g CARE's Underlying Causes of Poverty Hierarchy
& Unifying Framework for Poverty Eradication
& Social Justice
In CARE's Strategic Planning Process

An Exercise Conducted to Support
CARE Mozambique's LRSP Review
September 13-15, 2005
Facilitated by:
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I. Introduction

CARE originally developed the Unifying Framework for Poverty Eradication and Social Justice (UF) as a descriptive tool to help staff understand how CARE's conceptual evolution has brought together an array of important approaches and lenses in our efforts to continually improve program quality.

Shortly after the Unifying Framework was introduced, staff began asking if and how it could be used as an analytical tool. To answer this question, we began experimenting with various ways of doing so. So far, we have determined that it is a very good analytical screen to help us ensure that we approach our work in a comprehensive manner. We have found that mapping the analyses of our Country Office (CO) regarding the underlying causes of poverty (UCP) onto the Unifying Framework helps us focus on the three end states – social positions, human conditions, and enabling environment – thus ensuring a more holistic approach to our analysis and response design.

Another area of experimentation needed was one to determine the value-added of incorporating the Unifying Framework and Underlying Causes Hierarchy into CARE's strategic planning processes. This paper provides a summary of CARE Mozambique's Long-Range Strategic Planning Workshop (September 13-15, 2005) where we used CARE's UF and UCP Hierarchy to inform strategic planning. We believe that using CARE's Unifying Framework and Underlying Cause Hierarchy enriched the LRSP process by:

- ❖ Providing a framework for making better use of secondary data through mapping underlying and intermediate causes.
- ❖ Helping to deepen staff's understanding of underlying causes.
- ❖ Helping staff to more readily differentiate between underlying and intermediate causes of poverty.
- ❖ Helping Country Offices set priorities that have a stronger underlying cause focus.
- ❖ Assisting Country Office staff in targeting above the community level.
- ❖ Providing a summary mapping of the strategic planning process.

The workshop was facilitated by Rob Ward (consultant) and Eric Dupree-Walker. Kathy McCaston was one of several resource people participating in the workshop; she led the mapping exercises.

The three of us would like to thank CARE Mozambique for their energy and willingness to use their LRSP process as a forum for CARE global learning.

We also have to acknowledge that some of the key lessons did not become apparent until after the workshop, during our reflection process and the development of this outline. We have incorporated both the lessons from the workshop and those that emerged from the reflection process.

II. Preparing for CARE Mozambique's Strategic Planning Process

For CARE's strategic planning processes we often spend considerable time and energy developing secondary data and information papers, but we find it difficult to keep that analytical information alive during the actual LRSP process. This appears to happen for several reasons; first, there is so much data and information to consider. Second, we have not yet found an adequate framework within which to organize and present the key data and information.

Our current approach is to present the secondary data review and analysis papers as pre-workshop reading. We do this with the hope that workshop participants will be able to synthesize the information and, to the extent possible, keep the more important factors in mind and bring them into the workshop discussions to inform and influence strategic priority setting. While this approach has proven adequate, CARE's focus on underlying causes, necessitates that we find a way to better incorporate this secondary data and information into the planning process. To identify how to better utilize the secondary data, we experimented with using the Unifying Framework to map the underlying causes of poverty found in the secondary data background papers for the CARE Mozambique LRSP.

To inform the LRSP process, CARE Mozambique's assistant country director conducted underlying causes of poverty workshops with staff in Nampula/Cabo Delgado and in the Vilankulos/Northern Inhambane sub-offices. Each suboffice organized around 18 to 25 members of staff, plus members of the government and local partners to participate in a two-day workshop. Participation was focused on a mixture of staff from different projects and levels. The workshops provided a conceptual overview of CARE Mozambique's history, the current strategic plan, and the Unifying Framework with PowerPoint presentations and questions. However, the remaining time was dedicated to small group work on analyzing the underlying causes of poverty in each region.

CARE Mozambique also conducted an in-depth secondary data and information review. The secondary data review covered a range of topics and was conducted to provide a situational/contextual analysis of the issues Mozambique has faced historically, as well as current factors and issues. Nine detailed discussion papers were developed on:

1. Socioeconomic trends
2. HIV/AIDs
3. Natural resource management
4. Rural development trends
5. Urban trends
6. Civil society issues and actors
7. Education
8. Local water management
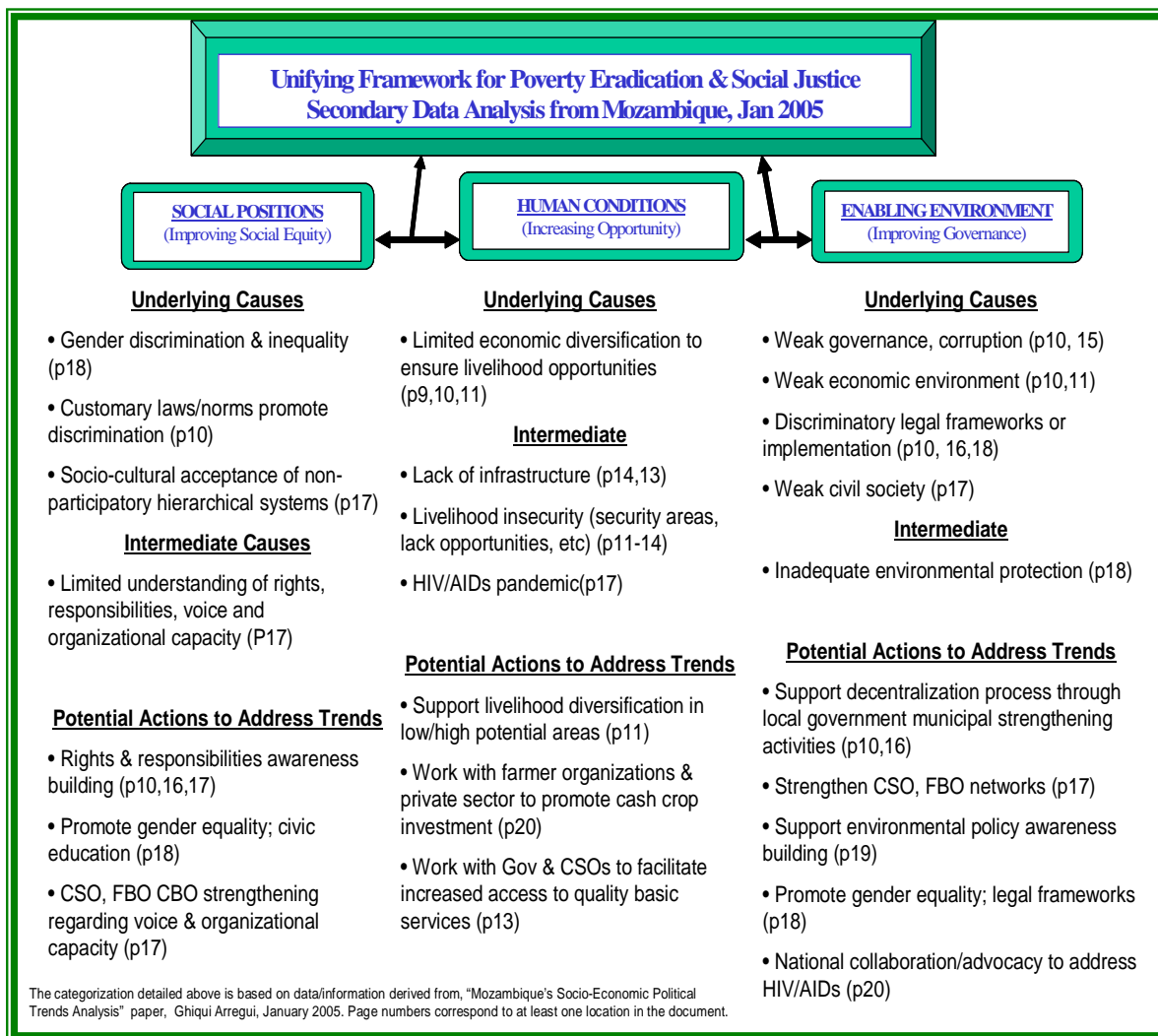9. Emergency preparedness and response.

These papers provided the data and information to map the underlying causes of poverty.

Prior to the workshop, we mapped the first paper that CARE Mozambique developed on socioeconomic trends, titled Mozambique's Socioeconomic Situational Analysis (see

Diagram 1). CARE Mozambique found this initial map to be a good tool to promote dialogue with partners and create interest in collaboration in the strategic planning process.

Together, these preparatory phases allowed CARE and partners to begin Day One of the strategic planning process with a more in-depth and shared understanding of the underlying causes of poverty in Mozambique.

Diagram 1

Unifying Framework for Poverty Eradication & Social Justice
Secondary Data Analysis from Mozambique, Jan 2005

SOCIAL POSITIONS
(Improving Social Equity)

HUMAN CONDITIONS
(Increasing Opportunity)

ENABLING ENVIRONMENT
(Improving Governance)

Underlying Causes

• Gender discrimination & inequality (p18)

• Customary laws/norms promote discrimination (p10)

• Socio-cultural acceptance of non-participatory hierarchical systems (p17)

Intermediate Causes

• Limited understanding of rights, responsibilities, voice and organizational capacity (P17)

Potential Actions to Address Trends

• Rights & responsibilities awareness building (p10,16,17)

• Promote gender equality; civic education (p18)

• CSO, FBO CBO strengthening regarding voice & organizational capacity (p17)

Underlying Causes

• Limited economic diversification to ensure livelihood opportunities (p9,10,11)

Intermediate

• Lack of infrastructure (p14,13)

• Livelihood insecurity (security areas, lack opportunities, etc) (p11-14)

• HIV/AIDs pandemic(p17)

Potential Actions to Address Trends

• Support livelihood diversification in low/high potential areas (p11)

• Work with farmer organizations & private sector to promote cash crop investment (p20)

• Work with Gov & CSOs to facilitate increased access to quality basic services (p13)

Underlying Causes

• Weak governance, corruption (p10, 15)

• Weak economic environment (p10,11)

• Discriminatory legal frameworks or implementation (p10, 16,18)

• Weak civil society (p17)

Intermediate

• Inadequate environmental protection (p18)

Potential Actions to Address Trends

• Support decentralization process through local government municipal strengthening activities (p10,16)

• Strengthen CSO, FBO networks (p17)

• Support environmental policy awareness building (p19)

• Promote gender equality; legal frameworks (p18)

• National collaboration/advocacy to address HIV/AIDs (p20)

The categorization detailed above is based on data/information derived from, "Mozambique's Socio-Economic Political Trends Analysis" paper, Ghiqui Arregui, January 2005. Page numbers correspond to at least one location in the document.
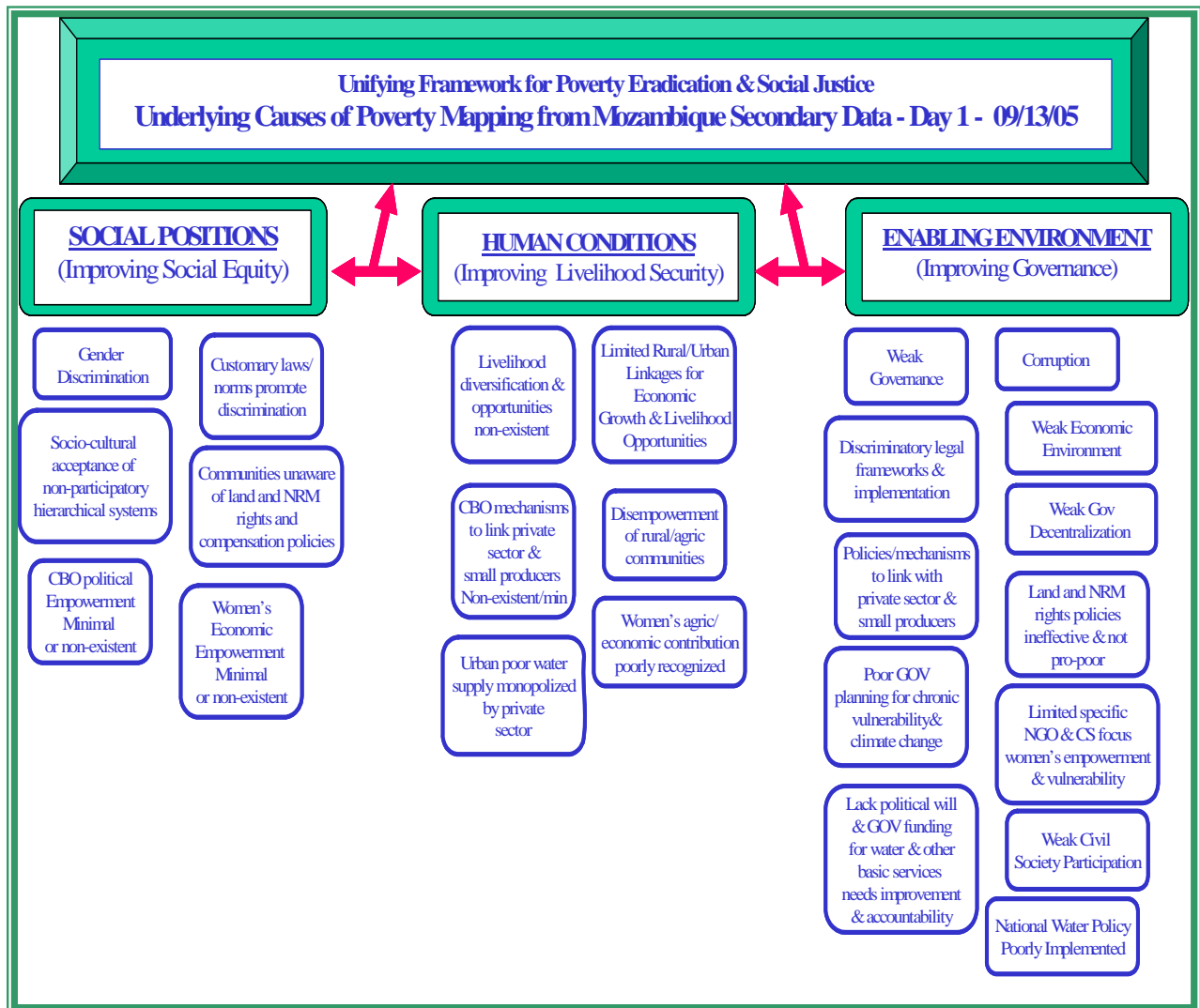
For this first mapping attempt, we used a text-driven approach. We mapped both the underlying causes and intermediate causes discussed in the paper, and we provided some suggestions for interventions to address the causes identified. The first diagram was a simple map that helped staff learn to distinguish between underlying and intermediate causes of poverty. This map also allowed staff to deepen their contextual understanding of socioeconomic trends in a way that a 30-page paper could not as simply and easily convey.

III. Day 1 – Understanding the Mozambique Context

To prepare for the Day 1, we reviewed all of the secondary data papers and updated the map to include all of the underlying causes discussed in the papers, and we *put the map into graphic format* (see Diagram 2 below).

Day 1 was designed to help participants better understand the Mozambique context. Participants included CARE staff, donors, partner NGOs, and government representatives. There were two staff presentations focusing on: 1) regional priorities and 2) an overview of the secondary data research papers. These were followed by a guest-speaker presentation on the sociopolitical landscape in Mozambique.

Diagram 2

Unifying Framework for Poverty Eradication & Social Justice
Underlying Causes of Poverty Mapping from Mozambique Secondary Data - Day 1 - 09/13/05

SOCIAL POSITIONS
(Improving Social Equity)

HUMAN CONDITIONS
(Improving Livelihood Security)

ENABLING ENVIRONMENT
(Improving Governance)

- Gender Discrimination
- Customary laws/ norms promote discrimination
- Socio-cultural acceptance of non-participatory hierarchical systems
- Communities unaware of land and NRM rights and compensation policies
- CBO political Empowerment Minimal or non-existent
- Women's Economic Empowerment Minimal or non-existent

- Livelihood diversification & opportunities non-existent
- Limited Rural/Urban Linkages for Economic Growth & Livelihood Opportunities
- CBO mechanisms to link private sector & small producers Non-existent/min
- Disempowerment of rural/agric communities
- Urban poor water supply monopolized by private sector
- Women's agric/ economic contribution poorly recognized

- Weak Governance
- Corruption
- Discriminatory legal frameworks & implementation
- Weak Economic Environment
- Policies/mechanisms to link with private sector & small producers
- Weak Gov Decentralization
- Poor GOV planning for chronic vulnerability & climate change
- Land and NRM rights policies ineffective & not pro-poor
- Limited specific NGO & CS focus women's empowerment & vulnerability
- Lack political will & GOV funding for water & other basic services needs improvement & accountability
- Weak Civil Society Participation
- National Water Policy Poorly Implemented

A trends analysis group-work exercise was conducted in the afternoon. It was a very dynamic exercise. At the underlying cause level, *corruption, weak government decentralization and gender inequality* were noted. The rest of the causes identified fell at the intermediate cause level. Since the three underlying causes identified through the group work were already represented on the map, we only had to update the map with the intermediate causes that were identified.

At this point in the LRSP process, we had a list of key underlying causes noted in the secondary-data papers and had identified the intermediate causes through the small group exercises. Diagram 3 is the updated map.

Diagram 3
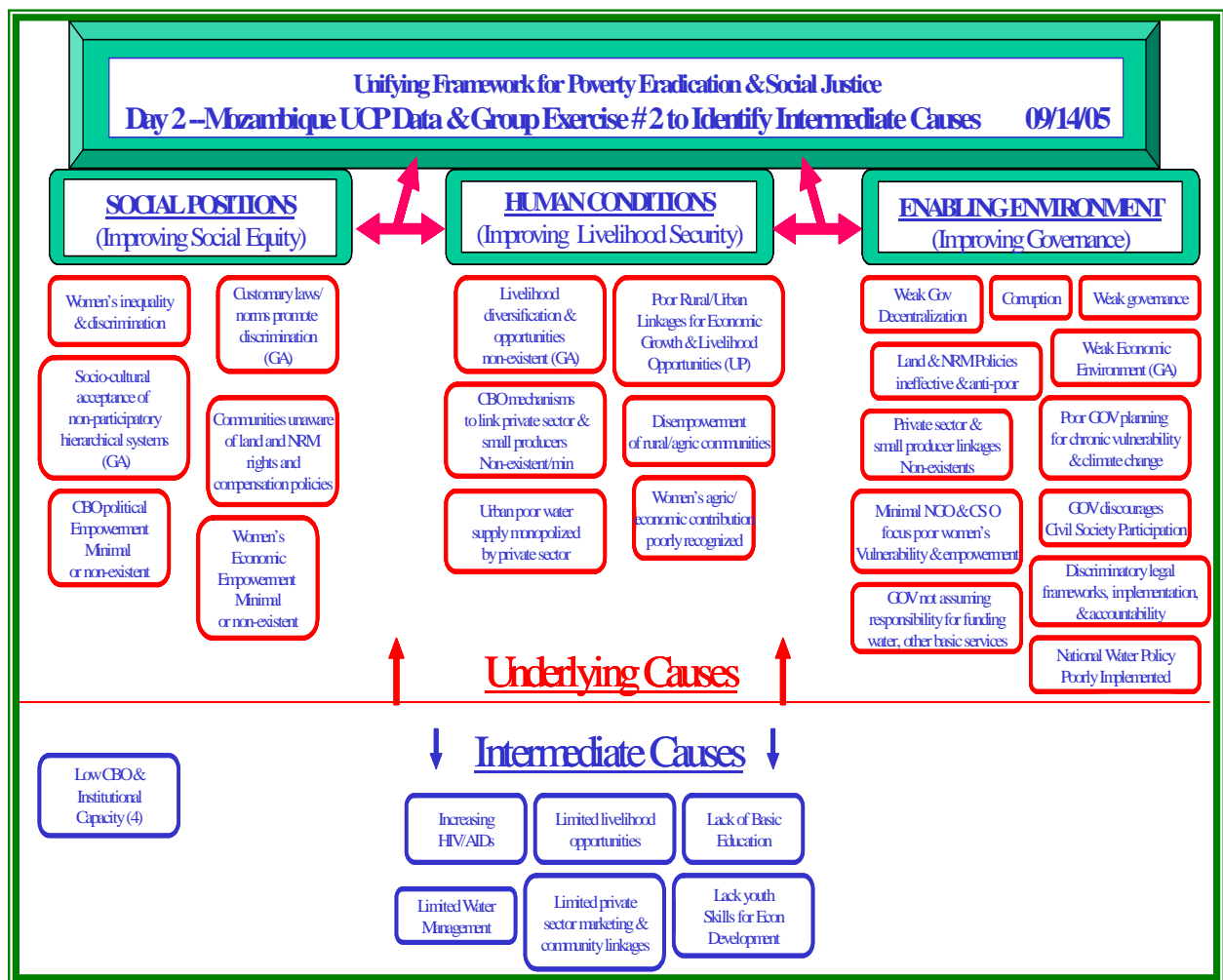
The final group exercise on Day 1 focused on CARE's preliminary response to the trends (underlying and intermediate) that were identified in group exercise # 2. A preliminary list of priority areas was identified, and we updated the UF map to show these priority areas (see Diagram 4).

Diagram 4
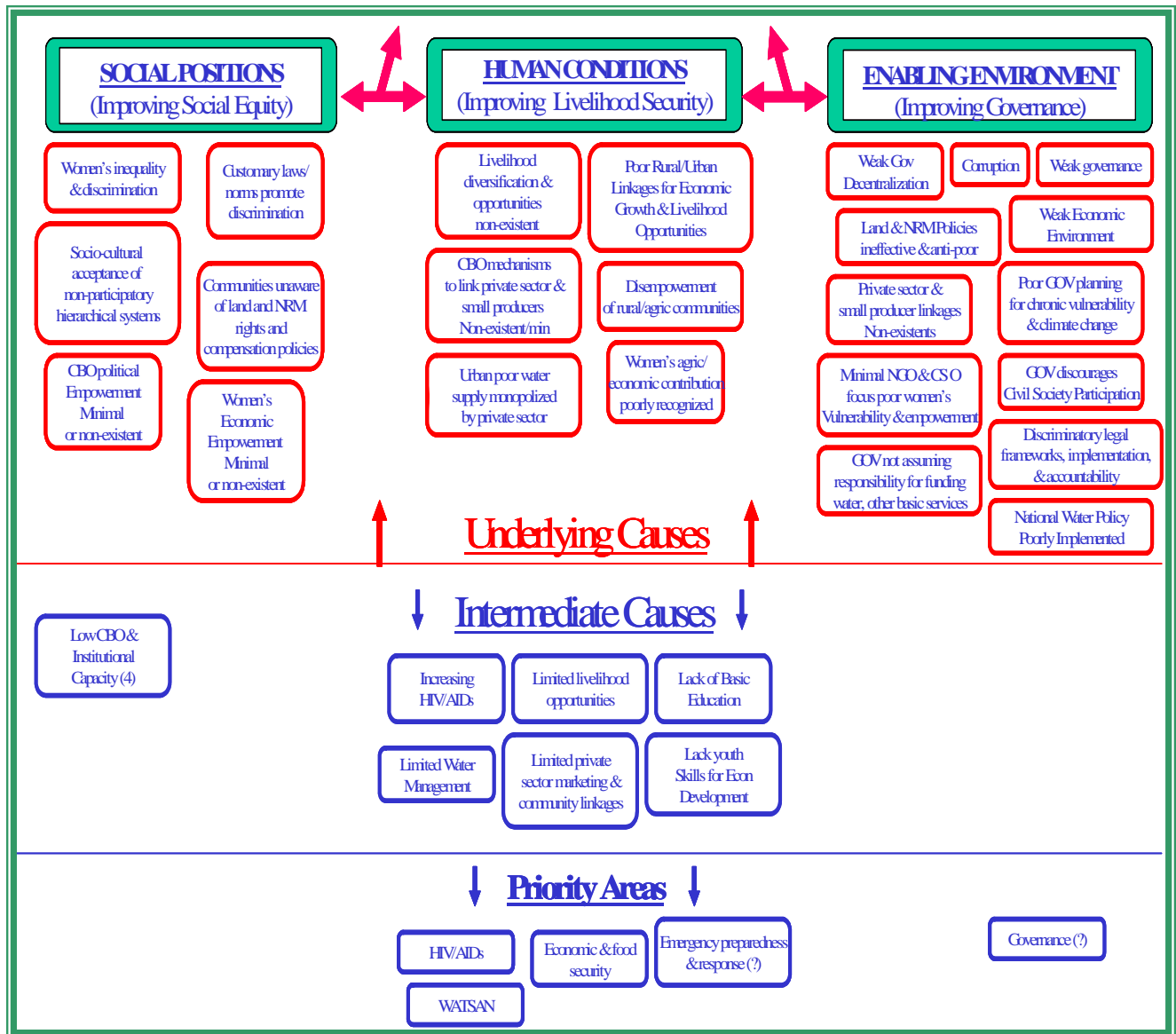
IV. Day 2 - Reviewing Current LRSP Achievements & CO Capacity

Day 2 was designed to help CARE Mozambique review their current LRSP; assess where they had made progress; determine what areas they need to strengthen; identify any new directions they want to take given the trends; and determine the COs capacity to improve program impact and position the CO for the future.

The first group exercise involved reflecting on the current LRSP and identifying what has worked well for CARE Mozambique and what needed strengthening. The exercise focused on both program quality and internal organizational capacity (see Diagram 5).
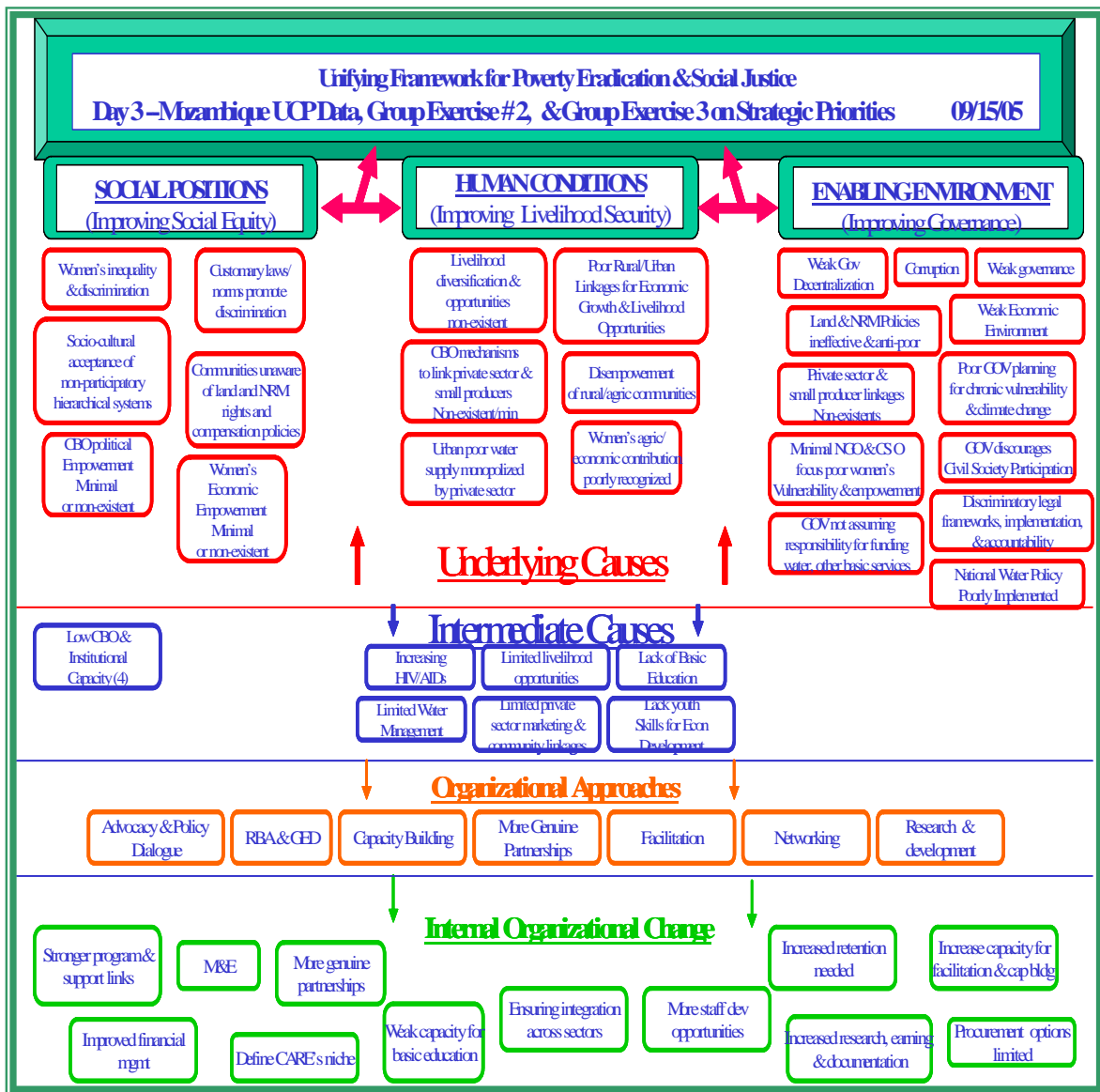
Diagram 5
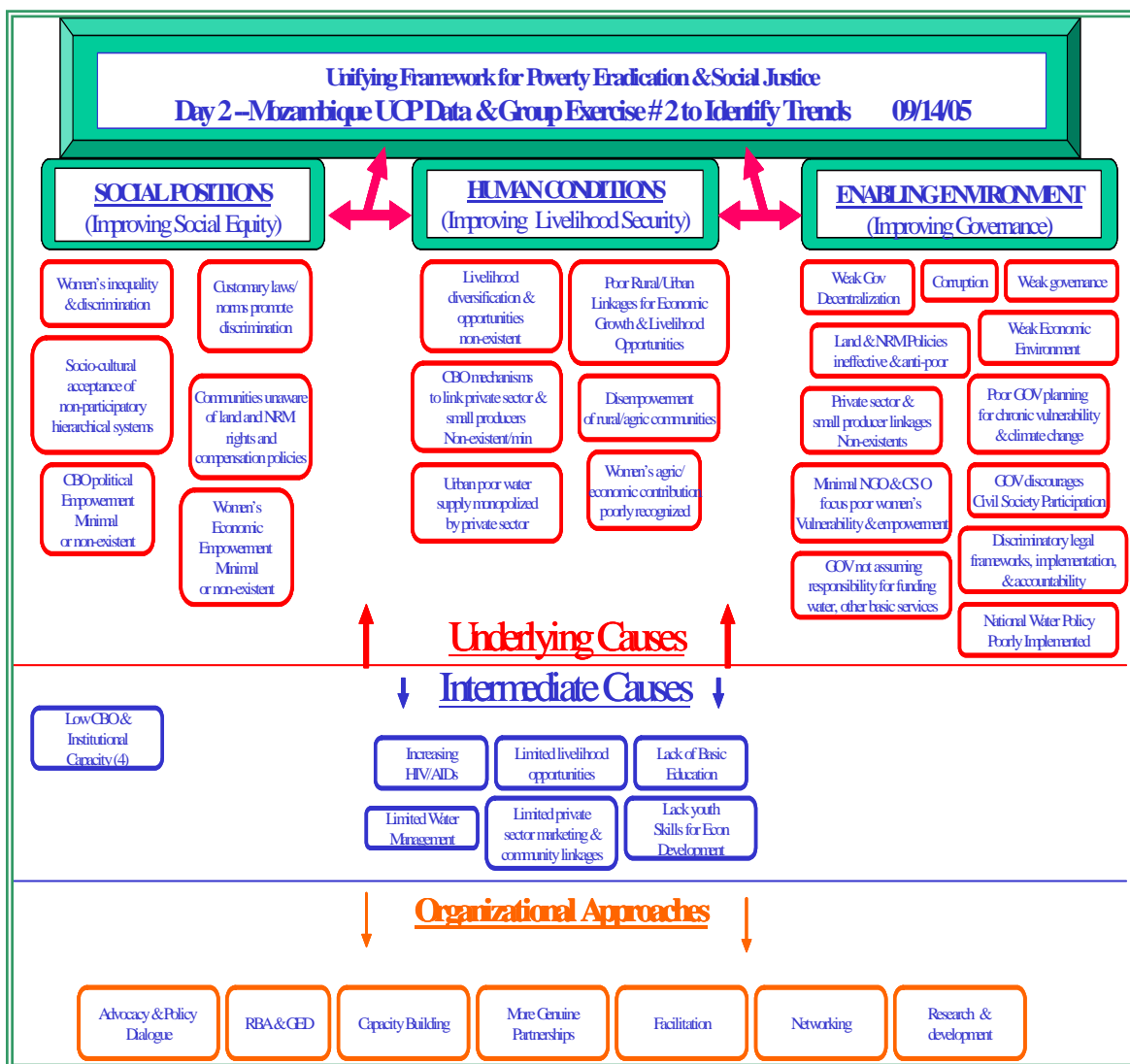
The group conversation turned into a very interesting discussion, as staff began to reflect on the idea, suggested by Eric Dupree-Walker, that being "cutting edge" is not just about adding new and more "en vogue" topics. Rather, it's also about changing the _way_ we work. In other words, continuing to focus on WATSAN or Food Security as strategic directions is fine, as long as you ensure that the interventions also address the underlying causes of poverty.

This led us into a discussion and small group exercise on what internal capacities and organizational approaches CARE Mozambique needed to develop and/or strengthen, in order to work in the new ways to advance priority areas and address the underlying causes of poverty identified. See the updated UF map in Diagram 6 for the capacities identified.

Diagram 6

Unifying Framework for Poverty Eradication & Social Justice
Day 3 – Mozambique UCP Data, Group Exercise #2, & Group Exercise 3 on Strategic Priorities   09/15/05

SOCIAL POSITIONS (Improving Social Equity)

HUMAN CONDITIONS (Improving Livelihood Security)

ENABLING ENVIRONMENT (Improving Governance)

Underlying Causes

Intermediate Causes

Organizational Approaches

Internal Organizational Change

The next group exercise focused on looking at internal organizational strengths and weaknesses. This exercise brought together both program support issues and program quality issues. This was an important exercise to help bridge the program support and program staff gap, which many COs encounter.

The LRSP process purposefully brought staff from both areas together to ensure that the LRSP was a cross-divisional planning document. This exercise highlighted financial issues, staff development issues, and leadership issues. It was a very open and lively discussion. These key areas for internal improvement were noted and added to the UF Map (see Diagram 6 above).

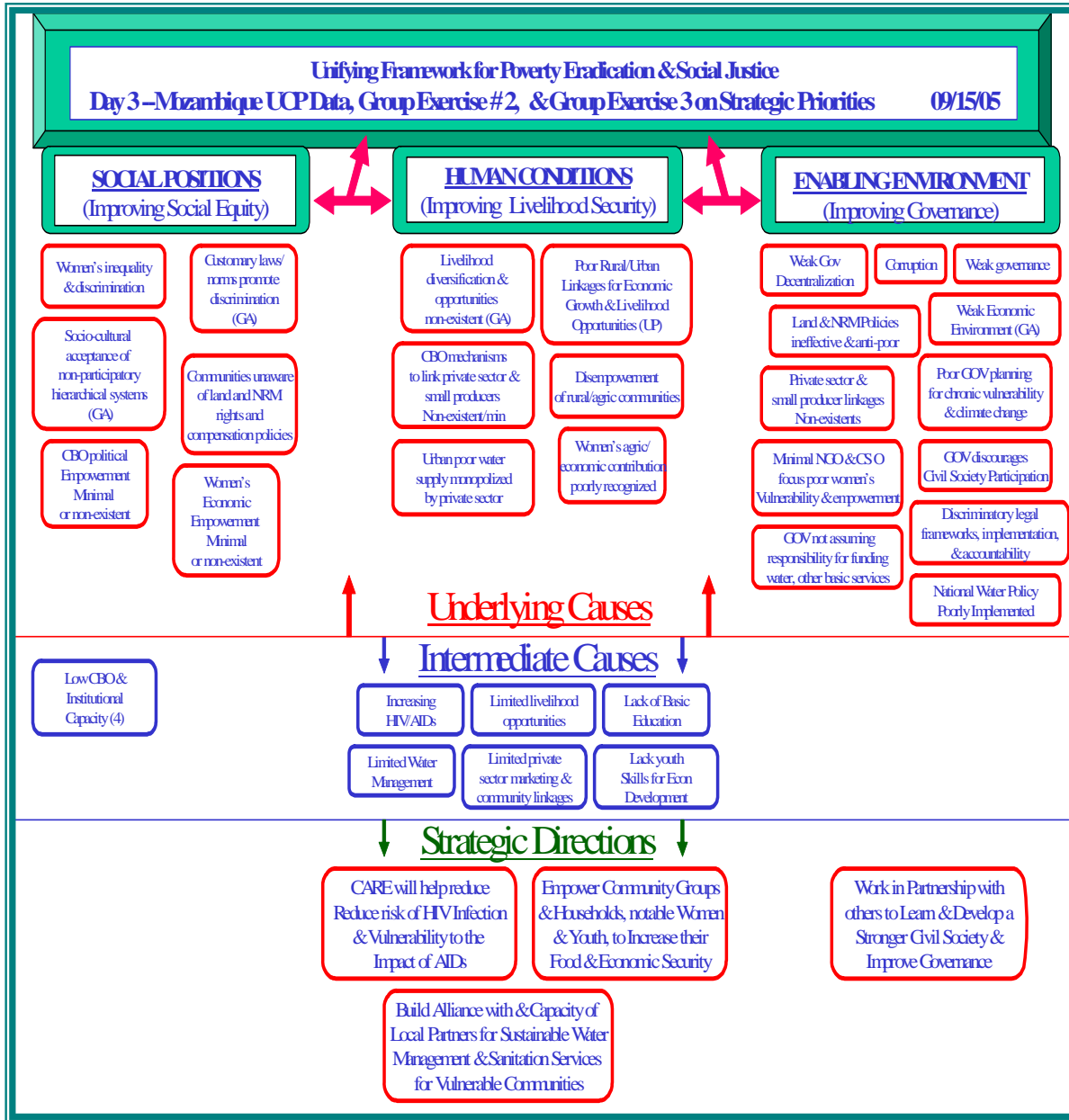## V. Day 3 – Identifying Strategic Priorities

Day 3 focused on determining strategic directions and key objectives. We started off the day with a review of the Unifying Framework and UCP mapping in relationship to the priority areas identified. Our intention was to bring the focus back to the underlying causes of poverty. We talked about how the UCP data showed that addressing women's economic empowerment is weak or non-existent. The question then became how can CARE Mozambique focus its efforts on women's economic empowerment specifically and not just target women for traditional rural development interventions?

To examine the key question, we talked about how national policies on water and natural resource management are being poorly implemented, and/or are poorly understood at the community level, and asked that these important policy level underlying causes feed into their discussions. We also discussed the fact that secondary data showed communities are being exploited by loggers, because they do not understand the stipulations in the National Natural Resource Management Policy designed to protect them from this form of exploitation. These are just a few key areas where we took the opportunity to bring back in the UCP data and ask staff to reflect on solutions.

From this discussion, and the initial cut of priority setting on Day 1, it was determined that the team would split up into four working groups: 1) HIV/AIDs, 2) Economic & Food Security, 3) Local Water Management, and 4) Governance. Each working group focused on four to six key actions or priorities that the four groups would take forward in the LRSP. The Governance working group was also tasked with determining if the CO had the capacity to address governance issues.

The groups were also asked to identify the capacities that would be needed to move their strategic priority forward, including the key partnerships needed and other potential alliances that would strengthen CARE's work on the strategic direction. From this group exercise, strategic directions were developed, and it was determined that Governance would be a CO priority for learning and exploration (see Diagram 7).

Diagram 7

Unifying Framework for Poverty Eradication & Social Justice
Day 3 – Mozambique UCP Data, Group Exercise #2, & Group Exercise 3 on Strategic Priorities   09/15/05

SOCIAL POSITIONS
(Improving Social Equity)

HUMAN CONDITIONS
(Improving Livelihood Security)

ENABLING ENVIRONMENT
(Improving Governance)

Women's inequality & discrimination

Customary laws/norms promote discrimination (GA)

Livelihood diversification & opportunities non-existent (GA)

Poor Rural/Urban Linkages for Economic Growth & Livelihood Opportunities (UP)

Weak Gov Decentralization

Corruption

Weak governance

Socio-cultural acceptance of non-participatory hierarchical systems (GA)

Communities unaware of land and NRM rights and compensation policies

CBO mechanisms to link private sector & small producers Non-existent/min

Disempowerment of rural/agric communities

Land & NRM Policies ineffective & anti-poor

Weak Economic Environment (GA)

CBO political Empowerment Minimal or non-existent

Women's Economic Empowerment Minimal or non-existent

Urban poor water supply monopolized by private sector

Women's agric/economic contribution poorly recognized

Private sector & small producer linkages Non-existents

Poor GOV planning for chronic vulnerability & climate change

Minimal NGO & CS O focus poor women's Vulnerability & empowerment

GOV discourages Civil Society Participation

GOV not assuming responsibility for funding water, other basic services

Discriminatory legal frameworks, implementation, & accountability

National Water Policy Poorly Implemented

Underlying Causes

Intermediate Causes

Low CBO & Institutional Capacity (4)

Increasing HIV/AIDs

Limited livelihood opportunities

Lack of Basic Education

Limited Water Management

Limited private sector marketing & community linkages

Lack youth Skills for Econ Development

Strategic Directions

CARE will help reduce Reduce risk of HIV Infection & Vulnerability to the Impact of AIDs

Empower Community Groups & Households, notable Women & Youth, to Increase their Food & Economic Security

Work in Partnership with others to Learn & Develop a Stronger Civil Society & Improve Governance

Build Alliance with & Capacity of Local Partners for Sustainable Water Management & Sanitation Services for Vulnerable Communities
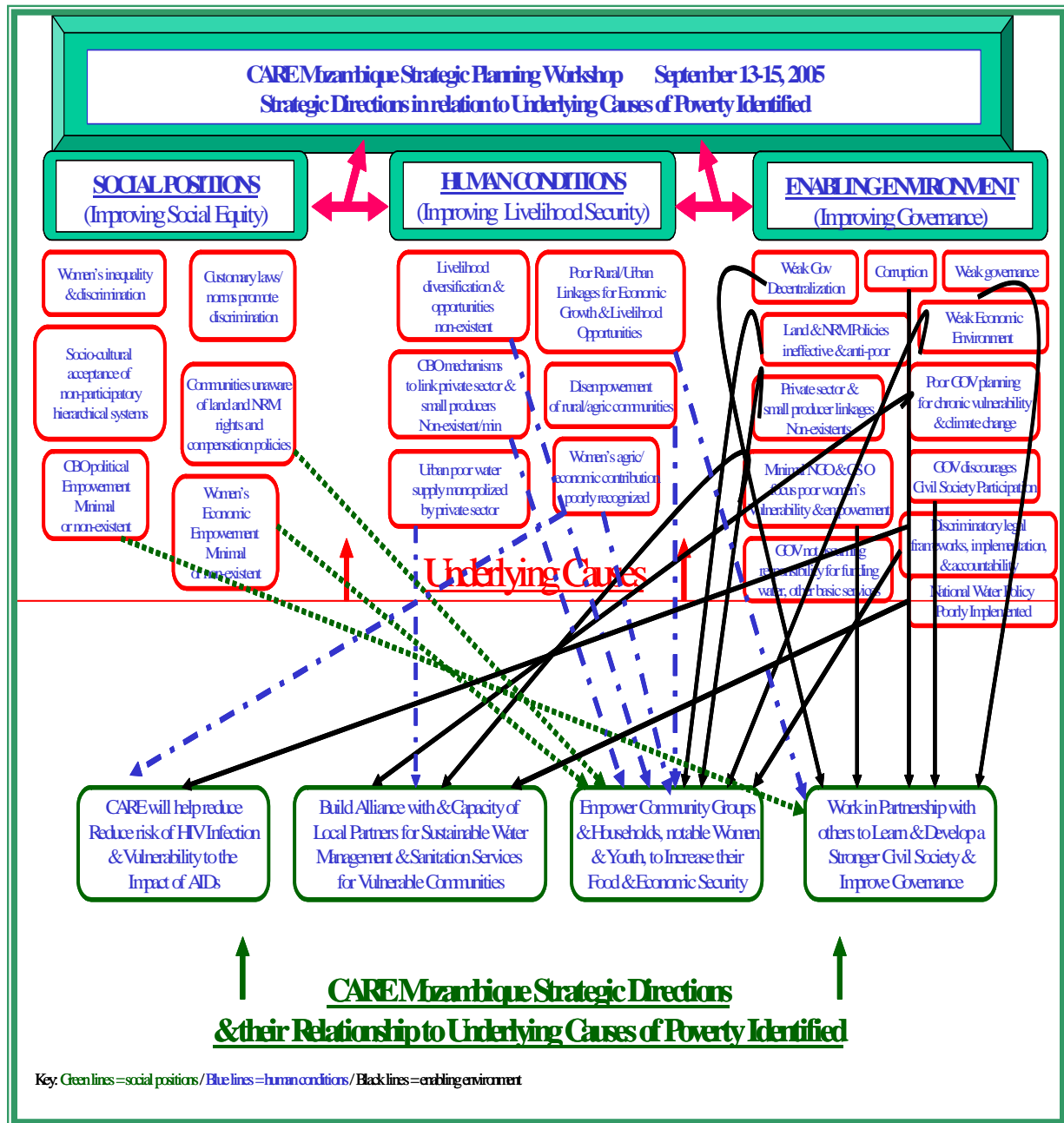
The working groups also determined key objectives and actions; however, we did not map these since they were initial drafts. The LRSP workshop concluded, and the CO Leadership Team was tasked with refining the work developed during the LRSP exercise and developing an action plan for finalizing the strategic plan.

VI.   Post- Workshop Reflection and Follow-up

After the workshop, we developed two additional maps. The first map is designed to show the relationship between the strategic directions and the underlying causes of poverty that were identified during the LRSP process. We feel that this map is a good guide to show the CO where their LRSP strategic directions are having an influence on underlying causes of poverty. This map also shows areas of weakness where the CO can focus future efforts as they review and update their LRSP (see Diagram 8).

Diagram 8

CARE Mozambique Strategic Planning Workshop   September 13-15, 2005
Strategic Directions in relation to Underlying Causes of Poverty Identified

SOCIAL POSITIONS
(Improving Social Equity)

HUMAN CONDITIONS
(Improving Livelihood Security)

ENABLING ENVIRONMENT
(Improving Governance)

Women's inequality & discrimination

Customary laws/ norms promote discrimination

Livelihood diversification & opportunities non-existent

Poor Rural/Urban Linkages for Economic Growth & Livelihood Opportunities

Weak Gov Decentralization

Corruption

Weak governance

Socio-cultural acceptance of non-participatory hierarchical systems

Communities unaware of land and NRM rights and compensation policies

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Private sector & small producer linkages Non-existents

Poor GOV planning for chronic vulnerability & climate change

Minimal NGO & CSO focus poor women's vulnerability & empowerment

GOV discourages Civil Society Participation

GOV not assuming responsibility for funding water, other basic services

Discriminatory legal frameworks, implementation, & accountability

National Water Policy Poorly Implemented

Underlying Causes

CARE will help reduce Reduce risk of HIV Infection & Vulnerability to the Impact of AIDs

Build Alliance with & Capacity of Local Partners for Sustainable Water Management & Sanitation Services for Vulnerable Communities

Empower Community Groups & Households, notable Women & Youth, to Increase their Food & Economic Security

Work in Partnership with others to Learn & Develop a Stronger Civil Society & Improve Governance

CARE Mozambique Strategic Directions & their Relationship to Underlying Causes of Poverty Identified

Key: Green lines = social positions / Blue lines = human conditions / Black lines = enabling environment

Finally, we added another relational layer to the above map, this layer shows the relationship between CARE Mozambique's strategic directions and CARE's four UCP areas that have been selected as key learning areas (see Diagram 9).

Diagram 9 demonstrates how CARE Mozambique's LRSP will contribute to CARE's global learning in these areas. In the diagram below, the "dashed" lines (**pointing to the 4 UCP areas at the bottom of the slide**) show that, while there is some relationship, the CO has significant opportunity to enhance their impact in the four learning areas.

Diagram 9
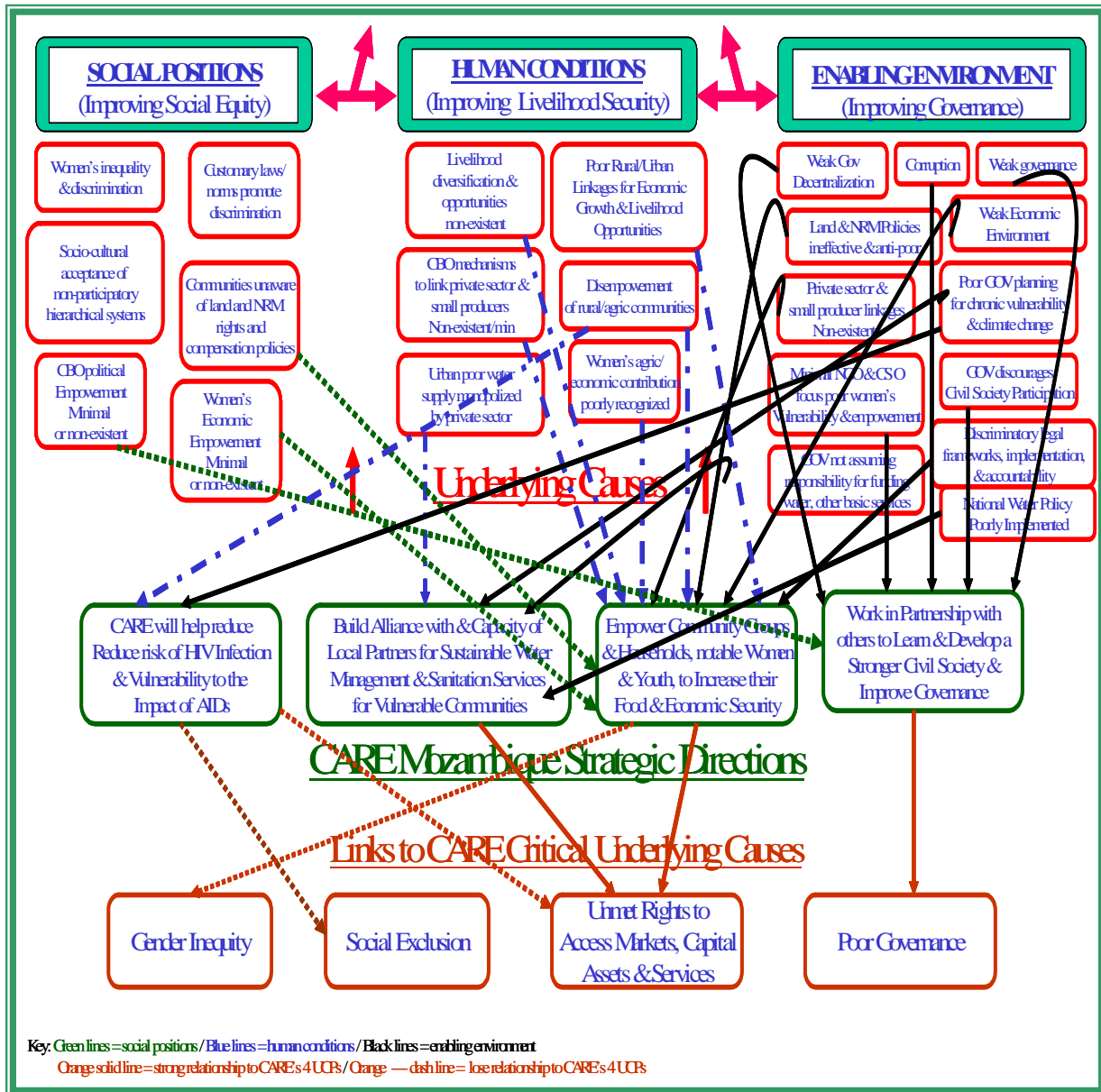
VII. Summary & Recommendations

During the CARE Mozambique LRSP exercise we were able to use CARE's Unifying Framework for Poverty Eradication and Social Justice to:

Map the UCPs: We mapped the underlying causes of poverty documented in the secondary data and information review papers. This provided an analytical screen that we were able to refer to throughout the LRSP exercise. This helped us to keep our focus on underlying causes and ensure that CARE Mozambique's strategic directions work to address underlying causes to the extent possible. We were also able to reflect on and determine the approaches and internal capacities needed to be able to make the shift from working predominantly at the intermediate cause level to working on underlying causes. The maps also helped to identify which underlying causes are not being addressed and enable the CO to assess and plan how these causes can be addressed in the future.

Build Capacity to use the UF & UCP: The Mozambique LRSP provided the opportunity for staff to see the Unifying Framework and UCP work in action. Each day we would bring back in the updated framework and discuss how we were doing in terms of addressing the underlying causes of poverty, and how well the priorities discussed would help to improve *Social Positions, Human Conditions, and the Enabling Environment*. We also had two optional evening sessions on UF & UCP which were attend by almost 90 percent of CARE's Mozambique staff. The preliminary work on underlying causes that CARE Mozambique did before the LRSP meeting, working on the unifying framework during the planning meeting and the optional evening sessions all helped staff become more comfortable with the concepts and with mapping.

Understand the False Dichotomy on Sectors versus Themes: Some of the current discussions at CARE revolve around juxtaposing sector work and thematic work, with sector work often being seen as a relic of the past "bandaid" approach. This is similar to the dialogue that took place in the early days of introducing RBA, which stated that needs were "out" and rights were "in." Through CARE Mozambique's LRSP process, staff members were able to see that sector versus thematic work is actually a false dichotomy. This exercise showed that it is not so much about "what" you do; it is more about "how" you do it. For example, this exercise clearly showed that you can address underlying causes of poverty through either a sectoral intervention or a thematic approach.

Target Interventions at More than One Level: The process showed that to address underlying causes of poverty we have to target more than one level. CARE is known for its excellent community level work. However, if we are going to be able to address underlying causes of poverty, we have to ensure that our interventions and actions target above the community level.

Each of CARE Mozambique's strategic directions targets a minimum of two levels:

- ❖ The WATSAN strategic directions targets communities, districts, and national level (policies).
- ❖ The Food and Economic Security strategic direction targets communities and the national policy level.

- ❖ The Governance strategic direction targets communities and districts.
- ❖ HIV/AIDs targets up to the national level.

We feel that the CARE Mozambique LRSP process was a very dynamic and fruitful learning process, enabling staff to better understand the UCP and UF frameworks. The exercises also helped staff understand that various tools are integral components of the planning process. Based on our experience in Mozambique, we strongly encourage other Country Offices to use this approach for strategic planning and to share their learnings broadly.

Key Recommendations:

1. Conclude your literature review at least 2 weeks prior to the start of your strategic planning process.
2. 1-2 weeks before the start of your strategic planning workshop, train 2-5 staff on using the UCP hierarchy to differentiate between levels of causes and mapping the levels of causes on the UF.
3. Have staff map the underlying and intermediate causes from the literature review on the UF prior to the workshop.
4. Prior to the strategic planning workshop, do a ½ to 1-day training on UF & UCP with all staff that will participate in the workshop.
5. Spend the first morning of the strategic planning workshop reviewing the underlying and intermediate cause mapping and making any adjustments that expert consensus warrants

We thank all of the staff at CARE Mozambique for their enthusiasm and willingness to participate in and help develop this learning exercise and look forward to seeing how their plan evolves over the next several years.

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