there gaps that need to be filled with additional assessments or pilots in the coming year?

In year 1, many projects may not have completed (or even begun) their value chains analyses or other key complementary assessments, such as gender or an enabling environment study. Decide how you will address this information gap in the work planning process. Perhaps there are materials from a previous program that are useful, headquarters could provide some technical support, or local experts in that subject area could be invited to participate in targeted work plan sessions.

> At times, programs may need to develop a 'quick and dirty' work plan in order to respond to donor demands . This is particularly true for programs in the year 1 start-up phase – often under a very tight timeline, functioning with a small team until all staff are onboard , and working off a limited understanding of the value chain systems until analyses are completed and partners engaged. This is an unfortunate reality to which programs must respond. **However**, such a work plan will not suffice as an effective project plan to guide actual implementation. Once the start-up phase has stabilized and it is time to develop an implementation plan, the process outlined in this guide remains a useful and highly recommended set of exercises for project teams to use.

B. Prepare your Team

Regardless of the implementation year your project is in, before you can capably draft a work plan, you have to identify and energize your team. Your primary responsibility as field team leader is to meet early with each member of your field team, and ensure that they understand both the vision of the program, the implementation approach you will take, and the role (Scope of Work) that each of them will play in the program. Only when the various members of your field team understand their anticipated responsibilities will they personally commit to the work plan process and commit to take responsibility for their expected technical program planning and implementation contributions.

> **Scheduling:** Beginning 2-3 weeks before the formal work planning exercise, do your homework by reviewing the proposal and resolving serious shortfalls in technical information needed for drafting a full work plan. Hold a team-building activity to help everyone understand the context for their eventual contributions to the unified program. Then meet individually with your team members to ensure they understand your expectations for their upcoming contributions to work planning.

Note: First-year program staff come from diverse companies, career paths, and prior jobs. You will also likely have a mix of people with private sector experience needing to find common ground with those with a more traditional, donor-focused background. In addition, value chain projects often require different – and new – skill sets from staff, and it will take time and investment for the team to pick up on new concepts, which often seem ambiguous at first. Do not undervalue the importance of team building and staff development. Reaching common understandings with the members of your field team about each other and their respective roles in the program *before* the work planning exercise will greatly improve the quality of their contributions to the work plan and the work planning process, as well as their personal commitment to the subsequent approach and activities. This is especially critical for new programs, but adds value as an annual exercise as well.

Tip: As a foundational component of staff capacity development in the value chain approach, **ACDI/VOCA strongly encourages program leaders to require all staff – including sub-awardees – to complete the *Learning Value Chain Basics Tutorial*** (accessible via the Value Chain Toolboxes main page on AspireGlobal), at the start of a program and before any work planning sessions.

Additional value chain training resources – including courses on facilitation and sample value chain analyses – are also available via the Value Chain Toolboxes, or by contacting TLS@acdivoca.org.

II. Session Pre-Planning

A. Know your Work Plan Template

Outline the major sections to be completed in advance. This may require a discussion ahead of time with the donor regarding their preferred mix of narrative and Excel tables, as well as their preferred degree of complexity and document length. Aligning expectations in advance can ultimately save time.

> **Example:** See Annex 1 for a sample Report Outline.
> See Annex 6 for links to several complete ACDI/VOCA VCD project work plans.

The team work planning sessions may be more productive if you pre-populate some sections of the outline in advance, leveraging illustrative plans from the proposal stage (for Year 1 work plans) or related content from prior work plans (for subsequent years). Starting a work plan from scratch with the entire team on Day 1 of the sessions is rarely a feasible approach. Depending on the size of your staff and the complexity of the program, the Team Leader may want to start a basic foundation him/herself; then sit with senior technical staff to flesh out concepts, strategies, objectives and tasks; then host the full team work planning sessions to review, refine, fill in gaps, and facilitate staff buy-in.

For projects with multiple value chains, you will need to decide if you will organize the work plan presentation by value chain (with sub-sections for each component), or by component (with sub-sections for each value chain). This is often a complex choice to make and a difficult one to change in subsequent years.

> **TIP:** In deciding how to organize the work plan, one ACDI/VOCA team leader has found this rule of thumb helpful: if the value chains are similar (e.g. maize, soy), format the work plan by component. If the value chains are different (e.g. rice, banana), format the work plan by commodity (addressing relevant components within each value chain discussion).

One suggested way to structure the technical narrative for each value chain's work plan is as follows:

- *State of the current system*: Briefly summarize the value chain in its current state
- *Vision statement*: Articulate a vision for change in the value chain
- *Strategy to achieve this vision*: In order for this to occur, what needs to happen over the life of the project? Be as specific as you can. For projects in Year 2 work planning and beyond, include a summary of what has happened thus far.
- *Link to Year X*: How do year 1 (or 2, or 3) activities support this vision and strategy? A graphic often complements a narrative description.
- After this overall picture has been articulated, describe each program component and activity levels which populate the work plan table (usually in Excel). See Annex 4 for example.

B. Assemble your Team

Involve your core technical team in building the agenda and leading various sessions. But also consider who else should participate – there may be discrete sessions where it would be helpful to invite others e.g. private sector partners to the value chain overviews. Do you want to engage your core partners? Engage your donor? For example, inviting the USAID AOTR to a work plan wrap-up session promotes open communication and often builds buy-in for your work plan.

TIP: Don't write your work plan in isolation - it will be a better document for the input and contributions of others and the team will grow and coalesce from the opportunity (and expectation) to contribute. For the same reasons, don't "farm out" the writing job to too many writers – this is almost always inefficient, reinforces silos, and requires significant re-writing and editing to present a cohesive program narrative. The work planning process should involve a mix of individuals writing/editing and team workshopping, managed throughout by a strong leader.

C. Gather Good Tools

Prepare templates, graphics, and information to facilitate discussions and planning. This might include crop calendars, gendered division of labor tables, value chain system diagrams, or trade flow maps. Ideally these discussion aids can be pulled from existing project assessments or external reports (e.g., your predecessor project's final report, a government resource, studies conducted by other donors or organizations).

Several days before the session, gather and distribute these discussion aides (or have them printed and ready to put around the conference room), as well as the blank exercise templates included in this guide. You may want to prepare some 'cheat sheet' versions for each exercise to ensure discussion moves along.

Scheduling: Plan on 2-3 days for the group work plan drafting process with free time built into the last day for inevitable spillover. Anticipate another 3-5 days to finalize the work plan. Allow sufficient time between your planning session and the work plan due date to address information needs that emerge during the session.

D. Build an Agenda

Make a written agenda for the work planning day(s) and distribute it in advance (ideally, a week beforehand) to staff and institutional partner representatives. Assign appropriate presentation responsibilities to stimulate capable participation and ensure that the agenda communicates clearly what will be expected of them. Delegate someone to capture or bullet out notes and discussions to enable smoother narrative writing post-workshop.

***Note*: Depending on the complexity of your program (and the robustness of your preparatory work – see Section I and II.A), additional days may be necessary to adequately complete the work planning workshops. To respond to the unique context and needs of your individual program, you may also need to add or remove sessions (and the time allocated to each).**

Template: See the following pages for a sample 3-day *Team Work Plan Sessions* Agenda

Sample 3-Day *Team Work Plan Sessions* Agenda

DAY 1

9:00 **Ice-breaker:** Team-building activity involving participants speaking, moving, expressing their anticipated contributions and planning session aspirations.

9:30 **Introduction:** Present and discuss 3-day agenda schedule, highlight expected staff contributions, summarize anticipated planning session outcomes and follow-up.

10:00 **Value Chain Approach:** Give a brief, macro-level review to ground the discussions that follow, emphasizing any unique 'lenses' (gender, nutrition, reaching the very poor) relevant to your program design. See the Value Chain Toolboxes on AspireGlobal for value chain overview presentation aides. *Note: this is not meant to replace a more thorough value chain approach training as part of a program's start up and staff development plans*

10:30 **Program Framework:** review causal model (see Annex 3 for examples), core components and activities, indicators and results (tied to the PMP), and the roles/responsibilities of the institutional team that will implement (or influence) the project.

11:30 **Technical and Financial Resources:** review the financial and technical resources available for use, including: training budgets; availability of STTA and volunteers; funds for and volume of sub-grants, contracts, or 'challenge'/seed funds'; etc.

12:00 **Lunch**

1:00 **Review** illustrative implementation plan from proposal or the prior year work plan. What has changed since then? What will stay the same? What needs to be adapted? Should anything be dropped?

2:00 **Value Chain Reviews:** Outline and review dynamics of each targeted value chain, key stakeholders, relationships and incentives. Technical staff should present - see Annex 2, Activity 1. Relevant cross-cutting issues (e.g. gender) should be integrated into this discussion (consider Annex 2, Activity 3).

4:00 **Value Chain Strategy Maps:** review and refine a snapshot of the overall vision and upgrading strategy for each value chain. If there are multiple value chains, consider breaking into groups for part of the time. *Note: If completed strategy maps are not already available pre-workshop, consider pre-populating key sections of the map in advance (or prepare a private 'cheat sheet' to facilitate discussion)*.

5:30 Review plan for Day 2.

DAY 2

9:00 **Refresh:** Summarize preceding day's activities and products, renew commitments to actively participate and contribute.

10:00 **Quick Wins and Early Starts:** see Annex 2, Exercise B; use this exercise to help with activity planning and partner identification, and ensure that (a) quick win opportunities aren't missed and (b) the future isn't overlooked in the rush of Year 1. It also helps identify synergies that may emerge across value chains. Allow 30 minutes for group work, 30 minutes for collective sharing and discussion.

11:00 **Group Work:** begin to populate/refine Work Plan Tables (see Annex 4), drawing on VC Strategy Maps (Day 1) and Quick Wins/Early Starts Table (Day 2). Organize and detail the major activities under each component, and then the more precise (and often sequential) program elements under each of the activities

12:30 **Lunch**

1:30 **Present, Discuss and Refine** work plan tables as a team. Focus on results, timing, synchronization, resources, and persons/partners responsible

3:30 **Cross-Cutting Coordination:** with an explicit focus on coordination across value chains (or components, depending on how the tables are initially structured), discuss and refine plans from the perspective of cross-cutting coordination, support service systems, and considerations including gender, environment, and nutrition.

5:30 Review plan for Day 3.

DAY 3

9:00 **Refresh:** Summarize preceding day's activities and products, renew commitments to actively participate and contribute

9:30 **Who Does/Who Pays?:** see Annex 2, Exercise A. Use to ensure partnerships and subgrants fully considered/accounted for, and to reinforce incremental phasing and facilitation; allow 30 minutes for group work, 30 minutes for collective sharing and discussion

10:30 **Link to Grants and Budgeting**: drawing on previous exercise, review and discuss the work plan, focusing on timelines for grant or challenge funds and the feasibility of costs associated for planned activities

11:30 **Continue to Share and Refine** work plan tables collectively, revisiting gaps or trouble spots that arose during Day 2

12:30 **Lunch**

1:30 **Recap and review:** ensure causal model, value chain strategies, and results progress link with work plan tables

2:30 **Next Steps:** identify post-workshop tasks to enable 'polishing' and finalization

III. Team Work Plan Sessions

A. Introduce the Process

Review the agenda with the team to familiarize everyone with the work plan process, the schedule you will follow, and designated leaders for various sessions. To get conversation flowing, you may want to do a short icebreaker, such as asking each person to share what they hope to take away from or contribute to the sessions.

Template: See Annex 2 for Suggested Activities and Exercises

B. Anchor the Session in the Causal Model

Review the program "vision" i.e. what the program is ultimately striving to reach – and the logical pathway or causal model that illustrates at a macro-level how the project activities and approaches will result in or contribute to that vision. An illustrative causal model is often included as a graphic in the proposal, but can also be derived from the PMP, understanding how outputs will feed into outcomes and achieve program goals.

This discussion should not only remind the team of the 'what' of the causal model, but also the '*how'* – the project's core implementation principles and key tenets of the value chain approach, contextualized to be relevant and tangible for the project and this work planning discussion.

TIP: Clearly articulate the expected pace of change in the causal model. Interventions done in line with a value chain approach often take time to develop, and results will rarely progress in a linear fashion. For example, Y1 targets should be realistic but with a clear, *articulated* vision for how they will gradually increase in following years.

Template: See Annex 3 for examples of causal models

C. Review the Context

Introduce and highlight your work plan session's "hard" resources: display and review the available value chain industry maps from the value chain analysis (or drafts from the proposal), geographic maps illustrating target value chain activity areas, and crop calendars illustrating critical timing events for each of the various value chains.

Also review the "soft" resources (e.g. institutions and personnel) and the relationships between them. Outline and discuss the respective roles and responsibilities of the program donor, the relevant government offices, and the institutional implementation team (prime and subs). Discuss program personnel and their various responsibilities. And underscore the program legal framework (contract or grant) that dictates administrative and financial procedures.

TIP: Financial resources and mechanisms are important components of the program context and the tools it has to work with. You may wish to incorporate a "Technical Resources" discussion in the sessions, highlighting the expected role and availability of STTA, volunteers, sub-grants, training funds, contracts, challenge funds, etc

D. Build the Skeleton

Drawing on a 'skeleton' prepared in advance with a core technical team, review and refine the core strategy for each value chain system, ideally presented in a summarized, quick-to-grasp format. Suggest status quo in relation to quantities and price and intended future changes, noting facilitation upgrades needed, partner actions and locations.

Then, building from the causal model, discuss and elaborate the work plan's "super-structure" - the program goal and objectives, Intermediate Results, and targeted performance indicators, noting and highlighting appropriate Sub-IRs under each. Under each Sub-IR, agree on Operational Program elements such as *Improve Marketing Systems*, and use these to group related program activities under each Component such as Training of Trainers in Sell More For More (SMFM), Build market information capacity, etc. Begin program activity labels with action words (train, facilitate, launch, pilot, etc.).

Example: See Annex 4 for a sample work plan table

TIP: It is easy to lose sight of the 'forest for the trees' in filling out tables and activity outlines. In addition to considering changes in physical linkages in the value chain, push the team to consider how key relationships between actors themselves will need to change – and understanding their role and responsibility as staff in facilitating and incrementally encouraging that change over time.

E. Fine-tune the Details

For each activity, identify targets, resources (staff, partners, and, ideally, monetary ballparks), target geographic region and calendar months.

F. Fill in the Blanks

Review draft material in an overall consultative process initially to identify areas that your team suggests need strengthening, then go through the draft as a group a second time to strengthen the content collectively. Consider issues such as:

- ***Timing of activities***: from a pan-program level, identify periods of overly (or less than) ambitious periods of productivity; consider holiday and/or agricultural seasons; build in time for donor approvals and administrative processing of subawards or procurements; these issues are particularly critical to consider when programs are working in multiple value chain systems.
- ***Results and Milestones***: how realistic is the pace, volume and timeline of anticipated results? How well do milestones correspond to the program progress reporting periods? Is the planned annual progress towards the life-of-project goal sufficient (and if you anticipate it will deviate from the donor's expectations, is the rationale articulated and justified)?
- ***Budget***: are the financial resources (training budgets, grants, consultants and volunteers, major procurements, etc) needed to implement the activities detailed in the work plan? Is this consistent with the project's (annual) budget?
- ***Cross-cutting issues***: how well are issues of gender, environment and nutrition integrated into the activities? Are there other relevant cross-cutting issues?
- ***Synchronization with M&E and staffing****:* consider timelines as well as resources

TIP: If you hit a rough spot, mark it for return later or assign a small group to work on it, rather than get too bogged down as a group, lose momentum and fail to reach a solid draft product.

G. Re-review the Causal Model and the PMP

At the close of the sessions, revisit your causal model as a 'check' that the work planned activities – *and the approach used to implement these activities* –remain consistent with the project's core model. A similar 'check' should be undertaken in revisiting the promised pace of change towards outputs and outcomes as presented in the approved PMP. Where there are deviations, discuss and address.

IV. Polish the Work Plan

A. Integrate the Pieces

A cohesive technical narrative is necessary. Following the work plan workshop, project managers (and identified senior team members) should write a summary narrative to explain each element of the work plan table that follows, justifying the facilitation approach and the sequencing of value chain improvements, summarizing value chain strategies, and describing program activities. The narrative should clearly and succinctly explain major program challenges, theories and tasks. If you and/or your senior team have taken good notes during the work planning session, and the tables and exercise outputs consist of quality detail, this process will be much easier.

TIP: Be deliberate about the degree of detail you submit to the donor, recognizing that you will likely need an ***external* and an *internal* version** of the work plan to allow you greater flexibility in implementation. For example, in the Excel tables, the internal version should include month-by-month planning and detailed cost estimates associated with activities; the external version however may only need to present quarter-by-quarter planning and general references to associated resources.

B. Strengthen Weak Sections

The grants and subcontracting timeline, the monitoring and evaluation section, and (where relevant, the accompanying PMP) usually need added attention and technical expertise. In addition, knowledge management and learning may merit revisiting to ensure feedback loops are legitimized and explicitly incorporated into the work plan at regular intervals. When you have a freshly completed work plan, review your operational plans and staffing pattern to ensure that they remain adequate and appropriate.

TIP: Be sure to include these activities in your work plan:

- **Update of the Year 1 value chain analyses** – adjust what you promise based on resources/budget and/or quality of the original VCA, but do include this. Markets change.
- **Quarterly Learning "Retreats" with staff** – could be as brief as a half-day at the project office, but scheduling these will ensure they happen regularly and with more frequency.
- **Request approvals for sub-grants, procurements, international travel, and other activities that require donor approval.** It is often easier to include these requests as part of the annual work plan – as long as the representative approving the work plan has the authority to do so.

C. Budget Reality Check

Budget resources should be considered from the very beginning, and reflected in the "Resources Required" column of a work planning table. However, you will also need to set aside time after the workshop (in coordination with your HQ project support team) to double-check that the budget can absorb the resources required to implement the work plan (and identify areas of future cost-savings or increased expenditures to accommodate any changes in expected allocation of resources).

D. Do a Quality Check

Presentation matters. Do a quality check for document flow, quality of writing, and technical consistencies. Your headquarters team is often very involved in this quality control process and a great resource for improvement of graphics and formatting – BUT, you are expected to do at least one round review and revision before passing it on to headquarters.

As Team Leader, you are ultimately responsible for the work plan, and will catch things someone less intimately familiar with the project will not. **Before submission, read through the document at least once in its entirety.**

V. What Next? Using the Work Plan as a Management Tool

Don't let the work plan gather dust. The approved document – as well as many of the workshop exercise outputs and work planning discussion aides – should and can be helpful and oft-utilized management tools for you and your senior team throughout the year. Beyond use for formal reporting and internal or external program evaluations, the work plan can also be used for:

- **Adaptive management:** If all program activities and targets outlined in the work plan go as planned, congratulations! But, most likely a regular review of the work plan will reveal challenges, required shifts or adaptations, or unexpected successes. Integrating a work plan 'check in' into regular senior management meetings – such as a quarterly planning meeting, or once a month at staff meetings - can provide a space for valuable insights to emerge, and potential problem areas to be identified early on.

- **Progress reports**: Work plan reviews can be particularly helpful as a team activity prior to preparation of donor progress reports. Draw on the work plan tables (which typically have activities and targets outlined month-to-month) to simplify report preparation and to help prioritize what to communicate from the period under review, as well as plans for the next period. Where there are deviations from the work plan, address plans for resolutions in the quarterly report, and request any necessary contractual approvals for work plan revisions.

TIP: Replicate the work plan outline/table of contents as your template for the outline of each progress report. This simplifies the reporting process for both you and the donor and promotes consistency.

- **Learning and knowledge management:** The facilitation principle so central to a value chain development approach requires teams to incrementally adjust the intensity and nature of a program's involvement with partners and activities. Related to the 'adaptive management' bullet above, utilize regular check-ins to capture the 'why' behind shifts in our approach or in the progress of results, from our expectations during the work planning process to the present. In addition, months or years into an active program, your staff has gained important insights and skills that it did not possess at the initial work planning process.

- **Annual personnel evaluations and subgrant performance monitoring:** Have supervisors and employees (or grant managers and grantees) review what activities they were responsible for in the work plan (using the 'person responsible' column often included in the work plan table), and then discuss performance.

TIP: Managing large teams and multiple field offices. Purely for internal management purposes, some ACDI/VOCA projects require each field office to develop their own work plan, derived directly from the overall project work plan sent to the donor and used to track progress contractually. This strategy has proved a helpful management tool for range of project sizes – including a $30million+ project with dozens of staff and a $1million project with a small but geographically dispersed team. The target numbers in each 'mini' work-plan total up to the project-wide numbers in the 'macro' plan, and it enables better advance planning and efficiencies in resource allocation (e.g. drivers, cross-cutting staff, training materials). While this is admittedly a difficult activity to prioritize, one seasoned field manager finds these indispensable and even requires each office to make a weekly plan linked to their work plan.

Annex 2: Sample Work Plan Session Activities and Exercises

Activities	
ACTIVITY 1: VALUE CHAIN OVERVIEWS	
Description: Staff present key elements from the value chain analyses, summarizing findings and citing key implications for work plans. Consider requiring joint presentations, pairing together staff with complementary sets of knowledge (e.g. the gender expert and the agronomist; the marketing and M&E specialists)	**Work Plan Relevance**: By requiring staff to present, encourages them to (a) read the analysis! And (b) learn it well enough to present. By requiring joint presentations, it helps break down silos in both knowledge and staff relationships.
ACTIVITY 2: CROP CALENDAR	
Description: Put up a draft crop calendar to (a) validate with staff; and (b) fine tune timing for agronomic activities. Crop seasonality will determine the timing of when activities can start. If the project includes multiple value chains, include all the value chains on one graphic to maximize analysis.	**Work Plan Relevance:** Assists in developing timeline for specific activities and understanding the allocation and concentration of resources (staff, grants, project assets, etc) during the next 12 months. More nuanced crop calendars can also be used to facilitate conversations around food security and general incentives/behaviors of smallholders – for example, overlay a crop calendar with periods of cash outlays and income; include other major annual cultural or household events that may affect household behaviors, etc)
ACTIVITY 3: CROSS CUTTING ISSUES IN VALUE CHAINS – ROLE PLAY	
Description: Design a few simple role play conversations around common market interactions or potential project activities. For example – have staff take on the role of a farmer and a trader negotiating a sale. Then, do it again, but this time the farmer is a woman. How does that affect her power to negotiate, or how much she probably has to sell? Etc.	**Work Plan Relevance:** Reinforce how a cross cutting issue – gender inequality, malnutrition, food insecurity, a general breakdown of trust - will affect how people respond to incentives created by the project, how they will make market decisions, how knowledge and technologies will be adopted, etc.

Exercises	
EXERCISE A. 'WHO DOES, WHO BENEFITS, WHO PAYS' TABLE	
Instructions: In groups, staff list out key value chain functions of relevance for the project's interventions (e.g. "Provides Extension to Farmers"; "Provides Financing for Inputs"; "Aggregates Product"; "Trains the Cooperative Leaders"; etc), and then identifies who does, who pays, and who benefits for each function. Tables are completed that represent the situation now – this often includes the project heavily involved in the "doing" and "paying" functions; and then a table is completed to show the desired situation at the end of the project – this should recognize the project's inability to "do" and "pay" and the effect this may have on the function being completed or not. The Exercise Leader then facilities a discussion around these two (often very different) pictures that emerge, and how the project can incrementally facilitate movement towards the long-term vision. The "Who Benefits" column is a good indicator of who might have the incentive to "do" and/or "pay" for the function, for example. Note: it is important to recognize that some functions are meant to be temporary, while others must continue post-project for interventions to be successful. Similarly, not *all* functions must be absorbed by the private sector – there are appropriate roles for government and public sector organizations in certain functions or contexts.	**Work Plan Relevance**: This is a helpful exercise to discuss and reinforce facilitation tactics and ensure a clear rationale for **why**, **how**, and **for how long** the project will insert itself in performing key identified market functions. For work planning, it is also a helpful check to ensure sub-grants needs are identified early on and that any associated required approvals are captured for inclusion in the work plan submission to the donor. This table is also a helpful management tool for mid-year check-ins, to assess how well the project is facilitating the desired incremental changes in relationships, partner ownership, and stakeholder leadership.

WHO DOES?/WHO PAYS/WHO BENEFITS?

Now?

Who Does?	Who Pays?	Who Benefits?

One Month After the Project is Over?

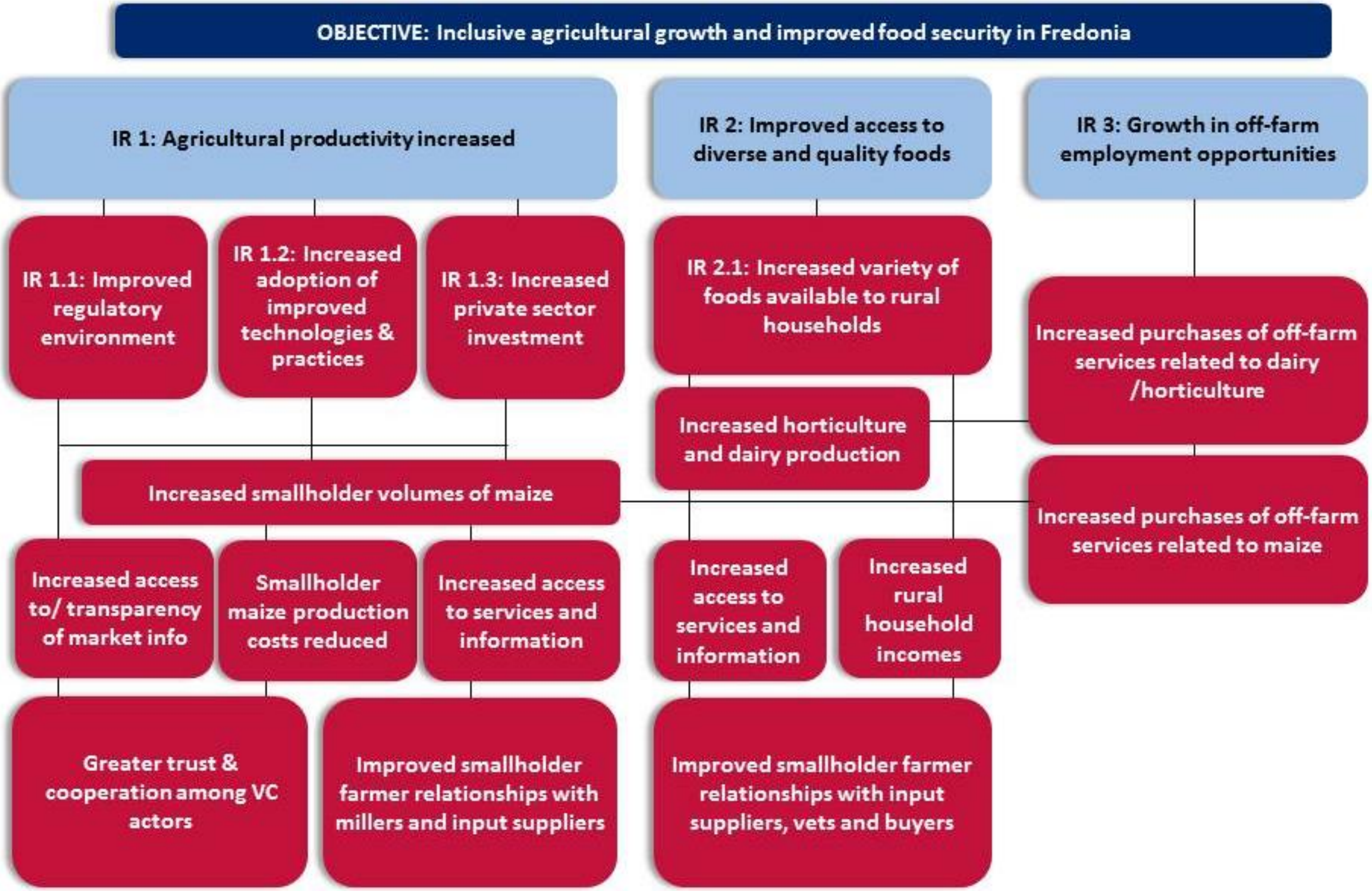
Who Does?	Who Pays?	Who Benefits?

Exercises	
EXERCISE B. QUICK WINS AND EARLY STARTS TABLE	
Instructions: With staff, walk through this for each value chain, identifying those activities and initiatives which can (a) get moving right away because they are quick and easy or we are building off existing momentum and (b) which need to get started now because they will take a while to fully mature and we need to allow for that gradual maturation process to happen. For both, identify who are the existing leaders we might involve as partners. As a facilitator, encourage people to think not only about 'quick wins' and 'early starts' in terms of linkages or 'deals' but also in terms of changes in relationships	**Work Plan Relevance**: This table helps with activity planning and partner identification, and helps ensure that (a) quick win opportunities aren't missed and (b) the future isn't overlooked in the rush of Year 1 chaos – i.e. the right groundwork is laid for outcomes that will take some time to mature, but must do so, in order for the program to be successful. It also helps identify synergies that may emerge across value chains in either quick wins or early starts. A common complaint amongst some donors is that the facilitation approach takes too long to see results, and donors are often impatient by our 'trust us' approach. This perception is sometimes the result of a communication failure on *our* part. This table can therefore serve as a valuable communication tool for you, as Team Leader, in countering that perception, in providing your client with a snapshot of quick wins that are achievable right away – while still being consistent with our market facilitation approach – and, for those things that will take some time, how we are planning for them already.

Subsectors:	QUICK WINS: What can we do within the first year to show early results and establish credibility with stakeholders (inc. market actors)?		EARLY STARTS: What do we need to get moving early because results will take time to actualize, or because their results are required before pre-conditions are met for later interventions?	
	Description of Activity and Rationale (what makes this a 'quick win'?)	Who are the specific existing leaders on the ground we might involve? Distinguish between coordinating partners (such as market actors) and potential sub-awardees.	Description of Activity and Rationale (why does it need to be an early start?)	Who are the specific existing leaders on the ground we might involve? Distinguish between coordinating partners (such as market actors) and potential sub-awardees.
Value Chain A				
Value Chain B				
Cross Cutting A (Inputs, Finance)				
Cross Cutting B (Gender, Nutrition)				

Annex 3: Sample Causal Models:

Note: There is no 'gold standard' for visual presentation of causal models – as such, several models are presented below; each has pros and cons in terms of content; ability to adequately demonstrate causal flow; the trade-off between detail and readability; and visual appeal.



Adapted from AGP-VCE (Ethiopia)

Activities	Outputs	Outcomes	Impacts
• Conduct value chain analysis with finance, policy and gender lenses • Develop strategy and vision	• Initial analysis and vision/strategy document; plan for integration of cross-cutting themes	• Project follows strategy for vision; project adjusts interventions based on observations	<u>Value chain level:</u> • Increased competitiveness of value chains • Supporting markets serving value chain and adapting to demand for inputs, training, ICT, and transport • Expanded reach of financial services to value chain • More supportive environment for financial sector and value chain • Greater inclusion of women and people living with HIV/AIDS <u>Firm level:</u> • Increase in number and activity of agricultural enterprises: input suppliers, aggregators, exporters, and service providers • Increased profits from agriculture, especially for smallholders • Improved cash flow and access to finance for investment <u>Household level:</u> • Increased income • Increased employment • Reduced poverty • Improved food security and nutrition
• Build relationships that enable value chain actors to respond to end-market opportunities • Promote transparency and trust in vertical linkages • Strengthen horizontal linkages • Strengthen supporting markets including input supply, storage, ICT, transport, and training/BDS • Develop TOT and materials on health and nutrition themes	• Buyers identified and engaged with suppliers • Stakeholders' workshops held • Increased transactions between buyers, suppliers, and support service providers • Cooperatives and associations trained • New commercial input suppliers • Storage facilities rehabilitated or established; private sector warehouse operators explored • Trade fairs attended, export training held • Market information delivered by local entities • Health/nutrition materials developed	• Increased sales and between buyers and suppliers, including smallholders • Increased value chain actor trust • Smallholders achieve quality standards • Balanced distributions of benefits in value chain, lead to upgrade incentives • Smallholders use support service • Private sector input suppliers sell improved inputs and embed services • Households apply information about improved health and nutrition practices	
• Develop new financial products and services • Build finance associations • Stimulate loans through guarantees • Work with agricultural enterprises to establish alternative collateral • Facilitate policy reform	• Trainings held for commercial banks and MFIs • TA and training for MFIs to market to women • New products piloted to meet the needs of smallholders and other value chain actors • Products rolled out; staff trained • TA delivered to financial sector associations in agricultural lending and product development • Increased creditworthiness of ag enterprises • Public-private dialogue helps reforms achieved	• Increased ability of commercial banks and MFIs to lend to agricultural sector • Financial institutions tailor products to women and smallholders • Financial institutions participate in DCA • Financial sector associations facilitate increased focus on agricultural lending • Policy framework conducive to growth	
• Promote public-private dialogue • Build public sector capacity • Facilitate access to international markets	• Workshops for trader associations, cooperative unions and civil society • TA and training provided to MOARD staff • Reforms to administrative procedures	• Stakeholder buy-in to reform process • Reduced enforcement costs • Policies that support value chain growth • Increased government ability to analyze and plan policy change	
• Develop, disburse, and monitor strategic grants	• Grants disbursed to address systemic constraints in policy environment, disincentives for investing, etc. • Partial subsidies phased out as value chain actors demonstrate willingness to invest	• Perceived risk is reduced thru observed benefits of investment in upgrading • Innovation becomes the norm as value chain actors invest in new technologies	

Causal Model adapted from REGAL-AG

Goal: To increase economic growth and social stability in Kenya's arid lands by means of a more inclusive livestock value chain

Development hypothesis: Economic growth and social stability will require that pastoral and agropastoral communities have secure access to natural resources, bhat pastoralists who are *hanging in* or *stepping up* be able to participate more profitably in livestock value chains, chat livestock productivity be enhanced for all livestock keepers, and that new, viable economic opportunities be available to households that are *branching out* or *moving away*.

Pastoral and agropastoral communities have secure access to natural resources

Pastoralists participate more profitably in livestock value chains

Livestock productivity is enhanced

New, viable economic opportunities are available

Component 1
Improve policy environment

Outcomes:
- Land use rights and mobility of pastoral communities protected
- Improved policy environment for livestock marketing

Outputs:
- Number of Community Land Boards created
- Number of land use plans developed by Community Land Boards
- Number of county-level Livestock Marketing Plans developed
- One-pass livestock transport corridor created
- One plan for commodity-based SPS certification for meat exports developed

Activities:
- Facilitate community dialogues re: land uses and concerns
- Organize county-level and national-level stakeholder meetings to address pastoral land use issues
- Build the skills and capacity of Councils of Elders, women's groups and other CBOs in advocacy
- Support community land boards in establishing equitable governance structures
- Provide STTA to develop a plan for commodity-based SPS certification for meat exports

Component 2
Improve market linkages

Outcomes:
- Improved access to markets
- Strengthened livestock VCs, with increased value addition, through LAPSSET and beyond
- Diversified end markets

Outputs:
- At least 30 primary markets revitalized through community co-management
- Number of auctions conducted and other new sales methodologies and structures piloted
- Numbers of plans developed for new markets and livestock-related services along LAPSSET Corridor
- Number of new partnerships developed for livestock fattening
- Number of new export business contacts developed

Activities:
- Conduct an assessment of benefits of various livestock marketing structures
- Mobilize local communities to join in management of primary livestock markets
- Organize pilot auctions and other sales methodologies
- Train youth in market data collection and reporting
- Pilot new partnerships for livestock fattening on ranches
- Conduct feasibility study on confinement feedlot fattening
- Lead trade missions to potential export markets

Component 3
Improve livestock productivity

Outcomes:
- Improved access to animal feed in all seasons
- Improved animal health and husbandry

Outputs:
- Number of hectares of degraded pastures rehabilitated
- Volume of forage and fodder produced and stored for dry seasons and droughts
- Number of pastoralists trained in animal husbandry practices to reduce calf mortality
- Number of CAHWs trained in use of EpiCollect disease surveillance system

Activities:
- Provide training and TA in planting of indigenous grass seeds and water harvesting structures (bunds)
- Provide training in forage seed production
- Provide training in irrigated forage production
- Provide training in hay baling
- Create dry season fodder reserves and feed "insurance" methodology
- Link CAHWs with AHAs and Livestock Officers for training and veterinary drug supply
- Support communities in developing seasonal disease control calendars

Component 4
Expand input & service markets

Outcomes:
- Improved access to critical inputs and services
- Improved access to financial services

Outputs:
- More sustainable vaccination system designed
- Number of new linkages with feed sources established
- Number of new, viable and convenient savings options available for pastoralists outside of large towns
- Number of internal savings groups (SACCOs and ViCoBas) turned into agency banks
- Number of new sources of working capital financing available to traders outside of secondary markets

Activities:
- Advise on vaccination planning and financing
- Train pastoral communities in livestock nutrition requirements
- Facilitate market linkages between feed manufacturers and pastoralists
- Provide capacity building to internal savings groups (ViCoBas) and link with banks
- Provide insurance education to pastoral communities, directly and through ViCoBas
- Advise LMAs on possibility of purchasing IBLI policies

Component 5
Expand livestock opportunities

Outcomes:
- Strengthened womens' business skills in livestock
- Strengthened dairy value chains
- Strengthened hides and skins value chains

Outputs:
- Number of women's groups trained in business skills
- Number of entrepreneurs and women's groups trained in livestock fattening and linked with feed suppliers
- Number of new actors linked through extended milk supply network
- Number of women's dairy groups linked with feed suppliers and processors
- Number of hides and skins traders and women's groups trained in curing and wet salting

Activities:
- Provide financial literacy and business skills training to women's groups
- Provide training in livestock fattening as a business
- Facilitate market linkages between fodder producers and dairy groups, and between dairy groups and dairy processors
- Provide training in hygiene and quality control
- Support the development of aluminum cans with tight-fitting lids for transport
- Provide training in basic curing and wet salting techniques
- Conduct analysis of HSL exports

Key assumptions

- Passage of the Communal Land Law by 2013
- Close collaboration with the GoK in creating an enabling environment for pastoral livelihoods and livestock marketing
- Close coordination with REGAL-IR, KLDLP, PRIME and other pastoral livelihood/livestock value chain programs

Annex 4: Sample Work Plan Table: ***EXTERNAL* Version for purposes of submission to donor. An INTERNAL version should include** *additional columns related to Budget Resources (e.g. training costs, grants, procurement, etc); month-by-month timeline planning (as opposed to the quarterly promises presented to the donor); a Lead Person Responsible column (to facilitate ownership and a clear division of responsibility).*

Adapted from "AGP-AMDe Sesame Value Chain"						
Components / Activities	**Resources**	**Potential Partners**	**Q1**	**Q2**	**Q3**	**Q4**
Component One: Improving Value Chain Competitivness						
Intervention I: Increase Availability of Improved Sesame Seeds						
Activity 1: Conduct need assessment and identify gaps	Sesame VC Leader, Regional Sesame Specialists	Ethiopian Institute of Ag Research, Humera Research Centers, Regional Ag Research Institutes; zonal and woreda AGP focal points				
Activity 2: Provide technical assistance to build the capacity of Humera Agricultural Research Center and Regional Agricultural Research Institutes in order to:	Local STTA, Sesame VC Leader, Regional Sesame Specialists	Ethiopian Institute of Ag Research, Humera Research Centers, Regional Ag Research Institutes; zonal and woreda AGP focal points				
Sub-Activity 2.1: Scale up capacity building by providing training on identified gaps	Regional Sesame Spec, IFDC/Input Supply Spec, Grants Manger	Ethiopian Institute of Ag Research, Humera Research Centers, Regional Ag Research Institutes; zonal and woreda AGP focal points				
Sub-Activity 2.2: Increase volume of basic seed for multiplication including expansion of adaptation of field trials (*see more details in the Input Supply Cross-Cutting section*)	Regional Sesame Specialist, AGP Woreda Focal Persons	Ethiopian Institute of Ag Research, Humera Research Centers, Regional Ag Research Institutes; zonal and woreda AGP focal points				
Sub-Activity 2.3: Increase the capacity to certify seed by partenering with research centers, farmers, coops and unions	Regional Sesame Specialist, AGP Woreda Focal Persons	Ethiopian Institute of Ag Research, Humera research centers, regional ag. Research centers; zonal and woreda AGP- focal points				
Activity 3: Build demand driven capacity of specialized cooperatives , unions , private seed companies and commercial seed farmers to increase the volume of improved seeds.	Sesame VC Leader, Regional Sesame Specialists, Grants Manager	Regionl AGP focal persons, zonal and wereda focal persons, seed producer companies, Humera and Gondar Research Centers				
Sub-Activity 3.1: Conduct need assessment, identify potential partner coops, unions, prepare training materials/ community conversation sessions	Sesame VC Leader, Regional Sesame Specialists, Grants Manager	Regionl AGP focal persons, zonal and wereda focal persons, seed producer companies, Humera and Gondar Research Centers				
Activity 4: Provide ToT to DAs, coops, and private actros to capacitate the technical skills related to seed production	Local STTA, Sr. Business Dev Specialist, Sr. Gender Specialist	Regionl AGP focal persons, zonal and wereda focal persons, Humera and Godar Research Centers, MFIs,Coops, Banks				
Activity 5: Provide training on post harvest handling (eg. grading and sorting) and improved storage management	Regional Sesame Specialists and Grant Officers, Crown Agents	Regionl AGP focal persons, zonal and wereda focal persons,sesame producer companies,financial institutions, Coops, ECX				
Intervention II Transform Coops, Unions, Private Agrodealers and Traders to Become Full Service Providers:						
Activity 1: Build management / leadership and human resource capacity through training	Sesame VC Leader, Sr. Business Dev Specialist, Local STTA, Sr. Gender Specialist	Regionl AGP focal persons, zonal and wereda focal persons, financial institutions, Coops				
Sub-Activity 1.1: Train key staff on marketing , finance , IT, gender, and BDS including preparation of bankable business plans for loan applications	Sr. BDS Specialist, Local STTA, Sr. Gender Specialist, Rural Finance Service Leader	Regionl AGP focal persons, zonal and wereda focal persons, financial institutions, Coops/Unions, ATA, and other NGOs				
Sub-Activity 1.2: Introduce agronomic services (eg. soil testing and crop rotation; recommendation such as Mung beans)	IFDC/Input Supply Spec; Regional Sesame Specialists, Grant Officers, and Rural Finance Service Promoters; Local STTA	Regionl AGP focal persons, zonal and wereda focal persons, sesame producer companies,financial institutions, Coops/unions				
Sub-Activity 1.3: Support warehouse certifiication and facilitate the use of warehouse receipt systems	Regional Sesame Specialists, Rural Financal Service Promoters, Grant Officers, and Local STTA (warehouse reciepts specialist)	Regionl AGP focal persons, zonal and wereda focal persons, seed producer companies, Coops, Quality and Standards Authority of Ethiopia (QSAE), ECX				
Sub-Activity 1.4: Assess the current male-female representation in coops and unions and identify constraints	Regional Sesame Specialists, Sr Gender Spec	Regionl AGP focal persons, zonal and wereda focal persons, Women Youth and Children Agency, seed producer companies, Coops, QSAE, ECX				