CRIDF - Organisational Baseline

March 2019

STATE OF THINKING - GENDER | PRO-POOR | TRANSBOUNDARY WATER | CLIMATE RESILIENCE

CRIDF

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Contents

List of Acronyms

CRIDF   Climate Resilient Infrastructure Development Facility

DFID   Department for International Development

KAP   Knowledge, Attitude and Practice

OBS   Organisational Baseline Survey

RBO   River Basin Organisation

SADC   Southern African Development Community

SE&I   Stakeholder Engagement and Influencing

TBW   Transboundary Water

Introduction and context

CRIDF works with a range of stakeholders from regional River Basin Organisations (RBO) to government departments and private sector companies. For the purposes of this survey we wanted to gather data that would reflect the state of thinking within these institutions regarding CRIDF's four strategic threads (gender, pro-poor, transboundary water and climate resilience).

Purpose of the report

The results of the survey contained in this report serve two purposes:
* To provide a baseline measure against which CRIDF might be able to assess change in institutional thinking later in the programme, and
* To provide guidance and insight to CRIDF's Stakeholder Engagement and Influencing (SE&I) workstream, as to priority areas to focus on for influencing institutional change.

There are three primary audiences that might be able to use the findings of this report:
* The CRIDF SE&I workstream
* CRIDF, in particular the Evidence and Learning workstream, to determine programme progress, and
* DFID to guide CRIDF and to take into account in the design of future programmes.

Secondary users might include other individuals and organisations working with institutions to improve or influence institutional thinking, in any field but particularly regarding climate resilience.

Methodology

Sampling

The institutional population with which CRIDF works is relatively small and considerably diverse. As a result, drawing a sample that would be statistically significant was not possible. In addition, we wanted to capture different perspectives and views throughout the same institutions regarding the issues raised in the survey. To limit the survey response to a single institutional representative, we felt may give an official view regarding the institutional position but may not provide a realistic view of the operational reality.

As a result, it was decided to combine a convenience sampling strategy, by inviting all organisations with which CRIDF had contact to respond with an added snowball methodology, by asking initial respondents to recommend colleagues, in the same institution, who might also be able to provide insight into the questions asked.

Survey design

The survey structure is based on the Knowledge, Attitude and Practice (KAP) model. KAP models and surveys are mostly associated with assessing the extent of individual behaviour change with the premise that practice will change when attitudes are altered and that this is dependent on having access to suitable and appropriate information that will influence the individual's level of knowledge.

We have used the same premise to posit that organisations will only implement operational practice if they are aware of and informed about the realities through reliable, appropriate data and can see value in implementing these practices.

As a result, the survey instrument was designed in four sections (one for each of the CRIDF strategic threads). Each section asked questions regarding the institutional access to information, whether this information informed the institutional strategy and to what extent this strategy was implemented.

The survey design went through several iterations and was pilot tested with two internal respondents before being finalised. Final adjustments were made to the survey following technical limitations of placing the instrument online.

Survey administration

The survey tool was placed on the CRIDF website and an email from the CRIDF SE&I team was sent to the institutional contacts database asking for respondents to complete the survey. Poor response rates after three weeks meant that we had to contact respondents directly by telephone. In doing so we then provided several options; to complete the online survey, to complete and Excel based version of the survey which we could email to the respondent or to verbally respond to the survey in a telephonic interview with one of our staff. This resulted in the timeframe for data collection doubling from approximately three to six weeks.

The initial survey questions asked the respondent to select the type of organisation they represented from a drop-down list. Depending on their response this then directed the respondent to a "high level" or a "low level" institutional survey instrument. The issues addressed and questions asked within the instruments were similar, but the "high level" survey included optional questions relating to funding of programmes.

Limitations

There were several limitations to this survey:
* It was not possible to draw a statistically representative sample, and as a result the reported results cannot be said to be statistically representative of all of the organisations with which CRIDF interacts.
* Respondents were asked to personally self-report subjectively on a range of issues applicable to their organisation. As a result, these results cannot be held to be the official institutional positions of the issues raised, but rather the personal positions of the staff members who responded to the survey.
* Some technical challenges were encountered in the design of the survey, and as a result, the tool needed to be adjusted to fit the technical parameters.
* Respondents encountered additional technical challenges when trying to complete the survey tool; including limited bandwidth, and access to adequate IT equipment. This limitation resulted in the enumerators contacting respondents telephonically and offering alternative methods of completing the survey.
* Given that we employed different methods of data collection, no verification of the responses was conducted.

Findings

At the end of the data collection period we received a total of 48 responses representing 40 institutions. Of these there were 30 individual responses, representing 27 "high level" institutions. This report contains the results of these "high level" responses, as it is these institutions that CRIDF is more likely to influence using its current programme design. For the same reason donor responses from the findings have been omitted.
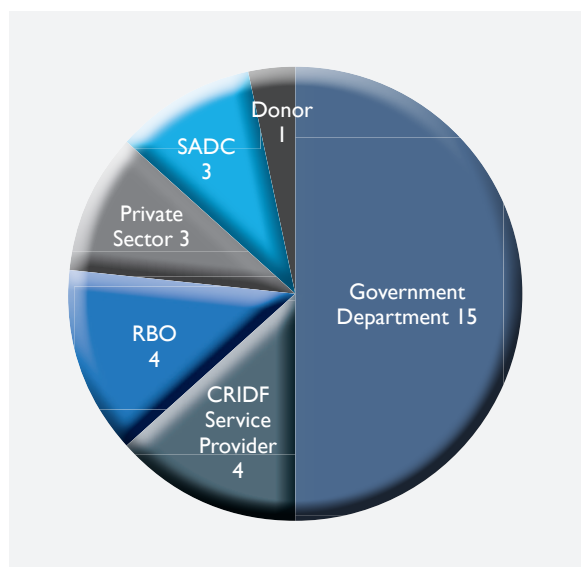
Given the unequal distribution of responses across organisations, responses from the staff member within the same organisation are reported as individual responses. All results were anonymised. No single institution is identified in the findings. One donor respondent answered to the survey. This response has been omitted from the analysis, as CRIDF is unlikely to engage with them in an influencing role.

The presented results are a compilation of all the respondents. All the respondents that started the survey completed it.

Institutional profile

Of the thirty responses half represent government departments, see **(Figure 1)**, while other respondents are spread between CRIDF service providers, River Basin Organisations (RBO), private sector companies. and organs of the Southern African Development Community (SADC).

Figure 1: Organisation Type

Access to information

Access to regular, reliable and appropriate information is a key step in being able to make appropriate decisions both from a strategic and an operational point of view. We asked the respondents to determine whether they felt that the board, the management and the implementing departments had access to information and data in four areas; gender inclusion, pro-poor, transboundary water and climate resilience, see **(Figures 2 – 5)**.

Of the thirty respondents seven (nearly 25%) reported that their information was either outdated or questioned its reliability. The vast majority reported that the information their institution accessed was up to date and reliable. While most respondents reported that the right people in the institution could access the information either easily or with some effort, government departments, RBOs and SADC organs were the most likely to report extreme difficulty in accessing information or not being able to access information at all, in all four categories.

In all cases, respondents reported that management had better access to information than their governing bodies. This might be understood in terms of management having access to more regular updates given their daily interaction with the field.

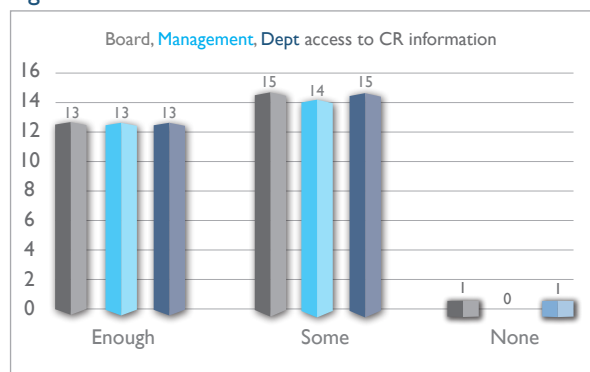## Figure 2: Access to information - Climate resilience

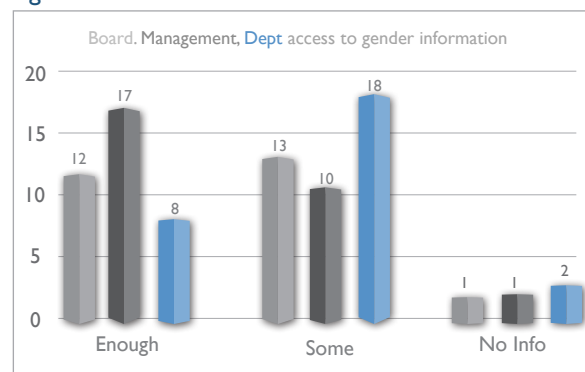## Figure 3: Access to information - Gender
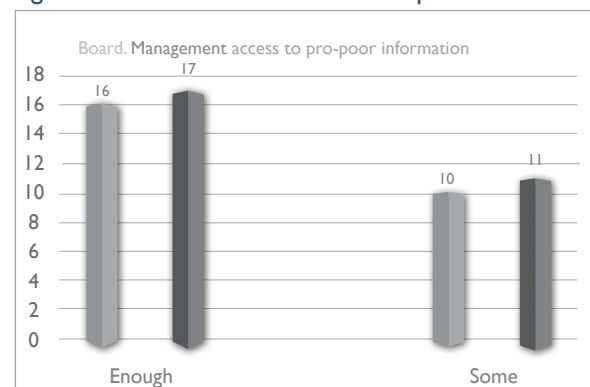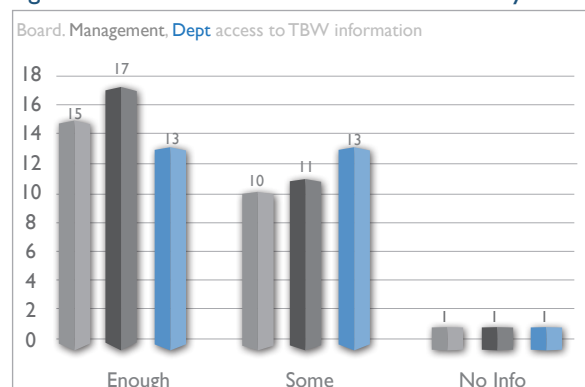

Figure 4: Access to information - Pro-poor

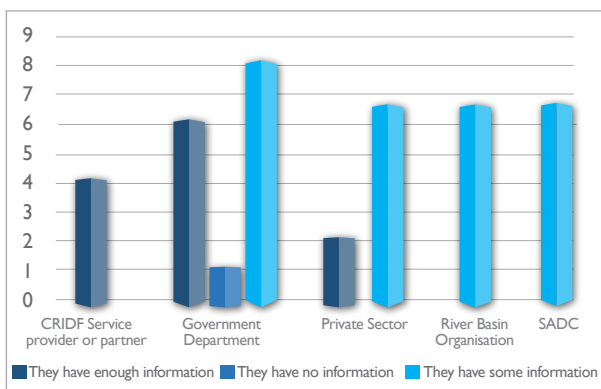## Figure 5: Access to information - Transboundary water

Of concern, however, is that only 50% of the respondents reported that they felt that their Board members had access to sufficient information in any of the four areas. Similarly, only slightly more than 50% of respondents report that institutional management have access to enough information to guide their decision making. Of particular concern is the drop to just over 40% of respondents reporting access to enough information on climate resilience.

It is also a concern that respondents report that, in general, departments within institutions only have **some access** to information in the three of the four strategic areas. In the case of pro-poor information, respondents
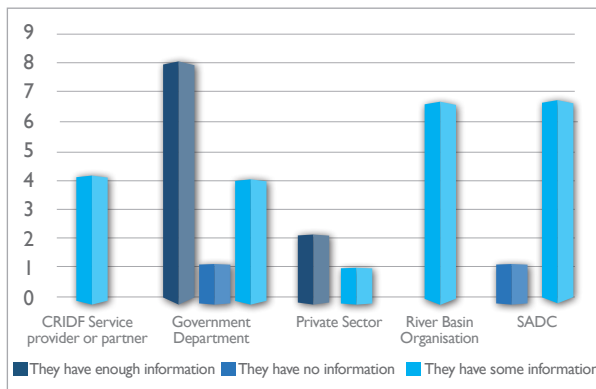
reported that departments within institutions had access to no information at all. When we further interrogate these figures, the dearth of information is apparent within certain type of organisations, *(Figure 6)*, with government departments, SADC organs and RBOs reporting limited information access.

A similar pattern emerges in decision makers' access to information related to gender and pro-poor issues, *(Figure 7 and Figure 8).* There appears to be greater access to information relating to transboundary water issues *(Figure 9)*, although some respondents still report their institutions having limited information access.
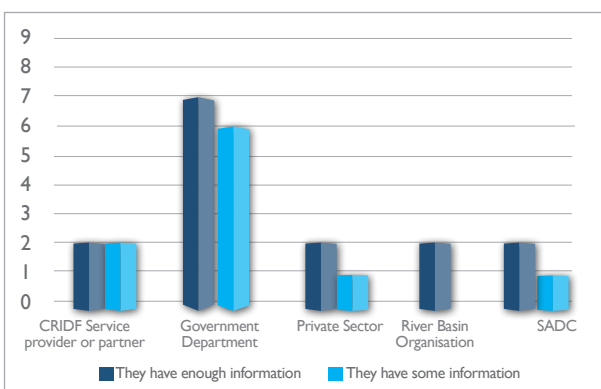
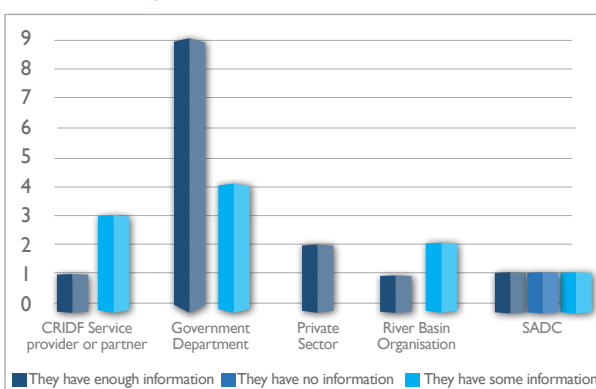Figure 6: Board / Decision maker access to climate resilience information

Figure 7: Board / Decision maker access to gender information

Figure 8: Board / Decision maker access to pro-poor information

Figure 9: Board / Decision maker access to transboundary water information

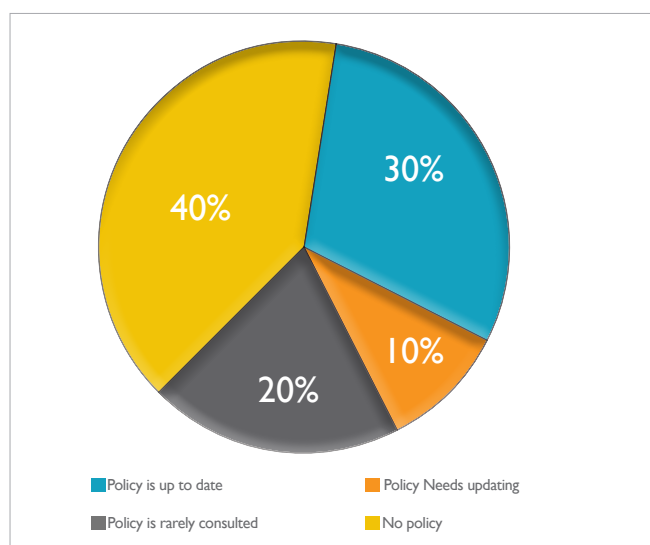### Policy development and adoption

We asked the respondents the extent to which the four CRIDF strategic threads were important to their own organisation; and then to reflect on the status of their organisational policy regarding that area. The existence of a policy while not an essential item in ensuring an issue's centrality to institutional strategy, often indicates the importance with which this issue is regarded. Similarly, a policy that is translated into an action plan, or a policy that is regularly reviewed and reported against will often represent issues core to institutional thinking and strategy. Within this survey the existence and application of a policy was taken to represent institutional "attitude" within the KAP framework.

Encouragingly, a third of respondents regarded climate resilience, gender and pro-poor inclusion to be central to their institutional purpose and another 60% or more regarded these areas to be important to their institutions *(Figures 12 – 15).* Over half the respondents regard transboundary water issues to be central to their institution, possibly reflecting the sample population and sampling process, while an additional 45% regarded it as important.

One respondent reported that climate resilience was not important to their institution *(Figure 12)* indicating that not all of the institutions with which CRIDF has contact share the same mind-set.

However, having a policy and implementing its principles are not synonymous. Of the ten organisations that reported that climate resilience was central to their institution's purpose *(Figure 12)* only three institutions or 30% regard their policy as being up to date *(Figure 10).* Of concern is the 40% of organisations where there is no guiding policy on climate resilience, and the 20% of organisations that rarely consult their policy. These figures reflect a gap in institutional governance with implications for institutional strategy and programme implementation. Similarly reflecting this gap, of all of the high-level institutional respondents, only a quarter always or often report on climate resilience within their own institutions *(Figure 11)*. Two thirds of respondents only report on this issue when requested, suggesting that this is not a standing item on the agendas of most institutions, and two institutions (7%) never report on climate resilience.
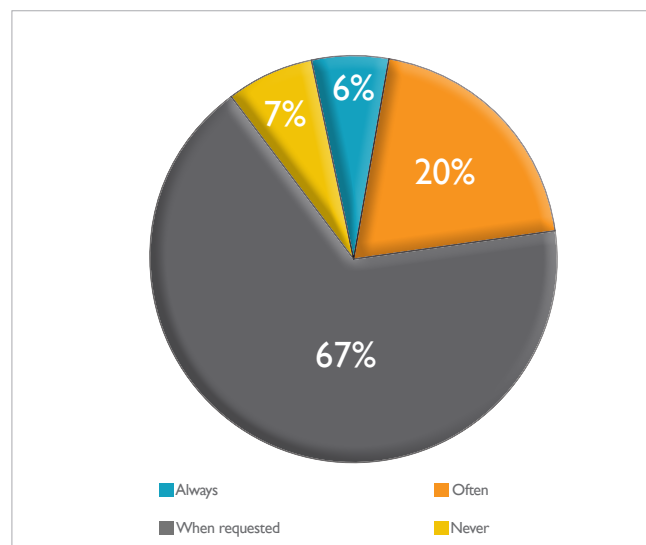
Figure 10: Policy status of the organisations who claim climate resilience is central to their organisation's purpose

- Policy is up to date
- Policy Needs updating
- Policy is rarely consulted
- No policy

A similar situation is reflected in the institutions' implementation of:

- **Gender,** where ten institutions claim that the issue is either central or important to them **(Figure 13)** but do not have a policy document;
- **Pro-poor,** where 25 organisations claim the issue's centrality or importance, **(Figure 14)** but only 15 report on it regularly with 13 of these 15 organisations reporting that
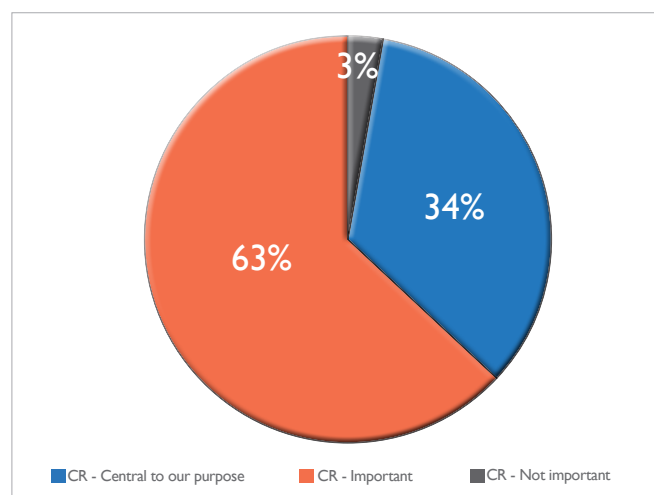
Figure 11: How often do you report on climate resilience WITHIN your organisation?

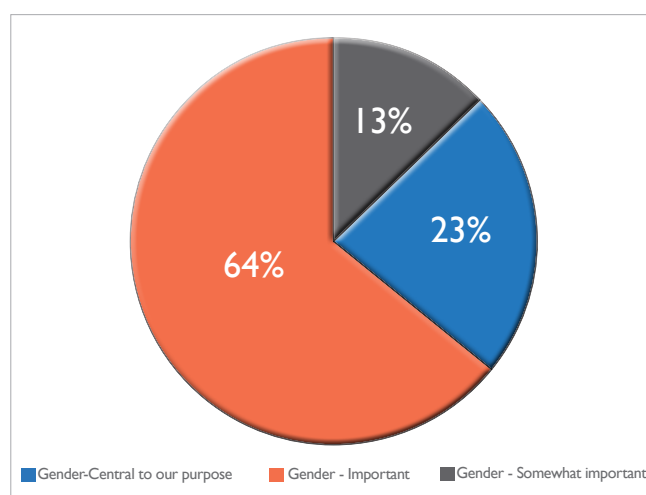- Always
- Often
- When requested
- Never

pro-poor policy issues are a standing item on the agenda; and

- Transboundary water, where 26 organisations claim the issue's centrality or importance **(Figure 15)**, but only 20 report on it regularly with 12 of these 20 organisations reporting that this is a standing item on the agenda.
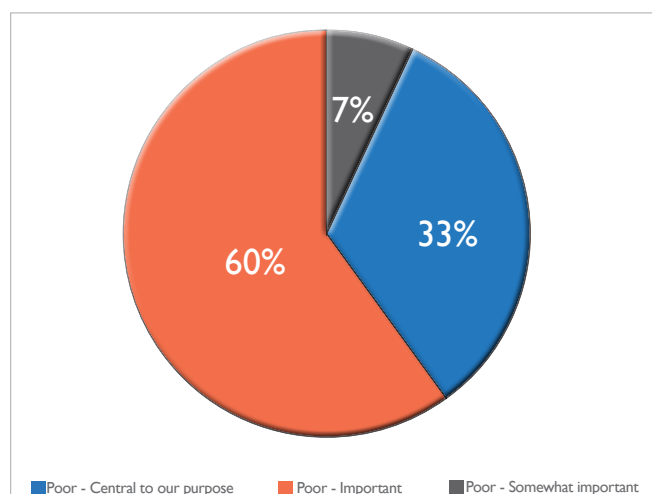
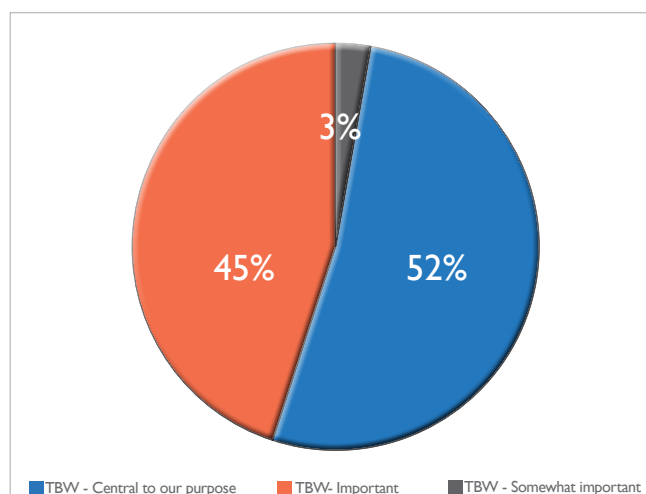**Figure 12:** Institutional importance of climate resilience

- CR - Central to our purpose
- CR - Important
- CR - Not important

Figure 13 : Institutional importance of gender

- Gender-Central to our purpose
- Gender - Important
- Gender - Somewhat important

Figure 14 : Institutional importance of pro-poor

- Poor - Central to our purpose
- Poor - Important
- Poor - Somewhat important

Figure 15 : Institutional importance of TBW

- TBW - Central to our purpose
- TBW- Important
- TBW - Somewhat important

Implementing policy

We asked respondents to report on two aspects of their institutional practices within the four areas under consideration. Not all the responding institutions may have a mandate to implement programmes on the ground within these areas, but all will have a responsibility to practice some aspect of programme contribution. The first aspect considered was whether the institutions implemented projects (or aspects of projects) in these four areas and whether the respondent was of the opinion that these projects were of use to beneficiaries. The second aspect on which we asked for clarity, was whether the institutional staff responsible for this area were supported in their implementation and whether they had sufficient resources to carry out their mandate.

Institutional implementation

In terms of researching climate resilience in relation to their institutional mandate the majority of the organisations either performed this regularly, as part of their ongoing role, or when they deemed it necessary *(Figure 16)*. Similarly, the majority of respondents reported that their institutions implemented climate resilience projects often or regularly as part of their ongoing mandate. Of concern is the RBO that reported not conducting any climate resilience related research or implementing any projects in this field *(Figure 16 and Figure 17)*.

Figure 16: Institutional research of climate resilience related to projects
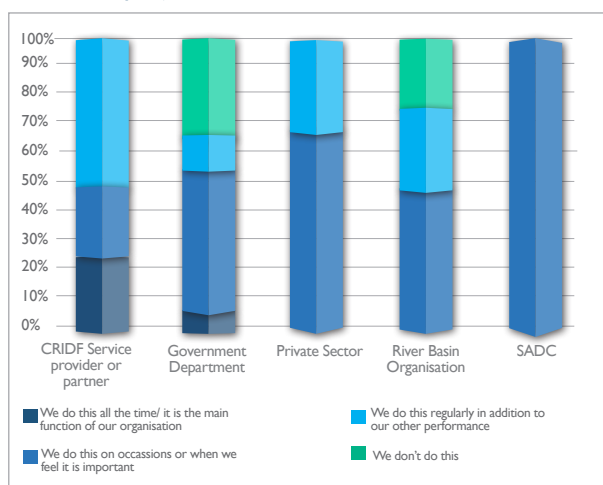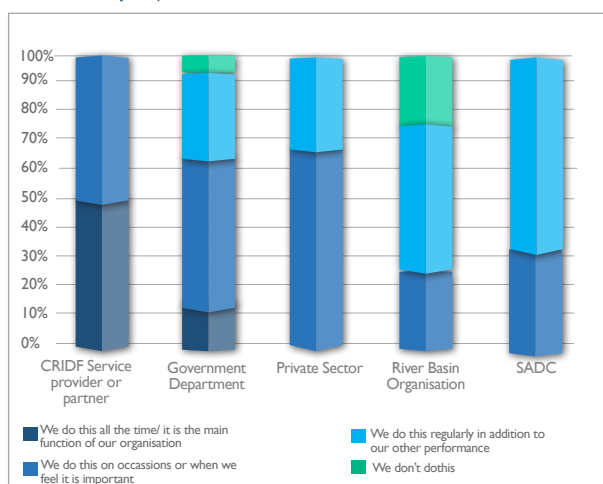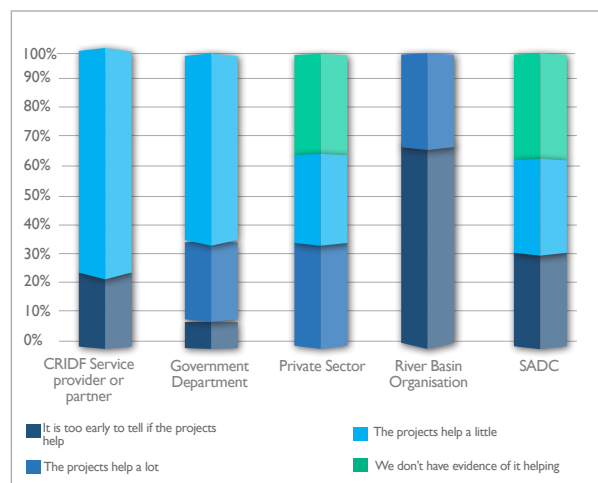

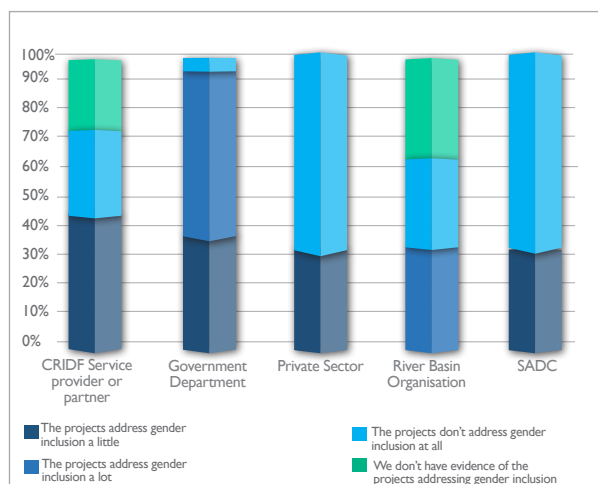Figure 17: Institutional implementation of climate resilience projects

Regarding the respondents' opinion of the benefits of the projects, *(Figure 18)* the majority felt that the climate resilience projects were either of benefit or that it was too early to determine the extent to which the projects were successful. Two respondents, a SADC organ and an RBO, responded that they were not aware of the institution having any measures in place to determine the impact of their programmes, calling into question these institutions' ability to determine success or failure or projects.

Figure 18: Respondents' opinion of institutional climate resilience projects

The majority of the respondents reported that they feel that their institution's gender projects go some way to addressing gender related issues, *(Figure 19)*, with 13 claiming significant influence and 10 claiming limited influence. Two respondents (an RBO and a CRIDF partner) were unaware of any mechanism in their institution to assess impact of these programmes, again calling into question these institutions' ability to measure impact.

Figure 19: Respondents' opinion of institutional gender projects

In reporting on pro-poor programmes and projects *(Figure 20)* fourteen of the respondents reported that their institutions either did not conduct pro-poor research or only did so when they believed the occasion merited it. Slightly less than half (12) of the respondents reported that their institutions regularly conducted pro-poor research. The majority of institutions (23) reported implementing pro-poor programmes or projects either as part of their core mandate or regularly as part of their other activities. The remaining institutions reported as either not implementing these projects (1) or implementing them occasionally (4). In terms of effectiveness, about half the respondents (14) felt that the pro-poor programmes assisted greatly while a quarter were not aware of mechanisms to assess effectiveness *(Figure 23)*.

Eighteen institutions are reported to research transboundary water issues on a regular or ongoing basis, while seven do this on occasions and two do not perform this research at all *(Figure 22)*. Twenty-two institutions reportedly implement transboundary water projects regularly or as part of their core mandate while five do so occasionally, *(Figure 24)*.

Figure 22: Institutional research of transboundary water issues

Figure 20: Institutional research of pro-poor issues related to projects
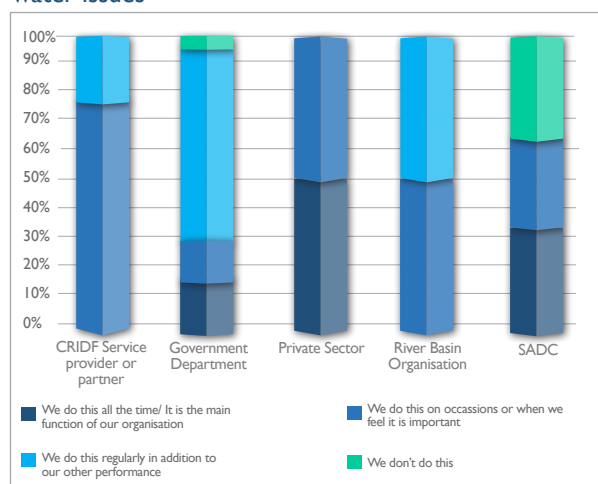

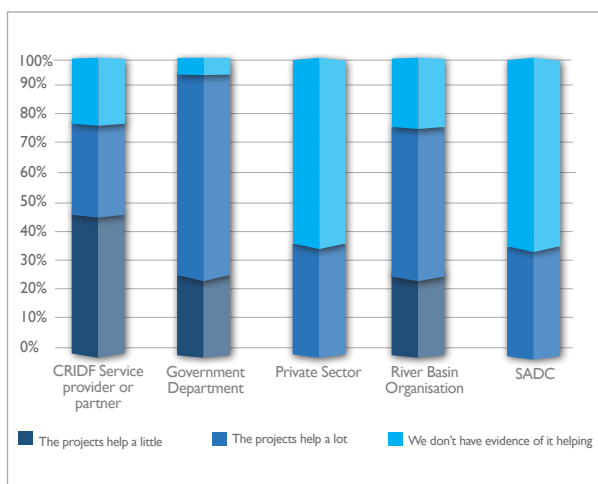## Figure 23: Respondents' opinion of institutional pro-poor projects

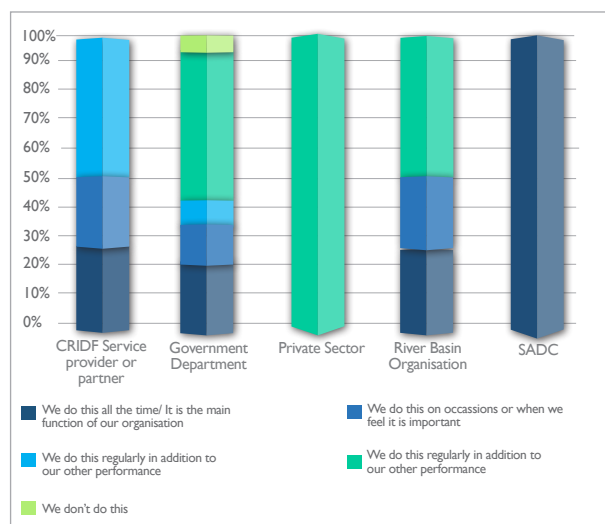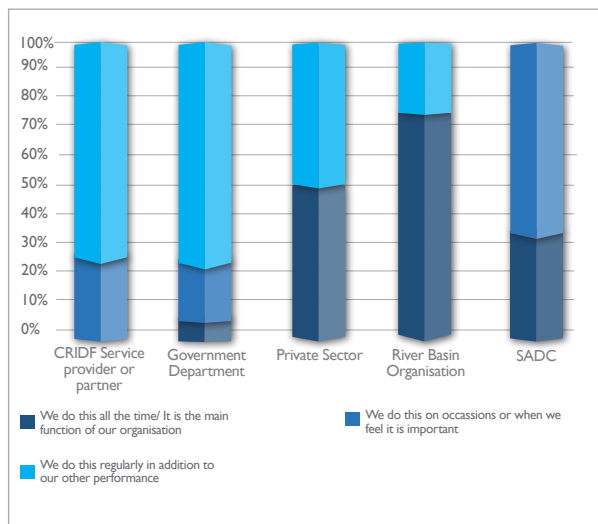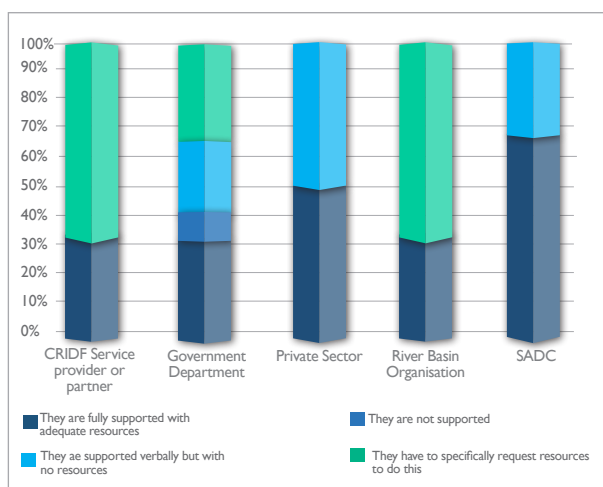## Figure 21: Institutional implementation of pro-poor projects

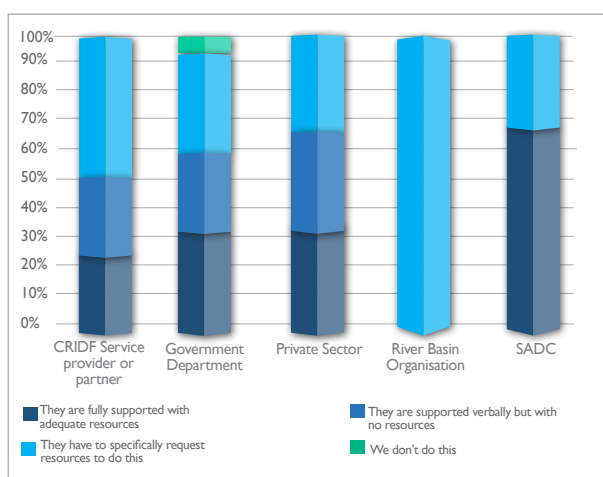## Figure 24: Institutional implementation of transboundary water projects

Institutional support for staff

In terms of project planning if an institution has committed to an objective, adequate support and resources should be provided to achieve the anticipated objectives. However, regarding institutional support for dealing with issues related to gender, the minority of respondents reported that their institutions provided only adequate support for their management and programme staff. In the majority of the cases institutions either only paid lip service to the support provided, provided no support at all or required special requests to be made for resources to be allocated *(Figure 25 and Figure 26).* This discrepancy speaks to the disconnect between an institutional strategy and its effective implementation, reinforcing the thinking that some institutions pay lip service to certain goals, but do not or are not in a position to implement this thinking.

Figure 25: Support to management re gender issues

Figure 26: Support to programme staff re gender issues

Funding programmes

As part of the instrument for assessing KAP we also asked if the institutions provided funding for programmes and projects in the four strategic areas. Twenty-seven of the respondents replied that their institution did provide support. Of these

- Eleven respondents reported that their institutions targeted projects related to climate resilience, and a further ten responded that they would consider funding these in the future.

- Twelve responded that they targeted gender related projects and a further seven reported that they would consider future funding for them.
- Twelve responded that they targeted pro-poor related projects and a further nine would consider future funding.
- Seventeen reported that they funded transboundary water projects and a further four reported that they would consider funding for these in the future.

Slightly more than 40% of the organisations therefore fund projects related to climate resilience, gender and / or pro-poor issues with between 20% and 30% of organisations looking to fund these in the future. Fifty-five percent of organisations fund transboundary project with 13 % looking to fund these in the future.

Conclusions and Recommendations

Knowledge: Access to information

As those responsible for the strategic guidance and direction of the institutions and oversight of management decisions, Board members should be sufficiently familiar with the issues and areas where the institutions are operational. Similarly, Board members and institutional decision makers need access to sufficient information to make informed decisions regarding their institution. To this end they need to be guided by or develop appropriate institutional policies and strategies in these areas.

It is recommended that CRIDF consider building capacity of institutions to better brief Board members in the four strategic areas.

It is recommended that CRIDF consider building capacity of institutional Board members to critically engage with the material they are provided with to make more informed, strategic and critical decisions regarding their institutional strategic focus.

All individuals within institutions need access to appropriate, accurate information regarding their position, to assist them to perform their duties more efficiently. Some respondents reported that departments had access to no information in the four considered areas.

It is suggested that CRIDF consider assisting the institutions to develop a method of distributing appropriate information in an accessible manner at all levels of the institutions. This may mean changing the format or delivery mechanism of the same information to make it more appropriate for institutional staff.

Accessing appropriate and accurate information seemed to be a particular challenge for government departments, SADC organs and RBOs.

It is suggested that CRIDF determine the causes for this limited access and identify appropriate solutions.

Attitude: Strategy and policies

This section speaks only to policies applicable to the four strategic areas.

Appropriate and up to date policies guide and channel the implementation of institutional strategic plans. An absence of such policies while not essential to successful strategic implementation, might influence the way in which a programme is implemented, data

is collected or impact assessed. Similarly, these policies need to be regularly reviewed to ensure that they are appropriate and applicable in the institutional setting.

It is recommended that CRIDF encourage and assist its partner institutions to develop policies that will appropriately guide their programme implementation. Priority should be given to those institutions that regard the strategic areas as core to their mandate but have no guiding policy.

It is suggested that CRIDF work with partner institutions to identify the possible governance / reporting gaps and assist in developing a timeline for drafting or reviewing policy documents or developing a regular process for review and updating.

It is suggested that CRIDF work with partner institutions to ensure that their policy priorities are reflected in their strategic institutional planning.

Policies also communicate the institutional framework within which personnel work, and it is important that these policies are effectively communicated to the institutional staff.

It is suggested that CRIDF assist its partner institutions to develop effective, appropriate, internal communication channels to inform staff of these policies.

Practice: Resource allocation

Policy implementation can only be effectively carried out when appropriate support and resources are provided to programme staff. To set institutional goals without appropriate resourcing and authority sets programme staff up for failure.

CRIDF should encourage its partner institutions to provide appropriate resource allocation for the implementation of policies, or if resources are restricted, to state this clearly in the policy and to restrict the implementation of programmes in this light.

In this latter case it is suggested that institutions develop a prioritised list for this type of implementation.

Programme achievement or movement towards programme goals can only be assessed through regular data collection and reporting on this data. Institutional decision makers are then able to make informed decisions regarding an appropriate course of action.

CRIDF should encourage institutional programme staff and institutional decision makers to ensure that reporting on all four strategic areas is a standing item on all regular agendas. To do so, CRIDF should encourage institutions to develop a time based work plan and to report against this.

Where needed CRIDF should assist institutional partners to develop programme monitoring processes and practices that can be assigned to institutional projects to provide reliable data regarding the implementation and impact of institutional projects and for this data to be communicated to the institutional decision makers on a regular basis.