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**Knowledge for Development:
Competencies to Co-Create and Communicate Knowledge**

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Submitted in accordance with the requirements for the degree of
Doctor of Philosophy

York St John University

York Business School

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DEDICATION & ACKNOWLEDGEMENT

I dedicate this dissertation to the memory of my mother *Loulou* and my father *Jamil*.

I say to you, my mother, who was always as her name says, a Pearl:
I am fine, my Loulou, and this is for you.

In answer to your prayers, I have been so generously gifted with good people who were there to guide, motivate and encourage me from start to finish.

I say to you, my father who taught me to look ahead without ignoring the smallest details:

Thank you, dad, for insisting to name me Amal (Hope) that I always see ahead even when dealing with life's challenges.

My heartfelt thanks to my:

Supervisors *Dr David Weir* who believed in me, and

Dr George Boak whose valuable advice and persistence to guide every step I took helped me stay determined to complete this journey.

Examiners, *Professors Claire Hannibal* and *Jonathan Winterton*, and *Dr Brendan Paddison* for their feedback.

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Supportive partner *Ivan*, who remained patient all the way.

Amazingly warm *Sophie*, who will always be my Treasure.

Loving brother *Fayez*, who, victorious as his name says, inspired me in more ways than he can imagine.

The Bouta (gang of best friends) for reminding me every day that the glass is always full.

And

Many more *friends and family members* from all over the globe, who each in his or her own way filled me with enthusiasm to move forward.

Amal

Abstract

This study investigates the required competencies for actors who are jointly working towards common goals within International Development projects. This process involves a two-way knowledge exchange before and during the implementation of agreed activities.

The multicultural environment, at both the organizational and national levels is one of the challenges that confront equally the *Donor* and *Recipient* representatives who are both targeted in this study whereas existing frameworks are concerned with *Donor* only.

During the interviews, participants shared stories about what they considered to be successful collaborations with their counterparts as they produced some benefits even if these did not always include reaching the set goals. The shared stories were full of events that suggested behaviours, beliefs, and attitudes.

The analysis of such rich data went through five coding cycles. The categories and themes that were identified in the first four cycles were accounted for in the final cycle to lead to four Clusters of Intelligence Competencies. Two of these are related to *Social* intelligence (SI), one to *Cognitive* intelligence (CI) and the fourth to *Emotional* intelligence (EI).

The most important contribution of this study to research and practice is the set of intelligence competencies that are required for both *Recipient* and *Donor* while they are jointly setting the direction of the project, implementing, and thinking to make the most appropriate decisions related to each stage. These are grouped under four interlinked clusters.

The Personal Convictions (EI) are influencing the *Holistic Approach* (SI) and the *Adaptive Implementation* (SI), which are also dependent on the *Thinking Process* (CI) for decision-making. In a context where *Aid Effectiveness* towards *Sustainable Development* is of primary importance, the Personal Convictions ought to be *Wise*.

For that, the author claims that to have higher chances of success, *Donor* and *Recipient* should be **Wise Holistic Adaptive Thinkers** when collaborating towards long-term objectives. In other words, they should be interacting within the project while wearing the **Wise H.A.T.**

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Abbreviations

AQ	Adaptability Quotient
BB	Behaviour or Belief Code
CB	Capacity Building
CB - UNDP	Core Behavioural Competencies
CI	Cognitive Intelligence
CPI	Corruption Perceptions Index
DAC	Development Assistance Committee
DFID	Department for International Development
EI	Emotional Intelligence
ESCWA	Economic and Social Commission for Western Asia
FCDO	Foreign, Commonwealth & Development Office
g	General Intelligence
Gc	Crystallized Intelligence
GDP	Gross Domestic Product
Gf	Fluid Intelligence
GT	Grounded theory
HDI	Human Development Index
IBRID	International Bank for Reconstruction and Development
ICP	Intentional Change Process
IDP	International Development Project
IOR	Interorganizational Relationship
IQ	Intelligence Quotient
K4D	Knowledge For Development
KII	Key Informant Interviews
MA	Mental Age
MC	Managerial Competencies
MDG	Millennium Development Goals
MI	Multiple Intelligences
OD	Organizational Development
OECD	Organization for Economic Co-operation and Development
OEEC	Organization for European Economic Cooperation
PILLAR	Politically Informed, Locally Led and Adaptive Responses
PM	People Management Competencies
SDG	Sustainable Development Goals
SHC	Salient Home Culture Identity
SI	Social Intelligence
UN	United Nations
UNDP	United Nations Development Program
USAID	United States Agency for International Development
WBG	World Bank Group

1- Introduction

This study is concerned with International Development Projects (IDP) that are financed by individual ‘developed’ countries, or organizations, such as the United Nations (UN) or The European Commission and targeting Capacity Building (CB) of *Recipient* organizations which in most cases include organizational development and change initiatives. Within these projects, representatives of both Donors and Recipients are joining their efforts, each through their own contributions, to improve a specific situation.

These CB projects generally start with a “proposal of activities” (Lazima & Coyle, 2019), include a high number of stakeholders (Golini & Landoni, 2014), and have intangible outputs making it difficult to measure project results (Ika & Donnelly, 2017; Golini & Landoni, 2014; Lazima & Coyle, 2019; Chasanah, et al., 2023). In that respect, Ika and Donnelly (2019) claim that the multitude of stakeholders’ perceptions leave no room for an “absolute success”.

Since capacity and competencies can impact greatly the efforts towards successful CB interventions, this study’s question is:

WHAT set of competencies (Emotional, Social and Cognitive Intelligences) is needed by Donor and Recipient representatives – when jointly working on project activities – in order to reach successful interventions and produce new knowledge that can be fed into the two systems because it is important for decision making related to future International Development projects?

For the purpose of this study, the technical know-how related to the specific field (e.g. engineering and project management) that is essential for the effective contributions of the actors are set by the specific fields of specialties and therefore will not be considered. The emphasis, however, will remain on the ‘joint-working’ related aspects that ensure co-creation and communication of informative knowledge that is contextual and crucial to prioritize needs and “steer” (GIZ, 2015, p. 13) interventions by both Recipient and Donor.

The knowledge exchange for that purpose is two-ways between the concerned actors (see Figure 1-1). The Donor representatives taking part in the projects look to improve their understanding of the local context-of the country and the organization in order to effectively plan and implement field interventions. At the other end, enhanced knowledge about best practices will guide *Recipient* in their analysis when jointly customizing such practices to fit their situation and facilitate implementation of agreed activities.

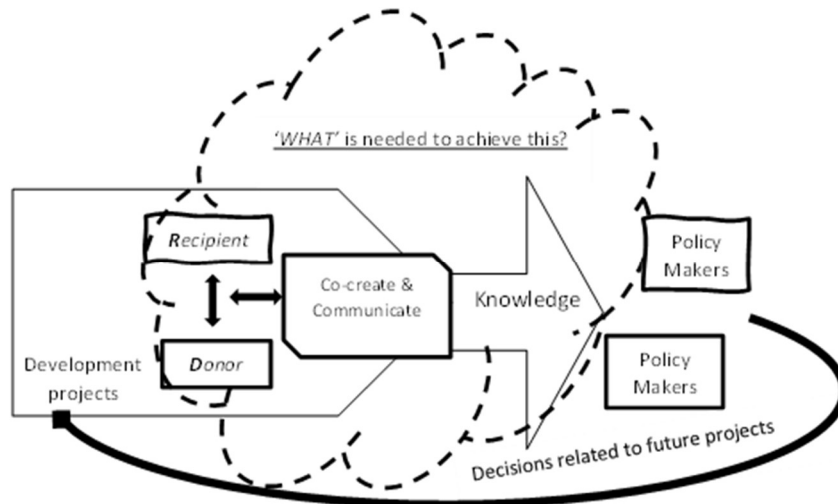


Figure 1-1 Author's visualization of the Research Question: the 'WHAT' being a set of competencies to Joint working while co-creating and communicating knowledge.

In that respect, it is about framing “knowledge as a driver of a developing country” while Donor being those “...’experts’ [who] are sent from the donor to the recipient societies” (Akude, 2014, pp. 32-39) and should be focusing on the “contextual understanding and resisting imposing external modalities” (Hammock, 2019, p. 41).

Lebanon is one country that was rendered to France by the League of Nations in 1919 (UN, 2008) until it is “able to stand alone” (Rist, 2008, pp. 59-60). This country has been dependent on different types of aid (finance, policy, and capacity building) to improve public services and governance and still faced in late 2019 a multiple economic crisis that has evolved to a humanitarian crisis without any solution in view. This specific situation makes one wonder whether Donor organizations that have been highly active there have either missed or turned the blind eye to some serious and dangerous trends that were at the essence of the collapse that the country is currently experiencing at all levels. This collapse, as some recently published figures and statements show, could have been predicted and possibly avoided.

For example, Transparency International (2022), boldly states that in Lebanon “high levels of political corruption have caused multiple crises, including the disastrous explosion in the capital’s port in 2020”. But that was not a recent discovery because the country’s low CPI scores (Corruption Perceptions Index) of many years before were already published. For instance, the score was already low in 2012 (30/100) and in 2021 dropped only six points to reach 24/100 (Transparency International, 2021).

Also recently, the UN (2021a) announced that “82% of the population [in Lebanon] lives in multidimensional poverty, which takes into account factors other than income, such as access to health, education and public utilities”. However, compared with published data related to previous

years, Lebanon was considered within the 'high development category' according to the Human Development Index (UNDP, 2018) with HDI of 0.759 in 2012 that dropped to 0.744 in 2019 (0.957 and 0.394 being HDI of respectively first and low ranking countries) (UNDP, 2020).

What about the current global crisis, namely the recent flow of illegal migrants in Europe, the global warming threats, and most recently the war in Ukraine and in the Middle East?

Ironically, these are much needed shocking awakening for the world and its leaders to the fact that no one is safe behind own country's borders as we, residents of the world, depend on each other in more ways than we can imagine. This is a serious call to re-evaluate and re-examine all Development cooperation's policies and practices at all levels.

Now more than ever, and as the author believes, is without any doubt the time for Global Wisdom that will improve how we collaborate for a common objective which is better lives for ALL and not only for a privileged selection.

Looking at some cases that the author observed in the field, some Recipients resisted what they tagged as 'parachuted' solutions because they did not need any that is designed by a well-versed international expert. They saw other means to be more useful in helping them deal with their daily struggles, for example a regulation 'produced locally' as a first necessary step towards any practical solution.

At the other end, actors on behalf of Donors are initiating the change without being asked for their contribution by the direct Recipient, while they are not part of the receiving organization and in most cases are not permanent residents of the country nor speak the local language. Despite all that, they see themselves as change agents "responsible for identifying the need for change, creating a vision and specifying a desired outcome, and then making it happen" (Ford, et al., 2008, p. 362).

One can wonder, then, how can they make it happen when "the cooperation partners", Donor and Recipient, "remain autonomous in deciding whether and to what extent they wish to cooperate or not", and while their contributions could involve "the performance of specific activities, or no action at all" (GIZ, 2015, p. 13).

The Study Background

To clarify the foundation of this study, the trajectory that Development Aid moved on to reach the current focus which is impacting current policy and practice is presented next.

Brief history

Inter-nations cooperation started with the purpose of ensuring global peace and moved on to focus on developing the economies, then people's well-being and recently adding a focus related to preserving the environment. The activities of International Cooperation vary from financial support to building capacities, or a combination of both depending, theoretically, on Recipient countries' needs. Efforts at high policy levels that have been initiated by mainly *Donor* continue to target effectiveness at policy and project levels.

Development Aid started with the forming of the League of Nations in 1919 "to promote international co-operation and to achieve international peace and security" (UN, 2008, p. 3). The League, as Rist (2008) claims, was "the first permanent international political institution" that "casts a surprising light upon the beginning of international co-operation" (p. 59). Stage development was introduced to refer to "a classification system according to which there were 'developed' nations at the top of the ladder" (p. 61).

The League with its headquarters in Geneva, was terminated in 1946 by its Assembly to give way to the U.S. based United Nations (UN) which Charter, as Esteva (1992) claims "echoed the United States Constitution" (p. 6).

The term "underdevelopment" was invented by U.S. President Truman when he announced the "era of development" as a new one where "we" will share "benefits of our scientific advances and industrial progress" to help the "underdeveloped areas" (Esteva, 1992, p. 6) or those "falling behind" (Schieffer & Lessem, 2014, p. 22) to grow. This new term "underdeveloped", used by a powerful figure, was "universally accepted" (Esteva, 1992, p. 6) and remained widely used until, for diplomatic reasons, it was replaced by "developing" (Harris, et al., 2009, p. 5).

Funding the reconstruction and the reviving of the economies of Europe after the Second World War was done through the emerging "largest development bank in the world", the International Bank for Reconstruction and Development (IBRD) which is now known as the World Bank Group (WBG) (IBRD, 2018). At the Recipient front, European countries had to comply with the conditions of the US-financed Marshall Plan even though they found them "unpalatable", but their needs were more pressing than to decline the offered help (Lateef, et al., 1995, p. 18).

Co-managing the funds was the only available way to access them and it had to be done because the 'dollars' were urgently needed for the reconstruction of the destroyed cities and infrastructure and for the revival of most of the continent's economic sectors (Lateef, et al., 1995, p. 18). In 1948 the

Organization for European Economic Cooperation (OEEC), was established and is believed to have “paved the way for a new era of cooperation that was to change the face of Europe” (OECD, 2018). In 1960 after the OEEC countries rose out of the rubble, Canada and the U.S. joined its 18 members to form the Organisation for Economic Co-operation and Development (OECD). Currently the OECD has 38 member countries that regularly “turn to one another to identify problems” to jointly develop related policies that will pave the way to the needed solutions (OECD, 2018).

The 1990s showed some noticeable changes in the approaches that were adopted by the most influential organization working towards development on the global level, mainly the UN, the OECD, and the WBG.

Current focus

Development aid moved from the focus on the Gross Domestic Product (GDP), to include health, education justice, and the freedom (Tungodden, 2001, p. 10) of beneficiary countries (Recipient) to choose their development targets which calls for enhancing their capabilities. These short-term goals are expected to be on the path of the long-term development goals, or the Sustainable Development Goals (SDG).

The UN Development Programme (UNDP) issued the first Human Development Report (1990) which “makes a contribution to the definition, measurement and policy analysis of human development”, and this was needed as “we are rediscovering the essential truth that people must be at the centre of all development” (p. 3).

In parallel, there was Amartya Sen (1999) who offered an important contribution to the field of development. According to Tungodden (2001), Sen’s approach to development as freedom “has broadened our understanding of development” (p. 10) when he focused on the “important problems of injustice” and broadened “the framework of welfare economics” (p. 3), and raised awareness to the importance of the “integrated and interdisciplinary approach to development” (p. 20).

Seen from Sen’s (1999) perspective, development of the “capabilities of persons to lead the kind of lives they value” is the main drive to effectiveness. And freedom “enhances the ability of people to help themselves and also to influence the world” (p. 18). The prominence of a two-way relationship between the “social arrangements to expand individual freedoms”, and, “the use of individual freedoms not only to improve respective lives but also to make social arrangements more appropriate and effective” (p. 31), suggest that “utilities, incomes and wealth” (p. 27) (which have been at the

centre of development objectives) should be seen as part of a “fuller picture of success and deprivation” (p. 20).

On another front, the Organization for Economic Co-operation and Development’s (OECD) Development Assistance Committee (DAC) published its ‘Principles for New Orientations in Technical Co-operation’. This document sought to “chart out new directions for donors in order to find more effective ways of assisting recipient countries to develop their own long-term solutions to development problems.” (DAC, 1991, p. 5). These principles included setting strategic objectives targeting long-term rather than short-term improvements where the recipient country should have a central role at the different stages of the Technical Co-operation and greater contributions through its national expertise and structures.

And because “knowledge matters, understanding how people and societies acquire and use knowledge—and why they sometimes fail to do so—is essential to improving people’s lives, especially the lives of the poorest” (WBG, 1999, p. 4). That was the main message of the 1998/1999 World Development Report that was issued by the WBG under the title ‘Knowledge for Development’ (K4D). Akude (2014) presumes that the ‘scaling up of the relevance’ of K4D by the WBG, when it declared itself a “Knowledge Bank” in 1996, was the result of the “influence of Asian and other emerging economies” (p. 1).

A question here might be justified as to whether these organizations are proving to possess that ‘inner capacity’ to adapt to new changes that Goodrich (1947) mentioned (p. 4). The answer, however, might be debatable with the success of development efforts still being questioned. For example, Hodge (2016) is suggesting that – “twenty years” after Sachs (1992, p. 1) announced the “end of development” – the doctrines surrounding development appear to be immune to “criticism and meaningful reform” (p. 1).

Moreover, in the year 2000, eight Millennium Development Goals (MDG) were set by the leaders of the world as the “overarching development framework” (UN, 2015a). These “measurable and timebound objectives” targeted “poverty, hunger, disease, unmet schooling, gender inequality, and environmental degradation” and contributed to “global awareness, political accountability, improved metrics, social feedback, and public pressures” (Sachs, 2012, p. 2206). From developing a global partnership for development by 2015 (MDG # 8) to Sustainable Development Goal by 2030 (SDG # 17) that is aiming to “Revitalize the global partnership for sustainable development” through various means where “international support for implementing effective and targeted capacity-building in developing countries to support national plans” will be enhanced (UN, 2021b).

Another important change was through the 2005 Paris Declaration on Aid Effectiveness which is described as a “statement of political intent to adapt donor and recipient practices” in line with development cooperation’s learned lessons (Lundsgaarde & Engberg-Pedersen, 2019, p. 7). Brown (2020) views that this is a way to elevate the “long-standing [moral] principle”, that aid money should “not be wasted”, to a norm where the actors, who have a moral obligation, and their expected behaviours are defined (pp. 1232-1233).

This Declaration, endorsed “at a high-level forum organized by OECD/DAC”, includes five principles: 1) Ownership (Recipients own development strategies), 2) Alignment (Donors support in line with these strategies), 3) Harmonisation (share information and avoid duplication), 4) Managing for results (both ends focus on measurable outputs), and 5) Mutual accountability (Brown, 2020, p. 1234).

The first three, are optimistically seen by Brown (2020) to clearly put the Recipient at the “helm”. However, the fourth and fifth are not that straightforward. The focus on results (#4) may be seen to involve outcome more than input making it more of a “management tool” for reporting and monitoring. Furthermore, the elements that OECD used to elaborate on accountability (#5) overlap with the first two such as local actors contributing to developing and evaluating strategies (ownership) together with Donor that is also expected to keep the Recipient governments informed of aid flows (harmonization) (pp. 1234-1235).

Recent studies on how Aid Effectiveness principles have been carried out in practice are suggesting that the targets have not been met. Brown (2020) argues that this norm, which was the outcome of “a deliberate self-conscious process”, started in the 1990s before the Declaration was signed in 2005. And although Donors and Recipients “theoretically endorsed” its principles, they were not fully committed to changing their “behaviour” and “their practices on the ground” (p. 1321).

In another report, Lundsgaarde and Engberg-Pedersen (2019) admit that momentum to promote all five principles has been lost because of the lack of “strong commitment” on behalf of the donors “to carrying the lessons of aid effectiveness forwards”. This, according to the authors, is caused by the complexity of the policy and the “diverse settings in which aid is implemented” (p. 47). The difficulty of translating all the agreed effectiveness dimensions to the practice in the field can be eased by reconsidering and updating the assessment tools, as well as examining “how aid interacts with other policy and financing approaches” (p. 49).

With capacity development being recognized, as Abdel-Malek (2015) claims, to being “core prerequisite for sustaining development in any society” (p. 223) and therefore “critical for sustainable development and national ownership” (p. 225), efforts continue to examine key aspects to guide the

improvement of related practices. Several high-level meetings and conferences called for moving beyond “conventional training and ad hoc assistance” to include support at the institutional level while adopting “result-based [capacity development] approaches” (p. 233).

Moreover, new indexes are still being considered by some organizations within the UN system, for example the Economic and Social Commission for Western Asia (ESCWA). In one of the reports that ESCWA published ‘Towards an Arab governance index’ (Lindstaedt & Abouyoub, 2021), the authors stress on their belief that “without taking governance into account, important long-term drivers of human development... may be overlooked” (p. 1). The argument here (which is very much linked to capacity development), is that poor governance is “closely connected” to corruption, and the measure of “good governance is often... [the absence] of corruption” (p. 8), and that there is an “ongoing descent of Arab polities into crisis... [which] is mostly due to poor governance and ineffective and unaccountable institutions” (p. 4).

The current focus is on improving aid effectiveness that in practice translates by both parties *Recipient* and *Donor* adapting their practices through ownership and alignment respectively. So far, the commitment has not led to increasing the chances of successful aid projects which is discussed further in the next section.

The Problem Statement

Reports analysing, for example, WBG projects for the period of 2014-2016 show that projects achieving highly satisfactory success are a small minority of 3%, while approximately one in four IDPs does not achieve even moderate success (Rodriguez-Rivero, et al., 2020) which calls for building on lessons learned to improve.

Whilst many of the international donor organisations have designed competency frameworks to guide the actions and development of their staff (as will be discussed in more detail later in this thesis) many of these frameworks appear to overlook significant aspects of cooperative working with Recipients, and the need to adapt projects in flexible ways. Moreover, no framework addresses Recipient’s needs in terms of how they are expected to act within such context and the related competencies that they should focus on building.

One Donor organization started testing a new ‘success factors’ approach “Capacity Works” (GIZ, 2015) in 2007 with the intention of using it in all its projects and by all actors which included its own staff, consultants, and Recipient. However, none of the related training workshops that were implemented

in at least three countries in the Middle East between 2008 and 2013 included any Recipient¹ representative.

This research is proposing a competency framework that is not only for Donor practitioners but also consider Recipient representatives who are important contributors within IDP as they work alongside Donor towards the set goals. The identified competencies resulted from analysing the success stories that some practitioners working in the field from both ends have shared.

The original contributions that this study provides are:

- 1- Adding knowledge to the literature with a focus on IDP/CB.
- 2- A practical competency framework that is unique in terms of its structure and its being firmly based on theories of different intelligences (EI, SI, CI) which has not been done before, at least in the context of IDP.
- 3- Competencies for Recipient which have not been included in any of the existing frameworks.
- 4- Integrating Adaptive Management at the core of the framework.
- 5- Listing the main competencies for both actors (Donor and Recipient) while engaging in Adaptive Management.

Structure of the thesis

The thesis includes six more Chapters listed below:

Chapter Two – “Literature Review” focuses, in its first part on the context of International Development Projects which includes the sustainable development, defining these projects, what constitutes success in conventional projects as well as development projects. It also covers success criteria and factors, and Adaptive Management. The second part deals with the inter-organizational collaboration and covers team evolution, collaboration, managing risks and stakeholders' expectations, and Change. It concludes with the conceptual framework that summarises all the concepts related to the study.

Chapter Three – “Competency” presents the different definitions of competency and intelligence then moves to discussing the three intelligence competencies that are at the focus of this research. The second part of this Chapter covers the development of competency frameworks (rationale and techniques) and the existing frameworks that major Donor organizations are adopting for their staff.

¹ The author of this study was a local staff member of GIZ from 2008 until end of 2013 and she facilitated training workshops for staff working locally (Lebanon, Syria and Jordan) with the objective to introduce the identified success factors that should be at the centre of any decision at different stages of the projects. None included Recipients.

The concluding section shows how these frameworks compare and introduces core adaptive competencies and related soft skills proposed by one study.

Chapter Four – “Methodology” covers the literature that guided decisions related to the approaches and methods used to design the data collection and its analysis. This is followed by the presentation of the plan and its implementation at the different stages.

Chapter Five – “Data Analysis & Findings” starts by showing how the analysis was conducted following five coding cycles that led to the clusters of the framework. The second part discusses the details related to these clusters, their elements, indicators, and the supporting statements from the collected data.

Chapter Six – “Discussion” presents how the findings drawn from the interviews relate to the literature and the existing frameworks thus supporting the author’s claim of making original contributions.

Chapter Seven – “Conclusion” starts by summarizing discussions related to the research question; why this study is needed; how it was conducted; and what the findings are. The Chapter concludes with a discussion about the original contributions that the research is making followed by the identified limitations and the author’s recommendations for future research.

2- Literature Review

The context of this study is Capacity Building projects (CB) which is one form of International Development Projects (IDP) where representatives of the funding agencies (Donor) join hands with those from the benefiting public institutions (Recipient) to work towards the project's goals around building the capacity of Recipient as this will facilitate the longer-term objectives leading to *Development*.

This Chapter discusses the literature covering the context of these projects starting with their long-term goal 'sustainable development', the characteristics of IDP and CB, and how success is viewed for these projects as well as conventional ones with a focus on success factors and criteria.

Adaptive management (Martin, et al., 2020; Teskey & Tyrrel, 2021), the approach recommended for such projects, follows to highlight related concepts which touch on interorganizational collaboration while managing risks and stakeholders' expectations with the main objective being to envision and implement the needed change or those intermediate goals leading towards the targeted development.

The conceptual framework is presented at the end of this Chapter.

Sustainable Development

According to the World Commission on Environment and Development (WCED, 1987), "sustainable development requires meeting the basic needs of all and extending to all the opportunity to fulfil their aspirations for a better life". While sustainability, which is often used as a synonym of Sustainable Development (Ruggerio, 2021), is a complex, dynamic and evolving concept around three distinct dimensions: objective, worldview and action (Whyte & Lamberton, 2020), as depicted in Figure 2-1.

The International Development agenda shifted its focus on economic performance of (mainly developing) countries to add sustainable human development through the United Nation's (UN) Millennium Development Goals (MDGs 2000-2015) and to the UN Sustainable Development Goals (SDGs 2015-2030) dealing with four dimensions around social and economic development, environmental sustainability as well as peace and security (de Jong & Vijge, 2021, p. 3).

According to Hulme (2010), the MDGs are the world's biggest promise "to reduce poverty and human deprivation at historically unprecedented rates through collaborative action". However, "poorly thought through". (p. 4), the MDGs, "largely a rich world product for rich world audiences" (p. 2), are the framework that "economically advanced and developing countries" agreed to pursue for international development (p. 47).

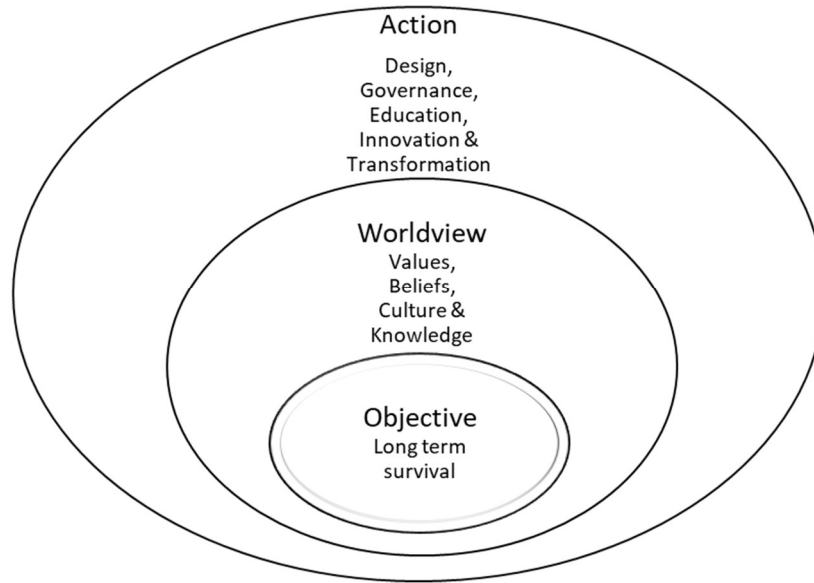


Figure 2-1 Adapted Figure of the Sustainability Conceptualisation Framework (Whyte & Lamberton, 2020)

An analysis of how MDGs evolved to SDGs shows a shift from poverty reduction to integral development (objective of sustainable development) and from macro-economic to people centred policies (means). As for the relations between developed-developing countries, responsibilities are no longer divided but universal, donor-recipient are now in partnership, and developed countries' role is no longer passive but active (de Jong & Vijge, 2021, p. 4).

According to the UN Department of Economic and Social Affairs (UNDESA, 2020), a prosperous economy (SDGs 8, 9, 10 & 12), thriving society (SDGs 1, 2, 3, 4, 5, 7, 11 & 16) and a healthy environment (SDGs 6, 13, 14 & 15) are interconnected, and meeting the 2030 Agenda “requires an unprecedented level of cooperation and collaboration” among a wide range of actors, thus calling for a shift in thinking and a “new collaborative way of working” (p. 10).

Capacity Building, recognized as one mean to achieving sustainable development, has been included by the world leaders in the UN ‘Agenda 21’ concerned with the human impact on the environment to prepare “the world for the challenges of the next century” (UNCED, 1992, p. 3). Later, the UN 2030 agenda (2015b), building on the achievements of the eight MDGS,

further stressed the importance of CB by considering related targets within each of the 17 agreed SDGs. Moreover, CB is one target (out of 19) related to the 17th SDG (Kanbur, et al., 2018) which is ‘strengthen the means of implementation and revitalize the global partnership for sustainable development’.

Capacity Building Goal 17.9:
Enhance international support for implementing effective and targeted capacity-building in developing countries to support national plans to implement all the Sustainable Development Goals, including through North-South, South-South and triangular cooperation.
<https://unstats.un.org/sdgs/indicators/indicators-list/>

Through the SDGs, “developed and developing countries have committed to focus on issues of wider and global implications” while contextualising and tailoring to their specific circumstances (Akenroye, et al., 2018, p. 4). As the experience with the MDGs showed, moving towards the SDGs could be slowed by availability of funds especially for developing countries. Furthermore, the global economic challenges might impact the funds that Donors can spare to support developing countries in their journey towards sustainable development (Akenroye, et al., 2018).

The UN (2023), halfway towards 2030, reported that about half of the SDG targets are severely off track while over 30% of them either showed no progress or “regressed below the 2015 baseline” (p. 4). The report also identifies five key area for urgent action three of them touch on CB. One calls for governments’ commitment to strengthen capacity and public institutions. The remaining two are for the international community to mobilize resources and funds for developing countries, and for UN member states to strengthen the capacity of the UN system to address the gaps and support the countries that need it (p. 6).

Kanbur et al. (2018) argue that a “heterogeneous mixture of 17 goals and targets, negotiated between and balancing the interests of a wide range of global groups, cannot provide specific guidance for national policy” but can be a frame of reference useful when looking at the national context (concerns and processes) (p. 38). In the same line, Geibler et al. (2019) consider the high number of goals and sub-goals to “represent barriers to innovation practitioners” because of their “concept’s intangible, qualitative nature and the lack of data” (p. 22).

Holden et al. (2017) argue that having too many SDGs and sub-goals “amounts to having no goal at all” especially when no priority has been assigned. Moreover, they disagree with the dimensions that the SDGs consider (economic, social and environmental) and claim that the key dimensions for sustainable development to be “the moral imperatives of satisfying needs, ensuring equity and respecting environmental limits [which] represent constraints on human activities, including our efforts to maximize economic value” (p. 214).

Akenroye et al. (2018) propose a framework, to support the implementation of SDGs, focusing on three areas: establishing a steering group, conduct a baseline and a gap analysis study, and develop a funding roadmap. Once the country’s key priorities are specified by consulting all stakeholders, the baseline study will examine the allocated budgets that can contribute to SDGs, then a roadmap including related SDGs, targets and indicators that are relevant to the country priorities, can be set.

Such framework arguably is useful for developing countries in the process of identifying where (i.e. Ministry or sector) they need support in terms of finances but also in terms of capacity building or “all

other forms of learning that enhance the knowledge, understanding and competencies (skills) of individuals” (Gordon & Chadwick, 2007, p. 18) and institutions.

Capacity being “inherently valuable and absolutely necessary for the achievement of development objectives” (Gordon & Chadwick, 2007, p. 11), is arguably triggering the need for CB projects which are also considered vital for the socioeconomic development process of Recipient country (Khang & Moe, 2008; Chrysostome, 2019). However, Currie-Alder et al. (2014) claim that the thoughts about how development, or the “unintentional evolution of people”, happened have been recently focusing on the “gap between the goals of public policy and what was achieved in practice” (p. 1). This stress on performance calls on examining the different perspectives about what works to identify whether the result can be described as “success, failure, ...[or] surprise” (p. 2).

The plurality of views about what works, which Landoni and Corti (2011) link to “national views and cultures” (p. 45), is endorsed by Chasanah et al. (2023) who call for the adoption of “multi-disciplinary and flexible approaches” when dealing with IDP complexity (p. 15) while asserting that there is no agreed criteria or factors that project managers can adopt to ensure the desired success.

Understanding what the characteristics and settings of development projects are and how they can differ from those of conventional projects is next.

Development Projects defined.

IDPs, or those “public sector development projects” (Chasanah, et al., 2023) have a specific time limit, cover a wide range of interventions, and are implemented at the Recipient end by public sector staff of the beneficiary institution and/or the ministry in charge of the related sector/institution. Implementers on behalf of the funding organization (Donor) include Non-Governmental Organizations (NGOs) as well as international private consulting firms. IDP can also have a different setting. For example, in the case of the World Bank Group (WBG) the local project coordinator is in charge of operations while being supervised by WBG to make sure activities align with its guidelines and plan (Ika, et al., 2012, p. 106).

According to Montes-Guerra et al. (2015) IDP is “a proposal of activities organized around a specific objective, to perform in a certain period of time, in a defined geographical area, for a group of beneficiaries, with the aim of solving specific problems or improving a situation” (cited in Lazima and Coyle, 2019, p. 428).

A more detailed description of IDP is provided by Ika and Donnelly (2017):

“International development (ID) projects cover almost every project setting: infrastructure, utilities, agriculture, transportation, water, electricity, energy,

sewage, mines, health, nutrition, population and urban development, education, environment, social development, reform and governance, etc. Thus, they undisputedly share some characteristics with other projects: they deliver goods and services; they are often limited, temporary, unique, and multidisciplinary undertakings; they go through a life cycle; they face time, cost, and quality constraints; and they use project management standards, tools and techniques for their delivery (Golini et al., 2015; Ika, 2012; Ika and Hodgson, 2014).” (p. 45)

However, Golini and Landoni (2014) identified six IDP specific characteristics which are (pp. 124-126):

- 1- Lack of a defined and/or powerful customer (benefiting community with vague boundaries, not financing the project, or having the technical competence or ability to self-determine the project’s goals).
- 2- High number of stakeholders (including project manager, NGOs, Donors, organizations implementing projects in the same area, multilateral agencies, local government and institutions, beneficiaries, local population, local implementing partners).
- 3- Difficult, complex, and risky environment (political, institutional, and social factors; access to information, bureaucracies, and corruption).
- 4- Resource scarcity (limited and inflexible budgets and NGOs often depending on volunteer work).
- 5- Difficulty in using project management techniques in the context of other cultures (cross-cultural problems could also include knowledge of and acceptance of project management methodologies and tools).
- 6- Presence of intangible project outputs, which can be difficult to define and measure (the long-term impact that cannot be assessed immediately at the closure of the project).

The comparison of these three descriptions suggests some critical issues that are around a proposal of activities involving multiple disciplines aiming to improve a situation within a limited time period in a highly complex environment (powers, interests, cultures) and where the beneficiary is powerless while the appointed implementers possess the funds as well as the technical expertise Figure 2-2.

However, the mere fact of defining IDP as a proposal of activities also suggests the existence of uncertainty that can only become clear once implementation starts in the field. From this perspective, executing and managing the project becomes a shared responsibility between the funder, the implementer on behalf of the funding organization and certainly the beneficiary. Such context calls for more reflexivity and elasticity to enable the shifting of the “practice away from linear and planned approaches” (Teskey & Tyrrel, 2021, p. 6).

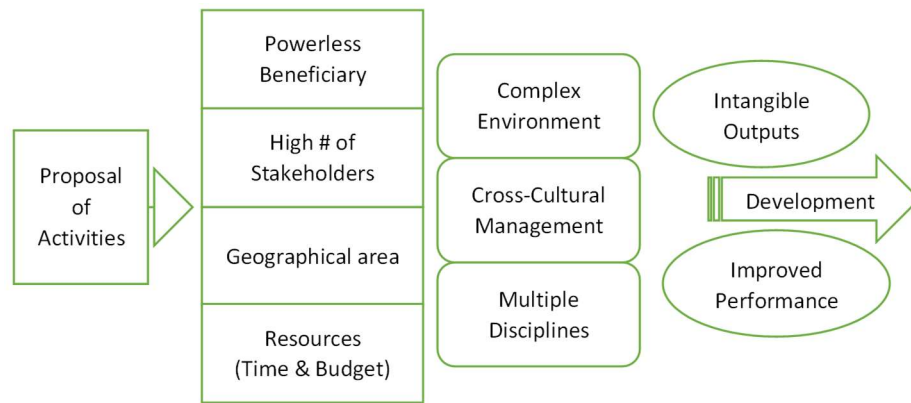


Figure 2-2 Author's visualization of the critical issues impacting IDP/CB

The focus of this study is on the interaction of actors from both ends in IDP context where flexibility to tailor project activities to fit the contextual needs (Chasanah, et al., 2023; Buell, et al., 2020; Martin, et al., 2020) is unavoidable to ensure that the introduced improvement measures are being integrated into beneficiaries' own practice. Therefore, reaching the set objectives of IDP will depend on the Recipient's contribution, or what Buell et al. (2020) tag as "constituent engagement", as well as on both parties' good understanding of best practices for successfully managing and interacting within projects in complex contexts, as well as possessing the related abilities.

Lazima and Coyle (2019) claim that since Donor sets the guidelines for the projects, IDP managers do not have the flexibility to tailor them based on their specific contexts. However, any project approach, according to the Project Management Institute, "(PMI, 2017) ... should ideally be tailored" to accommodate its unique requirements and cycles (p. 430). For their research, the authors interviewed ten practitioners, including project managers, who had sector experience ranging from 5 to 32 years, while four of them (40%) did not receive any PM training throughout the last 10 years they worked in IDP (p. 429). This suggests either the undermining of such skill or the irrelevance of project tailoring which requires some expertise in PM, or both. Looked at from a different perspective can highlight the importance of "real-life experiences" (p. 429).

Capacity Building projects (CB), according to Ika and Donnelly, (2019), "rely on a theory of change at the individual, organizational, and system-wide levels and a political process to bring about their outcomes". Consequently, CB focus is on ownership as well as stakeholders and institutions' abilities "to elicit developmental change" (p. 51). Unlike other types of IDP which deliver products (i.e. building or infrastructures) and services (i.e. technical expertise), CB outputs are generally intangible and therefore measuring project results is difficult (Ika & Donnelly, 2017; Golini & Landoni, 2014; Lazima & Coyle, 2019; Chasanah, et al., 2023), and it implicates "a high degree of subjective judgements" (Khang & Moe, 2008, p. 75).

Moreover, there seems to be an agreement among researchers that the management of IDP including CB has not been sufficiently covered in the literature (Golini & Landoni, 2014; Ika & Donnelly, 2017; Lazima & Coyle, 2019; Ika, et al., 2012) and a concern that most studies covering IDP success prioritise the short term-oriented success criteria in comparison with the long-term (Chasanah, et al., 2023, p. 9). In the same line, Ika and Donnelly (2019) claim that the focus has been mostly on project management success that “may in fact lead to deliverable success” being “the long-term range [of CB] project benefits such as impact, sustainability, and relevance to both country and beneficiaries”. which when not reached “no development is possible” (p. 53).

Ika and Hodgson (2014) claim that IDPs are “not necessarily unique... [but] they would fit at the far right end of the spectrum on a continuum from private sector projects, through public sector projects and international projects”, and therefore conventional PM knowledge can still apply (p. 1186).

On another front, Ika and Donnelly (2019) argue that in the case of CB it is only about how stakeholders perceive the project’s results – to be successful or not – leaving no room for any “absolute success” (p. 52). And since the success of CB depends on the good understanding of the dynamic context in benefiting country and targeted sector, the implementers “need more information about the journey, not simply the destination” (Ika & Donnelly, 2017, p. 45) which links to the focus of this study investigating what is needed for actors in their journey towards the project’s “deliverable success” (Ika & Donnelly, 2019).

“As Müller & Jugdev, (2012, p. 768) argue, then, perceptions of project success continue to be very much “in the eyes of the beholder.” (Eklund & Simpson, 2020, p. 11)

What is important to highlight is that all the literature covering IDP/CB does not clearly include Recipient among the implementing groups. Buell et al. (2020) refer to them as constituents while others simply mention stakeholders. This could suggest the existence of an underlying assumption that Donors who represent the owner of the funds are expected to be leading the so-called partnership even when some describe such leading to be done “from behind” the local actors (Teskey & Tyrrel, 2021).

In summary, IDP (and CB) can be described as a project that is managed by a temporary team of actors coming from different organizations and having different national cultures, with the expected output of this collaboration being a change in performance that will continue to incur benefits to the Recipient long after the project’s closure. With the context being the provision of a public service, the affected stakeholders may include wider communities, other projects, other ministries, politicians, and many others depending on the scope of the project and the specific intervention.

It is also important at this stage to stress again that this study is not concerned with the technical aspects of PM but rather on the joint-working within this project setting. Therefore, the focus of the literature review remains on the aspects specific to CB's complex environment which includes the different stakeholders' perspectives around success, envisioning change towards sustainability, and, collaborating in a multi-cultural and interorganizational context.

The next section covers what constitutes success for conventional projects followed by a focused discussion on IDP and CB.

What constitutes Success for conventional PM?

When examining project success, the literature covering conventional project management refers to historic views and practices that mainly consider the specified project output, time of delivery and cost while missing some other important dimensions (Serrador & Turner, 2015; Davis, 2018; Eklund & Simpson, 2020).

Davis (2018) saw the need to investigate if "the parameters and methods" used to judge project success "meet the needs of modern project management" (p. 39). She claims that the models that different researchers have provided missed to examine "the multiple different stakeholder perception of project success" (p. 38). Her argument is that there has been emphasis on the projects' technical aspects (time, budget, and quality) but not their "unique and human aspects" (p. 38) which relates to this study.

Serrador and Turner (2015) claim that there are two "competing measures of success": project efficiency or "meeting cost, time and scope goals", and project success to "meeting wider business and enterprise goals as defined by stakeholders" which is that big picture that should not be overlooked (p. 31). They refer to Jugdev and Muller's findings in 2005, following their review of the literature covering 40 years behind, that "a more holistic approach" to measure success "was becoming more evident" (p. 31) which Paciarotti et al. (2019) consider also valid for projects in the aid sector.

Serrador and Turner (2015) further argue that success is time-dependent (p. 30), and elaborate on the five dimensions of project success that Shenhar and Dvir introduced in 2007 which are: project efficiency, team satisfaction, impact on the customer, business success, and preparing for the future (p. 31).

Furthermore, their own research finding "shows quite clearly that other factors contribute significantly as well" to success with efficiency being an important contributor (p. 38). These other factors may include the impact of the project post implementation, alignment of project output with

stakeholders' expectations, any unaccounted-for risks or changes to the environment, and any uncertainties or developments that fall outside the control of the project team. They also recommend to practitioners to broaden their outlook and include in their project planning those measures that will account for these factors in addition to the traditional "iron triangle" of cost, time, and output (p. 38).

These findings and their advice arguably apply to CB projects and practitioners with three major factors that add more complexity, namely the "lack of a defined and/or powerful customer", the high number of stakeholders and the "intangible project outputs" (Golini & Landoni, 2014). Moreover, when CB's aim is to have the eventual benefit from its activities to sustain, a question arises, and this is 'at which point in time after project closure can one assess/confirm this sustainability?'.

As the lack of consensus related to project success continues, Eklund and Simpson (2020) argue that practitioners are looking to understand "a rather slippery concept" because there is no consensus in the literature about what constitutes success "criteria and conditions" (p. 11). They elaborate on "Taylor (1911) scientific management" (p. 11) and compare it with Follett's views, both being "standard-bearers for two different traditions of thinking ... that although incommensurable are, nevertheless complementary, each offering insights not revealed by the other" (p. 12), hence the duality between Scientific Management (Taylor) and Democratic Governance (Follett).

Follett tried to promote work "not as a pre-planned design" but as the product of cooperative work between managers and workers (p. 16), while Taylor believed that the "definition of the task is fundamental" and a detailed "instruction" would make possible for "an "intelligent gorilla" [to] be trained to do" the related job (p. 14). Dealing with conflicting interests, according to Follett, calls for an "integrative attitude" which makes the conflict "work for us (Follett, 1941, p.30)". This is so because domination (of one party) and compromise don't really eliminate the conflict. It is "finding a new purpose that not only satisfies both parties, but also improves the situation itself" that will be possible when people have this integrative attitude which will open their minds and widen the borders to look for creative alternatives (p. 16).

For Follett, according to Eklund and Simpson (2020), in practice one cannot draw a clear border between planning and execution as they go in parallel, which is the only way for CB needing to adapt that proposal of activities to its dynamic context as work is progressing. And on the human side, Follett saw that "everyone has potential to develop" and when "power with others" prevails, agreeing "to take orders from the situation" will reign (p. 16).

The authors concluded that there is “coexistence and relevance” (p. 20) of both Taylor’s Scientific Management and Follett’s Democratic Governance with the former dominating at the expense of the latter. However, what is also evident is that Taylor’s “ontology of being” (p. 14) focusing on maximizing efficiency – design for success – and Follett’s “ontology of becoming” (p. 19) – designing success – where an “open-ended context of dynamic and emergent networks” are “complementary aspects” (p. 21).

What factors and principles could guide the designing of success, according to PM literature, is discussed next.

Critical Success Factors

Looking at success from a different perspective, that is the critical success factors, is important because they “require the constant and careful attention” of management to meet desired performance (Ram & Corkindale, 2014, p. 152).

In that line, a study conducted by Hyvari (2006) examined critical success/failure factors and their dependencies where the identified factors relate to:

- 1- Project (clear goals/objectives; end-user commitment and adequate funds/resources)
- 2- Manager/leadership (commitment; ability to coordinate; and effective and visionary leadership)
- 3- Team members (communication; commitment; and technical background)
- 4- Organization (top management support; clear job descriptions and project structure)
- 5- Environment (client; sub-contractors; technology; economy).

The conclusion of this study highlights the importance of the managerial factors which include the project managers’ experience and communication throughout the life of the project (p. 39) .

However, Cserhati, et al. (2014) claim that there is no one set of success criteria and factors that can apply to all types of projects as these should relate to their specific context (p. 613). Factors can be task or relation-oriented and are also linked to success criteria (p. 615). The authors further argue that management methods and tools are vital, while the relationship between success criteria and the relation-oriented factors “bear significant practical importance” (p. 622).

Looking at Information System (IS) projects, Hughes et al. (2020) argue that their benefit is not immediately evident when the product is delivered as it requires time for the new system to be “transitioned to operations” before its users can see its “positive impact” (p. 36). This can be linked to what Martin et.al (2020) referred to when they discussed IDP Recipients needing to use the project output before they can decide if benefit is attained (p. 6).

Hughes et al. (2020) further claim that according to the PM standards, success criteria are best defined at the start of the project, and these, as they describe, are related to efficiency and effectiveness. However, they argue that many contributing aspects to success are influenced by how the human contribution considers other related factors (p. 37). They identify a set of factors from related case studies and show how they are inter-linked (Table 2-1).

While level A factors have “strong driving power [they].... influence” the other factors. The relationship between the levels is about their interdependence. For example, level E is significantly reliant on Level D which is dependent on Level C and so on, while factors within each level are interconnected and some have more dependence power than others [for more details see Figure 3 in (Hughes, et al., 2020, p. 58)].

Level	Key factors and brief descriptions
A	Use of skilled resources - The project team has the required skills and experience
	Project audit process in place -Monitoring through regular health checks and assessment of the progress to be included in the plan.
B	Engaged and committed sponsorship -Top Management support
	Skills experience and style of project manager -The manager considers the organization culture and the experience of stakeholders
	Use of a project management methodology - Define and follow a formal methodology
	Organisation project maturity -Project oriented culture and a record of project delivery to a defined business case
	Formalised role definitions -Individual roles and responsibilities
	Tools and infrastructure -Available to the project
C	Formal risk management -The process is in place to assess and manage threats
	Short stage duration -Easier to manage and control
D	User involvement throughout the project - Effective communication with the user being a key stakeholder from the start to the end of the project
	Management of scope - The scope of the project might change at the different phases, managing this should be a key project process
E	Clear business case -Setting out justifications, timescales, benefits, and costs
	Resistance management process - An integral component of the project to manage user resistance
	Effective benefits management process -Benefits are defined and a process to formalise benefits realisation is in place
	Integrated change and project management -Integrated plans and defined dependencies
	Established post mortem process -Identifying what went wrong at the different stages to capture lessons to apply in future projects

Table 2-1 Key success factors identified by Hughes et al. (2020, pp. 38-45)

The clear business case (level E) (Table 2-1), for example, can be linked to “scope, functionality, schedule, budget and quality of deliverable” that the authors referred to as success criteria (p. 36). This may suggest that they merged all under the factor label.

The next sections summarize how the success of IDP is viewed in the literature followed by a discussion on related success criteria and factors.

IDP Success

Narrowing the focus on IDP, Buell et al. (2020) argue that the “dynamic needs” (p. 16) of the receiving communities should be considered and therefore IDP ought to be “more responsive to context” (p. 22). This is confirming that success of such project requires both Taylor and Follett’s concepts, in other words adopting an integrative approach while targeting efficiency and sustainability of benefits. Such complexity is intensified by diverse stakeholders’ interests, perspectives, and expectations; distinct points of time within and beyond the project lifecycle; as well as how the final output is perceived after genuine experimentation by the “problem owners” (Martin, et al., 2020, p. 6) which are the Recipients.

Therefore, the distinction here is between two important pillars, 1) how the project is managed (efficiency), and particularly for CB 2) whether the project including its design, and its objectives that are more strategic and long-term, accounts for all aspects beyond its efficient completion, or that targeted development that will continue beyond CB’s life (Ika, et al., 2012).

In that respect, CB starts with the assumption, arguably linked to Follett’s view (Eklund & Simpson, 2020), that Recipient (institution and staff) has the potential to develop and what is vital for the success of its activities are their contributions as well as Donor’s ability to transfer the technical knowledge and related best practices when the situation calls for them.

One can argue that although IDP and CB have “very peculiar characteristics” (Golini, et al., 2015), they can still benefit from the knowledge related to conventional projects and vice-versa (Bayiley & Teklu, 2016; Chasanah, et al., 2023). The number of studies in both IDP and PM disciplines that are focusing on IDP confirm the acknowledged need (Ika & Hodgson, 2014) for such “complementary endeavours” to improve the development efforts through IDP (Chasanah, et al., 2023, p. 15).

However, looking at CB related Success criteria (SC) which are the principles or standards used to evaluate project success (Chasanah, et al., 2023; Ika, et al., 2012), they can have two dimensions in relation to the themes they address and their time orientation (Chasanah, et al., 2023; Ika & Donnelly, 2017).

For Ika and Donnelly (2017), while IDP is all about ambiguity, “relevance, efficiency, effectiveness, impact, and sustainability” are some agreed upon success criteria (p. 107), and which according to Chasanah et al. (2023) relate to the Principles for Evaluation of Development Assistance² issued by the

² DAC Principles for Evaluation of Development Assistance
<https://www.oecd.org/dac/evaluation/dacprinciplesforevaluationdevelopmentassistance.htm>

Development Assistance Committee (DAC) of the Organisation for Economic Co-operation and Development (OECD) (p. 8).

Another study focusing on IDPs, funded by the EU in Ethiopia (Bayiley & Teklu, 2016), reflecting the views of project teams and related literature suggests that while efficiency is ranked fifth among the identified important criteria, major concern is attributed to relevance (p. 573) because when a project is not relevant (first) it cannot be effective (third) and therefore it is unable to make an impact (second) which makes these criteria conceptually connected (p. 570).

The authors claim (see Figure 2-3) that:

“The logical flow of the finding is captured using the following argument: projects (developmental) have to be need based (relevant), make difference (bring impact) in the lives of beneficiaries through achieving project goals (effectiveness) for a longer period (sustainably) pursuing efficient means (efficiency) (p. 570).

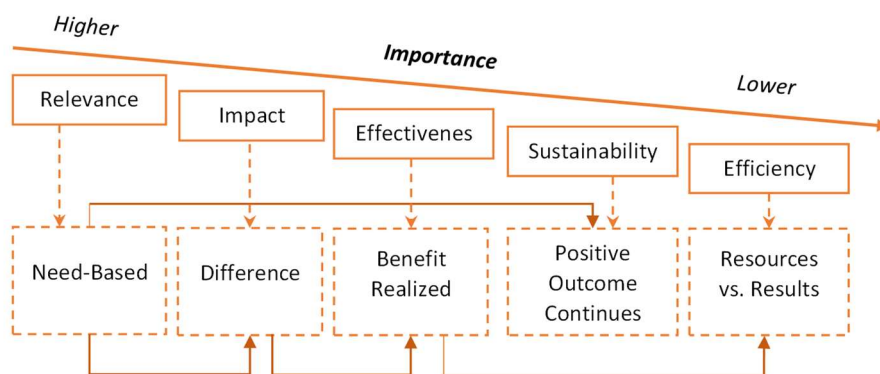


Figure 2-3 Author's visualization of the logical flow of the IDP success criteria (Bayiley & Teklu, 2016)

Chasanah et al.'s (2023) literature review focusing on 31 articles published in different journals for PM/business (61%) and development (39%) which cover IDP success factors and criteria, shows that most studies focused on the short-term criteria (Table 2-2). This is so because it is difficult to measure the long-term impact and sustainability since they require time to become evident (p. 9).

Three additional short-term criteria are found in two studies: project profile, stakeholder satisfaction, and specific project characteristics. It is important to recall at this stage that most of the studies reviewed collected data from project teams which might have caused this close focus on project specific criteria.

All three studies agree on at least five criteria even though two (Chasanah, et al., 2023; Ika & Donnelly, 2017) do not clearly show how they interlink as Bayiley and Teklu (2016) clarify.

S Criteria	Number of Studies
Short term	
Efficiency (cost & time)	8
Effectiveness (project objectives & quality)	5
Relevance (priorities of beneficiaries, country & donor)	4
Profile (produced desired outputs, extension opportunity, reputation & political influence)	2
Stakeholder satisfaction (expectations)	2
Specific criteria of a unique project (stakeholder involvement, safety, site dispute & environmental effect)	2
Long term	
Impact (planned/unplanned positive & negative changes that is caused directly or indirectly)	4
Sustainability (benefits most likely to continue after the project)	3

Table 2-2 Success Criteria identified in the literature by Chasanah et al. (2023)

The focus in the next section is on IDP and CB factors (conditions) that will enable success.

IDP Success Factors

Success factors (SF) are those “various variables” (Chasanah, et al., 2023, p. 3), or more specifically “conditions, events and circumstances contributing to project success” (Ika, et al., 2012, p. 107). These can also be seen as a “diagnostic” tool to identify where efforts are needed to increase the chances for success (Ika & Donnelly, 2019, p. 83).

Khang and Moe (2008) examine factors that influence the different life-cycle phases of projects: the conceptualization (3 SFs), planning (4 SFs) and implementation (5 SFs) phases where success at one phase makes way to “favorable preconditions” for the phases that follow (p. 77).

Ika and Donnelly (2017) group critical SF under three main categories: structural, institutional, and managerial. Bayiley and Teklu (2016) present five SFs “that do not exist in isolation of each other” (p. 569), while Chasanah et al.’s (2023) identify factors which may be valid to commercial projects too (p. 12) and grouped them under: human, project, management, and external environment headings.

Table 2-3 groups the SFs suggested in these four studies and those identified by Hughes et al. (2020) for IS projects having some similarity with CB mainly in regard to the user (Recipient) engagement and their impact being more visible some time after their completion.

Comparing these different groupings (Table 2-3) highlights some commonalities and differences. Chasanah et.al (2023) dedicate a group for the human factor and their management group is very much about human agency which implies its primary importance.

Ika and Donnelly (2017) flag the human factor in two categories, Bayiley and Teklu (2016) allocate two related SFs, and Khang and Moe (2008) include related elements in all three project phases.

Comparing these to what Hughes et al (2020) propose for IS projects, skilled and engaged management and team operating with clear roles and responsibilities to overcome risks (Levels A & B) stand out as important factors to facilitate engagement of product user (Level D) and to deliver while capturing lessons useful for future projects (Level E). The engaged and committed sponsorship of top management (Level B) can be viewed as the equivalent of the Bayiley and Teklu's (2016) clear policies that will enable changes in project scope (Level D) which could be identified by the formal risk management process (Level B).

(Khang & Moe, 2008)				
Conceptualizing		Planning		Implementation
Clear understanding of project environment by funding and implementing agencies and consultants. Competencies of project designers. Effective consultations with primary stakeholders.		Compatibility of development priorities of the key stakeholders. Adequate resources and competencies available to support the project plan. Competencies of project planners. Effective consultation with key stakeholders.		Compatible rules and procedures for PM, Continuing supports of stakeholders, Commitment to project goals and objectives, Competencies of project management team, Effective consultation with all stakeholders.
(Bayiley & Teklu, 2016)				
SF1-Clear policy of donor and government (most important), SF2-Strong local ownership, SF3-Effective consultation during planning, SF4-High motivation and interest, SF5-Compatible rules and procedures.				
(Ika & Donnelly, 2017)				
Structural		Institutional		Managerial
Legal and regulatory frameworks, Financial resources, Contextual environment (including Enabling institutions, Geography, Community Stakeholders Social-cultural aspects)		<u>Recipient:</u> Accountability/Public participation, Local Government Capacity to: Commit, New technical expertise, Attract resources, Manage diversity, and Adapt Knowledge and Skills.		Project: Leadership, Monitoring, Design, and Stakeholder Coordination
		<u>Donor:</u> Implementing agency's Capacity to: Commit, New technical expertise, Attract resources, Manage diversity, and Adapt and Self-renew.		
(Chasanah, et al., 2023)				
Human	Project	External Environment	Management	
<u>Human characteristics:</u> personality, competencies, skills & leadership	<u>Nature of the project and elements:</u> resources, size & length.	<u>Country-level:</u> economy, politics, society & culture	<u>Project Management & General Concepts of Management & Organization:</u> project design & planning, approaches to implementation ('what if 'scenarios), stakeholder engagement, supervision & monitoring; team building, training & capacity building, coordination & collaboration.	
IS projects (Hughes, et al., 2020)				
A	B	C	D	E
Skilled & experienced team, Monitoring	Engaged top management, Manager's style, project Culture, Roles & Responsibilities, Risk management	Short stage duration	User involvement & managing changes in project scope	Clear Business case, Processes (resistance, effective benefits & post mortem), Integrated change and project management.

Table 2-3 Success factors identified by four studies related to IDF and one to IS projects.

Chasanah et al. (2023) stress on the importance of a participatory and flexible approach in view of the complexity of the external environment (political, social, cultural). They further call for collaboration among disciplines to enhance knowledge related to project success and to dismiss the problematic assumption that a "universal theory" can lead to a "one-size-fits-all" approach (pp. 14-15), and thus

confirm Cserhati et al.'s (2014) claim that SF (and SC) should relate to the project's specific context (p. 613).

These different factors and groupings that are presented may suggest a lack of agreement on what conditions can have a higher impact while facilitating success but most importantly confirm the complexity (Golini & Landoni, 2014) of the context.

These conditions inevitably can be interpreted differently causing a wide range of perspectives in relation to what CB actors need to deal with at the different points in the project's life (Khang & Moe, 2008) and depending on its nature (resources, size and length) (Chasanah, et al., 2023).

It is important to stress at this stage that the agreement on the human contribution (Chasanah, et al., 2023), in terms of attitude (Eklund & Simpson, 2020), motivation (Bayiley & Teklu, 2016), capacity (Ika & Donnelly, 2017), experience and style (Hughes, et al., 2020) and competencies (Khang & Moe, 2008), being an important factor while navigating around uncertainties caused by the multitude of needs, interests, resources, rules and goals, further supports the need for this study aiming to clarify what will enable these contributions to be fruitful.

Therefore, the relevance of CB interventions for the targeted beneficiary country and institution, one can conclude, would require deep investigation to better understand the needs (Buell, et al., 2020) before defining project objectives and eventual outputs and impact. This would require the necessary adoption of a participatory and flexible approach (Chasanah, et al., 2023) that clearly requires open-mindedness and allows for planning and execution to go in parallel (Eklund & Simpson, 2020) to make adaptation to the dynamic context possible. This further highlights the importance of a clear government policy (Bayiley & Teklu, 2016) that permits this necessary alignment with stakeholders' expectations (Serrador & Turner, 2015; Ika & Donnelly, 2019).

Such flexible approach that some question if it is an emerging practice (Teskey & Tyrrel, 2021) is Adaptive Management (AM) which is discussed next.

Adaptive Management

Triggered by the poor results achieved by IDPs, Hulmes (1995) explores the "orthodox" methodologies used for planning that view the projects in terms of "ordered sequence of activities" leading to "blueprints" based on external expertise (p. 213), and presents some alternatives that researchers were calling for.

For example, Rondinelli (1983), who discusses the benefits as well as the "increasing criticism" of IDP, proposes to look at these "complex and uncertain ventures" as a process of "policy experiments" where the beneficiaries' participation is essential (p. 320). Such perception would lead to the adoption

of a “more flexible, adaptive, experimental and responsive set of planning and implementation procedures” (p. 325).

From another perspective, Mog (2006) claims that sustainability is reliant on “successful adaptation to changing conditions across time, location and context” which requires “ongoing learning”. And that Adaptive Management (AM) is an approach to develop solutions based on learning through “project experience” (p. 532). In other words, while the main purpose of CB is pre-defined, aligned activities and their outputs are defined through practice during the project’s life.

Martin et al. (2020) describe AM as the approach that makes possible for IDP to address effectively complex development issues while staying more “learning oriented” (p. 5). They distinguish between two AM concepts, the passive and active. The former is where plans are adjusted when unforeseen challenges are detected while in the case of the latter, projects explicitly plan for experimenting which will result in learning and reducing uncertainty as well as “imperfect knowledge” (p. 6), and this would require policies that clearly authorise such adaptation.

Furthermore, AM touches on three levels: delivery (short term), programming (processes- longer term) and governance (design & funding) (Christie & Green, 2019). However, Teskey and Tyrrel (2021) elaborate on a fourth level related to pre-project start-up which is the donor’s (funder) responsibility (p. 69). They also claim that there is a difference between the traditional AM and the “locally led and politically informed” approach where delivery “occurs at same time as ‘design’” with “heavy focus on learning” and reporting on failure instead of only positive results (p. 17). They detail the post-project start-up tasks at the levels of Governance, Programming and Delivery (*Table 2-4*) which are executed simultaneously (p. 17) and arguably recalling Follet’s ‘designing success’ (Eklund & Simpson, 2020).

Post-project start-up Levels for AM:	Tasks undertaken
Governance (donor and partner government)	<u>Strategic program design and oversight enabling responsiveness:</u> <i>Policy dialogue; Investment criteria; Ways of working: authorizing framework and financial delegations</i>
Programming (implementing agency)	<u>Internal program leadership, operations and systems enabling flexibility and adaptation:</u> <i>Thinking; Working; Acting, Reflecting and Learning; Adapting; Scaling and Transition</i>
Delivery (front-line providers)	<u>‘On-the-ground’ work:</u> <i>Recruiting & developing staff; Adaptive risk management; Flexible budgeting and delegations; Measuring adaptation</i>

Table 2-4 Grouped Tasks at the three levels of projects (Teskey & Tyrrel, 2021, p. 18)

They also stress that adaptation can only be possible when the donor and partner government “explicitly put in place an appropriately authorising environment” (p. 14) which allows for aligning procedures to fit the CB context.

Christie and Green (2019) argue that the relationship between the three levels is “constantly evolving” and trust between the different actors is crucial as well as the confidence that the plan will “remain realistic even as it changes” (p. 5). They further claim that one of the conditions that would make “doing development differently” possible is “Get the People Right” in terms of attitudes, skills, and their abilities to manage relationships and risks (p. 6). According to Leeds and Palaia (2022), adaptation is calling for “three substantial and interrelated cultural shifts”, these are associated to risk, mindsets and donor-IDP relationship. The risks need to be redefined to better reflect the absence of adaptation in view of uncertainties and unpredictable challenges (p. 248).

The adaptive mindset includes having an open mind and readiness to include the different perspectives related to the objective that remains a priority, ensuring clarity of “vision and purpose” while accepting that success cannot be achieved overnight but through “small changes [that] can have outsized impact”, and that humility will foster sustainability (pp. 247-249). These small changes may be seen to fit with Level C SF (short stage duration) that Hughes et al. (2020) propose for IS projects because such activities are easier to manage and control.

As for the donor-IDP relationship which is key to enabling adaptation, it cannot be “top-down compliance” but rather a collaborative one strengthened by “mutual trust” (Leeds & Palaia, 2022, pp. 248-249). AM is therefore the approach that allows for testing, learning, and adapting “to respond to ever-changing and complex context” and consists, according to Buell et al. (2020), of five key elements that contribute to improved outcomes (p. 7). These and their links to Bayiley and Teklu’s (2016) SFs are grouped in *Table 2-5* as they highlight the importance of the effective consultation during planning to ensure greater involvement of stakeholders and meaningful contributions of constituents (Recipient).

Key element contributing to improved outcomes		Bayiley and Teklu’s SF (2016)
1	Strong internal systems and external channels (to ensure information is feeding internal learning and that insights and suggested adaptations are shared externally with all stakeholders)	1-Clear policy of donor & government 5-Compatible rules & procedures 3-Effective consultation during planning
2	Skilled staff that value engagement and adaptation	2-Strong local ownership 3-Effective consultation during planning 4-High motivation & interest
3	Decision-makers champions (to adapt based on constituent engagement)	
4	Clear points for reflection and actions (set milestones)	
5	Meaningful role for constituents (integrated in the plans)	3-Effective consultation during planning

Table 2-5 AM Key elements (Buell, et al., 2020, p. 7) and how the author links them to Bayiley and Teklu’s (2016) SFs

According to Ika and Donnelly (2019), “compatibility and fit of the project theme within the environment”, is important for the actors and their organizations (p. 79). This project alignment, as previously mentioned, needs to take place at the early stage of the project to “find the win-win

scenario for multiple key stakeholders” which will lead to its design and initial plan (p. 76). It is also when these ““win-win-win-win-win decisions” are considering a greater number of stakeholders (Freeman, et al., 2018).

Since AM approach is an “iterative process” that facilitates structured decision making in relation to problem-solving and reducing uncertainty (Teskey & Tyrrel, 2021, p. 10), this alignment remains constant throughout the project life as planning is done “incrementally” (Ika & Donnelly, 2019, p. 76).

In that line, Teskey and Tyrrel (2021) propose a number of tools to be used at the different stages, while for the delivery stage these include soft skills, core adaptive competencies and standards, for example, the adaptive delivery standards which are listed in *Table 2-6*.

Standard	What this entails?
Accurate and timely data collection	Collection of data on physical progress and financial expenditure, Collation into agreed reporting format.
Timely reporting on progress and issues arising to senior program management	Reports to senior management on progress and explanation of variation, Immediate suggestions/proposals for revisions or amendments, new activities and dropping existing ones, Early thoughts on relevance of underpinning theories of change.
Regular and inclusive consultations held with all stakeholders	Who has been engaged and on what issues? Diversity of stakeholders, What has changed (or may change) as a result of these consultations.
Data interrogated in real time jointly by implementation and performance teams	Assessment of progress against budget and ‘plan’, Recommendations made regarding pace of implementation and funding requirements.

Table 2-6 Adaptive Delivery section from Indicative standards and assessment matrix for adaptive management (Teskey & Tyrrel, 2021, p. 71)

The PILLAR tools include a minimum set of criteria that will establish readiness to adaptive programs. These stress on commitment (p. 39) on behalf of government (administrative and political) at Donor and beneficiary’s ends, local stakeholder/community, and program.

In conclusion, an authorizing environment acknowledging the need to adapt to the dynamic local context conditions will facilitate AM including learning and experimenting to align project activities and ensure their relevance.

This will require close collaboration of the “complementary teams” that are committed and mutually accountable “through joint ownership” and partnership (Ika & Donnelly, 2019). Such context will strengthen commitment and motivation of all stakeholders to work towards the shared vision of the targeted sustainable change (*Figure 2-4*).

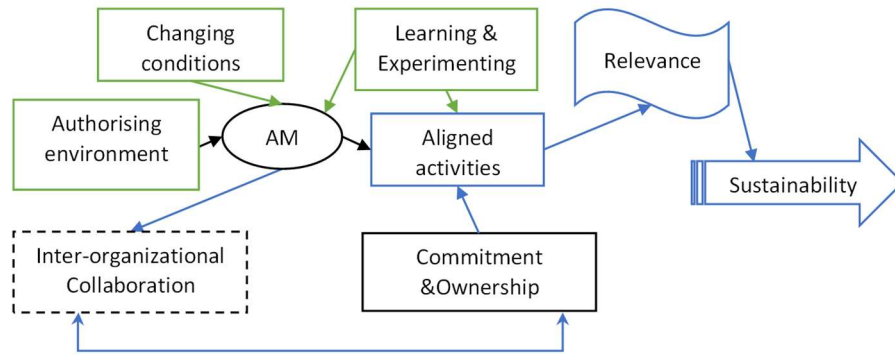


Figure 2-4 Inter-organizational Collaboration a key aspect for AM as viewed by the author.

According to Chasanah et al. (2023), it is the “climate” around the IDP team and its commitment to the “coordination, collaboration and participation” that will influence its path to success. But it is also the management SF such as PM and the general management and organization concepts mainly in relation to design, preparation, planning, supervision, implementation, and monitoring that are vital (p. 11). Based on their findings, the authors called IDP managers to consider all these factors while there is no “one-size-fits-all” approach (p. 14) which calls for the actors’ readiness to remain open to explore different alternatives.

The next section presents how the formation of the inter-organizational and multi-cultural team may be impacted by culture while strengthening a trusting relationship that will enable fruitful collaboration.

Inter-organizational Collaboration

As previously discussed, introducing the performance changes that are relevant and more likely to sustain after the project closure is a shared responsibility between the Donor and Recipient representatives who form the temporary multicultural inter-organizational team while being expected to operate in multi-disciplinary context with high level of risks and uncertainties.

How new teams evolve to strengthen their collaborative efforts while managing risks and stakeholders’ expectations and introducing change measures is what this section covers.

The team’s first task would be to jointly define the project’s rules and procedures that should be compatible with their organizations to allow for the smooth work starting by examining the proposed activities and align them with the local needs while accounting for the stakeholders’ expectations. Early success of such efforts will lead to higher chances for making a positive impact and ensure motivation and interest to continue working towards what Ika and Donnelly (2019) called deliverable success.

The inter-organizational collaboration starts with the formation and evolution of the team.

Team Evolution

This joint working going in parallel while the Donor and Recipient representatives are still at the stage of team formation and more focused on their self-orientation (Schein, 2004a, p. 70) before they can reach the state of “power [is] with others” (Eklund & Simpson, 2020, p. 16).

Schein’s (2004b) definition of the culture of a group is “a pattern of shared basic assumptions that was learned by a group as it solved its problems of external adaptation and internal integration” (p. 18). Comparing this definition to one he proposed earlier while he was discovering the field (1990, p. 111), it is the learning outcome that stands out which is clearly tagged by the pattern of the group’s assumptions while it becomes more about continuity and evolvment.

In that line, when considering the equality of both Donor and Recipient with each possessing a particular power and resource that is crucial for the group, the formation stage is critical because leadership is more of a shared responsibility. While the knowledgeable Donor has the control of funds, the local beneficiary possesses the information and understands better the local context and stakeholders. Therefore, the different elements of this journey to agree on how to deal with uncertainties (Golini & Landoni, 2014; Lazima & Coyle, 2019), manage expectations (Serrador & Turner, 2015; Davis, 2018), learn and share knowledge (Hughes, et al., 2020) in order to adapt to needs (Buell, et al., 2020) will have different weights for each actor in this group as it evolves.

This is also when these actors who are targeting a “social innovation” need to acknowledge that no one party “can cope with it on their own” and therefore “must decide to replace familiar approaches [and processes] with new ones” that will prompt the agreed changes (GIZ, 2015, p. 70).

Furthermore, with CB projects functioning in a multi-cultural environment where Donors in most cases are temporarily living in a new country to work alongside local Recipients to jointly introduce change, national culture is also an important factor. This is so because in such context, agreeing on the “point of reference” (Gardner, 2011a, p. 262) when defining the appropriate “problem solutions” that fits in the cultures represented in the team (Sternberg, 2020a, p. 682) is an important step.

“While much of the cultural literature focuses on cultural differences, unexpected cultural similarities could be equally important and interesting to examine.”
(Cooper, et al., 2020, p. 240)

For that, it is the hidden adaptive competencies within the culture that one needs to understand, (Sternberg, 2014, p. 210) and these include the knowledge, skills, and abilities for individuals to function successfully within the cultural context of a community, a village, or a country. Once these are no longer hidden, according to Sternberg (2014), then we can

better understand related implicit theories or the “folk conceptions” (p. 220) before we can constructively contribute in any way to any solution.

This highlights the importance of the communication (Davis, 2018; Hyvari, 2006; Hughes, et al., 2020), because the way “people with different backgrounds interact with each other, both verbally and nonverbally” (Hu & Fan, 2011, p. 556) and how each party interprets received messages is vital to the sought comprehension that will lead to the proper solutions.

According to Hofstede (2015), how we value our dependence on others, how we handle inequality, whether we accept or avoid uncertainty, and our perception of time are those dimensions that influence our communication styles (p. 5). For example, a society with large power distance tends to accept inequality and considers that everybody has her or his rightful place, and while communicating, people express “their respect for authority” and tend to believe particularly older people and those in power. At the opposite end, in small power distance, people “have a stronger need to find out for themselves” and tend to prioritize younger people. Moreover, cultures that avoid uncertainty avoid also humour and seek to hear “absolute truths” (pp. 11-12).

Beugelsdijk and Welzel (2018) in their attempt to improve the “understanding of cultural differences” (p. 1469) described the “dimensions of cross-cultural variation” (p. 1470) and questioned whether cultures are “extremely stable over time”(Hofstede, 2001, pp.34-36)” (p. 1475). However, Cooper and colleagues (2020) argue that one should not assume that “individuals within the same country automatically share” the same cultural values (p. 224) because there could be “discrete subgroups of people who are united by a set of common cultural values” (p. 241).

Consequently, the values and beliefs that the CB actors will bring with them to this new team will guide their interactions from the early stages of the project and affect how the team-relation will evolve to reach the stage where their collaboration can produce positive outcomes.

According to Bieckart et al. (2023), once the actors in CB can interact “based on respect and recognition of ‘otherness’” while considering knowledge as a “combination of the multiplicity of experiences” (p. 9), then they are more likely to reach the stage where they become more concerned with teamwork and achievements. For that, they need to support each other to move away from focusing on their feelings around “inclusion, identity, authority and intimacy” towards “mutual acceptance” (Schein, 2004a, pp. 70-82). This will require “explicit coordination” where members are openly discussing plans, clarifying responsibilities, and seeking needed information for the tasks on hand (Rico, et al., 2019, p. 73).

Such efforts focusing on building and strengthening the team can eventually lead to behaviours aiming for innovation (Freeman, et al., 2018) which is a “prerequisite for success” (Hogan & Coote, 2014, p. 1618) and becomes possible when the parties are confident that their counterparts “in the exchange relationship will not exploit its vulnerabilities”, thus highlighting “reliability, fairness, and goodwill” (Dyer & Chu, 2000, pp. 260-261) as well as trust.

Juceviciene and Jucevicius (2017) suggest that trust works on different levels (interpersonal, inter-organizational, institutional, societal), and its different types are “generalized, particularized, contract, competence, or identity-based trust” where this trust or “social glue” is responsible for making “the effective functioning of the social and economic environment possible” (p. 173). Furthermore, within a globalization context, where “new relationships are being formed all the time” between organizations, new challenges are emerging including those related to trust (MacDuffie, 2011, p. 37).

Hope-Hailey et al. (2012) emphasize that although trust is “a universal relationship present and vital in all societies” its meaning, drivers and implications cannot be seen as being universal since they have different weights in different cultures. They elaborate that building and maintaining trust relationships in work settings help minimize the need for “self-preservation” and therefore strengthen engagement in teamwork and cooperation across teams, facilitate information and knowledge sharing, increase efficiency, and reduce risks thus fostering a positive work climate (p. 12). Furthermore, trustees’ characteristics or the “drivers of trustworthiness (Dietz and Den Hartog 2006)”, which are useful when reflecting on own behaviours, are ability, benevolence, integrity, and predictability (pp. 15-16).

Dubey and colleagues (2019), building on theories from other disciplines, proposed, and tested their commitment-trust theory framework, within the humanitarian relief supply chain context, to define the relationship between information sharing, behavioural uncertainty reduction, swift trust, commitment and coordination (p. 163). This “so-called swift” trust relates to trust that actors will have to form quickly as they “hastily” build the supply chains because of the “unpredictable nature of the events” (p. 161). Their findings suggest that information sharing builds swift trust and reduces behavioural uncertainty which is in its turn greatly linked to swift trust. Furthermore, swift trust affects commitment which has a strong role in mediating between trust and coordination (p. 172). Their conclusions stress that it is information sharing that “helps build trust quickly” rather than trust being “a prerequisite for sharing information with counterparties” (p. 173). They also argue that although their framework does not consider learning from experience in similar contexts, but learning could be included in future research as a “potential factor in coordination” (p. 174).

Schiffing et al. (2020) examined swift trust and swift distrust in the humanitarian and relief operations where non-profit organizations, who may be competing for funds and media coverage, engage in a “coopetitive relationships” with several stakeholders to ensure quick action. They argue that swift distrust is as helpful as swift trust in such context and propose that both “should be understood as means of facilitating cooperation under conditions of uncertainty and interdependence” (p. 1465). Coopetition being when “collaboration with competitors” (p. 1450) is an opted strategy to improve performance and “achieve joint goals” (Dubey, et al., 2019, p. 159). Such coopetition can exist in CB context where Donor in one project needs to collaborate with implementer of another project in the same sector, or when two Recipient institutions may be impacted.

“Scholars posit that trust and distrust are both concerned with certainty; trust is concerned with expectations of what is hoped for and distrust about what is feared, and hence trust and distrust are not opposite ends of a continuum and exist simultaneously (Lewicki et al., 1998).”
(Schiffing, et al., 2020, p. 1453)

MacDuffie (2011) referred to distrust as “the prudent withholding of trust in situations where it is not yet proven” (pp. 39-40) while mistrust “refers to a situation in which expectations are negative based on past experience” (p. 39) triggering actions to avoid “opportunism” (p. 40). And, in interorganizational context, “trust may be repaired more quickly where it has a calculative basis than when it is noncalculative and based on identity”. The benefit from having a “general attitude” of distrust “motivates careful monitoring as relationships develop and evolve” (p. 40), while swift distrust touching on “perceived ability, perceived integrity and history”, helps deal with uncertainty and therefore motivates organizations to develop strategies that account for risks (Schiffing, et al., 2020, p. 1465) while engaged in coopetition or collaboration with their competitors, or coordination. Figure 2-5 portrays the conclusions from the preceding discussion regarding the eventual impact of culture and the team evolution on the process leading to being committed to jointly agree and achieve project objectives.

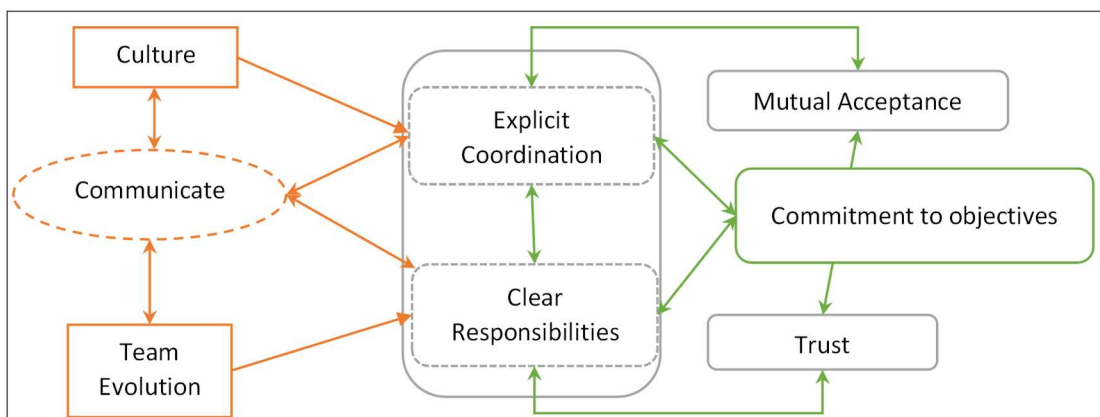


Figure 2-5 What can lead to commitment to objectives in an interorganizational multicultural team.

For CB context, the targeted efficient implementation will depend on the collaboration between Donor and Recipient to “observe for opportunities and risks” (Ika & Donnelly, 2019, p. 76). This includes adapting and aligning the project design, agreeing on the schedule and scope of the activities (AM) based on the stakeholders’ expectations that are being clarified together with uncertainties related to governing rules and regulations, data, and local resources. The collaboration, then, will be able to focus on individual outputs to ensure their impact and sustainability (Figure 2-6).

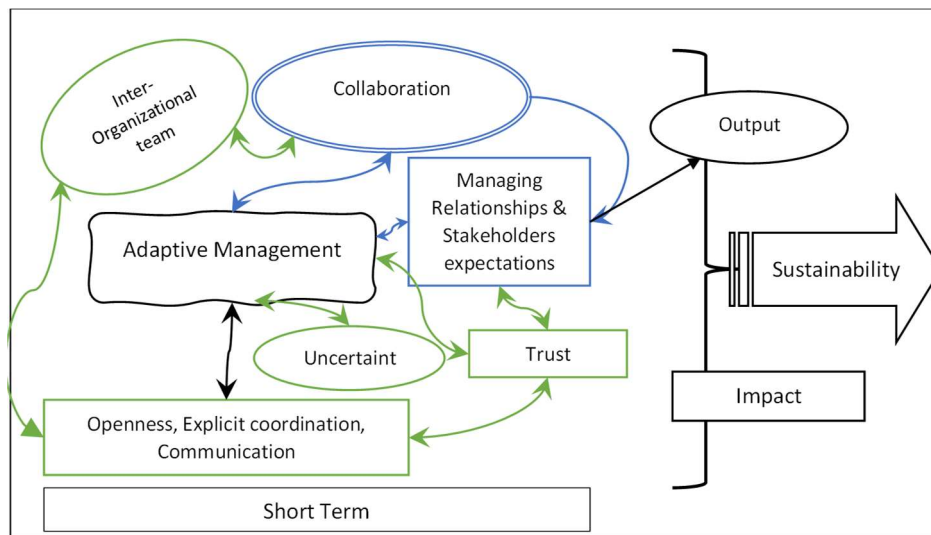


Figure 2-6 The Collaboration within Adaptive Management

Understanding collaboration within inter-organizational teams and what aspects will impact it is discussed next.

Collaboration

According to Castaner and Oliviera (2020), the distinction between the “trilogy of terms”- collaboration, coordination, and cooperation - remains vague. They further claim that:

“Gazley (2017) defines collaboration as involving coordinated activity, while Durugbo (2016) refers to collaboration, such as cooperation and coordination, as joint effort and collective action. Gulati et al. (2012) treat collaboration as an umbrella term for coordination and cooperation, but Kretschmer and Vanneste (2017) disagree.” (p. 971)

Kretschmer and Vanneste (2017) define cooperation, as “the alignment of incentives” in the sense of the willingness of the partners “to work together”, while coordination is “the alignment of actions” or when partners willing to cooperate “know how to do so” (p. 53). In other words, parties decide on goals that they can achieve together (cooperation), and they start working while still learning how to interact with each other (coordination). At the other end, coordination with new partners could be more susceptible to failure at the start of the new partnership when parties are in the process of learning how to work together which starts at the team formation stage (Schein, 2004a).

Castaner and Oliveira (2020) examined the literature dealing with Interorganizational Relationships (IORs) where collaboration, coordination and cooperation are “touted ...as practices for successful IORs” (p. 966) where the meaning of each tends to “converge” (p. 971). Their “systematic analysis” of the definitions led to the identification of interactional (attitude, behaviour and outcome) and discriminating (temporal stage -decision/deliberation and implementation- and the type of goals) (pp. 972-988). *Table 2-7* shows the interactional dimensions for the described stages.

	Coordination	Cooperation	Collaboration
Attitudes	<i>Inclined</i> to identify a common need & goal.	<i>Willingness</i> to work towards the agreed common goal.	<i>Willingness</i> to voluntarily help partner to achieve a common or their private goal.
Behaviours	<i>Prepare, deliberate & negotiate</i> to define (redefine) common goals.	<i>Action</i> to achieve together envisioned goal.	<i>Help partner</i> to achieve common goals or one or more private goals.
Outcomes	<i>Agreement</i> (or not) on common goals.	Degree to which an agreed-on common goal is <i>attained</i> .	Degree to which a common/private goal is <i>achieved</i> . Also includes <i>consequences</i> (self-satisfaction, indebtedness, good reputation)

Table 2-7 Author’s grouping of the interactional dimensions of Coordination, Cooperation and Collaboration as described by Castaner & Oliveira (2020, pp. 984-987).

On the practical side, such details are useful especially in the context of IOR, and CB, as they help to identify the tasks involved towards the desired objectives, and to understand the factors that will affect (positively or negatively) the interaction with the counterparts.

For example, looking at what could cause failure can suggest ways to avoid such consequence. Kretschmer and Vanneste (2017) discuss the root causes of cooperation and coordination failures - which will impact the success/failure of any collaboration - being “self-interest or opportunism” and “bounded rationality”. Cooperation tends to fail when interests of partners diverge or when one partner is only focusing on own interest at any expense. As for collaboration and when actions of one partner depend on those of the other partner which will eventually affect the outcome, as in the case of CB, understanding how the counterpart may act makes it possible to “fully anticipate what the other partner will do next”. However, these failures of cooperation and coordination being related and “conceptually distinct”, can be misinterpreted and misclassified which would cause any attempt to correct related efforts and future actions to fail too (pp. 57-58). This further stresses on the value of trust and ability to communicate and interact with counterparts with different national and organizational cultures as discussed above.

The next section explores different aspects related to risks that actors in this collaboration should observe and account for.

Managing Risk

Li (2009) explored the “unique” risks in overseas development projects that are not necessarily the same in all countries. These are political, economic, and cultural. The political, which are difficult to predict, could be related to changing policies and laws, or change of political leadership during the life of the projects. Reducing the impact of such risks can be done through carefully choosing the project location, aiming for a short project life, and building good relations with the local government. The economic conditions of the host country can include inflation, currency exchange rate fluctuation and can be affected by the political conditions and stability. And those risks related to culture can be avoided when managers are “fluid in cross-cultural management” as they can then ensure good communication with the team and “win local population’s trust” (p. 194) as previously discussed.

Enyinda (2017), while focusing on international projects in emerging economies, highlights the changing requirement of the project work as another internal source of risk (p. 772) which could be intensified by the constant adaptation and alignment when applied. The external ones include the country-specific political, economic, social, and external stakeholders that may impact the project positively or negatively. Ensuring the highest project performance requires systematic risk management as it will help reduce “surprise events”, minimize negative impact and “maximize the results of positive events”. What contributes to effective risk analysis leading to sound predictions of events includes “real-time availability of information” during the different stages of the project, effective risk communications, and monitoring project objectives (p. 778) .

For IDP, according to Rodriguez-Rivero and Ortiz-Marcos (2022), the project’s internal sources of uncertainties and risks can be the people involved in the project and their unpredictable behaviours which some consider “the greatest source of uncertainty” throughout the life of the project.

While these can be relevant to any type of project, the culture-related ones are especially relevant for IDP. However, the external risks of IDP can be triggered by the environment of the recipient country, which is in most cases a developing one, therefore eventual risks and uncertainties are greater.

Consequently, the project needs to “adapt the initial planning to deal with unforeseen events” (Rodriguez-Rivero & Ortiz-Marcos, 2022, p. 3). They refer to the logical framework approach (LFA) that is mostly used by IDP as a methodology of planning by objectives that depends on the findings from the analysis of the problem leading to a solution or an objective that can be reached through the implementation of some activities.

In that line, they propose to introduce a risk analysis at every step of the LFA. For instance, the stakeholder analysis (first step in LFA) when the project is looking to identify parties that can be benefiting, harmed, or excluded, they propose to look deeper to understand their characteristics, cultural-related issues and who can play which role, for example the agent of change or the powerful influencer or blocker. For the problem and the solution (second and third steps) which follow a participatory process with the benefiting community, the authors argue that the project team can identify eventual risks by observing how the participants are behaving and making decisions. And while analysing alternatives (fourth step), adding risk criteria ensures that activities have accounted for them.

In conclusion, understanding the counterparts to agree on what needs to be done and to anticipate what they are prepared to do highlights the importance of the willingness to be open to share expectations or that explicit coordination (Rico, et al., 2019) where plans and roles are openly discussed. In CB context, this exchange of information will help improve the risk analysis, clarify uncertainty, allow for better understanding of what could and needs to be done. This is not limited to the counterparts in the team (Donor and Recipient) but also includes other impacted actors in the community – stakeholders- to ensure their “buy-in” (Ika & Donnelly, 2019) and commitment which is discussed next.

Stakeholders' Expectations

The multi-stakeholder commitment depends on the effective consultation with stakeholders that Bayiley and Teklu (2016) identify as SF and that Khang and Moe (2008) highlight its importance during three project phases, because it will increase the likelihood of stakeholder ownership (Ika & Donnelly, 2019).

In IDP, the direct stakeholders are the benefiting communities and the actors involved in these projects and their staff. However, different activities may affect different direct and indirect stakeholders in the community or its surroundings as well as other institutions or government bodies. This multitude of stakeholders adds more challenges and therefore deserves deeper understanding especially when their involvement is “both a means and an end” (Magassouba, et al., 2019, p. 1113). Such involvement will make possible the identification of problems and their solutions during the project’s life through the process of cooperation and collaboration (means) to reach success where stakeholders are satisfied (end).

Looking at how stakeholders are approached first in the PM literature is followed by IDP related studies.

Freeman et al. (2018) dedicate a book to explore Stakeholder Theory which is based on seven core concepts of stakeholder management elaborated below and sketched in *Figure 2-7*:

- 1- Managerial focus is about managing and crafting win-win relationships (p. 3)
- 2- Moral foundation is at the base of stakeholder management and includes having respect for their basic rights, integrity, fairness, honesty, loyalty and freedom of choice (p. 3)
- 3- The strategy depends on the purpose, values, culture, social responsibility, and the leadership's ethics (pp. 3-5)
- 4- The value created by the business covers both economic and noneconomic aspects (pp. 5-6)
- 5- Reciprocity means that stakeholders "who are treated well" will tend to have a reciprocal behaviour (pp. 6-7)
- 6- Reputation gained from the way stakeholders are being treated and when good, makes the firm more attractive (p. 7)
- 7- Stakeholder interests converge over time which calls for the focus on "win-win-win-win-win decisions" where managers try to make decisions that will incur benefits on a greater number of stakeholders (pp. 7-9).

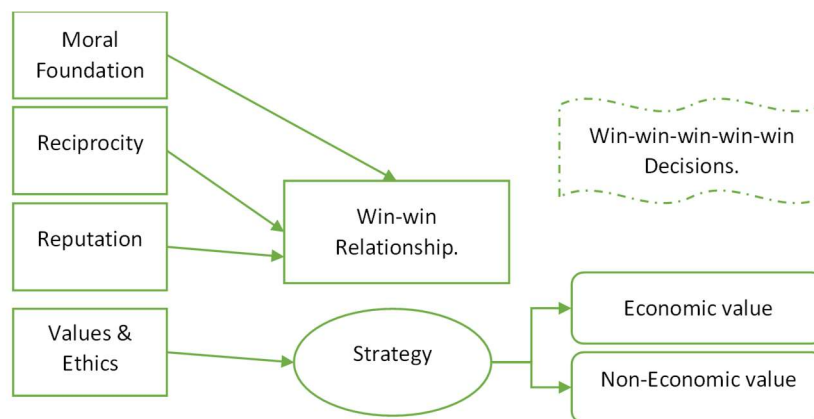


Figure 2-7 The Core concepts of Stakeholder Management (Freeman, et al., 2018)

The authors further claim that adopting a stakeholder perspective is beneficial as it enables management to reach "four crucial and highly interconnected activities" (p. 10) which are:

- 1- Creating value for stakeholders, and society as a whole, becomes possible when the world is looked at "through the eyes of" different stakeholders (p. 10)
- 2- Innovation, crucial for "the value creation domain", is possible when actions are aligned with the knowledge of most important internal and external stakeholders (p. 11)
- 3- Operating in a global environment involves dealing with "an increasing number of diverse and often interdependent stakeholders", which requires a more inclusive approach (p. 12)
- 4- Business decisions and ethics are not independent and thinking differently is simply a "fallacy" (p. 14)

Davis (2018) highlights the importance of accountability when multiple stakeholders are involved in a project. To ensure this, defining roles and responsibilities of each group will act as a "mechanism to track progress at any project stage" and facilitate agreement on the success parameters (p. 41). Although such consultation with the different stakeholders through "collation and negotiation" may be time consuming and "dilutes strong leadership" but it is justified for the "increased likelihood of success" (p. 44). And when a project considers stakeholders' views and expectations in its plans, it not

only reduces uncertainty around the differing interpretations but also enhances motivation and “ultimately [enables] successful project delivery” (p. 45).

Davis’ (2018) trial multiple stakeholder model helps to “identify and manage expectations and monitor the possible changing priorities of different stakeholders of success dimensions throughout the project” (p. 41). The stakeholders, as she describes them, are those that are involved in varying ways during the project’s life. Within her proposed model, a two-way communication takes place to “explore” stakeholder’s feelings and views that are collated and negotiated by the project manager. This will result in clear Key performance indicators (KPI) which will guide the project towards its success (pp. 44-45).

From another perspective, Kier et al. (2023) argue that recognizing that stakeholders (internal or external) are “of equal importance and have the right to equal treatment independent from any assessment of their potential” leads to “managing for” them rather than considering them only “providers of resources” that should be managed, which arguably agrees with the inclusiveness while collaborating that Freeman et al. (2018) flagged. And it is this attitude that will make way to co-creating value with them (Kier, et al., 2023, p. 2). This also suggests the integrative attitude that Follett flagged as vital while simultaneously designing and implementing projects (Eklund & Simpson, 2020) which is also what AM calls for.

When examining “*who* deserves attention and how”, Freeman et al. (2018) argue that all stakeholders deserve attention because they all have a “*valid* interest” in the activities of the firm (p. 15), which also applies to CB. Identifying these groups and understanding the stakes that each group has in the planned activity is important to define their role in the work process whether it is a task (CB team), a benefit (direct community), or an influence such as a regulatory or political power (regulators and politicians). This will allow the CB team to include them when appropriate in the consultation plan.

How the literature views stakeholders related issues within the context of CB is next.

Establishing this stakeholder commitment will require both CB actors to facilitate dialogue between themselves and with stakeholders in the community because, according to Datta et al. (2012) it will “enhance their shared vision, purpose and direction”, clarify how they can contribute, improve their decision making ability, “thus releasing the energy to perform” (p. 4). Consequently, CB actors need to adopt “intensive methods of dialogue, brokering, facilitation and mediation” (p. 5) in order for them to “learn together with stakeholders” about the impact of the interventions and how to adjust along the way (p. 14).

Such dialogue, as Julian (2016) claims, will need to consider “the individual mental models; the organisational systems within which they work; the nature of the relationships between them; and the methods used for collecting and reporting results” to understand how the competing stakeholders’ interests are being influenced. For example, the mental models, or the lens used to view the information based on the individual’s approach to project planning and implementing, could be either trusting that data can be collected objectively (“frameworkers”), or seeing that “indicators and evaluation” can be subjective therefore the focus should be on “processes rather than outcomes” (“circlers”) (p. 513).

Furthermore, when CB actors are transparent with stakeholders in the benefiting communities and involving them during the different phases of the project, they are more likely to commit and support the accurate prioritization of activities (Yalegama, et al., 2016, p. 654) and therefore meet the Relevance criteria.

However, as stakeholders may still change their mind over time (Ika & Pinto, 2022), CB should constantly create “spaces for interaction; mediate tension;[and] facilitate partnerships”, plan “incrementally”, and monitor and continue to “observe for opportunities and risks” (Ika & Donnelly, 2019).

Looking at CB as driving the “process of change” (Bloomfield, et al., 2018) calls for a deeper understanding of how “to frame more clearly what concrete outcomes” or the needed developmental change - including the input, activities and outputs (Serrat, 2017) - towards SDGs. Envisioning and managing change that can be sustainable is discussed next.

Change

The Theory of Change (ToC) is “project-specific and related to evaluation” that requires project implementers to make “their implicit assumptions explicit” so that evaluators can make the clear link between the intervention and its outcomes (Reinholz & Andrews, 2020). Such purposeful model clarifies the project rationale and supports the different stages of the project (planning, implementation, and evaluation) (Serrat, 2017). It is also informed by change theories (discussed next) that focus on how to make change happen (Reinholz & Andrews, 2020).

Managing change is concerned with the people side of change (Teczke, et al., 2017) and accounting for all stakeholders that could be impacted either directly or indirectly.

The first focus of CB actors is on defining what change is needed before enabling the concerned to “successfully adopt and proficiently use” new tools and systems which could also require new behaviours (Creasey, et al., 2015, pp. 331-333).

In an interorganizational project that involves external stakeholders while a change is being introduced, Lehtinen and Asltonen (2020) stress on their importance when project impact may touch on a larger community, as these external stakeholders can contribute with ideas. They can also, together with internal stakeholders, “expose” change measures that are not necessarily fitting (Warrick, 2023, p. 438). So, instead of abandoning resistance to change, its reconstruction “as a dynamic among three elements” is more appropriate.

These are: 1) actions of stakeholders, 2) sense making by the project team, and 3) agent-recipient relationship (Ford, et al., 2008, pp. 370-373). It is this approach that “fosters two-way learning” between Donor and Recipient including stakeholders that can promote sustainable development (Mog, 2006, p. 541).

According to Scheepers et al. (2022), managing change, instead of implementing it, makes it possible to “balance the competing priorities, allowing the stakeholders to develop local solutions that still meet the global interests”. Furthermore, staying on the lookout for potential resistance, “developing a vision that all stakeholders could identify with”, and strengthening the link between the “project activities to the overall strategy” at the different project phases are important factors to consider (p. 479).

Teczke et al. (2017) describe their practical oriented five steps change model. Starting with the awareness of the need to change that will create the desire and willingness to change. Knowing how the change should be will precede the identification of what could prevent the targeted change from taking place and what support is needed for introducing and reinforcing the change (pp. 204-205).

They further point to several change models that highlight the need for a vision. These are:

- 1- Hussey’s EASIER model: Creating a vision (p. 205)
- 2- Pendlebury, Grouard and Meston 1998 - Ten Key Factors Model: defining the vision (p. 203)
- 3- Kanter et al. 1992 – Ten Commandments: create a shared vision (p. 202)

Hamlin (2001) elaborates on Hussey’s approach: **Envisioning, Activating, Supporting, Implementation, Ensuring and Recognizing** (p. 20).

This model is visualized as a process (Figure 2-8) related to a vision for the future (stage 1), engaging the people concerned to “share the vision” (stage 2), supporting them to play their roles towards the objectives (stage 3), the strategic planning (stage 4) towards the targeted change, the monitoring to

ensure staying on the set path (stage 5), and providing necessary feedback to the organization's members (stage 6) when needed.

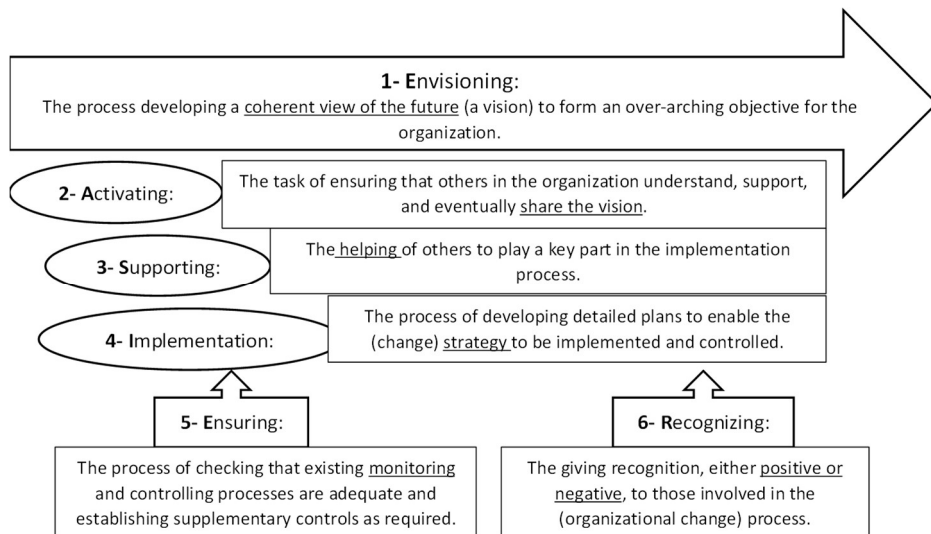


Figure 2-8 Author's visualization of the 'EASIER' model of "Hussey (1996)" as described by (Hamlin, 2001, p. 20)

From another perspective, envisioning social change through utopian thinking, that considers the common good and aims for a better society, helps "project a path towards which we can strive" (Badaan, et al., 2022). Badaan et al. (2020) propose a theoretical model about "social psychological mechanisms by which utopian thinking, which activates the social imagination, may enhance collective action intentions towards social change and human progress" (p. 1).

The model focuses on two routes: the affective (hope- future oriented) and the cognitive-motivational (mental abstraction to reduce psychological distance between 'here and now', and an ideal state of society).

Hope will trigger the intentions for collective action, while the mental abstraction will enable analysis of alternatives to choose the ideal social state that one would like to work towards (Figure 2-9).

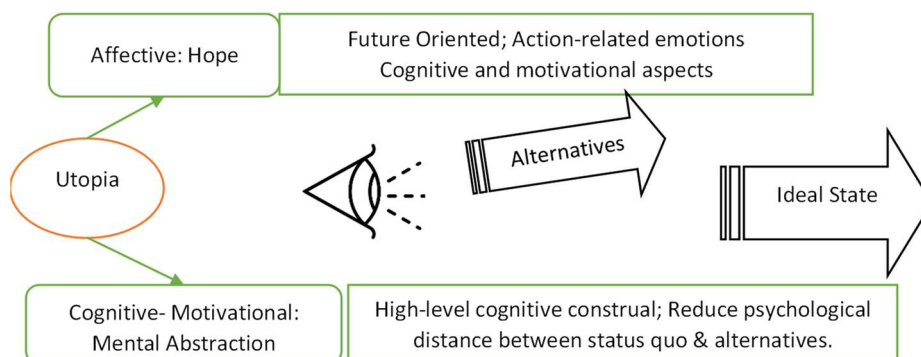


Figure 2-9 Author's visualization of the Theoretical Model of Utopian Thinking (Badaan, et al., 2020)

It is about envisioning how the SDGs, or the ideal state, can be broken down to smaller steps (project outcomes) and "dedicated inputs, activities and outputs" (Serrat, 2017, p. 238). This process calls for

having a vision (Leeds & Palaia, 2022; Datta, et al., 2012; Castaner & Oliveira, 2020), and for a detailed analysis to determine gaps for meeting SDG targets to identify where new outcomes need to be achieved and eventually new projects and new funding requirements (local or international) (Akenroye, et al., 2018).

Social change, according to Serrat (2017), reflected for example in institutions or relations, is “brought about by modified thought processes”. This is a complex process as it means that individuals and communities will need to “abandon customs and associated leading ideas, [and] values” and eventually act differently in order to “augment well-being and better the quality of life” (pp. 237-238). In the context of Development aid (CB projects), Serrat (2017) argues that the theories of change (ToC) are useful to test and validate the assumptions, rationales and how the projects plan (means) to reach the outcomes (ends). The author further claims that:

“Marrying visioning, planning, and evaluation perspectives, leveraging also concepts of logic models, the Theory of Change method is an outcomes-based, participatory approach that applies critical thinking to the design, implementation, and evaluation of an initiative, e.g., a policy, a strategy, a program, or a project, planned to foster emergent, projectable, or transformative change.” (p. 239)

Furthermore, the assumptions should be clearly articulated as they relate to causality, implementation and external factors and will justify the decisions related to the choice of interventions, their time span, their results, the beneficiaries, and the gap that is impacting one or more stakeholder in the external context and therefore would need to be remedied in the long run.

According to Harries et al. (2014), the benefits of ToC include improving strategies, measurement (evaluation), communication as it brings the process of change to the forefront, and clarifying roles and responsibilities to establish consistency around outcomes therefore improving working in interorganizational partnerships (p. 6). For Serrat (2017), the advantages of ToC approach include strengthening the focus, clarity and effectiveness, designing strong plans of actions, building a fruitful framework for monitoring and evaluation, and empowering people to be more involved in a multistakeholder and collaborative experiential learning exercise (p. 242).

The process, as Harries et al. (2014) describe, starts with the final goal or what can also be called “‘final outcome’, ‘long-term goal’ and ‘vision’”. Defining the intermediate outcomes, being the steps towards the final goal, and their activities or interventions that will make the change happen, follows. Once these are thought of, then enablers or those conditions and factors that need to be in place for the plan to work are analysed. While internal enablers are mostly within the control of the implementer, the external enablers (the project context) touch on other involved organizations, social, cultural, political, and economic factors. Through the ToC process, one should document the knowledge of

what works in such context and the evidence supporting the assumptions behind the various decisions for example the relation between outcomes (pp. 7-10).

To conclude, ToC process depends on a participatory approach and critical thinking to test and validate assumptions that will enable the planning and evaluation of the outputs of agreed activities towards the envisioned social change (*Figure 2-10*).

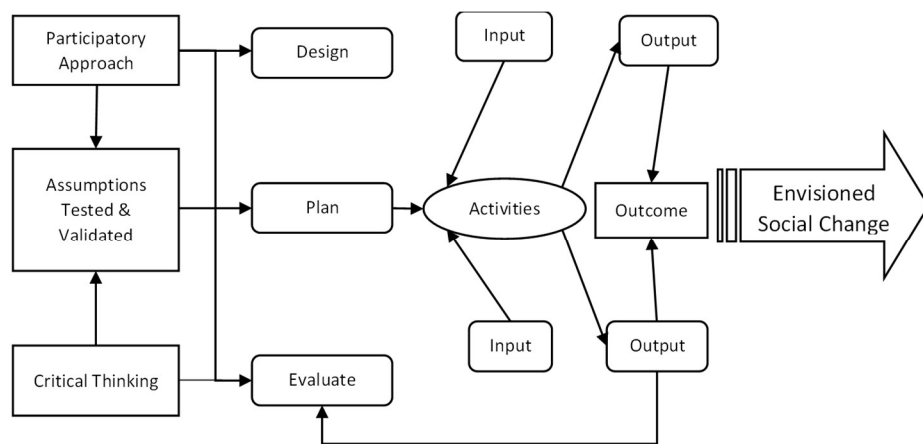


Figure 2-10 Author's visualization of the Theory of Change process towards the envisioned social change.

The Conceptual Framework

This Chapter explores the concepts dealing with CB projects starting with the SDGs that are the long-term objectives, the characteristics, and the environment of these projects, as well as the related success factors and criteria. The joint-working towards sustainable development that this study is focusing on takes place in a multicultural and inter-organizational context.

An adaptive and participatory approach that is necessary in such context depends in the first instance on an authorizing environment (Teskey & Tyrrel, 2021). This will translate into policies, procedures and project rules that allow for the needed flexibility in design and implementation and also to experiment (Martin, et al., 2020) and learn (Mog, 2006) around risks and uncertainties (Rodriguez-Rivero & Ortiz-Marcos, 2022) where success as well as failures can be valuable (Teskey & Tyrrel, 2021). This collaboration then can focus on strengthening stakeholders and CB actors' ownership and commitment (Khang & Moe, 2008; Bayiley & Teklu, 2016) towards the set outputs (Castaner & Oliveira, 2020) leading to the sustainable change.

In conclusion, CB actors start their engagement (Buell, et al., 2020) by jointly envisioning the change (Hamlin, 2001; Teczke, et al., 2017; Harries, et al., 2014), defining a "proposal of activities" (Lazima & Coyle, 2019), implementing the plans, adapting and aligning activities to the changing requirements until the team is satisfied that the common goal is achieved (Castaner & Oliveira, 2020).

Figure 2-11 shows the main concepts that are discussed in this Chapter related to the joint-working which will be impacted by a set of competencies that CB actors will bring with them.

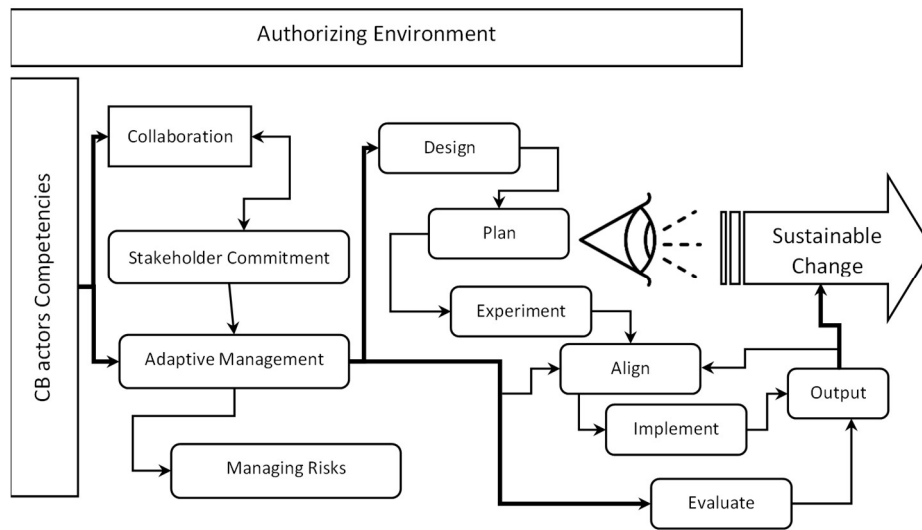


Figure 2-11 The conceptual Framework for this study.

These competencies are not limited to knowledge and skills but also include values (Beugelsdijk & Welzel, 2018), beliefs (Whyte & Lamberton, 2020), willingness to abandon customs (Serrat, 2017), and many others.

The next Chapter clarifies definitions of competencies and intelligences, and how related frameworks are developed followed by the existing frameworks that major Donor organizations are adopting for their own staff and what one study proposes for Adaptive Management.

3- Competency

As the discussion in Chapter Two reveals, adopting a flexible approach while envisioning the “developmental change” (Ika & Donnelly, 2019) involves navigating around risks and uncertainties related to the local context and the stakeholders’ needs, while seeking to understand how the different local aspects can support or slow the path towards the set goals. Such endeavour starts by communicating with the concerned people in the team and the targeted communities to strengthen relations that will facilitate learning about emergent needs and the changing local environment throughout the life of the project as this is a mean to enable adaptation of CB activities and maintain their relevance.

In that context, the success of this journey would depend on what the different authors describe to be the personality and skills (Chasanah, et al., 2023) of the CB actors, their competencies (Khang & Moe, 2008), cross-cultural management skill (Li, 2009), abilities (Ika & Donnelly, 2019), capacity (Ika & Donnelly, 2017), motivation (Bayiley & Teklu, 2016), beliefs and values (Hofstede, 2015), attitude (Eklund & Simpson, 2020), experience (Lazima & Coyle, 2019) , and behaviours (Freeman, et al., 2018).

With the purpose of this study being to identify what will enable such success, understanding the related concepts is what this Chapter is aiming for, starting with how competency is defined to clarify the targeted intelligence competencies. The second part of this Chapter discusses the development process of competency frameworks before presenting eight existing frameworks that some organizations active in the field are adopting.

What is Competency?

Many authors claim that there is not one agreed definition for competency (Hoffmann, 1999; Jubb & Robotham, 1997; Winterton, 2009; Boon & van der Klink, 2002). This term has been used interchangeably with the term competence (Delamare-Le Deist & Winterton, 2005), and with “skills, ability, and literacies” (Child & Shaw, 2020, p. 1145), and in its plural form (Brown, 1993; Moore, et al., 2002). However, the importance of competence would certainly mark the importance of its meaning to be able to apply it in practice (Delamare-Le Deist & Winterton, 2005). The next section’s purpose is to clarify the approach used for this study by examining the related literature.

The 1970s opened the doors to new approaches to deal with competencies (Boyatzis, 2009, p. 749) when McClelland (1973) proposed an alternative approach to intelligence tests (IQ), which he called test for competence (pp. 2-7). And this is believed to have been the first step towards a new technique – that has been later tagged under the “concept of competency-based human resources” – and which

has evolved to become a common practice by large organizations and consulting firms (Boyatzis, 2009, p. 750) in spite of the lack of evidence that competency testing “can match the known strengths and validity” of cognitive ability tests (Barrett & Depinet, 1991, p. 1021).

Moore et al. (2002) argue that Woodruff (1991) distinguishes between the two terms (competency and competence) and links each to a different factor. Competence refers to the “area of work at which the person is competent, the so-called “area of competence”” which follows the required standards for the job. However, the person-related competency is linked to the “behaviour lying behind competent performance “ (p. 315). In that line, they propose three interconnected layers: competence being the area of work (related to output) which is supported by competency or the behaviour(s) while the competencies are the attributes underpinning a behaviour (p. 316).

Spencer & Spencer (1993) in their book *Competence at Work*, dedicated a full chapter to define competency with clear components and limits. They base their elaboration on Guion’s (1991) definition that describes competencies as those underlying characteristics that indicate “ways of behaving or thinking, generalizing across situations, and enduring for a reasonably long period of time” (p. 335). In that line, Spencer & Spencer (1993) propose five characteristics that can qualify as a competency when they predict “something meaningful in the real world”. These are motives, traits, self-concept, knowledge, and mental cognitive skills (pp. 9-15).

Their reasoning behind this, as shown in Figure 3-1, is that the intent to act or behave using a specific skill to deliver a desired outcome or a specific job performance is the result of the existing motives, traits, self-concept, and the knowledge that the person possesses. As to the link to McClelland et al.’s achievement motivation (1953), people with high achievement motivation may be competing with standards of excellence as they would set high goals, assume responsibility for their actions and use feedback to ensure continuous improvements. The desire to have a unique accomplishment would lead to innovating new ideas to do things differently.

These underlying characteristics (motives, traits, and self-concepts) being hidden could be linked to Sternberg’s (2014) claim that individuals have hidden adaptive competencies that enable them to function successfully within their cultural context. Those non-observable elements which are more difficult to develop, yet control surface behaviours can be more critical for complex roles such as managerial ones (Garavan & McGuire, 2001).

Hoffman (1999) argues that the different definitions of competency reflect different points of view depending on the stakeholder’s agenda. Winterton (2009) suggests that language and cultural differences have some impact on the related approaches, while Glaesser (2019) argue that the

popularity of the term competence across different domains leads to its being used differently and in some cases with conflicting intentions (p. 70).

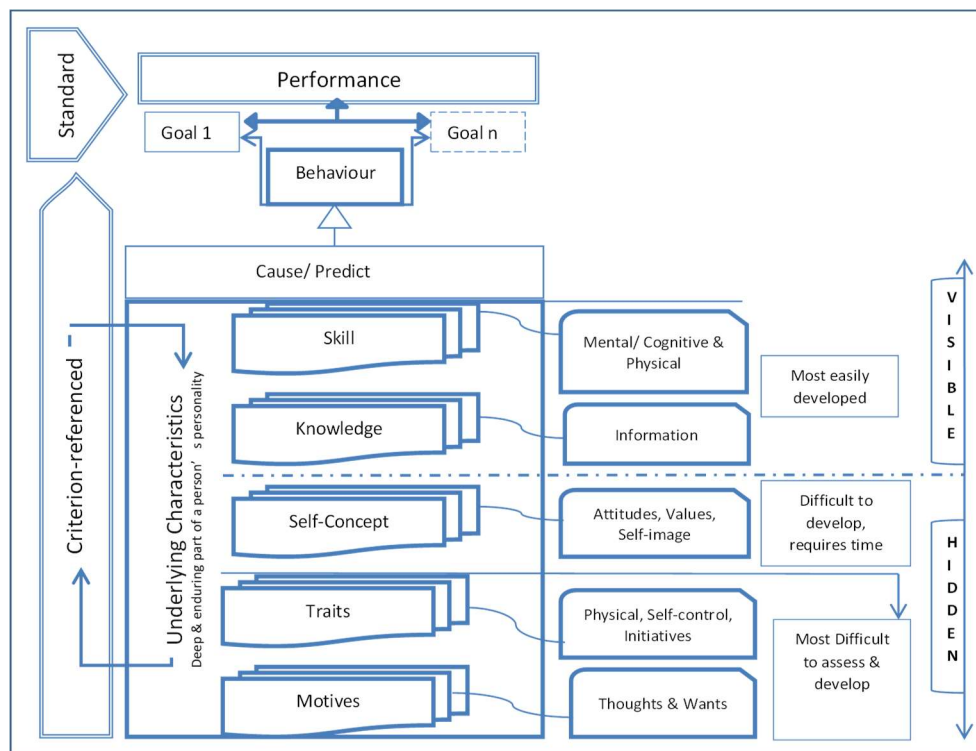


Figure 3-1 Author's visualization of the definition of Competency with its components and limits as elaborated in 'Competence at Work' (Spencer & Spencer, 1993, pp. 9-15)

Furthermore, competency (competencies) means "characteristics ... associated with superior performance", while competence (competences) "is most often used to describe what a person needs to know and be able to do in order to undertake the tasks associated with a particular occupation" (Winterton, 2009, p. 684), or a skill-focused approach versus an outcome-focused approach which adopts generic standards of performance (Mitchell & Boak, 2009). The skills approach, or what is also referred to as an input-approach (Winterton, 2009) covers the personal attributes that the individual "brings to the job situation" (Boyatzis, 1982, p. 12).

This approach is more popular in the United States in comparison with Europe (Winterton, 2009). However, in the UK, they tend to view the job independently from the jobholder and therefore use functionalist approaches (Cheng, et al., 2005, pp. 381-382). In fact, the UK National Occupational Standards (NOS) which define the standards of performance that individuals "must achieve when carrying out functions in the workplace" is based on a detailed analysis of the functions to be carried out leading to the key purpose of the area of work (GOV.UK, 2011, p. 8).

Delamare-Le Deist and Winterton (2005) review and analyse the American, British, French, and German approaches to competence while aiming to draw a global typology of competence. The American highlights the importance of the individual and behavioural factors, the British gives higher

value to the occupational standards and how to apply them to the workplace, while the French and the German suggest the potential for a multi-dimensional and analytical concept of competence. The authors argue for a holistic typology that accounts for two categories of competences (conceptual and operational) that are needed for the job and for being effective individuals.

As can be seen in Figure 3-2, the occupation requires the cognitive (conceptual: knowledge and understanding) as well as the functional (operational: skills) competence.

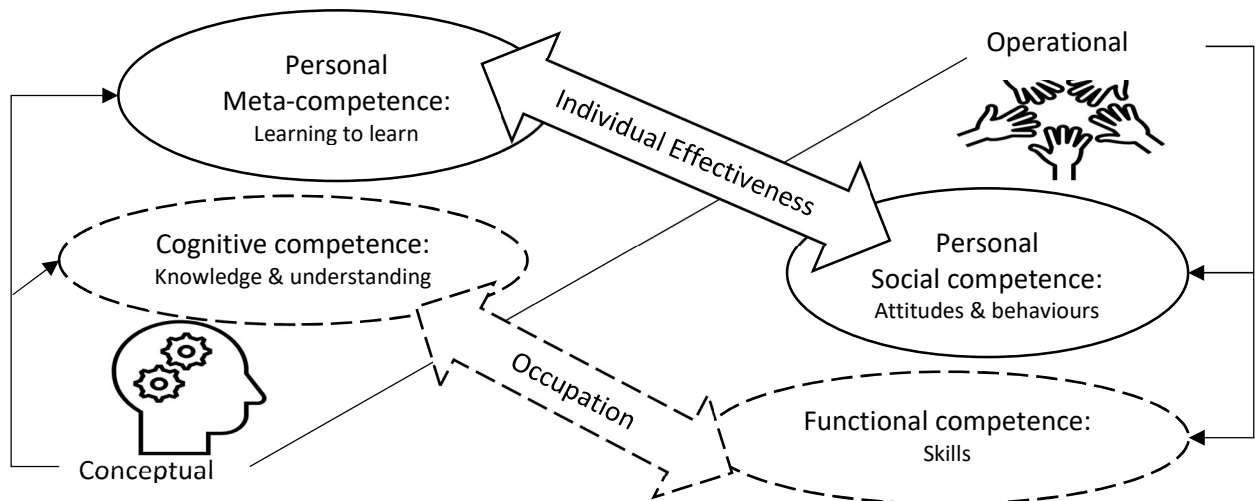


Figure 3-2 Author's visualization of unified typology of KSCs (Winterton, et al., 2006; Delamare-Le Deist & Winterton, 2005)

The individual effectiveness depends on two personal competences (learning to learn, and social), one being conceptual and the other operational. They relate the cognitive, functional, and social competences to the known KSA (knowledge, skills, and attitudes) and the French approach, with knowledge and understanding being captured by the cognitive, while the skills are built by the functional. However, the social competence relates to the behaviours and attitudes. A fourth element, the meta-competence, is mainly facilitating the acquisition of the other three that are substantive (p. 39).

This meta-competence, according to Winterton et al. (2006), is “concerned with an individual’s knowledge of their own intellectual strengths and weaknesses, how to apply skills and knowledge, and how to acquire missing competences (Nelson and Narens, 1990)” and it mostly relates to the “processes of learning and reflection” that are prerequisites to personal development (pp. 33-34).

According to Boyatzis (1982) to assess an individual’s performance, one must understand and measure several factors at the same time. His comprehensive definition of effective job performance is “the attainment of specific results (i.e. outcomes) required by the job through specific actions while maintaining or being consistent with policies, procedures, and conditions of the organizational

environment". This environment going beyond the internal resources, culture, mission, and strategy as it also "translates the external environment [such as social, political, economic and industry conditions] to its members". Therefore, effective action or behaviour and performance will occur when all three critical components are fit. These are the individual's competencies (what one can do and why one acts in certain ways), the job's demands (what is expected), and the organizational environment (how to respond to job demands). When one or two of these do not interact with each other, then either no action or inappropriate action is taken leading to ineffective behaviour (pp. 11-16).

However, looking at competencies as behaviours is viewed as being less objective making the use of "an objectively measurable threshold level of performance" not an easy task. While defining competencies as skills helps to assess if a person reached a "pre-determined threshold level" related to a specific job performance, the behavioural approach enables competitive differentiation by confirming a person's aptitude when the behavioural competencies, defined with much precaution, are required (Soderquist, et al., 2010, pp. 331-332).

Boyatzis and Saatscioglu's (2008) argue that the "three domains of capability or talent" include knowledge or *what a person can do*, competencies or *how a person can do it* and motivational drivers meaning *why a person feels the need to do it* (i.e. values, motives, and unconscious dispositions) (p. 94).

On another front, the International Labour Organization (ILO, 2009) uses the terms Competency standards, competencies, competency units, unit standards and units of competency "interchangeably to describe knowledge, skills and attitudes that a person needs in order to carry out a particular job or activity and at the level of performance required" (p. 2).

According to Child and Shaw (2020), the OECD, defines competency as "more than just knowledge and skills. It involves the ability to meet complex demands, by drawing on and mobilising psychosocial resources (including skills and attributes in a particular context)" ((OECD, 2005, p. 4) cited in Child and Shaw, 2020, p.1146). The authors further argue that the different existing definitions suggest that competency has three main attributes, 1) it is the "synthesis of several component parts...used in combination", 2) it is dependent on the context, and 3) it is influenced by a common set of values which includes beliefs (how one feels about what is true) and attitudes or how one expresses their beliefs and values (pp. 1146-1147).

After more than thirty five years since McClelland's accused psychologists of wrongly using intelligence tests, many seem to continue defending the *general intelligence* (IQ) that was introduced

by Spearman (1904); maybe because they think they can measure it and therefore confirm its existence (Gardner, 2011b). While some seem to be arguing against it and stressing the need to move beyond it, others relate to it as one part of the formula and may link it to “the rate at which people learn” and tag it fluid intelligence (Heckman & Kautz, 2013, p. 9).

Taking a different approach, Boyatzis (2008) links competency to both action and intent and how the individual talent fits with the job demands (responsibilities and tasks) and environment (i.e. culture, systems, strategic positioning, surrounding environment). The talent is “described by [the individual’s] values, vision, and personal philosophy; knowledge; competencies; life and career stage; interests; and style” (p. 6). He elaborates that research during the last 30 years suggest that outstanding performers in different fields “appear to require three clusters of... threshold abilities and three clusters of competencies” (p. 7) that include intelligence as summarized in *Figure 3-3*.

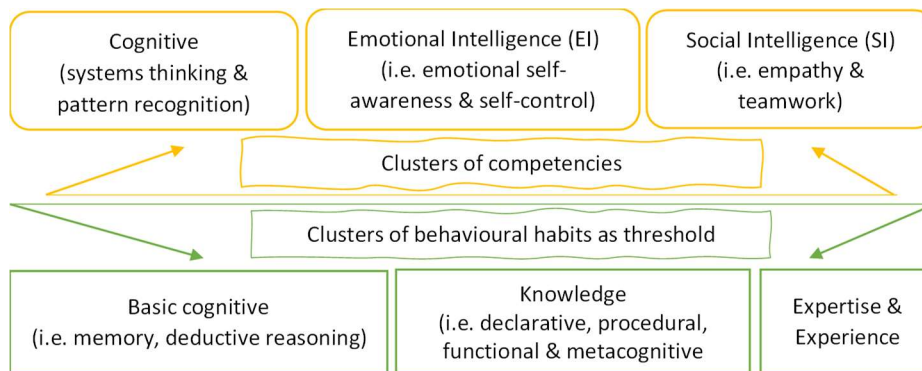


Figure 3-3 Author's visualisation of the clusters of threshold abilities and of competencies (Boyatzis, 2008, p. 7)

Intelligence most recently has been considered a field of its own (Sternberg, 2000, p. 9; Mayer, et al., 2011, p. 530; Sternberg, 2020b) and sometimes replacing the term competency or describing the same. This may be interpreted as a new beginning of yet another trend - The Intelligence movement - that might replace the competence movement or move in parallel or coincide along the way.

In that line, Schippmann et al. (2000) argue that the concept of multiple intelligences, among other parallel domains, contribute to the evolution of this field with intelligence being a “dynamic concept involving multiple competencies and opportunities by society to develop these competencies” (p. 712).

What is Intelligence?

Sternberg (2000) examined definitions provided by experts who gathered in 1921 to discuss the nature of intelligence (Pellegrino & Goldman, 1990, p. 42). His analysis led to finding some common themes that appear to suggest “the ability to adapt to the environment and the ability to learn.” (p. 8). A

similar symposium organized in 1986 showed that few concerns manifested in 1921 continued to remain without consensus.

The question “Is intelligence one thing or is it manifold?” and “the breadth of the definition” were most conspicuous. The results highlighted the distinction of attributes such as “adaptation to the environment, basic mental process and higher order thinking (e.g. reasoning, problem solving, decision making)”. Other conclusions included “Metacognition- conceived of as both knowledge about and control of cognition” which stood out when it had virtually no role 65 years earlier (Sternberg, 2000, pp. 8-9).

“Looked at in one way, everyone knows what intelligence is; looked at in another way, no one does. Put another way, people all have conceptions – which also are called folk theories or implicit theories – of intelligence, but no one knows for certain what it actually is.”
(Sternberg, 2000, p. 3)

Research on human intelligence progressed slowly during the twentieth century but moved “on the fast track” in the early twenty first century and up to our current days (Sternberg, 2020b, p. xxi). Robert Sternberg (2020c) describes this evolving field to have been facing “noisy and sometimes vitriolic debates” which often “have been more about the best questions to ask rather than about what the answers to particular questions are” (p. 3).

Many researchers promote different theories related to intelligence that suggest the existence of more than one human intelligence (Gardner, 2011a; Albercht, 2006; Boyatzis, 2020; Sternberg, 2020a) as discussed next.

Multiple Intelligences

The MI theory, introduced by Gardner in 1983 draws on “findings about the development and use of knowledge in different cultures” (Gardner, 1993, p. xxxi) to clarify the range of abilities that are demonstrated by many individuals and to “make the case for the existence of multiple intelligences” (2011a, pp. 5-9).

MI theory, a milestone event as described by Kihlstrom and Cantor (2020, p. 764), is not in line with “the historical view of intelligence as a fixed quantity” (Phillips, 2010, p. 4) that can be measured by IQ tests.

Gardner (2011b) views intelligence as a property that all human beings possess but at different levels as it determines the way one acts towards a set goal (or behaving in a specific context) (p. xv). The eight candidate intelligences that met Gardner’s (1983) defined criteria are: the linguistic, logical-mathematical, musical, spatial, bodily-kinesthetic, interpersonal, intrapersonal, and naturalistic intelligences (p. xiv).

At least two of these eight intelligences seem to have won new grounds in the field of competency analysis. Being “explicitly personal and social in nature” (Kihlstrom & Cantor, 2020, p. 764), Gardner (1983; 1993; 2011a) calls them intrapersonal and interpersonal, or the personal intelligences.

Building on the MI theory, Albercht (2006) identifies six primary intelligences, which “like the faces of a cube, all come together to form a whole” (p. xii). These are:

- 1- Abstract (symbolic reasoning, the IQ type).
- 2- Social (the topic of his book).
- 3- Practical (getting things done).
- 4- Emotional (self-awareness and the management of inner experience).
- 5- Aesthetic (a sense of form, design, literature, the arts, music, and other holistic experiences).
- 6- Kinesthetic (whole-body competence such as sport, dance, music, or flying a jet fighter).

While Albertch (2006) agrees with Gardner (2011b) at least on the logical-mathematical (abstract) and the personal intelligences (social and emotional), his proposed practical intelligence has also been investigated by many (Wagner, 2000; Hedlund, 2020).

On another front, Boyatzis (2020) argues that leadership does not “constitute an ability and therefore could not be claimed to be a form of intelligence” (p. 803). Backed up by many research findings (Boyatzis & Saatcioglu, 2008; Boyatzis, 2009), he sets aside the idea of a leadership intelligence in favour of an intelligent leadership or an effective one.

McKenna and Rooney (2019) examine wise leadership through reviewing different wisdom theories (e.g. Sternberg 1998; Staudinger & Glück 2011), acknowledge their differences and claim that “we know enough about what wisdom is made of and agree on significant conceptual common ground so that we can take larger steps in developing wisdom in leaders and others” (p. 668).

What is important here is the ability to think and act wisely which “according to Aristotle, one must be infused by virtues such as humility, courage, temperance and justice: one should act in a way that is noble and worthwhile” (p. 663). In other words, it is about a “combination of mind, heart, body, and – in the broadest sense – spirituality” which makes wise leadership multifaceted (p. 661).

According to Boyatzis (2020), the other “hypothesized forms of intelligences” (Sternberg, 2020b) – for example the Successful Intelligence (discussed next)– “seem relevant to leadership effectiveness in varying proportions” (p. 802).

Augmented Successful Intelligence

Sternberg’s theory evolves from his first attempt to sketch intelligence starting by the “componential sub-theory” (1980) or its analytical aspect, to his triarchic theory adding the creative and practical

dimensions (1984), to his Successful Intelligence (1999) that goes beyond the abilities to include “how one capitalizes on one’s strengths... and corrects one’s weaknesses” (2020a, p. 679).

Figure 3-4 shows the four elements of the successful intelligence and how Sternberg describes them. Since what could be a meaningful goal (1) to one individual may be irrelevant to another, intelligence “means a somewhat different thing to each individual”; (2) “no one excels at everything or fails at everything”; (3) there should be more than just adapting to the environment but also shaping it or maybe choosing a specific one that we might consider more appropriate; therefore (4) one needs to analyse all the components related to the preceding three and re-create goals that are more practical (pp. 680-683).

With wisdom being something that today’s world needs (McKenna & Rooney, 2019) more than intelligence (Glück, 2020), Sternberg (2019) stresses that our role in society is important and that “we are running the wrong race” because it is not conventional intelligence or creativity but it’s only wisdom that will help us get on the right track to create a better world (pp. 3-5).

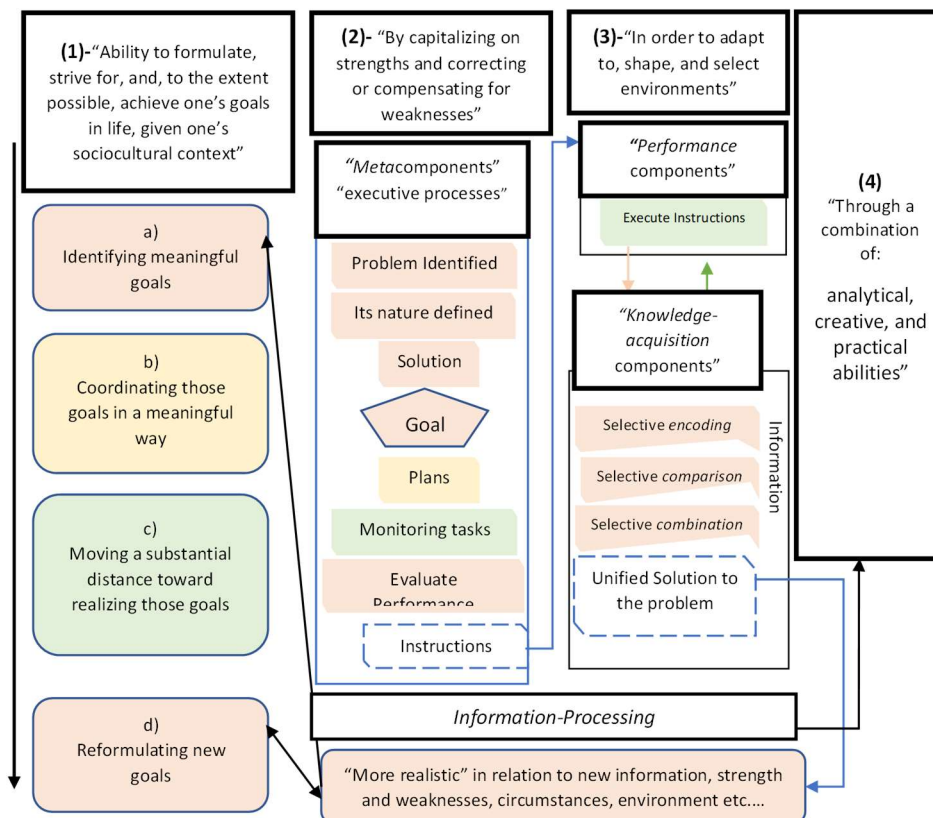


Figure 3-4 Author's visualization of the Components, Processes and Abilities of Sternberg's Successful Intelligence (2020a, pp. 680-683)

Sternberg (2020a), therefore, adds wisdom to his theory making it the Augmented theory of successful intelligence because it is necessary to reach a common good (p. 679).

A better world being the key focus of wisdom also involves in addition to intelligence and creativity, “one’s knowledge base, for a common good” which is reached by going beyond the self-interests and using positive ethical values. This highlights the importance of accounting for the short and long-term interests of the family, the community, the nation and the world while setting goals and working towards them (Sternberg, 2019, p. 5).

Sternberg (2019), the lack of wisdom is *foolishness* that can be manifested by six cognitive fallacies which are (p. 7):

- 1- *Unrealistic optimism*: “If it’s my idea, then it must be good”.
- 2- *Egocentrism*: “It’s all about me and no one else”.
- 3- *False omniscience*: “I know everything I want or need to know”.
- 4- *False omnipotence*: “I am all-powerful”.
- 5- *False invulnerability*: “No one can strike back at me”.
- 6- *Ethical disengagement*: “Ethics are important, but only for other people”.

Glück (2020), building on other researchers’ findings (e.g. Sternberg (1998)), argues that wisdom integrates “ability to think about complex issues in a complex way” with personality, motivational and ethical facets. These facets include being open to “experience and empathy with others”, “deep curiosity about the fundamental questions of the human existence”, “willingness to critically reflect on oneself”, and a “concern for greater good” (p. 1140). Furthermore, wisdom being a “multifaceted construct that consists of interrelated cognitive and noncognitive components” (p. 1141) could be seen to confirm Winterton et al.’s (2006) argument about the meta-competence (non-cognitive) facilitating the gaining of the other “substantive competences” which include the cognitive (p. 39).

In the same line, Boyatzis et al. (2019a) claim that Emotional (EI) and Social Intelligence (SI) competencies are “frequently involved in enhancing the cognitive readiness of teams” (p. 148) which is “the ability to analyze information and situations” (p. 150).

Moreover, Glück (2020) claims that Sternberg’s series of studies (since 1985) found an overlap between wisdom and intelligence, specifically for problem-solving and knowledge. But wisdom “involved a far broader range of attributes including concern for others, self-reflectivity, openness, and a general orientation at learning from life, including from one’s own mistakes” (p. 1143).

Assessing personal wisdom has been the subject of two series of studies. For example, the Bremen Wisdom Paradigm ((BrWP); Mickler & Staudinger, 2008) uses two criteria “rich self-knowledge and heuristics of growth and self-regulation”, and three meta-criteria that are “interrelating the self (being able to reflect on and understand the internal or external causes of one’s feelings or behavior), self-relativism (being able to take a distanced, unbiased view on oneself without being overly self-critical),

and tolerance of ambiguity (acceptance and management of the uncertainties in one's life)" (Glück, 2020, pp. 1148-1149).

The research question of this study is concerned with the joint work and the co-creation of knowledge when actors are functioning within development projects described (for Donor) as "leading from behind" (Teskey & Tyrrel, 2021) which requires a set of predispositions that fall under the Cognitive (CI), Emotional (EI) and Social (SI) competencies discussed in more details in the next section.

The focus of this study: EI, SI and CI

According to Boyatzis and Saatcioglu's (2008), competencies, "regardless of author or study, they tend to include" three intelligence competencies: the Cognitive (system thinking), Emotional (intrapersonal abilities such as adaptability) and Social (interpersonal abilities such as networking) (p. 93).

Looking at the behavioural competencies in project management, Boyatzis et al. (2019b) define the term competencies as "capabilities that require a set of related but different behaviors organized around an intent" (p. 182) and argue that "a set of emotional, social, and cognitive competencies" are crucial to reaching set goals which the technical expertise such as planning, controlling and managing risks cannot guarantee alone (pp. 173-174).

Furthermore, Adetula's (2016) study confirms the validity of the hypothesis that "emotional, social, and cognitive intelligence will have a joint significant prediction to job performance" (p. 161) which leads to an end point, a goal or an output.

Belack and Radecki's (2019) claim that leading a complex project to success while being an effective team member, requires "the ability to engage in rational decision-making and productive interpersonal relationships" (pp. 37-38).

To understand these three intelligence competencies, being at the focus of this study, a deeper look at how the literature defines them is presented next starting with Gardner's personal intelligences that includes the emotional and the social and concluding with the cognitive intelligence.

The Personal Intelligences (EI and SI)

The personal intelligences, according to Gardner (2011a), comprise two forms of "information-processing capacities – one directed inward, the other outward", that humans have "the opportunity to develop and to merge" (p. 257) in order to reach the balance that Gardner refers to as the "sense of self" (p. 256).

The intrapersonal form is mainly concerned with the “individual’s examination and knowledge of his own feelings” while the interpersonal form is outward looking “toward the behaviour, feelings and motivation of others”, and each has its own pull and own characteristics (p. 254). However, they both are intimately intermingled and neither form of intelligence can develop without the other (p. 255). What is unique to humans is that “both the individual and the social varieties” together give rise to the personal knowledge (p. 270).

This process of development through “the focus on others and the mastery of the social role, as well as the focus on self and the mastery of one’s own personal life” is the same for every normal individual in any culture (p. 269). What may be different across cultures is the varying weight that each culture stresses on any of these related factors.

Figure 3-5 presents a brief description of these personal intelligences in their development path.

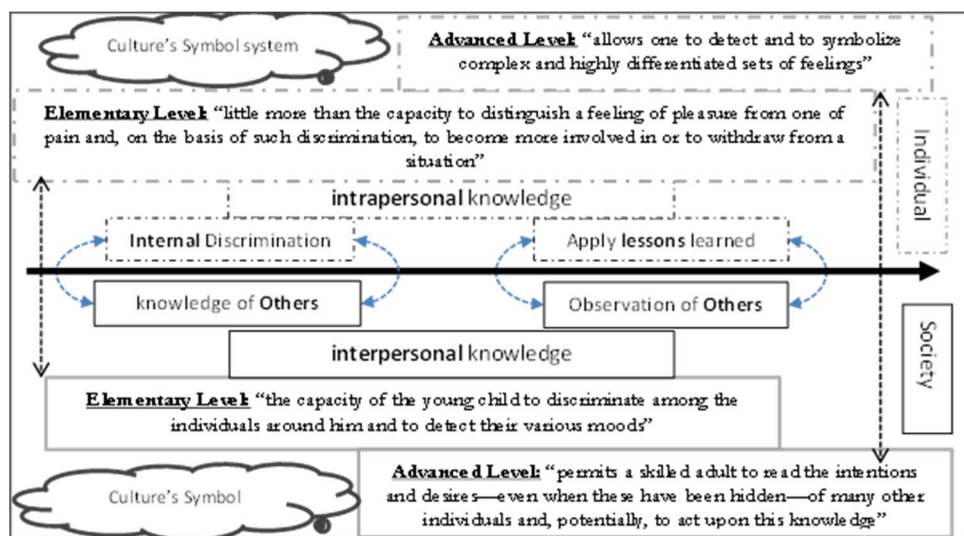


Figure 3-5 Author's visualization of the Personal Intelligence' development from elementary to advanced levels (Gardner, 2011a, pp. 253 - 255)

An example of their relationship would be where the knowledge of others that one acquires in the process of interacting influences the internal discrimination of the individual. With new information gained, while one is observing others, he/she may be more prepared to accept and apply lessons learned.

From a different perspective, the discoveries process to develop emotional and social competencies - according to Boyatzis et al. (2019a), accounts for “the essential components of desirable, sustainable change in people’s behavior, thoughts, feelings, and perceptions (Boyatzis 2008a)” (p. 153).

Boyatzis et al.’s (2019a) intentional change circular process (Figure 3-6) starts by examining own personal desires of the ideal self, self-evaluation and using feedback from others to identify own

strengths and weaknesses of the real self, developing a learning agenda, experimenting and practicing until new behaviours become automatic. This long and complex path towards the personal transformation depends greatly on the feedback from trusted people. For that, the trusting relationships, the fifth discovery phase which is at the centre of this cycle, “help, support, and encourage each step in the process” (Boyatzis, et al., 2019a, pp. 153-156).

Looking at this process in terms of Awareness and Actions (Boyatzis, et al., 2019b, p. 177) , the first Action is the development of the learning agenda and it is the result of reflections - in the two preceding phases that are Awareness related - about the self (EI), and the knowledge about the social world (SI) which opens the mind to see the available options in terms of ways to learn and progress. Up to this stage what is crucial for the individual is the motivation to change own behaviour and the openness to accept and reflect on feedback in order to create “a baseline for identifying opportunities for better interaction and decision-making” (Boyatzis, et al., 2019a, p. 160). This targeted improved interaction requires SI competencies. Therefore, a possible conclusion would be that EI contributes to improving the SI competencies and vice versa, as suggested also by Gardner (2011a). This also echoes Winterton et al.’s (2006) claim about the role of the meta-competence that it plays in personal development.

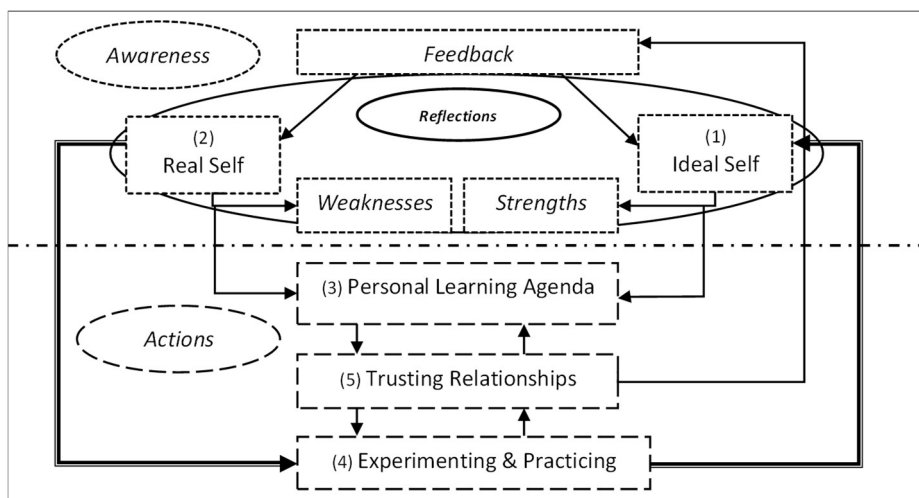


Figure 3-6 Author's visualization of the Intentional Change Process (Boyatzis, et al., 2019a, pp. 153-156)

Kunzmann and Glück (2019) argue that “the ability to regulate positive and negative emotions is one central aspect of emotional competence” and they investigate which facet(s) of emotional competence may be typical of wisdom (p. 578). In this line, wisdom is seen as a personal characteristic that fosters positive emotions such as “humor, sympathy, or compassionate love” and help control others not so positive such as “anger, hostility, or rage” using “emotion regulatory skills or emotional understanding” (p. 594). Furthermore, they suggest that wisdom also supports social intelligence as it

“involves the ability to share other people’s feelings to a certain degree” which results from understanding the feelings and perceptions of others in order to support them (p. 596).

Albercht (2006), claims that both EI and SI are crucial and proposes to make a clear distinction between them. In this purpose he links Gardner’s intrapersonal intelligence to Goleman’s (1996) EI which is “a dimension of internal competence” while Gardner’s (2011a) interpersonal intelligence fits best “for all practical purposes” with the “competency in human situations” or one of Goleman’s (1996) EI dimensions that is relationships (p. 11).

The next section shows how other researchers look at these two intelligences (EI and SI) separately as they may be considered non-cognitive skills or ““life skills” or “social skills [that] are becoming increasingly important to policy makers” (Camfield, 2015, pp. 351-353).

Social Intelligence

Social intelligence (SI) has been described and defined in many ways since at least 1920. At the focus of the descriptions and definitions is the dealing with other people in different situations (Kihlstrom & Cantor, 2020; Sternberg & Li, 2020).

Some definitions, according to Wang et al. (2019) involve both cognition and behaviour (p. 1142). While Kihlstrom and Cantor (2020) stress on knowledge about the social world (p. 767) which according to Gardner (2011a) impacts also intrapersonal knowledge and more specifically the internal discrimination and the lessons learned from observing others as illustrated in Figure 3-5 above.

In the different definitions, the dealing with others can be seen to depend, on how well one can understand their moods and personalities through reading the non-verbal cues and decoding social information, getting along with them, and managing them, and in general behaving wisely in social situations. In other words, it is about “the understanding and interpretation of other people’s psychological state and the interaction with them for better emotional and mental state” (Wang, et al., 2019, p. 1142).

Albercht (2006) characterizes SI as a “combination of a basic understanding of people - a kind of strategic social awareness”. His simple description of SI being “the ability to get along well with others and to get them to cooperate with you” (p. XIII). In this way, adults can earn the respect of others in the relationship and “reduce conflict, create collaboration, replace bigotry and polarization with understanding, and mobilize people towards common goals” (p. XIV). Such conditions have been discussed in the previous Chapter as crucial ones for CB success.

Goleman (2006) claims to uncover an emerging science- social neuroscience - "one that almost daily reveals startling insights into our interpersonal world", which discovered that we are wired to connect and our brain is designed to be sociable (p. 4). In the same line, Belack and Radecki (2019) elaborate that the default mode network of the brain is people-oriented while the other is task oriented (p. 59), and that for humans "sociability may have begun, not surprisingly, as a safety mechanism" (p. 44).

Kihlstrom and Cantor (2020) present Goleman's (2006) new argument for a "highly differentiated set of social intelligences" clustered under awareness and facility where relationship management (facility) builds on social awareness which includes the perception of the internal mental states of others and knowing their thoughts and feelings as well as the demands of complex social situations. While awareness includes empathy and social cognition, it facilitates influence, and concern for others and enables effective interactions (p. 766). Wang et al. (2019) determine that traditional studies attribute to social intelligence five aspects which are social understanding, social memory, social perception, social creativity, and social knowledge.

For Boyatzis, Goleman, Gerli and Bonesso (2019b), SI is about Awareness and Relationship Management. It is the "ability to recognize, understand and manage others' emotions" (Boyatzis, et al., 2019a, p. 150). The awareness is about the specific situation, its status, potential risks and organizational and political awareness, as well as the emotions, the needs, and the expectations of the stakeholders. This awareness will depend on active listening, empathy to enable recognition of needs and the identification of stakeholders at each level of the operations (Boyatzis, et al., 2019b, p. 181). As for the "relationship management cluster, specifically leadership, persuasive communication, and teamwork" which turned out to be the most frequently mentioned skills in the literature they reviewed, it is about setting a direction towards a future vision, developing strategies, persuading and building consensus, networking and conflict management (2019b, pp. 180-182).

From a more general perspective, Kihlstorm and Cantor (2020) distinguish two views for SI research, the knowledge view that they offer, and the ability view which they claim that Gardner and Goleman, among others, use to predict SI as they consider it to be a trait or cluster of traits.

In their knowledge view, what facilitates social behaviour that is assumed to be intelligent is what individuals know and believe "to be the case and by cognitive processes of perception, memory, reasoning, and problem solving rather than being mediated by innate reflexes, conditioned responses, evolved generic programs, and the like". In that sense, what is important is what SI one possesses and not how much of it. The answer for this 'what' can cover "what the individual knows about himself or herself, other people, the situations in which people encounter each other, and the behavior they

exchange when they are in them” (p. 767). However, the inclusion of the self-knowledge suggests that the authors consider Gardner’s (2011a) intrapersonal intelligence part of SI.

Albercht (2006) seems to be also highlighting the importance of knowledge and insight when he describes toxic behaviours that cause others to feel devalued while nourishing behaviours “cause others to feel valued, capable, loved, respected and appreciated” (pp. 13-14). These toxic behaviours result when people are focusing on their “own personal struggles that they simply do not understand the impact they have on others” (p. 14) which could also be because they simply are not concerned with how they affect them (p. 22).

For Goleman (2006), “simply being manipulative- valuing only what works for one person at the expense of the other-should not be seen as socially intelligent” (p. 11). When this is the case, according to Sternberg’s (2020a) Augmented theory of Successful Intelligence, actions cannot be considered wise because actors are focusing on the self and they consequently are not considering the common good as they should, and this will slow or may even stop the agreement and the working towards common goals (Albercht, 2006, p. XIV) which is critical for the success of CB activities (the focus of this study).

Emotional Intelligence (EI)

EI, according to Goleman (1996) is “a master aptitude, a capacity that profoundly affects all other abilities, either facilitating or interfering with them” (p. 80) and, “self-awareness is a neutral mode that maintains self-reflectiveness” (p. 47). This self-knowledge enables the selection of the goals that are meaningful to us, and therefore enables us to keep the needed motivation which is generated “by feelings of enthusiasm and pleasure in what we do” (p. 80).

The goals in question are meaningful (Sternberg, 2020a) in the sense that will help us gain what we are missing in life (Gardner, 2011a). Therefore, it is the values and motives that drive the individual towards a goal (Boyatzis & Saatchioglou, 2008; Sternberg, 2020a). They trigger “the desire to use one’s talent” in pursuit of that goal because the “motives and traits.....arouse dispositional ways a person respond to his/her environment and create a focus for a person’s behavior” where one can apply “intrapersonal abilities, such as adaptability” (Boyatzis & Saatchioglou, 2008, pp. 93-94).

Furthermore, Boyatzis (2009) argues that EI competencies include, in addition to self-awareness, self-management and control which is also endorsed by Goleman, Boyatzis and their co-authors (2019b). While self-awareness is about “recognizing one’s emotions and their effect”, self-management includes 1) emotional self-control or “keeping disruptive emotions and impulses in check”; 2)

adaptability meaning “flexibility in handling change”; 3) achievement orientation where one is striving to meet a standard of excellence, and 4) the positive outlook (Boyatzis, 2009, p. 754).

Although the competency model that Boyatzis et al (2019b) propose clearly separates between EI and SI , their elaboration on the Self-Awareness (an EI cluster) describes it as representing the “building block of the emotional and social intelligence competency framework and consists of the ability to recognize our emotions and the effects on us and on others (p. 177). This further supports Gardner’s claim on how the personal intelligences are intimately intermingled (2011a, p. 255). Another example of this intimacy is the claim that “emotional intelligence emerges above all through relationships (Goleman1995)” (Boyatzis, et al., 2019a, p. 155).

Building on Boyatzis’ components of self-management competencies (2009, p. 754), or facility (Kihlstrom & Cantor, 2020) or Actions (Boyatzis, et al., 2019b), Boyatzis et al. (2019a) elaborate more on their value. The emotional self-control supports the coping with stress in complex environments; the positive outlook helps keep the focus on the positive side of things; the drive to achieve strengthens the efforts to improve while meeting “set personal challenging standards”; and the adaptability is “useful in volatile and unstable environments” (p. 151).

From the neuroscience findings, the brain’s neural default mode that is people-oriented is active most of the time we are awake and “plays a central role in emotional self-awareness, social cognition, and ethical decision-making..... [and is] linked to creativity and insightful problem-solving” (Belack & Radecki, 2019, p. 50).

These arguments are closely related to this research because CB actors are in fact operating in complex environments where problems mostly involve multiple stakeholders from different communities and countries trying to improve their daily lives in different ways. In such context, ethical decision-making and insightful problem-solving are certainly crucial.

Kunzmann and Glück (2019), while stressing that not enough research has dealt with wisdom yet, and calling for an “emotional revolution in research related to wisdom (p. 596) introduce the MORE Life Experience Model which proposes that negative as well as positive events in our lives “are the main catalysts that can foster the development of wisdom”. However, gaining “wisdom-relevant insights from life challenges” will depend on having certain intrapersonal resources (p. 590) which are summarized in the MORE model in Figure 3-7.

Manage uncertainty and uncontrollability: Awareness of the highly limited amount of control that people have over their lives & ability to deal with uncontrollability constructively.

Openness to new ideas and viewpoints: High tolerance of diverging perspectives.

Reflectivity – Willingness & Ability to think about complex things in a complex way: Self-critical reflection.

Emotional Competencies: Emotional sensitivity, Emotion Regulation & Empathy/ Compassion.

The **MORE** Life Experience Model (Glück & Bluck, 2013; Glück, Bluck, & Weststrate, 2018) & (Glück, 2019)

Figure 3-7 Author's recapitulation of resources described in the MORE model (Kunzmann & Glück, 2019, p. 590)

While questioning the relationship and similarities between wisdom and EI especially for similar contexts, Kunzmann and Glück (2019) further elaborate that:

“wisdom and emotional intelligence differ in that wisdom is more than emotional intelligence because it involves the successful balancing and integration of emotional skills and cognitive or reflective strengths” (p. 595)

This seems to call on Delamare-Le Deist and Winterton's (2005) holistic typology previously discussed where the meta-competence contributes through reflection and learning in enhancing the social as well the cognitive competence.

Cognitive Intelligence (CI)

For Gardner (2011a), an important common aspect the personal intelligences have is the “computational capacity, or information-processing device, that is unique to [each] particular intelligence and upon which are based the more complex realizations and embodiments of that intelligence.” He stresses that it is important to confirm the existence of such core mechanisms even though one may not be able to accurately define them (p. 294).

In the same line, Sternberg (1980), attempting to clarify the “cognitive bases of human intelligence and its manifestations” (p. 584) argues that “a set of elementary information-processing components” contribute to individual differences in relation to intelligence (Sternberg, 2020a, p. 679).

While Gardner's (2011a) MI theory did not include a separate Cognitive Intelligence, which one may argue to be a weakness, he claims that there is a significant distinction between the *know-that* and the *know-how* (p. 255) which justifies the importance of both knowledge and thinking (cognition). He introduces “higher level cognitive capacities” which include common sense, originality, and metaphoric capacity. Originality depends on mastery in one field or higher level for one intelligence;

common sense allows one to “deal with problems in an intuitive, rapid and perhaps unexpectedly accurate manner” which requires advanced skills in one or two intelligences; and lastly, metaphorical capacity -“may be the particular hallmark of logical-mathematical intelligence to perceive patterns wherever they may be”- which supported by highly developed skills in one or two fields leads “the process of forging such illuminating connections” (pp. 303-306). From his critical perspective, the higher-level cognitive capacities “clearly make use of mental skills but because of their seemingly broad and general nature seem inexplicable within terms of individual intelligences” and “may elude our theory of intelligences” (pp. 302-304).

Boyatzis (2020) defines Cognitive Intelligence as having three main components: Fluid Intelligence, Crystallized Intelligence and Working memory. This tripod sketched in *Figure 3-8* shows their main elements (p. 804).

For the working memory (storing and manipulating information), Boyatzis (2020) refers to Nisbett and colleagues’ views as they relate it to “verbal and special problem-solving, arithmetical reasoning, and abstract reasoning... (2012)”. The Fluid intelligence refers to logical thinking to solve problems in particularly “new situations (Cattell, 1963)”. The Crystallized intelligence is all about our knowledge of the world around us and how we learned to use “mathematical formulae (Cattell, 1967)” (p. 804).

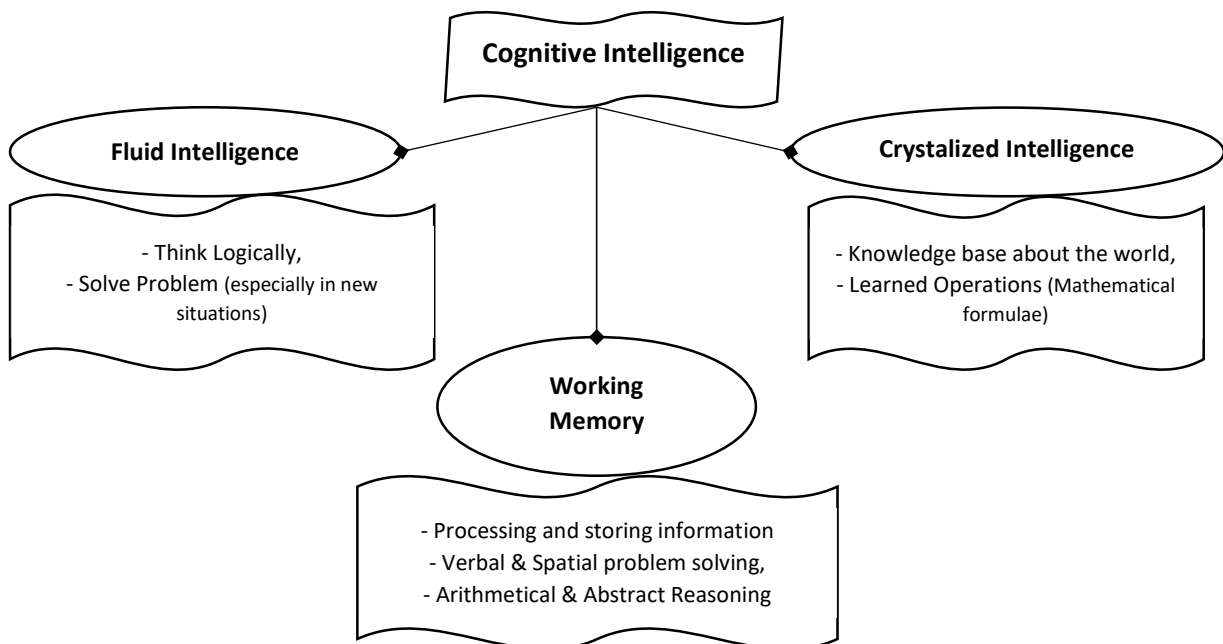


Figure 3-8 Author’s visualization of Boyatzis’ cognitive ability tripod stool (2020, p. 804)

Possessing all the characteristics confirming brightness (or to be found intelligent by IQ tests), according to Stavonich et al. (2020) does not necessarily mean that one is making the right decision

because this requires rational thinking which involves two aspects, the cognitive ability and the reflective mind or what is referred to as “thinking dispositions or cognitive styles” (p. 1115). Rational thinking as well “depends critically on the acquisition of certain types of knowledge (Stanovich, 2018)” which suggests it relies on knowledge structures meaning the Crystallized Intelligence (Gc) (Stanovich, et al., 2020, p. 1120).

Looking at the same argument from a different perspective, one tends to think that while logical thinking is linked to mathematics, meaning it shows a correct proof (e.g. one plus one equals two and nothing else), however to be thinking rationally or not “can only be judged by other humans” and “is often somewhat logical but includes factors such as emotion, imagination, culture, language and social conventions” (Spacey, 2015). An interesting view that seems more inclined to favour Gardner’s (2011a) information-processing non-clarified mechanisms that manipulate the MI even if measuring tools have not yet been developed in full as is the case for IQ tests.

The preceding discussions suggest that there is an agreement on two aspects 1) the multidimensionality of intelligence, and 2) that the different facets (of the competencies that this research is attempting to define) cause each individual to have his/her unique way in the process of collecting and analysing information, decision-making and behaving, which also might change in relation to a specific situation or environment whether in school, at home, with friends or in a job situation.

And this is a good sign because “failure to take into account the fact that skill is intrinsically a multidimensional object is not only nonsensical, but also misguides both our research and the design of social policy” (Carneiro, et al., 2007, p. 1).

Conclusion

This study is using the lens of three clusters of Intelligence Competencies: The Emotional (EI), Social (SI) and Cognitive (CI). Although not all scholars agree on one definition or one related concept, but they all agree on the existing interlinkage between these three intelligences no matter how they see it. For example, Boyatzis (2008) proposes an “integrated concept of emotional, social, and cognitive intelligence” which “offers a theoretical structure for the organization of personality and linking it to a theory of action and job performance” (p. 8).

Maxwell (2019) suggests that all affected and involved parties in solving social problems need to understand each other’s feelings, values, and desires (Romanticism) to articulate the social issues (Rationality) and implement solutions (Rationality & Romanticism).

Therefore, what intelligence competency does “a capable, rightful and wise” (Mulder, 2011, p. 1) practitioner should have to be described as *king*, or effective performer, in the context of this research is the question.

For this research, Boyatzis’s (2008, p. 8) definitions of the three related Intelligence Competencies are adopted, these are:

- 1) *Emotional* Intelligence Competency: “ability to recognize, understand, and use emotional information about oneself that leads to or causes effective or superior performance.”
- 2) *Social* Intelligence Competency: “ability to recognize, understand and use emotional information about others that leads to or causes effective or superior performance.”
- 3) *Cognitive* Intelligence Competency: “ability to think or analyze information and situations that leads to or causes effective or superior performance.”

Furthermore, and to the best of the author’s knowledge, this approach has not been used before with a focus on the joint-working particularly within the context of development projects.

However, the proposed framework by this study is not the first as different organizations operating in the field of development have adopted and published their own frameworks that target Donor practitioners but not the Recipient. These are presented and analysed in the next sections following the different guidance from the literature related to the development of such frameworks.

Models and Frameworks

The set of competencies that this study is proposing describes the practice (Batt, et al., 2021), through a model that explains the nature of effective performance, that professionals and organizations need to pay attention to (Campion, et al., 2011).

In this next section, how frameworks are best constructed is discussed.

Rationale

Batt et al. (2021) claim that there is no clear guidance to help the development of competency frameworks which could lead to the “uncertainty in the appropriateness of the output from the development process” (p. 1). This might limit the validity of the frameworks which if compromised could produce poor definitions “as well as threats to ... assessment frameworks” (p. 931). Their examination of frameworks led to finding that “limited connections are made between intended use and methodological choices; and, outcomes are inconsistently reported” (p. 930).

While calling for a renewed focus on the development process, Batt et al. (2021) propose a six-step model for the development of competency frameworks. Their model, summarized in Table 3-1, incorporates the “need for a theoretically-informed approach to identifying and exploring practice” (p. 6). Although this model has been initially developed for the healthcare professions, the authors suggest it can be transferable across contexts and professions (p. 7) while aligning between purpose and methods.

Steps		Description
1	Plan	Identify purpose & uses (binary or learning), scope (profession/job), stakeholders, and their roles (contributions at different stages)
2	Identify Contexts of Practice	Developers and stakeholders define the professional role in the context of the practice.
3	Explore Practice	Developers and stakeholders identify the components and features that allow competent behaviour in the targeted professional role including tasks within the context and expectations.
4	Translate and Test	Competencies are identified by developers and stakeholders from the data collected in step 3. Competencies that can be demonstrated in a professional practice are presented in ways to be easily understood and recognized.
5	Report	Developers report the output to the intended users and the broader professional showing clearly the development process (steps 1 to 4).
6	Evaluate, Update and Maintain	Developers plan for ongoing process to evaluate, update and maintain the framework to ensure its applicability and utility in view of eventual changes that could impact the practice.

Table 3-1 Six-Step model for developing competency frameworks (Batt, et al., 2021, pp. 3-6)

On another front, the International Labour Organization (ILO, 2016), states in its guidelines for development of Regional Model Competency Standards (RMCS), that the primary purpose of these standards is to allow “judgement to be made by assessors against a defined standard of performance”. However, the secondary purpose can also include curriculum design, benchmarking of qualifications (nationally and internationally), recognizing skills (mainly for labour mobility), and planning career progression. As to the design of these standards that “only capture the key critical assessment requirements within the curriculum”, and which often guide the design of training programmes, it should be done with caution (p. 4).

Child and Shaw (2020) argue that stated purposes of the competency frameworks can be associated with assessment, construct definition, curriculum position, developmental stage monitoring, educational system monitoring, pedagogy guide, professional standards, and workplace readiness. These “under-pinning purposes” are related to the intended decisions and uses, and therefore shape the applied process (p. 1145). They claim that developers can make at least three key distinctions while structuring the frameworks. These are 1) binary (meeting the standards or not) vs developmental phenomenon (learning), 2) atomistic (checklist style) vs holistic which “implies that competencies need

to be demonstrated in dynamic and occasionally unpredictable contexts”, and 3) context-specific vs context-general which links to the “intended generalisability and adaptability...beyond contextual boundaries” (p. 1148). Batt et al. (2020) also stress on these three issues and call developers to consider them “in order to align purpose with process” (p. 931).

Furthermore, Campion et al. (2011) highlight two important steps when developing competency models: 1) analysing competency information, and 2) organizing and presenting the information. While the analysis should consider the organizational context and link the models to the goals and objectives of the organization, the presentation is about clarity of the competencies (using the organization’s language) and the right balance between details and simplicity to ensure that concerned are able to remember and use these competencies.

The authors further describe a competency framework to be reflective of the organization’s vision and mission and integrating various competency models that are the collections of KSAO (knowledge, skills, abilities, and other personal characteristics) clusters relevant to performance in a particular job. The specific observable actions that confirm the performance level and the existence of skills and characteristics are referred to as behavioural indicators (p. 241). They also stress on the importance of visualising the models while ensuring simplicity to “enhance memorableness” and focus on the core idea of the model (p. 249).

Ali et al. (2021) examine 15 frameworks that represent “a varied sample from prominent organizations around the world” and compare them against what they claim to be seven parameters that the literature identifies as being used in the frameworks (p. 4).

Out of these as shown in Table 3-2, ten frameworks are specific (particular role and/or industry), seven did not explain the methodology, nine did not use a scientific tool meaning they did not follow a clear procedure that can be replicated (higher risk of subjectivity) while three were derived from only a literature review (see table 1 for more details (p. 5)).

Seven Parameters & their application by 15 frameworks	
Generic/ Specific	G (5); S (10)
Methodology Explained	Yes (4); Yes in brief (4); No (7)
Scientific Tool used	Yes (6); No (9)
Levels of competencies considered	Yes (5); No (10)
Weightages given to competencies	Yes (2); No (13)
Weighted rating calculated	Yes (1); No (14)
Competency Derivation	Literature Review (3); LR & Survey (1); LR & interview (1); Combined methods (1), including panel expert (1); & focus group (1); Review of past work (1); Review of 28 past frameworks (1); Identified by the organization (4); No (1)

Table 3-2- Adapted table that compares 15 frameworks and their application of the seven parameters (Ali, et al., 2021, p. 5)

Moreover, competency models often include reference to the level of the employees (i.e. junior, middle, or senior) and their proficiency (i.e. novice or expert) (Campion, et al., 2011). However, the sample examined above shows that ten frameworks did not consider levels and thirteen did not assign weights to the competencies (Ali, et al., 2021), and most importantly the parameters do not include any relation to the purpose and intended uses that Batt et al. (2021) argue to be important trigger for the right methodology.

Some of the most used techniques for data collection for framework development are discussed next.

Techniques

The techniques used to identify and develop competency models include surveys, expert panels, interviews (Wong, 2020), observation, job analysis leading to the identification of KSAOs, top leadership reviews, linkage to theory and literature, and the validation across sources of information (Campion, et al., 2011).

For Batt et al. (2020), the methods used to collect data include policy analysis, literature reviews, engaging end-user, jobholders' interviews and focus groups. Developers need also to decide whether a single or mixed methods are appropriate, the representativeness of samples and their size, the data analysis methods and how to validate the findings (p. 5).

According to Taherdoost (2022), questionnaires are useful when facing a large sample, but they are not the most used. This could be due to the lack of personal contact while providing only limited responses (Pandey & Pandey, 2015).

However, interviews are considered "a fundamental way for social interactions" where confidential information can be shared leading to "rich, in depth, and detailed data directly" (Taherdoost, 2022, pp. 17-20). Interviews also offer more flexibility because the interviewer, especially in semi-structured interviews, can change the direction of the questions to "explore the interviewee's thoughts, feelings and opinions" (Alamri, 2019, p. 66).

ILO's (2016) published guidelines for framework development consider the role of the expert focus group to be an essential one together with an experienced facilitator. These experts should represent the breadth of the industry and have "current knowledge of the skills required". The group work is facilitated by a professional who has "full understanding of the underpinning principles of competency development" to properly combine, translate the collected information and "build consensus" around the proposed standards (p. 10).

From another perspective, Emmerling and Boyatzis (2012) argue that qualitative methodologies and thematic analysis, including critical incident technique (CIT) interviews (discussed in more details in Chapter Four), “can produce data appropriate for further statistical analysis while at the same time allowing high level of cultural sensitivity”.

In cross-cultural contexts, data collection methods that use questionnaires “often require a degree of care” as the interpretation would need to account for translating from different language in addition to the culture specific perspectives. (p. 11).

A researcher based in the U.K., Robert Hamlin, undertook several studies that targeted managerial and leadership behaviours within the public and private sectors in a number of countries using CIT (Hamlin & Bassi, 2006; Hamlin, 2007; Hamlin, et al., 2010; Patel & Hamlin, 2012; Hamlin & Hatton, 2013; Ruiz, et al., 2016; Hamlin & Patel, 2020; Hamlin, et al., 2022).

In one study that Hamlin led (2022) the researchers welcomed Critical Incidents about not only immediate managers but also about officials at higher levels. Furthermore, when informants occupied a managerial position, they could share critical incidents of “colleague managers at the same level (peers)” but not their own (p. 48).

McClelland’s (1993) approach links “Use of Criterion Samples” and “Identification of Operant Thoughts and Behaviours Causally Related to Successful Outcomes” (p. 3). This means that first the focus should be on comparing characteristics of successful people with those who experienced less success in their jobs, which eventually will lead to the identification of the required competencies for a specific job. Secondly, when attempting to identify and measure these characteristics, an “open-ended situations in which an individual has to generate behaviour” should be sought.

The predefined set of questions and answers describing “carefully structured situations” may not be fully representing real-life conditions. What is more representative or “best predictor of what a person can and will do is what he or she spontaneously thinks and does in an unstructured situation – or has done in similar past situations” (p. 4).

In other words, it is best to account for the respondent’s point of view – without any guidance which could prove misleading or suggesting a specific path– while examining the aspects that existed when the successes or failures were believed to have taken place. This suggests a preference to the semi-structured interviews to be conducted with successful and less successful job holders.

Garavan and McGuire (2001) examine competency identification methods and find that the CIT may require a long process that involves concerned key individuals and having “critical knowledge of the position”, but also can lead to the identification of “unusual... good and bad behaviours” (p. 153).

To conclude, the literature covering competency development suggests a preference to interviewing job holders where discussions are around incidents or situations they have experienced. More details on the different methods are presented in Chapter Four.

The next section deals with current practices in terms of the frameworks that are published by major Donor organizations. A presentation of these is followed by an analysis of how they compare and how they account for eventual challenges.

Existing Frameworks

The organizations that are covered in this review include the United Nations System (UN, World Bank Group and United Nations Development Program), Economic Co-operation and Development (OECD), UK Foreign, Commonwealth & Development Office (FCDO) and United States Agency for International Development (USAID).

The criteria used for the selection of these organizations include high involvement in work across boundaries, high transparency through publishing online their frameworks and related studies and representing wider perspectives around methodologies and approaches.

For that purpose, two entities that represent more than one country/member state (UN System: 193; OECD: 38), and two others from two different continents namely North America and Europe are chosen.

An important note that applies to all the documents reviewed here is that all are concerned with the competencies and behaviours of their representatives (Donor) and not the Recipient.

The documents that are reviewed and discussed in this section are grouped in Annex 3-1.

United Nations System

The United Nations (UN) is part of the UN system that comprises ‘Funds and Programmes’ such as the United Nations Development Programme (UNDP), and other independent ‘Specialized Agencies’ such as the World Bank Group (WBG).

This section presents the published frameworks of the UN, UNDP and WBG listed in *Table 3-3*.

UN	UNDP	WBG
Values and Behaviours Framework (UN, 2021c)	Core Behavioural Competencies (UNDP, 2021b)	Core Competencies (WBG, 2019a)
	People Management Competencies (UNDP, 2021c)	Managerial Competencies (WBG, 2019b)

Table 3-3 Published frameworks of UN, UNDP and WBG

The UN Values and Behaviours Framework (2021c), built on the strengths of the Competencies for the Future (UN, 1999), “transforms them to better reflect the [UN] goals... for the next decade” and “forms the basis of an organizational culture that is both current and aspirational” (p. 3).

This document (UN, 2021c) claims the statements of values and behaviours were developed together with “nearly 4500 Secretariat staff and leaders” who identified what is important to them and the future of the organization (pp. 3-4). It highlights five behaviours for three staff levels without an explicit reference to the development process used to translate participants’ contributions to the claimed findings.

These stated behaviours are: Connect and Collaborate; Analyse and Plan; Deliver Results with Positive Impact; Learn and Develop; and Adapt and Innovate. For each behaviour, a definition is provided as well as examples of what it looks in practice (Annex 3-2.1 to Annex 3.2.3).

Connect and collaborate, for example, is defined as “Build positive relationships with others to advance the work of the United Nations and work coherently as One UN”. It translates, for all UN staff, into listening, seeking opportunities to collaborate, identifying “emotions and perspectives of others”, and “recognize, understand and monitor own feeling and emotions, using that information to guide thinking and actions”. Managers will demonstrate their related abilities, for example, through creating the environment that enables collaboration where all “may speak openly, honestly and without fear of retribution”. As to senior leaders, they are expected to take an “integrated approach”, build partnerships with the wider communities of stakeholders and across boundaries (p. 13).

At the other end, the specialised agency, WBG, provides “a wide array of financial products and technical assistance...[to] help countries share and apply innovative knowledge and solutions to the challenges they face” (2021). Three groups of competencies are defined for its diverse workforce coming from more than 170 countries. These are Core and Managerial Competencies, and job specific.

Core Competencies (CC) or the critical behaviours (WBG, 2019a, p. 2) required for all staff to ensure results are delivered to clients through collaboration within teams and across boundaries; leading and

innovation; creating, applying, and sharing knowledge; and making smart decisions. As these are used for performance management, recruitment, and career development, they are linked to grade-level behavioural indicators, and each is built around three themes (*Figure 3-9*).

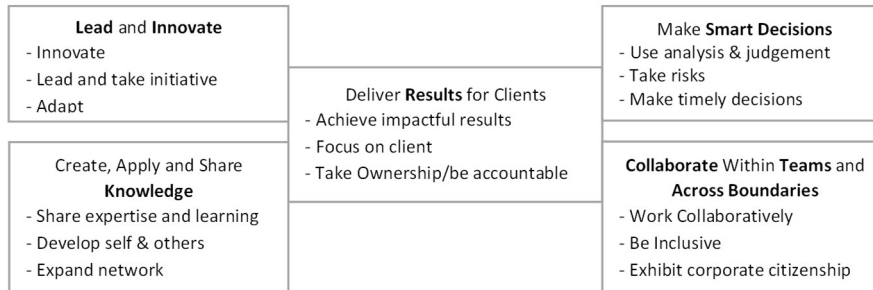


Figure 3-9 – WBG Core competencies and the elements that the behavioural indicators are built around (WBG, 2019a, p. 2)

For example, collaborate within teams and across boundaries' level indicators are built around collaboration and teamwork, inclusion, and exhibiting corporate citizenship (list in Annex 3-3). Consequently, the collaboration across levels progresses from acting cooperatively (L1) and contributing collaboratively to one's own team (L2), to initiating collaboration beyond the team (L3) and contributing to wider collaborative efforts (L4), and so on until one "creates an enterprise and culture that drives collaboration at all levels of the WBG and with external partners" (L11).

The two-page listing of indicators covering twelve levels for each CC presents information that is too detailed and far from being easy to remember, which is what Campion et al. (2011) advised against. Moreover, lack of clarity is another evident issue especially when comparing between levels.

For example, as *Table 3-4* shows, "approaching conflicts as common problems to be solved" is repeated under themes (a) for Level 1 and (b) for Level 6 and 9.

Furthermore, one can argue that teamwork is also about inclusion which can translate into accepting others, valuing their views (L1 b), treating them with respect (L6 b), and considering their perspectives (L9 a).

This complex presentation would certainly complicate the performance evaluation process or make it rather subjective depending on how the assessors relate these indicators to the specific job/individual in question.

Levels	1	6	9
	Acts cooperatively	Collaborates across boundaries, gives own perspective and willingly receives diverse perspectives	Takes accountability for collaboration at all levels of the WBG and with external partners
Themes	Indicators		
(a) Collaboration & Teamwork	(a) Works cooperatively and displays an open, helpful attitude toward others <u>Approaches conflicts as common problems to be solved</u>	(a) Appropriately involves others in decision making and communicates with key stakeholders	(a) Personally leverages the strengths of the institution to bring together differences in <i>perspectives</i> , experiences, cultures etc. in order to create the best solutions
(b) Inclusion	(b) <i>Values</i> the importance of others' views	(b) <u>Approaches conflicts as common problems to be solved.</u> Actively seeks and considers diverse ideas and approaches displaying a sense of mutuality and <i>respect</i>	(b) Establishes and follows norms of robust debate that bring the best ideas to the forefront, and <u>approaches conflicts as opportunities and problems to be solved.</u>
(c) WBG corporate citizenship	(c) Is aware of impact of work on larger WBG	(c) Integrates WBG perspective into work	(c) Role models WBG corporate citizenship by putting common corporate goals over individual or team goals when in <u>conflict</u>

Table 3-4 Comparison of Behavioural indicators attributed to three levels for one Core competence (WBG, 2019a, pp. 5-6)

As for staff in managerial posts, five Managerial Competencies would complement the technical skills and CC. These are: Courage of your Convictions, Leading the Team for Impact, Influencing Across Boundaries, Fostering Openness to New Ideas, Building Talent for the Future (WBG, 2019b).

As shown in Annex 3-4, the one-page published document lists these with their brief description only.

For example, influencing across boundaries is described by:

“Outstanding WBG managers persuade, convince and create buy-in for ideas and initiatives in order to advance their own goals and strategies, consistent with the WBG mission and vision.”

Advancing “own goals” may be misleading and not in line with CC indicators, for example “Ensures the enterprise is leveraging the strengths inside and outside the institution to bring together differences in perspectives, experiences, cultures etc. in order to create the best solutions” related to Collaborate with teams and across boundaries for L10 & 11. So, one would wonder about the starting point in this called for collaboration, is it WBG own goals or the different perspectives from across the boundaries.

A final note in relation to WBG’s documents is that none of them mentioned the methodologies or the scientific tools used to develop or update them.

The UNDP, the lead agency of international development within the UN system, focuses on helping “countries to develop policies, leadership skills, partnering abilities, institutional capabilities, and to build resilience to achieve the Sustainable Development Goals” (2021a). Its published Frameworks include Core Behavioral (Annex 3-5) and People Management Competencies (Annex 3-6).

The seven Core Behavioral competencies *Figure 3-10* are the attitudes and behaviours that people need to have to fulfil its mission. These are Achieve Results, Think Innovatively, Learn Continuously, Adapt with Agility, Act with Determination, Engage & Partner, and Enable Diversity and Inclusion.

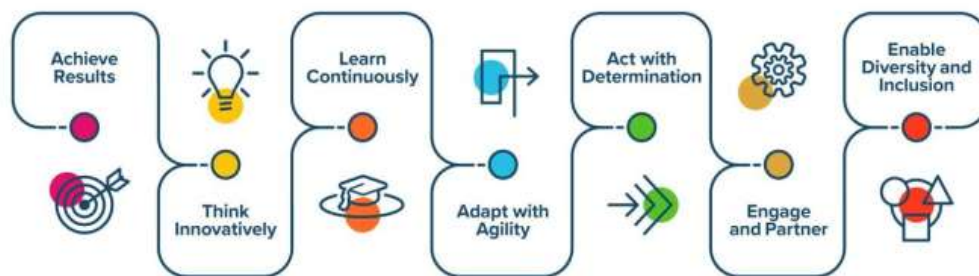


Figure 3-10 UNDP Core Behavioural Competencies (UNDP, 2021b, p. 1)

The document provides definitions for generic competencies to ensure the same understanding by all staff. These are linked to roles that “some will become more important, at times, than others”. Four proficiency levels (individual contributor, supervisor, manager/specialist and leader/expert) are mentioned without clarifying how the different behaviours apply to each.

In addition to the functional and the Core Behavioral, seven People Management are needed for leaders/managers (2021c), these are: show managerial courage, demonstrate empathy and emotional intelligence, motivate and direct, build an enabling workplace, build capacity, manage performance and ensure accountability, and lead with humility.

The introduction in this document confirms that “many leadership competencies can and should be demonstrated by all personnel” not only formal managers and leaders, and therefore are reflected in the Core Behavioral. The seven People Management are those additional competencies that are largely related to managing others.

The UNDP documents (2021b; 2021c) do not mention how the competencies have been developed but only clarify the expected behaviours.

One expects that three entities within one system would tend to have shared principles and frameworks especially for the UNDP and WBG as they both operate in a complex sector and call for partnerships that are global (UN, 2021b) and effective (OECD-UNDP, 2019).

OECD

The sixty-year-old Organisation for Economic Co-operation and Development (OECD) has 38 member countries working together to “deliver greater well-being worldwide by advising governments on policies that support resilient, inclusive and sustainable growth” (OECD, 2021).

OECD’s Core Competencies (2023) are “a combination of behavioural characteristics, attitudes and attributes” leading to effective performance in the workplace. These are “observable behaviours focused on doing, rather than knowing, and are often developed through experience”.

They “articulate expected behaviours” and will help staff develop areas needed to meet future challenges (p. 1). The methodology behind the development of the Core Competencies framework (see Annex 3-7) which is used for recruitment and performance management and is linked to the organizational needs as well as its Values and Ethics framework, is not explained.

For each of the six Core Competencies (*Figure 3-11*), there are three levels of mastery (Performing, Inspiring and Leading) which “are aligned to a job role and grade and are based on skill level and experience” (p. 2).

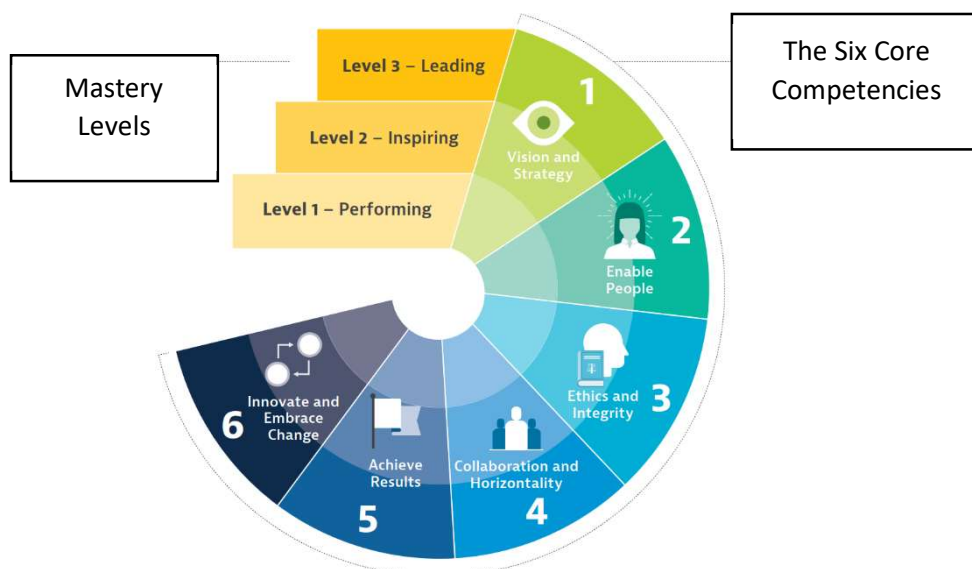


Figure 3-11 OECD Core Competency Framework and Mastery Levels (2023, p. 2)

For example, one performs (L1) when “confidently and independently” applies behaviours while inspiration (L2) is linked to motivating, modelling, and influencing behaviours.

At the third higher level, leading, one “demonstrates excellence and champions and models behaviours” and “enables behaviours to be displayed” (p. 3).

This framework includes, in addition to “examples of generic ineffective behaviours” for each level, the Core Competencies’ definitions and three levels behavioural statements.

For example, CC1 Vision and Strategy progresses, from recognizing impactful new trends (L1), to identifying and considering emerging opportunities as well the requirements of different stakeholders and helping “others to understand them” (L2), to the stage (L3) where one is able to “anticipate trends that impact strategy to build a shared vision with others” (pp. 5-9).

Vision and Strategy:
 “is developing a broad, big-picture view of the Organisation, our place in the world and our mission as defined by our Members. It involves looking ahead and thinking about future possibilities while embracing trends, taking part in building a shared Organisational vision and making effective decisions that keep us at the forefront of our expertise.”
 (OECD, 2023, p. 4).

Ineffective behaviours at Level 1 are around struggling to build productive relationships where inclusion, respect, sharing and receiving information can be missed in addition to focusing on objectives and taking change initiatives where needed.

Inspiring (L2) fails when one does not spend enough time on thinking strategically, making informed decisions, facilitating open communication, and celebrating successes of others. Instead, they are working in isolation and discouraging constructive criticism.

Lastly, missing to revisit the strategy to capture emerging opportunities that need to be considered, not integrating the perspectives of others, and not stimulating collaboration signal weak leadership (L3).

The document (OECD, 2023), published by the Human Resource Management, does not include any reference to how it was developed.

FCDO

In September 2020, the UK Department for International Development (DFID) in charge of implementing development projects was merged with the Foreign and Commonwealth Office (FCO) to form the new Foreign, Commonwealth & Development Office (FCDO) in charge of diplomacy and development work (FCDO, 2021).

The latest accessible document that DFID published in 2018 and updated in 2021, Programme Delivery Capability Framework (PDCF) (DFID, 2021) “describes the values, knowledge, skills, behaviours, roles and learning required for an organisation to deliver its current and future objectives” while “supporting delivery” of the SDGs internationally (p. 3).

It highlights eight delivery competences being “the most important capabilities for DFID in delivering programmes”, four proficiency levels, and a “blended learning package” to support staff development. This document “brings together in one place the most important capabilities” for programmes delivery but not all. The matrix draws on some elements of other frameworks such as the Civil Service competence which staff are advised to consider (p. 4)

The programme delivery competences are:

- 1- Managing the programme cycle: related to DFID’s programme cycle and in line with its Smart Rules, systems, and tools where decisions rely on experience and judgement.
- 2- Managing risks and issues: to apply risk management best practices while responding to rising issues.
- 3- Financial management: to get the maximum impact of the money spent with transparency and accountability.
- 4- Commercial acumen: to have a commercial mind-set that keeps value for money in focus.
- 5- Monitor, learn and adapt: to monitor and track results while drawing on and generating learning, and to adapt interventions.
- 6- Engage others: to establish effective relationships, communicate, influence, negotiate and manage stakeholder relationships.
- 7- Programme leadership: to create, sustain and promote a culture of empowerment and accountability.
- 8- Technical: related to the specific function/ field.

The document (Sample in Annex 3-8) lists for each competence, a definition, why it is important (p. 6) and its assessment indicators by proficiency levels. These levels are (p. 7):

- 1) Awareness (basic knowledge and may need help to apply the competence),
- 2) Working (working knowledge and can be applied in restricted number of areas or under supervision),
- 3) Practitioner (detailed knowledge and significant experience and shares lessons learned) and,
- 4) Expert (expert knowledge and experience and can review/change practice).

For example, Monitor, learn and adapt is important because it “helps staff maximise value for money by being able to use and generate evidence of what works, to track progress, make timely course-corrections as necessary, and improve our ability to respond to change in uncertain environments” (p. 6).

Four indicators apply here (p. 12) :

- 1- Identify the data and evidence needs for a project.
- 2- Use appropriate tools to monitor and evaluate project performance. Design and apply learning approaches into the project cycle.
- 3- Use learning and evidence on performance to adapt programmes as necessary.
- 4- Summarise learning from a programme in ways that can be used by others.

While adapting programmes is recognised in the title and identified as an indicator (≠ 3 above), it is combined with learning which is another indicator (≠4).

Moreover, as Table 3-5 shows, the word ‘adapt’ is not mentioned in the statements that are mostly about programme review and evaluation. However, one may understand that only Expert and Practitioners levels can adapt through those changes that need to be clearly justified with the evaluation in mind.

Monitor, Learn and <i>Adapt</i> : This competence is about using a wide range of information to monitor and track programme results; to draw on and generate learning during the programme cycle, adopting <i>deliberately adaptive interventions</i> where appropriate.	
Use learning and evidence on performance to <i>adapt</i> programmes as necessary	
Awareness	<ul style="list-style-type: none"> • Is aware of whether or not an evaluation is planned of the programme, and where to go for evaluation support. • Aware of whether or not the programme is on track to achieve its objectives, and any annual review recommendations.
Working	<ul style="list-style-type: none"> • Engages closely with implementing partner(s) on Annual Review process and resultant changes to outputs. • Identify opportunities to share learning with others as appropriate.
Practitioner	<ul style="list-style-type: none"> • Demonstrates a more detailed understanding of evaluation and research approaches and when to commission as part of project design. • Uses evidence generated by the programme and from outside to review the Theory of Change, making timely changes as necessary.
Expert	<ul style="list-style-type: none"> • Regularly reviews the programme's theory of change, tests assumptions, and identifies necessary changes.

Table 3-5 Example of one Assessment indicator at four proficiency levels (DFID, 2021, p. 12)

Managing the programme cycle is expected to be in line with the Smart Rules that provide programmes’ operating framework to ensure “high standards of programme delivery and due diligence” through adaptation and influencing the local context (DFID, 2020, p. 5).

Four main parts constitute these Smart Rules: 1) The Principles, Rules and Qualities, 2) Governance, 3) Portfolio development standards, and 4) Programme design and delivery standards.

The ten Principles (Annex 3-9) are related to being professional; transparent; innovative; ambitious; context-specific; evidence-based; responsible and accountable; proportionate and balanced; collaborative; and honest (p. 9).

The Rules for managing the projects cover the operating framework; design; mobilisation; procurement and competitive tendering; delivery; financial management; and extension and closure (pp. 10-14).

The operating Qualities consider technical quality; risk management; use of evidence; value for money; economic appraisal; the partnership principles; principle of development effectiveness; transparency; and commercial standards (pp. 14-22). These Qualities are very much connected to the Principles and are also reflected in the delivery competences (2021, p. 6).

For example, one technical quality considers the understanding of the political and economic context and how the programme intervention might affect or be affected by it (2020, p. 14). This is clearly related to the three principles: context-specific, evidence-based, and proportionate and balanced (p. 9). Furthermore, the same quality is also reflected in the competence Monitor, learn and adapt interventions when one perceives changes in the context (2021, p. 6). This competence together with the 6th which focuses on “effective relationships, communicate, influence, negotiate and manage stakeholder relationships” (2021, p. 6) highlights a link to another quality concerned with ensuring “that the views and experiences of citizens and beneficiaries inform the design and delivery” of programmes (2020, p. 15). Table 3-6 shows the connection between the Smart Rules and the competences.

The <i>Smart Rules</i> Parts	Relation to competence
1)The Principles, rules and qualities	# 5- Monitor, learn and adapt, 6- Engage others
2) Governance	# 7- Programme leadership
3) Portfolio development standards	# 3- Financial management
4) Programme design and delivery standards	# 1- Managing the programme cycle, # 2- Managing risks and issues, # 3- Financial management, # 4- Commercial acumen, # 5- Monitor, learn and adapt, # 6- Engage others, # 7- Programme leadership, # 8- Technical

Table 3-6 Author’s analysis of the relation between Smart Rules (DFID, 2020) and Competences (DFID, 2021, p. 6)

Learning and sharing knowledge is not only evident in the framework and the Smart Rules but also in the investments that DFID did for few initiatives (ODI, 2017; GLAM, 2020) to see the light and provide a space for practitioners and researchers to share their knowledge.

However, while there is no reference as to how the framework is developed, the “programme delivery competences” are presented as a process of the actual delivery and therefore understanding them requires reading the Smart Rules and possibly other documents as well as having some first-hand experience in the adopted practices. This presentation is not easy to follow at least by a novice trying to build some awareness (entry level) around the subject.

USAID

The United States Agency for International Development (USAID) shifted “its focus away from technical and capital assistance” towards the approach that aims at basic human needs which includes food and nutrition, population planning, health, education, and human resources development (USAID, 2021).

It aims for a culture of leadership and accountability where the identified “leadership methods” will ensure “an empowered and adaptable workforce that can thrive in our world’s increasingly complex

and changing environments” (2018b, p. 1). Their philosophy “enables leadership at all levels to foster a culture of respect, learning and accountability” (2018a, p. 2).

The mission of USAID is to end the need for foreign assistance by “partnering with countries along their journey to Self-Reliance”. To do this it needs to “transform itself as an institution” including people, policies, practice, and budgets (2019b, p. 3).

The employee handbook (2019a) details the process of the performance and development that employees need to understand so that they can “meet the expectations of their role in support of the Agency mission” (p. 3) while upholding its core values. Supervisors are accountable for modelling and articulating these together with the required skills detailed in the ‘Foreign Service/Senior Foreign Service (FS/SFS) Skills Framework’ by “describing what they mean in behavioral terms” (p. 9).

Four core skills - Leadership, Result and Impact Focused, Professionalism, Talent Management- and their sub skills are defined (Annex 3-10) for four different levels (apprentice, journey, master and teacher) (2018c) that relate to the influence the individual has. For example, a teacher influences the operating unit (the project), the mission’s local office and the external partners with which USAID is collaborating, while the apprentice’ work affects the team, a committee or a working group.

For the Leadership Vision which is about formulating and implementing vision and strategy while considering the “local context, foreign policy and development priorities”, the teacher is expected to formulate and lead implementation of a “compelling vision”, communicate it in a way that engages stakeholders, and motivate employees to contribute towards it.

The master, who is expected to contribute to formulating the strategy and translating it into objectives, would address implementation challenges and lead collaborative efforts to find solutions. Staff at the journey level, establish a shared understanding of the vision and the objectives that would translate into plans, and guide the implementation of activities or adapt them in the context of the vision. This requires the contribution of the apprentice through planning and carrying out individual work and recommending actions or solutions using own technical knowledge (2018c, pp. 2-3).

The employee guidebook (2019a) presents the GAPS Model as a “helpful tool to increase self-reflection and self-insight” when planning for own development. This model covers the personal goals and values, abilities, others’ perceptions, and the success factors that are relevant to the assumed role according to the agency’s standards (Figure 3-12). Some of the questions that are proposed would trigger self-reflection around “personal interests and values [that] are critically important” to the person (**G**oals and values), the “special qualities and abilities” that the person possesses and where they have been demonstrated (**A**bilities), how one can “gather additional feedback on... past and

current performance to help make better decisions” related to one’s future (**Perceptions**), and “how is success defined” and what does “the organization value” (**Success factors**) (2019a, p. 25).

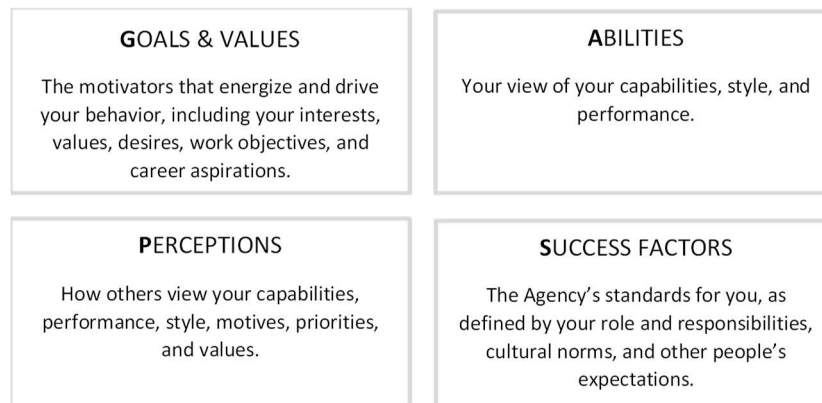


Figure 3-12 Author's adaptation of the GAPS Model figure (USAID, 2019a, p. 25)

USAID recognizing that adaptive management skills are important in the development sector, published its guide to hiring adaptive employees (2019c) which are “regardless of title, who in collaboration with relevant stakeholders, systematically acquire and use knowledge to make decisions and adjustments in their work in order to achieve greater impact” (p. 3).

It also claims that the adaptability quotient (AQ) which is the “ability to adapt and thrive in an environment of change” has become a critical capacity alongside the intelligence quotient (IQ) and the emotional intelligence (EI) (2019c, p. 4). When employees are expected to work in “highly complex situations”, and “navigate multiple pathways to success” and deal “with lots of change”, they need to be adaptive (p. 6). This adaptability is translated as desired qualifications grouped in *Table 3-7*.

Behaviours	Mindsets	Competencies
1) Focus on Results and Impact <i>Instead of</i> Checking the box	care & motivation	Vision & Commitment; Systems Thinking; Assessing, Taking & Managing Risk; Managing & Measuring Work.
2) Facilitates Learning & Builds Relationships <i>Instead of</i> Directing by using own experience	humble & relationship oriented	Listening; Vulnerability & Courage; Inclusive Leadership; Political Acumen; Conflict Prevention & Management
3) Continuously Learns and Improves <i>Instead of</i> Maintaining the status quo	growth mindset & solution oriented	Curiosity; Critical & Reflective Thinking; Decision Quality; Problem Solving; Self-awareness & Personal Improvement.
4) Navigates Change <i>Instead of</i> Resisting change	ready for the change	Comfort with Ambiguity; Flexibility; Emotional Resilience; Change Management.

Table 3-7 Author's grouping of the Desired Qualification for an Adaptive Employee from Guide to Hiring Adaptive Employees (USAID, 2019c, pp. 5-8)

However, the recent framework (2018c) refers to adaptability as a subskill of Professionalism and is defined as being “open to change and new information; adapts behavior and work methods in

response to new information and opportunities, changing conditions, or unexpected obstacles.[and] Adjusts rapidly to new situations and priorities warranting attention and resolution” (p. 6).

Although USAID believes that they have “elevated the importance of adaptive management through a variety of high level policies and frameworks, including the integration of CLA³” (2019c, p. 4), Martin et al. (2020) argue that their shifting to this approach “is still recent” and “not everyone in the organization is fully convinced of its merits or understands how to apply it to their work” (p. 21).

In the absence of any framework related to Recipient representatives, USAID’s definition of the self-resilience can be a useful guide to identify competencies needed for the Donor’s counterpart.

“USAID defines self-reliance as the capacity to plan, finance, and implement solutions to local development challenges, as well as the commitment to see these through effectively, inclusively, and with accountability.”
(USAID, 2019b, p. 5)

Another source of guidance for the same purpose can be the study USAID co-funded (Buell, et al., 2020) where they focused on constituent engagement that will inform programme design and adaptation on one side, and the commitment of donor at all levels to adapt their programmes.

This commitment has been demonstrated through several initiatives of USAID policy makers by joining hands with DFID to fund GLAM⁴ and by their published guidebook to hiring adaptive employees, but not yet in their framework.

Conclusion

Reviewing the titles and themes related to the competencies included in the documents discussed above suggests that similar concerns are addressed in these frameworks (*Table 3-8*) while some suggested behaviours can be linked to EI, SI and/or CI competencies (*Table 3-9*).

Concerns	UN	WBG	UNDP	OECD	FCDO	USAID
Accountability/Responsibility	√	√	√	√	√	√
Collaboration/Teamwork	√	√	√	√	√	√
Adaptation/ Change/Flexibility	√	√	√	√	√	√
Learning/ Develop	√	√	√	√	√	√
Planning/Vision/Strategy	√		√	√	√	√
Connecting/Networking	√	√	√	√	√	
Analysis/Thinking/Judgment	√	√	√	√	√	
Results/Impact	√	√	√	√		
Risk/ Ambiguity		√	√		√	√
Diversity/inclusion/Cross-Cultural		√	√	√		√
Partner	√		√			√
Client Focus		√				

Table 3-8 Concerns addressed in the discussed Frameworks as can be seen in the titles and themes.

³ Collaborate. Learn. Adapt. for Better Development Results

⁴ The Global Learning for Adaptive Management initiative (GLAM)

Statements related to EI, SI and CI competencies	
UN	<p><u>Connect and Collaborate</u>: identify with emotions and perspectives of others (SI); and recognize, understand, and monitor own feelings and emotions (EI) using that information to guide thinking and actions (CI).</p> <p><u>Analyse and Plan</u>: Gather, analyse and evaluate data from a wide range of credible sources to define the problem and inform evidence-based decision-making (CI).</p> <p><u>Adapt and Innovate</u>: manage own emotions in the face of stress (EI), critical thinking (CI)</p>
WBG	<p><u>Collaborate Within Teams and Across Boundaries</u>: Includes others (SI) in own work and thinking (CI)</p> <p><u>Make Smart Decisions</u>: Analytical thinking, and focus on empirical data (CI), but also the ability to make decisions and take action (EI)</p>
UNDP	<p><u>Engage and Partner</u>: demonstrate empathy and emotional intelligence (EI), showing consideration for the needs and feelings of others (SI)</p> <p>Think Innovatively (CI)</p>
OECD	<p><u>Vision & Strategy</u>: involves looking ahead and thinking about future possibilities while embracing trends (CI)</p>
FCDO	<p><u>Monitor, Learn and Adapt</u>: Identify the data and evidence needs for a project (CI)</p> <p>Programme Leadership: Lead others to drive results (SI)</p>
USAID	<p><u>Leadership</u>: Assesses the environment, including the local and international context (CI). Builds consensus and partnerships (SI)</p> <p><u>Results and Impact Focused</u>: Combines substantive knowledge of backstop, local and international context (CI), ...to manage, solve problems, take smart risks, meet customer needs (SI) and achieve sustained results.</p>

Table 3-9 Sample statements that suggest Intelligence Competencies

The previous discussions show that different organizations use the same terms to mean slightly different issues related to the competencies that this study is attempting to identify while they are mostly describing behaviours.

None of the frameworks, however, deal with Recipients as all six organizations covered the skills their staff should develop to meet their goals and missions, and only the UN mentioned the source of the data that was used to update its framework.

On the other hand, USAID and FCDO mention a clear link to the civil servants' performance management which may be more general and might justify the development of other documents that explain the process and the context of development projects.

WBG and UNDP, in addition to the core competencies, adopt management related frameworks while WBG includes only a general definition for each People Management, UNDP clarifies that several leadership competencies are reflected in the Core Behavioral competencies because they apply to all staff and not only to managers.

Defining and presenting competency frameworks to successfully contribute to solving complex issues through development projects is far from being a simple task especially when needing to consider the

local, national, international, institutional and policies requirements which might necessitate justified links to other government regulations, as in the case of USAID and FCDO.

In conclusion and in view of the high number of interlinked documents and details provided by most organizations to clarify the competencies, it is obvious that the majority missed at least on one aspect of what Campion et al. (2011) recommended for developers of competency frameworks as they need to keep the right balance between details and simplicity, focus on the core ideas, and visualise to “enhance memorableness” (p. 249).

More details about similarities and differences between these frameworks and also how they link to the proposed framework are presented in The Discussion Chapter (Six).

On a different front, in a working paper series published in the GLAM library (Teskey & Tyrrel, 2021), the authors question whether adaptive management (AM) is an “emerging practice” that might replace the currently adopted methods such as the logical framework or the theories of change and “shift practice away from linear and planned approaches” (p. 6).

The argument here is that more reflexivity and elasticity is needed, which brings in the usefulness of USAID’s GAPS Model (USAID, 2019a, p. 25).

Teskey and Tyrrel (2021) explore how the adaptive approaches will differ from the traditional ones. For example, traditionally the delivery sequentially followed the design stage while with the authors’ proposed PILLAR⁵ approach, it “occurs at the same time as ‘design’”.

“Either we accept the challenges and embrace PILLAR, or we resign ourselves to the likelihood of continued program underperformance or failure.”
(Teskey & Tyrrel, 2021, p. 23)

Furthermore, monitoring and evaluation (M&E) has been initially for accountability purposes while the objective with the adaptive approach is “on learning and rapid cycle evaluation to inform programming in real-time”. And the traditional reporting on positive results will need to shift its focus towards failure to strengthen learning (p. 17).

In addition to the Soft Skills that they introduce (Table 3-10), Teskey and Tyrrel (2021) propose four core AM competency areas which are: Leading from behind (locally led), Thinking Politically, Navigating by Judgement, and 4) Collaboration (Annex 3-11).

⁵ PILLAR: Politically Informed, Locally Led and Adaptive Responses

Soft Skills
• Commitment to gender equality and inclusion
• Self-reflective and able to acknowledge failure and learn from it
• Comfortable to operate in uncertainty
• Comfortable 'leading from behind', and committed to building the capacity and motivation of counterparts to lead work
• Ability to apply politically sound judgement in decision making
• Able to work within a small team and with significant autonomy
• Willing to be vulnerable and reveal what they do not know or understand
• Resilience, persistence, and "grit" – willing to see out difficult or demotivating periods
• Intrinsically motivated

Table 3-10 Soft Skills required to be adaptive or enable adaptation proposed by Teskey and Tyrrel (2021, p. 61)

Three levels of understanding of AM competencies (Awareness, Skilled professional and Expert) are explained with an emphasis that all staff should have an 'awareness' of the ways of working. These are discussed in more details in Chapter Six.

In conclusion, there is certainly a need to reconsider the structure of most of the existing frameworks presented in this Chapter including the competencies' descriptions while using a clear terminology. This is in the purpose of attributing greater prominence and clarity to some important elements due to their high impact on desired behaviour and because they should get the right attention by the concerned (Campion, et al., 2011, p. 256).

This Chapter covered the definitions and approaches of competencies and the evolution of the multiple intelligences theories to clarify the approach this study is using to cluster competencies under three intelligences, the emotional (EI), social (SI) and the cognitive (CI) linked to behavioural indicators.

A review of the rationale and techniques used to develop frameworks followed leading to an examination of practices of six organizations which will be revisited in the Chapter Six to compare them with the framework that this study is proposing.

The research Methodology that is adopted for this study is discussed in the next Chapter.

4- Methodology

This Chapter presents the methods and tools used throughout the different steps of the research journey and the literature that guided related decisions.

To summarise, data was collected through 12 semi-structured interviews using a Behavioural Event Interview (BEI) approach where participants, Donors and Recipients, shared success stories they have experienced while working in international development projects. It is because the “meaning work takes on for workers in their experience of it rather than a set of attributes, constitutes competence” (Sandberg, 2000, p. 9).

The shared stories described actions, behaviours, and beliefs of the different involved parties. The analysis of how these impacted the successful outcomes led to the indicators that were grouped to form the final competency framework.

A second phase of data collection was initially planned to collect feedback from new participants in a workshop setting that would have taken place in Lebanon mainly to allow more contributions from local Recipients and to validate the findings (Batt, et al., 2020, p. 5). The feedback would have been considered to confirm the final structure and elements of the Framework.

The difficulties that candidate participants (Donors & Recipients) were facing at the different parts of the world, namely a Global Pandemic and economic crisis in Lebanon, limited their availability within the feasible time limits for this study. Several options to complete this research were investigated and the most feasible one was a detailed desk review of the existing frameworks that are published by various Donors.

The next sections present how the literature guided the adopted paradigm, positionality of the researcher and the research design, starting with the research philosophy.

Research Philosophy

The study considers that ‘Competency’ should be examined in terms of the “lived experience” which includes two elements: work and worker, and consequently is adopting an Interpretative Approach to Competence rather than a “rationalistic” one (Sandberg, 2000).

This section presents the literature leading to this approach starting with the Research Question, the assumptions behind it, and the answers to the ‘what is’ (ontology) and ‘what can be known’ (epistemology) (O’Mahoney, 2019) and how.

Research Question

This research is focusing on the following question:

WHAT set of competencies (Emotional, Social and Cognitive Intelligences) is needed by Donor and Recipient representatives – when jointly working on project activities – in order to reach successful interventions and produce new knowledge that can be fed into the two systems because it is important for decision making related to future International development projects?

The '*WHAT*' here remains open to account for any aspect that the collected data will suggest as being crucial according to, initially, what the research participants perceive to be successful. However, the context is focusing on '*WHAT*' will impact the joint efforts rather than the individual work before, during or after the related activities. This question can then be described as "...'general enough to permit exploration but focused enough to delimit the study' (Marshall & Rossman, 2016)" (Madden, 2021, p. 4).

Assumptions

The research question suggests ten underlying assumptions which in turn signal how the "nature of reality" (ontology) is viewed by the researcher and "how whatever exists can be studied and known" (epistemology) (O'Mahoney & Vincent, 2014, p. 1).

Guided by the two questions that O'Mahoney (2019) suggests in relation to "the ontology (what is) and epistemology (what can be known)" but in the perspective of 'management' (p. 68), the elements of these assumptions and their links to these questions have been identified, and grouped in Table 4-1.

Sandberg (2000) elaborates on the "interpretative approach" that includes two questions in the same line as O'Mahoney's (2019) but with a focus on the understanding of human competence:

"...the term *conception* is used to refer to people's ways of experiencing or making sense of their world... a conception signifies the indissoluble relation between [1] what is conceived (the conceived meaning of reality) and [2] how it is conceived (the conceiving acts in which the conceived meaning appears)." (Sandberg, 2000, p. 12)

The answers to these two questions and how this reflection led to the conclusion that this study is adopting an Interpretative Approach to Competence rather than a "rationalistic" one (Sandberg, 2000) follow next.

Assumptions		Questions
A.1	Competency frameworks have been developed and used because they are considered <i>useful in framing</i> and <i>informing</i> concerned actors about 'WHAT' is needed in specific job situations so that resulting performance leads to achieving related tasks.	What is?
A.2	Existing frameworks may <i>not</i> be <i>considering all</i> 'WHAT' is needed in the <i>specific context</i> of this study, or they are <i>not clear enough</i> to make sure that concerned actors are <i>well informed</i> .	Is there a gap?
A.3	'WHAT' can apply not only to one specific person therefore the frameworks can be considered <i>general</i> for actors yet for <i>specific situations</i> .	What is?
A.4	'WHAT' <i>influences</i> actions, therefore perceived ineffective performance is <i>linked</i> to one or more missing <i>aspect</i> .	
A.5	'WHAT' is <i>open</i> to include any aspect that <i>causes</i> the performed action responsible for producing the target <i>output</i> and causing <i>performance</i> to be <i>classified</i> as being "effective or superior" (Boyatzis, 2008, p. 8)	
A.6	'WHAT' can include <i>anything</i> ranging from beliefs, feelings, values, attitudes, knowledge, tendencies, abilities, or behaviours.	
A.7	The <i>interaction</i> between the elements of the 'WHAT' and <i>performance</i> can be <i>explained</i> by an <i>event, concept and/or theory</i> .	What can be known and how?
A.8	Some actors in the field have <i>taken part in events</i> that can <i>shed light</i> on how these <i>interactions</i> happen and influence the joint work.	
A.9	The shared <i>stories</i> will <i>describe</i> the input (action) and the output (perceived success).	
A.10	<i>Analysing</i> the described <i>actions</i> and their consequences through a <i>clear process</i> will help identify the <i>causes</i> and consequently any <i>element</i> of the 'WHAT'.	

Table 4-1 The ten assumptions behind the Research Question.

What is?

The ten assumptions behind the Research Question (Table 4-1) led the author to define Competency as:

an 'intelligence' (for example emotional, social, or cognitive) that enables its holder to think, behave and eventually perform appropriately in a specific situation and in a way that can be considered constructive and productive to ensure the achievement of the set objectives. In that sense the existence or the absence of a competency will impact on-the-job performance of a specific task.

The way of viewing Competency, as described by Sandberg (2000, p. 9) is a "multimethod-oriented" approach because it incorporates two lines of thoughts:

- 1- the "worker-oriented" where "competence is primarily seen as constituted by attributes possessed by workers ... (Veres et al., 1990: 87)", and
- 2- the "work-oriented" that considers "the work as the point of departure (Fine, 1988; Flanagan, 1954)".

Furthermore, the sought 'intelligence competency' is not "consisting of two separate entities" – *work* and *worker*- but rather is "one entity through the lived experience of work" (Sandberg, 2000, p. 11).

In this logic, while the rationalistic approaches to competence view the “prerequisite worker attributes” as context independent, findings of interpretative studies confirm that “attributes used in a particular work acquire their context-dependence through the workers’ ways of experiencing that work”. Furthermore, the “tacit dimension”, which is “overlooked” by the former, is considered a “central feature of the context-dependence of competence” (pp. 11-12).

“Giddens noted the following:
 “[Work activities are] largely carried out in practical consciousness. Practical consciousness consists of all the things which actors know tacitly about how to 'go on' in the contexts of social life without being able to give them direct discursive expression” (1984: xxiii).”
 (Sandberg, 2000, p. 12)

What can be known?

We can identify candidate intelligence competencies by examining the context of the particular situation and the concurrent behaviour of the people involved. Such examination can be done with the contributions of people who have experienced similar situations and can reflect on what made success possible or caused failure.

This is so because the context, phenomena or “the lived experience” (Groenwald, 2004; Sandberg, 2000) of work are best expressed by the workers themselves.

Moreover, we can compare the candidate intelligence competencies with existing frameworks to avoid “descriptions of competence that are too general and abstract” as they might have been developed using “rationalistic” or “worker-oriented” approaches (Sandberg, 2000, p. 10).

The outcome of this comparison will either confirm or dismiss the second assumption which is ‘Existing frameworks may not be considering all ‘WHAT’ is needed in the specific context of this study, or they are not clear enough to make sure that concerned actors are well informed’. This comparison can also be a way of confirming the relevance of the research findings because “assessing truth claims is an iterative process of correcting by comparing alternative knowledge claims within a certain research perspective as well as between specific research perspectives” (Sandberg, 2005, p. 52).

These interpretations point to a paradigm that is closer to *an Interpretative Approach to Competence*.

Moreover, Bryman (2016) elaborates on the principles that positivism entails as they touch on phenomenism, a deductive approach and an inductive strategy and affirm the “importance of imitating the natural sciences” while conducting social science studies (p. 24).

He further elaborates that other writers dismiss this stand as they consider that applying a scientific model to a “study of the social world” with its subjects being people and their institutions is not an appropriate approach. In this case, the strategy should be one that prioritises people and their

experiences and this “requires the social scientist to grasp the subjective meaning of social action” which is the foundation of Interpretivism (p. 26). Furthermore, because humans “act on the basis of the meanings that they attribute to their acts and to the acts of others”, the social scientist’s job is to “gain access to people’s ‘common-sense thinking’ and hence to interpret their actions and their social world from their point of view” (p. 27).

According to “Strandmark and Hedelin (2002)”, when the research is aiming “to uncover the essence of the phenomenon, its inner core, what the ‘thing’ is, and without which it could not be what it is”, it falls under phenomenology (Larsson & Holmström, 2007, p. 59), which is one of “the major... stripes of interpretivism”, “interpretativism, or interpretationism” (Cibangu, 2023, pp. 646-647).

Therefore, this research using the interpretative approach is best described as being under Phenomenology because its “work is not the function of a subject’s needs and drives, rather it is a work that inquires into the characteristics of actions situated in the world.” (Cibangu, 2023, p. 654).

As Interpretivism rejects “a dualist ontology, and objectivist epistemology, and the assumption of language as a mirror of reality”, it is argued that, this “led to a crisis among qualitative researchers using interpretive approaches about which criteria, if any, are suitable for justifying the knowledge produced” (Sandberg, 2005, p. 45).

This may explain why “self-reflexivity [has been] at the heart of [the] practice” of phenomenology “since its inception” (Cibangu & Hepworth, 2016, p. 149) as it could be one way of staying alert and keeping one’s personal influence on the research process “in-check” (Bryman, 2016, pp. 34-35).

This and all the preceding arguments highlight issues that need to be considered in order to ensure high quality study and credible results.

How?

Having an interpretivist approach when studying the phenomena - that the participants have lived in the context of the joint working with counterparts in development projects - to identify the ‘WHAT’ for this research, calls for an appropriate reasoning.

According to Bryman (2016), when the study relies “on explanation and understanding of participants’ worldviews” it is Abduction as it goes beyond the researcher being focused on staying in touch with the world as in the case of induction (p. 394).

And, when “maintaining a balance of theorising with empirical data” is also an important aspect, it is then “abductive research” (Thompson, 2022, p. 1410).

How the abductive methodology is used in this research will be discussed in more details in the Research Design section below that includes the adopted process (Table 4-4).

To conclude, Sandberg's (2000) approach to understanding human competence proved useful to framing the paradigm for this study which is Phenomenology as an Interpretative Approach to Competence. And when the objective of the researchers is to "find the most logical solution and useful explanation for phenomena (Coffey & Atkinson, 1996; Hurley et al., 2021; Peirce, 1974; Reichertz, 2013)", it is the "abductive methodological design underpinning their analysis" that ought to be acknowledged (Thompson, 2022, p. 1411).

Before moving to the Research Design, it is important to present the views contemplating on the 'insider' position of the researcher that signalled important steps to consider in order to take advantage of the presented opportunities and to be cautious of eventual challenges while interpreting the collected data.

Insider/ Outsider Research

The position of the researcher in relation to the environment under study is a concern that has been the subject of several debates. Hayfield and Huxley (2015) elaborated on advantages and disadvantages around an insider conducting particularly qualitative research. This "privileged research position" that one holds will influence the choice of the research question, the structure of the interview, the selection of the participants who are in the same position as the researcher, and more critically the interpretation of the collected data (see also Olukotun et al. (2021).

According to Hayfield and Huxley (2015), being an insider means that the researcher knows if not all but most of the participants who may have "high expectations" which tends to make them more open to disclose information that will lead to "richer and deeper data". On the other hand, "the assumption of shared understandings can be problematic" and the blurry boundaries "may cause ethical difficulties", and when combined could lead to overlooking or taking "for granted" or misunderstanding the "participants' perspective". However, "naive questions" that an outsider may ask could prove more useful to triggering deeper conversations and highlighting those issues that an insider may take for granted in spite of being more "culturally sensitive" (pp. 92-93).

"An insider-researcher may be defined as a scholar who is native to the setting of the research and who conducts research involving populations of which s/he is also a member (Asselin, 2003; Erdal, Ezzati, & Carling, 2013; Kanuha, 2000; McDermid, Peters, Jackson, & Daly, 2014; Merton, 1972)." (Chammas, 2020, p. 537)

While Brannick and Coghlan (2007) claim that “the value of insider [organizational] research is worth reaffirming” (p. 59), Chammas (2020) highlights the importance of the researcher’s knowledge of “the population served....[and] the setting” while conducting research (p. 537).

The insider-researcher, being part of the population under study, not only speaks the same “language” of this population, but also has common “experiential base”. These commonalities, among others, influence the insider-researcher’s “personal disposition” that will also affect “her interactions with participants, the languages she uses, the knowledge she obtains, and how she interprets and reports on her findings throughout the research process (Jankie, 2001)” (Chammas, 2020, p. 537).

According to Brannick and Coghlan (2007), the arguments considering organizational research when conducted by insiders as problematic and leading sometimes to “difficulty in being accepted as real research”, are based on the assumptions that concerned researchers who are emotionally engaged in the specific setting may have “a personal stake” which could prevent objectivity in the research process. And for them, it is “through a process of reflexive awareness” that insider-researchers are able to reframe “tacit knowledge ...as theoretical”; and it is because they “know it well, that [they] can research it” (pp. 59-60). So, “examining positionality” (Chammas, 2020, p. 539) and staying alert of this relationship between the “researcher and the object of research” (Brannick & Coghlan, 2007, p. 60), and being Reflexive is critical.

To address similar concerns, Olukotun et.al (2021), a group of eight female “qualitative health researchers whose scholarship is informed by critical and postcolonial feminist epistemologies” reflected on positionality and analysed its related “recurring methodological tensions” (p. 1411). The context of their main

“Engaging in self-reflexive praxis allows researchers to identify areas of tension in the research process that need to be further deconstructed.”
(Olukotun, et al., 2021, p. 1411)

research activities was around improving the health of marginalized women, which at least five of them were at some point in their lives. They reflected on their “collective experiences... to capture the lessons learned” (p. 1413) and proposed the following questions which they described as critical and “implore[d]” researcher dealing with “socially and historically marginalized participants” to consider:

“What biases do I have regarding my research participants? What historical, social, cultural, and political factors shape the experiences of my research participants? What strategies can I employ to center my participants’ authentic experiences? What issues centered around researcher positionality can I preemptively address?”
(p. 1423)

However, “Reflexivity informs positionality” and it is also “a process for developing and shaping” it too (Holmes, 2020, p. 2) therefore the reflexive approach is necessary for all researchers but more so for insiders (Koopman, et al., 2020, p. 6).

Holmes (2020) further argues that each researcher has his/her unique positionality that normally influences his/her choices of the subject, the participants, the context, and the research process. And while the fixed aspects of positionality “are culturally ascribed” like gender, race, skin-color, and nationality, the fluid aspects are more subjective of the

“Self-reflection and a reflexive approach are both a necessary prerequisite and an ongoing process for the researcher to be able to identify, construct, critique, and articulate their positionality.”
(Holmes, 2020, p. 2)

researcher’s personal experiences and life history. The implication of the researchers’ positionality is that “they are not separate from the social processes they study” (pp. 2-3). Consequently, it is vital for them to reflect in order “to understand their influence on and in the research process” as their positionality will guide how they will interpret and understand other research as well as their own data. (p. 3). He also brings in the debate around the insider-outsider positionality and whether any can be at a more advantageous position which also depends upon “one’s perspective” (p. 6). He lists advantages and disadvantages for being an insider as they touch on the easy access to the culture, the possibility of being biased, the type of questions asked, trust, formulating descriptions, perspectives, and familiarity with the verbal and non-verbal cues.

Furthermore, a researcher “may not be either an insider or an outsider” but he/she “may inhabit multiple positions” (Holmes, 2020, p. 6) and sometimes “multiple identities” (Koopman, et al., 2020, p. 1) depending on the context and the situation and also because “there is nothing fixed about boundaries separating Insiders from Outsiders” (Holmes, 2020, p. 7). Holmes also discusses a paper by “Herod (1999)”⁶ where the author reflects on his own experience in interviewing. In addition to the changing positionality two more issues are highlighted in this paper which are the “ability [of interviewers] to consciously manipulate their positionality” and where interviewees place them (inside or outside) (p. 7).

Consequently, staying alert and reflecting on where one stands and how all these elements combined could affect the process and influence the research findings will increase the chances to improve research quality. This “ongoing self-scrutiny”- *reflexivity*- is “essential for ensuring rigor” (Koopman, et al., 2020, p. 1).

⁶ Reflections on interviewing foreign elites, praxis, positionality, validity and the cult of the leader (Herod 1999)

How the different advantages and disadvantages in the process of this study are considered is evident in related sections below. What knowledge inspired the relation to Reflexivity/Reflectivity is summarized next.

Ben-Ari and Enosh (2020) argue that “reflective processes simultaneously involve both a state of mind and active engagement” where the latter involves constant “movement of awareness both into and out of the phenomenon” (p. 24). They present the four levels of “reflectivity or reflexivity... and reflection” (p. 23) that they had identified in their earlier works in 2005 and 2011. These are: observation, accounting, deliberation, and reconstruction.

Observation is “the earliest and most basic forms” of acquiring knowledge which will be followed by accounting for one’s own experience in relation to the phenomenon under observation. This is when the researcher “tries to be true to the participants’ narratives

“As researchers, we focus both on what is being said or done by participants (content) and on the framework within which the communication takes place (context).”
(Ben-Ari & Enosh, 2020, p. 35)

and interpretations” and makes choices related to own interpretations. The deliberation is when “reflectors” are engaged in inductive meaning creation “out of repetitive patterns in the accounts” which will lead to “a comprehensive conceptual model of the phenomenon at hand”. At the reconstruction level, the produced knowledge is being integrated in the “wider context of the phenomenon” to include the “different perspectives, ideas, themes, and categorizations that emerged, into a coherent framework of understanding” (pp. 25-27).

In this model, the accounting (own experience) and deliberation (inductive meaning creation) levels could be seen as more crucial for the self-reflection of the insider-researchers who need to clarify their positionality and keep the participants’ voice (inductive) in focus while engaging in the “interpretive activity” (p. 37).

However, Ben-Ari and Enosh (2020) discuss a “tensioned duality” of the researchers’ role “as knowledge producers and as research partners” which prevails when applying the “constructivist principle”. Because, while examining own positionality in the researched context, the “researcher becomes the researched, turning one’s awareness back on one’s experiences (Mead, 1934)” (p. 34). Then again, the researchers’ role is one of a “liminal nature” making them insiders (emic perspective) and outsiders (etic perspective) at the same time. And when they are actually insiders engaging in “some form of auto-ethnography”, they, within the “relational context” are at the “etic position vis-à-vis” the phenomenon under study. (p. 38)

This critical and complex approach necessitates constant questioning (Olukotun, et al., 2021) and reflection on all the elements on hand before constructing knowledge (Ben-Ari & Enosh, 2020; Koopman, et al., 2020; Holmes, 2020; Chammas, 2020; Hayfield & Huxley, 2015; Brannick & Coghlan, 2007).

Researchers, when engaged as insiders or when they are “part of a culture” (Ellis, et al., 2011) that is under study, can adopt autoethnography and tell their own story also and analyse it to justify why it is valid.

“When researchers do *ethnography*, they study a culture's relational practices, common values and beliefs, and shared experiences for the purpose of helping *insiders* (cultural members) and *outsiders* (cultural strangers) better understand the culture (MASO, 2001).”
(Ellis, et al., 2011, p. 2)

Furthermore, “Adams et al. (2015, p.2)”, as Poulos (2021) argues, describe autoethnography as the qualitative research method that “strives for social justice ... to make life better” by using “a researcher’s personal experience to describe and critique cultural beliefs, practices, and experiences”, and “acknowledg[ing] and valu[ing] a researcher’s relationship with others”, as it “balances intellectual and methodological rigor, emotion, and creativity”, and “uses deep and careful self-reflection ... to name and interrogate the intersections between self and society, the particular and the general, the personal and the political”, while “show[ing] people in the process of figuring out what to do, how to live, and the meaning of their struggles” (p. 4).

On the other hand, autobiographical research that includes personal narrative and auto-ethnography is a “challenging form of scholarship” due the “uniquely experienced obstacles” such as self-presentation, introspection, objectivity, and ethics (Harder, et al., 2020, p. 239).

Considering all the preceding, how the author’s positionality as an insider affected [this](#) study is what discussed next.

Positionality

It is certainly a privilege (Hayfield & Huxley, 2015; Olukotun, et al., 2021) to have access to a number of actors representing Donor and Recipient who welcomed the invitation to participate in this research and were ready to discuss openly even some confidential information and events while trusting (Holmes, 2020) that they will be protected and used constructively. The researcher’s familiarity with the language and the terminologies that are used on daily basis in the sector (Chammas, 2020) is yet another advantage.

On the other front, there were concerns about the ability to remain detached from the data and treat it ‘scientifically’ in order to convey some level of objectivity to the readers while aiming to raise it as high as possible. For that purpose, triangulation (Patton, 2015; Kempster & Parry, 2011; Saunders, et

al., 2007; Bueno, 2016; Patton, 2002; Callaghan, 2016) and adding multiple perspectives was at the focus of the data collection plan and analysis.

From the very beginning of this research journey the author has been aware of her positionality as an insider but not on how this might affect the study. Close monitoring of the progress and the feedback from the supervisors who in a way can be considered outsiders pinpointed areas and moments where reflexivity was needed specifically to keep the personal influence (subjectivity) “in check” (Bryman, 2016).

When designing the data collection plan, the researcher considered adding her own stories to those of her colleagues but was torn between the risk that some may not consider the study “as real research” (Brannick & Coghlan, 2007). Since more than one participant shared stories she took part in, she decided to keep her own voice in the interpretations of the data only. Whether for thinking “data saturation” (Braun & Clarke, 2021b) is reached or because of her “reflexivity” for the sake of minimizing her “subjectivity” (Braun & Clarke, 2021a), the final decision was to drop the idea of engaging in autoethnography.

Reflecting on two interviews (discussed in details in Data Collection section below) was an eye opener and urged the researcher to focus more on staying an ‘outsider’ to avoid filling the gaps (Ellis, et al., 2011) and assume shared understanding and eventually taking for granted the interviewee’s perspective (Hayfield & Huxley, 2015).

This was not easy as she needed to keep reminding herself to remain mindful and practice this “multiple identities” (Koopman, et al., 2020). Her asking for more clarifications surprised some of the interviewees who kept saying ‘you know what I mean, you were there’ for which the reply was ‘yes, I do but I better note your own words to avoid misinterpreting your opinion and thoughts’.

Reflexivity helped her remember that while as a researcher she is the “instrument of inquiry” (Patton, 2015, p. 3), mastering a musical instrument does not make her a good orchestra maestro. A musician’s background can help her understand music and her instrument, but she needs to inform herself about how music from different other instruments can work together. Practice and assessment, in this case, as well as self-monitoring and reflection, will enable the identification of any modification needed for the design (Maxwell, 2008, p. 215) as well as the implementation.

All of the preceding explorations, reflections, conclusions influenced the structure of the research either by suggesting methods or highlighting cautions. The Research Design is presented next.

Research Design

The reflection on all the previous sections and the literature reviewed suggest some important considerations for the research design and plan. These are:

- 1- Exploring the literature to “understand the range of possibilities emerging from the various ways of studying and theorizing our world” (Cunliffe, 2011, p. 647) should remain constant throughout the study.
- 2- Postponing the review and examination of any existing framework or any related study until producing a framework, is necessary to ensure that what is reflected in the findings is based solely on the data (yet guided by researcher’s own interpretations). This is so because the intention is not to support and elaborate until ‘true’ current practices are found even if this leads to denying any related theory.
- 3- Transparency (Callaghan, 2016; Bueno, 2016; Guala, 2016; Saunders, et al., 2007; Patton, 2015) at the different steps of the research to clarify the context and how decisions are reached.
- 4- Triangulating (Patton, 2015; Kempster & Parry, 2011; Saunders, et al., 2007; Bueno, 2016; Patton, 2002; Callaghan, 2016) to include wide-ranging perspectives in relation to methods previously used in similar studies, data sources, analysis, and findings.
- 5- Reflexivity (Madden, 2021; Gorski, 2013; Kempster & Parry, 2011; Saunders, et al., 2007; Guala, 2016; O'Mahoney, 2019; O'Mahoney & Vincent, 2014; Sturdy, et al., 2019; Tie, et al., 2019; Patton, 2015) mainly to remain engaged in continuous evaluation of how progress is made towards the findings. Reflection will target multi-perspective inclusiveness, acknowledging the different ‘voices’ while interpreting data, and ensuring proper documentation of what is needed for transparent reporting.

Transparency will be reflected wherever it adds value and especially in the reporting about data analysis and the findings. How triangulation is implemented will be highlighted in the research plan and its impact on the findings will be discussed in some details. As to Reflexivity, it is particularly important because the researcher can be described as an insider (Chammas, 2020; Hayfield & Huxley, 2015).

It is also important to mention that while searching the literature for studies related to competencies in development projects, no study that is clearly linked to any of the frameworks that are adopted by major development agencies has been found. However, as mentioned in Chapter Three, two recently published articles are suggesting an emerging practice and proposing that existing frameworks deserve to be re-examined (Buell, et al., 2020; Teskey & Tyrrel, 2021).

The conclusions from all the previous sections (Figure 4-1) have been considered in the Research Design. In the search for the Emotional (EI), Social (SI) and Cognitive (CI) Intelligence Competencies, Reflexivity, Transparency and Triangulations remain constant throughout the process while linking the findings to existing Theories and Frameworks takes place once a first draft framework has been developed.

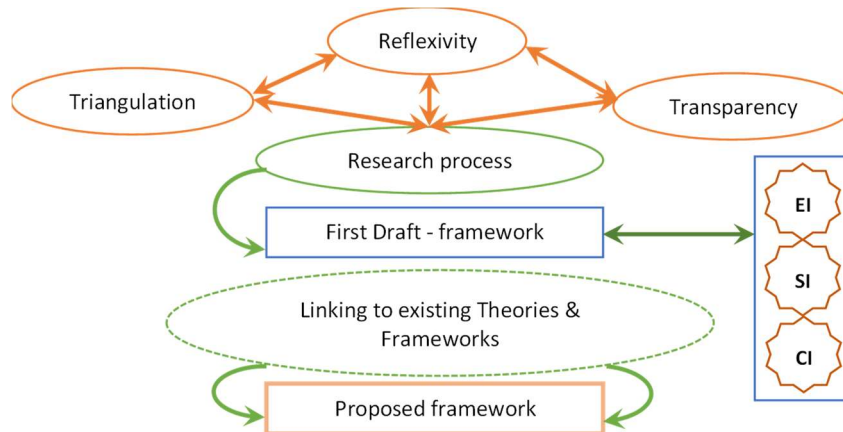


Figure 4-1 The author's conclusions about the important elements to consider in the research design.

This “interpretive process” to understand ‘WHAT’ causes effective performance is allowing for “equal engagement with empirical data and extant theoretical understanding (Atkinson et al., 2003; Hurley et al., 2021; Kelle, 1997; Rinehart, 2021; Timmermans & Tavory, 2012)” that is also going in “parallel” (Thompson, 2022, p. 1411) once the data is thematically analysed.

The following sections present more details about the general Design, Data Collection and Data Analysis.

Design

The work plan included the following main tasks:

- 1- Exploring the literature to understand the theories in relation to:
 - a. The ‘WHAT’ (Intelligence Competencies) that is under investigation as well as similar research and the different used methods and narratives.
 - b. Research methods needed throughout the process and their challenges and how they relate to this study.
 - c. Reflecting on the assumptions and constructing the paradigm which is Phenomenology as an Interpretative Approach to Competence (discussed above).
 - d. Ethical issues that should be considered.
- 2- The focus of the research question and existing frameworks in the Development field are to be explored after the shaping of the framework to be proposed. This is to avoid the risk of the

researcher's "analytic field of vision" to be narrowed to see "some aspects of the data at the expense of other potential crucial" ones (Braun & Clarke, 2006, p. 16).

- 3- Data Collection and Analysis through the chosen methods using Abductive reasoning (discussed in next section).
- 4- Writing notes, memos, and the thesis.

The 'literature review' remained continuous since the beginning of the journey. The deeper the study progressed, the more guidance was needed either to understand a concept or to gain more confidence and to remain on the right track. For example, to understand the adopted paradigm, a process of elimination was followed until there was enough confidence that the approach influencing the study is phenomenology, one of "the major stripes of interpretivism" (Cibangu, 2023, p. 647).

The 'writing' was initially for notes to summarize ideas and references, then for texts for academic reviews until this final stage of grouping the various texts that are forming this thesis.

Before starting the interviewing process, all helpful notes were grouped in two documents the interview guide and structure that include the invitation process and how to start the interview and some warmup and probing questions [Annex 4-1 & 4-2]. The guides were updated after two interviews with the purpose of integrating lessons learned. Participants' invitation email, information sheet and consent form [Annex 4-3 & 4-4] which were part of the application for Ethical approval (June 2018) were also developed.

During the data analysis, memos were written to clearly document the process and the progress to refer to at the various stages of the analysis. This proved useful when writing about the workflow and justifying the findings. A sample Analytic Memo is in Annex 4-5.

Data Collection

The choice of the appropriate method for the data collection where semi-structured interviews were conducted was inspired by the literature which is presented next.

The intention of the researcher being not to "pre-define what constitutes competence" (Sandberg, 2000, p. 11), necessitated exploring all the different adopted techniques for data collection and its analysis to select the most appropriate ones for this study.

While the context of the researched projects involves multiple cultures, the researcher decided that questionnaires are not the most appropriate tool for data collection because it these will not help account for the culture specific perspectives (Emmerling & Boyatzis, 2012, p. 11). The flexible option that will ensure "rich, in depth, and detailed data" (Taherdoost, 2022, pp. 17-20) is the interviewing of job holders.

This section presents two interviewing techniques that researchers frequently use to collect data in order to identify competencies and behaviours.

Flanagan's critical incident technique (CIT) has been described to have a "flexible set of principles, to be modified for the situation under study" where "retrospective data collection of incidents fresh in the mind of the study subject is acceptable" (Urquhart, et al., 2003, pp. 63-64).

The CIT has been used since the early 1940s to understand the critical requirements for specific (and clearly defined) jobs (incidents). In a 1946 study, the discussion section related to the "techniques for defining job requirements" that Flanagan (1954) wrote describes CIT and its outputs as follows:

"These [critical requirements] include those which have been demonstrated to have made the difference between success and failure in carrying out an important part of the job assigned in a significant number of instances...This procedure was found very effective in obtaining information from individuals concerning their own errors, from subordinates concerning errors of their superiors, from supervisors with respect to their subordinates, and also from participants with respect to co-participants (13, pp. 273-274)". (p. 3)

Here the contributors could include reflections and observations about their own critical requirements and those of anyone else they might observe in their work environment. What is also very important for the CIT as described by Flanagan (1954) is the clear procedure that starts by ensuring that the aim of the activity under study is provided by "well qualified... authorities in the field". This would be a simple statement that includes the objectives of the activity under study but clear enough to "convey a uniform idea to the participants" (p. 11).

Boyatzis (2009) in his article 'Competencies as a behavioral approach to emotional intelligence' referred to a "modification of the critical incident interview (Flanagan, 1954)" where "the focus [is] on specific events in one's life from the biodata method (Dailey,1971)". This adapted method is the BEI that uses a semi-structured interview with the main question for the interviewee being to share an event "in which he or she felt effective (Boyatzis, 1982; Spenser and Spenser, 1993)". The guiding questions are around the context, what involved people said or did, the feelings and thoughts of the respondent and how the event ended, meaning the "outcome" (Boyatzis, 2009, pp. 751-752).

On the other hand, Boyatzis et al. (2019b) stress that the BEI technique "allows the discovery of relevant competencies in a job setting or role" through the collection of "detailed information on specific effective and ineffective events" which will disclose "behaviors deployed by the interviewee in the job-related situations". During the interviews, participants will share two or three effective and the same number for ineffective "episodes". Transcripts of the recorded interviews are analysed

independently by two or three coders usually using “existing codebooks”. Thematic analysis can also be used to look for “additional patterns of behavior” (p. 183).

Hamlin and colleagues (2023) conducted a “multiple cross-case/cross nation comparative study” to compare “the findings of five critical incident techniques (CIT) studies of manifested managerial behaviour observed and perceived as effective and ineffective” by both managerial and non-managerial employees in public hospitals and in four different countries (p. 90). Important commonalities between these five studies (p. 100) are:

- 1- They followed Hamlin’s adapted CIT (used in his 1988 study).
- 2- They collected “concrete examples (critical incidents-CIs)” from volunteer informants occupying managerial and non-managerial positions.
- 3- The sought CIs should be in line with how the researchers defined “key terms such as ‘critical’, ‘incident’ and ‘effective/ineffective managerial performance’.
- 4- Informants reflected on situations they have observed during the past six to nine months and share up to 10 CIs which they consider to be “examples of behaviour exhibited” by only their immediate supervisors/managers (but not themselves if they are in managerial posts).
- 5- The grouping of CIs with similar meanings led to “behavioural statements” that describe their common meaning.

To shed light on some consideration related to selection of participants/informants, Kumar (1989), in the context of International Development, argues that Key Informant Interviews (KII) are widely used to collect information from a “select group” of people that can provide the needed “information, ideas and insights” (p. 1). Moreover, Cossham and Johanson (2019) argue that Key informants are “knowledgeable individuals who contribute a perspective on a research phenomenon or situation that the researchers themselves lack” (p. 2). However, generally those who are the “primary subjects” of the research are not considered key informants but “can be considered participants” (p. 4).

For Kumar (1989), these KII are useful for several purposes such as when “descriptive information is sufficient for decision-making” (p. 1) or to seek suggestions and recommendations, or when looking to understand “motivations and attitudes of a target population” (p. 2). Only a small number of KII are usually conducted (15 to 35) in an informal setting “resembling a conversation among acquaintances”. A guide that includes the topics and issues to be covered is referred to by the interviewer to “elicit more information”. The advantages of KII include low cost, flexibility, and the access to confidential information from “knowledgeable people”. The disadvantages are mainly in relation to possible bias (interviewee and interviewer), the small sample size and the difficulty to prove validity of findings and sample representation and knowledge (pp. 3-4).

Encouraged by CIT intended flexibility, this study adapted some of its principles for its data collection pulling its approach closer to BEI where participants are sharing their own lived stories – when jointly working on project activities- including behaviours causing what they consider to be ‘success stories’.

Moreover, participants were encouraged to share their opinions about different issues that might have affected the perceived success which are not only related to how they behaved and acted but also about the external environment, what caused them to act in that manner, and the actions and behaviours of their counterparts and other stakeholders.

They were also encouraged to describe feelings or attitudes of any person involved and which they believe contributed to the targeted or perceived success of a project activity, which is closer to Boyatzis' "Competencies as a behavioral approach to emotional intelligence" (2009).

Most importantly, no definition is shared for any used keyword. Instead, the targeted outcome of the research is explained informally at the first contact, and in the Participant Information Sheet (Annex 4-3) and again at the beginning of the interview (Annex 4-2). Moreover, participants are to share as many stories as they can recall and explain within the 60 minutes allocated for their interviews.

The interviewees, for this study which also are the primary subjects (Cossham & Johanson, 2019) fall in two main categories: Donor (D) and Recipient (R) while some of the Donor representatives are local practitioners and nationals of a Recipient country (LD).

An important consideration is that for the local Donor practitioners (LD), reaching successful outcomes can have a double effect. They meet their professional objectives while their country is one step closer to the targeted sustainable development. In this sense their perception of success is influenced by how they see the practical effects at the end of an activity/project and in the future (which the visiting Donor may not see).

The contributors are considered key informants when they are describing the behaviour of their counterpart in the joint working context, and participants when they are sharing their own feelings and perceptions.

In conclusion, BEI is the chosen method for the first phase to collect data from professionals involved in implementing activities, jointly with other parties, within international development projects. The second phase was intended to include a second group of participants to discuss the findings from the first phase in a workshop setting.

The purpose of the second phase was to ensure the inclusion of multiple perspectives and triangulation (Saunders, et al., 2007; Kempster & Parry, 2011; Patton, 2015; Bueno, 2016; Callaghan, 2016), and to minimize the risk of bias (Olukotun, et al., 2021). This was intended to be in a workshop setting where a group of new participants - Donor, Recipients and Academics working in the sector and residing in Lebanon (a Recipient country) - would discuss the proposed findings from the first

phase. The collected feedback would confirm and/ or suggest amendments to initial analysis' findings that would have been incorporated in the final version of the framework.

Opinions of the interviewees in the first phase regarding the feasibility, structure, and eventual benefit of the second phase was sought. The feedback was mostly encouraging in terms of benefits with some signalling logistical challenges. However, a serious economic crisis in Lebanon triggered daily mass demonstrations from October 2019 until March 2020 when lockdown and curfew were imposed due to a global health crisis. These new difficult measures have worsened the situation causing demonstrations to restart later in June 2020. Due to these circumstances and the resulting local and international travel restrictions worldwide, the second phase had to be cancelled.

The first phase remained unchanged but the targeted sample of twenty interviews was eventually reduced to twelve. The alternative and feasible option for the workshop was to conduct a detailed desk review and examine the existing frameworks and compare with the findings to show similarities and contradictions if any. The conclusions from this exercise are discussed in Chapter Six.

Participants

Considering that the researcher has been a Donor practitioner (and a national of a Recipient country) who worked for more than 15 years as a local (Lebanon) and an international consultant (Iraq), she has contacts with several colleagues with whom she worked directly within the same teams, or as part of different projects, or coordinated some interlinked activities, or simply met them at various gatherings and conferences.

Consequently, she could easily think of thirty candidate participants [Annex 4-6] that satisfy some essential criteria (listed in Table 4-2) to take part in this study, with experience and good reputation for achieving results taking highest priority.

Criteria		D	R
1	Have worked in at least two countries	√	
2	Have worked in at least two development projects	√	√
3	Have managed projects	√	√
4	Have coordinated/ contributed to one intervention	√	√
5	Are considered responsible for many successful interventions	√	√
6	Have a good reputation for achieving results	√	
7	Are willing to openly and honestly share information	√	√

Table 4-2 – Selection Criteria for participants

From the KII point of view, targeting 20 interviewees is seen to be acceptable (Kumar, 1989, pp. 3-4) . The ideal situation would be to reach a balance between representation (Donor, Local Donor and Recipient), age range, and gender.

Another important consideration was to select professionals and decision makers working in different organizations using various methodologies as this would ensure the inclusion of multiple perspectives and triangulation (Ben-Ari & Enosh, 2020).

As Annex 4-6 shows, the researcher worked with 24 out of thirty candidates who were associated at the time of the selection with 13 different organizations (8 Donors and 5 Recipients). This close cooperation made it possible to know about their backgrounds and to form an opinion about their achievements and how other professionals value their contributions in the field (criteria in Table 4-2).

Furthermore, their different roles included Project Managers and Consultants (for Donor); and Directors, Heads of departments and high-level decision makers at two Ministries (for Recipients).

At the beginning of the interviewing phase participants who assumed different roles were selected while trying to ensure a greater number of countries and organizations are represented in the startup sample, especially for the Donors. For the Recipients, the focus was on Lebanese public servants.

During one first visit to Lebanon, two Donor interviews were conducted and contact with five Recipients was done. Four expressed their willingness to participate and one had just retired and was not enthusiastic about participating.

During a second visit, one Donor and two Recipients were interviewed. The remaining two Recipients, for logistical reasons, preferred to meet online. This was possible for one, while the second candidate did not manage to have a reliable internet connection.

Details about the twelve practitioners that were interviewed are listed in Table 4-3. Eight interviews were conducted online and five face-to face in Lebanon. Two took place at the researcher's residence, two at interviewees' residences and one at interviewee's office.

Participants are 80% male (M) falling in different age ranges: 42% above 60, 33% in their 50s, and 25% in their 40s. It is also worth noting that two candidates within the 30s age range were approached, but they did not express any interest to participate.

This high age range is an advantage as it suggests more field experience due to higher number of years working in general and in development projects. It could also indicate that the more experienced, and in this case within the age range of 40s and above, 1) may have more success stories to share and/or 2) are more confident to share them and/or 3) see the value of this research.

Role	Category/ Gender			Region/ Country	Organization	Age range		
	D	LD	R			40s	50s	60s
Project Manager	D/F			EU- Country 1	1	1		
Consultant		LD/M		Lebanon	2	1		
<i>Director</i>			R/M	<i>Lebanon</i>	3		1	
<i>Director</i>			R/M	<i>Lebanon</i>	4			1
Consultant		LD/F		Lebanon	5		1	
Project Manager		LD/M		Lebanon	6		1	
Consultant	D/M			U.K.	7			1
Project Manager	D/M			EU- Country 2	1			1
Consultant	D/M				1		1	
Project Manager	D/M			EU- Country 3	8		1	
<i>Head of Department</i>			R/M	<i>Lebanon</i>	4	1		
Project Manager		LD/F		Lebanon	9		1	
	5	4	3			3	6	3

Table 4-3 List of interview participants, their roles, gender, country of origin, organization and age range. For confidentiality, some countries and all organizations are not clearly named but tagged with numbers.

Moreover, in this group of participants, five national cultures are represented, these are: Lebanon (7), EU-Country 2⁷ (2), United Kingdom (1), EU- Country 1 (1) and EU- Country 3 (1). The Lebanese nationals included three Recipients and four Donors (LD) who also represented different perspectives through their association with more than one Donor organization (D 12, D 02, D 05, D 06). Non-Lebanese Donors worked for organizations (1,7 & 8) based in the United Kingdom and The EU (Countries 2 & 3).

Participants are 25% Recipients and 75% Donors. The Donor representation is divided into 44% local (LD) and 56% visiting partitioners (D) leading to respectively 33% and 42% of the total sample. The small representation of Recipient (25% of total sample) in an already small sample of 12 interviewees can be seen as problematic and was initially expected at the research design stage. For this reason, a workshop was included in the second phase of the data collection because it would be a more convenient and attractive networking event that one University in Lebanon expressed its willingness to host on its premises.

However, the four local Donor practitioners were intentionally chosen because they have been working mainly in development projects for the longest part of their careers and consequently their contributions reflected on some important experiences such as:

⁷ For confidentiality purposes, numbers were allocated to the different countries and organizations represented by this sample.

- 1- Seeing how the sector they have been working in has been impacted by the various contributions from these projects over time. In other words, they not only witnessed first-hand different successes and failures, but they also can make a good judgement on how sustainable the different interventions have or have not been because they are still interacting with the same Recipient and in the same environment.
- 2- Having worked with more than one Donor, they have used their methodologies which are not necessarily similar. This enables them to compare project designs and implementations on one hand and produced outcomes on the other.
- 3- Taking part in local and regional projects, which is the case of the four LD, gives them the opportunity to compare their local context -Recipient- to practices, expectations, and outcomes from countries in the region.
- 4- Benefiting and expecting service improvements as permanent residents in the Recipient country is naturally an important drive to thrive for more successful outcomes.

Consequently, the local Donor (33% of the sample) can see results beyond the projects' objectives over time as professionals as well as an indirect beneficiary from these contributions.

Furthermore, in the absence of any published competency framework dedicated to the Recipient and specifically while working jointly with Donor representatives (this study), a local perspective that is not a Recipient is also valuable. This is so because this local perspective is more knowledgeable of the general local context namely culture, politics, laws, and regulations that have a great impact on public sector organizations which are the Recipients.

As the discussion of the data analysis in Chapter Five shows, all statements related to Donor were given the same weight regardless of their owners. Recipient when describing Donor's actions did not differentiate between Local or visiting. In the second cycle coding, the codes were clearly tagged to specify if they relate to Donor (D and LD) or Recipient. More details are in the related Chapter.

How the participants were contacted and interviewed is what the next section presents.

Interviews

An email including the Information Sheet (Annex 4-3) that explained the purpose of the study and their expected contribution was sent to all. Before the interviews, participants were reminded to think about success stories that they can share and were advised to book one hour.

Most of them shared at least two stories that they were proud to have taken part in, and others where they were happy to overcome the challenges and avoid failure. No interview exceeded the sixty minutes time frame.

The interviewing phase started in August 2018 and ended in September 2019. Every participant signed a consent form (Annex 4-4) as required for ethical considerations. All interviews were recorded using two recording tools to make sure backup copies are available to use in case one malfunctioned during

the interview. One copy was moved to an external drive, and one was saved on the laptop, and both are password protected.

Two pilot interviews were conducted to test and improve researcher's interviewing skills, coding and comparing to identify some categories before conducting the remaining interviews. This proved helpful to highlight areas that deserve further investigation. The lessons learned from the pilot interviews were useful to improve the working process, discussed next.

1- Interviewing techniques:

Reading the transcript of the first interview signalled the need for the interviewer to focus more on distancing herself from the discussion and to avoid expressing herself in any way to avoid influencing the participants.

The feedback from the supervisors helped see where interviewer might have suggested some ideas when she should not have done so, and when she missed an opportunity to ask the right question. As more interviews were conducted, extra care was invested to follow the notes in the Interview Guide and Structure documents in Annex 4-1 and 4-2.

2- Transcribing:

While most of the interviews were conducted in English, only two were conducted in Arabic, and the documenting process started with transcribing in Arabic by the researcher's friend who was more skilled in typing Arabic. The researcher reviewed and corrected the draft, then translated to English.

Four interviews started in Arabic, but the participants were kind enough to continue in English while sometimes using local expressions or random words in Arabic. This made the documenting process much easier and did not require any external assistance.

Transcribing took much longer than expected, but focusing to hear what is being said to type it was a good opportunity to "immerse self in the data" (Braun & Clarke, 2006, p. 16) while listening also to the tone and remember the mood. At the beginning, 5 days were needed to transcribe one English interview. Using 'oTranscribe' online and 'Google Voice typing' in parallel reduced this to one day.

3- Semi-structured interviews:

Participants had the floor and shared stories and described actions, feelings and results. Probing questions (Annex 4-2) were around clarifying the context, the tasks, the people involved, how they dealt with challenges and conflicts, their concerns and how they felt.

Next, the literature and plan related to Data Analysis are discussed. The actual analysis, the findings from every cycle and how the proposed framework was developed are detailed in Chapter Five.

Data Analysis

The main concern for the data analysis using an abductive methodology was to follow a clear process (Thompson, 2022) that will provide justifications straight from the words that the participants used and ensure consistency and transparency.

The starting point was to understand what ‘coding’ means in practice, how to plan the analysis and most importantly, as discussed in Chapter Five, how to alternate between the different ‘analytic lenses’ to make ‘meaning’ from the collected data.

“Coding is a heuristic (from the Greek, meaning “to discover”) – an exploratory problem-solving technique without specific formulas or algorithms to follow.”
(Saldaña, 2013, p. 8)

According to Saldaña (2018), understanding what ‘making meaning’ actually means is crucial to grasping what “it means to be a qualitative researcher” (p. 3).

Thinking qualitatively is linked to “meaning-making” which he defines not in a “very scholarly” way to be “the individual’s intertwined cognitive and emotional mental processing of something (a text, a piece of art, an experience, etc.) that stimulates personal interpretive relevance and generates personal understanding (Saldaña 2015, p.60)” (pp. 3-4).

Coding, which is “the process of organizing and sorting qualitative data” (Stuckey, 2015, p. 7), or simply as some prefer to call “indexing”, is where qualitative data analysis starts (Bryman, 2016, p. 581).

Basing his arguments on his own research experiences as well as several others, Saldaña (2013) suggests a number of factors that could fit into what the author is choosing to call and use as a general process to guide qualitative analysis from the start to the end (Figure 4-2).

The researcher’s “level of personal involvement...(Adler & Adler, 1987)” and the “types of questions...(Kvale & Brinkmann, 2009)” asked and the received replies, as well as the participants’ gender, social categories “(Behar & Gordon, 1995, Stanfield & Dennis, 1993)” and age “(Greene & Hogan, 2005; Tisdall, Davis, & Gallagher, 2009; Zwiers & Morrissette, 1999)”, they all filter how one may “perceive, document and thus code...(Adler & Adler, 1987)” (Saldaña, 2013, p. 7).

“In essence, coding is a form of shorthand that distills events and meanings without losing their essential properties.”
(Charmaz, 2002, p. 684)

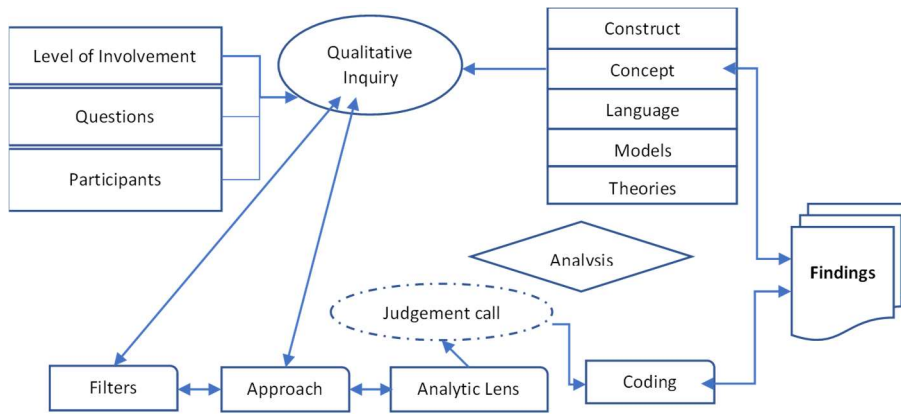


Figure 4-2 Author's proposed process chart as inspired by Saldaña's discussion of the elements that will affect the coding for Qualitative Analysis (Saldaña, 2013, pp. 7-8)

Another perspective is that of Charmaz (2006) who claims that coding “distills data, sorts them, and gives us a handle for making comparisons with other segments of data” (p. 3).

Flick (2007) suggests that the main activities of coding and categorizing “are to search for relevant parts of the data and to analyze them by comparing them with other data and by naming and classifying them.” (p. 101). How *code*, the “dirty four-letter word” is differentiated from *category* doesn't seem to be agreed upon either, as some researchers use these “interchangeably and even in combination when they are, in fact, two separate components of data analysis” (Saldaña, 2013, p. 8).

On another front, Higgs et al. (2009) state that the first step that could ensure an appropriate choice of coding method(s) would be to look at the research questions and reflect on the answers that one is looking for.

“Research questions are the keys that link all components of the research design together.”
(Higgs, et al., 2009, p. 24)

This is important because “[t]he questions addressed by researchers are key tools in framing, focusing, critiquing and ultimately resolving research goals... guide the content of data collection and the theoretical lenses of data analysis.” (p. 13).

This reflection, what Higgs et al. (2009) describe as a critical appraisal through questioning, starts at the initial analysis cycle and continues throughout all the analysis process as it will lead to the identification of those questions that aim “to generate new meaning and insights from the collected research data” (p. 21).

Looking at this study's research question, that is aiming to identify competencies through what interviewees claim to be success stories they have taken part in, the first obvious question to reflect upon is ‘how they define success?’.

The question that follows would be ‘what action(s) was taken that led to what they classified to be a success?’. This would be steering towards possibly specific behaviours. Deeper scrutiny would suggest factors within that working environment such as counterparts, attitudes, expectations, and many others.

Following this logic of critical musing, the search in the collected data is best built to target these elements and factors that were either expected at the beginning of the analysis or discovered as the analysis progresses. Each new discovery would possibly suggest a new ‘filter’ and a new ‘analytic lens’, and eventually another coding method that may prove useful.

Saldaña’s “cyclical act” (2013) of coding when more often coding goes beyond one cycle “(and possibly the third and fourth cycles and so on)”. This recoding at each new cycle builds on codes from the previous cycle(s) and “filters, highlights, and focuses the salient features of the qualitative data records for generating categories, themes, and concepts, grasping meaning, and/or building theory”. (p. 8).

A final inspiration from the literature has been the call of Braun and Clarke (2021a) to be Reflexive and: “Be a thoughtful researcher; do not just slavishly follow what methodology writers say” (p. 343).

Analysis Process

The adopted analysis process, as can be seen in Table 4-4, follows Thompson’s (2022) 8-step “abductive” approach that “incorporate[es] many concepts from seminal works in thematic analysis” (p. 1410).

In line with the adopted process, the ‘analysis’ strategy planned for 5 main lenses, or ‘filters’:

- 1- *Behaviour* described and suggested by participants, or that the researcher ‘inferred’ to have taken place,
- 2- *Process* outlined by participants, or that ‘seemed logical’ from the statements,
- 3- *Emotions* and *Attitudes* that are clearly ‘expressed’ by participants, or what the researcher ‘felt’ either from specific words used or from the general tone,
- 4- *Conflicts* - that are ‘apparent’ or that might be ‘deduced’ from the conversation - regarding stakeholders’ behaviours, interests and/or interpretations of different meanings,
- 5- *Inter-Cultural* aspects (Individual or Organizational) that may impact any of the above.

Steps	Application in this study
Thompson's "8-step prescriptive approach specific to abductive methodologies" (2022, pp. 1412-1418)	
(1) Transcription and Familiarisation (p. 1412)	Ten interviews were transcribed and the two that were conducted in Arabic were translated (transcribed by a third party). Analysing and transcribing was done in parallel as it was useful to help "adapt collection methods to seek clarification (Guest et al., 2012)". Since the data set was "manageable", MS Word and Excel were only used. While transcribing, keywords were highlighted as they could suggest "potential patterns and codes", or "may provide the first step in coding the data (Boyatzis, 1998; Braun & Clarke, 2006)".
(2) Coding	Coding and the data analysis leading to the findings are summarized below and discussed in more details in Chapter Five.
(3) Codebook	No codebook was developed for this study but each of the coding cycles focused on one specific criterion using a different lens. Reflection on how participants' statements and their codes fit in their allocated themes was done at least five times when moving to the next coding cycle.
(4) Development of Themes (p. 1414)	The progress of the analysis cycles shows how the themes developed after "looking at relationships between different codes and sorting them based on their ability to collectively explain the story behind the data (Aronson, 1995; Braun & Clarke, 2006)".
(5) Theorising (p. 1415)	This is where "the relationship and story between [the] themes and [the] entire dataset" is explained. In this study, the fifth and final cycle of the data analysis in Chapter Five shows the link between the themes, to the four clusters (the working process) that are allocated to the three intelligence competencies.
(6) Comparison of Datasets (p. 1416)	The aim from this step is to reveal an "additional level of details ... (Miles & Huberman, 1994)" to see if some other datasets have or not the same themes. Comparing the proposed framework with existing framework has been done and discussed in Chapter Six.
(7) Data Display (p. 1416)	At different stages of the analysis (Chapter Five), code and themes have been presented in figures where the "thematic network" was clarified. The discussion of each of the four clusters that form the proposed framework is summarized by a figure (Chapter Seven).
(8) Writing Up (p. 1418)	The explanation of the final framework, its four clusters and indicators and how each fit under which intelligence competency is the second section of Chapter Five. This shows "how theory is linked to the empirical data alongside quotations from the raw data to provide empirical evidence for the theorisation (Braun & Clarke, 2006; Guest et al., 2012)".

Table 4-4 Author's adopted process compared with the 8-step of abductive approach of Thompson (2022, pp. 1412-1418)

The analysis went over five coding cycles inspired by the Elemental and Affective methods (Saldaña, 2013).

The Elemental Methods are those "primary approaches" to qualitative analysis that provide "basic but focused filters" or analytic lens to make the first screening of the data and will produce "foundation" codes to be used in subsequent coding cycles (Saldaña, 2013, p. 83).

Looking at the concerns of this study, particularly the Intelligence ‘filters’, Goleman and Boyatzis (2017) claim that “capabilities that allow outstanding performance at work”, according to their adopted model of Emotional Intelligence, include “empathy, positive outlook, and self-control” (p. 3). For that, and Saldaña (2013) cautioning that “core motives for human action, reaction, and interaction should not be discounted from our investigations of the human condition” (p. 105), is also recommending the inclusion of Affective Method(s) into the analysis plan, which is especially valid for this study.

The detailed data analysis following some described methods for coding and how the progress was made from one cycle to the next as well as the conclusions from each cycle is elaborated in the first part of Chapter Five. How the findings from the fifth and final cycle were grouped into clusters to form the proposed competency framework is elaborated in the second part of Chapter Five.

The tools

The data analysis started with a pilot group to gain confidence regarding the right tool that will help manage this process while making sure to keep a clear link from the transcript to the specific statement all the way to the themes and the competency indicators.

NVivo application seemed not only to be worth considering but was also highly recommended. Since the application requires codes to be initially thought of to guide this automated process, the first coding cycle was done using the Excel file.

After spending some considerable time to upload a couple of transcripts and start analysing, most of the focus was on how the application works rather than the meaning of the statements. The wise decision was then to stop and search for other tools that could be easier.

Resources such as tutorial videos and blogs were reassuring that the coding process can still be manageable using Excel and provided few ideas on how other researchers were using Excel for their analysis. The fact that some researchers shared their own struggle with using the different available applications, encouraged the dismissal of this option. So, Excel was the tool used to document and trace the development of the analysis.

All transcripts were typed in a Word document with important statements being highlighted. A copy was then created in an Excel document where highlighted statements and keywords were inserted in respective columns.

Every new sub statement went into a new column. At the end, keywords and sub-statements suggested a new column heading. Any new sub-theme or sub-category was inserted in a new column next to the main theme or category.

A new file was created with new sheets for every new cycle. All these different files and sheets made back tracing to the original statement very straightforward and easy.

All participants, their statements and sub statements (units) were numbered. This file structure, filing process and the numbering was helpful not only to easily access the needed file while in the process of linking cycles and analysing but also to locating quickly the main statement when more clarity is needed.

More elaboration, on the analysis cycles, the findings, and the evidence, is presented in Chapter Five.

5- Data Analysis and Findings

Discussions in the previous Chapter covered the literature that guided this study towards the choices of methods and analysis process.

In the first part of this Chapter, the detailed steps that were followed to progress from the transcripts to the fifth and final coding cycle are discussed. Sample results from different stages of the analysis process are annexed to support the discussion.

How the findings are grouped under four proposed clusters, the related intelligence (EI, SI, CI) to each cluster, and the statements that support each element in these clusters are described in the second part of this Chapter.

Analysis

The coding progressed through five cycles which are discussed next in more details.

For every new cycle, a separate file was created for each participant in Microsoft Excel where a new sheet is added for every new step. This proved very useful to trace back the progress to the previous steps and to revert to the original statements.

First Cycle

In the first cycle, the statements were reviewed, words and sentences that the researcher thought were striking, important and worth revisiting were highlighted. The focus at this stage was to look for behaviours that were either clearly stated or inferred from the participants' description of events. Many statements suggested a belief or a resulting attitude or even a consequent behaviour which were also captured in codes because researcher believed they could lead to characteristics of an Intelligence.

The rule for this Behaviour or Belief code (*BB*) was to define it with a phrase that starts by a Verb, and underline words that point towards a topic. Initially, the key/number for *BB* codes/phrases included a serial number, and the initials of the interviewee which made it easier during the analysis to find the transcripts that needed to be reviewed in the context of the discussion. The numbering used here includes 'D' for *Donor* and 'R' for *Recipient*, the participant's number based on the sequence of the interview, and the *BB code* serial number related to the concerned participants' statements.

The visual distinction and the numbering helped to sort and group the codes and identify the main topics and link to the main statements especially in later cycles. In some cases, the participants' own words were quoted in these *BB* phrases.

As the analysis progressed, columns were added to capture keywords for those words that were repeated several times by one or more participants. This first screening of the 12 transcripts resulted in 525 *BB* codes. *Annex 5-1* shows a sample of 12 *BB* and their original statements.

The second screening was applied to these *BB* to classify them under one of the three targeted intelligences (CI, EI, SI). This was not straightforward for many codes because they sometimes touched on more than one intelligence. For example, the first reading of the following statement and its *BB* suggested that all 3 intelligences could be related:

Statement: "There is always a win-win possible solution. So being flexible and open to discuss and understand the different opinions. It is easier to communicate in the field with the partner than to convince the organization's policy makers. I am too small to influence change of mind set. Win-win solutions can be sought in the field. And on the other hand, at the project design phase I try to remain active and contribute wherever I can." (D 01- 33)

BB Code: Aims for win-win solutions by being flexible and open to accepting 'the different opinions'

Suggested intelligences were:

- 1- Cognitive: Reflecting and Analysing the positions of different stakeholders.
- 2- Emotional: Openness to accept different opinions and Readiness to be Flexible and to compromise for a win-win solution, and Humbleness.
- 3- Social: Communicating and discussing with others to adopt a solution (flexibility) that can meet the needs of all concerned parties (win-win).

Since at this stage, the researcher could not decide how the analysis will progress, the decision was to allocate all three for this (and several others) while keeping in mind to review at a later stage (see Fourth cycle). This also re-confirmed that the *BB* codes should not be treated independently from their original statements yet.

The third screening grouped the keywords to identify themes that were discussed by the majority. These main themes were Success (participants sharing success stories), Change, Ownership, Partnership, Trust, Learning, and Listening which are interlinked as shown in *Figure 5-1*.

As not all statements or *BB* codes could fit under these topics/ categories, the next logical step was to dig deeper using a new lens, which led to the second cycle.

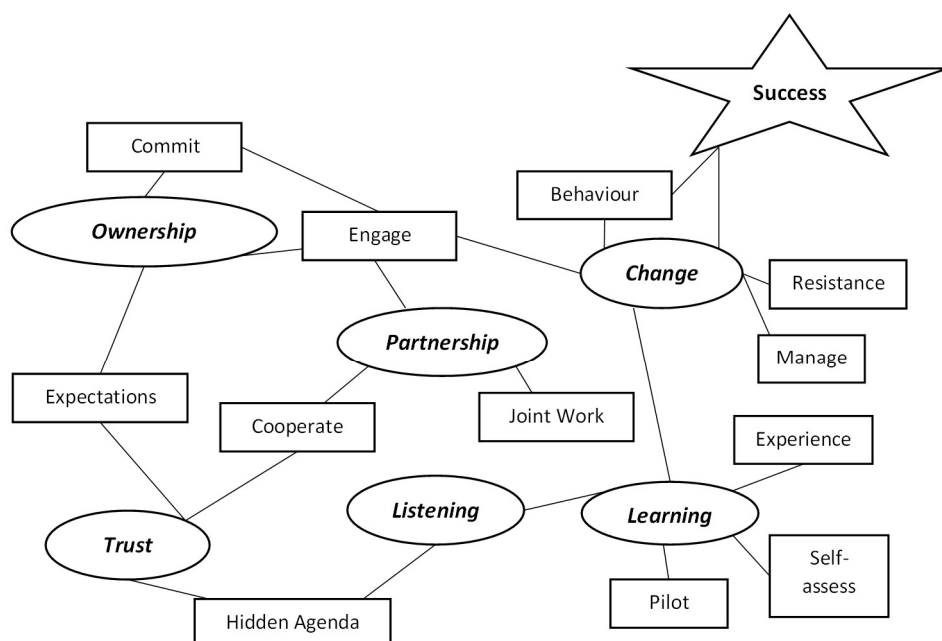


Figure 5-1 First Coding Cycle- Initial themes.

Second Cycle

For this cycle, *Process*, *Emotions*, and *Values* on one side, and *In Vivo* coding were chosen to provide shorter more focused statements to examine in parallel with the *BB* codes.

In Vivo

The *In Vivo* coding was done for all 12 transcripts. The aim was to shorten the original statements as much as possible without the risk of losing the main message but rather to keep it in focus. Each code was given a serial number too which was the same for the *BB* code in most cases. Few statements suggested two *BB* codes as can be seen for the below example:

Statement: “..... as I say it was the best most satisfying and I think we did not only do a good job but we did a good job for the environment so it was a win-win, just a pity we didn't get the extension because that would have been, we could have done more I think good work, but politics got in the way.” (D 07- 32)

BB codes: Aims for win-win solutions (D 07- 36), and Understands the local environment and the local needs (D 07- 37)

Process

The *Process* coding was done in details for one Donor and one Recipient first, then for 3 more Donors.

With the participants' *Success* stories being the focus of the Research Question, the search was for any suggested Process towards results they considered to be successful. Four main steps, were initially inferred from the *BB* codes:

Step A - Initial Situation: Problem/ Issue & Initial Reaction

Step B – Two-Way Communication: Recipient & Donor

Step C – Towards Solution: Learning & Outcome

Step D – Resulting Situation: Action & Result

Reflection on the information from the In Vivo and *BB* codes led to identifying the related main stage as the sample, in *Table 5-1* below, taken from one Recipient shows.

BB Codes	"In Vivo"----- Process/ Stage
Communicates , clearly, his <u>needs</u> in order to get the appropriate <u>support</u> . This could include his own training needs	" they asked me what I need" <i>(B) Two- way communication</i> " told him I also need some advanced training for me even" <i>(A) Assess the Initial Situation</i>
Works closely with <u>counterpart</u> in order to agree on "a certain <u>scope for the mission</u> "	" 2 or 3 sessions before agreeing on a certain scope for the mission he had to do." <i>(C) Towards Solution</i>
Believes that projects are <u>successful</u> when they introduce tools that generate <u>multi-purpose data reporting</u> for <u>long term</u> planning "a very useful project and still active today....now 7 years...used with no problem"	"we got an interface and this interface is being used till now for cataloguing of various stations..... all reporting requested by the director-general are being generated by this interface." <i>(D) Resulting Situation</i>
Starts by implementing a <u>pilot</u> activity to tackle <u>complex issues</u>	"we decided to take 7 villages in the Casa of X to make them as a pilot Project" <i>(C) Towards Solution</i>
Plans <u>jointly</u> the implementation through " <u>consultation</u> " with the counterpart to agree on all related detailed <u>contributions</u>	"we placed a plan and we went through the various stages of the plan how we are going to do this task and the other task and we consulted together on the contract" <i>(B) Two-Way Communication & (C) Towards Solution</i>

Table 5-1 Second Coding Cycle: Process Example- Stage linked to BB and In Vivo codes

Once all the *BB* and In Vivo units were allocated to one Stage, they were grouped under five main categories: 1) Personal Level, 2) High- Level Project Design & Management, 3) Role Model, 4) Change Management and 5) Intervention that had 3 sub-categories: Implementation, Pilot project and Planning (See *Annex 5-2* for an example of 22 Units, stages and categories for one Recipient).

Digging deeper in the identified stages, In Vivo and Keywords, and comparing with other transcripts suggested new stages for instance Deep Analysis and Customizing solutions. (An example of an updated process table with related main tasks can be seen in *Annex 5.3*)

The remaining 7 transcripts were then re-examined to make sure that the findings from the first 5 transcripts are comprehensive:

- 1) In Vivo quotes were reviewed to confirm identified Process.
- 2) Some *BB* codes were re-worded to provide more clarity for example whether the participant's statement is related to a Donor or a Recipient. More *BB* codes were added, and the final number reached 540 (starting number was 525).
- 3) Keywords for Emotions and Values were added in one single column and compared with the same from other transcripts.

At this stage, the researcher judged it necessary to consider each party (Donor & Recipient) separately to identify any differences or similarities.

The final Process that differentiates tasks related to either Donor or Recipient (detailed in *Annex 5.4*) includes two important tasks that start at the beginning of the project and continue throughout its life.

As *Figure 5-2* shows, these are Setting the grounds for a successful cooperation by building good relationship and Trust and Learning from one activity to improve the future activities within the current project and future ones.

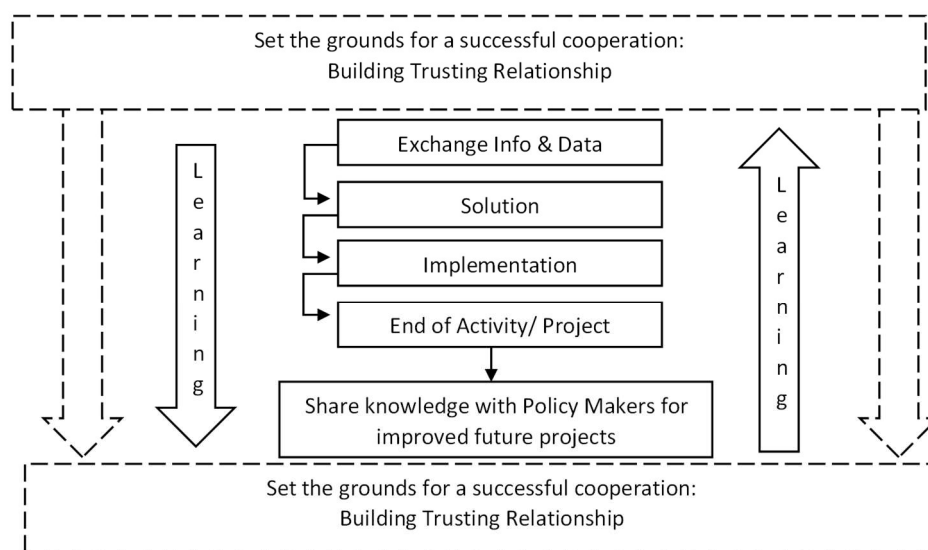


Figure 5-2 Second Coding Cycle- Final Process Stages within Development Projects as suggested by the participants' stories.

In this process (*Annex 5.4*), Recipient clarifies needs or gaps they would like to remedy, Donor shares knowledge about best practices and what options are available and they both analyse and reflect on what works or cannot work in that context. This leads them to customize solutions that are in line with local governance and regulations as well as the Recipient's resources.

In complex situations, they may decide to implement a solution on a smaller scale to test it and learn how to refine it to overcome eventual challenges. The implementation requires the contributions of both parties depending on the activity, its complexity and the available skills and knowledge of the Recipient.

Sometimes more than one activity is being implemented with the same Recipient who at the end of each activity is expected to take over and ensure sustainability.

Values

At this screening stage, the researcher was looking for any stated or suggested attitude, personality trait, value or any characteristic that could trigger behaviours leading to success. In parallel she was looking for Emotion coding, but the number did not deserve being treated as one independent code, so they were grouped under Value.

The keywords related to these different values, attitudes and traits included the following:

Appreciative, Trustworthy, Committed to objective, Confidence, Deals with Conflict/ Problems/ Challenges, Dedicated, Diplomatic, Goes the extra mile, Honesty/ Transparency, Humble, Leadership, Objectivity/ Realism, Open for Learning, Open minded, Persistence, Positivity, Practical/ Pragmatic, Role model, Satisfaction from Sharing, Striving for Improvement, Team Spirit/ Stakeholders interests/ Partnership, and Sensitivity- Culture/ Situation.

For example, One Donor (D 09) described a situation by saying:

"I think they needed to be just open minded towards me to what I wanted to share with them. It is not easy you know to accept that there is a person coming from far away not even able to communicate with us in our language and now this person is telling us what to do" (U30), and "because they were so transparent with the information.... She gave me all the different numbers for 5 years back and when I was there, I got the remaining years, I have the balance sheet, I know how much water was sold, I know how much water was paid for." (U22).

These two statements suggested the following:

- 1- D09 is sensitive to the situation of the recipient who was ready to share information and listen to a 'foreigner' that does not even speak their language which also suggests humbleness of this Donor.

- 2- This Recipient has proven to be open minded, ready to learn and seeking improvement in their situation as well as being dedicated and committed to the project objective.
- 3- The transparency that the Recipient showed by sharing sensitive information signals that they trust the Donor will use this information only to help them reach their objective.
- 4- D09 is appreciating this positive attitude and talking about it in an optimistic manner.

The BB codes that were seen to be most representative of these 2 statements were:

- *Appreciates* recipients who remain open minded and accept that "there is a person coming from far away not even able to communicate with us in our language and now this person is telling us what to do"
- *Admits* when recipients are transparent and share sensitive information needed for the job

Another example is the statement of D10 "...then indeed show that you are yourself as a trustworthy party and that you engage for, well now we have engaged for 4 years ..." (U30) that implies one to inspire trust.

While the statements "have people who are professionals, who are also capable not only technical but also in terms of communication and partnership approach..." and "they have a real openness to other cultures. and are not racist" (D08 23 & 27) indicate partnership, openness and sensitivity.

Third Cycle

The *BB* codes were grouped under the identified phases (*Annex 5.4*). Inspired by the main tasks related to these phases, a regrouping was done under:

Analysis, Beliefs, Action (Behaviour), and Communication (for the phase related to exchange of information).

A second review of the *BB* codes was done related to these four main tasks to identify sub-categories.

For example, the data suggested that Analysis tackled four main issues:

- 1) Stakeholders (interests/ needs/ politics), 2) Personal (development/ experience),
- 3) Justifications (benefit/ achievement/ priorities) and 4) Technical (deeper analysis/ impact/limitations).

A third review led to the regrouping of *BB* codes under 7 areas for related competencies:

- 1) Critical Thinking, 2) Continuous Learning, 3) Teamwork, 4) Leadership, 5) Managing Risk, 6) Interpersonal- Building Relationships/ Partnership, and 7) Communication (Listening and multidisciplinary audience).

The relations among all related issues with reference to the related Intelligence was highlighted (*Annex 5.5*).

The focus was then moved to each heading where the *BB* and In Vivo inspired some behavioural indicators. A Sample table for Critical Thinking can be seen in *Annex 5-6*.

The researcher then analysed a sample of 50 statements where the participants were initially discussing a change (where change was a highlighted keyword in the first coding cycle). This led to 31 behavioural indicators which were labelled under Managing Change with the 3 intelligences highlighted (7 CI, 9 EI, 15 SI). These are listed in *Annex 5-7* which includes some *BB* codes as indicators. *Annex 5-8* shows a sample of *BB* codes and related In Vivo that suggested these indicators.

This exercise helped the researcher become more familiar with the data and improved the data analysis and management skills. However, she realised that adding Managing Change under Actions (*Annex 5-5*) was wrong and confusing because it should rather be a heading that groups several Actions. Therefore, the decision was that a new trial should be attempted with a different approach.

Fourth Cycle

Before starting this new trial, the *BB* codes were revisited, and each one was allocated to only one Intelligence using the first Verb in the phrase to guide this re-allocation. Looking back at the example provided in the First Cycle:

“Aims for win-win solutions by being flexible and open to accepting 'the different opinions” (D 01 33)

It is SI because the aiming for the win-win solution involves communicating and discussing with others to adopt a solution that can meet the needs of all concerned parties. Being flexible, open minded and humble (EI) is a pre-condition, as well as the analysis to understand what may interest the stakeholders (CI). The cells, in the Excel sheets, of all 12 participants were filled with 3 different colours to enable researcher to visually distinguish the related intelligence. This was yet another round to re-view all codes one more time.

Because the study is concerned with two parties (D & R), and since working with a high number of codes in an excel file can be daunting, the researcher grouped the three Recipients' 181 codes in one sheet, but the Donors' 359 codes were divided in two groups to start with a smaller sample. The transcripts (original statement, In Vivo, Values, Keywords and *BB* codes) of four Donors and the Recipients were re-screened in depth.

During the first round, each *BB* code was reassigned to a category that was labelled 'related competencies' in Annex 5-5. Some new categories were added and some combined. For example, Teamwork, Leadership and interpersonal -building Relationship/ Partnership were grouped under one category 'Collaboration'. 'Meeting the objectives' of the projects, 'various Beliefs', and 'Not decided' were added. A second round to review each category resulted in assigning new sub-categories. And a third round to re-distribute the codes in the 'Not decided' which became clearer at this stage. The final main categories included:

Critical Thinking, Collaboration, Meeting Objectives/ Delivery, Managing Risks, Communication, Continuous Learning, Various Beliefs.

The structure of the main and sub-categories can be seen in *Annex 5-9*.

The focus here was on 357 codes that make up 56% of Donors and all Recipients' codes, and a total of 66% of all *BB* codes. *Table 5-2* below shows the number of codes allocated to the 7 categories with the Collaboration (42%) and Critical Thinking (18%) claiming the two highest percentages.

3 Recipients = 181 Codes														
5 Donors= 176 Codes														
Collaboration		Meeting Objectives / Delivery		Managing Risk		Communication		Critical Thinking		Various Beliefs		Cont. Learning		
R	D	R	D	R	D	R	D	R	D	R	D	R	D	
88	63	23	25	3	12	1	10	38	25	11	27	17	14	357
58%	42%	48%	52%	20%	80%	9%	91%	60%	40%	29%	71%	55%	45%	
151		48		15		11		63		38		31		357
42%		13%		4%		3%		18%		11%		9%		100%
1		3		6		7		2		4		5		rank
63%								18%		19%				100%
Working Jointly towards Sustainable solutions to improve performance.								Critical Thinking		Attitude				Main
Table 5-2 Fourth Coding Cycle- The Distribution of 357 BB codes over the 7 identified 'related competencies'														

Re-examining the data showed a strong link between Collaboration, Meeting Objectives, Managing Risks and Communication (63% of the codes). The readiness to continuously *Learn* could also be seen as an attitude and when joined with Various Beliefs represented a new weight of 19%.

Consequently, the identified Process Stages (*Figure 5-2* above) were reconsidered to highlight the importance of the Attitude, Beliefs, Learning and Thinking throughout the whole process which are

critical for Building Trusting Relationships that facilitates the joint working process as *Figure 5-3* below shows.

Although the researcher felt confident that the findings of this detailed review can be considered now representing the codes for the remaining 4 Donors, she still decided to re-screen them all to confirm the main categories that were identified so far before moving to the next cycle.

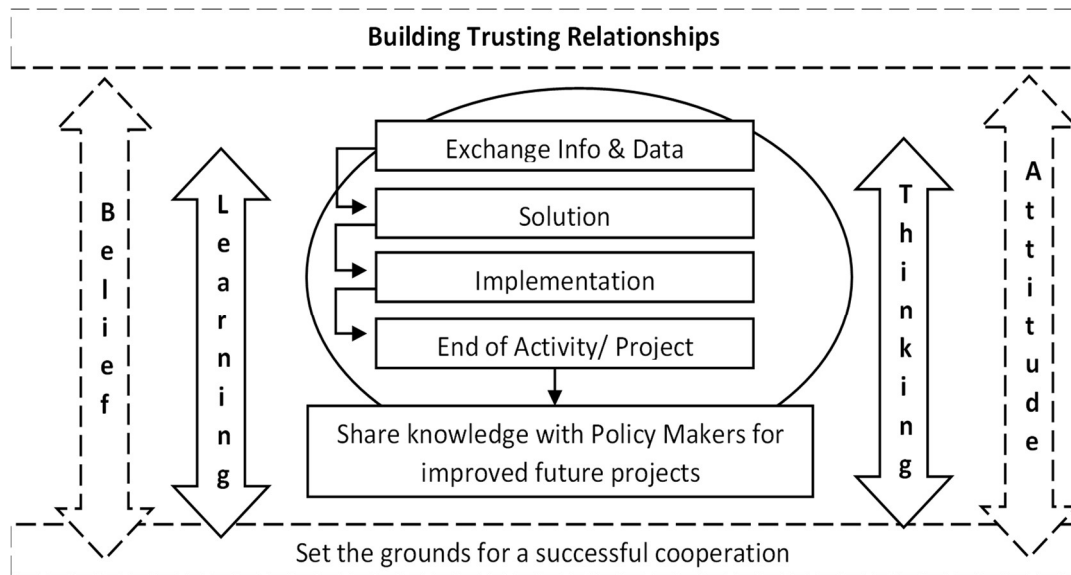


Figure 5-3 Fourth Coding Cycle- Revised Process Stages within Development Projects as suggested by the data.

Fifth & Final Cycle

As previously mentioned, the participants were asked to share their success stories in the context of development projects which will help identify competencies that made this success possible. The search in the data was originally for behaviours, but several *beliefs* were also found and therefore could not be dismissed.

Findings from every coding cycle that the analysis went through guided the cycles that followed by suggesting a new lens or a new working method or a new theme. However, this does not mean that the process was linear since the researcher had to “move back and forth” (Braun & Clarke, 2006, p. 16) to refit all identified themes from all cycles in the framework before considering it final for this research.

At this stage, the researcher was not only familiar with the data, but she could also remember all the stories and the concerns of the participants, who she knew personally. It was like recalling a conversation with a colleague about an issue that they experience every day of their professional life when they reach a good result or when they deal with a complex problem. The colleagues would wonder how they should approach the challenge that they are facing, or how clever was another

colleague in solving a problem, or what they missed and why, which will suggest a competency or an underlying personal conviction.

This final cycle of the analysis, guided by the findings from the previous cycles, dealt with each of the Donor and Recipient separately with a focus on the codes that fell under the following 2 categories simultaneously, as they are in the focus of the research question:

- 1) “Working Jointly towards Sustainable solutions to improve performance” *Table 5-2* above which included Collaboration, Meeting Objectives/ Delivery, Managing Risk, and Communication,
- 2) The 4 steps circled in *Figure 5-3* above, from the exchange of information up to the end of the activity/project.

Looking back at the example D01-33 mentioned in the first coding cycle; it suggested three main elements:

- 1) reflecting on stakeholders’ positions (CI)
- 2) being open to accept different opinions and readiness to be flexible and compromise (EI), and
- 3) communicating and discussing to adopt a win-win solution (SI).

In the fourth cycle, the focus remained on the third element, the behaviour needed for the win-win solution (SI) making this statement fall under the category Collaboration, while the second (EI) and the first (CI) were its pre-conditions.

This new lens used in this fifth cycle called for re-examining statements and to dissect them. The resulting structure for the proposed Framework, summarized in *Annex 5-10*, is comprised of four main Clusters *Holistic Approach*, *Thinking Process*, *Adaptive Implementation*, and the *Wise Personal Convictions*.

In the final round of this final cycle, all the *In Vivo* and *BB* codes were reviewed and regrouped under the final themes and four main *Clusters* and their *sub-clusters*. Only eight statements (1%) did not fit under any of the four clusters. These were reviewed one more time before the author felt confident to discard them.

The themes covered by this same example D01-33 and how they fit under the three identified main clusters covering the personal convictions, the approach, and the thinking process, can be seen in *Figure 5-4*.

The evidence for the findings in this final cycle and the related competency indicators are described; in more details together with the proposed clusters and sub-clusters, in the second part of this Chapter.

It is worth noting here, that the challenge for the researcher since the start of the analysis was to set aside her own views until she consolidates what the participants are suggesting.

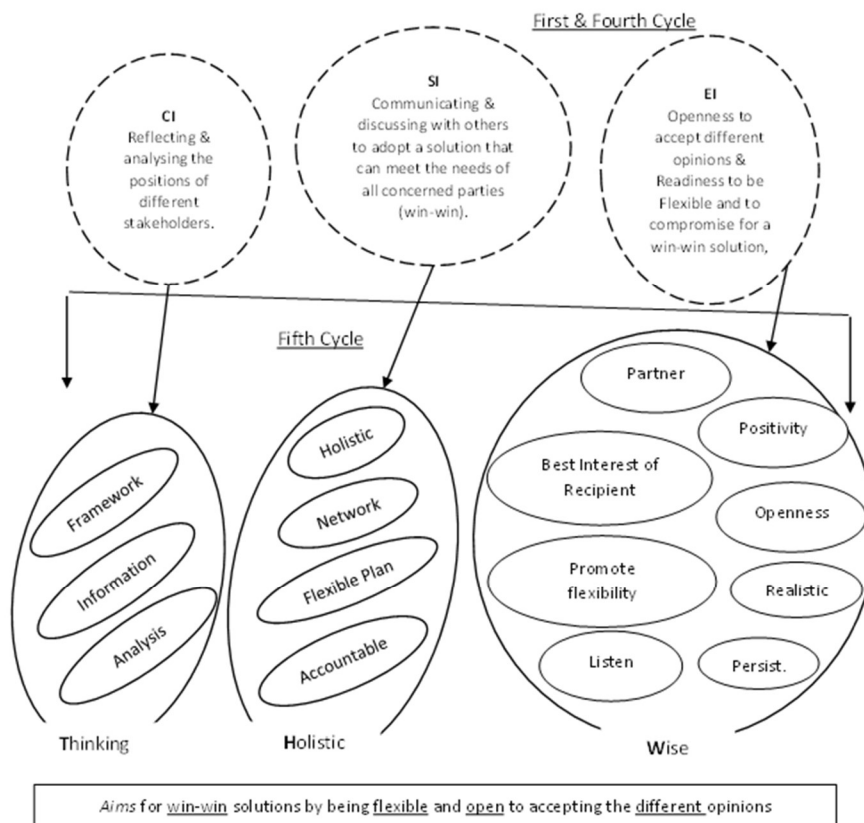


Figure 5-4 –Progress from First to Fourth to Fifth Coding Cycle.

Competency Framework

The discussion in the previous sections shows how the analysis progressed from the transcripts to the Fourth coding cycle that instigated the regrouping in the Fifth cycle under the four main clusters that are discussed next in more details. It is worth highlighting once more that, the researcher's *insider* knowledge of the background of development projects have also guided her interpretations of the participants' stories.

The proposed competencies' clusters and the indicators' headings (*Annex 5-10*) are grouped under the *Holistic Approach (H)*, *Thinking Process (T)*, *Adaptive Implementation (A)*, and the *Wise Personal Convictions (W)*.

For each cluster, the context as interpreted from the various stories, its description followed by the proposed indicators and the reasoning that led to them is presented. This will include short quotes and keywords used by the participants and full statements which will further support the conclusions.

In order to identify the owner of these borrowed “quotations”, a reference in brackets follows each. This includes a letter (D for Donor, R for Recipient) to identify the participant’s category, an allocated number for the interviewee (interview sequence), and the unit/code number for the statement. Each indicator is referenced to point to its cluster and the party concerned whether Donor or Recipient. For example, ‘**H.1- D&R**’ points to the first indicator under the main cluster **H** for *Holistic* and applies to both **Donor** and **Recipient**.

Holistic – Approach (H)

The success stories that are shared confirm that interventions within the context of development projects are complex and ought to account for the needs and interests of all stakeholders in the concerned communities and not only those of the Recipients directly benefiting from the project and who are working with the Donor towards the projects’ objectives.

For a strategy to set the way towards a desired success, it most likely builds on advantages as well as challenges resulting from the different local factors that generate the power dynamics (i.e., political, socio-economical, legal, financial), and touches on intersecting benefits of all.

In other words, the approach ought to be *Holistic*.

Main Cluster Description:

Designing changes with long term impact, such as countries' sustainable development, is a complex task as it requires accounting for all related factors (social, environmental, etc), and the interests/needs of all local and international stakeholders which will affect the speed at which these changes can be introduced as well as their sustainability. Adopting a *Holistic* approach by both Donor and Recipient will include developing a *Visionary Strategy* (1) where its elements are the result of *Networking* (2) translating into *Flexible Planning* (3). While *Monitoring* and *Accountability* (4), as the data suggests, is a fourth step that applies to the Donor only.

This approach in all its four elements classifies as a *Social Intelligence* because its aims rely on interacting with “others” (Boyatzis, 2008).

“...a social intelligence competency is the ability to recognize, understand and use emotional information about others that leads to or causes effective or superior performance.”
(Boyatzis, 2008, p. 8)

It is at this level that the main direction of the project is set to include all the conditions for a smooth path towards the envisioned sustainable change.

Four competencies were identified for Donor (D) and three for Recipient (R) (*Table 5-3*).

Holistic - Approach (H)

Visionary Strategy (H.1)

H.1-D *Building on detailed analysis - of the project context- to develop a visionary strategy that ensures full engagement of all stakeholders at all levels which is necessary for the sustainability of project outcomes while considering the local context and the donors' main plans.*

H.1-R *Building on detailed analysis of currently adopted practices and identified needed improvements to develop a visionary strategy that will engage own organization to assume ownership of the change process and maximize benefits from projects.*

Networking (H.2)

H.2-D *Engaging in Networking with identified stakeholders to promote intended cooperation for targeted changes.*

H.2-R *Engaging in Networking with identified stakeholders to promote and win support for intended changes.*

Flexible Planning (H.3)

H.3-D *Developing a flexible implementation plan based on an in-depth analysis of the collected and confirmed information from all stakeholders with consideration to include priorities, account for uncertainties and the needed capacities, and ensure greater engagement of stakeholders.*

H.3-R *Engaging in the development of the projects plans by sharing related internal information that will impact the implementation and planning for needed action/contribution in own organization.*

Monitoring & Accountability – Donor Only (H.4)

H.4-D *Developing a detailed monitoring plan that includes clear milestones and pilot activities, guide the proper implementation of agreed interventions, help identify unforeseen challenges and facilitate accountability for result.*

Table 5-3 Indicators for the Holistic Approach Cluster

Indicators and evidence:

Visionary Strategy (H.1)

The words *vision* and *strategy* were not specifically used by the participants, but it is the researcher's conclusion from the descriptions of cases and events that triggered the choice of both words. It is the needed bird's eye view on the development objective (*Vision*), where the project is focusing, that will suggest the proper action (*Strategy*) towards sustainable change. This '*Visionary Strategy for an improved situation through change*', when *Holistic*, will account for all stakeholders' needs and interests.

While Donor develops the *Visionary strategy* that will ensure the Recipient's engagement, the Recipient will focus on engaging all team members and ensures they take full advantage of what is being offered.

Indicator: H.1- D *Building on detailed analysis - of the project context- to develop a visionary strategy that ensures full engagement of all stakeholders at all levels which is necessary for the sustainability of project outcomes while considering the local context and the donors' main plans.*

One Donor emphasised that visionary people can ensure success, and her general statement can be interpreted to apply to both:

“So really, for me a project it's always about the people. it is not the tools, it's about people. You will tell me what skills are needed? you need people who are ready to learn, who are ready to evolve, who are visionary if we are talking about top level in the hierarchy, and then really very simply the projects that were successful these were there. In the projects that were failure there was one of these missing.” (D12-U9)

For Donor, participants highlighted that a change needs to consider long term impact (D10-43), “reducing the time for planning” (D05-20) and minimizing the “gap between what is really happening” in the field and what is being planned for by high level decision makers (D02-31).

Dissecting the following statement (D06-33), suggests that to make a change happen, you need to have a strategy on how best to introduce it. For this, one needs to look at the bigger picture, or have that bird’s eye view to consider all aspects that will drive/slow the change under consideration. It also suggests some detailed analysis of the related environment (T).

“...People need to be able to see the big picture and to be able to do that economic accounting, there has to be a social understanding of where you are working or the ability to read and understand. Anthropology, it talks how people develop through time and what they rely on, and this gives you an understanding, when you want to introduce a topic or project or something, how best to approach people.” (D06-33)

The next two statements suggest that development projects are there to improve a situation by introducing changes for which the direction and orientation need to be clear for the right commitment at all levels (engagement) to happen.

“Again, if you look at a project what makes it successful, I don’t want to get into the availability of funds because if they are not available now, they can be available tomorrow. ... I am really concentrating on the change. on the change, I mean at the end of the day, why do you have a development project? you have a development project -now I am giving you my lesson- you have a development project because you want to improve something, you want to change something.” (D12-10)

“... If you get back to the commitment, it's commitment from the high level but not only commitment bottom-up but you also need to have, listen, the high level needs to give clear directions, clear orientation.” (D12- U6)

While the development projects are designed according to the main plans set by the owner of the funds (funder and/or the Donor including the party implementing on behalf of the funder), the Recipient may have or not their own strategic vision for their institutions' future progress. However, one Donor recommended for the Recipient to have a “roadmap” because this helped one Recipient in her story to “progress towards the targeted change” (D12-08).

Indicator: H.1- R *Building on detailed analysis of currently adopted practices and identified needed improvements to develop a visionary strategy that will engage own organization to assume ownership of the change process and maximize benefits from projects.*

Having a *Holistic* strategy, for Recipient, can also be inferred from their own statements such as “widen the coverage of the benefit” (R04-36), “distribute [improvements] fairly among regions” (R04-33), and develop strategies to promote certain priorities while considering the local stakeholder's interests (R04-32- below). To support Donor's efforts to “add value by listening to recipient's needs” (R11-38), Recipient would have to look at the bigger picture to identify where the point of focus should be.

In the below statement, a Recipient is elaborating on his *strategic objective* which was defined in the institution's Business Plan (developed through another project) to have water meters installed in a wider geographic region where political and religious considerations may obstruct the process. His aim was to benefit from all available projects to reach his objective. (Also linked to *Networking H.2* in the next section).

“I chose village X for [local] reasons because I could easily get a favourable political approval from the ministry to do that in that region. In parallel, I was working on another path with another donor, and I convinced the mayor of village Y and the head of the union of municipalities in the region to start installing meters in Y in order to implement the same in the greater region within this union. I think now the 2 projects are under implementation whether in X and in Y where meters are being installed. I chose 2 different colours [religions].” (R04-32)

Networking (H.2)

For any strategy to be *Holistic*, it needs to incorporate all interests and needs which will be possible to gather through *Networking* with identified Stakeholders.

For Donor, engaging with identified stakeholders to lobby, negotiate and promote the intended cooperation to make the Strategy *Holistic* is a prime factor for success and securing sustainability (D05-08). Facilitating “dialogue” and harmonising with all levels at partners' side should be the first action

to be done by the donor (D02-34). Partnering with “sector specialists” (D08-08) and those “right people who are door openers” (D08-25), or who could be “champions” (D07 & D10), can increase the success rate.

Indicator: H.2-D *Engaging in Networking with identified stakeholders to promote intended cooperation for targeted changes.*

“...this team has been selected by a colleague from an ongoing project, and they had as usual talks to all the partners needed to do the intervention, which is people from water industry, water utility, people from the vocational training institutes and people from the training providers and looking what is already there how can we, what institutes, training institutes, training providers are qualified to do this. basically, talk to all partners involved.....but then the design of the intervention has been done jointly with the representatives of the different authorities.” (D08-09)

“...thanks to the engagement of the local community, to the government engagement, ... there was ownership by everyone, there is sustainability at the legal level there is sustainability at the financial level because after that the ministry of environment allocated financial sources to subsidise the activities in the protected areas not enough but is seed money.” (D05-08)

This interchange with others will feed the right information into the *Holistic Strategy*, (previously discussed), and the **Thinking** (to follow).

For Recipient, it is “maintaining a good local network” (R03-75), and “tapping on everybody’s door” (D12-07). This and others (R04-32 in **H.1-R** above) suggest needed steps towards successful change.

Indicator: H.2-R *Engaging in Networking with identified stakeholders to promote and win support for intended changes.*

“The most important point is that he [Recipient] should have the ability to convince. In some areas this remains if you like, is related to the personality. For example, you called for a meeting with the municipalities, the manager could go there and fight or he could talk to them in a way that wins them as partners, they become part of the project.” (R03-26)

Flexible Planning (H.3)

A *Strategy* integrating different perspectives of all the eventually impacted parties (*Holistic*) will translate into the “joint planning” (D07-24 & D01-04) where the Donor accounts for “the priorities that are not always clear” which will require not only listening but also “hearing” (D10-47).

In such complex context where one adopts a *Holistic* Approach (at local, national, and regional levels) to “harmonize ...along the political and decision-making process” (D10-42), uncertainty is the rule governing the planning phase.

Certain concerns are essential for Donors to consider while making sure that success is not simply “luck” but the result of doing “the right thing at the right time and right place” (D05-18). These include:

- 1) Setting milestones towards the targeted change (D09-11 & D12-47),
- 2) Building on a continually improved understanding of the local framework conditions (D07-12 & 13, D02- 21 & 27) where “internal administrative procedures are improved to ensure faster actions” (R03-73),
- 3) Assessing the commitment and motivation of the Recipient’s team (R03-29),
- 4) Considering the budget limitations and rules (D08-11, D01-24) which will impact the degree of flexibility.

Consequently, a flexible plan will allow Donor to amend a planned intervention when new information suggest such need.

Indicator: H.3-D- *Developing a flexible implementation plan based on an in-depth analysis of the collected and confirmed information from all stakeholders with consideration to include priorities, account for uncertainties and the needed capacities, and ensure greater engagement of stakeholders.*

In the below example (D08-10), the project plan was to support four Recipients in same sector to develop their strategies, which when combined will be the sector strategy. But due to changing leadership, the plan needed to change to accommodate the new Minister’s wishes. This was possible after the approval from the Funder since the activity remained towards the long-term project objective even when the project was not leading it but only financing and providing technical support where requested, or when judged useful by the team leader who was regularly monitoring the progress (linked to Monitoring and Accountability **H.4-D**).

At the end, the project worked with the Ministry team overseeing the Recipient as described below:

“The first thing he [a new minister] wants to do is have sector strategy in place for water and energy. ... it was clear [to us] that this can only be done by local people. the minister would not accept foreigners to advice or to provide this support for drafting the strategy. ... we suggested people who ... would be capable of doing this and the minister himself basically decided [which proposed consultant to hire] ... and it was very important that he [the consultant] reports directly to the minister. we set this up basically to finance this person ... and in the background provided support through the project team and this turned out a successful story, I mean this strategy has been developed with relatively small financial input ...

involvement of a wide range of sector ministries but also development partners [that the team leader involved] ... approved by the council of ministers. ...the challenge to some extent was getting the mandate from the minister to be the partner on this exercise [and not only to finance it]. this challenge has been overcome by letting the client decide on the person [lead consultant] involved. "(D08-10)

Another project formed a Steering Committee, where all stakeholders are represented and meet on quarterly basis to plan future activities:

"For example what happened like a few months ago when we had the meeting, we received all those nice proposals for better or worse and we started discussions on the priorities, which project should be taken into consideration and it appeared the highest priority is for the draught response or preparation so basically speaking all the ideas that have been submitted before they just, you know, were thrown away and then we decided to basically go into the draught response." (D01-05)

The planning for Recipient starts by having own list of priority needs that will be considered throughout the project life.

Indicator: H.3-R *Engaging in the development of the projects plans by sharing related internal information that will impact the implementation and planning for needed action/contribution in own organization.*

Other matters related to the flexible planning, according to a Recipient, are:

- 1) Donor related:
 - a. Knowing the Donor's own planning process (R03-30),
 - b. Awareness of the degree of flexibility towards agreed interventions (R04-61),
 - c. Taking stock of overlapping activities from other projects (R03-33).
- 2) Recipient related:
 - a. Assessing own team's commitment and motivation (R11-24),
 - b. Examining the proposed interventions (R03-32) and checking how they fit in own plans (priorities),
 - c. Studying limitations/ opportunities for sustainability (R04-37 & 61).

As can be seen in (D01-05) above, the planning for activities depends on knowing the priority needs expressed by the Recipient. How the different issues are considered by Donor and Recipient are elaborated by this Recipient's statement:

"... since we need to work on the sustainability... we identify the needs- if we consider the manager is good, the team is good, or we can benefit from certain points. The 2 parties will sit down as mentor and mentee and have a dialogue.

Here, there should be multi stakeholders depending on the field you are working on. If the donor is coming to help in the organizational structure, and he knows this is where he [Donor] can help and that's it, or he is coming to see where he can assist to improve performance and here it includes administrative part and technical parts. What is important here for the donor is to have an overview for the whole situation." (R03-30)

Monitoring & Accountability – Donor Only (H.4)

Since the Donor is implementing on behalf of a donor country or an institution, certain accountability is expected towards the party funding the project in question. This could be related to the way the funds are spent (D12-25- below) as well as the expected impact (technical as well as political). One Donor even stressed that "having a certain reputation is very important, ... And ... representing an institution which is credible is also very important." (D08- U22).

Another Donor mentioned that in certain circumstances, "the repercussion of a negative outcome or a negative conclusion from, on behalf of the recipient would make him really reluctant to accept any sort of advice in the future." (D02-U24). Consequently, close, and "meticulous" monitoring (D12-20 &25- below) around the set milestones is needed, especially when, as previously discussed, uncertainty is prevailing. This Monitoring is also to ensure that the project is meeting its objectives (a category identified in the fourth analysis cycle)

Two Recipients did confirm that the serious monitoring by the donor during the implementation contributes to success (R03-15, R11-30- below). Nothing in the data, however, suggests that the Recipient has any role in Monitoring the project implementation. But this does not negate the assumption that they do some monitoring for each intervention while they are contributing towards its objectives.

Indicator: H.4-D *Developing a detailed monitoring plan that includes clear milestones and pilot activities, guide the proper implementation of agreed interventions, help identify unforeseen challenges and facilitate accountability for result.*

In the example (D08-30) in the Flexible planning in **H.3-D** above, since the Minister was managing the activity financed by the project, the team leader was regularly monitoring the progress to be able to report the requested details to the Funder.

Other statements that highlight the importance of monitoring to ensure that the funds are well spent, and deadlines are met, and accountability include:

"One of the major issues is not only the money it's not only the person it's ... who owns the money if he's dedicated on a day-by-day basis with the project. I know

many donors that have many projects Because they are not following the contractor... he should be the, as we say (the watching eye) on the project to have a successful project. So, the owner representative is a major key for the success of the project and at the same time he will be the, like we say, the role model” (R11-30)

“...to turn it into a success, it was small things not so big things. definitely.... ah ah for example you need to have a system a clear system of monitoring...” (D12-20)

“...look, for a successful project you need to have all this and also, I would say if not you as project manager read something delivered have someone read thoroughly, meticulously, and not just tick that it was done. at the end of the day this is money being paid, and it's up to you to decide to benefit from it or not.” (D12-25)

“I mean we were working in XXX we had a team leader who could do any job standing on his head, he was that good, BUT he didn't seem to understand deadlines. he never did a progress report on time.” (D07-31)

“...it is something that indirectly affects competencies, it is corruption, when you talk about corruption, it's not at the beneficiary level only, it is at the Donor level, so Donors can corrupt beneficiaries and beneficiaries can corrupt Donors, ... so there has to be a clear accountability, ... and also transparency in appointment, transparency in execution of tasks, transparency in dealings,... communication, and then there should be at the end of this an accountability of all of this, and this kind of competency has to be brought forward amongst the technical part, so that the people realize how badly or poorly corruption with affect your project, so it is a core issue.” (D06-35)

Figure 5-5 below summarizes the main elements of the Holistic Approach that both Donor and Recipient are encouraged to adopt as it would ensure targeting successfully the desired sustainable change while there was no clear evidence that ‘Monitoring and Accountability’ could concern equally the Recipient.

This *Strategy* leading towards the envisioned outcome through the targeted sustainable change can only be developed based on valid information and deep thinking and analysis of the whole local framework to identify the stakeholders and understand the related power dynamics.

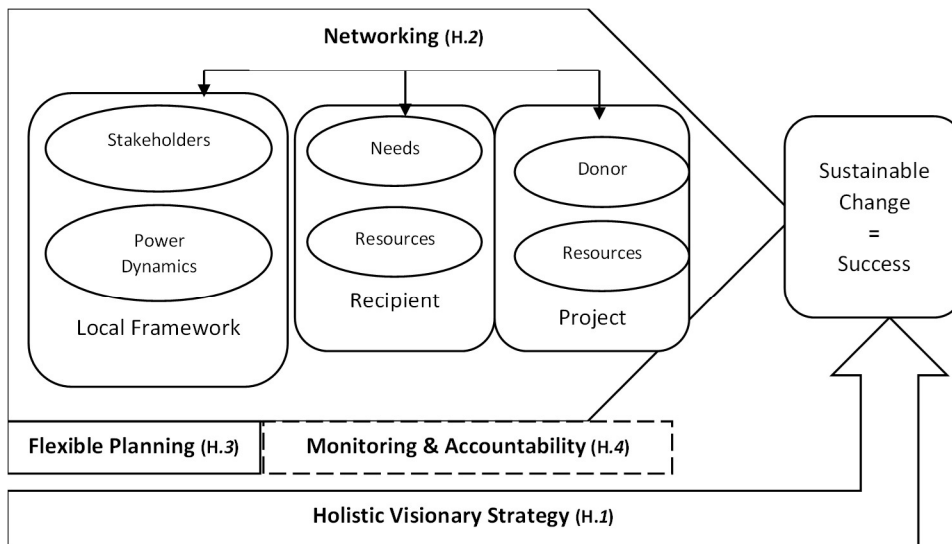


Figure 5-5 Holistic Approach: Visionary Strategy, Networking, Flexible Planning (D & R), with Monitoring & Accountability (D Only)

Thinking – Process (T)

During the interviews, participants were analysing the situations they were describing, or they stated what needs to be analysed or their stories suggested that some thinking and analysis was done or should be done in order to better understand the issues on hand.

Main Cluster Description:

Planning for a successful cooperation needs to be based on a good understanding of issues that would affect the *partnership*. This requires the collection of the relevant information from a variety of sources, interpreting how issues are interconnected and what critical patterns may lead to challenges and/or opportunities. Three competencies are identified for each actor (R & D). *Table 5-4* groups their descriptions. This *Thinking* that will facilitate the development of a Strategy (*Holistic*) starts with the examination of the *local framework* (1) through the identification and collection of valid *Information* (2) which will be *Analysed* (3) before making needed decisions leading to needed actions (Flexible planning & **Adaptive** implementation discussed later). The competency to engage effectively in this critical *Thinking* Process is *Cognitive Intelligence* (Boyatzis, 2008) which will also be affected by the **Wise** Personal Convictions (discussed in later sections).

“...a cognitive intelligence competency is an ability to think or analyze information and situations that leads to or causes effective or superior performance.”
(Boyatzis, 2008, p. 8)

Thinking – Process (T)**Local Framework (T.1)**

T.1-D *Identifying the stakeholders (in the country) and what aspects of the local framework (regulations, power, and politics) that need to be considered while developing the appropriate strategy.*

T.1-R *Identifying the aspects of the cooperation's (local and donor's) framework (regulations, power, and politics) that need to be considered while developing the appropriate strategy.*

Information (T.2)

T.2-D *Identifying and Collecting information/data and verifying with different sources to include different perspectives and confirm validity and accuracy, following a clear process that can lead to well-grounded justifications for eventual decisions and the uncertainties and the risks involved.*

T.2-R *Identifying and Collecting information/data that is needed and confirming its validity and accuracy before making decisions related to needed support that will contribute to improving current practices within the existing threats and opportunities.*

Analysis (T.3)

T.3-D *Critically analysing the interests of identified direct and indirect stakeholders and drawing conclusions about their expectations and best ways to interact with them, as well as possible gaps that might be included in the project design.*

T.3-R *Critically analysing the Donors' interests and practices and drawing conclusions about the best ways to interact with their teams to ensure getting the greatest benefits from the project.*

Table 5-4 Indicators for the Thinking Process Cluster

Indicators and evidence:**Local Framework (T.1)**

For the Donor, the participants' statements point towards the local framework and the identification of stakeholders.

Indicator: T.1-D *Identifying the stakeholders (in the country) and what aspects of the local framework (regulations, power, and politics) that need to be considered while developing the appropriate strategy.*

“...a success or a failure of a technically based, project is totally in my mind dependent on social economic acceptance of it. If there is no social socio-economic acceptance or ... there is no coherence to it, it doesn't fly.” (D06-30)

“Yes, a protected area, ... this decree is submitted through the ministry of environment to the council of minister, the council of minister will approve it and submit it to the parliament for approval as a law, because we still issue it as a law. It is still sitting in the council of ministers, because there are vested interests in that area because some of the public land that is declared now as a public land might have some interest by other counterparts.” (D05-11)

“I mean people are producing wastewater all over the world on a daily basis but what is happening afterward even in an environment with very low regulation as in XYZ is still very complex. Because we have limited initiative, have individuals who

are doing something, maybe organizations, municipalities who are trying to get the grip of the whole thing and fail. So, it is a complex thing.” (D09-08)

“I mean there we have been doing, involved in water and vocational training. and it turned out that they already have a water operator core course which has been designed 30 years ago but they are still doing it. but it's not meeting the demand of the water utilities because they haven't been really involved in the design of the curricula and in the design of the course. but it's a good starting point. so, we agreed that we use the existing vocational training curricula, and we modernize it together with the water utilities, together and then the vocational training system there allows, they have something like the dual approach having the industry involved and the vocational training provider, training institutes and the regulator. so, these 3 will modernize, and we already did this on a small scale with short courses, they are called skills award courses, and this worked quite well so the framework conditions are favourable to upscale.” (D08-05)

For the Recipient, what needs also to be analysed includes the Donors, the international organizations, and their development initiatives so they can decide how best to interact with them.

One Recipient asserts that “you need to repair, improve, and train and build capacities, all at the same time. So, this is not an easy thing at all. So, I think this experience was the most important with these donors, who are the X, Y, Z, and recently the A” (R04-18) which suggests that he not only understands the complexity of development work but also how to successfully interact with at least the four donors that are mentioned here.

He also expressed his awareness and understanding of the political pressures exerted sometimes on Donors “for example the donor would say there is a problem in X region they tell him no you should work in Y region. The donor wants to go to Z they tell him no you go to ABC. For example, in Region A, you can't work outside one X city because this is a political priority” (R04-47).

Indicator: T.1- R *Identifying the aspects of the cooperation's (local and donor's) framework (regulations, power, and politics) that need to be considered while developing the appropriate strategy.*

“The talks about a new water reform then started again under the pressure of the World Bank that said that they will not give any assistance until it is done. So, the new law was signed in the year 2000. They started implementation in 2002. Between 2002 and 2005, 3 years after, the bylaws and related regulations were signed after they were lost 3 or 4 times in the corridors of the ministry of finance. But these were like one gets married and brings in a child and throws him into the world expecting the child to find milk and feed himself etc, these institutions remained with no assistance of any kind.” (R04-02)

“Again, the success story was more than cooperation with donor 1 or 2, we started the consultation with the local stakeholders, municipalities and representatives and started working. we did a study for the area called the master plan and based on this activity we will do the protection of the water resource, the river, you know? All this system, and from this we saw the need for a Master plan, and the plan was done.” (R03-42)

“...I was saying I want to reduce the Non-Revenue Water, which is a technical work in general, BUT if I can provide the private sector with the incentive, if I can add to the contract an additional section related to the commercial part, I would have no objection to this. And now is the right time to bring that up.” (R03-48)

Information (T.2)

Information to collect, by Donor, from different sources and stakeholders, includes those related to costs (D02-48, D07-44, D08-12), technical data (D12-34- below), consequences if no action is taken to remedy gaps (D05-16), other development projects’ activities (D07-06- below) and so on.

The process here involves deciding what type of information is needed at each stage and what are the eventual sources and how sensitive this information is (D02-16- below) which will signal whether it can be easily accessed or not. Such information may need to be triangulated or in some cases verified by field visits (D01-14, D07-14) as it is vital to knowing the local framework (T.1) and to justify plans, conclusions and decisions taken (D09-6, D02-05 & 40, D01-13, D08-16, D06-06) (H.4).

Indicator: T.2-D *Identifying and Collecting information/data and verifying with different sources to include different perspectives and confirm validity and accuracy, following a clear process that can lead to well-grounded justifications for eventual decisions and the uncertainties and the risks involved.*

“...it was a tough report, I do remember spending nights reading it and reading it and I was searching with google to understand the meaning of so many things but at the end of the day, just to tell you for extremely technical things I gave it time and at the end when the project was done, I was talking to them as if I was an telecom expert. nobody is stupid. you read and you learn and understand the logic behind it.” (D12-34)

“But of course, it is also linked to good practice in other countries. this has been done in a similar way. and in the meantime, there are many joint councils in that country not only for solid waste also for water and wastewater, this proves to be quite successful and still existing although the situation is difficult.” (D08-06)

“The process was from the beginning challenging because we were seeking, if you want, between bracket inside information, we were seeking information that the [Recipient] considered of commercial value and that would probably show their deficit and their weaknesses.” (SS16)

For the Recipient, the same data collection will be rather done mostly internally from different departments to identify gaps (R11-06 - below) and to share with the Donor (R11-32). Elaborating on needs cannot be done without the right information (i.e., available resources and skills) that is valid and accurate (R4-11 below & R4-45).

Indicator: T.2-R *Identifying and Collecting information/data that is needed and confirming its validity and accuracy before making decisions related to needed support that will contribute to improving current practices within the existing threats and opportunities.*

“So, I thought that one of the problematic issues... is the water distribution network which is very complex net of piping manholes fittings etc and the extent of this network is very hard very difficult to define in addition when you don't have a proper definition of your water network it will be very hard to identify your subscribers and if you don't know your subscribers that means you cannot collect and make a proper bill collection so this has a major effect on the finances of the institution.” (R11-06)

“When the manpower planning was drafted in 2002, discussions started ... but it was approved in 2005. But we are now in 2018. Also, this experience over a period of 16 years showed us that also the manpower planning needs to be updated. What we saw in 2003 and 2004 is different from what we can see after 15 years of experience in the field.” (R04-11)

Conducting analysis of such information is the path to draw on conclusions that will either feed into the *Holistic* Strategy, previously discussed, or guide the implementation (to be discussed in later sections) of the flexible plans that have been developed.

Analysis (T.3)

For the Donor who must deal with various stakeholders including the Recipient, the analysis is focusing on what may affect the cooperation (D10-19 & 26, D06-12, D01-26) (conclusion from Fourth cycle), and the expectations (D01-23, D10-32- below) as well as the needs, which are all inter-connected. It is also about strengths and weaknesses of the counterpart's team (D12-17 & 29, D10- 21& 31, D07-41) and how well they understand the eventual solutions (D12-43, D02-23 & 24) and the offered support (D06-13).

All this and the two statements below suggest indicator T.3-D.

Indicator: T.3-D *Critically analysing the interests of identified direct and indirect stakeholders and drawing conclusions about their expectations and best ways to interact with them, as well as possible gaps that might be included in the project design.*

“I think ... they don't have the system and there is a different level of expectation, in the sense that let's say well we want this level of quality and sometimes they

don't see this as a higher quality they see that as an administrative burden. (thinking) I would say it like that... they don't understand why this higher level of so-called quality is needed.” (D10-32)

“Understanding of the context, then what else? Yes, I think understanding of the context and (hesitating) sometimes also understanding what is behind, because sometimes they have hidden agendas (laugh). So, we have to fight against that. [in other words, develop a strategy to deal with this hidden agenda- **H.1-D**].” (D01-12)

For the Recipient, the data suggests analysing the Donor’s interests and practices with the aim of adopting the right strategy (**H.1-R**) that will maximize benefits from the project.

Indicator: T.3-R *Critically analysing the Donors' interests and practices and drawing conclusions about the best ways to interact with their teams to ensure getting the greatest benefits from the project.*

“This NGO is coming from outside the country, they are not locals, they do not know the ground, and they know nothing. The NGO would hire a local who will try to steer them, meaning taking them here and there and where he sees right and not what the [Recipient] wants.” (R04-15)

“I worked with him [Donor] and I did not have any problem at all. Sometimes he would speak in a blunt way, but I knew why he did that and that was very important. Most of the times he was right, that is why I did not argue.” (D03-71)

The relationship between the elements of the *Holistic Approach* and the Analytical *Thinking Process* is sketched in *Figure 5-6*.

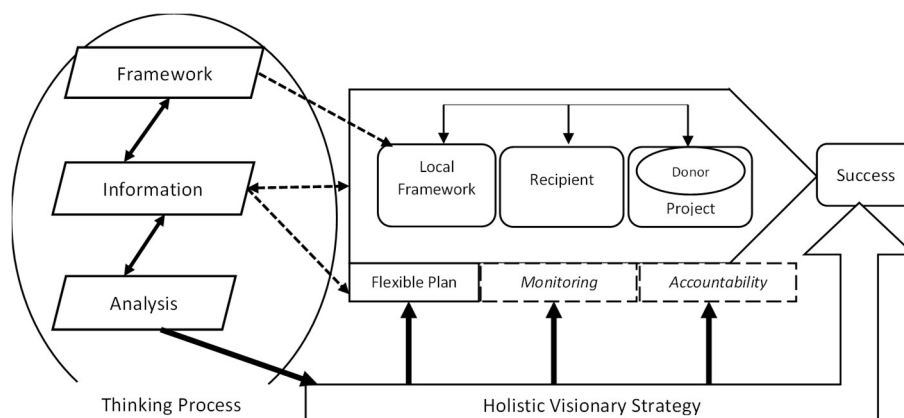


Figure 5-6: Thinking Process & Holistic Approach

Adaptive – Implementation (A)

With the resulting Strategy and Flexible planning including the objectives, and the monitoring cycles are backed by an analysis of what could divert and/or support the drive towards the envisioned

change, the data suggests that both parties start the implementation phase by *aligning* their objectives to become common ones.

Main Cluster Description:

Organizing, operating, and working in an inter-organizational setting towards common objectives entails capability to build and maintain trust, to communicate complex and sensitive issues, to manage expectations, and to remain flexible and adapt plans where needed and where possible. This *Adaptive* implementation (*Table 5-5*) requires, then, a certain set of abilities that are again inter-connected.

Adaptive – Implementation (A)

Collaboration (A.1)

A.1-D *Collaborating closely, and in the field when needed, with the Recipient representative in charge of the matter subject of the intervention.*

A.1-R *Engaging the internal team for close collaboration with the Donor.*

Trusting Relationship (A.2)

A.2-D *Building and maintaining strong relationships with all concerned through demonstrating being worthy of trust, mediating the coordination efforts, providing valuable advice, empowering others, and focusing on the common objective.*

A.2-R *Building and maintaining strong relationships with all concerned through being ready to fully engage together with the internal team, demonstrating being worthy of trust and focusing on the common objective.*

Adaptation (A.3)

A.3-D *Adapting plan of work, where possible, depending on newly acquired information related to priority needs.*

A.3-R *Adapting work measures and reshuffling priorities depending on offered support.*

Communicate with Diverse Audiences (A.4)

A.4-D&R *Listening while communicating clearly and credibly the complex, sensitive issues, and decisions to a diverse multi-disciplinary audience.*

Expectations: Output (A.5)

A.5-D&R *Articulating clearly the planned/ desired/ Expected Output to ensure Expectations are clear to all parties.*

Expectations: Input (A.6)

A.6-D&R *Clarifying Roles and Responsibilities for each output to strengthen full engagement of all parties and ensure smooth implementation.*

Table 5-5 Indicators for the Adaptive Implementation Cluster

These are fruitful *Collaboration* (1) that will strengthen *Trusting Relationships* (2) through the capacity to *Communicate well with Diverse Audiences* (3) while *Adapting* plans (4) in line with properly managed *Expectations* in relation to output (5) and input mainly *Clear Roles and Responsibilities* (6),

which, similarly to the *Holistic* Approach, all fall under the *Social Intelligence* competency (Boyatzis, 2008, p. 8).

The statements deal with three out of these six competencies differently thus suggesting a varying emphasis for each party:

- 1- The Donor's collaboration should be on the ground and in the *field* where the Recipient is working, who in turn should *involve* the internal team.
- 2- Building a Trusting Relationship for the donor includes coordinating and *empowering* a *committed* Recipient towards the common objective.
- 3- While the Donor *Adapts* the *Flexible* Plans (with considerations to funder approval, budgets, and other resources), the Recipient *Adapts* by reshuffling own *priorities*.

Indicators and evidence:

Collaboration (A.1)

It is the working closely in the field (D09-20, D08-01, & R11-26 –below) on “daily basis” (R11-28) and as “one team” (D12-49) that will help both grasp “where the other party is coming from” (D06-25) and most importantly improve the Donor's “understanding” of recipient's “problems in the field” (R03-35) which is necessary to identify the needed support from the project in question.

Indicator: A.1-D *Collaborating closely, and in the field when needed, with the Recipient representative in charge of the matter subject of the intervention.*

“You know this is actually my approach, I don't want to spend too much time with the directors. I wanted to work with those who actually do the work and develop actually with them and try to be too close to them so that they don't hesitate to approach me whenever they feel, it could be helpful to just call ... and ask ...” (D09-20)

“I mean we always have a similar approach ... being as close as possible to partners. I mean I think in general this is important.” (D08-01)

“... one thing I really admire him [Donor] for, is that he was like a field person. I mean he is not a person like just sitting in my office taking notes sending email to his client just getting the finances and I don't know hiring junior engineer to do the work. No, he was actually in the field he was placing his hat during the hot summer in the sun going with the contractor checking if they are doing the things right ... he assisted me a lot this was one of the strongest points that made the project a successful project. The donor representative was actually a pragmatic person he worked in the field by himself, so he was very dedicated to this project, and I think this was one of the key points for the success of this project.” (R11-26)

For the Recipient, it is the engagement of the whole institution's team at all levels (R04-06 & 58 below) that will ensure success as they are the eventual beneficiaries from this intervention. The full cooperation at this stage means that the Recipient is *committing all available resources* (R03-23 & 66, R04-51, & D06-07 below) to ensure that the right activity is successfully implemented, and it has higher chances for sustainability (R03-37).

Indicator: A.1-R	<i>Engaging the internal team for close collaboration with the Donor.</i>
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"This was done jointly between the employees (Recipient) and the X experts (Donor). They never imposed anything." (R04-06)

"In this case, it is the person that influenced this success, but our aim here is the organization and not the person." (R04-58)

"Giving us data, making employees available to us, talk to us when we wanted to interview them, listening to us when we called them for meetings or focus groups." (D06-07)

Trusting Relationship (A.2)

To nurture this collaboration and maximize productivity throughout the activity and the project, building and maintaining strong and trustful relationships is an important pillar and the effort "should be two-way" (D10-36). Analysing the counterpart (T.3) will guide each party to behave in the manner that will confirm transparency, reliability, credibility, and trustworthiness.

Indicator: A.2-D	<i>Building and maintaining strong relationships with all concerned through demonstrating being worthy of trust, mediating the coordination efforts, providing valuable advice, empowering others, and focusing on the common objective.</i>
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One Recipient stressed that the Donor being "the owner of the fund" can be looked at as a "role model and needs to behave in a way to influence others to act responsibly" (R11-30).

The Recipient will be more willing to take "daring decisions towards innovative solutions" (R04-41), or venture in "jobs" they "thought they cannot do" (D03-17- **A.2-R** below) when they trust that the Donor is keeping the promise (D03-41) regarding the joint working "in all the meaning of the word" (D03-1).

Consequently, the Donor would demonstrate being worthy of the trust placed in them to provide their full support for the Recipient to meet their set objective which is, truly, a common one to both parties.

"I think it's always important that you gain trust of partners and once you managed to do this then ... they will trust you to do things on their behalf." (D08-03)

"...the frustration is always there. You realise that things are not always pretty straightforward, and this requires a lot of buying in and ownership from the

counterpart. And if you want to gain the confidence of your counterpart, you need to provide him, first of all, you have to build a circle of trust so where they can trust you and they believe in what you are bringing on the table.” (D02-10)

“[What is important is] ...making sure that your counterpart gets to trust your judgement, that the counterpart believes that you are at an equal level and distance from him.” (D02-12)

“And there is ownership at the ministry to come to me and say please help all of them, all of them, all the services with all their contradictions with all their difficulty to deal with, all of them have accepted me.” (D05-24)

On the other hand, one Donor stresses that a Recipient should “squeeze” the Donor to get the information they need and this way they can be considered “excellent” (D12-04), and their full engagement and commitment to focus on objective will strengthen Donor’s trust, motivation, and dedication too.

Indicator: A.2-R *Building and maintaining strong relationships with all concerned through being ready to fully engage together with the internal team, demonstrating being worthy of trust and focusing on the common objective.*

“And ... [Donor] know the relationship [we have together], I mean when you spend with another person one or two or three years it becomes more of a personal relationship that makes an impact not on the productivity but on the workflow. It impacts how they relate to each other when they know each other [well].” (R04-07)

“They did a lot but the main important impact for us was for sure the reduction in consumption in one area. A very important thing. From one side on the management and also on our resource and how we can preserve our resources. It was also very important for our teams who thought they cannot do the job [but still engaged], so if you want to talk about success stories, this is one of them.” (R03-17)

Adaptation (A.3)

Collaboration in a trustful context will facilitate the adaptation of those *Flexible* plans to target priority needs (D02-35, R04-62, D07-08, D01-6 & 9 & D10-16 below). This could involve tailoring previously adopted solutions in different settings/projects to suit the new settings in the local context (D09-5).

For the Donor, ensuring a balance between the project design and the built-in flexibility and trying “not to deviate too much” (D10-29) is critical, as they are accountable for meeting the main objectives set by the funder.

Indicator: A.3-D *Adapting plan of work, where possible, depending on newly acquired information related to priority needs.*

“Project Management is technical to understand and, also solving problems and finding solutions and ways out. they all call me the "solution finder". You know what? To be able to do that you need to know the rules. if you know the rules well, ...because there is always a way to bend the rules, there is always a loophole, but you need to know exactly what their limitations are.” (D12-19)

“And something that partners appreciate here is definitely the way that we work closely with the partners and discussing with them everything and also the flexibility that we adjust the program to real needs here.” (D01-06)

“So, it’s really their priority and it’s not what we want to impose. Whatever we do is that of course we have limited budget and let’s say ok so this time we want to go for sanitation, then the discussions take place between the Directorate for Sewage for example or municipalities with the NGOs and then they have to come up with some proper adequate proposal.” (D01-09)

For such adaptation to be possible, some information sharing is required (**A.4**) to justify the “reshuffling” (D12-15) of Recipient’s priorities to ensure that their plans are in line with what is offered.

Indicator: A.3-R *Adapting work measures and reshuffling priorities depending on offered support.*

“They know that this person is stubborn but still flexible, meaning either they convince him of an idea, or he convinces them of his idea, or he would tell you that this idea doesn’t work.” (R04-08)

“Donor Y came after X, so we already had experienced X’s way of working and we benefited from it. With Donor X we had a bigger role [in developing the tools that were introduced]. With Donor Y, we were mostly the engine, we used everything we had like the communication flyers, the procedures, all these we used the same with Y [that were developed with Donor X] whose teams also were good listeners [Donor based the work on existing tools, while Recipient adapted to two different methodologies and roles].” (R03-19)

Communicate with Diverse Audiences (A.4)

The exchange of information and knowledge frequently involves an audience having different backgrounds, technical specialties, and experiences. Communicating complex data about sensitive issues in a multi-disciplinary team and in an inter-organizational setting is another essential but challenging factor for the collaboration.

Most of the participants' (Donor & Recipient) stories are about complex interventions in different technical fields that are not within the author's field of expertise, but the way they were described made it possible for her to understand the main issues. The cases included in the data covered:

- 1- Formulating technical information to non-technical counterparts (D08-15, D06-09),
- 2- Using analogies to simplify a complex situation (D10-39),
- 3- Describing a complex task in simple steps (D09-10), or by using keywords (D02-03),
- 4- Being transparent while focusing on avoiding "conflict" around sensitive issues (D12-28 & 50, D02-18, D05-21, R11-31, *D01-15 & D07-34 below*), or being "politically correct" (D12-42), or "diplomatic" (R11-20),
- 5- Justifying decisions and actions (D09-24, D06-05, R03-47, R04-27),
- 6- Creating awareness on gaps and solutions (D09-31 below),
- 7- Sharing experiences with similar consequences of the issue on hand (D07-25, D08-19).

Paying attention to "indirect" messages to "hear" (D10-45) them well is of the same importance as composing and *making sense* of the direct messages. And in relationships where trust is nurtured, all parties will be more comfortable with direct messages and do not see the need to "read between the lines" (D02-46) to understand the true nature of the problem (Donor) or even describe own weaknesses (Recipient) (R11-02 below).

Since the challenge is similar in this case, as can also be seen in the following statements, the focus of the remaining *indicators* (A.4, A.5 & A.6) is the same for both parties.

Indicator: A.4- D&R *Listening while communicating clearly and credibly the complex, sensitive issues, and decisions to a diverse multi-disciplinary audience.*

"You know I am quite straight forward (*laugh*) in communicating. so basically, I [Donor] told them [Recipient] what is the situation, and I told them exactly what I said to you now ...So, I tried to make them understand the context and how our donor works." (D01-15)

" a deputy secretary of the one of the ministries [Recipient] I mean people were terrified of him and all would stand against the wall when he gets down. we [Donor] treated him as just one of us and at times we felt he was going wrong, and we told him he was going wrong. and people were utterly horrified ... he listened to us, he championed all we did, I mean I have had phone calls ...several times on a Sunday because he had topics and I just let them call me as much as he wanted." (D07-34)

"...and this is why I [Donor] never told them [Recipient] what to do, I think what I wanted in the first place is I wanted to understand what they are going through and then to simply, you know in the first case, I wanted to draw their attention

to the complexity of the topic of sanitation and to the tool that we have developed, the standardized tool so that every city can use the same tool so they could make a complex situation, they could show it in a very simple fashion. In the second case I would just ask my questions and then come up with ideas, things that I would put to discussion and where I would make recommendations to try and reduce, at the end of the day reduce the water losses.” (D09-31)

“Since we [Recipient] didn't have any data base, so I thought this was a good start; to start with the data base for the new water network. So, they [Donor] asked me what I need, and I told them I had worked in public entities before and did the GIS systems so I know how it's done but since now I'm alone here and I have no one to support me so I would appreciate if you can hire an expert that can help me build the database.” (R11-02)

Expectations: Output (A.5)

For this joint implementation and collaboration to be successful while maintaining trust, clarifying expectations is a must (D10-50 below). Donor can “prioritize” balancing “needs and expectations” (D07-33) where possible to ensure the continued interest and engagement of the Recipient (D02-25). What is important at this stage is to be clear about “what Donor can and what Donor cannot do” (D01-21) as well as clarifying “the deliverable” (D06-17) and the benefits of the proposed activities (R03-34).

Indicator: A.5- D&R *Articulating clearly the planned/ desired/ Expected Output to ensure Expectations are clear to all parties.*

The Joint decision making (R03-12) regarding the joint implementation will result in an agreement “on all related detailed contributions” (R11-8) including output.

In a project targeting building capacity to improve governance, the funder’s conditions include a yearly financial report (project expenses) from the recipient which will need to be audited:

“...and that meeting is also an opportunity to explain well you are going to report to us so, that will be the expectations, this is the level of information you would like to have... the part we can be blamed for is that the communication with a donor/Funder was not clear as well. ... Because that was the expectation of the donors/funder we have to transfer that expectation to the executor/ Recipient... there was a communication breakdown along the chain from the donor/funder to, what are we, implementing agents and executing institutions. So, the communication was, is very important thing.” (D10-50)

“At the end of the day, he is writing the description of the project. If he didn’t describe it correctly, all my efforts will be gone. There should be complete agreement about the idea the director [Recipient] is proposing so that the project

director [Donor] can confirm to the donor [Funder] that yes this will have the X and Y impact.” (R04-29)

Expectations: Input (A.6)

The challenge of working in such context is that for every activity the Donor and the Recipient representatives may work with new counterparts depending on the required expertise.

For example, if the activity is to assess the quality of the water that is being pumped in the network, the Donor will hire a specialized technician that has to work with the head of laboratory as well as the head of water Distribution of the Recipient who might have never worked with this project team or any development project before. Or, they might have worked with a project that adopts a different methodology. It is therefore important to agree on who will do what to produce the desired output (D02-12 & 22, D09-09, D12-26 & 45, R11-33, D08-13 & D07-22 & R11-09 & D10-28 below). And when the resources are not available, some re-adaptation might be needed.

Indicator: A.6-D&R *Clarifying Roles and Responsibilities for each output to strengthen full engagement of all parties and ensure smooth implementation.*

Clarifying Roles and Responsibilities contributes to building trust (**A.2**) also and nurturing the collaboration (**A.1**) towards successful results. Example statements are:

“I mean there have been of course sitting together dividing tasks who can do what and at the beginning we thought, or the advice was that we need a team of consultants to do the baseline and be assigned to this job, but we managed to do it with core people within an ongoing project. and have only minimal direct external consultants.” (D08-13)

“I feel that every project should actually have a section at the beginning where it's more than a couple of hours around the table, it's almost sitting down with the local people...we can come up and say you ought to do this, and they say ah but it wouldn't be possible. These are very important issues.” (D07-22)

“So, this relationship is important and so you need to be very clear in the role and responsibilities that you are asking from them.” (D10-28)

“So, after tendering ... the company started surveying the network. in parallel we agreed that there will be a coordinator from our side for each of the seven villages, there will be representative for us there on the ground. So, we agreed that we will provide a person who is responsible for this village, for distributing the water in this village. He will accompany in the field survey.” (R11-09)

The *Holistic* approach and the *Adaptive* implementation in similar inter-organizational context which also involves several stakeholders (outside the collaboration between Donor and Recipient) and who have different interests increases uncertainty about validity of acquired information and their sources.

Consequently, risks are high which makes the *Thinking* process that will support the decision-making throughout the project life even more critical. *Figure 5-7* shows how these three clusters (**H.A.T.**) are inter-connected.

Implementing a flexible plan that is being adapted according to new emerging information and sometimes to deal with reactions from other stakeholders, increases uncertainties that both Donor and Recipient are dealing with even if with differing consequences. Recalling on the common objectives they have together while they are impacted differently also brings back the issue of trust that remains critical.

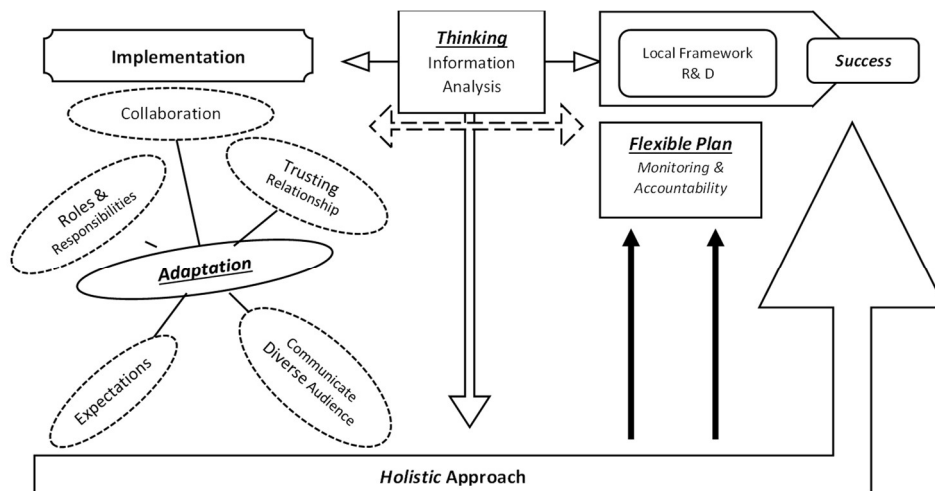


Figure 5-7 Adaptive Implementation of the Flexible Plan towards the Holistic Approach linked to Thinking.

As discussed so far, the data led me to the conclusion that any representative of Donor and Recipient when jointly working towards the project objectives, which are *common*, ought to be a ‘Holistic Adaptive Thinker’.

But that does not stop here as the data also suggests some needed *Personal Convictions* that are as critical as the **H.A.T.** in such working context, must be, what the researcher chooses to label ‘Wise’.

Wise Personal Convictions (W)

Several statements that were included in the preceding sections described circumstances that call for certain dispositions. These situations included challenges (D02-16) that could be due to no action from other parties (D05-11) or lack of assistance (R04-02) or accounting for political pressure and religious considerations (R04-32), having to read a very technical report outside of one’s specialty (D12-34), dealing with “administrative burden” (D10-32) or “hidden agendas” (D01-12),

“...when you’re interviewing candidates for specific projects especially in development, you wanna look at those aspects, you wanna look how *humble* the guy is ... it’s not that he doesn’t know anything technically – he should know – but at least the technicalities in my view are not anymore, a gold mine because you can find all the knowledge is out there... It’s the attitude” (D02-45)

working with parties that “know nothing” about the local context (R04-15), complex issues (R11-6, D09-08), “frustrations” and things being not “always pretty straightforward” (D02-10), people thinking “they cannot do the job” (R03-17), problems waiting for “a solution finder” (D12-19), dealing with a “stubborn but still flexible” counterpart (R04-08), and communicating with a high level actor who is “going wrong” (D07-34).

Furthermore, the elements of the **Holistic, Adaptive and Thinking (H.A.T.)** highlight the importance of some characteristics that the people involved need to have which includes transparency, reliability, credibility, trustworthiness. And one Donor stressed that the “gold mine” is no longer the technical knowledge but the “attitude” is (D02-45). With this new lens which is also linked to *Figure 5-3* (Fourth Cycle) where Beliefs, Attitudes and Learning are highlighted, certain traits and characteristics stand out in the data as important in the work environment related to this study.

The researcher decided to call the cluster of these principles and qualities as the *Personal Convictions* which are a combination of beliefs, mind-sets and dispositions that will impact the turn of mind and the state of readiness of the individual to behave or act in a specific fashion. Consequently, this cluster falls under *Emotional Intelligence* which the author claims to be the pre-condition that will facilitate the elements of the three other Clusters (**H.A.T.**).

“an emotional, intelligence competency is an ability to recognize, understand, and use emotional information about oneself that leads to or causes effective or superior performance.”
(Boyatzis, 2008, p. 8)

The trigger for these ‘Wise’ dispositions will be a real interest of concerned practitioner in especially the development sector where there is no place for “foolishness” while targeting the ‘common good’ (Sternberg, 2019).

Main Cluster Description:

This ‘Wise’ cluster groups four sub-clusters that the data suggests as being necessary for Donor and Recipient to possess. These are:

- 1- *Donor’s Commitment* to Adaptive Management & Stakeholders’ Engagement for making a difference in Development. (**W.1**)
- 2- Openness, Transparency and Diversity for win-win solutions. (**W.2**)
- 3- Persistence and Positivity. (**W.3**)
- 4- Learning Never Stops. (**W.4**)

These four sub-clusters, as well as those in the **H.A.T.** clusters, remain highly inter-linked which will be evident from the sample statements provided below.

Donor's Commitment to Adaptive Management & Stakeholders' Engagement for making a difference in Development (W.1)

Development work is aiming to improve the lives of targeted populations, and this is what the Donor is attempting through some short-term interventions towards a *Holistic* Vision for a sustainable development. The adopted Strategy can only be appropriate when considering all affected communities as well as how they *envision* their state of wellbeing. For this to happen, Donor needs to be committed to *engage* those concerned in the process of *Adapting* projects targeting their own wellbeing. The beliefs and attitudes that are described below will form the solid commitment to **Adaptive Management** and stakeholders' engagement. This commitment will be evidenced by Donor's daily tasks throughout the project's life and needs to be considered as a *permanent objective* for the Donor in all development projects.

Sub-Cluster Description:

A development practitioner is one who is dedicated to help improve performance where required, as this will contribute to improving lives of targeted communities within a Recipient country (**Holistic**). This entails acting as a change agent and starts by diagnosing the status quo before designing and introducing the necessary measures (**Adaptive**). In this context engulfed with uncertainties, this commitment is crucial to selecting the appropriate interventions that the beneficiaries desire (**Adaptive Management**) and therefore will strengthen their willingness to own them and fully engage in their implementation (**Stakeholders' Engagement**) until the improvements are carried out while securing their sustainability (making a difference in Development).

Donor's Commitment to Adaptive Management & Stakeholders' Engagement for making a difference in Development (**W.1**)

W.1.1-D Believing that *the best interest of the Recipient is THE priority*. (**Wise**)

W.1.2-D Believing that *for interventions to be impactful, they should account for ALL national stakeholders' needs*. (**Holistic**).

W.1.3-D Willingness to *listen carefully to expressed needs and close the feedback loop by communicating back related information, decisions, and their justifications*. (**Adaptive**)

W.1.4-D Willingness to *adopt a 'bottom-up' or 'field-up' approach at each stage of the project from design to implementation*. (**Holistic & Adaptive**)

W.1.5-D Willingness to *promote and lobby with funders for needed flexibility while focusing on strengthening Stakeholders' Engagement*. (**Adaptive**)

W.1.6-D Readiness to deal with uncertainties and instability in order to remain *flexible to Adapt, where possible, the project objectives and related interventions to touch primarily on real priorities and lead to those common objectives*. (**Adaptive**)

W.1.7-D Readiness to *Act and Behave as an equal partner when jointly designing solutions to account for all enablers and challenges*. (**Holistic & Adaptive**)

W.1.8-D Readiness to *empower local Champions who can further strengthen local engagement at*

Table 5-6 Indicators for the Sub-Cluster W.1- Donor's Commitment to Adaptive Management & Stakeholders' Engagement

This commitment is interpreted by a set of eight indicators for *beliefs*, *willingness*, and *dispositions* that are listed *Table 5-6* and discussed below with their related evidence and links to the **H.A.T.** Clusters.

Indicators and evidence:

The commitment to Adapt projects and Engage stakeholders starts by prioritising the best interests of the communities in question as well as the direct Recipient and the population benefiting from the contributions of the projects. This can be demonstrated through, for example, looking forward to “hand holding” and motivating (D09-29 below) the partner while working to “ensure their best interest” (D02-13 below) and expressing joy when a contribution shows some positive impact (D09-12 below).

Indicator: W.1.1-D	Believing that <i>the best interest of the Recipient is THE priority. (Wise)</i>
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“So, in my opinion it’s not or it doesn’t mostly rely on the technical skills or the know-how rather than on making sure that...the partners, if I may say, not the counterpart, consider that you are here for their *best interest*. And that’s something that ... doesn’t really happen readily, and it takes a lot of time.” (D02-13)

“We are talking here about country X, they don't have centralized systems. In [the capital] they have like Russian style building projects, multi-story apartment blocks, they would have then a treatment facility that serves I don't know 20,000 people but this is private, and it is not well operated. and the diagram [the tool we introduced and trained them to use] for [the capital] had a look into this as well and identified this as a problem because the treatment facility was not operating, so this is something that actually *I am really glad I did this.*” (D09-12)

“Actually...total of like 7 persons, we invited [to participate in a conference in another country] because this conference is just about [their field of work and because we can’t visit them due to unsafe conditions in their country] ..., so I want to *use every occasion* to see the people and try to *keep the spirits high*, so they don't lose interest.” (D09-13)

“So probably ...and that was the recommendation I gave to the program manager.... it would require much *hand holding* and basically a person sitting nearby and that would *motivate* them and explain and answer questions and so on. so yes, I mean this actually if she would ask me if I would be interested to spend a year there, I would probably not hesitate and say yes why not.” (D09-29)

“I have been working as a consultant for many years, I would just go into a situation with a partner and ask for data, spend there my 4 or 8 weeks and then come up with something. ... I was interested in the [funder] being happy not so much the *partner*, and of course it took me sometime to understand that *the partner is in the*

focus and actually that is the reason why I am working with my company because it's all about the partner.” (D09-34)

Furthermore, truly believing that the “ownership [of the intervention by the Recipient] is a priority even in the lack of competency because the latter you can build once the former is there” (D05-27), and that only “complete involvement of the partner...ensures sustainability” (D01-28).

The “change of the mindset and the behaviour [of Recipient]- the opening of the eyes” (D01-31) is what makes all the trouble worthwhile. And this relates to all Stakeholders, therefore highlighting the value of the *Holistic* Approach.

Indicator: W.1.2-D Believing that *for interventions to be impactful, they should account for ALL national stakeholders’ needs.* (**Holistic**)

“But one of my conclusions in terms of the governance issue we dealt with in the region X project, is that you need to create a *collective* action, so you need to be at the community level or be it an institution or be it at a national level you need some kind of trust in the collective.” (D10-13)

“Yes, [local stakeholders] came from different cities. So, we had a representative from the cities which were invited which were the official partners [direct beneficiary- Recipient] and then we had another translator who was attending and who was also participating in one group. we made sure that we had more than one person [local stakeholder] looking into one city. So, we had always a group of persons working on one city. So, they had internal discussions and discussions among different groups [local stakeholder looking to identify gaps related to sludge management that concern one city and might impact other cities too]. (D09-17)

Moreover, the Donor’s role is expected to be not telling the partner “what to do but what could be done and probably should be done” (D07-17 in **W.1.7-D** below), instead of suggesting that “I know and you don’t know” (R03-21 in **W.1.7-D** below).

Therefore, the willingness to “give space to all stakeholders to exchange information” (D02-36) and to express their needs, and to really listen (**A.4- D&R**) is crucial and will be strengthened by the deep belief in the partner’s best interest (**W.1.1-D**).

Indicator: W.1.3-D Willingness to *listen carefully to expressed needs and close the feedback loop by communicating back related information, decisions, and their justifications.* (**Adaptive**)

Other participants further confirmed:

“Donors.... they have to have technical competencies ...then...willingness to listen and to listen to locals not come in with an attitude of I know more, I know you don't know, that is something that must be a no no.” (D06-23) [also valid for **W.1.7-D** below]

“For me the main experience that was important, best experience was with the X project..... and they (Donor) were good listeners.” (R03-04)

When one believes that the priority is for the Recipient’s interest (**W.1.1-D**) and is willing to listen because “all interventions should come from down, from the people in need whoever they are” (D01-01), one is more ready to invest in collecting the needed information no matter how “tough” (D12-34) it can be as stated above in **T.2-D**.

Indicator: W.1.4-D Willingness to *adopt a 'bottom-up' or 'field-up' approach at each stage of the project from design to implementation.* (**Holistic & Adaptive**)

“[What] I really liked with them [Donor] it’s the complete involvement of partners. And complete bottom-up approach and thinking about the sustainability.” (D01-28)

Being flexible and adapting the project activities (**Adaptive**), in many cases, require the trouble of relaying related justifications to the Funder to approve the reshuffling of plans and customizing solutions and shifting budgets.

For that, being ready to fight for the adaptation needed to make the *partner* get the greater benefit is a most desired attitude. And because the Donor is the link between the Recipient and the Funder (D10-09 below), one of their main actions ought to be promoting and lobbying for the needed flexibility. (See also statement (D08-10) in **H.3-D**)

Indicator: W.1.5-D Willingness to *promote and lobby with funders for needed flexibility while focusing on strengthening Stakeholders’ Engagement.* (**Adaptive**)

“I mean a flexible approach is important. I mean looking into the situation or the partner country or the partner and starting without coming with own agenda, coming with an open agenda [as set by the Funder] that is adapted to the framework condition of the particular situation.” (D08-24)

“And I don't say this out of naivety or naiveness, I mean there is maybe a little bit of naivety at the [funder’s] side and maybe that is... one of the failures that we need to notice that we as implementers we are the linkage between the actors that should change behaviours and the [funder].” (D10-09)

Also, carrying forward the flexibility means more uncertainty and less stability as plans need to change over and over with every new information and new need being discovered.

It is only the strong belief in the Recipient’s *best interest* (**W.1.1-D**) that will make the Donor ready to adapt to constant instability while focusing on the common objectives (**A.2-D**).

Indicator: W.1.6-D Readiness to deal with uncertainties and instability in order to remain *flexible to Adapt, where possible, the project objectives and related interventions to touch primarily on real priorities and lead to those common objectives.* (Adaptive)

On the other hand, acting as an equal *partner*, which is critical to building and maintaining trust (**A.2-D**), is possible when one is really *believing* in this equality which will be sensed by the counterpart through behaviours and decisions and consequently affect *trust* and *engagement*.

Such actions would certainly include closing the feedback loop (**W.1.3-D**) to keep the *partner* well informed of any decision related to the discussed issues and this again will confirm the importance of their engagement.

Indicator: W.1.7-D Readiness to *Act and Behave as an equal partner when jointly designing solutions to account for all enablers and challenges.* (Holistic & Adaptive)

“Sometimes I hear from donors that we are bringing food on the table so we have the final say and that is probably the worst thing you would ever do if you want to achieve any any sort of change.” (D02-11)

“To be honest, it is essential and very very important, and I don't think enough time is spent on it. I think the attitude that external people adopt is not always the best... I never actually attempt to tell anybody what they should do, I tell them what I think, I can tell them what the international standards are, I can tell them what they are doing at the moment, and I can show them the need to fill that gap and if you like the bigger the gap the greater the priority. but I never I am not there to tell X country what to do all I can set out is what the country could and probably should do. and I don't think we spend enough time talking with the people.” (D07-17). [also valid for **W.1.3-D** & **W.1.4-D** above].

“Ok, we are saying we don't want to deal with the matter as if one party is coming to teach the other party, I know, and you don't know.” (R03-21)

This readiness and actual action would not only strengthen trust and the relationship (**A.2**) but also empower the recipient to become that “champion” (D10-18 below) who is fully engaged in partnering towards the desired change that will sustain.

Indicator: W.1.8-D Readiness to *empower local Champions who can further strengthen local engagement at different levels.* (Holistic & Adaptive)

“...they know the situation in the area, they know the people, they know which door they want to knock to enter. They know, so the people in the sense that you have certain champions and certain subjects for example in the governance issue it's very important to identify a champion to say well this guy looks honest, and he

is willing to pull the whole behaviour change process. Because in a certain way you...have to identify the horses you want to bet on.” (D10-18)

The beliefs that will drive the willingness and the readiness of the Donor to maintain the Commitment to Adaptive Management and Stakeholders’ engagement are sketched in *Figure 5-8*.

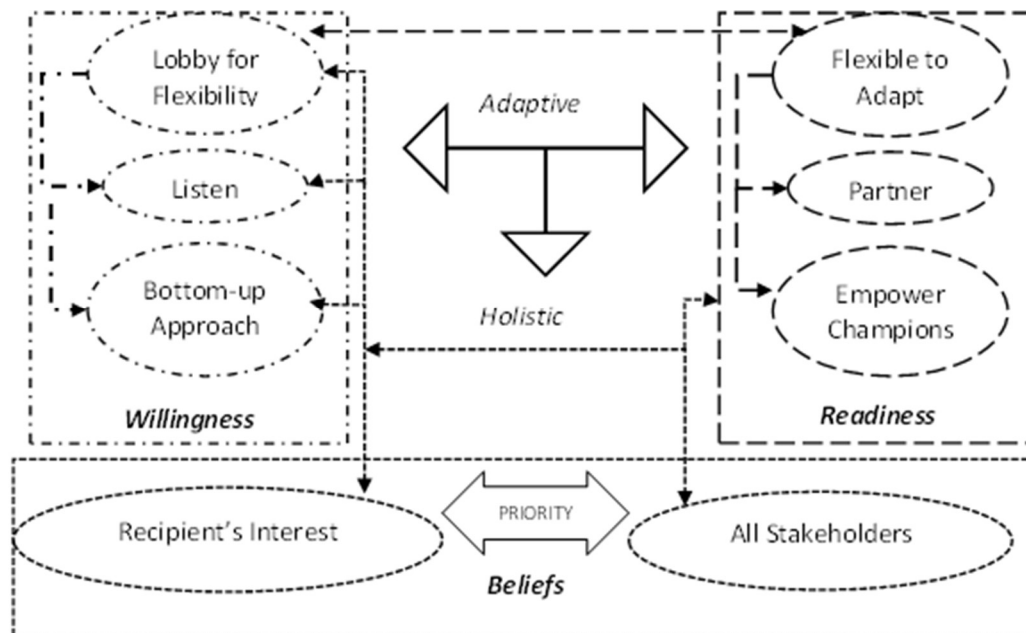


Figure 5-8 Indicators for the Donor's Commitment to Adapt projects and Engage Stakeholders.

Openness, Transparency and Diversity for win-win solutions (W.2)

Fitting Recipient's needs and limitations with own resources and governing regulations on the part of the Donor, and the Recipient re-aligning own priorities with the opportunities that the Donor is offering relies not only on a reigning *trust* (A.2) but also on transparency as well as openness to accept the diverse opinions and perspectives. For the Donor, this can also include “admitting wrong assumptions at project design stage” (D10-35) where they did “underestimate the culture” of Recipients’ institutions (D10-07), for example, which will call for the imminent adaptation.

The approaches and ‘attitudes’ that were discussed so far and those that will follow will make the agreeing on one common objective see the light (**Adaptive**), as concluded from the example discussed in the First and the Fourth cycles, “Aims for win-win solutions by being flexible and open to accepting ‘the different opinion’” (D01- 33).

A total of seven indicators have been identified for this sub-cluster. Four are related to Donor and three for Recipient.

Sub-Cluster Description:

In the context of development projects, Donors – ‘outsiders’– and in most cases coming from different countries - are adapting their projects to fit best with Recipients’ needs and priorities. This necessitates that both parties or partners (**W-1.7-D**) remain transparent and open to accept opinions of others.

Indicators and evidence:

Because the focus of the related indicators for this sub-cluster, as suggested by the data, is different for each party, two separate sections will be dedicated here to show the evidence.

Donor

Building on the previous discussions, evidence, and indicators of the different clusters and sub-clusters, four new indicators apply to Donor (*Table 5-7*).

Openness, Transparency and Diversity for win-win solutions (**W.2**)

Donor

W.2.1-D Acting with consideration to possible culture sensitivity.

W.2.2-D Evaluating assumptions - adopted at project design stage- which are related to the organizational culture of Recipient with the aim to adjust plans and improve support efforts.

W.2.3-D Remaining open to accept different opinions which helps improve understanding of stakeholders’ concerns and challenges.

W.2.4-D Promoting and practicing full transparency to foster continued trusting relationship with Recipient.

Table 5-7 Indicators for the Sub-Cluster W.2 - Donor

These are interlinked in a way that when the first is valid then there is a bigger chance that the second will become possible.

In other words, when a person is sensitive to other cultures (**W-2.1-D**), the chances that he/she will be able to rightfully evaluate other cultures (**W.2.2-D**) -at the nation or organization level- are high. Consequently, networking (**H.2**) and building trust (**A.2**) among others will tend to succeed.

Indicator: W.2.1-D Acting with consideration to possible culture sensitivity.
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“...yes, they [Donor] have a real openness to other cultures. and are not racist.”
(D08-27)

“So, we developed this tool, which was called SFD, Shit Flow Diagram, the word is already offending. I don't like to use the word because the context where I was using the SFD, ... was in X country and people are very careful about the wording

and so I used to frame it differently like we were talking here about Sludge and basically this is the same Sludge Flow Diagram.” (D09-01)

“... he [Recipient] gave a talk (laugh) and I [Donor] told him he couldn't say certain things and I sat beside him when he said that talk and he cut out this bit that I objected to and under the table he patted my leg (laugh) to show "I listened to you" and say I haven't had my leg patted by a deputy secretary of a ministry (laugh) for a long time actually.” (D07-35)

”... the challenge was to get the 11 mayors on a table and the convincing that they should form a joint workshop. we have been trying to get them, we brought them together and we discussed this jointly with them and of course, it was very important to have a local person [who understands the culture sensitivity better] who was capable of negotiating this with the partners.” (D08-17)

Indicator: W.2.2-D Evaluating assumptions - adopted at project design stage- which are related to the organizational culture of Recipient with the aim to adjust plans and improve support efforts.

“And in those different stages, there are successes and failures. The failure somehow was that.... Mmm... well the failure was I think to underestimate the culture that was in these institutions.” (D10-07)

“.... Yeah, yeah, yeah, no, no, no it was an assumption that was not correct.” (D10-35)

Indicator: W.2.3-D Remaining open to accept different opinions which helps improve understanding of stakeholders’ concerns and challenges.

“Of course, their [Donor] team was present and, also was open and had the minimum capacities and competence that enabled them to understand what we [Recipient] were saying and our weak points. ... So, this was the main aspect that made this project.... useful.” (R03-05)

“Most important competencies are openness, it is important to understand the partner [Recipient], their needs, and politics” (D01-32)

Indicator: W.2.4-D Promoting and practicing full transparency to foster continued trusting relationship with Recipient.

“Partly already mentioned. of course, winning trust of partner [Recipient] being non-commercial [implementing Donor is part of the Funder’s organization and not sub-contracted], of course having a certain reputation is very important, being *authentic* is important. And ... representing an institution which is *credible* is also very important.” (D08-22)

Recipient

The three indicators presented in this section (*Table 5-8*) for the Recipient emerged also from the previous discussions, evidence, and indicators of the different clusters.

These are also interlinked. For example, if one does not value diversity (**W.2.1-R**), one is less likely to consider views of people having different cultures (**W.2.2-R**) for instance, and consequently sharing internal problems (**W.2.3-R**) may not be an option that one is ready to consider.

Openness, Transparency and Diversity for win-win solutions (**W.2**)

Recipient

W.2.1-R Valuing diversity in all its forms as it can provide varieties of perspectives and therefore rich ideas to work with.

W.2.2-R Remaining open to consider views expressed by experienced counterparts/ Donors.

W.2.3-R Discussing openly with full transparency own organization's gaps and needs in the purpose of receiving the right support to improve currently adopted practices.

Table 5-8 Indicators for the Sub-Cluster W.2 – Recipient

<p>Indicator: W.2.1-R Valuing diversity in all its forms as it can provide varieties of perspectives and therefore rich ideas to work with.</p>
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“...the two people who were most helpful to me were from different religions. I tell you the effect that I am telling you about is the *diversity* that I believe in to the maximum.” (R03-63)

<p>Indicator: W.2.2-R Remaining open to consider views expressed by experienced counterparts/ Donors.</p>
--

“I remember when we first started to work in this program... they were sitting on a table with the DG and the X experts [Donor] discussing point by point. We didn't have someone external placing a book on the table and saying you have to implement what is there. No, it wasn't like that. It was a discussion; everyone was expressing his opinion according to his experience in these institutions and how we can develop them [the departments].” (R04-09)

“This is important, why? First because the recipient too should be able to understand who is coming to support him and be capable of sharing different points of views. This helps a lot the consultant [Donor] to be more efficient and enable him to identify how he can remedy the weak points that were not clear to him first.” (D03-07)

Indicator: W.2.3-R Discussing openly with full transparency own organization's gaps and needs in the purpose of receiving the right support to improve currently adopted practices.

“No, they were working under ... ‘Refugees’ umbrella but stretchable. They were flexible, I mean we need something whether there was a refugee or not, ... we were transparent.” (R04-40)

“And we were very transparent, and we did not hide anything.” (R03-02)

Persistence and Positivity (W.3)

While sharing their success stories participants from both groups described the risk of failure they had to work hard to minimize and overcome as well as their parallel optimism and persistence.

Sub-Cluster Description:

Making decisions in an environment that can be best described as ever changing and performing within inter-organizational teams where management ‘authority’ is replaced by trust, requires Persistence and Positivity to keep the active engagement of all. Being realistic in framing next steps, and self-confident while implementing them in similar contexts is vital for ensuring successful outcomes.

Five indicators are identified, three are shared by both parties while each party has one additional indicator with a different focus (*Table 5-9*).

Persistence and Positivity (W.3)

W.3.1-D&R Keeping the optimism and self-confidence while being realistic when aiming high under the pressure to reach objectives in uncertain circumstances.

W.3.2-D&R Persisting on the tasks on hand and Making Decisions while dealing with current and eventual challenges.

W.3.3-D&R Expressing openly appreciation for any effort towards targeted improvements.

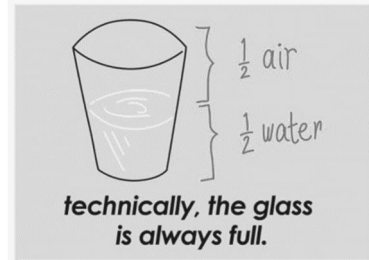
W.3.4-D Trusting in the recipient's true engagement.

W.3.4-R Adopting new performance improvement measures despite all challenges.

Table 5-9 Indicators for the Sub-Cluster W.3

Indicators and evidence:

Statements like “failure by itself is not a failure since you reach results...for building learning” (R11-01), “the optimistic part being that awareness [of the problem] is increased” (D02-33), and when one Donor assesses outcomes positively even when the set target was not met (D10-34 below) echo the saying seeing the glass half full instead of half empty, (*Figure 5-9*) when one can argue that “technically, the glass is always full” (STEAMfest, 2020).



*Figure 5-9 By
Georgina Emily*

Balancing between self-confidence when persisting and having a positive way of thinking while being realistic about what may not be achieved is yet another critical attitude that can maintain the players’ drive toward success.

As one Recipient said, “successful projects do not necessarily reach 100% completion without some mistakes and poor monitoring” (R04-17). So, “understanding the local context and the local needs and the difficulty of balancing these with available project resources” (D10-40) (**Adaptive**) is a persistent challenge where all need to remain confident “even though we are not perfect” (R03-77).

Realising that the challenges are the same for all projects and all players (D02-08) should not limit the drive to daring new solutions and “think outside the box” (D02-51) to reach win-win solutions and common objectives.

Indicator: W.3.1- D&R Keeping the optimism and self-confidence while being realistic when aiming high under the pressure to reach objectives in uncertain circumstances.

“We went through ups and downs many times, the person who is representing us ... gave false indications false locations The good thing is that we learned a lot from this project. ...and this gave us like a stamina for enhancing future projects on this specific topic.” (R11-11)

“And also, so for them I (Donor) imagine that they (Recipient) also had adapted their internal processes so it was also a learning process for them so in that way it's a success as well even though the reporting was a failure there was some kind of positive result that there was a capacity-building [the long term objective of the project] within those institutions even though it was not planned and programmed for but I imagine and I hope that it was also one of the results.” (D10-34)

“Declaring this area as protected area where we will not have any construction, I (Donor) mean it is not easy to do this, I told you in region X all the paperwork is there, but there is no political will, so thanks to the support of politicians, NGOs, local authorities, we (Donor and Recipient) managed three laws in no time. and

was like, [expressing joy], it is a success story... we have now fourteen protected areas but there are so many others that could have been declared as protected and safeguarded but they have not. [and still working to make that happen]." (D05-12-13)

"Often, we [Donor] do a very nice report [that Recipient doesn't object to while the work is being done] which is put in the manager's [Recipient] office where no one really reads it [even when in doubt, we continue the work to produce the report and recommend needed action]." (D07-05)

"...hmmmm (thinking)...I don't think that... I (Donor) would like to shy a little bit away from thinking in binary in thinking is it a success or is it not a success. In the sense that I think that when you implement some activities with support of donors, there is always a part of success and there is always a part of failing." (D10-01)

Positivity increases the chance for the persistence to prevail when uncertainty is the rule (as seen in D05-12 &13 above). All participants at different points in their stories showed that they were patient, firm and focused on their objectives while dealing with the different challenges they described. This also suggests that they were sure they can accomplish something even if it was not the 100% success.

Indicator: W.3.2- D&R Persisting on the tasks on hand and Making Decisions while dealing with current and eventual challenges.

"A lot of projects have hiccups, I mean clearly [the team leader - Donor] left and he's now working in another country ... I don't know whether he left or whether he was asked to leave but he is gone. he went and the project rambled for about 9 months with no team leader, so Mr X had to do quite a lot of work to get it back on track. That will be finished probably by the end of March, so he's head down in charge to get it done." (D07-40)

"When we [Donor] used to ask for the soft information [from Recipient], we would only get photocopies and we wouldn't really get any sort of explanation why those copies or those numbers crouched in this way until the day we realised that we started initiating and teaching them the benefit of doing this exercise for their own internal management and for their forecasted planning and ... we created ... steering committee. the trick was that Business planning requires ... coordination at different levels. we are talking about technical, administrative and customer related, commercial, and those sometimes even if you think that they are pretty straightforward... in many instances they are not really coordinated internally. each entity ... works as if they are working on their own proper guidance and they do not really see the cross-cutting aspects whereby they would be benefiting from any improvement done at the technical level which will improve the customer relation, this is one example." (D02-17)

"Of course, the project went into different stages ... survey was done ...compare it to the data ... correct the data that was available [which] was not properly let's

say 100% proof. So we found many mistakesso we benefited from the updating of the data ... and ... from learning how the work should be properly done from the learning cases and the failures and the phases we went through. Ok am including the failure (laugh) and this was part of the job. will always be ups and downs.” (R11-13)

“So this meeting of the recipient and what we [Donor] bring is not an easy task you need to know the context, you need to know the people, you need to know what they want and so on and so on and this is all very much theory that we learn in the development work but it's not always easy to do... still with that little money you need to know what those people want, ... what we can bring, you need to implement, and all that, so it's a difficult task.” (D10-40)

“Yes definitely, after these 2 years with all the projects being implemented here, they [Recipient] definitely know more about our [funder], but they still try [to do things their way]. So, it's always trying to find a way. I think it's everywhere the same in the world.” (D01-16)

“You need to have commitment. If you don't have commitment no way on earth you will have success no matter what the product is. We (Donor) face that all the time, and we know it.” (D12-02)

Expressing appreciation of the contributions and efforts of others, which is also a sign of positivity, is one way to empower them too (**W.1.8-D**). One Donor states that some “can run further and faster than you imagine” (D10-37 valid also for **W.3.4-D**). At the other end, one Recipient described what one Donor did and concluded by “I really admire him” (R11-25).

Indicator: W.3.3- D&R Expressing openly appreciation for any effort towards targeted improvements.

“I mean I consider this the most important experience we had with X project. Of course, the team leader [Donor] was a very important man.” (R03-13)

“Regardless of one's opinion about the donor country or his political views, I cannot deny that X helped us build a strong basis for our institution, all what can be seen now is the result of the strong basis that it was built on.” (R04-30)

“Some participants [Recipient] would run away with you too and do something that you never expect ... six months later and you realise ... that they did a lot of things with it and this action plan for example in one institution ... it seems like a success what you see with a little money we dispersed they sometimes ... can go very far with it and that is good.” (D10-38)

The optimistic attitude on behalf of the Donor (**W.3.1-D&R**) will strengthen the trust in others to do a better job with the needed knowledge and guidance (D09-16 below), which will make the Recipient more willing to adopt new ideas that were never attempted in the sector before (R04-10 below).

Indicator: W-3.4- D

Trusting in the recipient's true engagement.

“It was interesting [for me as a Donor to do the job] ... but I think it is much more helpful if the people do it themselves because what they realize is that they can dig deeper and they can just comprehend the complexity of that if they just ask the right questions ... so I think it's the key for success in that case is that I dropped the idea and asked them to work in groups [and trust that they will manage to do the job] and of course this process I mean I was all the time around and my colleague was around [for when they had questions to ask]” (D09-16)

“...at the same time, you need to have a hero [Recipient] for a project... you need someone to take it and carry on with it.... you need someone to take the project and carry-on implementation. it will be useless if you don't have a hero.” (D12-41)

“So again, [I see it as a Donor from] the recipient’s perspective.... I’d rather as an entity as a recipient be more selective and understand really the benefit of an exercise rather than doing an exercise and knowing that it will be a waste of time and it won't be to any potential” (D02-26)

In this statement (D02-26), the participant, a Donor, is in a way justifying the Recipient’s caution and being selective and needing to understand the expected benefits and eventual challenges from an intervention/ activity before engaging fully. However, this does not mean that the Recipient will always choose the less challenging activity, as the example below shows.

When the Business Planning was suggested by a Donor as an important activity for one government institution, the overseeing body at the Ministry thought it was not a priority. This did not stop the Recipient (R04-10 below) to spare the time of his team to engage in this exercise knowing that they will not get any support from the higher authority to endorse the expected output. He was confident that once his institution will have the capacity to set its Strategic Goals and develop its Business Plan, which he saw as a missing asset, he will manage to continue to the next steps.

Indicator: W.3.4-R

Adopting new performance improvement measures despite all challenges.

“I mean it was the first time an institution defines its vision and mission statement, sets strategic goals and the plan to reach these strategic goals. We had the first business plan [in the sector], really, it was a very, very, successful experience. And because it was successful it continued for 10 years. (R04-10)

One Donor who was involved in the same activity with another Recipient described the challenge to be the “enabling environment...and the need and then eventually what comes after the enabling environment is senior management decision and ultimately the policies that require for public entities to adopt best practices in management.” (D02- U 26-29)

On another front, one Recipient resumed work on updating the institution's manpower planning and on other capacity building projects while engaging in reconstructing major infrastructure destroyed during a military conflict that lasted over one month. The situation is described in (R04-12 &13&16 below) which also supports other indicators in this sub-cluster (**W.3.1, W.3.2 & W.3.3**).

"They [Donor x] are also helping us [Recipient] to update this manpower planning. At the same time, there were other donors Here the pressure on us was enormous ... [following a 34-day military conflict with a neighbouring country]. Most of the networks and main supply lines and the main reservoirs were destroyed. I think about 200 reservoirs were affected. I recall, 60 tanks were destroyed, or 58 and around 140 or 150 had been partially hit. That is in addition to the distribution lines and networks....Then we had new donors coming in, that some I called 'touristic NGOs'....So we suffered a lot before we could control the situation and make sure that the money is not going away from the intended target...But with Donors 1,2,3 &4 [capacity building projects continuing and others starting while the reconstruction was taking place], the truth is these donors helped us." (R04-12 &13&16)

Learning Never Stops (W.4)

The previously discussed openness, to consider the opinions and perspectives of others (**W-2.**) and reflect on and analyse (T.3) what needs to be adapted, points towards a continuous cycle of learning.

At both ends and as discussed so far, learning starts at the very first stage of the development of the Holistic Vision, the Networking, the collection of Information and the Analysis (T). It continues during Collaboration where the new lessons learned trigger Adaptation through the communicated decisions and justifications for eventual solutions and agreed interventions (*Figure 5-3* in the Fourth cycle). One Donor confirms, "My experience in development is that the learning can only happen through doing, through execution. So, it's the learning by doing approach that I would definitely recommend" (D10-6). The "cooperation" and collaboration present all with an opportunity to "learn from each other" (D08- 22).

According to a Recipient, "one aspect of the success is the joint learning process by regular discussions to analyse the problems and find appropriate solutions" (R11-22). It is also the dedication to knowledge sharing at both ends that increases the success rate. But it is the willingness of the Recipient to learn and eventually implement change that is crucial, assuming that the Donor has the desire and willingness to being open to learning in order to better understand the system and accommodate the prevailing needs.

Two Donors highlighted the importance of experience, which is the result of learning from doing, to make the “desired impact.” (D02-43, D01-35). One Donor even linked experience to becoming “more realistic and to have a more comprehensive character to accept frustrations, to accept being more persistent” (D02-44) (linked to **W.3**). So, it is about adopting (by both parties) a culture of continuous learning therefore impacting attitudes (**W.2 & W.3**) related to transparency, openness, positivity, realism, and persistence while remaining confident of own potential that will support all other activities related to the **H**olistic approach, the **T**hinking, and the **A**daptive implementation.

Sub-Cluster Description:

Strong commitment to promoting and practicing Continuous Learning is **W**ise and more so in a context of **A**daptive Management under uncertainty. Four indicators are valid for this sub-cluster, and they relate to both parties with the same focus and weight (*Table 5-10*).

Learning Never Stops (**W.4**)

W.4.1-D&R Valuing and welcoming opportunities to continuously learn and improve.

W.4.2- D&R Analysing and reflecting on own achievements and personal development.

W.4.3-D&R Considering the individual and the collective learning in the process of designing and implementing interventions.

W.4.4-D&R Committing to learning and sharing knowledge to ensure good cooperation and long-term improved performance.

Table 5-10 Indicators for the Sub-Cluster W.4

Indicators and evidence:

Indicator: W.4.1-D&R Valuing and welcoming opportunities to continuously learn and improve.
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“The good thing is that we learned a lot... this gave us really a hint on the importance of having a real database scientifically placed on a system ... and hence we could have a reliable data base.... it was a tedious task we had some clashes with the company, but these clashes turned to be like, like lessons learned for us because this taught us how we should be doing the contract in the future, so it was very really like learning field for us in that sense.” (R11-11)

“At each time I had in my mind that we may reach a dead end or not reach a satisfactory result however I had a *curiosity* to go through this task [proposed by the Donor] and this scope of work to come up with the *pro and cons* in this platform of the distribution network that's why I was a little bit enthusiastic to go along with Donor X on this and we went around for one year.” (R11-15)

“But in that way, it was for us both for our organization and for the national partner *a learning process* that we set our procedures in those lines. because in year 3 and year 4 unfortunately the last years [of the project] they were then able to

understand what was requested so the process went a little faster but still took time.” (D10-48)

“What I am trying to tell you, seriously, that during the last 15 years for us as an institution and as a result of our openness towards the donors and the international relation, we managed to *gain experiences* what I can say today that our engineers ... are not simple employees but they are experts.” (R03-43)

Moreover, several statements where participants reflected on their personal achievements and development suggest indicator **W.4.2- D&R**. These covered:

- 1- Reflects and learns from previous experiences (D09-18),
- 2- Analyses own achievement in terms of stakeholders' expectations looking at all aspects (donor regulations and recipient's needs) (D10-46),
- 3- Analyses one's personal development "I was laughing because I used to do exactly the same" (D01-27), "my skills and methodology all changed" (D01-29),
- 4- Progressed from "isolated" leader with "authority" to "doing more teamwork" (R03-61),
- 5- Analyses his own training needs and shares them with the donor to target his own development (R11-03).

Indicator: W.4.2- D&R Analysing and reflecting on own achievements and personal development.

In the following statement, Donor discusses self-assessment and auto-critique to "always improve":

“but I am someone who does self-assessment a lot. I do a lot of auto-critique, *je me mets beaucoup; beaucoup en question*. [Translation from French: I question myself a lot, a lot] this is my way.... I say to myself maybe I should have done that instead. So, I think this is why I try to always improve myself.” (D12-33)

Another Donor analyses own achievement in terms of stakeholders' expectations -output and input from both ends- (**A.5 & A.6**), whether these were successes or failures:

“It is important to know what you are doing. I mean it's right the way through, it's ask and sort as well. what are you doing? Are you helping the country, are you given the information that you want? or are you just producing a report? I think that is an important issue all the way through.” (D07-8)

Moreover, the **Holistic Approach** implies a focus on collective learning to include all direct and indirect stakeholders.

Indicator: W.4.3-D&R Considering the individual and the collective learning in the process of designing and implementing interventions.
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“It has to do as well that probably we should have done the same exercise [business planning activity with the institutions] hand in hand in parallel with the line ministry staff. The line ministry should have been from the beginning handheld in the process and shown the real benefits of doing a business plan and how impactful this could be and how informed the ministry would be if they have a clear view on what the institutions [that they are overseeing] are thinking and what are the strategic objectives, and this brings the discussion to the performance monitoring and benchmarking exercise [other activities done by the same project that did not involve the oversight body either] as well.” (D02-32)

“That is one aspect of the success, and this was a major issue because I learned a lot throughout the way ... working and facing the problematic issue the weekly or daily. Actually, [the Donor] was feeding me daily on what is happening with him but actually when we were sitting on weekly basis, we were *discussing the problems* he was facing and how to face and resort these problems. These issues were very interesting and important if one day I decide to write everything on paper and draft a new contract for distribution network survey.” (R11-22)

Valuing opportunities for continuous learning, reflecting on personal development and accounting for collective learning within the project activities require a strong commitment to knowledge exchange which, as the previous discussions showed, is an important factor for successful collaboration targeting performance improvement which is the goal for the interventions in this context.

Indicator: W.4.4-D&R Committing to learning and sharing knowledge to ensure good cooperation and long-term improved performance.

“...now I (Recipient) have 25 engineers I have more experience how I should tackle the junior engineers how I should guide them through the different levels of projects for example, I conduct workshop ... to teach them how things should be done properly. ...I am not obliged to do that but it's giving me satisfaction that I am doing something at least to this institution even though I am not intending to stay for long but at least I feel like internal satisfaction.” (R11-23)

“...you need people who are ready to learn, and it has nothing to do with age. look I (Donor) am still willing to learn. if there is a better way of doing things, please I am ready to learn it. being knowledgeable helps. even if you are not knowledgeable but have all the rest [including willingness to learn] you can have success.” (D12-29 & 30)

The previous sections showed that the *Personal Convictions* will have a great impact on how the **Holistic Adaptive Thinkers** – Donor and Recipient- making them **Wise** and thus having a greater opportunity to successfully reach their common objectives.

Conclusion

This Chapter shows how the analysis progressed from the interviewees' statements to lead after five cycles to four clusters of competencies. Two clusters relate to Social Intelligence, one to Cognitive Intelligence and the last one to Emotional Intelligence that will facilitate the other three. It is the **W**ise Personal Convictions that will motivate the adoption of a **H**olistic approach and account for all stakeholders' needs and interests through **A**daptively implementing the project plans which will depend on a **T**hinking process to make the appropriate decisions at every step of the journey.

The identified competencies clarify **WHAT** Donor and Recipient, who are targeting a common good (**W**) and making decisions that consider the local environment (**T**), need while jointly setting the direction of the project (**H**) and implementing the agreed activities that will help Recipient improve their institutional as well as staff performance (**A**). The 46 competencies include 10 that are common to both actors in addition to 23 for Donor and 13 for Recipient. These are presented in a way to show what is needed for a specific situation by each collaborator as they do not always have the same weight or purpose. The Holistic approach cluster includes three different competencies for each actor with one concerning Donor only, as can be seen in Table 5-11.

Holistic - Approach (H)	
Visionary Strategy (H.1)	
Donor	Recipient
H.1-D Building on detailed analysis - of the project context- to develop a visionary strategy that ensures full engagement of all stakeholders at all levels which is necessary for the sustainability of project outcomes while considering the local context and the donors' main plans.	H.1-R Building on detailed analysis of currently adopted practices and identified needed improvements to develop a visionary strategy that will engage own organization to assume ownership of the change process and maximize benefits from projects.
Networking (H.2)	
H.2-D Engaging in Networking with identified stakeholders to promote intended cooperation for targeted changes.	H.2-R Engaging in Networking with identified stakeholders to promote and win support for intended changes.
Flexible Planning (H.3)	
H.3-D Developing a flexible implementation plan based on an in-depth analysis of the collected and confirmed information from all stakeholders with consideration to include priorities, account for uncertainties and the needed capacities, and ensure greater engagement of stakeholders.	H.3-R Engaging in the development of the projects plans by sharing related internal information that will impact the implementation and planning for needed action/contribution in own organization.
Monitoring & Accountability – Donor Only (H.4)	
H.4-D Developing a detailed monitoring plan that includes clear milestones and pilot activities, guide the proper implementation of agreed interventions, help identify unforeseen challenges and facilitate accountability for result.	

Table 5-11 Distribution of the competencies in the Holistic (H) Cluster

While the Adaptive implementation cluster (Table 5-13) accounts for three individual and three common ones, the Thinking Process (Table 5-12) is about three individual competencies with their focus dependent on the actor's position.

A <i>daptive</i> – Implementation (A)	
Donor	Recipient
Collaboration (A.1)	
A.1-D Collaborating closely, and in the field when needed, with the Recipient representative in charge of the matter subject of the intervention.	A.1-R Engaging the internal team for close collaboration with the Donor.
Trusting Relationship (A.2)	
A.2-D Building and maintaining strong relationships with all concerned through demonstrating being worthy of trust, mediating the coordination efforts, providing valuable advice, empowering others, and focusing on the common objective.	A.2-R Building and maintaining strong relationships with all concerned through being ready to fully engage together with the internal team, demonstrating being worthy of trust and focusing on the common objective.
Adaptation (A.3)	
A.3-D Adapting plan of work, where possible, depending on newly acquired information related to priority needs.	A.3-R Adapting work measures and reshuffling priorities depending on offered support.
Communicate with Diverse Audiences (A.4)	
A.4-D&R Listening while communicating clearly and credibly the complex, sensitive issues, and decisions to a diverse multi-disciplinary audience.	
Expectations: Output (A.5)	
A.5-D&R Articulating clearly the planned/ desired/ Expected Output to ensure Expectations are clear to all parties.	
Expectations: Input (A.6)	
A.6-D&R Clarifying Roles and Responsibilities for each output to strengthen full engagement of all parties and ensure smooth implementation.	

Table 5-13 Distribution of Competencies in the Adaptive (A) Cluster

T <i>hinking</i> – Process (T)	
Donor	Recipient
Local Framework (T.1)	
T.1-D Identifying the stakeholders (in the country) and what aspects of the local framework (regulations, power, and politics) that need to be considered while developing the appropriate strategy.	T.1-R Identifying the aspects of the cooperation's (local and donor's) framework (regulations, power, and politics) that need to be considered while developing the appropriate strategy.
Information (T.2)	
T.2-D Identifying and Collecting information/data and verifying with different sources to include different perspectives and confirm validity and accuracy, following a clear process that can lead to well-grounded justifications for eventual decisions and the uncertainties and the risks involved.	T.2-R Identifying and Collecting information/data that is needed and confirming its validity and accuracy before making decisions related to needed support that will contribute to improving current practices within the existing threats and opportunities.
Analysis (T.3)	
T.3-D Critically analysing the interests of identified direct and indirect stakeholders and drawing conclusions about their expectations and best ways to interact with them, as well as possible gaps that might be included in the project design.	T.3-R Critically analysing the Donors' interests and practices and drawing conclusions about the best ways to interact with their teams to ensure getting the greatest benefits from the project.

Table 5-12 Distribution of Competencies in the Thinking (T) Cluster

The **Wise Personal Convictions** (Table 5-14), as the data suggests, include a Commitment to Adaptive Management & Stakeholders' Engagement for making a difference in Development (W.1) by Donor only. However, the remaining three subclusters are concerned with both actors with some differences.

Openness, Transparency and Diversity for win-win solutions (W.2) allocates four competencies to Donor and Three to Recipient. While Persistence and Positivity (W.3) includes three common indicators and one individual for each actor, the Learning that should Never Stop (W.4) is translated through four common attitudes.

Donor's Commitment to Adaptive Management & Stakeholders' Engagement for making a difference in Development (W.1)	
W.1.1-D Believing that <i>the best interest of the Recipient is THE priority.</i> (Wise)	
W.1.2-D Believing that <i>for interventions to be impactful, they should account for ALL national stakeholders' needs.</i> (Holistic).	
W.1.3-D Willingness to <i>listen carefully to expressed needs and close the feedback loop by communicating back related information, decisions, and their justifications.</i> (Adaptive)	
W.1.4-D Willingness to <i>adopt a 'bottom-up' or 'field-up' approach at each stage of the project from design to implementation.</i> (Holistic & Adaptive)	
W.1.5-D Willingness to <i>promote and lobby with funders for needed flexibility while focusing on strengthening Stakeholders' Engagement.</i> (Adaptive)	
W.1.6-D Readiness to deal with uncertainties and instability in order to remain <i>flexible to Adapt, where possible, the project objectives and related interventions to touch primarily on real priorities and lead to those common objectives.</i> (Adaptive)	
W.1.7-D Readiness to <i>Act and Behave as an equal partner when jointly designing solutions to account for all enablers and challenges.</i> (Holistic & Adaptive)	
W.1.8-D Readiness to <i>empower local Champions who can further strengthen local engagement at different levels.</i> (Holistic & Adaptive)	
Openness, Transparency and Diversity for win-win solutions (W.2)	
Donor	Recipient
W.2.1-D Acting with consideration to possible culture sensitivity.	W.2.1-R Valuing diversity in all its forms as it can provide varieties of perspectives and therefore rich ideas to work with.
W.2.2-D Evaluating assumptions - adopted at project design stage- which are related to the organizational culture of Recipient with the aim to adjust plans and improve support efforts.	
W.2.3-D Remaining open to accept different opinions which helps improve understanding of stakeholders' concerns and challenges.	W.2.2-R Remaining open to consider views expressed by experienced counterparts/ Donors.
W.2.4-D Promoting and practicing full transparency to foster continued trusting relationship with Recipient.	W.2.3-R Discussing openly with full transparency own organization's gaps and needs in the purpose of receiving the right support to improve currently adopted practices.
Persistence and Positivity (W.3)	
Donor	Recipient
W.3.1-D&R Keeping the optimism and self-confidence while being realistic when aiming high under the pressure to reach objectives in uncertain circumstances.	
W.3.2-D&R Persisting on the tasks on hand and Making Decisions while dealing with current and eventual challenges.	
W.3.3-D&R Expressing openly appreciation for any effort towards targeted improvements.	
W.3.4-D Trusting in the recipient's true engagement.	W.3.4-R Adopting new performance improvement measures despite all challenges.
Learning Never Stops (W.4)	
Donor	Recipient
W.4.1-D&R Valuing and welcoming opportunities to continuously learn and improve.	
W.4.2- D&R Analysing and reflecting on own achievements and personal development.	
W.4.3-D&R Considering the individual and the collective learning in the process of designing and implementing interventions.	
W.4.4-D&R Committing to learning and sharing knowledge to ensure good cooperation and long-term improved performance.	

Table 5-14 Distribution of Competencies in the Wise (W) Cluster

The findings as this Chapter shows support Adaptive Management and clarify the required competencies by Donor and Recipient, while jointly- working towards projects' objectives, at each stage of the project.

Chapter Six presents the argument that this proposed framework is in line with the related literature. It also shows how the identified competencies compare with the existing frameworks that major Donor organizations have developed for their own staff members (Donor).

Finally, the examination of proposed adaptive competencies and skills will further support the claim that findings of this study are promoting Adaptive Management which is crucial for successfully reaching the objectives that Development projects are targeting.

6- Discussion

This Chapter discusses the findings drawn from the interviews and how they relate to the literature and the existing frameworks discussed in Chapters Two and Three.

What competencies that the general literature and CB focused studies suggest for similar contexts precedes the comparison with a proposed set for Adaptive Management and the other frameworks that major Donor organizations have published.

It is important to stress that CB studies suggest ownership (Ika & Donnelly, 2017), partnership (Harries, et al., 2014), and/or collaboration (Teskey & Tyrrel, 2021) in general without clearly naming the partners involved in the project, but the repeated mention of stakeholders suggest the inclusion of those who are internal (Recipient) and external. One study (Buell, et al., 2020) argue that the term 'beneficiary' is highly contested, so they replaced it by constituents whose engagement is a source of information. The CB studies, therefore, can be seen to be addressing Donor representatives and governments, not only as the audience but also as a main leader of these development efforts even when they are supposed to be "leading from behind" and collaborating (Teskey & Tyrrel, 2021).

At the other end, the frameworks that different Donor organizations have developed are intended for their own staff while there is no study proposing needed competencies for Recipient. This is despite the expectation from Donor representatives to have them share information and data related to their institutions, collaborate with them, and change their behaviour in line with project interventions that are targeting their own performance.

While having "more information about the journey" (Ika & Donnelly, 2017) is limited to one party in the collaboration, the chances for success can also be limited thus adding more pressure on one 'capable' party which may dilute the chances for a true partnership.

Such situation can be remedied by what this research is suggesting, which is, first, recognizing the need to identify the competencies of Recipient and aiming to develop them, and secondly providing an initial framework that shows what both parties require in a specific situation for their joint-working to be successful. This view of simultaneous behaviours of both parties would clarify factors that can enable CB success.

Literature Review

The discussion in this section examines the literature and how the different clusters and sub-clusters of the proposed framework are in line with or missed on the different claims presented in Chapter Two.

The proposed framework includes three intelligence competencies: the Emotional (EI), Social (SI) and Cognitive (CI) grouped under four clusters that sometimes vary in weight and focus for Donor (D) and Recipient (R).

The Personal Convictions (EI), when *Wise*, will be the drive to facilitate the challenging journey to adopt a *Holistic* approach (SI) and *Adaptive* implementation (SI) while following a *Thinking* process (CI) that will account for the important issues impacting the journey towards success. In other words, when Donor and Recipient are jointly working towards the project's goals, which are their common ones, wearing the *Wise H.A.T* will increase the chances of their joint success.

The proposed framework advocates for an adaptive (A) implementation which is consistent with what studies covering aid projects are suggesting in terms of avoiding the use of externally developed blueprints plans (Hulmes, 1995) that can be replaced by experimental (Rondinelli, 1983) and flexible approaches (Chasanah, et al., 2023) that enable projects to be more responsive to the context (Teskey & Tyrrel, 2021), thus the need for the local beneficiaries having meaningful roles (Buell, et al., 2020).

As prior studies noted that for conventional projects to meet stakeholders' expectations actors need not overlook the big picture and adopt a holistic (H) approach (Serrador & Turner, 2015). Articles discussing aid projects also call for such approach (Paciarotti, et al., 2019) while observing for opportunities and risks as it will facilitate stakeholders' buying-in (Ika & Donnelly, 2019), with incorporating and sharing real-time information (Enyinda, 2017) being especially crucial when adaptively implementing.

However, the information about the different issues the *Holistic* approach (**H**) requires in relation to the perceived opportunities and threats, and the available resources are part of the analysis (cluster **T**) where the findings will lead to the presumably most suitable measures and tactics for tackling the risks and uncertainties that might arise during the implementation (**A**).

This *Thinking* is highlighted by several studies when discussing competency. For example, the mental cognitive skills (Spencer & Spencer, 1993), the cognitive competence that captures knowledge and understanding and facilitates the acquisition of other substantive competencies (Delamare-Le Deist &

Winterton, 2005), the abstract intelligence which is one face of the cube (Albercht, 2006), the cognitive readiness to analyse information and situations (Boyatzis, et al., 2019a), and the cognitive processes of reasoning (Kihlstrom & Cantor, 2020).

Furthermore, what stands out from the collected data for this study is a relationship between the required action and what triggers and drives the activities of any Donor practitioner, as well as the Recipient benefiting from the financial and technical support that CB is providing.

This relationship is aligned with the literature covering competencies as it relates some personal characteristics to the observed behaviours and as being more critical in complex roles (Garavan & McGuire, 2001). These underlying attributes include, for example, motives (Spencer & Spencer, 1993), dispositions (Boyatzis & Saatcioglu, 2008), hidden adaptive competencies (Sternberg, 2014), unconscious beliefs and values (Child & Shaw, 2020), that are referred to in this framework as the Personal Convictions that the CB team “brings to the job situation” (Boyatzis, 1982).

How studies characterise CB echoes the interviewees’ description which is that the project is targeting performance improvement of Recipient (Lazima & Coyle, 2019) through building the capacity of the institution (UN, 2023) and its staff (Gordon & Chadwick, 2007). The institution being a public service provider (Chasanah, et al., 2023), the approach towards that change should consider the needs of all stakeholders (Martin, et al., 2020), including the affected communities, and the local social, economic, and political environment (Golini & Landoni, 2014).

The competencies identified from the collected data are discussed next starting with the approach **(H)** that sets the direction of the project.

Holistic – Approach (H)

One study (Boyatzis, et al., 2019b) identifies few skills in the PM literature to include setting a future vision, developing strategies as well as building consensus through networking, which this cluster (H) addresses. Such tasks according to the same study fit in the relationship management under Social Intelligence and call for other skills such as communication and teamwork, part of the Adaptive cluster **(A)**.

As mentioned in the analysis (Chapter Five) the term **Holistic** is chosen to highlight the need to account for all stakeholders, the long-term development objective, as well as opportunities and challenges that can result from the different local factors that generate the power dynamics (i.e., political, socio-economical, legal, financial), and touches on intersecting benefits of all. Therefore, the focus of such broad context in the titles will “enhance memorableness” (Campion, et al., 2011).

The visionary strategy (**H.1**) is referred to by some change theories (Hamlin, 2001; Teczke, et al., 2017) as the starting point in the change process that accounts also for engaging all concerned so that they share the same vision and play a key role with the last two steps being about monitoring (**H.4**) and giving the recognition to the involved contributors (**W.3.3-D&R**), with the last one being related to EI.

Making the vision a shared one, as this cluster is proposing, has been described by one study as a source of energy for actors to work towards the goal (Datta, et al., 2012). It will also enable three Success Factors (SF) identified in the literature which are motivation and interest (Bayiley & Teklu, 2016), engagement (Chasanah, et al., 2023) and commitment to work towards the set vision (Khang & Moe, 2008).

Another SF can be facilitated by the proposed holistic vision as it would capture a hope in a brighter future (Badaan, et al., 2020; 2022). This SF is related to Recipient's commitment to change and acquire new technical expertise (Ika & Donnelly, 2017) and consequently triggers a desire and a will to change (Teczke, et al., 2017) behaviours and learn how to use new tools and systems (Creasey, et al., 2015) that will contribute to the targeted performance improvement.

The resulting strong ownership on the part of Recipient (**H.1.R**) is also considered important by CB studies during such journey (Ika & Donnelly, 2019; Teskey & Tyrrel, 2021) and one study highlights it as another SF (Bayiley & Teklu, 2016).

From the perspective of the Theory of Change (ToC) (Reinholz & Andrews, 2020), this holistic approach (**H**) is ensuring that the strategy is based on the envisioned change (**H.1**) while the planning, that is closely tight to the vision (Serrat, 2017) and accounts for emerging requirements (Enyinda, 2017) is flexible (**H.3**) which requires monitoring (**H.4**) to keep the focus on the objectives. Furthermore, promoting the targeted change, through the proposed networking (**H.2**), is in line with the claim that it helps improve the strategy and strengthen interorganizational partnerships towards the vision (Harries, et al., 2014) which also requires the ability to collaborate and communicate while implementing adaptively (**A**).

The literature discussing inter-organizational projects also suggests the competency to network and promote the intended change (**H.2**) because of the need to include stakeholders that can contribute with new ideas (Lehtinen & Asltonen, 2020) which is valuable in such a complex context. On the other hand, the change literature proposes that one way to avoid facing up to change resistance is to listen (**W**) to concerned as they could show what may not work well (Warrick, 2023) which is crucial while aligning activities (**A**) and plans (**H.3**).

Effective consultation with stakeholders during planning is identified by at least two studies (Khang & Moe, 2008; Bayiley & Teklu, 2016) as one SF in CB context. Another study (Yalegama, et al., 2016) calls for being transparent (**W**) with stakeholders to increase engagement which will also result in a more accurate prioritization of activities (**A**) and, what another study argue (Ika & Donnelly, 2019), will help CB actors better understand how they perceive success. Such consultation will be enabled through networking on behalf of Donor to promote the cooperation (**H.2-D**) while Recipient aim to win local support for the intended change (**H.2-R**).

The flexible planning (**H.3**) has also been highlighted by several CB studies that claim that the approach needs to be participatory and flexible (Rondinelli, 1983; Chasanah, et al., 2023), which will make planning incremental in design and planning stages (Ika & Donnelly, 2019). This flexibility, based on a deep investigation (Buell, et al., 2020; Khang & Moe, 2008), and effective consultation (SF), will ensure relevance of planned activities. This Relevance, according to at least three CB studies, is an important Success Criterion (SC) (Bayiley & Teklu, 2016; Ika & Donnelly, 2017; Chasanah, et al., 2023).

Efforts to consult with stakeholders could lead to the identification of competing priorities that might also change over time. Such situation calls, according to one study (Scheepers, et al., 2022), to balancing these priorities which, according to another (Davis, 2018), will require monitoring (**H.4**) throughout the project. In the context of CB, one study (Khang & Moe, 2008) highlights the compatibility of stakeholders' priorities as a SF., thus further highlighting the need for this competency (**H.4**) to account for any changing priorities.

From the perspective of practitioners that were surveyed (Buell, et al., 2020), adopting evidence-based adaptive management and having clear point for reflection (facilitated by monitoring) and actions increases the chances of success. Other reference in the literature to monitoring (**H.4**) includes the need to monitor success factors to ensure that the project's performance is on track (Ram & Corkindale, 2014); and monitor the introduced small changes (Leeds & Palaia, 2022).

However, the data suggests that the monitoring and accountability (**H.4**) - to guide the proper implementation of agreed interventions, help identify unforeseen challenges and facilitate accountability for results- applies to Donor only. If Donor's accountability to the funder to show what has been achieved with the available funds is valid, Recipient not being accountable for ensuring the proper implementation of agreed interventions to meet own vision is questionable.

The collected data does not suggest Recipient monitoring or accountability in terms of their engagement and actual contributions. A question is valid here and that is to explain the level of

accountability this other partner in the collaboration has, which certainly suggests the need for more fieldwork to clarify any missing responsibilities and competency(ies) to account for.

Furthermore, while CB literature refers to accountability (of Donor) in the same line, it highlights some difficulties when adapting project activities (Martin, et al., 2020). One study calls for promoting accountability among all concerned as it enables effective responses (Buell, et al., 2020). Other authors, however, consider mutual accountability as a SF where for Recipient it is more about the willingness to be accountable to the public (Ika & Donnelly, 2017) which links to stakeholders' engagement and therefore deserves further investigations.

Adaptive Implementation (A)

The Adaptive implementation (**A**) is clearly expressed in several studies starting with the Sustainable Development Goals (SDGs), that the project objectives are generally targeting, being described as the frame of reference (Kanbur, et al., 2018) that guides the tailoring and adaptation of goals and interventions to the country's context and Recipient's needs that is seen as important by several authors (Akenroye, et al., 2018; Chasanah, et al., 2023; Buell, et al., 2020; Martin, et al., 2020).

The framework derived from this research indicates that adaptation is a key competency. This is aligned to ideas in the literature about adapting the pre-project's proposal of activities (Lazima & Coyle, 2019) that is developed by external expertise (Hulmes, 1995) to the timely conditions and context (Mog, 2006; Martin, et al., 2020) based on contributions of Recipient (Buell, et al., 2020) and project experience (Mog, 2006). Therefore, the adaptation (**A.3**) is strongly related to three SC discussed in IDP literature: Relevance, Impact and Sustainability (Bayiley & Teklu, 2016; Ika & Donnelly, 2017; Chasanah, et al., 2023).

It is also consistent with the recommended new collaborative way of working (UNDESA, 2020) that drops the linear planning approach in favour of an iterative one where delivery and design are occurring at the same time (Teskey & Tyrrel, 2021) and therefore requires the competencies in this cluster (**A**).

Furthermore, the adaptation fits with what one PM study calls 'designing success' through cooperative work to find a new purpose (Eklund & Simpson, 2020) that IDP researchers agree that it reduces uncertainty and imperfect knowledge (Martin, et al., 2020) which can influence the path to success (Chasanah, et al., 2023) by being responsive to the problem at hand through program actions (Buell, et al., 2020) and therefore, needing another competency: collaboration (**A.1**).

The competency to ensure effective collaboration has a different focus for each party. When Recipient is engaging the internal team to collaborate closely with the Donor (A.1-R), Donor is collaborating closely, and on the ground when needed, to support Recipient representatives who are implementing the activities (A.1-D).

This situation is similar to what one study discussing inter-organizational teams working in temporary context such as the humanitarian projects (Schiffing, et al., 2020), claims that the team members are interdependent, making the team, according to a CB study (Ika & Donnelly, 2019), a complementary one.

Such context links to studies related to the evolution of new groups (Schein, 2004a) where actors are supporting each other towards mutual acceptance. Another study (Eklund & Simpson, 2020) describes the best state for members to be in when they both feel that power is through the collaboration with the counterpart. For such collaboration to be fruitful, CB studies consider trust (A.2) to be crucial (Christie & Green, 2019; Leeds & Palaia, 2022).

Moreover, the literature explaining collaboration suggests that it could be targeting common goals (H) or even supporting individual goals (Castaner & Oliveira, 2020) as expressed in competency A.2 - Trusting relationships - that the data suggests.

The building of trusting relationships involves the Donor mediating coordination efforts, providing valuable advice and empowering others (A.2.-D), and Recipient being ready to be fully engaged and demonstrating being worthy of trust (A.2-R) while both (D&R) are keeping the focus on the common objectives.

In the context of the intentional change circular process (Boyatzis, et al., 2019a), the trusting relationships remains at the centre of the cycle because development depends greatly on feedback from others which can be considered only when it originates from trusted sources.

Furthermore, one study argues that when trusting relationships need to be built early in the short project life, it is about swift trust that is mediated by the collaborators' commitment (Dubey, et al., 2019) which, as discussed above, is facilitated by the Holistic approach (H).

The importance of trusting relationships (A.2) is further discussed in the literature to show how it creates an effective working environment (Juceviciene & Jucevicius, 2017) when team member feel that their vulnerabilities will not be exploited (Dyer & Chu, 2000) and they are able to predict how the

counterpart may behave (Hope-Hailey, et al., 2012; Kretschmer & Vanneste, 2017) in different situations thus reducing the team's internal uncertainties (Rodriguez-Rivero & Ortiz-Marcos, 2022).

The collaboration (A.1) and trusting relationships (A.2) depend greatly on effective communication with diverse audiences (A.4) to relay clear messages and clarify expectations (A.5 &6), as discussed next.

The ability to communicate effectively with team members, expressed in this framework in competency A.4 – Communicate with Diverse Audience- is considered a SF in PM literature (Hyvari, 2006; Hughes, et al., 2020). Such ability is even more critical, according to the literature, in multicultural environments (Hofstede, 2015) that are governed by risks (Li, 2009; Enyinda, 2017), and when they involve a high number of stakeholders (Davis, 2018). One study considers one of the benefits of Theory of Change is that it improves the communication of the project's aim and outcomes (Harries, et al., 2014) thus highlighting the importance of this competency.

On another front, there seems to be an agreement in the literature about the intangible outputs of CB (Ika & Donnelly, 2017; Golini & Landoni, 2014; Lazima & Coyle, 2019; Chasanah, et al., 2023) that may cause subjective judgements (Khang & Moe, 2008), which suggest the importance of the competency to clarify expectations by both parties (A.5 &6).

Thus, the ability to clarify expectations related to Output and Input by both parties articulating clearly the expected output (A.5) and clarifying roles and responsibilities for each output (A.6) is also in line with the literature.

For instance, the team members need to understand what contribution they are expected to make (input) (Hughes, et al., 2020; Davis, 2018) in order to reach an agreed output. The "explicit coordination", where all the details related to the task on hand are discussed openly, is highlighted by one study as being important (Rico, et al., 2019). For CB, these details include the targeted change (Harries, et al., 2014) and all its elements, the assumptions behind the vision, and their link to targeted outcomes (Reinholz & Andrews, 2020), which will need to be verified through monitoring and real-time information (Enyinda, 2017) obtained through Recipient engagement and contribution (Buell, et al., 2020). Therefore, calling for effective networking (H.2), communication (A.4) which also are, as one study claims, means to winning trust (A.2) (Li, 2009).

This cluster is, therefore, highlighting that clearly communicating (A.4) roles and responsibilities (A.5) and expected outputs (A.5) will clarify expectations, strengthen trust (A.2) and increase the chances

of a fruitful collaboration (A.1) which will be further strengthened by learning (W.4) through shared experiences and eventually facilitate adaptation (A.3).

The Wise Personal Convictions (W)

The journey towards the long-term goal of the project, the country's sustainable development (through the SDGs), progresses slowly through shorter term objectives to include own well-being and that of the wider community and beyond, while for Donor it generally crosses borders.

The literature relates wisdom to similar complex contexts where the efforts are focused on the common good (Sternberg, 2019) and thus they require wise reasoning (Glück, 2020) and a virtue-based practice that is wisdom (Kunzmann & Glück, 2019).

The Personal Convictions, suggested by the data, are highlighted in this framework as being **Wise** to remind CB actors that sharing the vision with their counterparts as well as other stakeholders (**H**) and adapting the project's activities to respond to actual needs (**A**) is the right and **Wise** way towards that envisioned bright future especially when the road is rough and challenging.

One CB study describes the role of Donor as leading from behind (Teskey & Tyrrel, 2021) which can best be described to be wise especially in such complex environment. One study about wise leadership (McKenna & Rooney, 2019) claims that for Aristotle, virtues, humility, courage, and justice enable noble and worthwhile behaviour, thus suggesting the need for the attitudes in this **Wise** cluster.

This cluster has four sub-clusters, however, given the different positions of Donor and Recipient, these Personal Convictions, as discussed next, are not the same for both.

W.1- Donor's Commitment to Adaptive Management & Stakeholders' Engagement for making a difference in Development

Commitment has been identified in CB literature as one SF with varying focus. For instance, it is about being committed to project goals and objectives by all involved (Khang & Moe, 2008), or about the capacity to commit by both Recipient and Donor (Ika & Donnelly, 2017).

The data collected for this research does not point to any commitment on behalf of Recipient other than to engage and contribute to what was discussed in relation to the **Holistic** and **Adaptive** clusters. However, the accountability to the public by Recipient that one study highlights (Ika & Donnelly, 2017) should translate by a commitment towards the community's needs which is facilitated by stakeholders' engagement. Clarifying this and confirming the inclusion of Recipient regarding their commitment subject in this cluster requires further fieldwork.

The reasoning behind this sub-cluster is that the commitment to make a difference in development, translates through the commitment to meet the project objectives which applies to all parties envisioning that brighter future for Recipient (individual, institution, and country). The impact, therefore, that Donor is contributing to is to secure the best interest of Recipient since it is the priority (**W.1.1-D**), which is one belief included in this sub-cluster.

This attitude is in line with the theory of successful intelligence that is augmented by wisdom (Sternberg, 2020a) to ensure the common good, and to stay on the right track to create a better world which is possible when surpassing the self-interest and avoiding egocentrism (Sternberg, 2019).

One study that surveyed Donor practitioners to understand adaptive management in practice (Buell, et al., 2020) claims that participants attributed successful outcomes to five key elements out of which three suggest the need for this sub-cluster. These are staff (Donor) that value engagement and adaptation, ‘champions’ (Donor) that are willing to listen to Recipient and adapt, and plans that include meaningful roles for Recipient. In other words, it is about **W.1** sub-cluster - being committed to adaptive management and stakeholders’ engagement as well as the long-term project objective towards development.

Seen from a different perspective, the word ‘champion’ suggests a vigorous supporter of a cause, and in this case, the best interest of Recipient (**W.1.1-D**) which is their development and well-being, through the project objectives. Such dedication will translate by Donor adopting the holistic approach (**H**) and adaptive (**A**) management to ensure that all stakeholders’ needs are accounted for (**W.1.2 & 1.3 & 1.4-D**) even if this adds uncertainty and instability (**W.1.6-D**) because Donor needs to regularly monitor (**H.4-D**) and agree with Recipient on some plans adjustments when needed (**H.3- D & R**).

Donor’s readiness to act and behave as an equal partner when designing solutions with Recipient – attitude **W.1.7-D** in this sub-cluster - is appropriate when collaborating (**A.1**) as suggested by different articles discussed next.

The IDP literature mentions that the partnership starts at the highest level between developed and developing countries (de Jong & Vijge, 2021). Furthermore, to manage adaptively, studies recommend for this partnership to exist at projects’ different levels: the governance and programming level (Teskey & Tyrrel, 2021) and while implementing (Ika & Donnelly, 2017; Ika & Donnelly, 2019) and applying the Theory of Change (Harries, et al., 2014).

From the perspectives related to collaboration and teamwork, studies refer to the ‘partners’ in the team (Schein, 2004a; Kretschmer & Vanneste, 2017) which further stresses the importance of this

‘partnering’ attitude. It is also that ‘integrative attitude’ that has been called for in one study (Eklund & Simpson, 2020) while ‘designing success’ which will make the conflict work for the team.

On a different front, recognizing the challenge of maintaining control and accountability while aiming for adaptive management, one study (Martin, et al., 2020) recommends to Donor management to give the space to staff that have the experience to showcase ways to increase project flexibility. Consequently, competency **W.1.5-D** -Donor’s willingness to promote, with higher decision makers, the needed flexibility to strengthen stakeholders’ engagement - will serve that purpose and it will be a mean to provide evidence (captured through monitoring) for the needed adaptation.

However, success of these efforts depends greatly on two SFs - clear policies of donor (Bayiley & Teklu, 2016) and compatible rules and procedures (Khang & Moe, 2008; Bayiley & Teklu, 2016) therefore highlighting, again, the importance of monitoring by Donor (**H.4-D**) to document and align evidence with policies and rules.

Furthermore, as these conditions may not be clearly supportive, tolerance of ambiguity that one study considers part of personal wisdom (Glück, 2020) is needed. This translates by the proposed attitude - **W.1.6** Donor’s readiness to deal with uncertainties and instability in order to remain flexible and adapt where possible.

The last Personal Conviction in this sub-cluster - Donor’s readiness to empower local decision makers champions that can strengthen local engagement (**W.1.8-D**) - is suggested by one study (Buell, et al., 2020) to be one key element of adaptive management contributing to improved outcomes as mentioned by professionals in the field. As the preceding section shows this is also closely linked to Donor’s ability to build trusting relationship by empowering others (**A.2- D**).

W.2 Openness, Transparency and Diversity for win-win solutions

This sub-cluster – openness, transparency and diversity to ensure win-win solutions- is aligned with the literature discussing projects involving multiple stakeholders and working across cultures. It includes three similar attributes for Recipient and Donor but for slightly different purposes. Donor has a fourth attitude related to accepting that the assumptions behind the proposed design need be evaluated and, maybe, corrected.

For Donor, it is about acting in consideration to possible culture sensitivity (**W.2.1-D**), being open to evaluate assumptions behind the project design to adapt plans and improve support efforts (**W.2.2-D**), to accept different opinions to better understand stakeholders’ concerns and challenges (**W.2.3-D**) and being fully transparent to foster continued trusting relationships (**W.2.4-D**).

The Recipient, at the other end, needs to be able to value diversity in all its form as it is a source of rich ideas (**W.2.1-R**), and consider the views expressed by experienced counterparts (**W.2.2-R**), while being transparent about own organization's gaps and needs to get the appropriate support (**W.2.3-R**).

Starting with the end result where agreement needs to be reached to define the vision that is shared by all concerned, as discussed for the holistic cluster (**H**), is described in this framework by a win-win solution (**W.2**). This aligns with the literature that calls for finding the win-win scenario for multiple key stakeholders in CB context (Ika & Donnelly, 2019), and also making "*win-win-win-win-win decisions*" (Freeman, et al., 2018) to include the greatest number of stakeholders. This can be achieved in a multi-cultural environment when CB actors are open and transparent (**W.2**).

This sub-cluster is in line with the literature discussing multi-cultural environment that highlights the importance of understanding other cultural values as well as the related dimensions, for example dependence and perception of time (Hofstede, 2015). When developing solutions, it is the point of reference which is different for cultures (Gardner, 2011) and may not be the same for all groups in the same country (Cooper, et al., 2020). In that context, one study discussing risk management in overseas projects (Li, 2009) calls for the need to have the ability for cross-cultural management that can ensure good communication and strengthen trust, which are two identified competencies (**A.2 & 4**) in this framework.

Another study (Leeds & Palaia, 2022) calls for cultural shift in IDP projects, an open mind to accept different perspectives, and humility which is also stressed on by a PM study (Eklund & Simpson, 2020) that recommends for people working with stakeholders and dealing with conflicting interests to keep the integrative attitude and widen their borders with an open mind to find creative alternatives.

Such openness is needed because as one CB study claims (Golini & Landoni, 2014) cross-cultural problems could include acceptance of management methodologies, while another (Yalegama, et al., 2016) calls for the need to be transparent in order to accurately prioritise activities. The transparency through information sharing is referred to by one study (Dubey, et al., 2019) as one way to build trust quickly, which is suggested also by the competency **A.2-** trusting relationships.

When rethinking about development and decolonising development studies, authors (Bieckart, et al., 2023) highlight the importance of valuing the multiplicity of experiences as it will speed up the path towards teamwork. This translates on behalf of Donor by the attitude **W.2.3-D** – remain open to accept different opinions which helps improve understanding of stakeholder's concerns and challenges. The assumption behind the targeting of an improved understanding is that it may not be complete, and Recipient can help complete it.

From the perspective of the Theory of Change (Serrat, 2017), assumptions are behind the adopted means (plan) towards the ends (outcome), which need to be tested and validated because the process of modifying thoughts is complex. This is where competency **W.2.3-R** - Recipient sharing transparently own organization's gaps and needs in the purpose of receiving the right support- is needed. At the other end, the related information collected by Donor will facilitate the objective of competency **W.2.2-D** - evaluating assumptions adopted at project design stage in order to adjust plans and adapt support efforts.

Being open, as one study claims (Glück, 2020), is a motivational and ethical facet that is part of wisdom. In another (Boyatzis, et al., 2019a) discussing the intentional change process, it is awareness about the self and the world that opens the minds to see the available opportunities. Thus, suggesting a relationship between SI and EI which, for this framework, it is how the Personal Convictions (EI) and the **Holistic** and **Adaptive** competencies (SI) are supporting each other. This relationship is in line with the MI theory (Gardner, 2011a) claiming that the personal intelligences are intimately intermingled.

W.3 Persistence and Positivity

This sub-cluster includes three common competencies and one individual for each party.

Both partners need to be able to keep the optimism and self-confidence while being realistic when aiming high under the pressure to reach objectives in uncertain circumstances (**W.3.1**), to persist on the tasks on hand and make decisions dealing with current and foreseen challenges (**W.3.2**) and express openly appreciation for any effort towards targeted improvements (**W.3.3**).

CB literature acknowledges that the context of development work is particularly challenging for many reasons that have been discussed in Chapter Two. Starting with the SDGs that, according to a study (Holden, et al., 2017), being so many with no priority assigned is similar to having no goal at all when the focus should be on the "moral imperatives of satisfying needs".

One article comparing views about project success (Eklund & Simpson, 2020) when planning and execution are going in parallel in a cooperative manner, refers to Follett's views about Democratic Governance. These promote that believing that everyone has the potential to develop, and that counterparts' joint-power will help them take orders from the situation, which suggests positivity and optimism. And the suggested integrative attitude in this article suggests persistence to include all, and it is the self-confidence that will facilitate such inclusion. Therefore, two competencies that apply to both actors are valid (**W.3.1** & **3.2**).

Within the context of wisdom, as one study (Glück, 2020) claims, it fosters positive emotions and helps control those that are not so positive. Furthermore, EI competency, as argued by one study (Boyatzis, 2009), includes the self-management to maintain the positive outlook and keep the negative impulses under control, which another study (Boyatzis, et al., 2019a) further supports the value of self-control that once the focus is on the positive side of things, adaptability is strengthened.

At the other end, while foolishness, according to one study (Sternberg, 2019), can be manifested by unrealistic optimism, the successful intelligence (Sternberg, 2020a) stresses on reformulating goals that are more realistic based on new information, strengths and weaknesses as well as evolving circumstances which suggests the need for optimism, self-confidence and being realistic while aiming high to achieve objectives under the pressure of uncertainties (**W.3.1**).

The third competency (**W.3.3- D&R**), where both actors need to express openly their appreciation for any effort supporting the targeted improvement, is the step that change theories (Hamlin, 2001; Teczke, et al., 2017) claim to be an important one in the change process. It is about giving the recognition to those involved and providing necessary feedback when needed.

The trusting relationship that empowers Recipient (**A.2-D**) who while engaging will demonstrate being worthy of trust (**A.2-R**), as discussed in the **Adaptive** implementation cluster, would lead Donor to trust in the recipient's true engagement which is the fourth competency for Donor in this sub-cluster (**W.3.4-D**).

On the other hand, Recipient's commitment to change facilitated by a shared vision towards a brighter future that they envisioned with Donor, as discussed in the **Holistic** approach cluster, and an empowered Recipient receiving the right support to target own gaps that were transparently communicated will be able to adopt new performance improvement measures despite all challenges- which is the last competency (**W.3.4-R**) in this sub-cluster.

W.4 Learning Never Stops

Since the context of this research is about building capacity which means acquiring new knowledge and skills while collaborating to implement adaptively based on improved knowledge about the context, *learning* is one word that has been mentioned by a substantial number of articles reviewed in addition to being suggested by the collected data.

Starting by learning how to collaborate with new team members (Schein, 2004a), and learning and sharing knowledge in projects to ensure success (Hughes, et al., 2020). Moving to adaptive management in CB to include learning that remains ongoing (Mog, 2006), learning to enhance skills of

individuals (Gordon & Chadwick, 2007), collaborative experiential learning exercise (Serrat, 2017), learning while doing (Ika & Donnelly, 2019), learning and adapting (Buell, et al., 2020), staying learning oriented (Martin, et al., 2020), and learning and reporting on failure (Teskey & Tyrrel, 2021).

Furthermore, the personal meta-competence, that one study (Delamare-Le Deist & Winterton, 2005) defines by 'learning to learn' will improve individual effectiveness and facilitate the acquisition of the social competence that relates to attitudes and behaviours.

Another study that examined definitions of intelligence (Sternberg, 2000) highlights a common theme which is the ability to adapt and learn. As to what wisdom involves, one author (Glück, 2020) argues for an inclination to learn from own mistakes in life while the MI theory (Gardner, 2011a) states that the intrapersonal intelligences evolve by applying lessons learned through observing others while interacting with them (interpersonal intelligence) and vice versa.

In terms of the intentional change circular process (Boyatzis, et al., 2019a), the personal learning agenda, developed after reflection about own weaknesses and strengths, experimenting and practicing as well as feedback from trusted sources, will keep the cycle going until the individual's perceived ideal self is reached.

Based on these claims around learning as a mean to enable adapting project activities according to improved knowledge about the context for Donor, and to improving Recipient's performance that will include learning new ways of working and using new tools and methodologies, the proposed cluster in this framework -Learning Never Stops (**W.4**)- is well justified.

This is so, in terms of valuing and welcoming opportunities to continuously learn and improve (**W.4.1-D&R**), analysing and reflecting on own achievements and personal development (**W.4.2-D&R**), considering learning for all in the process of designing and implementing interventions (**W.4.3-D&R**), and committing to learning and sharing to ensure good cooperation and long-term improved performance (**W.4.4-D&R**).

Furthermore, all these competencies in **W.4** are in line with what one report covering adaptive implementation (Teskey & Tyrrel, 2021) states that change makers know how to learn from failure which involves real-time learning where ability to adapt (**A**) is built through reflecting and learning.

Thinking Process (T)

The competencies for the thinking process, as the data suggests, are related to the local framework, information, and analysis.

For Donor to be able to contribute to the development of the appropriate strategy, they need to be able to identify the aspects of the local framework such as what local rules will apply, and the stakeholders including the body overseeing Recipient institution (T.1-D). In parallel, Recipient need to understand the project rules that are defined by the funder to understand the limitations, opportunities, and requirements (T.1-R).

Identifying what information and data is needed and collecting it while accounting for eventual uncertainties and following a clear process that can lead to well-grounded justifications for all decisions is Donor's task (T.2-D). The focus for Recipient while collecting information is on confirming accuracy of internal data to make appropriate decisions in relation to needed support while considering opportunities and threats (T.2-R).

Once the framework and information are defined, a critical analysis of the interests of the team members and external stakeholders will clarify the expectations and guide both actors to adopt the best way to interact with their counterpart (T.3).

This key competency which affects the competencies related to the Holistic approach (H) and adaptive implementation (A) is in line with the literature. It is the engine (Figure 6-1) that is processing information (Gardner, 2011a) and the reflective mind (Stanovich, et al., 2020).

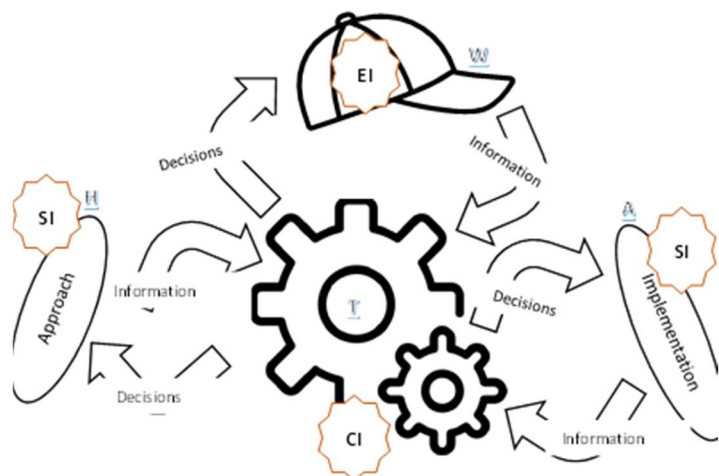


Figure 6-1 The Wise H.A.T. and the information processing device (CI) collecting information from SI and EI and feeding back decisions into the different clusters.

It is the cognitive intelligence which involves, according to a study (Boyatzis, 2020), processing and storing information, logical thinking and problem solving. Furthermore, the MI theory (Gardner, 2011a) relates the cognitive capacities to the ability of gathering wide amount of information and detecting their interconnectedness. Other views (Stanovich, et al., 2020) about rational thinking utility touch on the reflective mind, as well as distinction and verification of what is real and true and what needs to be done, while other authors (Belack & Radecki, 2019) link being an effective team member to the ability to engage in rational decision making. In that line, it is the outcome of the analysis (T.3) of the collected information (T.2) through Networking (H.2) and Collaboration (A.1) that will further clarify the aspects of the Local Framework (T.1) that are critical during the project's life cycle. This processing device – the Thinking Process - will be collecting and

processing information and feeding back decisions into the other three clusters, as depicted in Figure 6-1, with **Wisdom** being the fuel that empowers this engine (**T**).

How the competencies that this research is proposing compares with what one study (Teskey & Tyrrel, 2021) proposes in terms of core Adaptive competencies and soft skills is discussed next.

Adaptive Competencies

Teskey and Tyrrel (2021) claim that three principles that are informing donor-funded development initiatives stand out, among others, and they suggest that they should be politically informed, locally led, and adaptive (PILLAR). They propose various tools to support such approaches including Core Adaptive competencies and Soft Skills (SS).

The soft skills (SS) introduced as requirements “to be ‘adaptive’ or ‘enable adaptation’... in inclusive and gender responsive ways” (p. 61), when compared with the **Wise** cluster (*Table 6-1*) confirms the need for all its sub-clusters as well as the need for more clarity in the descriptions of these SS.

Soft Skills (SS) (Teskey & Tyrrel, 2021, p. 61)	WISE Sub-Clusters -(D=Donor; R=Recipient)
1 Able to build deep, trusting local relationships with people of different backgrounds	W.2 (D & R) [Openness...for win-win solutions]
2 Commitment to gender equality and inclusion	W.1 (D) Donor’s [commitment...to stakeholders’ engagement] & W.2 (D&R) [Openness...for win-win solutions]
3 Self-reflective and able to acknowledge failure and learn from it	W.2.3 (R) [Discuss gaps openly] W.3.1 (D&R) [keep the optimism & self-confidence & realism] W.4.2 (D&R)[reflect on achievement and personal development]
4 Comfortable ‘leading from behind’, and committed to building the capacity and motivation of counterparts to lead work	D only W.1.1 [believe that best interest of R is THE priority] W.1.3 [willingness to Listen...close feedback loop] W.1.8 [Readiness to empower local champions] W.2.3 [open to accept...improve understanding] W.3.4 [trust in R true engagement]
5 Ability to apply politically sound judgement in decision making	W.1 (D) [commitment...to stakeholders’ engagement]
6 Comfortable to operate in uncertainty	D Only W.1 [commitment...to stakeholders’ engagement] W.2.2 [evaluate assumptions...aim to adjust plans] W.3 [persistence & Positivity] W.4 [learning never stops]
7 Able to work within a small team and with significant autonomy	W.3 (D) [persistence & positivity]
8 Willing to be vulnerable and reveal what they do not know or understand	W.2.3 (D) [open to accept...improve understanding] (R) [Discuss gaps openly]
9 Resilience, persistence, and “grit” – willing to see out difficult or demotivating periods	W.3 (D&R) [persistence & positivity]
10 Intrinsically motivated	

Table 6-1 Proposed Soft Skills (Teskey & Tyrrel, 2021, p. 61) compared with The Wise Sub-clusters

For example, ‘leading from behind’ in (SS-4) is too general and deserves to be defined in more details. This becomes more evident when comparing with the proposed sub-clusters while keeping in mind the context where the Donor – possessing the funds and knowledge of proven best practices in different parts of the world- is providing support to the Recipient who is experiencing difficulty in own practice.

So, for a Donor to be ‘comfortable’ to let the Recipient, who might not have the technical knowledge and/or skill, to lead would be possible when the Donor 1) sets the Recipient’s *best interest* as a priority (W.1.1), 2) is willing to listen carefully and to close the feedback loop (W.1.3), 3) is ready to empower local champions to strengthen engagement (W.1.8), 4) remains open to accept opinions of others -as this will improve understanding of concerns (W.2.3), and 5) trusts in the Recipient’s true engagement (W.3.4).

On another front, building ‘trusting relationships’ (SS-1) does depend on all parties involved in the relationship to be ‘open, transparent, valuing diversity’ and aiming for ‘win-win solutions’, which fits in the second **Wise** sub-cluster. However, the data collected for this study did not specifically suggest ‘gender’ for equality and inclusion (SS-2), but it is around including all local stakeholder groups where the Donor is not necessarily local.

Furthermore, the ‘vulnerability’ (SS-8) is relevant to both parties where Donors accept that they might not fully understand the local interconnected issues, and when Recipients discuss their gaps and weaknesses. Only when both conditions are met that the support provided by the project can lead to any improvement.

‘Self-Reflecting’ (SS-3) about own achievements and abilities suggest a link to USAID’s GAPS Model (discussed in Chapter Three), while accepting and learning from failure (SS-3) is highlighted in one of UNDP’s PM competencies – Build Capability (Annex 3-6).

Moreover, this soft skill links to three competencies in the proposed framework, which all involve the Recipient too. These are: 1) reflecting on own gaps in order to discuss them (W.2.3-R), 2) being optimistic, self-confident, and realistic (W.3.1- D&R), and 3) analysing own achievements and personal development (W.4.2-D&R) while the Learning never stops (W.4).

As for the core AM competencies that projects need to develop, Teskey and Tyrrel (2021, p. 63) suggest and describe four areas. Three of them, ‘Leading from behind’, ‘Navigating by Judgement’ and ‘Collaboration’ relate to competencies included in more than one of the proposed clusters (Table 6-2) while the fourth one ‘Thinking Politically’ links to the three main competencies in the Thinking cluster.

Competency Area	What this entails? and [proposed cluster/ sub-cluster/ competency]
<i>(i) Leading from behind (locally led)</i>	<ul style="list-style-type: none"> • Understanding the causes of issues affecting delivery, not just symptoms [T] • Focusing on strengths (desires, hopes) that people have – not ‘deficits’ [W.3.4-D; A.2-D] • Facilitating local actors to lead issue definition and program design [A.5&6; A.2-D] • Identifying leaders and coalitions and empowering them to own and lead change, using both process skills and material support (e.g. TA) [T.1; H.2] • Building long-term relationships with key local actors to help them sustain change and bring others along with them [H.2; A.2] • Tools for locally led issue identification
<i>(ii) Thinking Politically</i>	<ul style="list-style-type: none"> • Understanding of the incentives, institutions and interests which influence program delivery at the sub-national level, including drivers of exclusion (especially gendered drivers) [T] • An understanding of the role of leadership, women’s leadership, and agency in change [T] • Tools of analysis, including political economy analysis
<i>(iii) Navigating by Judgement (reflecting, learning, and acting / experimenting)</i>	<ul style="list-style-type: none"> • Ability to take stock, contest, and triangulate information [T.2] • Ability to be self-reflective and encourage others to do so [W.4.2; W.4.3] • Ability to apply sound judgement in the face of uncertainty [W.3.1; W.3.2] • Understanding of how to systematically test ideas through programming [H.3] • Willingness to be honest about and learn from failure [W.2.4-D; W.2.3 R; W.4.1] • Tools of adaptation, including strategy testing
<i>(iv) Collaboration</i>	<ul style="list-style-type: none"> • Able to identify where other parts of the health system/ other people and networks, organisation need to help local reformers sustain change; and helping get their buy in [H.2; T.1] • Able to work productively across different parts of the program to achieve a common goal [A.1]

Table 6-2 Core AM competency areas (Teskey & Tyrrel, 2021, pp. 63-64) compared to the proposed clusters.

Except for Collaboration, the areas account for training on how to use tools for “locally led issue identification”, “analysis, including political economy analysis”, “adaptation, including strategy testing” (p. 63), which suggest that these tools are available or should be developed.

Moreover, the “acting/experimenting” together with “reflecting, [and] learning” that the authors used to elaborate on ‘Navigating by Judgement’ confirm the high level of uncertainty and risk which stresses further the importance of the **Wise** cluster. This also suggest that these new clusters, and possibly others, are needed in order to clarify the characteristics and the skills that will ensure effectiveness of the adaptive approach as a mean to avoid “underperformance” of programs (Teskey & Tyrrel, 2021, p. 23).

In fact, it is also Teskey and Tyrrell’s (2021) own claim that the “skills required to ‘be adaptive’ or ‘enable adaptation’... are not easily categorised in the traditional “technical” skills development programs recruit for” where the number of years of experience in one area defines the needed required level of performance. This complicates further any attempt to measure or assess any of those soft skills that are what “matters most” (p. 61).

Therefore, new sub-clusters and clear separation of related competencies can provide useful guidance to developing appropriate assessment tools. In that respect, the **Wise** Personal Convictions, as this study is claiming, are the pre-conditions not only for acquiring the ‘technical’ skills, of planning for example, but also for building the tolerance to do what is needed and learn new ways of doing to facilitate moving closer towards the development goals.

Comparing Frameworks

The eight frameworks adopted by the United Nations (UN), the United Nations Development Program (UNDP), the World Bank Group (WBG), the Organisation for Economic Co-operation and Development (OECD), the UK Foreign, Commonwealth & Development Office (FCDO) and the United States Agency for International Development (USAID) include in total 37 competencies.

Their titles, descriptions and main ideas are presented next while showing the links to what this research is proposing.

Titles of Competencies

Examining the title headings of the competencies in the existing frameworks (Annex 6-1) shows a focus on collaboration and engagement by six frameworks with two to include adapting, while leading is mentioned by three others. As for thinking and analysis, UNDP’s Core Behavioural framework calls for thinking innovatively and the UN combines planning with analysis in the title of one competency. Each of the eight include titles related to achieving results and learning (knowledge, building capability and talent).

Some attitudes, or what this study is naming Personal Convictions, are highlighted in the competencies' labels of two frameworks, namely UNDP's 'acting with determination, demonstrating empathy and Emotional Intelligence', 'showing managerial courage' and 'leading with humility', and WBG's 'courage of your convictions'.

Comparing these titles and their definitions suggests the need to dig deeper as they may be misleading. For example, while some titles are clear such as Vision and Strategy, one of OECD' core competencies also backed by a second competency (Table 6-3), other titles are not.

The titles of the UN's 'connect and collaborate' and WBG's 'deliver results for clients' do not necessarily suggest a vision while their related descriptions refer to one that is co-created with others.

This confirms the drawn conclusion in Chapter Three that these frameworks do not focus on the core ideas as Campion et al. (2011) recommend.

UN CB	Connect and Collaborate
	Engage others as <i>co-creators of a common</i> vision.
WBG CC	Deliver Results for Clients
	Fosters open discussions with broad audiences <i>to set</i> vision and establish buy-in for innovation that can enhance WBG effectiveness (Level 8)
OECD CC	Vision and Strategy
	I have thorough knowledge of the requirements of stakeholders and anticipate trends that impact <i>strategy to build a shared vision with others.</i> (Level 3)
	Enable People
	I champion the inclusion of all, generate confidence, enthusiasm and <i>commitment around a compelling vision.</i> (Level 3)

Table 6-3 – Sample statements that include Vision.

Weights of the proposed clusters

To assessing if these frameworks have any similarity or difference with what is proposed by this study, all the descriptions and definitions that were provided in the eight frameworks were reviewed and divided into single sentences that capture a single idea, or a keyword.

The resulting 187 statements have been distributed under what is perceived to fit in one of the four clusters depending on their focus (approach (**H**), implementation (**A**), thinking and analysis (**T**), or attitude/belief (**W**)).

Sample statements and distribution from two frameworks (OECD & FCDO) are grouped in Annex 6-2.

Table 6-4 shows that 48% of statements from the eight frameworks are related to the Personal Convictions (attitudes/beliefs), while the approach and the implementation have an equal 21% share and thinking (analysis) being the lowest at 10%.

This is close to the weights of the findings in terms of focus and importance with the **Wise Personal Convictions** ranking first and the **Thinking** last (52% **W**, 20% **A**, 15% **H** and 13% **T**).

		Approach (H)	Implementation (A)	Thinking (T)	Personal Convictions (W)	
This Study	46	7 (15%)	9 (20%)	6 (13%)	24 (52%)	
UN - CB	23	5 (22%)	5 (22%)	3 (13%)	10 (43%)	
WBG - CC	43	21	6 (29%)	5 (24%)	1 (5%)	9 (43%)
WBG - MC		22	8 (36%)	1 (5%)	2 (9%)	11 (50%)
UNDP - CB	56	29	7 (24%)	4 (14%)	0 (0%)	18 (62%)
UNDP - PM		27	2 (7%)	3 (11%)	1 (4%)	21 (78%)
OECD - CC	21	1 (5%)	6 (29%)	1 (5%)	13 (62%)	
DFID - PDCF	28	7 (25%)	7 (25%)	10 (36%)	4 (14%)	
USAID - CS	16	3 (19%)	8 (50%)	1 (6%)	4 (25%)	
Existing Frameworks	187	39	39	19	90	
Totals & %	100%	21%	21%	10%	48%	

Table 6-4 This study's 187 Statements from Existing Frameworks distributed under the proposed clusters and showing percentages.

Looking at the individual percentages, however, shows that the thinking gets the highest share (36%) in FCDO's Programme Delivery Competences (sample in Annex 6-3), while the approach and implementation having an equal weight fall seconds leaving the personal convictions last (14%). At the other end, USAID subskills related to implementation reach 50% with the personal convictions falling second (25%) and the thinking last (6%), as suggested by the sample statements in *Table 6-5*.

Core Skills	Subskills	Approach	Implemen- -tation	Thinking	P. Convictions
Leadership	Building Consensus & Partnerships				
	Contextual Awareness & Political Astuteness				
	Motivation & Empowerment				
	Vision				
Results and Impact Focused	Accountability for Results				
	Problem Solving				
	Taking & Managing Risks				
	Technical & Substantive Expertise				
Professionalism	Adaptability & Flexibility				
	Communication				
	Cross-Cultural Competence				
	Interpersonal Skills				
Talent Management	Teamwork				
	Supports Equal Employment Opportunities, Diversity, and Inclusion				
	Professional Development				
	Supervision and Human Resource Management (for supervisory positions only)				

Table 6-5 USAID Core Skills and subskills distributed over four clusters.

Competencies' Descriptions

Moving to examining the detailed descriptions of these competencies, as the next sections show, several links to the proposed clusters have been identified.

Adaptation

As can be seen in Annex 6-4, adaptation is mentioned in all frameworks whether in titles or definitions. WBG, and UNDP are suggesting personal adaptability to new approaches and working tools or adapting leadership styles.

OECD's 'innovate and embrace change' refers to encouraging the adoption of new approaches for identifying better solutions to current and future problems, which suggests indirectly the need for a long-term vision (H.1) while the 'better solutions' could also include adapting the project's activities to emerging needs. In this context where adapting programs is not clearly referred to, the readiness to deal with uncertainties and instability and remain flexible (W.1.6-D) is valid.

On the other hand, FCDO's 'monitor, learn and adapt' (Annex 6-3) and USAID's 'result and impact focused' each include one statement with the simple mention of 'adapting programmes' as necessary or as appropriate, with USAID adding the possibility of adapting processes without any clarification.

USAID goes even further to consider adaptability (A.3) and flexibility (H.3) as subskills to one core skill -Professionalism- in addition to communication (A.4) and cross-cultural competence which relates to Donor's acting with consideration to possible culture sensitivity (W.2.1-D). (See Annex 6-5 & 6-6 for more details).

Furthermore, the definition of UN's 'adapt and innovate' is 'demonstrate flexibility, agility, and the ability to think and act in novel ways' and calls for all staff to 'experiment new approaches and to respond flexibly to new contexts and cultures and changing priorities', and for senior leaders 'to encourage adaptation, experimentation, and innovation'. This translates through the flexible planning (H.3), Adaptive implementation (A), learning (W.4) as well as openness and diversity (W.2).

Collaborate

UN's 'connect and collaborate' (Annex 6-7) calls for senior leaders to 'build positive relationships' (A.2) and 'partnerships with a broad range of stakeholders across cultures and other boundaries' (W.2.1-D) and 'engage others as co-creators of a common vision' (H.1). Managers will join them to 'enable a working environment in which everyone may speak openly and honestly' (W.2) and 'actively build trust' (A.2). Together with all staff they need to 'actively listen' (W.1) and 'take interest in views, expertise and experiences of others' (W.2.3-D).

The same is called for by WBG's 'Collaborate with Teams and Across Boundaries' where staff at different levels are expected to 'seek opportunities' (H.2) to 'collaborate, actively do so by giving own perspectives' (A.1, 5 & 6) and 'willingly receive diverse views' (W.2.3-D).

Partnering

UNDP's Core Behavioural competency 'engage and partner' (Table 6-6) suggests the commitment to stakeholder's engagement (W.1) which will make possible the called for 'powerful collaboration' (A.1) that requires understanding the local framework (T.1) to identify stakeholders to network with (H.2) and build the trusting relationships (A.2) which will also facilitate that 'co-creation internally and externally to achieve joint objectives and results'. This calls for being empathetic (SI) and emotional intelligence which is not clearly defined but points towards the social intelligence's definition adopted in this study which is related to understanding and using "emotional information about others" while the emotional intelligence is concerned with one's own emotions (Boyatzis, 2008).

UNDP - Engage and Partner	Link to proposed Framework	
<ul style="list-style-type: none"> Act in a way that demonstrates empathy & emotional intelligence, showing consideration for the needs & feelings of others 	Social Intelligences	
<ul style="list-style-type: none"> Demonstrate & encourage teamwork & co-creation internally & externally to achieve joint objectives & results 	Donor's Commitment to Adaptive Management & Stakeholders' Engagement for making a difference in development (W.1)	
<ul style="list-style-type: none"> Establish and develop networks that deliver powerful collaborations 	Identifying the stakeholders (in the country) & what aspects of the local framework (regulations, power, & politics) that need to be considered while developing the appropriate strategy (T.1) Engaging in Networking with identified stakeholders to promote intended cooperation for targeted changes (H.2) Building & maintaining strong relationships with all concerned through demonstrating being worthy of trust, mediating the coordination efforts, providing valuable advice, empowering others, & focusing on the common objective (A.2) Collaboration (A.1)	
<ul style="list-style-type: none"> Encourage & respect views of others; accept views and ideas other than one's own 	Remaining open to accept different opinions which helps improve understanding of stakeholders' concerns and challenges (W.2.3)	

Table 6-6 The link between UNDP's Core Behavioural Skill Engage and Partner- and the proposed Framework.

Communicate

The communication with diverse audience (A.4) is clearly called for by WBG's 'Make Smart Decisions' to 'clarify expectations' (A.5 & 6) and to 'reach out to appropriate decision-making authority' which can include the funder (W.1.5-D).

OECD's 'Enable People' and 'Collaboration and Horizontality' highlight 'communicating areas of improvement while considering the audience' which may require 'tact, diplomacy, respect, and cross-cultural sensitivity' (A.4 & W.2.1-D).

Furthermore, the indicators for FCDO's 'Engage Others' include 'Communicate complex messages' (A.4) as well as 'Identify and assess impact of political and institutional issues', or what is related to the local framework (T.1).

Deliver Results

UN's 'Deliver results with positive impact' means that all staff, managers, and senior leaders are expected to 'engage with internal and external stakeholders to identify and understand their needs and propose solutions'. This confirms the need to identify the elements of the local framework including stakeholders (T.1) to promote targeted changes through networking (H.2) and to collect information (T.2) and analyse it (T.3) to develop the visionary strategy (H.1).

These competencies are also in line with WBG's 'Lead and Innovate' where Level 7 staff are expected to 'Develops innovative solutions with others'.

Leadership

Two statements in the definition of Leadership (Table 6-7) which is one of USAID's Core Skills point to the Holistic approach (H.1 & 2) where Donor is expected to build on a detailed analysis of the project context to develop a visionary strategy that ensures full engagement of all stakeholders.

USAID- Leadership	Link to proposed Framework
Assesses the environment, including the local and international context, and draws upon headquarters, staff, and local stakeholder input to establish direction and vision for the Operating Unit.	Thinking Process (T) Holistic Approach (H) Donor's Commitment to Adaptive Management & Stakeholders' Engagement for making a difference in Development (W.1)
Builds consensus and partnerships to implement the vision	Collaboration (A.1) Visionary Strategy (H.1) Expectations (A.5 & 6)
Subskills: • Building Consensus & Partnerships	Collaboration (A.1) - Networking (H.2) Trusting Relationship (A.2)
• Contextual Awareness & Political Astuteness	Local Framework (T.1), Information (T.2), Analysis (T.3)
• Motivation & Empowerment	Trusting Relationship (A.2-D): 'providing valuable advice and empowering others'
• Vision	Visionary Strategy (H.1)

Table 6-7 The link between USAID's Core Skill- Leadership and the proposed framework.

It also calls for most of the elements of the commitment of Donor to engage stakeholders (**W.1**). This also suggests collaboration (**A.1**) and clarifying expectations in terms of output (**A.5**) and input (**A.6**) during the implementation of the vision which, for the operating unit as well as the organization is a path towards sustainable Development.

The related subskills to this leadership core skill include building consensus and partnerships, vision, contextual awareness, and political astuteness with the last two suggesting one more link to the Thinking process (the local framework- **T.1**-, collecting and verifying information- **T.2**-, and critically analysing the identified stakeholder's interests-**T.3**).

The consensus is enabled through Networking (**H.2**) where the cooperation for targeted change is promoted to win stakeholders' support, and this will be possible when trusting relationships are built and maintained (**A.2**).

Thinking

UN's 'analyse and plan' (Annex 6-8) is about the three competencies in the Thinking process (**T**) where planning is flexible to allow 'prioritization based on new information' (**H.3**) and being willing to 'adapt plans' (**A.3**) while 'understanding power dynamic' and detecting and interpreting early signals, new and emerging trends, opportunities and risks'. This calls for networking (**H.2**) to understand the local framework (**T.1**) as well as monitoring to help identify unforeseen challenges (**H.4**).

Personal Attributes/ Convictions

The eight frameworks mentioned different personal attributes of what can be related to emotional intelligence and fit in the **Wise** personal convictions cluster.

Table 6-8 shows how a sample of 28 statements from WBG's Managerial Competencies and UNDP People Management competencies suggest some personal convictions, with Persistence and Positivity (**W.3**) having more weight than the other three sub-clusters.

A close examination of the Core Competencies of these two organizations also shows more statements suggesting Personal Convictions (Table 6-9) with an equal weight for the Persistence and Positivity (**W.3**) and the first **Wise** sub-cluster (Commitment to AM and engaging stakeholders and making a difference in Development). However, adaptive management is not explicitly mentioned as a practice to follow, while the adaptability, as shown in Annex 6-4 and discussed above, is related to how one can adapt to situations when they are working and collaborating in teams.

WBG- MC	W.1	W.2	W.3	W.4
Courage of your Convictions: confidence (W.3.1), out of comfort zone (W.1.6), humility (W.1.7), doing what is right (W.1.1).	3		1	
Leading the Team for Impact: focus on the WBG purpose and mission (W.1)	1			
Fostering Openness to New Ideas: create open and innovative climates (W.2)		1		
Building Talent for the Future: build people's capabilities for the future (W.4.4), encouraging them to stretch beyond their current experience or comfort zone (W.3), provide ongoing feedback (W.1.3) and development (W.4.4),	1		1	2
UNDP- PM				
Show Managerial Courage: face up to problems (W.3), Not be afraid (W.3.2), Not hold back (W.2), be respectful and diplomatic (W.2.1), address conflicts (W.3), bring disagreement to the open (W.2)		3	3	
Demonstrate Empathy and Emotional Intelligence: genuinely care (W.1), demonstrate empathy (W.1.3), see in the positive in people and situations (W.3).	2		1	
Build an Enabling Workplace: empower the team (W.3.3), promote honesty and openness and trust (W.2)		1	1	
Build Capability: give feedback (W.1.3), ability to learn from failure (W.4.2)	1			1
Manage Performance and Ensure Accountability: praise (W.3.3) & recognize (W.3.4)			2	
Lead with Humility: authentic and transparent (W.2), give credits to others' success (W.3.3) and admit own shortcomings (W.4.2).		1	1	1
28	8	6	10	4

Table 6-8 Sample statement and keywords from WBG MC and UNDP PM suggesting elements of the Wise Cluster.

WBG- CC	W.1	W.2	W.3	W.4
Deliver Results for Clients: creating an impact on the mission (W.1), the goal of "reducing poverty" and "increasing prosperity" as the ultimate objective (W.1), take personal ownership for identifying and managing risks (W.1.6), delivering evidence-based results that have development impact (W.1)	4			
Collaborate Within Teams and Across Boundaries: They are inclusive in gathering options and information (W.2)		1		
Lead and Innovate: commitment to the WBG's values and mission (W.1), seek opportunities to improve (W.2.3), inspire and encourage others to have a positive attitude and impact (W.3),	1	1	1	
Create, Apply and Share Knowledge: developing self and others (W.4)				1
Make Smart Decisions: Includes analytical thinking, judgment, risk taking (W.1.6), display the confidence to take smart risks (W.3), collect lessons from past experience (W.4.2), make realistic, sound decisions (W.3.1).	1		2	1
UNDP- CC				
Achieve Results: Demonstrate focus on achieving quality results and impact (W.3.2)			1	
Think Innovatively: Seek patterns and clarity outside boxes and categories while resisting false certainty and simplistic binary choice (W.3.1)			1	
Adapt with Agility: Participate in, support, contribute to or drive meaningful change in UNDP (W.1), Be comfortable with ambiguity (W.1.6)	2			
Act with Determination: Pursue everything with motivation and drive (W.3), Not give up in the face of adversity and setbacks; demonstrate resilience and composure (W.3), courage, self-motivation (W.3), authentic and modest (W.2)		1	3	
Enable Diversity and Inclusion: respond sensitively to all differences among people (W.2.1), Fully accept and value all people, creating an inclusive environment (W.2), Understand and appreciate issues from the perspective of others (W.2.3), honesty and transparency (W.2)		4		
25	8	7	8	2

Table 6-9 Sample statements and keywords from WBG CC and UNDP CC suggesting elements of the Wise Cluster.

Learning

All frameworks are in agreement around the learning that never stops (W.4) and have dedicated each one related competency (See Annex 6-9 for sample statements): Learn and develop (UN), Create apply and share knowledge (WBG-CC), Building talent for the future (WBG-MC), Learn continuously (UNDP-CB), Build capability (UNDP-PM), Enable people, (OECD), Monitor, learn and adapt (FCDO), and Talent management (USAID).

To conclude on comparing frameworks from six organizations with the study's four clusters, building on the preceding discussions and Annexes 6-10 to 6-13, *Table 6-10* summarises the results.

Holistic Approach (H)	
H.1 Visionary Strategy	One competency is entitled Vision and Strategy, three mention a vision that is co-created with others, while four organizations point to the stakeholders' engagement, and one mentions communicating a compelling vision which presumably the organization would set.
H.2 Networking	Four suggest seeking opportunities to collaborate and developing networks, while two do not.
H.3 Flexible Planning	All suggested planning on the basis of data, people, emerging opportunities and resources.
H.4 Monitoring & Accountability	Four mention accountability, one refers to monitor to evaluate performance and one refers to planning and accomplishing tasks within the given deadlines.
Adaptive Implementation (A)	
A.1 Collaboration	Two clearly mention collaborating, three refer to teamwork and one to manage self and others.
A.2 Trusting Relationships	Building trust is clearly stated by five, one refers to interpersonal skills without any further clarification and the statements of one do not suggest trust.
A.3 Adaptation	Two mention adapting programmes, one adapting plans, one calls for responding to the needs of key stakeholders, while the remaining two refer to adapting to changing situations, new people, and context.
A.4 Communication	Mentioned by all with different descriptions and purposes.
A.5 A.6 Expectations (Output - Input)	Referred to by one directly linking them to the collaboration, one statement is about managing expectations in general, building consensus can be seen to include expectations, but three organizations have no direct or indirect reference to expectations.
Thinking Process (T)	
T.1 Local Framework	Five suggest wide diverse sources, global context and the implementing partner, while one has no related statement.
T.2 Information	Two had no mention to identifying and collecting information while the others related the data to support decisions and project's evidence needs.
T.3 Analysis	All six organizations have a mention to analysis with different justifications.
Wise Personal Convictions (W)	
W.1 Commitment	The word is not used but there are different references by all organizations to engage others, show consideration, empower, create opportunities and build consensus to implement the vision.
W.2 Openness	All except one organization have reference to at least one element of this sub-cluster.
W.3 Persistence and Positivity	All mentioned some reference to this sub-cluster such as being confident, realistic, comfortable with ambiguity, managing and taking risk, dealing with stress and uncertainty.
W.4 Learning never stops	All highlighted learning, sharing knowledge and applying lessons learned.

Table 6-10 Summary of the links between Frameworks of Six Organizations and this study's proposed clusters.

Conclusion

The previous discussions show that the competencies proposed by the collected data and their groupings add to the literature as they address the challenges that may be encountered while adaptively managing (**A**) the project to account for all stakeholders (**H**) and factors (**T**) that can slow or facilitate the path towards development which the collaborators are committed to reach (**W**).

While a holistic approach to account for all stakeholders and factors when co-creating the vision, for example, is clearly elaborated by five organizations, Adaptive Management (AM) has not been granted the same level of importance even when three refer to adapting programmes and plans. This could be the case because, as Teskey and Tyrrel (2021) claim, AM may be an emerging practice.

Moreover, the detailed examination, of existing frameworks and the adaptive competencies and soft skills that Teskey and Tyrrel (2021) propose, clearly shows that the proposed clusters by this research are presented in a simpler, clearer, and memorable form that is easier to follow. These can guide practitioners to reflect on their competencies for the different stages of the project: setting its direction, implementing, and collecting data to make the appropriate decisions.

Most importantly, being aware of the Personal Convictions that will facilitate or slow one's drive towards the set objectives can be an eye opener to avoid the "cognitive fallacies" (Sternberg, 2019) that one may be committing.

Such clear distinction between the different stages is also useful for training providers while designing programs especially to show their interconnectedness. The Personal Convictions (beliefs and values) provide the fuel (motivation) to the thinking engine while processing and exchanging information used for making decisions and interacting within the context of the projects including with all parties and situations.

This proposed framework does not provide reference to different levels of staff (i.e. junior, middle, or senior) or their proficiency (i.e. novice or expert) (Campion, et al., 2011) and it considers the main idea of the proposed competencies to be applicable for all.

For example, The Donor's commitment (**W.1**) includes the *willingness* to promote and lobby with funders for needed flexibility while focusing on strengthening stakeholders' engagement (**W.1.5- D**). This willingness is expected from all levels even from junior staff members who may not have authority to contact the funder but only being aware of this need that they can remain alert to report any related developments to higher level who can eventually act as appropriate.

Another addition that this framework is providing is the clarification of the parallel behaviour of both collaborators because success is the result of a productive collaboration of all CB actors and not only one party at one end. The risk of no-success will remain high if one party is not aware of what such collaboration entails in terms of tasks and personal readiness to interact productively in such context.

However, the collected data coming from a small sample, as discussed next in the Concluding Chapter, have missed on some competencies which are suggested by CB success literature and discussed earlier in this Chapter. Therefore, more field work is needed to clarify what other competencies should be incorporated in the structure of this proposed framework for both Donor and Recipient.

7- Conclusion

The purpose of this study is to identify the required intelligence competencies for Donor and Recipient, being the two parties collaborating within the international development projects (IDP) aiming to build the capacity of Recipient (individuals and institutions). The objective of this partnership is to ensure that Recipient are on the right path towards sustainable development through project goals.

For that purpose, the following question has been the focus of this research:

WHAT set of competencies (Emotional, Social and Cognitive Intelligences) is needed by Donor and Recipient representatives – when jointly working on project activities – in order to reach successful interventions and produce new knowledge that can be fed into the two systems because it is important for decision making related to future International Development projects?

Why this Study?

In view of the concerns that the success rates of IDPs have fallen short of expectations (Rodriguez-Rivero, et al., 2020), the international community continues to try to find ways to improve aid effectiveness (Lundsgaarde & Engberg-Pedersen, 2019).

Donor organizations too have been actively financing studies (ODI, 2017; GLAM, 2020) to better understand the issues that need to be addressed and the ways to deal with them.

All studies and existing frameworks are only focusing on Donor even when the majority mention that project activities are to be implemented through collaboration and partnership with Recipient. Some studies even go further to suggest that the two parties can be described by being interdependent (Schiffing, et al., 2020) and form a complementary team (Ika & Donnelly, 2019), which leads one to expect that they should have the same collaborative abilities in order for individual contributions to be fruitful.

Furthermore, Capacity Building (CB) projects are mainly targeting the performance of Recipient who are expected, in parallel of collaborating, to identify gaps and introduce changes to their working tools and methods which also requires new behaviours (Creasey, et al., 2015). Therefore, when CB projects miss on building an important capacity of a main partner who has a meaningful role in the drive to project success, the chances to reach development objectives may be jeopardised.

This study is filling this gap by including in the proposed framework a set of required competencies for Recipient. This will also create awareness to the need to support their development and therefore minimize the needless pressure on Donor while aiming to increase the chances of success in an already complex environment.

How was this Study Conducted?

The answer to the research question comes from success stories shared individually by Donor practitioners and Recipient representatives that were selected using defined criteria, with experience and good reputation for achieving results taking highest priority.

Twelve participants – five visiting Donor practitioners (42% D), four Lebanese/local Donor practitioners (33% LD) and three Recipients (25% R) representing nine organizations and five countries – were interviewed. The age of 50% of these interviewees fell in the 50s range, while the remaining 50% is divided equally between the 40s and the 60s. This high age range suggests that participants have more field experience and therefore more stories to reflect on, and share.

The sample representing nine organizations reflects not only the individuals' personal perspectives, but also various methodologies and approaches used by these organizations that are based in 5 different countries. Participants included five project managers (3 D & 2 LD), four consultants (2 D & 2 LD), two general directors and one head of department of Recipient institutions. The local Donors have all worked for different organizations including the United Nation Development Program (UNDP), the European Commission and the United States Agency for International Development (USAID) and collaborated with one Recipient in more than one project and at different periods of time. Therefore, they have seen first-hand the impact (or lack of it) of the different projects' interventions over the years.

Semi structured interviews were conducted, and participants were asked to share success stories and clarify the context, the consequences, the challenges faced, the contributions from all concerned, as well as the results and how they were perceived by different parties. The data analysis went through five coding cycles until the structure of the proposed framework took shape.

Searching and reading the existing frameworks and related IDP studies was intentionally delayed until after the identified competencies were clustered to make sure that the findings reflect only the participants' views.

What are the Findings?

The data analysis produced 540 codes that support a total of 46 competencies which include 23 for Donor, 13 for Recipient and ten being common to both actors. These are grouped under four clusters: the **Wise Personal Convictions** (52%), **Adaptive implementation** (20%), **Holistic approach** (15%) and **Thinking process** (13%).

With the research question being focused on three intelligence competencies as defined by Boyatzis (2008), the **Holistic** and **Adaptive** clusters fall under the Social Intelligence which is the “ability to recognize, understand and use emotional information about others that leads to or causes effective or superior performance”. The **Thinking** is a Cognitive Intelligence competency or the “ability to think or analyze information and situations that leads to or causes effective or superior performance” (Boyatzis, 2008).

The Personal Convictions are those underlying characteristics (motives, traits, and self-concepts) which are hidden (Spencer & Spencer, 1993) and fit under the Emotional Intelligence defined as the “ability to recognize, understand, and use emotional information about oneself that leads to or causes effective or superior performance” (Boyatzis, 2008).

Following Campion et al.’s (2011) recommendations for organizing competency frameworks, the labelling of the clusters and the sub-clusters capture one main idea to lead to a simple presentation that is easy to remember while reflecting on one main process at a time: setting the direction of the project (**H**), implementing (**A**), thinking (**T**), and their enablers (**W**).

In other words, it is the approach (**H**) that involves both parties and considers all interests and needs while envisioning the change, how implementation will ensure the set vision and goals (**A**), the process that the thinking will follow (**T**), and the Personal Convictions that will control surface behaviours (Garavan & McGuire, 2001), which for such context where the common good is targeted (Sternberg, 2019) are labelled **Wise**.

So, the answer to the research question comes through the proposed framework where the set of competencies (Emotional, Social and Cognitive Intelligences) are organized under four clusters that make up the **Wise H.A.T** (Figure 7-1) that Donor and Recipient need when jointly working on project activities.

The learning (**W.4**) will help them adapt the project to the emerging needs while the lessons learned that they will both accumulate through experience and new knowledge, will guide both institutions to

make the most informed decisions regarding future projects. The outcome will then be further *development* and *knowledge* because these two are “intrinsically bound together” (Akude, 2014).

Therefore, the research question is answered through the identified competencies that will enable the co-creation of Knowledge that will be invested towards more Development, in other words the product of this joint working is Knowledge for Development (K4D).

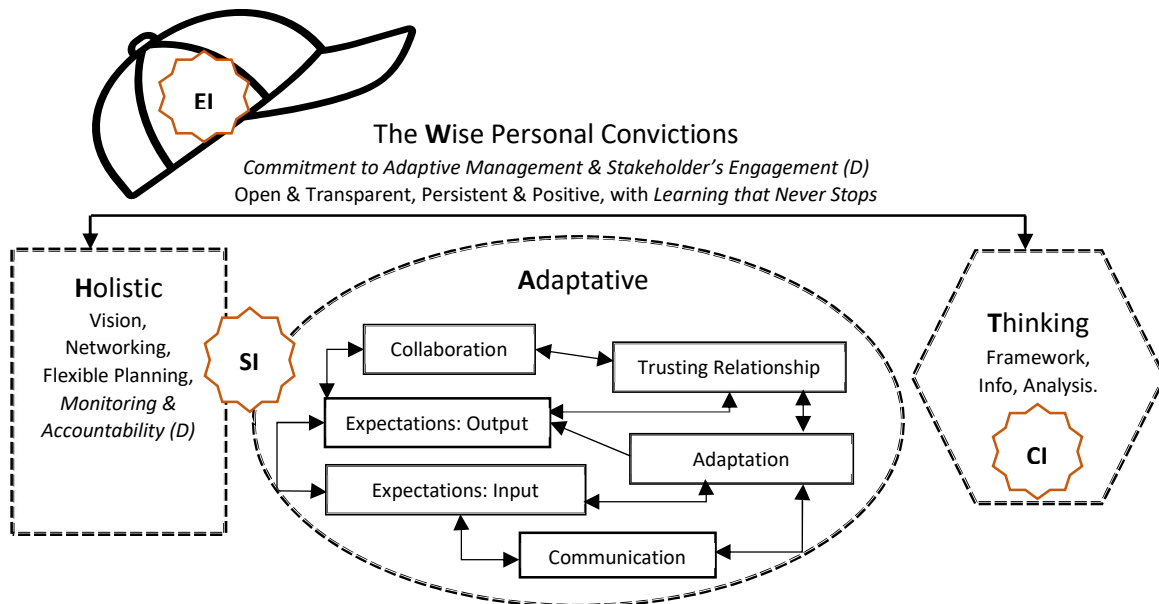


Figure 7-1 The Wise H.A.T. clusters.

Looking at the concepts identified at the end of the literature review that covered the factors related to the projects' context (Chapter Two), most of them are reflected explicitly in several competencies included in this framework, with some constituting the main ideas and deserving to be in the titles of some clusters and sub-clusters. For example, collaboration (A.1), stakeholders' commitment (H.1, H.2, H.3, W.1.D), and adaptive management (A).

Original Contributions

This study is making five contributions to research and practice which are listed and discussed next:

- 1- Adding knowledge to the literature with a focus on IDP/CB.
- 2- A unique competency framework that, whilst having similar components with some existing frameworks, brings together competencies in a way that has not been done before. This includes its structure that is not only highly practical but is also firmly based on theories of different intelligences namely the Emotional, Social and Cognitive.
- 3- Presenting competencies required by Recipient, which is not provided by any other framework.

- 4- Integrating Adaptive Management for IDPs at the core of the framework.
- 5- Listing the main competencies required by both parties (D & R) for engaging in Adaptive Management which will make possible their development.

Literature

This study is adding to the knowledge around IDP and CB management especially when a number of authors (Golini & Landoni, 2014; Ika & Donnelly, 2017; Lazima & Coyle, 2019; Ika, et al., 2012) claim that it has not been sufficiently covered in the literature.

The discussion in Chapter Six shows how the findings support the claims that IDP/CB projects are not necessarily unique (Ika & Hodgson, 2014) as they use project management standards, tools and techniques (Ika & Donnelly, 2017), meaning that they can still benefit from the knowledge related to conventional projects (Bayiley & Teklu, 2016; Chasanah, et al., 2023).

Some of the proposed competencies point to theories related to change management, inter-organizational projects involving multiple stakeholders, multi-cultural contexts, group evolution as well as the Theory of Change.

Others, for example the competencies in the Holistic (**H**) approach cluster, facilitate many IDP/CB Success Factors (motivation & interest, engagement, commitment to the vision, commitment to change, ownership, effective consultation with stakeholders, and compatibility of stakeholders' priorities), as well as Relevance which is the most important Success Criteria (Bayiley & Teklu, 2016). While those in the Adaptive (**A**) implementation cluster can increase the chances of two Success Criteria namely Impact and Sustainability.

Moreover, the data as expressed in the different proposed competencies acknowledges that adaptation requires an "authorising environment" (Teskey & Tyrrel, 2021) which relates to two Success Factors such as the compatible rules and procedures (Khang & Moe, 2008) as well as the clear policy of donor and government (Bayiley & Teklu, 2016). For example, adapting plan of work in A.3.D specifies that this is to be done 'when possible', while Donor's commitment to AM and stakeholders' engagement for making a difference in Development (**W.1**) includes their willingness to promote and lobby with funders for needed flexibility (**W.1.5-D**). This suggests the need to stay in line with governing policies which can also impact funding and its purposes thus supporting SFs mentioned in the CB literature.

Another study (Ika & Donnelly, 2017) considers the capacity of both Donor and Recipient institutions to “Commit, New technical expertise, Attract resources, Manage diversity, and Adapt Knowledge and Skills.... [and] Self-Renew” as one SF. These capacity areas that can make an impact on the project are clarified and detailed in the proposed framework, and when CB actors are aware of them, they can develop them, and this will facilitate at least this important factor (capacity to commit) that can lead to success.

Therefore, this study contributes to knowledge related to Success Factors (SF) and Criteria (SC) in CB context and shows how competencies can enable them. In that respect this contribution relates to both research and practice and is further supported by the other contributions discussed next.

Unique and Practical Framework

To the best of this author’s knowledge, no attempt has been made before to develop a framework, at least for IDP actors, that is structured around intelligence competencies, which makes this study a first attempt that research can build on.

For professionals working in such programs, this framework provides a tool and an opportunity to reflect on their skills separately. For example, what beliefs and values can impact (EI) their interactions with others (SI) in a specific context and for a specific purpose, and what decisions need to consider (CI) in such context. This can also guide practitioners when they are reflecting on the elements, for example that USAID’s GAPS Model (2019a) proposes, such as their personal goals, values, abilities, success factors and the perceptions of others, as it directs them to a specific context, stage or process.

The simple presentation of these intelligence competencies clusters (Figure 7-1), and easy to identify with, when confirmed by practitioners as being memorable and easier to follow, will also trigger developers and researchers to elevate simplicity to its appropriate level of importance. It will then be possible for them to target memorable ways to present frameworks, which can also include visualization as this study has done. This is especially needed for complex and multi-cultural contexts when words may not have the same weight in different cultures and languages.

Furthermore, being focused on the common good (**W**) is not necessarily only valid for Development efforts but also applies to any project especially when involving multiple stakeholders or inter-organizational relationships which are becoming more of a trend in commercial business.

Such contexts in any sector call for a Holistic (**H**) approach that considers the needs and interests of all stakeholders. Having the personal adaptivity, and where needed adapting work, processes, and plans (**A**) is also valid for other professions and various contexts. Highlighting that thinking should

follow a defined process (**T**) to account for all needed information is also not only limited to IDP but to all types of projects and tasks.

Therefore, the **Wise H.A.T** can be an attractive generic framework and therefore deserves attention from both researchers and framework developers due to its being simple and practical. Most importantly, the motto can also motivate concerned practitioners to focus on developing their competencies while aiming to progress in their field and to be recognized as being wise and professional and wearing a noticeable H.A.T.

Including Recipient

Productive and fruitful collaboration requires that all parties concerned are aware of the journey and what it entails so they can reflect and develop the needed competencies. Therefore, acknowledging this gap by researchers and practitioners is an important step towards improving aid efficiency.

From a different perspective, when Donor is leading from behind, as suggested by one study (Teskey & Tyrrel, 2021), Recipient (as well as Donor) need to know how to jump in and out of the leadership role and when. This can become possible when they are aware of what it involves and can develop the needed attitudes and competencies to assume the more meaningful roles (Bayiley & Teklu, 2016) expected from them.

Some may argue that the competencies included in the existing frameworks can apply to Recipient too, however as the detailed examination shows, the titles do not reflect their main purpose. On the other hand, looking at the core adaptive competencies recommended by Teskey and Tyrrel (2021), their descriptions refer to 'local actors' and empowering them 'to lead change' which implies that if the headings can apply, the descriptions need to be adapted to fit Recipient's roles.

In that respect, the findings in this study have considered and clearly expressed the different positions that each actor is holding. For example, while Donor is 'promoting and practicing full transparency to foster continued trusting relationship with Recipient' (**W.2.4-D**), the counterpart is 'discussing openly with full transparency own organization's gaps and needs in the purpose of receiving the right support to improve currently adopted practices' (**W.2.3-R**). Moreover, when Recipient is 'adopting new performance improvement measures despite all challenges' (**W.3-4-R**), Donor is trusting in the recipient's true engagement' (**W.3.4-D**).

This links to the research question that is focusing on the joint-working which depends on contributions from both collaborators.

Integrating Adaptive Management

Some of IDP/CB literature criticise the used methodologies (Hulmes, 1995; Rondinelli, 1983) because they are not flexible or do not account for an active participation of the beneficiary especially at the project design stage.

Recently, Adaptive Management (AM) has been the focus of some studies (Martin, et al., 2020; Buell, et al., 2020) as it is a participatory approach that will ensure Recipient ownership of their development strategies which calls for the alignment of projects by Donor to support the implementation of these strategies.

The ‘ownership’ and ‘alignment’ are also two principles included in the 2005 Paris Declaration on *Aid Effectiveness* which was endorsed by a high-level forum organized by the Organisation for Economic Co-operation and Development (OECD) and the Development Assistance Committee (Brown, 2020).

This approach means that project design and implementation are going in parallel where solutions are developed based on project experience (Mog, 2006) which will reduce uncertainty and imperfect knowledge (Martin, et al., 2020). Consequently, identifying AM related competencies is important to ensure “workplace readiness” (Child & Shaw, 2020) of all involved.

The collected data suggests that AM is in fact needed and project interventions are being adapted to needs and newly acquired knowledge where possible. The participants’ related stories led to the inclusion of one cluster entitled **Adaptive Implementation (A)** which is facilitated by another, the **Holistic Approach (H)** that ensures all needs are considered and therefore increasing the chances of stakeholders’ engagement.

While some studies call for adaptation based on learning in the field (Mog, 2006; Martin, et al., 2020), Teskey and Tyrrel (2001) saw the need to propose AM related competencies and soft skills. Three of their proposed core adaptive competencies are reflected in competencies belonging to more than one cluster while one - ‘thinking politically’ -relates to the three competencies in the **Thinking process (T)**. As to the soft skills, they are reflected in the **Wise** cluster and its sub-clusters.

However, to the date when this text is written, the frameworks that are published by Donor organizations do not clearly refer to AM. USAID, for example and as discussed in Chapter Three, has developed and published tools and guidebooks (2019b; 2019c) to support this approach but did not amend its competency framework (2018c) to reflect that.

The SMART Rules and Principles (DFID, 2020) that the UK Foreign, Commonwealth and Development Office (FCDO) uses are linked to its framework that mentions ‘adapting programs’ in one competency

while the others are not clear on such need. Furthermore, its Principles include attitudes such as being transparent, ambitious, honest, and collaborative to partner, while its framework at the other end includes programme leadership which can be seen as contradicting the collaboration and partnership.

With these two major Donor organizations, for example, claiming that they are managing their projects adaptively but have not yet reflected the required competencies in their frameworks, confirms the need for what this study is proposing namely a framework that has at its core the competencies that are related to AM which Teskey and Tyrrel (2001) are considering an emerging practice.

AM competencies for CB actors

The detailed examination of 37 competencies (Donor) that are included in eight frameworks adopted by major Donor organizations, as discussed in Chapter Six, led to concluding that they are lacking clarity and not necessarily having AM at their core.

For example, the words adapt, adaptability and adaptations appear in all eight frameworks either in the titles or the descriptions to point to several purposes that include personal adaptability to new approaches and working tools or adapting leadership styles. While the USAID framework refers to adapting processes and plans without further clarifications, it considers adaptability and flexibility as two subskills to Professionalism which is a core competence. One of the FCDO's competencies combines the words monitor, learn and adapt in its title with one of its assessment indicators being 'use learning and evidence on performance to adapt programmes as necessary'.

The conclusions from this detailed examination show that the majority are referring to a vision involving stakeholders' engagement (**H**), analysis (**T**), openness and persistence (**W**), while the word 'commitment' did not appear in any of the statements even though it is considered a Success Factor (Khang & Moe, 2008; Ika & Donnelly, 2017).

The adaptive implementation (**A**) is explicitly addressed in only two frameworks, while one refers to adapting plans and not programs. This could be referring to flexible planning (**H.3**) where activities can be reshuffled not necessarily to introduce the more suitable interventions that will replace what has been included in the proposal of activities (Lazima & Coyle, 2019) which is the objective of AM.

Two key competencies in the proposed framework - communication skills (**A.1**) and learning never stop (**W.4**) - are endorsed by the eight frameworks but at different levels. Only one framework refers to 'intelligence' in the context of demonstrating empathy and showing consideration for the needs and feeling of others which according to the definitions (Boyatzis, 2008) used for the purpose of this study

is a social intelligence and not an emotional intelligence as mentioned in the heading of one competency in UNDP's people management framework.

The reference to intelligence in one framework, even when its definition is not clarified, is encouraging as it implies some readiness to accept a framework built around intelligence competencies, which is what this study is proposing.

Moreover, this study has showed that the existing frameworks need to be reconsidered for several reasons not only to improve its presentation and clarity and include Recipient's requirements too, but also to clearly highlight adaptive management (AM), which is at the core of the proposed framework derived from field experience of active practitioners from both ends.

In that line, the proposed framework by advocating for an adaptive (A) implementation, is supporting the application of AM, which has been described as an emergent practice (Teskey & Tyrrel, 2021).

Furthermore, as this framework provides competencies for both collaborators while jointly working at the different stages that the clusters represent (direction of the project, implementation, thinking and the pre-dispositions), it clarifies also the parallel individual contributions of these collaborators.

Being aware of the expected behaviours from both ends will not only enable reflection and eventual development of related competencies but also understanding of the behaviours and readiness of the counterpart and therefore shed light on needed strategies to avoid conflict and/or strengthen relationships that need to be around more trust and empowerment.

Limitations

The limitations of this study relate to the small number of participants with the majority being active in one country (Lebanon) to implement Capacity Building projects mostly in one public sector especially for Recipient representation.

The 12 interviewees who contributed with their stories included 42% visiting Donor, 33% local Donor and 25% Recipient. Even though the local Donor may be aware of the local context and the gaps that Recipient institutions may have, their views cannot fully represent Recipient who are dealing with the related issues on daily basis. The grouping of Donor statements during the analysis process did not differentiate between the local and the visiting Donor. Therefore, the findings do not differentiate between these views to show if there is any agreement or disagreement on the issues shared during the interviews.

On another front, the existing frameworks discussed in this study have been obtained through an internet search. Some are available on their recruiting sites, but others could be found through a google search. Not being able to confirm if the documents that could be accessed are the recent ones is a limitation. Another one is that while comparing, some subjective judgements had to be made due to the lack of clarity of some statements.

Recommendations

Further research is recommended to attend to some of these limitations related to the number of participants, clarifying/confirming assumptions, and suggesting any competencies that the shared stories did not highlight and therefore has not been accounted for in the findings.

First, this study needs to be extended to include more contributors while having a balance between the three categories of Donor, Local Donor and Recipient which is equally important to examining the stated views of both Donor categories separately.

Donor's commitment to making a difference in Development, the first competency in the Wise cluster (**W.1-D**), is suggested by 16 codes out of which 14 are related to statements mentioned by interviewed Donor themselves while none from both ends proposed any related commitment for Recipient. One can assume that for Donor, choosing their profession was triggered by some kind of hope to be able to make a difference. Conducting further research can confirm this and possibly point to a parallel competency for Recipient.

This is also the case for the monitoring and accountability (**H.4-D**) which the data suggests for Donor and not Recipient. This does not agree with the literature, for example, one study claims that accountability should involve all concerned (Buell, et al., 2020), while the mutual accountability is considered a SF by another study (Ika & Donnelly, 2017) where Recipient should be accountable for involving the public. Therefore, more contributions from Recipient representatives are needed to clarify the accountability at their end.

Second, involving more than one reviewer to examine the data and interpret it can win more endorsements from readers, practitioners, and researchers. This can also confirm to the reviewers that all their interpretations when compared cover all the expressed perspectives.

Lastly, seeking wider consultation with practitioners on the framework's structure and content is recommended as it will help clarify several important issues to researchers and framework developers. These include clarity of the presentation and wording used, grouping under intelligence competencies, clear separation/clustering by stage or process such as setting the project direction (approach- **H**),

implementing (**A**), thinking and decision making (**T**), and the personal convictions that motivate these actions (**W**).

Conclusion

The author is joining in with Kunzmann & Glück (2019) and Maxwell (2019) who are calling for the needed “emotional” and “academic revolution[s]” respectively.

It has been her intention that this research will be one small step towards more wisdom related research where little has been done so far (Kunzmann & Glück, 2019).

With the closing of this study, both the romantic and rational sides of herself are hoping that she has succeeded in making her inquiry about knowledge closer to a “wisdom-inquiry” (Maxwell, 2019, p. 779) (captured in Figure 7-2) the outcomes of which will guide ALL our moves towards better lives for ALL once **Global Wisdom** is more active.

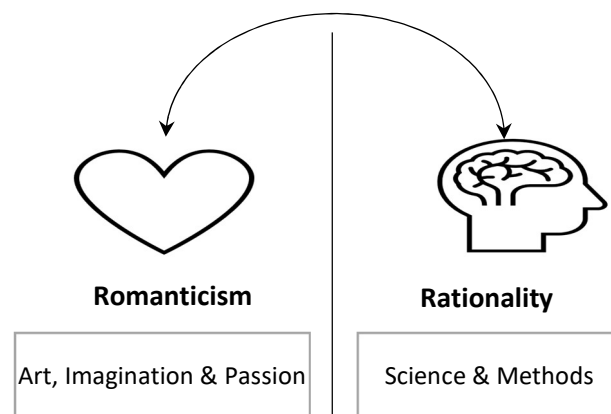


Figure 7-2 Author's symbol of Wisdom-Inquiry inspired by Maxwell (2019)

Annexes

Annex 0-1 – List of documents discussed in Existing Frameworks section.

UN	Values and Behaviours Framework	(UN, 2021c)
WBG	Core Competencies	(WBG, 2019a)
	Managerial Competencies	(WBG, 2019b)
UNDP	Core Behavioural Competencies	(UNDP, 2021b)
	People Management Competencies	(UNDP, 2021c)
OECD	Core Competencies	(OECD, 2023)
FCDO	Programme Delivery Capability Framework (Programme delivery competence)	(DFID, 2018)
	Smart Rules	(DFID, 2020)
USAID	USAID Employee Performance and Development Process: Guidebook for Employees –	(USAID, 2019a)
	FS/SFS Skills Framework -(Core skills)	(USAID, 2018c)
	Guide to hiring adaptive employees	(USAID, 2019c)

Annex O-2.1 – UN Behaviours Framework (UN, 2021c)- 1/3

Connect and Collaborate	
Build positive relationships with others to advance the work of the United Nations and work coherently as One UN.	
What it looks like in practice	Senior Leaders Take an integrated approach, building partnerships with a broad and diverse range of stakeholders across organizational, sectoral, political, gender, generational, cultural, socioeconomic and other boundaries. Engage others as co-creators of a common vision. Facilitate inclusive processes to jointly analyse problems, establish goals and implement integrated solutions. Demonstrate ability to engage constructively in difficult conversations.
	All Managers and Senior Leaders Create an enabling working environment in which everyone may speak openly, honestly and without fear of retribution. Promptly address any conflict or discriminatory, exclusionary or divisive behaviour. Involve others, incorporating their perspectives when making decisions that affect them. Advocate for diversity and inclusion as a strength in building effective teams. Actively build trust, collaboration and partnership with and between individuals, teams, stakeholders and clients
	All Staff, Managers and Senior Leaders Actively listen to and take an interest in the views, expertise, experiences and feelings of others. Seek out opportunities for collaboration with others, using language and technology skills to the fullest. Demonstrate ability and willingness to identify with emotions and perspectives of others. Recognize, understand and monitor own feelings and emotions, using that information to guide thinking and actions. Seek opportunities for partnerships and collaboration within and across different teams, thematic pillars and UN System organizations.

Analyse and plan	
Seek out and use data from a wide range of sources to understand problems, inform decision-making, propose evidence-based solutions and plan action.	
What it looks like in practice	Senior Leaders Work with others to interpret incomplete, contradictory or changing information. Encourage critical thinking and a systems approach to analysis and planning. Detect and interpret early signals, new and emerging trends, opportunities and risks. Develop political acumen, understanding power dynamics (political, demographic, economic and social) and their impact on the information made available.
	All Managers and Senior Leaders Facilitate data-driven, evidence-based analysis and planning. Encourage sharing of information, data, experience and expertise between staff and across teams. Acknowledge and take steps to minimize the impact of individual and collective bias on decision-making. Assess and plan for the time and resources needed for individuals and teams to deliver on priorities, taking into account risks and contingencies.
	All Staff, Managers and Senior Leaders Gather, analyse and evaluate data from a wide and diverse range of credible sources in order to define the problem and inform evidence-based decision-making. Disaggregate and analyse data, for instance by gender, ethnicity and age, to deepen understanding and inform decision-making. Plan and prioritize on the basis of data. Show willingness to adapt plans and priorities as necessary in response to emerging situations and new information.

Annex 3-2.2 – UN Behaviours Framework (UN, 2021c)- 2/3

Deliver results with positive impact	
Hold oneself and others accountable for delivering results and making a positive difference to the people and causes that the United Nations serves.	
What it looks like in practice	Senior Leaders Build and sustain momentum around delivering results, inspiring others to achieve and exceed goals and expectations. Balance actions that deliver short-term impact with strategies that create longer-term systemic transformation. Empower others to deliver results that have a positive impact by facilitating collaboration, continuous feedback and learning, and encouraging self-reflection and accountability. Demonstrate the courage to make difficult decisions, have uncomfortable conversations and take calculated risks as necessary. Lead by example in demonstrating the UN standards of conduct in delivering results.
	All Managers and Senior Leaders Ensure that the work of individuals and teams is aligned with the purpose and priorities of the wider department/ office/mission/Organization. Ensure all team members demonstrate the UN standards of conduct in delivering results. Empower others by delegating appropriately, sharing decision-making and encouraging them to voice their ideas and opinions. Trust others to deliver. Recognize achievements and address underperformance.
	All Staff, Managers and Senior Leaders Demonstrate professional skills and knowledge, taking personal responsibility for own performance, results and impact. Engage with internal and external stakeholders to identify and understand their needs and propose solutions. Take advantage of new technologies and language skills to deliver results and maximize impact. Contribute own ideas and opinions even when it feels difficult to do so. Hold oneself accountable for demonstrating the UN standards of conduct in delivering results.

Learn and develop	
Pursue own learning and development and contribute to the learning and development of others.	
What it looks like in practice	Senior Leaders Promote and provide resources for learning opportunities that support the development of an agile, multidisciplinary, values-driven and multilingual workforce. Identify, understand and support the development aspirations of team members. Encourage individual and collective reflection and learning from both successes and challenges. Collaborate with other United Nations entities and public and private sector partners, sharing learning and contributing to best practice.
	All Managers and Senior Leaders Support individual and team development through the provision of mentoring and coaching, and by sharing and suggesting learning opportunities. Make it safe for people to be open about their vulnerabilities, weaknesses and development needs. Create an environment in which people are allowed to fail and encouraged to learn from the experience. Seek feedback on own performance, and have regular, honest and constructive discussions with individuals and teams about their performance.
	All Staff, Managers and Senior Leaders Demonstrate curiosity and willingness to learn and to apply learning in practice. Demonstrate a commitment to language learning and multilingualism. Keep up –to date with latest thinking and practice in own professional area. Seek out formal and informal opportunities to learn and develop, both personally and professionally, including by taking on assignments across different functions and locations.

Annex 3-2.3 – UN Behaviours Framework (UN, 2021c)- 3/3

Adapt and innovate Demonstrate flexibility, agility and the ability to think and act in novel ways.	
What it looks like in practice	Senior Leaders Communicate the need for change in compelling ways. Disrupt habitual approaches by encouraging critical thinking, creativity, innovation, flexibility and responsiveness. Provide direction and support, and foster resilience and calm in contexts of stress, uncertainty and ambiguity. Encourage adaptation, experimentation and innovation.
	All Managers and Senior Leaders Be aware of and challenge own and others' habitual ways of thinking and behaving. Encourage and empower team members to think innovatively and creatively. Mobilize others to respond to changing priorities while seeking to understand and address fear and resistance to change. Keep oneself and others motivated during times of stress and uncertainty.
	All Staff, Managers and Senior Leaders Respond flexibly to new contexts and cultures and changing circumstances, priorities and deadlines. Demonstrate resilience, self-awareness and ability to manage own emotions in the face of stress, uncertainty and ambiguity. Experiment with new approaches and demonstrate openness to positive change. Contribute new ideas and welcome new ideas from others.

Annex 3-3 – WBG Core Competencies (WBG, 2019a) - Sample

Deliver Results for Clients***Includes client orientation and results orientation with a focus on accountability and creating an impact on the mission***

Effective WBG staff set high standards and challenging goals, and measure impact. They address the needs and challenges of internal and external clients, while also keeping the goal of “reducing poverty” and “increasing prosperity” as the ultimate objective. They hold themselves accountable and take personal ownership for identifying and managing risks and delivering evidence-based results that are financially, environmentally and socially sustainable and have development impact.

Behavioral indicators at each level build around: Achieving impactful results ☑ Client focus , Ownership/accountability**Level 1 (GA): Responds to client requests in a timely manner**

- ☑ Demonstrates positive attitude and responsiveness to client requests
- ☑ Has basic understanding of the role of the department and of the larger organization ☑ Is able to execute tasks and complete requests in a consistent and timely manner

Level 2 (GB): Proactively responds to and completes client requests

- ☑ Displays a positive and professional service-orientation in client interactions
- ☑ Demonstrates understanding of department’s key programs and/or products and how they are related to the larger organization
- ☑ Prioritizes requests and/or tasks according to priority and highest impact for clients

Level 3 (GC): Takes personal responsibility to make things better for the client

- ☑ Displays understanding of client context and environment and interacts with them tactfully and diplomatically
- ☑ Understands the department’s priorities and how they relate to those of the organization
- ☑ Demonstrates an independent sense of urgency and initiative; takes ownership for meeting agreed-upon deadlines for routine issues

Level 4 (GD): Takes full ownership to address client needs

- ☑ Demonstrates initiative, independence and autonomy in addressing client needs in changing business contexts and environments
- ☑ Has knowledge of department strategy, vision, and goals and can link them to those of the larger organization. Allocates and prioritizes resources according to areas of most urgent need and greatest impact for the client

Level 5 (GE): Contributes to delivery of results for clients on complex issues

- ☑ Sets challenging goals that align with the WBG mission and is always looking to improve
- ☑ Understands clients’ most pressing challenges and contributes to solutions
- ☑ Takes personal responsibility for producing high quality work, identifying and informing of risks, and delivering results for clients

Level 6 (GF): Proactively addresses clients’ stated and unstated needs

- ☑ Adds value by constantly looking for a better way to get more impactful results; sets challenging stretch goals for oneself
- ☑ Immerses oneself in client experiences and perspective by asking probing questions to understand unmet needs
- ☑ Demonstrates accountability for achieving results that have a development impact and financial, environmental and social sustainability. Identifies and proposes solutions to mitigate and manage risks.

Level 7 (GG): Achieves results and identifies mission-driven solutions for the client

- ☑ Develops and implements solutions that show understanding of how clients and/or own work achieves results that are financially, environmentally and socially sustainable
- ☑ Shares new insights based on in-depth understanding of the client and recommends solutions for current and future needs of clients

☑ Holds self and team accountable for risk management and outcomes.

Level 8 (GH): Acts as a trusted, strategic advisor, partnering with clients to deliver results

- ☑ Creates opportunities that are aligned with the mission to increase impact and leads initiatives to take advantage of these opportunities
- ☑ Proactively guides clients to see the possibilities in new approaches and solutions
- ☑ Takes full accountability for managing risk and ensuring outcomes consistent with WBG strategy

Level 9 (GI): Leads an organization that focuses on results for clients and impact rather than transactions or processes

- ☑ Develops and implements structures, processes and systems that track the empirical results achieved by the organization, and drives performance to the highest level
- ☑ Motivates the organization to make decisions that create impact for clients, and to remove organizational obstacles to delivering results
- ☑ Inspires the culture and creates norms and processes to hold self and others in the organization accountable for managing risk and delivering results that are financially, environmentally, and socially sustainable

Level 10 (GJ): Creates an enterprise and a culture that focuses on results for clients and impact rather than transactions or processes

- ☑ Creates a culture and implements structures, processes and systems that track the empirical results achieved by the organization, and drives performance to the highest level
- ☑ Motivates everyone in the organization to make decisions that create impact for clients, and to remove organizational obstacles to delivering results
- ☑ Inspires the culture and creates norms and processes to hold self and others in the organization accountable for managing risk and delivering results that are financially, environmentally, and socially sustainable

Level 11 (GK): Creates an enterprise and a culture that focuses on results for clients and impact rather than transactions or processes

- ☑ Creates a culture and implements structures, processes and systems that track the empirical results achieved by the organization, and drives performance to the highest level
- ☑ Motivates everyone in the organization to make decisions that create impact for clients, and to remove organizational obstacles to delivering results
- ☑ Inspires the culture and creates norms and processes to hold self and others in the organization accountable for managing risk and delivering results that are financially, environmentally, and socially sustainable.

Collaborate Within Teams and Across Boundaries

Includes teamwork and collaboration as well as inclusion and a commitment to One WBG

Effective WBG staff collaborate and work with others across and outside of the World Bank Group in order to achieve the best results for clients. They cultivate and leverage their professional networks to this end. They are inclusive in gathering options and information, and align their behavior and priorities with the needs and goals of WBG. They maintain a WBG corporate mindset above an individual or team perspective and are proactive in mitigating and managing conflicts.

Behavioral indicators at each level build around: Collaboration and Teamwork, Inclusion, WBG corporate citizenship

Level 1 (GA): Acts cooperatively

Level 2 (GB): Contributes collaboratively to one's own team

Level 3 (GC): Initiates collaboration beyond the team

Level 4 (GD): Contributes to wider collaborative efforts

Level 5 (GE): Collaborates within team and across boundaries

Level 6 (GF): Collaborates across boundaries, gives own perspective and willingly receives diverse perspectives

Level 7 (GG): Initiates collaboration across boundaries and broadly across WBG, and brings differing ideas into the forefront

Level 8 (GH): Leads collaboration across WBG and with partners drawing on robust professional networks

Level 9 (GI) Takes accountability for collaboration at all levels of the WBG and with external partners

Level 10 (GJ): Creates an enterprise and culture that drives collaboration at all levels of the WBG and with external partners

Level 11 (GK): Creates an enterprise and culture that drives collaboration at all levels of the WBG and with external partners

Lead and Innovate

Includes concepts of personal leadership, initiative, innovation, and adaptability

Effective WBG staff demonstrate personal leadership and commitment to the WBG's values and mission. They take initiative, and are persistent in their drive for results. They seek opportunities to improve and find innovative solutions, where appropriate, to problems. They inspire and encourage others to have a positive attitude and impact, are able to adapt to changing circumstances, and are willing to be bold to increase the Bank's Group's effectiveness.

Create, Apply and Share Knowledge

Includes the development and sharing of knowledge, as well as networking, mentoring others, and developing self and others to create a greater contribution to achieving WBG goals

Effective WBG staff understand the value of creating, applying, and sharing knowledge. Staff, rapidly and readily share their expertise; create and contribute to the WBG's body of knowledge and efficiently reflect and draw on lessons of past experience from colleagues, clients, partners and external sources to drive the WBG to achieve its goals. They expand their professional networks in their areas of expertise by forging linkages with others. They energize others to create, apply and share knowledge and learn from each other. They also seek opportunities to grow personal and institutional knowledge and invest in the growth of others through mentoring, as well as developing themselves and others through feedback and continuous learning.

Make Smart Decisions

Includes analytical thinking, judgment, risk taking, and focus on empirical data, but also the ability to make decisions and take action

Effective WBG staff balance the need for risk management with a sense of urgency by making quick, timely, and relevant decisions. They display the confidence to take smart risks and make timely and effective decisions and show confidence in own judgment and actions. They are good problem solvers, collect evidence, lessons from past experience, and research to support their actions, and are willing to make decisions and take smart risks that advance the goals of WBG. They take ownership for decisions they make, and ensure issues are pushed to the right level for decision-making when needed. Senior leaders drive alignment, and ensure information is shared to make realistic, sound decisions and recommendations. Trust and support is given to decision makers, regardless of level, with the assumption that the right decisions will be made.

Annex 3-4 – WBG - MANAGERIAL COMPETENCIES (WBG, 2019b)**Courage of your Convictions**

Outstanding WBG managers demonstrate the confidence in their convictions and the integrity to express themselves to peers and superiors even if it is easier or more comfortable to refrain from speaking up. They have the confidence, balanced with humility and judgment, to operate with the intent of doing what is right for the WBG and its clients.

Leading the Team for Impact

Outstanding WBG managers focus on the WBG purpose and mission in order to provide on-going clarity and vision to their teams. They align capabilities and resources around the WBG mission. They create an energizing and empowering work environment where people are engaged and have the resources necessary to do their jobs, while holding team members accountable for results and improvement.

Influencing Across Boundaries

Outstanding WBG managers persuade, convince and create buy-in for ideas and initiatives in order to advance their own goals and strategies, consistent with the WBG mission and vision.

Fostering Openness to New Ideas

Outstanding WBG managers create open and innovative climates for the people around them. They are transparent, open to divergent views and encouraging of these attributes in others. They promote broad thinking and frank discussion, welcoming others' input into the decision-making process, and they build on others' ideas.

Building Talent for the Future

Outstanding WBG managers build people's capabilities for the future by supporting and leveraging the diversity of staff in terms of their race, gender, nationality, and culture, educational and professional backgrounds. They create growth opportunities for others, encouraging them to stretch beyond their current experience or comfort zone. They provide ongoing feedback and development, including long term career development and mentoring, as well as hold their team members accountable for developing others.

Annex 3-5 – UNDP Core Behavioural Competencies (UNDP, 2021b)

The core competencies capture the attitudes and behaviours expected of every individual working in the organisation. They help answer the question about the kind of people UNDP wants and needs to have among its workforce to be able to fulfil its mission. There are seven competencies that are relevant to everyone at UNDP, though the expectations **vary for each level**. The framework contains **generic** competencies which span all teams and roles; role-specific, technical abilities are captured in job descriptions. The relative importance of certain competencies will vary by role and some will become more important, at times, than others.

Behind each competency, there is a generic definition, independent of your job or your accountabilities to ensure we all share the same understanding. In other words, the baseline is the same but you will see differences by job level. The table below outlines the seven core competencies and their definitions.

	Competency	Definition
1	Achieve Results	<ul style="list-style-type: none"> • Demonstrate focus on achieving quality results and impact • Consistently strive to meet or exceed excellence standards • Hold self and others accountable for results • Efficiently establish appropriate plans and resources for self and others to accomplish goals
2	Think Innovatively	<ul style="list-style-type: none"> • Look beyond conventional approaches and established methods • Propose new ideas, approaches and solutions to problems • Seek patterns and clarity outside boxes and categories while resisting false certainty and simplistic binary choice
3	Learn Continuously	<ul style="list-style-type: none"> • Actively pursue opportunities for learning and self-development professionally and personally • Keep abreast of new developments in one's professional area • Proactively seek feedback, demonstrates a desire to learn from others as well as from experiences, both positive and negative • Contribute to the learning of others
4	Adapt with Agility	<ul style="list-style-type: none"> • Be flexible in handling change, and adopt new ideas, approaches and ways of working • Seamlessly adapt to working within new situations or contexts, with new people, and in different ways • Participate in, support, contribute to or drive meaningful change in UNDP • Be comfortable with ambiguity and effectively managing multiple demands
5	Act with Determination	<ul style="list-style-type: none"> • Pursue everything with motivation and drive • Not give up in the face of adversity and setbacks; demonstrate resilience and composure • Demonstrate courage, self-motivation and initiative to act on opportunities without being prompted by others • Be authentic and modest, get things done without unnecessary noise
6	Engage and Partner	<ul style="list-style-type: none"> • Act in a way that demonstrates empathy and emotional intelligence, showing consideration for the needs and feelings of others • Demonstrate and encourage teamwork and co-creation internally and externally to achieve joint objectives and results • Establish and develop networks that deliver powerful collaborations • Encourage and respect the views of others; accept views and ideas other than one's own
7	Enable Diversity and Inclusion	<ul style="list-style-type: none"> • Treat all individuals with respect, consider ethical implications and respond sensitively to all differences among people • Fully accept and value all people, creating an inclusive environment • Understand that inclusion is multi-faceted (e.g. race, gender, age, disability, culture, etc.) • Understand and appreciate issues from the perspective of others • Treat everyone fairly and equally • Demonstrate honesty and transparency

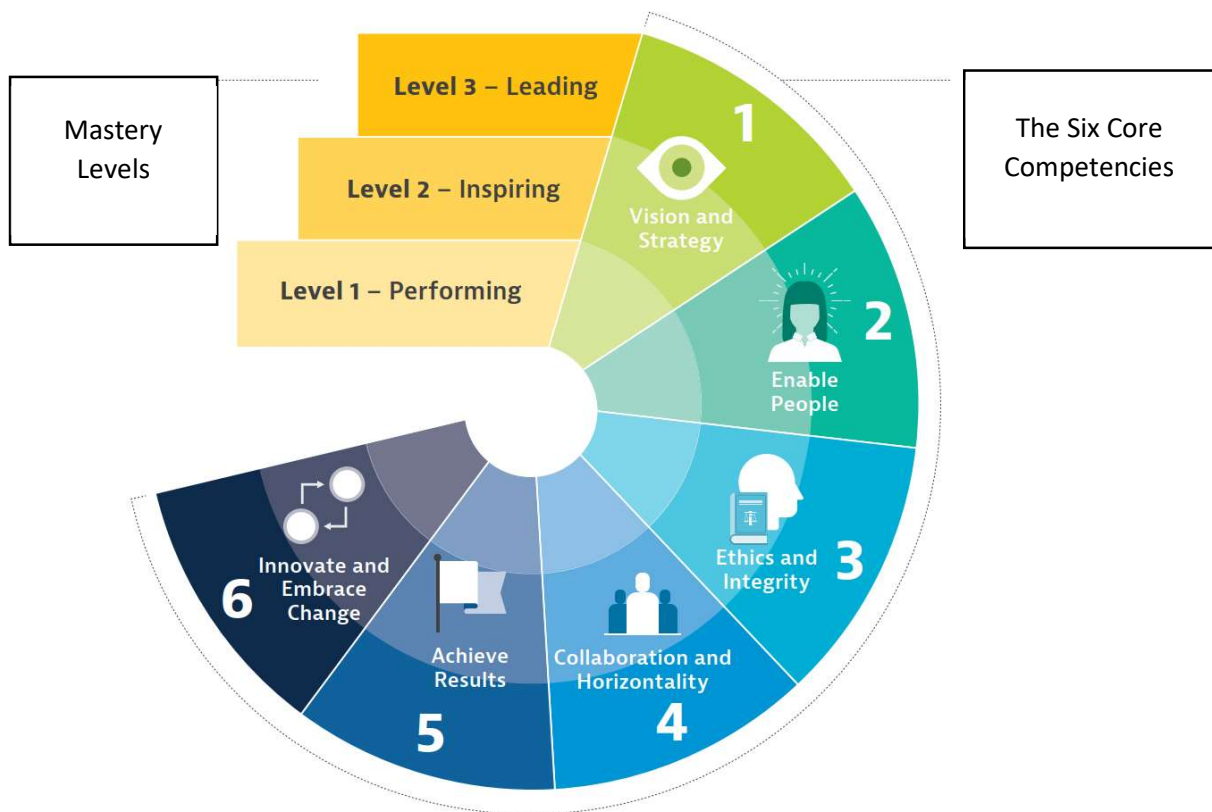
Annex 3-6 – UNDP People Management Competencies (UNDP, 2021c)

UNDP leaders and managers play a critical role in the success of UNDP, and in building an inclusive and enabling culture. In recognition of the fact that many leadership competencies can and should be demonstrated by all personnel rather than only those in formal leadership/management roles, several such competencies are reflected in the core behavioural framework.

Some competencies expected of UNDP leaders/managers are also captured in the key cross-functional competencies. In addition to these, UNDP leaders/managers should demonstrate additional competencies largely related to managing others. The table below outlines the seven people management competencies and their definitions.

	Competency	Definition
1	Show Managerial Courage	<ul style="list-style-type: none"> •Face up to organizational and people problems •Not be afraid to take decision and action when and as needed •Not hold back anything that needs to be said, respectfully and diplomatically •Address conflict in a timely manner, not allow conflicts in teams linger •Help others through emotional or tense situations, tactfully bringing disagreements into the open and finding solutions all can endorse
2	Demonstrate Empathy and Emotional Intelligence	<ul style="list-style-type: none"> •Genuinely care about people; demonstrate empathy with joys and pains of others •Enable the wellbeing of the team(s) •Read a group's emotional currents and power relationships, identifying influencers, networks, and organizational dynamics; adapt leadership styles at the appropriate times •See the positive in people, situations, and events
3	Motivate and Direct	<ul style="list-style-type: none"> •Create and communicate a compelling vision and purpose •Align people and resources with organizational vision, strategy, objectives •Understand and proactively builds the team/organization culture
4	Build an Enabling Workplace	<ul style="list-style-type: none"> •Create a working environment where people are engaged and want to do their best; empower and enables team members to perform and have a positive workplace experience •Promote honesty, openness, trust and psychological safety and create opportunities to innovate and learn •Recruit and promotes individuals based upon objective measures and meritocracy; acknowledge and utilise the talent of others Encourage collective action and integration
5	Build Capability	<ul style="list-style-type: none"> •Identify and develop talent in individuals, providing positive support to enable them to achieve their potential •Foster learning or development of others by giving feedback, guidance, and support; support career development of others •Have willingness and ability to delegate to help people learn, including from failure
6	Manage Performance and Ensure Accountability	<ul style="list-style-type: none"> •Ensure regular conversations with people about work •Provide positive and constructive feedback •Discuss poor performance in a timely manner •Provide praise and recognition, as well as ensure accountability
7	Lead with Humility	<ul style="list-style-type: none"> •Be authentic and transparent, act with integrity •Be accessible and available to team members they lead •Encourages debate and discussion, creating a culture where people are comfortable to challenge senior leaders and feel listened too •Be modest, giving credit for success to others and admit own shortcomings

Annex 3-7 – OECD Core Competency Framework (OECD, 2023)



Mastery Levels

There are three levels of mastery to each competency. The levels are aligned to a job role and grade and are based on expertise and experience.

Level 1 – Performing

- Confidently and independently applies behaviours.
- Is accountable for individual performance and contribution to team.
- Delivers and contributes to business processes and projects.
- May require supervision for performing tasks they are unfamiliar with.

Level 2 – Inspiring

- Motivates, models and influences behaviours.
- Has a positive impact on and inspires others to perform.
- Delivers and runs business processes.
- Provides guidance and advice.

Level 3 – Leading

- Demonstrates excellence and champions and models behaviours.
- Enables behaviours to be displayed.
- Is accountable for decisions.
- Leads and innovates.
- Operates at a strategic level.
- Drives business opportunities.
- Builds partnerships.
- Thinks independently and works with minimal supervision.

Core Competencies

Vision and Strategy

<p>1. Vision and Strategy is developing a broad, big-picture view of the Organisation, our place in the world and our mission as defined by our Members. It involves looking ahead and thinking about future possibilities while embracing trends, taking part in building a shared Organisational vision and making effective decisions that keep us at the forefront of our expertise.</p>	
<p>Level 1- Performing</p>	<ul style="list-style-type: none"> • I understand team objectives and how they align with the OECD's mission. I consider the impact that my actions have on delivering Work successfully. • I recognise trends such as new technologies and new ways of working that have an impact and discuss them pro-actively. • I use evidence and data when forming decisions and ask for advice in unfamiliar situations
<p>Level 2- Inspiring</p>	<ul style="list-style-type: none"> • I understand the importance of global strategy to the OECD and identify efforts and actions that have the greatest strategic impact. • I identify and consider emerging opportunities, the requirements of different stakeholders, as well as risks and help others to understand them. • I consider various contributions, data and strategy to determine the best course of action and hold people to account for decision making that complies with policies and standards.
<p>Level 3- Leading</p>	<ul style="list-style-type: none"> • I leverage global context and the position of the OECD to design and implement strategies, ensuring alignment of priorities and efforts. • I have thorough knowledge of the requirements of stakeholders and anticipate trends that impact strategy to build a shared vision with others. • I take challenging decisions and consider difficult trade-offs, balancing analysis with decisiveness. I am accountable for the decisions I take.

Enable People

<p>2. To Enable People is to foster an environment that encourages growth by identifying the strengths of others, recognising areas for development, and proactively supporting and facilitating development. It involves building an open and energising environment where people from diverse backgrounds are motivated to give their best and where people can participate in creating an environment that supports and helps others to perform successfully.</p>	
<p>Level 1- Performing</p>	<ul style="list-style-type: none"> • I take opportunities to learn and improve my performance and support others in doing so. • I embrace diverse and alternative perspectives and participate in creating an environment where everyone is treated fairly. • I identify and communicate areas of improvement or barriers that prevent myself and colleagues from being efficient such as technology, communication or process improvement.
<p>Level 2- Inspiring</p>	<ul style="list-style-type: none"> • I take an active role and promote learning and development opportunities for myself and others. • I give and accept constructive feedback regarding strengths and areas of development to help myself and others grow. • I ensure different perspectives are considered, help others to see why their work matters and celebrate individual and team successes. • I create conditions which enable myself and others to perform at their best at work and remove barriers that prevent them from doing so.
<p>Level 3- Leading</p>	<ul style="list-style-type: none"> • I champion the sharing of expertise and promote learning opportunities. • I create and promote a learning culture and mentor and coach talent as well as identifying areas for my own improvement. • I champion the inclusion of all, generate confidence, enthusiasm and commitment around a compelling vision. • I openly recognise the strong performance of others and their contributions. • I create a talent strategy to identify and address needs and develop approaches to make sure that everyone can perform at their best.

Ethics and Integrity

<p>3. Ethics and Integrity is embracing and respecting the ethical framework outlined in the <i>Staff Regulations</i> and <i>Code of Conduct</i> while valuing and celebrating differences and contributing to a diverse and inclusive culture. It is fostering a respectful, trusting and honest working environment and encouraging the expression of diverse opinions and perspectives.</p>	
Level 1- Performing	<ul style="list-style-type: none"> • I understand the OECD's values and ethics framework and ensure that my behaviour is aligned with them. • I challenge unethical and unprofessional behaviours while encouraging behaviours that are aligned with the OECD's values. • I value the contributions of people with different backgrounds and cultures. • I seek out the views of others and appreciate and respect diverse perspectives. • I treat others fairly and with respect and do not use stereotypes.
Level 2- Inspiring	<ul style="list-style-type: none"> • I respect and promote OECD's values and ethics framework and ensure staff and colleagues adhere to them. • I adapt my approach to include and integrate colleagues of different cultures and encourage others to bring different perspectives. • I challenge disrespectful or stereotyping comments and other forms of unethical behaviour and implement practices to advance a respectful and ethical Organisation free from harassment and discrimination. • I create an environment that is protective of colleagues so that colleagues can speak up without fear.
Level 3- Leading	<ul style="list-style-type: none"> • I uphold and champion OECD values and ethics framework as a fundamental part of management and implementing strategy, ensuring staff are aligned with these values. • I create and champion a culture of inclusion and ensure that everyone is treated equally and is valued regardless of differences. • I am accountable for shaping a culture that openly embraces differences with respect, ethics and integrity, and which effectively and without delay addresses situations of unethical behaviour.

Collaboration and Horizontality

<p>4. Collaboration and Horizontality is developing team spirit and recognising the value of building and operating within strategic networks when working across Organisational and institutional boundaries to accomplish shared goals. It is breaking down silos, sharing information and knowledge openly and proactively while communicating with tact, diplomacy, respect and cross-cultural sensitivity.</p>	
Level 1- Performing	<ul style="list-style-type: none"> • I proactively build working relationships with colleagues from my own and other teams to enable progress. • I enable co-operation across teams by removing and overcoming barriers, proactively sharing knowledge and ensuring an effective flow of information and expertise. • I listen actively, consider the concerns of others, adjust my behaviour and respond openly and with tact.
Level 2- Inspiring	<ul style="list-style-type: none"> • I build and maintain strategic relationships and networks both internally and externally to the OECD. • I create and develop opportunities to initiate connections between teams that facilitate achieving common goals. • I tailor my communication style to my audience and identify and respond to underlying attitudes or behaviours such as cultural norms and personality differences.
Level 3- Leading	<ul style="list-style-type: none"> • I build coalitions and networks and exercise influence with stakeholders to create wide ranging opportunities inside and outside of my direct area of responsibility. • I foster conditions for effective co-operation, promote and encourage the exchange of knowledge and expertise and act as a role model in difficult and charged situations. • I understand my audience and make my case tactfully and with sensitivity. I explore creative solutions with others to foster common ground.

Achieve Results

<p>5. To Achieve Results is to take responsibility for delivering quality outputs, services and results at pace, accompanied by a duty of excellence. It involves managing all resources in line with the Organisation's vision, be it human, financial or other resources, efficiently and effectively with a solution-oriented mindset. Effectively managing expectations according to time and resources available as well as understanding the needs and concerns of Members and key internal and external stakeholders is critical.</p>	
Level 1- Performing	<ul style="list-style-type: none"> • I am enthusiastic about delivering high quality work and achieving results. • I take responsibility for meeting goals and expectations. • I plan, co-ordinate and manage my work and resources to accomplish tasks within given deadlines. • I respond to the needs of key stakeholders in a timely, professional, helpful and courteous manner.
Level 2- Inspiring	<ul style="list-style-type: none"> • I push myself and others to exceed results, helping others to thrive in the face of significant obstacles, providing help and encouragement. • I effectively allocate and control resources and optimise workflows to improve quality and service. • I look for ways to add value beyond immediate requests and encourage others to work towards meeting requirements and ensuring the satisfaction of stakeholders.
Level 3- Leading	<ul style="list-style-type: none"> • I create and nurture a culture of high performance and excellence and translate opportunities into concrete actions. I inspire and enable people to achieve results. • I am responsible for the usage of my resources and I prioritise and reorganise them in the most efficient and effective way to increase capacity to respond to demand. • I inspire and create an environment that systematically seeks to act in the best interest of stakeholders. • I determine strategic direction and long-term opportunities to best meet the evolving needs of stakeholders.

Innovate and Embrace Change

<p>6. Innovate and Embrace Change is demonstrating flexibility, creativity, imagination and inspiration in order to adapt to continuously evolving and shifting needs. It is driving innovation by encouraging new approaches and concepts for identifying better solutions to current and future problems while effectively adapting to a variety of situations, individuals or groups, and providing continuous improvements to existing methods.</p>	
Level 1- Performing	<ul style="list-style-type: none"> • I am open to change and readily adopt new approaches such as new technologies or improved processes. • I demonstrate curiosity and ask questions about current and new approaches or methods and suggest new ideas. • I demonstrate a positive attitude and I consider alternative solutions to get results.
Level 2- Inspiring	<ul style="list-style-type: none"> • I act as a role model by demonstrating a positive attitude towards change even in situations of personal insecurity. • I see old problems in new ways to find creative and innovative solutions and I encourage others to question existing approaches. • I see when change is needed and proactively encourage others to do the same by seeing things differently and seeking new solutions to problems.
Level 3- Leading	<ul style="list-style-type: none"> • I lead changes that impact the OECD and inspire others to participate in the change journey. • I foster a culture of innovation, enable a healthy risk tolerance and act as a sponsor to turn innovative ideas into actions. • I am willing to take calculated risks to increase satisfaction for key stakeholders and to better the Organisation and I am accountable for the decisions I take in this regard.

OECD- Examples of generic ineffective behaviours

Level 1- Performing	<ul style="list-style-type: none"> • Struggles to engage respectfully; does not share the OECD's values; does not react to situations where unethical behaviours are observed in others. • Withholds information; delays taking action; does not ask for support. • Misses opportunities to develop; dismisses others; does not comply with established rules. • Misses chances to learn from people with different backgrounds. • Does not build productive relationships; focuses only on own successes; makes limited efforts to assist others; acts without thinking about consequences on others or on objectives. • Gives limited effort to meet goals; focusses on problems rather than solutions; allows obstacles to persist without trying to resolve them. • Relies only on conventional ideas; does not take initiative.
Level 2- Inspiring	<ul style="list-style-type: none"> • Spends little time thinking strategically; is uncertain where to focus efforts to have the greatest strategic impact; does not pre-empt risks or challenges; finds it difficult to make informed decisions. • Rarely celebrates successes of others; encourages an atmosphere where issues are not openly addressed; does not prioritise enablement. • Does not understand the value of diversity; does not challenge offensive comments; discourages constructive criticism; does not support speak-up culture; behaviours misaligned with OECD values. • Works mostly in isolation; quickly dismisses the views of others; struggles to handle objections tactfully; does not facilitate open communication. • Does not prioritise continuous improvement; accepts poor outcomes or unproductive behaviours; allows others to give up easily. • Shows limited adaptability; struggles to model flexible behaviours; misses opportunities to encourage others to challenge existing approaches and learn from mistakes; misses opportunities to push others to take actions and share ideas or initiatives.
Level 3- Leading	<ul style="list-style-type: none"> • Considers only own areas of work when setting priorities; does not take consideration of long-term opportunities; rarely revises strategy to capture emerging opportunities; fails to integrate the perspectives of others that can have an impact on strategy; does not assume responsibility and avoids taking tough decisions that support long-term strategy. • Makes insufficient effort to foster a learning environment; does not seek feedback; does not create a sense of purpose or positive environment to stimulate collaboration; does not encourage others to proactively act to remove barriers. • Does not value a diverse workforce or inclusive workplace and prevents an open corporate culture; fails to promote and value the highest ethical and professional standards; does not recognise the importance of the OECD's values or promote them when managing and engaging with team and others; prevaricates and is otherwise ineffective in addressing situations of inappropriate behaviour. • Does not champion cross-team initiatives, promote networking or recognise the value of this; does not demonstrate value of collaboration or take actions aligned to a collaborative culture; fails to prioritise or develop effective communication skills and diplomatic sensitivity as a key behaviour. • Places limited emphasis on achieving results; is too theoretical or fails to communicate expectations of own and organisational outcomes; seldom challenges others to identify inefficiencies and eliminate poor use of resources; provides limited or insufficient resources and support to meet current or evolving needs. • Does not lead or help others stay composed in stressful situations; makes little effort to promote cross fertilisation of ideas; fails to address challenges and misses opportunities to encourage others to see positive outcomes of doing things differently; resists taking on challenges; makes little effort to encourage ideation, experimentation and avoids all forms of entrepreneurship and risk.

Annex 3-8-FCDO- DFID (DFID, 2021)

Competences	Assessment Indicators				
Managing the programme cycle	Design projects, deliver Business Cases	Plan, control, deliver & close	Apply judgement to solve delivery problems		
Managing Risk & Issues	Understand and apply DFID's risk management framework	Map, assess and respond to risk in a project, and its delivery chain	Undertake Due Diligence, track identified risks and review implementing partner at key stages in programme	Define and operate within project risk appetite, and promote risk culture across team	
Financial Management	Understand, apply and drive compliance with financial management Smart Rules	Apply financial management control tools and follow the money	Work with financial information to manage budgets effectively and set realistic forecasts	Understand financial concepts and tools to drive VFM and rigour at project/programme/ portfolio level	
Commercial Acumen	Understand, apply and drive compliance with commercial smart rules	Understand, apply and drive commercial judgement to project design	Understand and apply commercial judgement to project mobilisation phase	Understand and apply commercial judgement to project delivery and closure phases	Understand and apply commercial judgement to delivery partner/supplier relationship management.
Monitor, Learn and Adapt	Identify the data and evidence needs for a project	Use appropriate tools to monitor and evaluate project performance Design and apply learning approaches into the project cycle		Use learning and evidence on performance to adapt programmes as necessary	Summarise learning from a programme in ways that can be used by others
Engage Others	Identify and assess impact of political and institutional issues		Engages different stakeholders with different interests		Communicate complex messages
Programme Leadership	Ability to lead others		Ability to drive results		Ability to manage self and others

Annex 3-9-Author's grouping of the FCDO Smart Rules' ten principles and their focus (DFID, 2020, p. 9)

	Principles	Main focus
1	Professional	Building resilience and avoiding harm; Maximum impact and value for Taxpayers' money.
2	Transparent	What, why and how things are done and at what cost.
3	Innovative	Doing things differently, learn lessons, use creative and original ways.
4	Ambitious	Propose transnational programmes in high-risk environments.
5	Context-Specific	Listen to understand the local environment and deliver suitable instruments and influence the political context.
6	Evidence-Based	Learn from evidence, experience and mistakes and change course when understanding of the context changes.
7	Responsible and Accountable	Commitment and responsibility to deliver results includes clear understanding of roles of all concerned.
8	Proportionate and Balanced	Sense of judgment support reasoned evidence- and risk-based proposals appropriate to the situation and in line the available information and sense of urgency.
9	Collaborative	Work, learn and partner with the team and globally to deliver results.
10	Honest	Proactively escalate concerns and eliminate surprises.

Annex 3-10 -USAID Core Skills (USAID, 2018c).

Core Skills	Definition	Subskills
Leadership	Assesses the environment, including the local and international context, and draws upon headquarters, staff, and local stakeholder input to establish direction and vision for the Operating Unit. Builds consensus and partnerships to implement the vision. Motivates and empowers staff by establishing clear goals, demonstrating enthusiasm and commitment, appropriately delegating decision making, and encouraging innovation and adaptation, when appropriate, to achieve the mission.	<ul style="list-style-type: none"> • Building Consensus & Partnerships • Contextual Awareness & Political Astuteness • Motivation & Empowerment • Vision
Results and Impact Focused	Maximizes performance and production of results and contributes to long-term impacts with assigned resources. Understands and applies Agency policies and regulations in managing resources and displays acumen in using USAID business systems, adapting programs and processes when appropriate. Combines substantive knowledge of backstop, local and international context, and understanding of Agency vision/objectives/norms/business processes to manage and implement the Agency's portfolio and operations, solve problems, take smart risks, meet customer needs and achieve sustained results. Stays abreast of U.S. foreign policy interests and developments in the discipline and applies that new knowledge in USAID operations and programming as appropriate.	<ul style="list-style-type: none"> • Accountability for Results • Problem Solving • Taking & Managing Risks • Technical & Substantive Expertise
Professionalism	Conducts self and accomplishes work in a manner that is consistent with the highest ethical standards and USAID values, including respect for different points of view and cultures. Readily contributes to team efforts, clearly communicates ideas, actively listens and supports others, accepts feedback, and facilitates a productive working environment with colleagues where conflicts are addressed quickly. Maintains openness to new information and effectively adjusts to challenges or shifts in priorities.	<ul style="list-style-type: none"> • Adaptability & Flexibility • Communication • Cross-Cultural Competence • Interpersonal Skills • Teamwork
Talent Management	Mentors, coaches, engages, and guides staff to perform at their highest level and to assume increasing responsibility in the organization. Seeks and provides constructive feedback. Takes responsibility for professional development of self and others. Ensures that staff is appropriately utilized, appraised, and rewarded. Creates a productive and supportive environment where conflicts are addressed quickly and personnel problems are resolved in a fair and transparent manner. Ensures that staffing is in line with program/Mission size and complexity and deployed to support most critical work. Fosters equal employment opportunity and a respectful work environment free of discrimination and promotes a diverse and inclusive workplace in which the contributions of all employees are valued.	<ul style="list-style-type: none"> • Supports EEO, Diversity, and Inclusion • Professional Development • Supervision and Human Resource Management (supervisors only)

Annex 3-11-Core Adaptive Competencies & Level of Understanding (Teskey & Tyrrel, 2021, pp. 63-64)

Competency Area	What this entails?
(i) Leading from behind (locally led)	<ul style="list-style-type: none"> • Understanding the causes of issues affecting delivery, not just symptoms • Focusing on strengths (desires, hopes) that people have – not ‘deficits’ • Facilitating local actors to lead issue definition and program design • Identifying leaders and coalitions and empowering them to own and lead change, using both process skills and material support (e.g. TA) • Building long-term relationships with key local actors to help them sustain change and bring others along with them • Tools for locally led issue identification
(ii) Thinking Politically	<ul style="list-style-type: none"> • Understanding of the incentives, institutions and interests which influence program delivery at the sub-national level, including drivers of exclusion (especially gendered drivers) • An understanding of the role of leadership, women’s leadership, and agency in change • Tools of analysis, including political economy analysis
(iii) Navigating by Judgement (reflecting, learning, and acting / experimenting)	<ul style="list-style-type: none"> • Ability to take stock, contest, and triangulate information • Ability to be self-reflective and encourage others to do so • Ability to apply sound judgement in the face of uncertainty • Understanding of how to systematically test ideas through programming • Willingness to be honest about and learn from failure • Tools of adaptation, including strategy testing
(iv) Collaboration	<ul style="list-style-type: none"> • Able to identify where other parts of the health system/ other people and networks, organisation (esp. From GESI perspective) need to help local reformers sustain change; and helping get their buy in • Able to work productively across different parts of the program to achieve a common goal

Adaptive Management - Level of understanding	
Awareness	Can demonstrate basic awareness and appreciation of core AM capabilities – in order to identify how these ideas relate to their work area, and know when and how to seek expert advice or commission expertise to advice on program strategy, design, implementation or review or internal operating processes (e.g. budgeting)
Skilled professional	Has proven experience in applying some or all of the above capabilities in AM. Knows how to support local actors (considering GESI groups) to identify issues and help them think through and adapt how they will respond. Has the local networks, relationships, and skills necessary to undertake AM
Expert	<p>Has a track record of performance and delivery on AM thinking and programming and is recognised for these technical skills. People at this level should be able to harness this authority and apply a comprehensive understanding of AM concepts and issues in order to:</p> <ul style="list-style-type: none"> • Interact with, build capacity of and influence stakeholders on issues relating to governance and development policy • Lead or provide expert advice on program strategy, design, implementation, review, and learning processes (including the production of learning products, and considering GESI) • Mentor or build staff capacity (women and men)

Annex 4-1- Interview Guide

Detailed Plan

Invitation:

- 1- Finalize the participants' list with contact numbers, category, sequence and codes,
- 2- Make first individual contact from personal email to advise that they will receive an email from a different address,
- 3- Send Cover email and PIS,
- 4- Update the participants' list,
- 5- Send reminder for no-replies after one week, and follow-up,
- 6- Send a thank you email for those who are not available (or willing),
- 7- Send the Consent form to those who expressed interest,
- 8- Follow-up to get the signed form,
- 9- Fix the Interview date,
- 10- One week before the interview, contact the participant and inform him/her on the structure of the interview (to remember success stories)

Interviews:

- 1- One day before the interview:
 - Read the interview guide and the notes,
 - Print the Interview Note form to make notes to refer to during the interview to avoid interruptions,
 - Highlight important bullets,
 - Charge and test the recorder,
- 2- During the interview:
 - At the start, test the recorder and keep it on,
 - Follow the interview guide from memory, if needed refer to the highlights,
 - Note any follow-up question,
- 3- Before concluding the interview:
 - Take a quick glance over the highlighted bullets and follow-up notes taken during the interview,
 - Ask the participant if he/she has any questions and provide any clarifications needed,
 - Thank the participant,
 - Add end time,
 - Turn the recorder off

Annex 4-2- Interview Structure

Welcome and Thank you for sparing the time to take part of my project,
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To cover:

Purpose of the interview, why the participant has been chosen, expected duration of the interview , format of the interview, terms of confidentiality: files and access, clarify any questions/ concerns the participants may have, and Warm up question [detailed below]

Statements/ Questions:How:

By listening to **success stories** from the implementers: **Donors** and **Recipients**, related to accomplishments reached through contributions from both partners;
 These success stories will highlight a set of **competencies** that existed while these accomplishments were **jointly** reached.

YOU:

You have been directly involved in implementing projects, and your experience is certainly valuable. You certainly have had many success stories, and I would like to hear some of them.

Format & Time:

I will need **one hour** of your time, but if you have time to tell me more, I am certainly available and grateful in all cases.

It is again a good time to confirm that:

- I will be **recording** the interview to make sure I capture accurately all the information you are providing me with
 - No one except me will have **access** to any file related to you or our meeting, all documents will be stores on university OneDrive and not on the laptop
 - Your name or any contact or professional or personal details will not be mentioned in any document except my list that remains with me. A **code** will be assigned to you, and I will be the only one who knows the coding system
 - Should you change your mind or decide to **withdraw**, you can do this before [insert date: Max 2 weeks after interview date]
- Please let me know if you still have any **other concern** or inquiries. If not we can start the interview.

Warm up question:

How many Years you have been working in the sector?

How many projects you have taken part in implementing?

Success stories?

Can you tell me about a situation when you felt that your joint cooperation with an implementing partner contributed to the right policy decision?

Probing questions to include:

The objectives they were aiming to achieve; The steps they took towards their objective; The contribution of each party/ partner; Challenges they faced and managed to overcome; How they felt when faced with a particular challenge; The used criteria to classify the incident/ project as being successful; Detailed description (what do you mean? How did you/they react? Etc)

Annex 4-3- Participant Information Sheet

Name of school: BUSINESS School
Title of study: Knowledge for Development: Competencies to Co-create and Communicate Knowledge
Student Name: Amal Chammas

Research Aim:

My research aims to identify the set of required competencies including skills, knowledge and behaviours for the implementers (donors and recipients) of technical assistance/capacity building projects. The emphasis will remain on the aspects that ensure the *Co-creation and Communication of Informative Knowledge* that is contextual and crucial to prioritize needs and co-manage interventions.

It is my experience in this field that triggered this interest and led me to believe that improved policies at both the donors and recipients' ends is possible when co-created knowledge stemming *from the field* is available. *Pre-requisites* for project success are best known and co-formulated by the implementers who are working to achieve project's objectives.

The exchange of information of best practices and applicability in a specific context; co-customizing appropriate solutions where enablers are clearly co-identified; and co-formulating the specific pre-requisites require specific skills, knowledge and behaviours. The research will focus on Lebanon and Kurdistan which is facing similar challenges, and in particular projects that concern water.

Interviews:

The first phase of the research will be to investigate with professionals who are (or have been) directly involved with implementing projects at different levels and from both ends (donors and recipients). This data collection will be done through interviews that can be scheduled to take place either in person or via Skype depending on participants' location.

Voluntary Participation:

I am approaching you to request your participation in the first phase: the interviews. Your acceptance to participate means that you need to spare time (up to 1 hour) which I am aware is scarce to you. Your participation is totally voluntary and I would certainly understand if for any reason you decide not to discuss the particulars of your current and past experience, or if you are unable to spare the time for this first stage. So please feel free to take any decision you are comfortable with but just let me know so that I avoid sending you reminders and take more of your time.

Recording:

In order to ensure I get an accurate record of what you say, I would very much like to audio record the interview.

Data Protection and Access:

All the tapes will be immediately encrypted and safely handled and stored to make sure that I am the only one who can access their content.

Confidentiality:

All files containing any information you provide, which will later be in the form of transcripts, will be coded (with no reference to your name or any of your personal information) and also encrypted and safely stored in compliance with University regulations. Again all files will only be accessed by me and will not be shared.

No published findings will contain any name or position or any indication that can be linked to you or any of the other participants. Confidentiality will be a top priority.

Consent:

Should you find yourself interested and able to participate, I am attaching the consent form which is in line with the Research Ethics that you need to sign. If for any reason you change your mind and decide to withdraw at any time before **[Fix Date]**, a simple brief email will suffice and all the files that are related to your participation (e.g. signed consent, or tape) will be immediately destroyed.

Researcher, Supervisor and Business School contact details

Annex 4-4- Consent Form

Name of school: BUSINESS School
Title of study: Knowledge for Development: Competencies to Co-create and Communicate Knowledge
Student Name: Amal Chammas

Please read and complete this form carefully. If you are willing to participate in this study, ring the appropriate responses and sign and date the declaration at the end. If you do not understand anything and would like more information, please ask.

- I have had the research satisfactorily explained to me in verbal and / or written form by the researcher. YES / NO
- I understand that the research will involve: an interview for which the time and date will be suitable to my schedule and location and should not exceed 1 hour. The interview will be *video*-taped or *audio*-taped (delete non-preferred tape form) YES / NO
- I understand that I may withdraw from this study at any time before **[Date]**, without having to give an explanation. In this case, I can communicate with the researcher by a simple email to express my wish to withdraw, and all the files that are related to my participation (e.g. signed consent, or tape) will be immediately destroyed. My withdrawal at any stage will have no negative effect on me at any level. YES / NO
- I understand that all information about me will be treated in strict confidence and that I will not be named in any written work arising from this study. YES / NO
- I understand that any audiotape or videotape material of me will be used solely for research purposes and will be destroyed on completion of your research. YES / NO
- I understand that you will be discussing the progress of your research with your supervisors *Dr. David Weir and Dr. George Boak* at York St John University YES / NO
- I consent to being a participant in the project YES / NO

(PRINT NAME)	
Signature of Participant:	Date:

Annex 4-5- Analytic Memo

Data Collection and Analysis Strategy: The steps

1- Choose participants from my professional network
2- Conduct a couple of interviews
3- Transcribe
4- Read and jot quick notes and highlight what I find unique, important, and worth revisiting
5- Review interviewing strategy (questions asked, statements that could have been clarified further, timing, and lessons learned for next interviews) – <i>Repeat after each interview</i>
6- Conduct a couple of interviews
7- Transcribe
8- Read and jot quick notes and highlight what I find unique, important, and worth revisiting
9- First Coding Cycle
10- First Code: Note (Behaviour) either stated or inferred. Where needed capture the quote [In Vivo] within the sentence to clarify using the participants words. Start the statement with a Verb and underline words that may suggest a Topic or are repeated several times by one or more participants [Magnitude] as this might suggest a culture (i.e. nationality, organization, sector) specific terminology
11- First Screening applied to the First Code: predetermined Intelligence this Behaviour could be seen to be attributed to. Where one [Behaviour] may apply to more than one [Intelligence], review and either split into 2 [Behaviour] codes or wait if unsure to decide as the Analysis progresses
12- Second Screening applied to the First Code: Topics/ issues discussed that might lead to emergent codes
13- Group all (Behaviour) First Codes by category of Intelligence
14- Second Code: Read again the transcript and Extract unique or striking quotes [In Vivo] that can support and elaborate on the First Code or suggest a [Process] or [Emotion] or Attitude [Values] or Conflict [Versus] or anything that looks like worth further consideration
15- First Screening to the Second Code: Write the [Process] that participant described or that can be interpreted from the [In Vivo] statements
16- Second Screening to the Second Code: Note in [In Vivo] any expressed – or what a word may suggest-[Emotion] and look for a specific feeling that might have acted as a trigger to an action that was expressed or inferred
17- Third Screening to the Second Code: Look for any [In Vivo] statement that might be stating or suggesting a value, and attitude or a belief [Values]
18- Fourth Screening to the Second Code: From the [In Vivo] Statements, when a participant is describing the counterpart’s action or contribution at some point (e.g a recipient describing what the donor did), see if this is signalling a conflict [Versus] (e.g. agreement or disagreement). When a possible conflict of interest might be sensed, note it down, or any word that might suggest a conflict
19- Compare First Screening of Second code to the First Code
20- Analyse in details Each Screening step for the Second Code for each participant
21- Write an Analytic summary for each
22- Based on Findings, compare between participants and decide on next Steps

Main Analysis Plan

The Analysis that is described here started with this first transcript (R 11 who is a recipient) and its final strategy will be duplicated for the other transcripts.

The plan will be detailed here to allow for review and feedback before considering it a final plan. The next application of this plan to follow will be for a Donor participant to consider possible difference in perspectives that may require different lenses or codes or categories.

Recipient (R- 11)

Behaviours

During the First Cycle Coding 37 Behaviours were identified, when reviewing the [In Vivo] generated during the Second Cycle Coding, 4 more Behaviours were added (But not yet joined to the grouped lists)

[In Vivo]

38 statements were extracted and examined in more details.

[Process]

With the participants Success story being the focus of the Research question, I looked for any suggested Process towards Success, and for final goal being "Success" which the participants are telling their story, 22 processes were noted. Their related 22 Behaviours and In Vivo are detailed in **Error! Reference source not found..**

The procedure that I followed to screen and analyse these processes is below:

- 1) Review the suggested Process and organize its steps under the main titles (Column). These titles may change according to the progress of the analysis. My intention is to keep only 4 Main Steps: the Situation when the projects start, Exchange of information, Formulating a Solution, Related Action and the Result which is supposed to be one step closer to Success or Success itself (final objective) and eventually Sustainability.

A Initial Situation		B Two-Way Communication		C Towards Solution		D Resulting Situation	
Problem / Issue	Initial Reaction	Recipient	Donor	Learning	Outcome	Action	Result

- 2) The different stages that were either stated or suggested or inferred were added in their related columns.
- 3) Looked for similar processes and combined them (Table 3 below) under four main Categories (item 1 above). These processes are:
 - a. Interventions with 3 processes: Implementation, Pilot Projects and Planning
 - b. One process for Change Management
 - c. One Process for Role Model @ At levels
 - d. Two Processes for High Level Project Design &Management
 - e. Three Processes for Personal Level
- 4) Compare with Processes from other Transcripts.

[Emotion]

I will leave this to a later stage after reviewing the literature related to Emotional and Social Intelligence

[Values]

At this stage, I was looking for statements that could suggest an Attitude, a personality trait, a Value or any characteristic that could trigger different behaviours. Table 1- below starts (first column) with the number of times each of the 23 Codes (second column) was repeated. A reference/code for each participant's quote (U) will help trace back to his statement (In Vivo).

	Unit (U) number- Behaviour number
8	Positivity U 15 –15, U12-12, U38- 37, U1- 1, U 11- 10, U11- 11, U 20- 39, U13- 13
7	Open for learning U 15 – 15, U12- 12, U11- 10, U1- 1, U4- 4, U20- 39, U13- 13
5	Honesty U21- 22, U 25 – 25, U1- 1, U4- 4, U35- 34
5	Objectivity U 15 – 15, U11- 11, U4- 4, U20- 39, U13- 13
5	Striving for improvement U12- 12, U11- 11, U22- 23, U7- 6, U 6 - 38
4	Confidence U21- 22, U38- 37, U1- 1, U35- 34
4	Humble U21- 22, U1- 1, U4- 4, U13- 13
3	Committed to Objective U 33- 32, U30- 30, U 6 - 38
2	Persistence U 15 – 15, U35-34
2	Deals with conflict U12- RR12, U35-34
2	Role model U29- 29, U 30- 30
2	Appreciative U 25 – 25, U21- 22
1	Tolerance U23- 24
1	Open minded U23- 24
1	Satisfaction from Sharing U22- 23
1	Diplomatic U19- 20
1	Pragmatic U26- 26
1	Leadership U29- 29
1	Dedicated U27- 27
1	Practical U 18- 19
1	Goes the extra mile U 18- 19
1	Builds trust U 25 - 25
1	Team Spirit U9- 8

Table 1- Value Codes – Participant R11 (in bold are examples elaborated below)

Let's look at few examples:

U15- "I mean at each time I had in my mind that we may reach a dead end or not reach a satisfactory result, however I had a curiosity to go through this task and this scope of work to come up with the pro and cons in this platform of the distribution network that's why I was a little bit enthusiastic to go along with Luca"

It suggests 4 Value Codes and these are related to the participant's *Positive attitude*, his *Openness to learning*, his *Objectivity* and his *Persistence*.

The proposed Behaviour (15) is:

[Remains "curious" to learn through the encountered "pros and cons"]

U18- "I was alone at the establishment he told me I will coordinate between the person from your side and the contractor and if anything comes up or anything that is needed or sounds wrong then he will refer back to me and he will report to me on weekly basis."

This suggests that the donor he is talking about is *Practical* and *Goes the extra mile*, with the related Behaviour (19) being:

[**Considers** the success was possible because the donor not only financed but also agreed to be in charge of tasks and report to the recipient regularly]

Here, there seem to be a conflict as the task of the donor representative is to provide support to the recipient and not to be in charge and execute tasks.

U13- "Ok am including the failure (laugh)and this was part of the job. will always be ups and downs."

This suggests 5 Value Codes: *Positivity, Confidence, Open for learning, Humble, and Objectivity*, and the related behaviour (13) is:

[**Focuses** on the main objective throughout the encountered challenges of the journey. "will always be ups and downs, at the end of the day ...every household had a tag ...entered into GIS system and has been used for many years."]

This statement (laugh when talking about failure) also suggest an Emotion code could be Pride or Enjoying the journey through learning.

Values Coding of the remaining transcripts may result in new Codes. Once this First Screening is done for all, and the results consolidated, further decisions to add or drop some of the codes may be taken depending on their frequency.

Donor 09 (Steps 11 & 12)

D09 elaborated on 2 stories that he considered being successful.

Behaviours & [In Vivo]

During the First Cycle Coding 33 Behaviours were identified and the same number of statements were extracted and examined in more details.

[Process]

For this participant, I followed the statements and sketched the steps in the process that were mentioned or in some cases I assumed a step has taken place from what I could understand from D09's story.

The main phases and main tasks that were discussed in details are summarized in Table below.

Main Tasks	Main Phases
Make sure that High level is endorsing planned intervention, as this will ensure more engagement on lower levels	High Level
While planning and designing an intervention be aware of sensitive issues- culture specific- and what should be avoided as it could be interpreted as offensive	Cultural issues
Analyse the situation to identify gaps	Analysis
Analyse recipient's level of knowledge and skills related to the identified gap	
Work closely with recipient and build relationship and trust	Trust
Create awareness to related problems and best practices. Sensitize recipients about the complexity of the identified issues that require attention	Promote Ownership
Engage recipient to conduct deeper analysis and develop customized solutions	
Support recipient to identify stakeholders and understand their interests and practices	Deeper Analysis
Coordinate with recipient to highlight related legal and regulatory framework	
Either start a Pilot project or build on lessons learned from previous projects implemented in different contexts	Pilot Projects
Design solutions based on lessons learned from previous experiences and/or on new knowledge about local context	Lessons learned
Propose Solution and seek confirmation of its appropriateness	Customized solution
Adapt methodology to local context	
Guide and support recipient to lead the implementation	Implementation
Develop monitoring tool	
Keep the spirits high all the way to ensure motivation to face challenges	

Table 2- Summary of main phases and tasks within a development project as detailed by D09

Conclusion/ Lessons learned:

My learned lesson from this exercise is to adopt a different plan mainly process all transcripts for one Coding method before moving to the other method. For example, do the In Vivo for all, the Process for all, and so on. This will help me keep the line of thoughts and quickly compare and note important issues to reconsider in more depth during the Second Cycle Coding.

So, I will finalize the grouping of the detailed Process for YH and move to the remaining transcripts for the In Vivo. I believe this will enable me to move faster. It will also make me read the statements more than once at different time interval which also could be useful.

Initial Situation		Two-Way Communication		Towards Solution		Resulting Situation		Process	
Problem /Issue	Initial Reaction	Recipient	Donor	Learning	Outcome	Action	Result		
Available Knowledge but No Skills	Self- Assess	Express Training needs		Solution offered (Training)& Learn	Improved Skills		Success	Personal Level	
	Self-motivation				work towards goals	Achieve goals	internal satisfaction		
	Learn from experience	Share knowledge			Team benefit				
Funds available	Approach recipient	Ask for need	Listen to expressed needs		Delegate when no time to monitor	Donor full cooperation Monitoring & Quality Control	success	High Level Project Design & Management	
Dev project - Longer Term						longer support	sustainability		
Development Project starts	Donor allocates time for the project and works closely with recipient		Donor work in the field & Monitor closely		Donor acts as role model Recipient follows	All act at 'high level'	Success	Role Model @ All Levels	
Development Project starts	Consult beneficiary				Co-Planned intervention	Recipient cooperates (no resistance)	Success	Change Management	
Gaps & Problems identified	Analyse Problem & Identify needed support for complex issues, Analyse Failures	Express needs & Benefits & Context related Information	Detailed investigation	lessons learned	Custom Solution & Support provided	Work together to implement solution Apply Lessons Learned here and to Future Activities	Success	Implementation	Interventions
Pilot Project for Complex issues	Lessons learned	Share lessons learned		Lessons to apply	Realign plans	implement on larger scale	Success	Pilot Projects	
Detailed plan	Implement step by step Observe Results and challenges	Monitor & Discuss progress Share/seek information Regularly Exchange information related to the problems & Discuss possible solutions Give Feedback Openly		Lessons to apply & Acceptable Solutions	Progress & Agree on Plan	Work tog3ther to implement solution & Improve Performance, Apply Lessons Learned here and to Future Activities	Success	Planning	

Table: Combined Processes – Process section Step 3 above – for R11

Annex 4-6- Initial list of 30 candidate participants

	Role	Category			Relationship		Organization
		D	LD	R	Projects	Other	
1	Project Manager	D			P		1
2	Project Manager	D			P		1
3	Consultant	D			P		1
4	Consultant	D				O	1
5	Consultant	D			P		1
6	Consultant		LD		P		2
7	Director			R	P		3
8	Head of Department			R	P		3
9	Head of Department			R	P		3
10	Director			R	P		4
11	Head of Department			R	P		4
12	Head of Department			R	P		4
13	Consultant		LD		P		5
14	Project Manager		LD		P		6
15	Consultant	D			P		7
16	Project Manager	D			P		7
17	Consultant	D			P		7
18	Project Manager	D			P		7
19	Project Manager	D			P		8
20	Project Manager		LD		P		9
21	Ministry			R	P		10
22	Ministry			R		O	11
23	Head of Department			R	P		12
24	Director			R	P		12
25	Director			R	P		13
26	Consultant		LD			O	14
27	Consultant	D				O	15
28	Project Manager	D				O	16
29	Project Manager		LD		P		17
30	Project Manager		LD			O	18
		12	7	11	24	6	

Red font for the twelve Participants that contributed to this study.

For confidentiality purposes, the organizations' names are replaced by a number.

Relationship includes 1) working together in *Projects* and 2) have met in *Other* events.

Annex 5-1- Coding Cycle: 12 Sample statements and Codes for Behaviours and Beliefs – BB Codes

IN-VIVO		Initial Code/ Behaviour
Yes saying that this is the highest priority and people are dying there, they have no water and they don't have anything. So I discussed with my team members they went to see the site and of course they said that we shouldn't go there.	01D	<i>Verifies</i> the information through field <u>visits</u> or <u>consultation</u> with the concerned team
The mishap is that mostly donor agencies and this is where we come to the flexibility, have lesser flexibility and that would put the agency under strain and sometimes would compromise and jeopardize the whole objective of the project. Ah...	02D	<i>Believes</i> that 'lesser <u>flexibility</u> ' in the project design 'would compromise and jeopardize the whole objective of the project'
Today, if I can say all this is resulting from our work with the donors. If we talked about this 10 years ago we would not have said what we said now, you know.	03R	<i>Reflects and Learns</i> from previous <u>experiences</u>
It's not purified, we take the sludge out of it and keep it aside, then the water goes into big pumps that pumps them 1800 m in the sea. When you pump 2 km there will be fusion.	04R	<i>Understands</i> the <u>technical process</u> related to the different <u>stages of work</u>
But in other way donors would also be ready to jeopardize a successful ideas because it doesn't fit with a political agenda of the donor. So they would not move ahead with it.	05D	<i>Believes</i> that some <u>donors</u> may be <u>dismissing</u> some <u>important interventions</u> because they don't 'fit with a <u>political agenda</u> '
So we convinced them in a design way, technically and then by phasing it so that they can financially support it and this is... it took a while there are many issues that happened in between but at the end of the day they accepted it. And the recipient was for a more holistic approach rather than this chunked and bits and pieces approach. So that's the story that I have been involved in in Lebanon.	06D	<i>Able to justify</i> <u>decisions</u> taken and to describe the <u>thinking process</u> and logic behind these decisions
I mean the project was well thought of, but you then have problems of conflicting ministries, like the ministry of industry had priority over the ministry of environment. which clearly rather short circuited the work we were trying to do.	07D	<i>Evaluates</i> the project <u>design</u> and <u>stakeholders</u> needs and interests
"It was the convincing, it was simply that, to have enough confidence from the adviser side (colleagues) that we can do it in-house basically. we can do it, assume this function , the knowledge was sufficient in the team so provide, come up with the required inputs for the development of this fairly complex intervention. "	08D	<i>Analyses</i> available <u>resources</u> (knowledge and human) before having "enough <u>confidence</u> Come up with the <u>required inputs</u> for the development of this fairly <u>complex intervention</u> "
to develop this diagram by themselves which is the reason for having or the advantage of having such SFD is that you can in a glimpse you can see what are actually the challenges of my sanitary situation in my city, so it's one paper basically in landscape format which contains a number of green and red arrows and they signify what is happening...	09D	<i>Communicates</i> clearly the eventual <u>benefits</u> of a <u>proposed solution</u> "in a glimpse you can see what are actually the challenges of my sanitary situation in my city"
or you can fail because you did not achieve your impact, maybe your output but not your impact. But still you brought your community further and it's a development path.	10D	<i>Differentiates</i> between output and eventual impact while <i>assessing</i> failure and success
we placed a plan and we went through the various stages of the plan how we are going to do this task and the other task and we consulted together on the contract	11R	<i>Plans</i> <u>jointly</u> the implementation through " <u>consultation</u> " with the counterpart to agree on all related detailed <u>contributions</u>
now you tell me what are the successful projects? these are the successful projects. if you don't have dedicated people , if you don't have people who are ready to change, ready to say our way of working is not ok, I agree this is not the best way of doing, let me learn. you need people who are ready to learn and it has nothing to do with age. look I am still willing to learn . if there is a better way of doing things, please I am ready to learn it.	12D	<i>Analyses</i> required elements for <u>success</u> in a <u>process</u> : " <u>ready</u> to change", " say our way of working is <u>not ok</u> ", "let me <u>learn</u> ". " there is a <u>better way</u> of doing things" and "nothing to do with <u>age</u> "

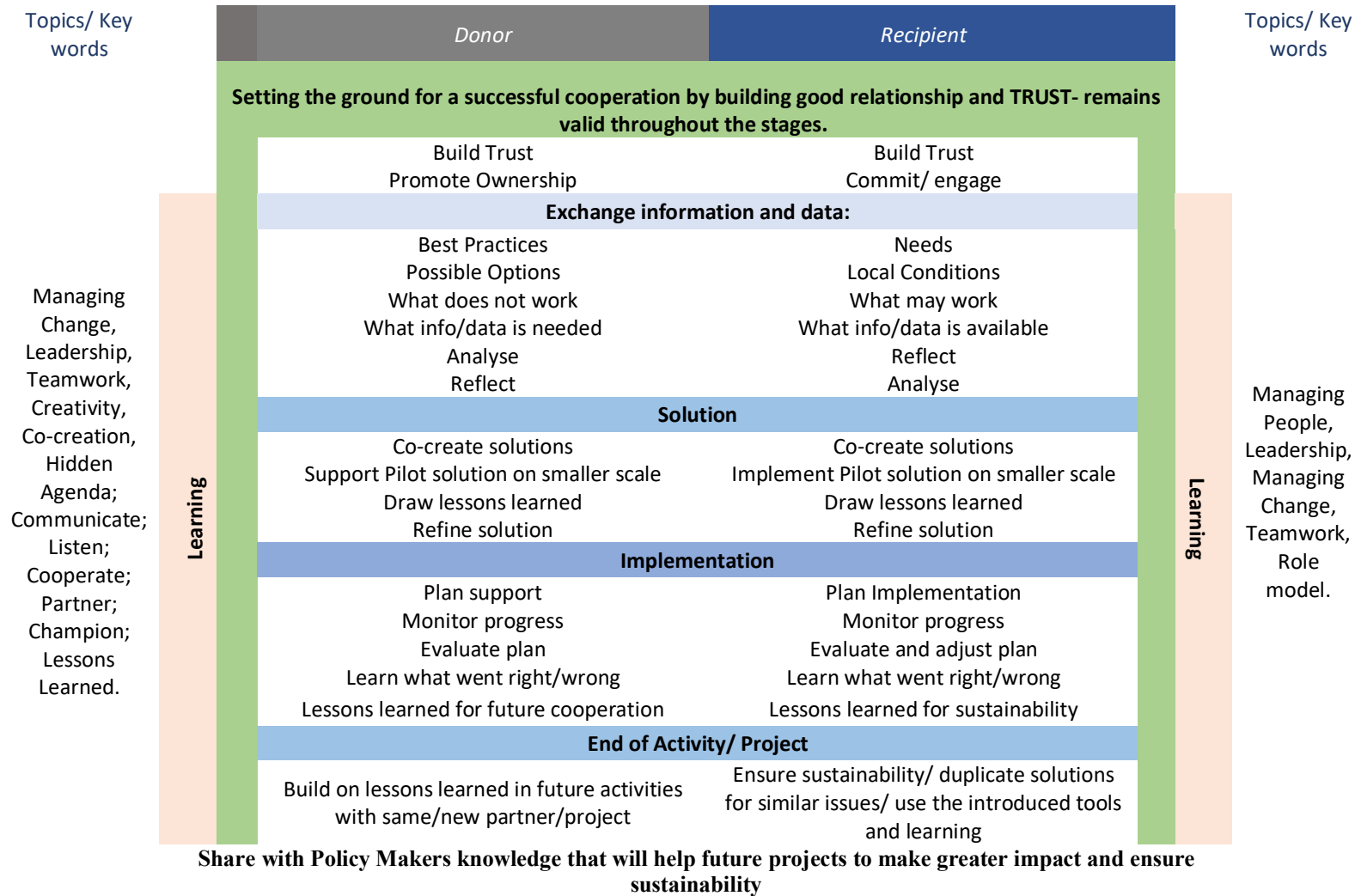
Annex 5-2- Second Coding Cycle: Process Table from a Recipient Transcript as suggested by 22 statements (units)

#	Initial Situation		Two-Way Communication		Towards Solution		Resulting Situation		
	Problem	Initial Reaction	Recipient	Donor	Learning	Outcome	Action	Result	
2	Knowledge but No Skills	Self-Assess	Express Training needs		Solution & Learn	Improved Skills		Success	(1) Personal Level [4 units]
1		Self-motivation				Work towards goals	Achieve goals	Internal satisfaction	
1		Learn from experience	Share knowledge			Team benefit			
4	Funds available	Approach recipient	Ask for support and explain need	Listen to expressed needs		Delegate when no time to monitor	Donor full cooperation, Monitoring & Quality Control	Success	(2) High Level Project Design & Management [5 units]
1	Dev project - Longer Term						Longer support	Sustainability	
2	Development Project starts	Donor allocates time for the project and works closely with recipient		Donor works in the field & Monitors closely		Donor acts as role model Recipient follows	All act at high level	Success	(3) Role Model @ All Levels [2 units]
1	Development Project starts	Consult beneficiary				Plan intervention	Recipient cooperates (no resistance)	Success	(4) Change Management [1 unit]
(5) Interventions [10 units]									
6	Gaps & Problems identified	Analyse Problem & Identify needed support for complex issues, Analyse Failures	Express needs & Benefits & Context related Information	Detailed investigation	Lessons learned	Custom Solution & Support provided	Work together to implement solution, Apply Lessons Learned here and to Future Activities	Success	(5.1) Planning
1	Pilot Project for Complex issues	Lessons learned	Share lessons learned		Lessons to apply	Realign plans	Implement on larger scale	Success	(5.2) Pilot Projects
3	Detailed plan	Implement step by step, Observe Results and Challenges	Monitor & Discuss progress, Share/seek information, Regularly Exchange information, related to the problems, Discuss possible solutions, Give Feedback Openly		Lessons to apply & Acceptable Solutions	Progress & Agree on Plan	Work together to implement solution & Improve Performance, Apply Lessons Learned here and to Future Activities	Success	(5.3) Implementation

Annex 5-3- Second Coding Cycle: Main Tasks and Phases as identified from the Process Table of one Donor as suggested by 30 statements.

Main Tasks		Main Phases
1	Make sure that Recipient High level is endorsing planned intervention, as this will ensure more engagement on lower levels.	High Level Project Design & Management
2	While planning and designing an intervention be aware of sensitive issues- culture specific- and what should be avoided as it could be interpreted as offensive.	Cultural issues
3	Analyse the situation to identify gaps and recipient's level of knowledge and skills related to the identified gap.	High Level Analysis
4	Work closely with recipient and build relationship and trust.	Trust
5	Create awareness to related problems and best practices. Sensitize recipients about the complexity of the identified issues that require attention. Engage recipient to conduct deeper analysis and develop customized solutions.	Promote Ownership
6	Support recipient to identify stakeholders and understand their interests and practices. Coordinate with recipient to highlight related legal and regulatory framework.	Deeper Analysis
7	Either start a Pilot project or build on lessons learned from previous projects implemented in different contexts.	Pilot
8	Design solutions based on lessons learned from previous experiences and/or on new knowledge about local context.	Lessons learned
9	Propose Solution and seek confirmation of its appropriateness. Adapt methodology to local context.	Customized solution
10	Guide and support recipient to lead the implementation. Develop monitoring tool, Keep the spirits high all the way to ensure motivation to face challenges.	Implementation

Annex 5-4-Second Coding Cycle: Process- Stages within Development Projects as suggested by the participants' stories, Keywords and Topics.



Annex 5-5-Third Coding Cycle: Categories and Sub-categories suggested by phases and tasks

Phases	Analysis	Beliefs/ values/ feelings	Action	Communication
Intelligences (I)	Cognitive (CI)	Emotional (EI)	Social (SI)	
Related Issues	Stakeholders/ interests/ needs/ politics	Project design/Flexibility	Priorities	Solutions/ Work progress/ tasks
	Personal Development/ experience		Decision making (DM)	
	Justifications/ benefit/ achievement/ Priorities	Team spirit	Teamwork/Cooperation/ win-win-	Decision made
	Technical / Deeper Analysis/ Impact/limitations	Sensitivity/ cultural	Managing Change	Sensitive situations
			Learning/ knowledge/ awareness	Knowledge Sharing
		Attitudes/ feelings	Trust/ Ownership/ Partnership	
Related Competencies	Critical Thinking (CI)			
	Continuous Learning (EI)			
		Teamwork (SI)		
	Communication/ (Listening, Multi-disciplinary Audience) (SI)			
		Leadership (EI)		
			Managing Risk (CI)	
Interpersonal- Building Relationship/ Partnership (SI)				

Annex 5-6- Third Coding Cycle: Critical Thinking and Behavioural Indicators

Critical Thinking		
BB Codes	In Vivo - Quote	Behavioural Indicators
Analyses stakeholders to identify " champions " to partner with towards set target (D07- 35)	yes, we did have a good champion . That's not gonna happen every time but I do feel you need to identify well the leaders of power , the influencers I think because to get your message across you can't put it in black and white you got to talk to people, you got to be low open . but that did work out very well and say I haven't had my leg patted by a deputy secretary of a ministry (laugh) for a long time actually	Understand how to work around the organizations' internal politics and regulations
Analyses the outcomes from the recipient's point of view , in relation to his needs (D02 – 29)	If you would ask him , was the business plan useful, he would tell you no, and basically that becomes a contradiction because I was now trying to convince you that the business planning is was a successful exercise with the [recipient organization], we did pick it up , we did on the job training, and ultimately we were embedded in the WE so we were dealing , we were involved in the daily tasks but he would say no it didn't lead to anything because this has to do with the enabling environment .	Understand the enabling environment
Conducts careful analysis of the strengths and weaknesses of the recipients to understand their position regarding their needs and what is being offered . (D10- 14 & 21)	if you want to change behaviour you need to trust that the other ones will also change their behaviour . You will not, people will not change behaviour just for the sake of changing behaviour because they will have an immediate loss if they do that. The others will continue to have immediate benefits but the ones changing behaviour will say well I will refuse corruption I will have maybe a longer-term benefit, but I will have an immediate loss. So, I am saying this because in our organization we very much think in terms of behaviour change and that is why I take now this angle.	Look at the long-term benefit of change and not only the immediate one
Understands the local political environment affecting recipients' decisions (D06- 11)	they [recipient organization] are not happy with the Ministry ,.. the Ministry now is moving in trying to centralize some of the activities. But still, I mean having this tool would help them identify the priorities . Oh yes, exactly, it will help them prioritize , and they can monitor their progress . It helps them set up that Business Plan , what can you do? why do you want to? Why?, I mean that answers the question, why do I need to do these things? Because, my score and my performance is poor, I need to improve the service I give.	Understand the local political environment affecting recipients' decisions
Realizes that meeting the ' expectation of the partner' is important to having the partner 'accept any sort of advice in the future '(D02- 25)	So when the donor comes in or any in project it is designed in a, I don't want to say wrongful manner - it is not well designed to meet the expectation of the partner and ultimately why do we need to meet the expectations of the partner? We are doing that to make sure whenever we are bringing expertise and know-how gets to be accepted and sustained and if we don't do that the repercussion of a negative outcome or a negative conclusion from, on behalf of the recipient would make him really reluctant to accept any sort of advice in the future .	Understand the expectations and the needs of the recipient

Annex 5-7-Third Coding Cycle: Change, Behavioural Indicators, and sub-categories under Change Management

Managing Change – Behavioural Indicators and <i>BB codes</i> *			
Cognitive	Emotional	Social	
What to consider for long term strategy (<i>D10- 43</i>)	Willing to adopt new ideas/ activities/tools that help improve performance on a longer term (<i>R04- 10</i>)	Link the actors that need to change behaviour	Motivate the team to have the desire and courage to overcome all difficulties toward the change (<i>R03- 16</i>)
What can be sustainable	Committed to sustainable development through the change of the mindset and the behaviour- the opening of the eyes (<i>D01- 31</i>)	Aim beyond just triggering a behavioural change	Examine their motives
How partners work	Willing to ask for support where they lack the resources and capability and remains open to adopt proposed solutions	<i>Demonstrates awareness of eventual conflicts between stakeholders and how this "short circuited the work" (BB- D07- 02)</i>	Encourage the recipient to engage
Why people may resist change	Willing to adopt new ideas/ activities/tools that help improve performance in spite of possible criticism (<i>R03- 44</i>)	<i>Demonstrates an understanding of perceptions of a key stakeholder that are likely to lead to resistance to cooperation (BB- D07- 03)</i>	<i>Shows sensitivity to recipients' perceptions that give rise to resisting cooperation (BB- D07- 19)</i>
	Ready to change behaviour, not only preach others to change	Works closely with the recipient to confirm the solutions that can be justified for the specific context	<i>Facilitates change by 'hand-holding in the process to identify the problem' (BB-D02- 12)</i>
What causes recipient to act or fail to act	<i>Able to work hard and persist patiently for long period of time even when it is "very painful" and leads to not meeting "donors' expectations" until the "learning process" leads to better results (BB- D10- 33)</i>	<i>Is aware of the different challenges for example 'resistance to change, negativity, socio-economic factors and enabling environment.' (BB- D02- 07)</i>	<i>Looks forward to supporting "hand holding" to "motivate them and explain and answer questions" (BB- D09- 29)</i>
Stakeholders' positions and needs	Looks at the positive aspect of a problem where learning was possible and gave stamina to improve in the future (<i>R11- 11</i>)	Observe changes that confirm that trust is building (<i>D02- 15</i>)	
	Able to work patiently for a long time to convince recipient of the benefits of an activity ('sometimes frustrating') until recipient is ready to introduce new work tools/ culture change	Introduce slow changes paralleled by raising awareness to these new steps that concern multi-level internal coordination	
Who can be a partner/champion (<i>D07-35</i>)	Able to see that the recipient has the right skill, and your role is to mediate and not to judge	Provide the suitable environment, knowledge and guidance for the recipient to work in teams to understand better the tool and its complexity	

* Where BB codes are quoted the numbering includes BB. To see BB and In Vivo codes for a *selection* see Annex 5-8

Sub-Categories

Vision, Long term planning - Strategy	What I think my role is (handholding- guidance- motivator- influencer- mentor- facilitator...)- Open to accept differences- Open to change - Open to Learning - Staying positive (persistence)	Networking & Collaborating towards Sustainability
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Annex 5-8-Third Coding Cycle: BB and In Vivo code for selected Indicators (linked to Annex 7-7)

#	BB Code	In Vivo
R04-10	<i>Is willing to adopt <u>new ideas</u> that were never attempted in the sector before</i>	I mean it was the first time an Establishment defines its vision and mission statement, sets strategic goals and the plan to reach these strategic goals. We had the first business plan, really, it was a very very successful experience . And because it was successful it continued from 2003 till 2013 .
R03-44	<i>Remains open to <u>new and creative ideas</u> [privatisation of the service] and committed once adopted in spite of <u>possible criticism</u></i>	... But when I started with the WE, I started with the conviction of the partnership with the private sector ... this is why I am telling you that the role of the manager is very important . No one in Lebanon, among all the general directors, was ready to accept this idea of partnership , even once they criticised me at the bureau of public servants. But in spite this, for me the project was my project , why do I care what happens later
D10-43	<i>Believes that interventions should be <u>long term</u> "you should think in terms of 10 or 20 years, ...in terms of also financial strategy"</i>	of course, the Mediterranean had a big crisis for the migrants that started I think in 2015 something like that. but still, I think if you engage in a certain direction, you can, you should think in terms of 10 or 20 years. so, in terms of strategy but also in financial strategy.
D07-35	<i>Analyses <u>stakeholders</u> to identify "<u>champions</u>" to <u>partner</u> with towards set target</i>	Yes, we did have a good champion . That's not gonna happen every time but I do feel you need to identify well the leaders of power , the influencers I think because to get your message across you can't put it in black and white you gotta talk to people , you got to be low open . but that did work out very well and say I haven't had my leg patted by a deputy secretary of a ministry (laugh) for a long time actually
R11-11	<i>Considers problems faced to be "<u>stamina</u> for enhancing <u>future projects</u>"</i>	and we went through ups and downs many times The good thing is that we learned a lot from this project. ... this gave us like a stamina for enhancing future projects on this specific topic ...So we went through the seven villages ... as I have told you it was a tedious task we had some clashes with the company but these clashes turned to be like like lessons learned for us because this taught us how we should be doing the contract in the future so it was very really like learning field for us in that sense.
D02-15	<i>Works daily on 'helping on leading or jointly working' with the partner to ensure trust and see 'drastic change' 'after 4.5 years'</i>	Yes, <i>...you know it very well</i> , this famous experience that we had in building trust when I first started working as a Technical adviser for one WE , and over the 4.5 years that I spent working daily with them, you could see that there has been a drastic change from day 1 or from the first year if we want to benchmark where we first started engaging with them and encourage them to adopt the annual business planning process and how much this over the timeline over the current updates that we would be helping on leading or jointly working with the WE... how much things have changed from when we first started.
D01-31	<i>Likes the 'sustainability factor, the change of the mind-set and the behaviour- the opening of the eyes'</i>	I am not a humanitarian practitioner. I am more development oriented . It makes me angry when the work comes as the result of a conflict. What I like is the sustainability factor , the change of the mind-set and the behaviour – the opening of the eyes .
R03-16	<i>Believes that the team needs to have "desire and courage" and be "ready to <u>overcome</u> any administrative <u>difficulties</u> in order to get good results"</i>	and of course, the desire and courage of our teams who was ready to overcome any administrative difficulties in order to get good results, you know?

Annex 5-9-Fourth Coding Cycle: Main and Sub-Categories

Main		Sub-Categories						
Critical Thinking	What Affects Cooperation	Planning	Resources	Other				
Collaboration (Teamwork - Leadership)- Interpersonal- Building Relationship- Partnership	Others' Opinions	Clear Roles	Flexibility for Win-win	Negotiate partnership	Networking- Trust-ownership	Positivity	Teamwork - Spirit	Other
Meeting Objectives/ Delivery	Project Design/ implementation - objectives	Roles	Flexibility	Best Practices/ high standards	Open for cooperation to meet targets	Pilot	Local contributions / knowledge and expertise	Regulations
Managing Risk	Expectations	Limitations/ Challenges	Hidden Agenda/ Interests	Culture				
Communication	Listen/ Hear	Expectations	Challenges/ problems	Technical to non- Technical/ analogies	Sensitive Situations			
Continuous Learning	Open to learn	Encourage learning	Analyse own development					
Various Beliefs	Skills	Flexibility	Trust	Ownership/ partnership	Authentic/ openness	Work Closely	Change	Other

Annex 5-10- The Structure of the proposed Framework: Clusters, Sub-Clusters, & Indicators Headings & Totals

Clusters	Number of Indicators		
	D	R	Total
Holistic Approach			
Visionary Strategy (H.1)	1	1	2
Networking (H.2)	1	1	2
Flexible Planning (H.3)	1	1	2
Monitoring & Accountability (H.4)	1	-	1
Thinking – Process			
Local Framework (T.1)	1	1	2
Information (T.2)	1	1	2
Analysis (T.3)	1	1	2
Adaptive – Implementation			
Collaboration (A.1)	1	1	2
Trusting Relationship (A.2)	1	1	2
Adaptation (A.3)	1	1	2
Communicate with Diverse Audiences (A.4)	1		1
Expectations: Output (A.5)	1		1
Expectations: Input (A.6)	1		1
Wise Personal Convictions			
Donor's Commitment to Adaptive Management & Stakeholders' Engagement for making a difference in Development (W.1)	8	-	8
Openness, Transparency and Diversity for win-win solutions (W.2)	4	3	7
Persistence and Positivity (W.3)	3		5
	1	1	
Learning Never Stops (W.4)	4		4
Total			46

Total Indicators	46
Common Indicators (D & R)	10
Total Indicators for Donor	33
Total Indicators for Recipient	23

Annex 6-1- Competencies' titles in eight frameworks compared.

	Titles of Competencies included in the eight Frameworks				
UN - CB	Connect and Collaborate.	Adapt and innovate.	Analyse and plan.	Learn and develop.	Deliver results with positive impact.
WBG - CC	Collaborate Within Teams and Across Boundaries.	Lead and Innovate.	Make Smart Decisions.	Create, Apply and Share Knowledge.	Deliver Results for Clients.
WBG - MC	Influencing Across Boundaries. Courage of your Convictions.		Fostering Openness to New Ideas.	Building Talent for the Future.	Leading the Team for Impact.
UNDP - CB	Engage and Partner. Enable Diversity and Inclusion.	Adapt with Agility. Act with Determination.	Think Innovatively.	Learn Continuously.	Achieve Results.
UNDP - PM	Demonstrate Empathy and Emotional Intelligence.	Show Managerial Courage. Lead with Humility.	Manage Performance and Ensure Accountability.	Build Capability.	Motivate and Direct. Build an Enabling Workplace
OECD - CC	Collaboration and Horizontality.	Ethics and Integrity. Innovate and Embrace Change.	Vision and Strategy.	Enable People.	Achieve Results.
FCDO - PDCF	Engage Others.	Programme Leadership.	Managing Risk & Issues. Financial Management. Commercial Acumen.	Monitor, Learn and Adapt.	Managing the programme cycle.
USAID - CS	Leadership. Professionalism.		Talent Management.		Results and Impact Focused.

Annex 6-2- Sample statements from OECD and FCDO distributed under the focus of the proposed clusters⁸.

Titles of Competencies	OECD Level 1- Performing	H	T	A	W
Vision and Strategy	III.A.1.3 I use <i>evidence and data</i> when forming decisions and ask for advice in unfamiliar situations				
Enable People	III.A.2.2 I embrace <i>diverse and alternative perspectives</i> and participate in creating an environment where everyone is treated fairly.				
Ethics and Integrity	III.A.3.3 I value the <i>contributions</i> of people with different backgrounds and cultures.				
Collaboration and Horizontality	III.A.4.3 I <i>listen actively</i> , consider the concerns of others, adjust my behaviour and respond openly and with tact.				
Achieve Results	III.A.5.3 I plan, co-ordinate and manage my work and resources to accomplish tasks within given <i>deadlines</i> .				
Innovate and Embrace Change	III.A.6.3 I demonstrate a <i>positive</i> attitude and I consider alternative solutions to get results.				
	FCDO				
Managing the programme cycle	V.A&B.1.3 Apply <i>judgement</i> to solve delivery problems				
Managing Risk & Issues	V.A&B.2.4 Define and operate within project <i>risk appetite</i> , and promote risk culture across team				
Financial Management	V.A&B.3.1 <i>Understand</i> , apply, and drive compliance with financial management Smart Rules				
Commercial Acumen	V.A&B.4.4 Understand and apply commercial judgement to project <i>delivery and closure</i> phases				
Monitor, Learn and Adapt	V.A&B.5.1 Identify the <i>data and evidence</i> needs for a project				
	V.A&B.5.2 Use appropriate tools to <i>monitor</i> and evaluate project performance				
Engage Others	V.A&B.6.1 <i>Identify and assess</i> impact of political and institutional issues				
	V.A&B.6.2 <i>Engages different stakeholders</i> with different interests				
	V.A&B.6.3 <i>Communicate</i> complex messages				
Programme Leadership	V.A&B.7.2 Ability to <i>drive results</i>				
Technical	V.A&B.8 <i>Technical</i> Related to the specific function/ field.				

⁸ Keywords (in *Italic*) suggesting approach (H), implementation (A), thinking & analysis (T), and personal convictions (W).

Annex 6-3 -FCDO- DFID Program Delivery Competences and the link to the proposed framework

FCDO-DFID	Link to proposed Framework
<p>Managing the programme cycle:</p> <p>Apply judgement to solve delivery problems</p>	<p>Identifying and Collecting information/data and verifying with different sources to include different perspectives and confirm validity and accuracy, following a clear process that can lead to well-grounded justifications for eventual decisions and the uncertainties and the risks involved (T.2)</p>
<p>Managing Risk & Issues:</p> <p>Undertake Due Diligence, track identified risks and review implementing partner at key stages in programme</p>	
Monitor, Learn and Adapt:	
<p>Identify the data and evidence needs for a project</p>	<p>Local Framework (T.2)</p>
<p>Use appropriate tools to monitor and evaluate project performance Design and apply learning approaches into the project cycle</p>	<p>Developing a detailed monitoring plan that includes clear milestones and pilot activities, guide the proper implementation of agreed interventions, help identify unforeseen challenges and facilitate accountability for result (H.4)</p>
<p>Use learning and evidence on performance to adapt programmes as necessary</p>	<p>Identifying the stakeholders (in the country) and what aspects of the local framework (regulations, power, and politics) that need to be considered while developing the appropriate strategy (T.1) Information (T.2)</p>
Engage Others:	
<p>Identify and assess impact of political and institutional issues</p>	<p>Thinking Process (T.1, 2 & 3)</p>
<p>Engages different stakeholders with different interests</p>	<p>Building on detailed analysis - of the project context- to develop a visionary strategy that ensures full engagement of all stakeholders at all levels which is necessary for the sustainability of project outcomes while considering the local context and the donors' main plans (H.1-D)</p>
<p>Communicate complex messages</p>	<p>Listening while communicating clearly and credibly the complex, sensitive issues, and decisions to a diverse multi-disciplinary audience (A.4)</p>
<p>Programme Leadership:</p> <p>Ability to manage self and others</p>	<p>Emotional Intelligence & Social Intelligence</p>

Annex 6-4 - Sample statements related to Adaptation/ Adaptability

UN	Analyse and plan
	All staff: Show willingness to adapt plans and priorities as necessary in response to emerging situations and new information
	Adapt and innovate
	Senior Leaders: Encourage adaptation , experimentation and innovation.
WBG CC	Lead and Innovate
	Includes concepts of personal leadership, initiative, innovation, and adaptability : Adapt to changing circumstances, to department needs, own work to new approaches/processes, as circumstances require and manages impact of own behaviour on others
UNDP CB	Adapt with Agility
	Seamlessly adapt to working within new situations or contexts, with new people, and in different ways
UNDP PM	Demonstrate Empathy and Emotional Intelligence
	adapt leadership styles at the appropriate times
OECD CC	Ethics and Integrity
	I adapt my approach to include and integrate colleagues of different cultures and encourage others to bring different perspectives.
	Innovate and Embrace Change
	demonstrating flexibility, creativity, imagination and inspiration in order to adapt to continuously evolving and shifting needs. It is driving innovation by encouraging new approaches and concepts for identifying better solutions to current and future problems while effectively adapting to a variety of situations, individuals or groups, and providing continuous improvements to existing methods .
FCDO	Monitor, Learn and Adapt
	Use learning and evidence on performance to adapt programmes as necessary
USAID	Leadership
	Motivates and empowers staff by ... encouraging innovation and adaptation , when appropriate, to achieve the mission.
	Results and Impact Focused
	Understands and applies Agency policies and regulations in managing resources and displays acumen in using USAID business systems, adapting programs and processes when appropriate
	Professionalism
	Sub-skill: Adaptability & Flexibility

Annex 6-5 - USAID Core skill – Result and Impact Focused and the link to the proposed framework

Definition	Link to proposed Framework
Understands and applies Agency policies and regulations in managing resources and displays acumen in using USAID business systems, adapting programs and processes when appropriate.	Adaptive Implementation (A)
Combines substantive knowledge of backstop, local and international context, and understanding of Agency vision/objectives/norms/business processes to manage and implement the Agency’s portfolio and operations, solve problems, take smart risks, meet customer needs and achieve sustained results.	Local Framework (T.1), Information (T.2) Analysis (T.3) Visionary Strategy (H.1)
<p>Subskills:</p> <ul style="list-style-type: none"> • Accountability for Results 	Developing a detailed monitoring plan that includes clear milestones and pilot activities, guide the proper implementation of agreed interventions, help identify unforeseen challenges and facilitate accountability for result. (H.4-D)
<ul style="list-style-type: none"> • Taking & Managing Risks 	<p>Willingness to adopt a 'bottom-up' or 'field-up' approach at each stage of the project from design to implementation (W.1-4-D)</p> <p>Willingness to promote and lobby with funders for needed flexibility while focusing on strengthening Stakeholders' Engagement (W.1-5-D)</p> <p>Readiness to deal with uncertainties and instability in order to remain flexible to Adapt, where possible, the project objectives and related interventions to touch primarily on real priorities and lead to those common objectives (W.1-6-D)</p> <p>Developing a flexible implementation plan based on an in-depth analysis of the collected and confirmed information from all stakeholders with consideration to include priorities, account for uncertainties and the needed capacities, and ensure greater engagement of stakeholders (H.3)</p>

Annex 6-6 - USAID Core skill – Professionalism and the link to the proposed framework

Definition	Link to proposed Framework
<p>Conducts self and accomplishes work in a manner that is consistent with the highest ethical standards and USAID values, including respect for different points of view and cultures.</p>	<p>Emotional Intelligence & Social Intelligence</p> <p>Commitment to Adaptive Management & Stakeholders' Engagement for making a difference in Development (W.1)</p> <p>Communicate with Diverse Audience (A.4)</p>
<p>Readily contributes to team efforts, clearly communicates ideas, actively listens and supports others, accepts feedback, and facilitates a productive working environment with colleagues where conflicts are addressed quickly. Maintains openness to new information and effectively adjusts to challenges or shifts in priorities.</p>	<p>Collaborate (A.1)</p> <p>Communicate with Diverse Audience (A.4)</p> <p>Trusting Relationship (A.2-D): ..providing valuable advice and empowering others.</p> <p>Willingness to listen carefully to expressed needs and close the feedback loop by communicating back related information, decisions, and their justifications. (W.1-3-D)</p> <p>Remaining open to accept different opinions which helps improve understanding of stakeholders' concerns and challenges (W.2.3)</p> <p>Flexible Planning (H.3)</p> <p>Adaptation (A.3)</p>
<p>Subskills:</p> <ul style="list-style-type: none"> • Adaptability & Flexibility 	<p>Flexible Planning (H.3)</p> <p>Adaptation (A.3)</p>
<ul style="list-style-type: none"> • Communication • Cross-Cultural Competence 	<p>Communicate with Diverse Audience (A.4)</p>
<ul style="list-style-type: none"> • Interpersonal Skills 	<p>Social Intelligence</p>
<ul style="list-style-type: none"> • Teamwork 	<p>Collaborate (A.1)</p> <p>Trusting Relationship (A.2)</p>

Annex 6-7 UN Core Behavioural– Connect and Collaborate and the link to the proposed framework.

Definition	Link to proposed Framework
Build positive relationships partnerships with a broad range of stakeholders across cultures and other boundaries.	Building and maintaining strong relationships with all concerned through demonstrating being worthy of trust, mediating the coordination efforts, providing valuable advice, empowering others, and focusing on the common objective (A.2) Donor’s Commitment to Adaptive Management & Stakeholders’ Engagement for making a difference in Development (W.1)
Engage others as co-creators of a common vision.	Building on detailed analysis - of the project context- to develop a visionary strategy that ensures full engagement of all stakeholders at all levels which is necessary for the sustainability of project outcomes while considering the local context and the donors' main plans (H.1)
Enable a working environment in which everyone may speak openly and honestly.	Openness, Transparency and Diversity for win-win solutions (W.2)
Actively build trust.	Trusting Relationship (A.2)
Actively listen.	Willingness to listen carefully to expressed needs and close the feedback loop by communicating back related information, decisions, and their justifications (W.1.3) Listening while communicating clearly and credibly the complex, sensitive issues, and decisions to a diverse multi-disciplinary audience (W.4)
Take interest in views, expertise and experiences of others.	Remaining open to accept different opinions which helps improve understanding of stakeholders’ concerns and challenges (W.2.3)

Annex 6-8 -UN Core Behavioural– Analyse and Plan and the link to the proposed framework.

UN Analyse and Plan	Link to proposed Framework
Gather, analyse, and evaluate data from a wide and diverse range of credible sources in order to define the problem and inform evidence-based decision-making.	Thinking Process (T.1, 2 & 3)
Disaggregate and analyse data, for instance by gender, ethnicity and age, to deepen understanding and inform decision-making.	Critically analysing the interests of identified direct and indirect stakeholders and drawing conclusions about their expectations and best ways to interact with them, as well as possible gaps that might be included in the project design (T.3)
Facilitate data-driven, evidence-based analysis and planning.	Analysis (T.3) Developing a flexible implementation plan based on an in-depth analysis of the collected and confirmed information from all stakeholders with consideration to include priorities, account for uncertainties and the needed capacities, and ensure greater engagement of stakeholders (H.3)
Plan and prioritize on the basis of data.	Flexible Planning (H.3)
Show willingness to adapt plans and priorities as necessary in response to emerging situations and new information.	Adapting plan of work, where possible, depending on newly acquired information related to priority needs (A.3)
Assess and plan for the time and resources needed for individuals and teams to deliver on priorities, taking into account risks and contingencies.	Readiness to deal with uncertainties and instability in order to remain flexible to Adapt, where possible, the project objectives and related interventions to touch primarily on real priorities and lead to those common objectives (W.1.6-D)
Detect and interpret early signals, new and emerging trends, opportunities and risks.	Engaging in Networking with identified stakeholders to promote intended cooperation for targeted changes (H.2) Flexible Planning (H.3) Developing a detailed monitoring plan that includes clear milestones and pilot activities, guide the proper implementation of agreed interventions, help identify unforeseen challenges and facilitate accountability for result (H.4)
Develop political acumen, understanding power dynamics (political, demographic, economic and social) and their impact on the information made available.	Networking (H.2) Identifying the stakeholders (in the country) and what aspects of the local framework (regulations, power, and politics) that need to be considered while developing the appropriate strategy (T.1)

Annex 6-9 - Sample statement linked to Learning Never Stops (W.4)

UN- CB Learn and develop	Demonstrate curiosity and willingness to learn and to apply learning in practice (All staff, managers & Senior Leaders)
	Make it safe for people to be open about their vulnerabilities, weaknesses and development needs. (Managers and Senior Leaders)
WBG- CC Create, Apply and Share Knowledge	Seeks opportunities to grow and further develop own capabilities (Level 1)
	Actively promotes knowledge-sharing (Level 4)
WBG- MC Building Talent for the Future	Managers...create growth opportunities for others, encouraging them to stretch beyond their current experience or comfort zone
	They provide ongoing feedback and development, including long term career development and mentoring, as well as hold their team members accountable for developing others.
UNDP- CB Learn Continuously	•Actively pursue opportunities for learning and self-development professionally and personally
	•Contribute to the learning of others
UNDP-PM Build Capability	•Identify and develop talent in individuals, providing positive support to enable them to achieve their potential
	•Have willingness and ability to delegate to help people learn, including from failure
OECD Enable People	I take opportunities to learn and improve my performance and support others in doing so. (Level 1)
	I take an active role and promote learning and development opportunities for myself and others. (Level 2)
FCDO Monitor, Learn and Adapt	Use appropriate tools to monitor and evaluate project performance Design and apply learning approaches into the project cycle
	Summarise learning from a programme in ways that can be used by others
USAID Talent Management	Takes responsibility for professional development of self and others.
	Seeks and provides constructive feedback.

Annex 6-10 – Sample statements fitting in the Wise Cluster

	(W.1) Donor's Commitment to Adaptive Management & Stakeholders' Engagement for making a difference in Development	(W.2) Openness, Transparency and Diversity for win-win solutions	(W.3) Persistence and Positivity	(W.4) Learning Never Stops
UN	<i>Engage</i> with internal and external <i>stakeholders</i> to identify & understand their needs & propose solutions.	Create an enabling working environment in which everyone may speak openly, honestly & without fear of retribution.	Demonstrate resilience, self-awareness & ability to manage own emotions in the face of stress, uncertainty & ambiguity	Pursue own learning & development & contribute to the learning & development of others.
UNDP	Act in a way that demonstrates empathy & emotional intelligence, showing consideration for the needs and feelings of others	Demonstrate honesty and transparency.	Be comfortable with ambiguity & effectively managing multiple demands	Actively pursue opportunities for learning and self-development professionally & personally
WBG	Provides the space and empowers others to act decisively by clearly communicating expectations and with <i>appropriate for decision-making authority</i>	Welcoming others' input into the decision-making process, and they build on others' ideas.	Have the confidence, balanced with humility and judgment,	Develop self & others
OECD	I build coalitions and networks and exercise influence with stakeholders to create wide ranging opportunities inside and outside of my direct area of responsibility.	I seek out the views of others and appreciate and respect diverse perspectives.	I act as a role model by demonstrating a positive attitude towards change even in situations of personal insecurity.	Developing Talent means fostering an environment that will encourage professional and personal growth and the transfer of knowledge to future talent.
FCDO	Engages different stakeholders with different interests.		Define and operate within project risk appetite, and promote risk culture across team	Design and apply learning approaches into the project cycle
USAID	Builds consensus and partnerships to implement the vision.	Maintains openness to new information and effectively adjusts to challenges or shifts in priorities.	Taking & Managing Risks	Professional Development

Annex 6-11- Sample statements fitting in the Holistic- Approach Cluster

	(H.1) Visionary Strategy	(H.2) Networking	(H.3) Flexible Planning	(H.4) Monitoring & Accountability – Donor Only
UN	Engage others as co-creators of a common vision.	Seek opportunities for partnerships & collaboration within and across different teams, thematic pillars.	Plan and prioritize on the basis of data.	Hold oneself accountable
UNDP	Create and communicate a compelling vision and purpose.	Establish and develop networks that deliver powerful collaborations.	Align people and resources with organizational vision, strategy, objectives	Hold self and others accountable for results
WBG	Fosters open discussions with broad audiences to set vision and establish buy-in for innovation that can enhance WBG effectiveness	Cultivate and leverage professional networks to achieve best results for clients.	Align capabilities and resources around the WBG mission.	Take Ownership/be accountable
OECD	I have thorough knowledge of the requirements of stakeholders and anticipate trends that impact strategy to build a shared vision with others.	Collaboration and Horizontality is developing team spirit and recognising the value of building and operating within strategic networks.	I identify & consider emerging opportunities, the requirements of different stakeholders, as well as risks.	I plan, co-ordinate and manage my work and resources to accomplish tasks within given deadlines.
FCDO			Understand, apply and drive commercial judgement to project design	Use appropriate tools to monitor and evaluate project performance
USAID	Assesses .. the local & international context, and draws upon ..local stakeholder input to establish direction & vision.		Maintains openness to new information and effectively adjusts to challenges or shifts in priorities.	Accountability for Results

Annex 6-12- Sample statements fitting in the Adaptive Implementation Cluster

	(A.1) Collaboration	(A.2) Trusting Relationship	(A.3) Adaptation	(A.4) Communicate with Diverse Audiences	(A.5) Expectations (output)	(A.6) Expectations (input)
UN	Collaborate with other United Nations entities and public and private sector partners	Actively build trust, collaboration and partnership with and between individuals, teams, stakeholders and clients	Show willingness to adapt plans and priorities as necessary in response to emerging situations and new information.	Communicate the need for change in compelling ways.		
UNDP	Demonstrate and encourage teamwork and co-creation internally and externally to achieve joint objectives and results	Promote honestly, openness, trust and psychological safety and create opportunities to innovate and learn	Seamlessly adapt to working within new situations or contexts, with new people, and in different ways	Communicate a compelling vision and purpose		
WBG	Work Collaboratively	Acts as a trusted, strategic advisor, partnering with clients to deliver results	Able to adapt to changing circumstances	Communicates with key stakeholders	Clearly articulates and models expectations of collaborative behavior	
OECD	I understand team objectives and how they align with the OECD's mission. I consider the impact that my actions have on delivering Work successfully.	Fostering a respectful, trusting and honest working environment	I respond to the needs of key stakeholders in a timely, professional, helpful and courteous manner.	Communicating with tact, diplomacy, respect and cross-cultural sensitivity	Effectively managing expectations according to time and resources available as well as understanding the needs and concerns of Members and key internal and external stakeholders is critical	
FCDO	Ability to manage self and others		Use learning and evidence on performance to adapt programmes as necessary	Communicate complex messages		
USAID	Teamwork	Interpersonal Skills	Adaptability & Flexibility	Communication	Building Consensus	

Annex 6-13- Sample statements fitting in the Thinking Process Cluster

	(T.1) Local Framework	(T.2) Information	(T.3) Analysis
UN	Gather, analyse and evaluate data from a wide and diverse range of credible sources in order to define the problem and inform evidence-based decision-making.	Work with others to interpret incomplete, contradictory or changing information	Develop political acumen, understanding power dynamics (political, demographic, economic and social) and their impact on the information made available
UNDP	Read a group's ... power relationships, identifying influencers, networks, and organizational dynamics		Seek patterns and clarity outside boxes and categories while resisting false certainty and simplistic binary choice
WBG		Identifies information needed to support decisions	Analyses data to support and enable decision-making
OECD	I leverage global context and the position of the OECD to design and implement strategies	Use evidence and data when forming decisions and ask for advice in unfamiliar situations	I consider various contributions, data and strategy to determine the best course of action
FCDO	Undertake Due Diligence, track identified risks and review implementing partner at key stages in programme	Identify the data and evidence needs for a project	Assess impact of political and institutional issues
USAID	Contextual Awareness & Political Astuteness		Combines substantive knowledge of backstop, local and international context, and understanding of Agency vision/objectives/norms/business processes to manage and implement the Agency's portfolio and operations, solve problems, take smart risks, meet customer needs and achieve sustained results

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