UNIT 7 Tools

Units 7, 8 and 9 are a resource for capacity building. They are designed to be used in conjunction with the briefing material in Units 2–6, not as stand-alone units.

Throughout the action guide there have been suggestions for activities and approaches to get gender onto the trade agenda and to enable women producers and workers to take advantage of trade liberalisation. This unit brings together 12 selected tools for these purposes, with short examples of how they might be used, particularly for training purposes.

These approaches are based on the Commonwealth Secretariat Gender Section's work on gender and the multilateral trading system and globalisation, and its experiences of organising regional workshops and capacity-building events. There are, of course, many other tools and many more possible uses available.

The unit will help you to:

- identify useful tools for particular purposes
- apply tools to activities in the action guide or to real situations.

In this unit

Overview

The 12 tools are grouped under:

Influencing

1 Checklist: Trade policy development – bringing in gender issues
2 Checklist: Influencing trade negotiators
3 Forcefield analysis
4 PEST and SWOT analysis

Informing

5 Gender analytical framework 1: Harvard framework
6 Gender analytical framework 2: Longwe framework
7 Trade impact review
8 Developing a case study

Joining the global economy

9 Value chain analysis
10 Star diagram
11 Export promotion strategy guidelines
12 Producer organisation and small enterprise capacity appraisal

Influencing

1 Checklist – Trade policy development: bringing in gender issues

Example of use: as an exercise for officials, to help them clarify their task.

Why? Why are you doing this? What do you hope to achieve in the end?	
What? What are your specific objectives? E.g., • policy changes • legal changes • favourable climate • more resources • improving competitiveness • improving livelihoods • poverty reduction What are your priorities? What are your indicators of success?	
Where? Where are the entry points? • regulatory and legal frameworks • labour legislation, International Labour Organization (ILO) core conventions • human rights legislation • gender agreements (the Convention on the Elimination of All Forms of Discrimination against Women – CEDAW, etc) • Millennium Development Goals (MDGs) • poverty reduction strategy papers (PRSPs) • trade and export promotion strategies • enterprise development • national sectoral policies (e.g., tourism, food processing) What sector/agreements are you aiming at? What level are you aiming at? • micro • national • regional • international	

When? How important is timing for your intervention? E.g., is there a • trade negotiation cycle? • electoral cycle? • funding cycle? What about • practicalities of timing? • funding? • availability of staff?	
Who? Who are you targeting/ who are the policy makers? • government • politicians • civil servants/ ministries • NGOs • international bodies • regional/ sub-regional trade institutions • export promotion boards • development agencies • WTO and EU Who are the other stakeholders? • civil society organisations/ NGOs • women's organisations • business organisations, including organisations of businesswomen and women producers/ exporters • academic institutions Who should participate in policy-making?	
How? Identify your own next steps here	

2 Checklist: Influencing trade negotiators

This checklist provides some key questions for a trade negotiator – what does a trade negotiator need to know in order to integrate gender issues into negotiations?

Example of use: as a checklist to prepare a briefing for a trade negotiator.

What is the negotiator's mandate and who provides it?	
How does gender fit into the legal/ negotiating framework in which the negotiator is operating?	
How can negotiations incorporate gender needs and interests?	
What are the gender issues that need to be kept in mind when negotiating?	
How can trade and gender issues be made compatible?	
What are the specific objectives the negotiator is expected to achieve to get the best deal for the country – and how can a gender lens be applied to any trade offs?	
What practical tools does the negotiator need? E.g., • reliable data about impacts • reliable predictions of future impacts • information about possible obstacles • arguments for making the case • identified opportunities • identified entry points	

3 Forcefield analysis

Forcefield analysis is a helpful tool for weighing up the pros and cons of a proposed change or action. It also allows you to assess the implications of changing the forces for or against.

Example of use: to develop a clearer picture of possible support or opposition to plans to integrate gender analysis into trade negotiations.

Use the grid below to carry out a forcefield analysis, following these steps:

1. Describe your plan or proposed change in the middle.
2. List all the forces for this change in the column on the left and all the forces against it in the column on the right, under the headings Rules, Resources, People, Power.
3. Give each one a score from 1 (weak) to 5 (strong).
4. Total the scores.
5. You can then weigh up the forces for and against.
6. Decide if it is worth proceeding.
7. Think of ways to reduce the strength of the forces again or strengthen the forces for.

Forces FOR change	Score	CHANGE PROPOSAL	Forces AGAINST change	Score
Rules			*Rules*	
Resources			*Resources*	
People			*People*	
Power			*Power*	
Total score FOR			**Total score AGAINST**	

4 PEST and SWOT analysis

Two other helpful tools are PEST (political, economic, social, technological) analysis and SWOT (strengths, weaknesses, opportunities, threats) analysis. Both are useful in workshops or brainstorming sessions and are often done together. It is best to do the PEST analysis first, before the SWOT analysis.

Example of use: as part of research to develop an initiative to encourage women producers to access global markets.

A PEST analysis helps you to identify external factors that may affect a planned action or change.

Use the template below to identify factors of each type. If you wish, you can also rank them to assess their importance

Subject for PEST analysis:	
Political	Economic
Social	Technical

A SWOT analysis identifies some internal (strengths and weaknesses) and some external (opportunities and threats) factors for an organisation, team or group of stakeholders that may affect a proposed action or change.

Again, fill in the template below with factors identified.

Subject for SWOT analysis:	
Strengths	**Weaknesses**
Opportunities	**Threats**

Informing

As you have seen throughout this action guide, gender analysis is essential to provide sound data to influence policy makers and negotiators and as a basis for action.

Gender analysis asks questions systematically about differences between women and men in a given population. It examines their roles and activities, resources and constraints, benefits and incentives. It involves collecting sex-disaggregated data about the population in question.

Frameworks
Here we give examples of two frameworks that we find practical and easy to use: the Harvard framework and the Longwe framework. However, there are also a number of other frameworks (see for example the ILO/ SEAPAT online course: http://www.ilo.org/public/english/region/asro/mdtmanila/training/unit1/whatmenu.htm).

5 Gender analytical framework 1: Harvard framework

Example of use: to collect and organise information on gender issues.

The Harvard analytical framework is a diagnostic tool that asks the key questions:

- Who does what?
- Who has what? – land, resources, access
- Who has control? – of time, land, access – and who benefits?

It aims to:

- make an economic case for allocating resources to women as well as men
- help the design of more efficient projects.

The framework is designed as a matrix for collecting data at the micro level. It has four interrelated components:

- activity profile
- access and control profile (resources and benefits)
- constraints and opportunities profile (influencing factors)
- project cycle analysis.

The Harvard analytical framework is useful for collecting and organising information and for introducing discussions on gender issues. However, it is efficiency rather than equity oriented, and the analysis may be carried out in a non-participatory way.

Activity profile

Activities	Women/ girls	Men/ boys
Production activities Agriculture: Activity 1 Activity 2, etc Income generating: Activity 1 Activity 2, etc Employment: Activity 1 Activity 2, etc Other:		
Reproductive activities Water related: Activity 1 Activity 2, etc Fuel related: Food preparation: Childcare: Health related: Cleaning and repair: Market related: Other:		

Access and control profile

	Access: Women/ Men:	Control Women/ Men
Resources Land Equipment Labour Cash Education/ training, etc Other		
Benefits Outside income Asset ownership Basic needs (food, clothing, shelter, etc) Education Political power/ prestige Other		

Constraints and opportunities profile (influencing factors)

Description	Opportunity	Constraint
Economic/ demographic conditions		
Institutional arrangements		
Norms and values		
Political environment		
Legislation		
Training and education		
Other		

SOURCE: MARCH ET AL, 1999.

The **project cycle analysis** consists of a series of key questions to ask at each stage of the project cycle.

6 Gender analytical framework 2: Longwe framework

Example of use: to measure levels of equality in relation to women's empowerment.

This analytical framework aims to achieve women's empowerment by enabling women to achieve equal control over the factors of production and to participate equally in the development process. It introduces the idea of five levels of equality by which to assess the level of women's empowerment in any area of economic or social development.

Women's Equality and Empowerment Framework

SOURCE: UNDP, 2001.

Tool 1 measures the levels of equality.
Welfare – material welfare (income, food supply, health care)
Access – to factors of production such as land, credit, labour, training, marketing facilities, public services and benefits
Conscientisation – being aware of the difference between sex and gender, recognising that gender roles are cultural and can change
Participation – equal participation at all levels of decision-making, policy development, planning and administration, particularly in development projects
Control – over decision-making processes, to achieve balance of control between women and men over resources and benefits.

Tool 2 measures levels of recognition of 'women's issues' in project design. It includes three levels of recognition – negative, neutral and positive.

The women's empowerment framework develops the notion of practical and strategic gender needs into a progressive hierarchy. It shows that empowerment is an essential element of development and aims to change attitudes. But it ignores other forms of inequality and does not track how situations may change over time. It may give the impression that empowerment is a linear process.

Women's empowerment framework for a country programme

Tool 1

Sector	Project	Welfare	Access	Conscientisation	Participation	Control
		Level of concern with women's development				
Agriculture						
Education and training						
Commerce and industry						
Women's projects						

Tool 2

Levels of recognition Levels of equality:	Negative	Neutral	Positive
Control			
Participation			
Conscientisation			
Access			
Welfare			

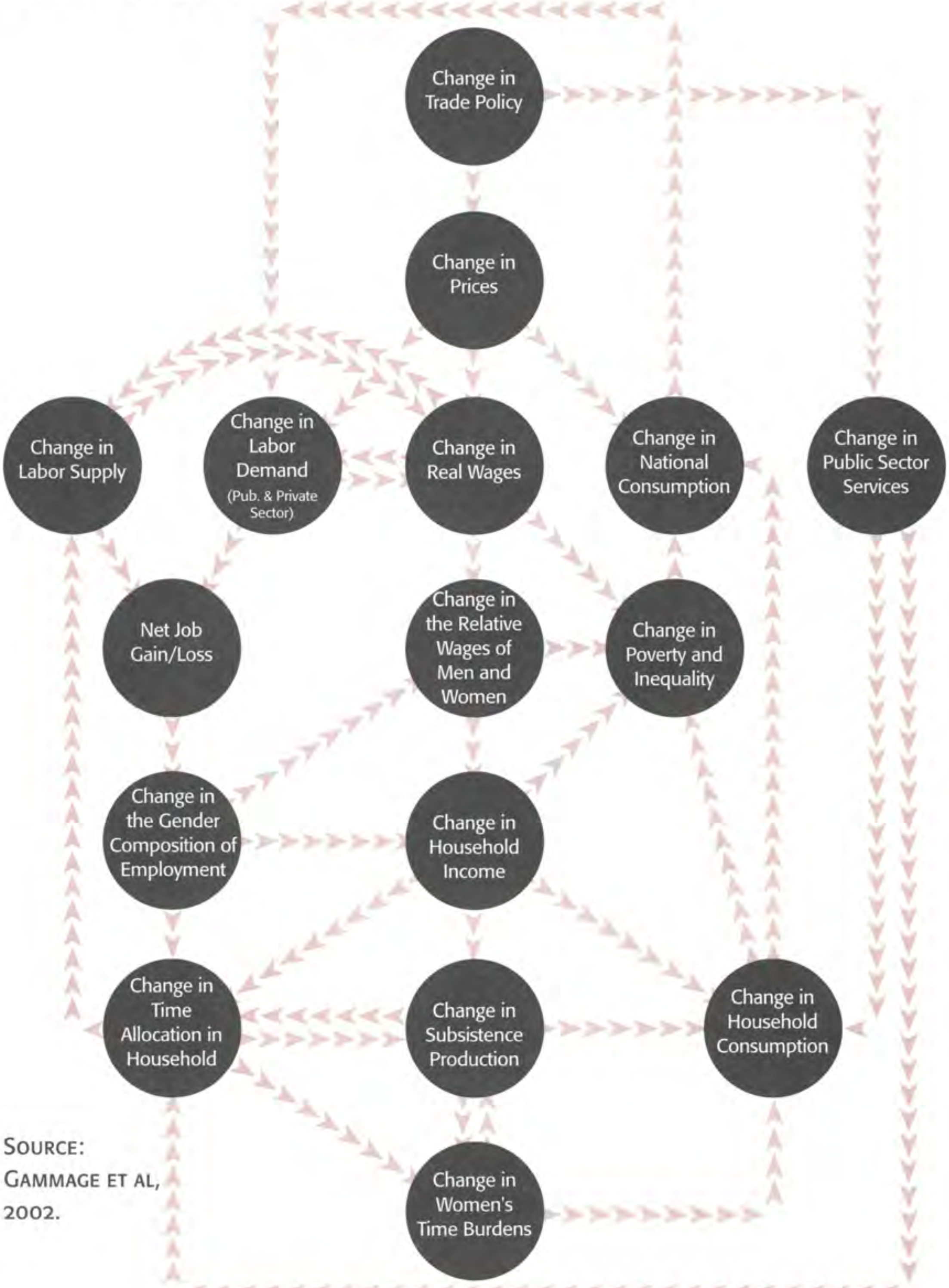
SOURCE: UNDP, 2001.

7 Trade impact review

Example of use: a trade impact review can be used as a tool to analyse the impact on women of a change in trade policy for a commodity (e.g., bananas).

- The first diagram illustrates links between changes of different kinds. For example, it shows the way a change in household income may have several causes and several effects.
- The second diagram is a flow chart of questions that can be used to carry out a gender assessment of trade agreements.

1 Trade impact review: links between different changes



SOURCE: GAMMAGE ET AL, 2002.

2 A flow chart of key questions for a gender assessment of trade agreements

SOURCE: GAMMAGE ET AL, 2002.

8 Developing a case study

Case studies are an effective and interesting way of providing information to influence policy makers and negotiators. Here two approaches are described:

a) more formal case studies as a systematic method of qualitative research
Example of use: to demonstrate specific impacts of a change in policy on a particular industry (e.g., Mozambique sugar).

b) shorter case studies as illustrations for training or capacity building
Example of use: to provide a local example for a training session to make a more general issue come alive (e.g., local tourism in relation to GATS).

a) Formal case studies

A case study is a particular method of qualitative research. Case study methods involve an in-depth, longitudinal examination of a single instance or event: a case. They provide a systematic way of looking at events, collecting data, analysing information and reporting the results. Case studies lend themselves especially to generating (rather than testing) hypotheses.

Case studies can be used to:

- illustrate opportunities and challenges
- explore issues
- understand what works/ what doesn't
- explore practical examples of a process or theory
- explain concepts
- demonstrate a topic
- make material more accessible and illuminating.

Writing a case study

Step 1: Before you write: Understanding the issues involved
To write a good case study you will need time to understand the issues involved, the local context (i.e. cultural and historical aspects) and the people with whom you will be working. Early on explain to partners/ stakeholders your interest in writing a case study. Indicate the purpose of the case study and ask for their assistance as your work progresses. The more your partners view this exercise as an active learning opportunity rather than an evaluation of their work, the better.

Step 2: Laying out case study components
Discuss the development of the case study. You can use the outline of case-study components in this document as a basis for discussion with stakeholders or partners. Working through these case-study components together will generate ideas, lead to further reflection, identify information sources, and define and refine the focus of the case study.

Identifying the challenge
Identify the 'challenge' that needs to be addressed or the 'problem' that needs solving. Identify the economic, social, political and environmental costs and benefits involved.

The context
Identify historical data pertinent to understanding the case or events contributing to and/or resolving the 'challenge'. What organisational and personal factors contributed to the challenge at hand and/or its solution? What are the formal processes or informal norms, including cultural factors and gender relations that influence the decision-making processes and interpersonal or organisational behaviour?

Key decision makers
Who are the critical actors and what are their perspectives on the challenge or problem and the choices facing them? To which organisations do the key decision makers belong? What are the objectives of the organisations involved? Identify the target groups of the organisation. Who do they serve? What is expected of them?

Stakeholders
In addition to the decision makers, who else is involved or likely to be affected by the action to be taken? Do they hold opposing positions or interpretations on what the course of action should be?

Conclusion
What decision was made, course of action pursued or dilemma resolved? Not all case studies require a description of the outcome, but understanding how the challenge was addressed through the reform project will make a good conclusion to your case study.

Step 3: Organising your case study
After you map out the components of your case study and begin to collect your data, your next task will be to organise the information and present it in a compelling manner to capture the interest of the reader. A possible outline (adapted from Stake, 1995) is:

- Executive summary
- Opening vignette
- Identify purpose of the case, and origins and issues involved
- Develop an 'objective' picture of the challenge or problem
- Drill down on key issues and perspectives
- Outcome/ resolution
- Analysis of issues and lessons learned.

Source: CIDA, nd.

b) A case study for training

Two examples of ways you can use the case study method for training are:

- to help participants explore an issue
- to give participants practice in applying conceptual frameworks and tools to real-life situations – for instance, a description of an organisation could be used to give participants practice in developing a strategy.

Some points to remember:

- Ideally, a case should not be a work of fiction. It should be an account of an actual situation, preferably one that the trainer is familiar with. If you decide to use a fictional situation, make sure that it is as near as possible to real life.
- The amount of information to be included in the case depends on the purpose. While redundant information should be edited out, there should be enough detail to bring the situation to life.
- The write-up of the case should be brief and crisp, and the language used should be completely non-judgemental. Avoid or change names.
- Follow up the description of the situation by a few questions (two or three at most) that will form the task for the group.
- It is absolutely essential to test the case study before using it in a real training situation. You could ask another trainer to read it and answer the questions, or try it yourself. This will help you to refine the exercise, adding information and editing out unnecessary detail, fine-tuning and rewording the questions and getting an idea of the time necessary for the exercise.
- A case study need not always be a written document. Many trainers use films or film clips as case studies.

Joining the global economy

9 Value chain analysis

Example of use: to identify where low-income women fit in the chain as producers or workers and to improve conditions.

What is a global value chain?
As explained in Unit 6:

> *'A global value chain is the network that links the design, production and marketing processes that result in a commodity or product. Such chains link individual workers and enterprises, often operating under both formal and informal arrangements, spread across several countries and linked to one another within the global economy.'* (Gereffi, 1994)

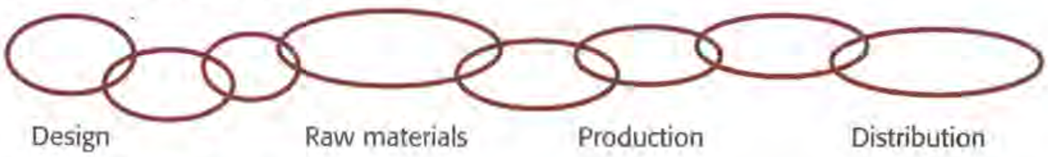
Two kinds of global value chains have been identified: buyer-driven chains (e.g., in footwear and garment sectors) in which retailers govern production; and producer-driven chains (e.g., in automobile and electronic sectors) in which large manufacturers govern the process. Powerful buyers or producers determine every link in the chain – from production of inputs to the sale of final products – which can reach all over the world.

While originating in the manufacturing sector, global value chain analysis is increasingly being applied to horticultural and traditional primary products with similar results. In all applications, it represents an important tool to map out where low-income women fit into the chain, as either producers or workers, and how the balance of power, access and returns can be altered.

In this unit, this tool just outlines the basic principles of value chain analysis to develop a broad picture. This brief account is based McCormick and Schmitz, 2002. You should consult this manual if you want to plan a larger-scale analysis.

The diagram shows a typical value chain at its simplest. It includes all of a product's stages of development, from its design to its sourced raw materials and intermediate inputs, from its marketing to its distribution to the final consumer.

Chain of value-adding activities



Source: McCormick and Schmitz, 2002.

Any value chain has a number of characteristics.

1. The input-output structure – the flow along the chain. There is also a flow of knowledge and expertise.

2. The geographic spread – some chains are truly global (like the Barbie doll chain illustrated in Unit 6); others involve just a few places.

3. Control and governance
   There are four main types:
   Market – firms deal with each other mainly in 'arm's length' exchange transactions.
   Balanced network – firms form networks in which no one firm or group of firms exercises undue control over the others. Firms prefer to deal with other members of their networks.
   Directed network – firms form networks that tend to be controlled by certain lead firms. The lead firms specify what is to be produced by whom, and they monitor the performance of the producing firms.
   Hierarchy – firms are vertically integrated so that they can directly control all or most of the activities of the chain.

The purpose of value chain analysis

- It shows how value is created at different stages and by different activities.
- It helps to explain the way trade takes place – for example, the amount of trade that occurs within trading networks.
- It is of practical use as a way to understand problems and find ways of improving the situation of those in the chain who are poorly paid and have little bargaining power.
- It can also increase understanding of
  - problems of market access
  -challenges and opportunities relating to production
  - the distribution of gains along the chain
  - leverage points for policy and organising initiatives
  - funnels for technical assistance.

Once the basic value chain has been mapped out, it becomes possible to examine different aspects such as gender issues.

Mapping the chain
Mapping a value chain means giving a visual representation of the different stages in the chain and the connections between actors in it. In its simplest form it is a flow diagram. A basic map can show many variables, e.g., number of workers, wage levels and gender-related data.

Before constructing a map, define your question. What is the overall question you are seeking to answer? What are the sub questions?

Stage 1: Collect information and draw an initial map that gives the basic structure or framework of the chain. This will show:

- the main activities carried out locally
- their connections to activities elsewhere
- the connections to the final market
- some indications of size and importance.

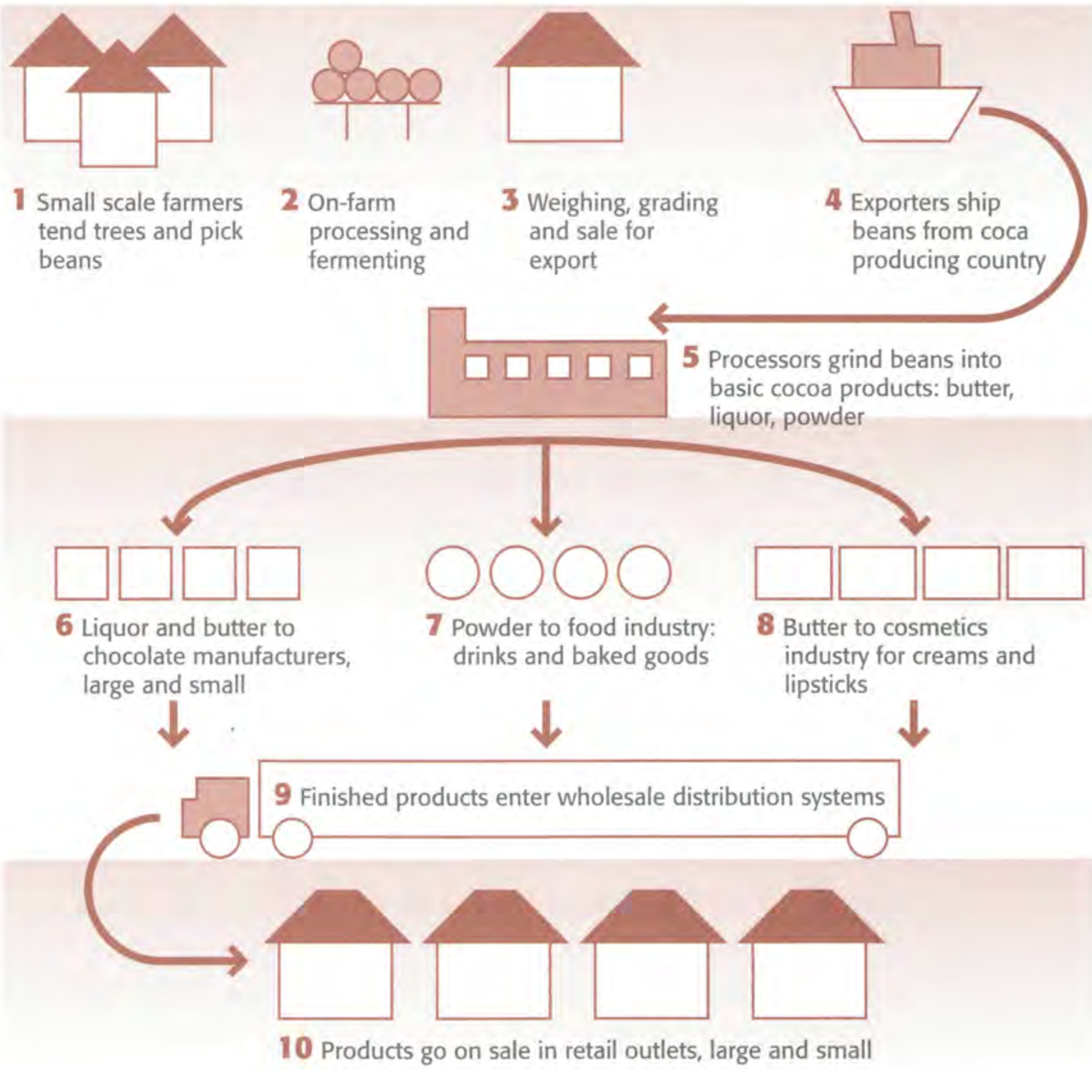
Stage 2: Add data to the map. For example:

- quantify key variables
- identify strategic and non-strategic activities
- show the gender composition in these activities
- identify leverage points for action.

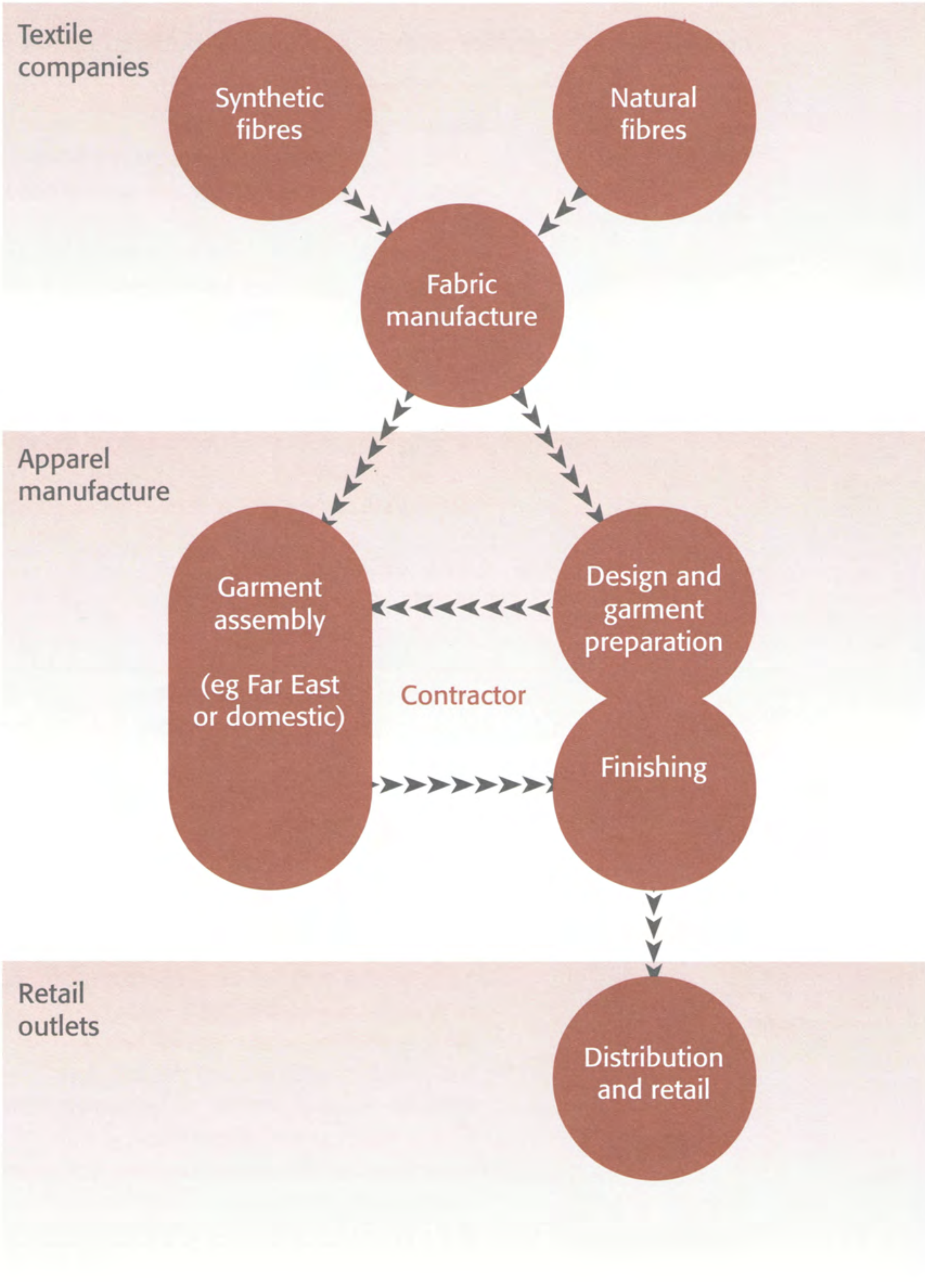
Don't overload one map with too much information. Start with broad categories and then provide separate sub-maps if needed. Try to grasp the broad picture as early as possible before you invest too much energy in any one part.

Here are two illustrations of simple value chains:

From bean to bar – the cocoa marketing chain



A fashion-oriented chain



Adding gender analysis to value chain analysis

This relates to the gender analysis approaches outlined earlier in this unit.

Step	**Tasks**
1 Basic information	Gather basic information about those you intend to study: • demographic data (e.g., age, sex, marital status, education level, training) • labour force data (e.g., years in present job, previous experience, rate of pay, benefits, working conditions) • roles in household, community, industry.
2 Context	Gather comparative information: • demographic and labour force data for country as a whole • demographic and labour force data for the industry in other producing countries • women's and men's roles in household, community, industry.
3 Enterprise assessment	Gather information about: • rules: how things get done • activities: what is done • resources: what is used, what is produced • institutional patterns: who is in, who is out, who does what • power: who determines priorities and makes the rules.
4 Application	Use the results of the first three steps to answer questions such as the following: • What is the burden of work for women and men in this segment of the industry? • Do women and men have the resources required to work in this segment of the industry? What is lacking and why? • What are the material rewards and costs for women and men in this segment of the industry? • What are the intangible rewards and/or costs for women and men in this segment of the industry? • What are the prospects for advancement for women and men in this segment of the industry? • To what extent do women and men determine the priorities and/or make the rules governing this segment of the industry? • How do the positions of women and men in this industry compare with their positions in industry in general in this country? • How do the positions of women and men in this industry compare with their positions in the industry in other countries?

10 Star diagram

Example of use: to reveal gaps between buyers' requirements and producers' performance.

A star diagram is a tool that can be used in value chain analysis and market research. It is also known as a radar chart.

It is used to compare sets of data – for example, to compare the views of buyers and producers or buyers' assessments of two competing regions. This tool is now available in the software program Microsoft Excel (go to Insert > chart > radar).

The information about this tool and the example is based on McCormick and Schmitz, 2002. The manual contains further guidance about using the technique.

This example describes the use of a star diagram to compare the views of global buyers and local producers.

Questions for producers
Use a table similar to the one below, with your questions down one side and the ratings, from 1 to 5, across the top. One is considered the least important rating and 5 the most important.

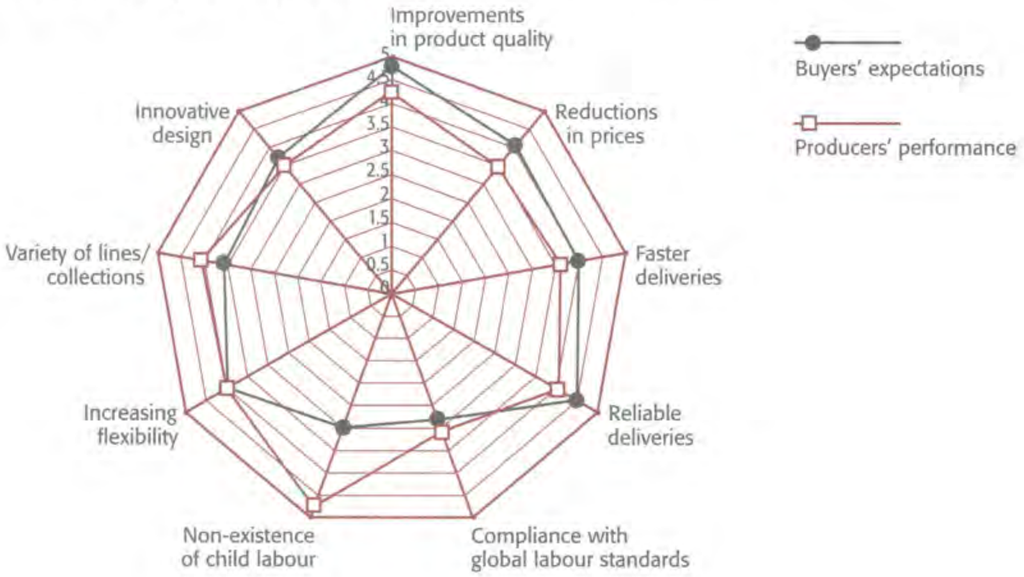
Ask your producer respondents to rate issues in terms of the importance placed on them by their main customers.

	1	2	3	4	5
Improvements in product quality					
Reductions in prices					
Faster deliveries					
Reliable deliveries					
Compliance with global labour standards					
No child labour					
Increasing flexibility					
Variety of lines or collections					
Innovative design					

Next ask the same respondents to rate the same issues in terms of how successful they believe they are in meeting their customers' requirements.

The following star diagram shows the results of a survey of producers using the above questions. The authors note that 'you can see that producers feel that they are satisfying their buyers in most aspects and even exceeding their expectations in some instances' but that it is 'good to be suspicious' about radical results, as companies may be reluctant to reveal, for example, that they use child labour.

Requirements of buyers and performance by producers: Producers' point of view

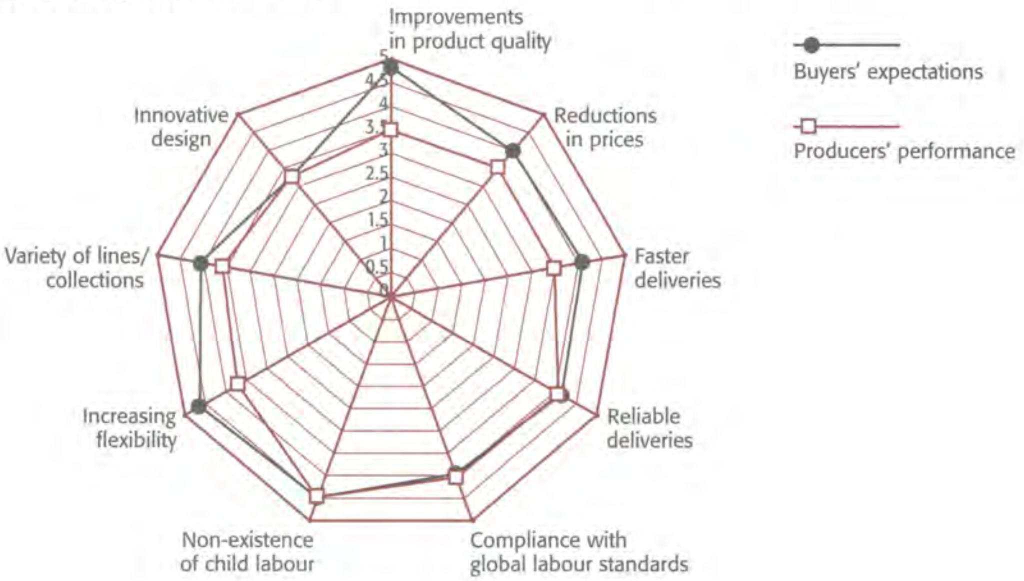


Questions for buyers

The next step is to ask buyers the same set of questions and compare them with the results obtained from the producers.

The second star diagram shows how different the perceptions may be from the point of view of the buyers.

Requirements of buyers and performance by producers: Buyers' point of view



This exercise can reveal the gaps between what producers and buyers require and the ways in which producers may fall short of buyers' requirements.

11 Export promotion strategy guidelines

Example of use: as a tool to identify the key steps to prepare a realistic export development strategy for a product or industry sector.

The strategy development process involves the completion of 13 steps.

Process Fundamentals	1	Ensure Private Sector Leadership and Public Sector Support	
	2	Ensure Comprehensive Scope	Border-In Border Border-Out Development
Analysis – Where are we now?	3	Start with a Thorough Assessment of the Sector	Benchmark the Sector's Business Environment Assess Competitors Review Main Markets, Current Performance and Capacity to Respond Evaluate Current Approach to Export Development
	4	Apply Value Chain Analysis, Identify Critical Success Factors and Assess Value Options to:	Acquire Greater Value Retain Greater Value Add Value Create Value Distribute Value
	5	Confirm Client Demands and Needs	Current Participants in the Value Chain Potential Participants in the Value Chains Aspiring Participants in the Value Chain
	6	Review Essential Trade Support Services	Competency Development Trade Information Trade Finance Export Quality Management Other Support
	7	Assess Available Resources within Public and Private Sectors	Finance Institutions Programmes People
	8	Prepare a SWOT Analysis	

Strategic Focus – Where do we want to be?	9	Create a Vision	
	10	Specify Priorities	
Formulation and Management – How do we get there?	11	Establish the Framework for Managing and Monitoring the Strategy	Confirm Strategic Considerations Determine Objectives Specify Performance Measures Set Targets
	12	Formulate a Plan of Action	Specify Initiatives Identify Responsible Organizations Allocate Resources Set the Implementation Schedule
	13	Maintain the Public-Private Partnership for Strategy Implementation	

SOURCE: INTERNATIONAL TRADE CENTRE, 2006.

The complete guidelines that cover each step in detail can be downloaded from: http://www.intracen.org/execforum/ef2006/Strategy-Tools/Product-Sectors-En.pdf.

12 Producer organisation and small enterprise capacity appraisal

Examples of use: a) as a guide/ checklist to help assess an enterprise's capacity with an enterprise's employees and to help structure discussions on development needs and priorities; b) as a guide for producer organisations to assess their own capacity.

(Note: This tool has been produced by Oxfam GB. It has not at date of publication of the action guide been checked by Oxfam for use with a wider publishing audience.)

This aim of this tool is to help Oxfam staff, partners and enterprises (Es) or producer organisations (POs) assess the organisational development needs of these Es and POs. Oxfam's *Producer Organisations: A Practical Guide to Developing Rural Enterprise* gives a more detailed analysis and potential solutions to issues raised in this assessment.

Assessing an E's capacity is not a matter of ticking boxes. While a simple checklist can help Oxfam, our partners and Es identify some areas of capacity, many others – such as grassroots ownership or business strategy – cannot be assessed meaningfully in this way. There is also a risk that use by Oxfam and partners of such checklists to conduct their assessment of the E may seem threatening to E employees and undermine their trust and openness. This trust and openness is essential because effective capacity development depends on the PO recognising where it needs to develop its capacity – it is not enough for Oxfam and partners to recognise the PO's weaknesses.

The appraisal tool is divided into nine sections. Each section starts with a summary of the core capacities that Es generally need to develop to become strong and sustainable businesses and organisations. Not all of these core capacities will be relevant, so please adapt the tool to your own context. These core capacities are followed by a set of questions to support further analysis.

1. **Capacity of Grassroots Members/ Enterprise Staff**	
Core capacities + E members/staff have basic understanding of the E and feel responsible for its success + Women and other marginalised groups are able to participate in decision-making of the E on an equal basis and are not constrained by limited confidence, time, capacity or other members' attitudes + PO's 'grassroots' members have the necessary knowledge, skills and confidence to participate in decision-making + PO's grassroots members see themselves as the owners of the organisation and feel responsible for its success.	Score 1 – 5
Further analysis • *Do women and men have the same opportunities in the E (skill-development, promotion, participation in decision-making, etc.)?* • *Are the E's vision and mission known and understood by most people in the E?* • *Do they have the literacy, numeracy and skills to understand the E's constitution, financial reports and business plans?* • *Do E staff have the necessary skills to carry out their duties or, if not, are adequate training plans in place?* • *Do grassroots members/ junior staff have the confidence to participate actively in management and organisational meetings or at the PO's AGM?* • *Are all categories of grassroots members (e.g. men and women, members of different social or ethnic groups) represented in the PO's leadership, at each level of the PO?* • *Do members make voluntary contributions to the PO that indicates ownership?* • *How easy is it for grassroots members, in particular women or members of other marginalised groups, to stand for election and become leaders?*	
2. **Organisational Governance and Management**	
Core capacities: governance rules and structure + E's constitution or other written documents clearly define its purpose, governance rules, structure and duties/ responsibility of members, leaders and managers + E's leaders have defined terms in office/ contracts and understand the business + Members/ staff have trust and confidence in the leadership and managers + Leaders are able to respond to and manage internal and external change	Score 1 – 5

Further analysis ***Governance rules and structure*** • *Does the E have a clear and non-discriminatory membership/ employment policy?* • *Do the E's leaders and members/ staff have a clear understanding of their individual roles, functions and responsibilities within the E?* *- Does the E have a written manual or constitution? (e.g. statutes or internal rules; written roles for staff or committee members)* *- Is there an up-to-date organigram? (i.e. a diagram showing how the E is organised)?* • *How effective is the E's governance structure in ensuring managers are accountable to members/ staff but also have sufficient freedom to run the business effectively?* • *Are the PO's governance structures fair and transparent, clearly defining the authority and responsibilities of members, leaders and managers?* • *Do plans exist to increase the capacity of marginalised members to participate in the PO's decision-making processes?* ***Social capital*** • *Do E owners or members see the E as their own idea and their own organisation? Do they talk about the E as an external initiative?* • *Are members/ staff committed to the E and willing to forego short-term benefits to secure long-term gains?* • *To what extent do grassroots members/ junior staff trust the leaders/ managers of the E?* • *Is communication effective within individual groups and between different levels of the PO?* ***Leadership*** • *Do the E's leaders have a clear vision for the E?* • *Do the E's leaders and managers have the necessary leadership and management skills to perform their tasks effectively or are training plans in place?* • *Does the PO have rules that prevent conflicts of interest between leaders' political engagements and representing members' interests?*	
3. Enterprise Structure	
Core capacities + E's legal structure fits its business needs and organisational priorities + E's size, structure and growth plans are based on business needs defined in a business strategy + E's growth plans are sustainable and realistic in terms of existing level of business income, management capacity and social capital	Score 1 – 5

Further analysis • *Who owns the E and how are benefits distributed from E activities?* • *Is the E's legal structure the best fit within the existing legal framework of the country?* • *Is the E legally registered? Are taxes paid to the government? Does the E have title to land/ property?* • *How well does the organisational structure fit the business needs and the demands of the markets the E is operating in?* • *Does the E have a realistic growth strategy based on a business and market strategy?* • *Do accountability and communication systems for the E need to change to reflect any planned expansion in the future?*	
4. Marketing Capacity	
Core capacities + E applies a market-oriented approach to all its activities and services + E has the capacity to conduct or manage market research and evaluate market opportunities + E has a strategy based on a market, production and members/ staff capacity assessment + E's marketing strategy takes into account potential risks	Score 1 – 5
Further analysis ***Market research capacity*** • *Does the E have the resources to manage market research independently?* *- Have staff undertaken market visits or attended fairs to promote their products?* *- Does the E know who its competitors are in the target market(s)?* • *Can the E assess different market opportunities and select options?* *- What were the E's approximate sales (by % or in hard currency value) and costs last year and the number of buyers for each market: e.g. local markets, traders, export markets, processors?* • *Does the E have access to up-to-date market information?* *- From where is market information obtained on market demand, future trends, competition etc?* ***Marketing strategy*** • *Does the E's marketing strategy reflect its competitive advantage and reflect the capacity of members/ staff/ managers capacity?* *- Is there someone in charge of marketing and sales?* *- Can the E communicate in the language of target markets?* • *Does the E have a strategy for increasing the number of customers?* *- How does the E promote its business and communicate with customers and suppliers e.g. irregular meetings, planned meetings, letters, email, telephone, fax, catalogues, leaflets, website?*	

• *Does the E have the capacity to implement the marketing strategy successfully i.e. do members have sufficient production capacity and managers' marketing skill?* • *To what extent does the E's marketing strategy balance profitability and risk?*	
5. Business Management	
Core capacities + E has clear and realistic business strategy set out in a business plan + E's business is able to cover its costs/ wages and pay suppliers/ members or a realistic plan to covers these costs within a defined time frame + E covers its business costs including costs currently funded by donors, and manage cash flow, that enables timely payment to members/staff and suppliers/ service providers + E has access to sustainable financing sources	Score 1 – 5
Further analysis ***Business planning*** • *Does the E have a business plan written by managers/ leaders covering several years?* • *Do PO leaders/ managers have the capacity to develop business plans?* • *Is the E's strategy outlined in the business plan consistent with its current activities and finances?* • *What investments, e.g. new equipment, will the E require to achieve its business targets?* • *Do the leaders/ managers and members /staff see the PO as an independent business that has to become financially sustainable?* • *Do PO members value the services provided by the PO and is this reflected in stable membership numbers or rising membership over preceding years?* ***Financial management*** • *Are E managers able to assess the profitability of the business based on an assessment of actual and hidden costs?* • *Does the E have access to long-term affordable financing to fund operational and investment plans?* *- Has the E ever received a bank loan?* • *Does the E have an annual budget and does it produce regular financial reports?* • *Is the E's payment system to members/ staff transparent and understood by all members/ staff?* *- Are wages above legal minimum? Are women paid the same as men for work of equal value?* • *Does the E have an effective cash flow management system?* • *Does the E have an agreed transparent system for distributing*	

business profits to its members? ***Financial systems*** • *Does the E have trained accounting staff and effective accounting systems?* • *Does an independent auditor audit the E's accounts?* • *Does the E have the equipment and resources to manage its finances efficiently and securely?* ***Operational management*** • *Does the E have adequate office facilities and communications infrastructure to conduct its business?* • *Is the E aware of any positive or negative impact it has on the environment?* • *Do the managers have the necessary experience and skills to manage the business effectively or are there training programmes in place?* *- Can the E react to buyers' requests in a timely manner? Give examples* • *Does the E need to develop the capacity of its staff in key areas and does it have the resources to fund these investments?* • *Are there mechanisms (group meetings, trade union representation etc.) for consulting members/ employees on business decisions?*	
6. Production Capacity	
Core capacities + Leaders/ managers understand the quantity, quality and reliability demands of buyers and can keep in touch with changing demands + E has logistical systems to coordinate production to meet market demand + E has quality management and internal incentive systems to meet market demands + E's investments in quality management, productivity or certification will generate the income necessary to cover the ongoing costs of these investments	Score 1 – 5
Further analysis • *Do managers understand buyers' preferences and the standards demanded by target markets?* *- Does the E have specifications for its products?* *- Is the E aware of legal regulations concerning its products e.g. phytosanitary regulations?* *- Does the product require special packaging? If so, is this done by the E?* • *Does the E need to upgrade producers' skills or make investment in technology?* • *Do premises/ workplace have sufficient space, illumination, and ventilation? Are there health risks?*	

• *Does the E have the systems and resources to gain independent certification of its products?* • *Do producers have the capacity to produce the quality and quantity of products demanded by buyers?* *- Is there a production plan and is the PO's production capacity known?* *- Does the E have sufficient equipment for production?* *- Where are the products stored?* • *Does the E have the necessary systems and resources to monitor and control production quality?* *- Does the E have an inventory of stocks and/or equipment, managed by someone?* *- Have problems that could/ do affect production been detected? (What are the major problems e.g. quality of raw materials, lack of credit or stocks etc.)?* • *Do members understand, support and trust the PO's quality management and related incentives system?* *- Are there records of rejected products, customer complaints, raw materials, productivity etc.?* *- What happens to rejected products? (Is there a system for rejecting sub-standard products and removing them from normal sales?)*	
7. Market Linkages	
Core capacities + E has sufficient bargaining power to negotiate acceptable prices and good terms + Managers/ leaders/ staff have confidence to negotiate sales + E is able to assess market opportunities and up-to-date market information + E has a good reputation with buyers for quality and reliability	Score 1 – 5
Further analysis • *Do E staff have the experience, confidence and skills to negotiate business deals independently?* *- What local, national and international networks is the E a member of?* • *What competitive advantage does the E have in each marketing chain it operates within e.g. price, quality, scarcity of its product, its size, traditional design etc?* • *Can the E identify new market opportunities and select options?* *- How often does it meet or discuss business with current buyers?* *- Does the E keep a record of buyers and potential buyers?* • *Does the E have confidence that member producers or suppliers will honour advance contracts, even if other buyers offer them better prices?*	

• *Does the E have experience of working with target traders e.g. local traders, processors, wholesalers, direct consumers, export agent?* • *Is the E's reputation in the market based on its business record or the involvement of another party, e.g. a specialist support agency?*	
8. Access to Business Services	
Core capacities + E is able to access all necessary business and development support services + E has a long-term strategy to finance business services from business revenue + Leaders/ managers have the capacity to negotiate service contracts	Score 1 – 5
Further analysis • *Do leaders/ managers have the capacity to assess what business service the E needs e.g. transport, insurance, production training?* • *Can the E access and afford the business services it needs to conduct and develop its business?* • *Does the E have a strategy to access essential business services that are currently unavailable?* • *Will the E have the resources and capacity to access and afford independent business services once the FA withdraws its support?*	
9. Advocacy Capacity	
Core capacities + E can defend and promote its own/ its member's interests in the market environment + E has the necessary skills, financing, structure and networks to conduct effective advocacy work (if it is a priority) + PO's advocacy priorities are driven by the needs and priorities of its members	Score 1 – 5
Further analysis • *Do leaders/ managers have the time, confidence and skills to negotiate or meet with other representative organisations and policy makers?* • *Does the E have access to the research and policy resources and networks necessary to conduct effective advocacy work?* • *How are members/ staff compensated for giving up time to lobby external organisations or attend meetings.* • *If the E plans to or is already engaged in advocacy work, whose advocacy priorities and interests are driving this work?* • *Does the E have the financial resources to fund existing or planned advocacy activities and, if not, how will it fund these in the long run?*	

• *What steps will the E take to ensure any existing or planned advocacy work does not divert essential resources away from the business?*	

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