

**THE MADRID INTERNATIONAL  
PLAN OF ACTION ON AGEING**

**GUIDING FRAMEWORK AND TOOLKIT  
FOR PRACTITIONERS & POLICY MAKERS**

DEPARTMENT OF ECONOMIC & SOCIAL AFFAIRS  
DIVISION FOR SOCIAL POLICY & DEVELOPMENT

## **Department of Economic and Social Affairs**

The Department of Economic and Social Affairs of the United Nations Secretariat is a vital interface between global policies in the economic, social and environmental spheres and national action. The Department works in three main interlinked areas: (i) it compiles, generates and analyses a wide range of economic, social and environmental data and information on which States Members of the United Nations draw to review common problems and to take stock of policy options; (ii) it facilitates the negotiations of Member States in many intergovernmental bodies on joint courses of action to address ongoing or emerging global challenges; and (iii) it advises interested Governments on the ways and means of translating policy frameworks developed in United Nations conferences and summits into programmes at the country level and, through technical assistance, helps build national capacities.

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## **Glossary**

CCA	Common Country Assessment
UNDAF	United Nations Development Assistance Framework
MIPAA	Madrid International Plan of Action on Ageing
ECOSOC	Economic and Social Council
NGO	Non-governmental organization
DFID	Department for International Development (UK)

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**THE MADRID INTERNATIONAL PLAN OF ACTION ON AGEING**  
**GUIDING FRAMEWORK AND TOOLKIT FOR PRACTITIONERS & POLICY MAKERS**

<b>PART ONE: GENERAL PROVISIONS</b>
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**Guiding principle**

*“Mainstreaming ageing into global agendas is essential. A concerted effort is required to move towards a wide and equitable approach to policy integration. The task is to link ageing to other frameworks for social and economic development and human rights... It is essential to recognize the ability of older persons to contribute to society by taking the lead not only in their own betterment but also in that of society as a whole.”*

(Para. 15 of the Madrid International Plan of Action on Ageing)

**A. PURPOSE OF THE GUIDING FRAMEWORK**

This Guiding Framework was created to assist countries to give effect to the commitments made at the Second World Assembly on Ageing in Madrid in 2002. The Madrid Plan of Action on Ageing provided a fresh perspective on the situation of older persons and presented a new global agenda to address issues of ageing. In acknowledging the demographic revolution taking place in countries all over the world, the Plan of Action called for a new approach to ageing policies and programmes that would promote a society for all ages. This framework provides information and suggestions about how to go about creating those policies and programmes. It is based on experience gathered by staff of the United Nations Department of Economic and Social Affairs, Division for Social Policy and Development, in the context of activities carried out under the Regular Programme of Technical Cooperation of the Department and the Development Account project, “Capacity building to integrate older persons in development plans and goals and frameworks through implementation of the Madrid International Plan of Action on Ageing”.

As such, this Framework is still a work in progress to be added to as more experience is gained during the life of the aforementioned project. We also invite readers to send comments and/or offer examples that could be included and shared with others.

This framework may be used by anyone engaged with activities related to ageing, whether in government, civil society or the private sector. The Guiding Framework aims to:

- a. Help Member States to develop and implement policies on ageing by providing practical recommendations based on national-level experience;
- b. Promote an age-integrated approach to the analysis and design of national policies and programmes;
- c. Expand the technical assistance provided by the Division for Social Policy and Development for implementing policies on ageing to a wider number of countries by sharing experience and capacity building case studies.

## **B. ABOUT THIS FRAMEWORK**

This framework provides an outline to facilitate the development and implementation of policies and programmes on ageing at the national level. It will *not* tell you what policies to develop and implement. It provides guidance, among other things, on how to analyze, in a systematic manner, the policy environment and influence the policy making process, the institutional environment and individuals. It focuses on situation analysis, policy formulation and implementation, and evaluation.

Experience in the field has reinforced the view that the design of policies and programmes on ageing cannot be undertaken in isolation of the wider policy environment. Integration or “mainstreaming” must be the starting point. Based on this practical experience in providing technical assistance on ageing policies and programmes, the framework guides users through a series of steps:

- Organizing a needs assessment, including the types of questions to ask different stakeholders;
- Analyzing and discussing with various stakeholders the outcomes of the analysis, including major issues and priority areas, and reaching agreement on the way forward through developing and implementing appropriate policies and programmes;
- Planning for effective implementation, including consideration of obstacles and the types of issues that may have to be confronted – based on case studies from technical assistance experience;
- Identifying stakeholder roles and responsibilities for implementation, human and material resources available and how to improve or leverage them;
- Improving capacity for implementation;
- Establishing monitoring and evaluation procedures and benchmarks.

The methodology of mainstreaming ageing into wider national policy agendas is woven into the framework as an overarching approach. It is adapted from lessons learned through gender mainstreaming.

It seeks to guide users in coming to their own decisions on appropriate policy choices, based on the perspectives contained in the Madrid Plan of Action and their own national context. The framework does not focus on *what* to do (what the content of policies should be), but on *how* to do it (how to effect policy change according to your own identified needs and priorities).

This guiding framework *is not* a tool box on how to “include” older persons in already decided policy processes (at which point it is too late to be effective) or how to select the “right” policy from an established list or menu of policy options. It is also not a guide on how to “implement the entire Madrid Plan of Action” in your country.

Finally, it should be recognized that this framework is a work in progress, evolving and developing as the work at national level is carried out and experience is added to experience. Earlier sections, which concern issues and procedures that are encountered at the beginning of the process, are naturally more fully developed than later sections. The intention is for the framework to grow and the project continues, and for it to incorporate new and innovative approaches. Feedback, comments and suggestions are welcomed by everyone who uses this framework.

## **PART TWO: BACKGROUND TO THE DEVELOPMENT AND IMPLEMENTATION OF POLICIES AND PROGRAMMES ON AGEING**

*This part of the framework provides the historical background that led to the Second World Assembly in Madrid in April 2002, which elaborated the Madrid International Plan of Action on Ageing (MIPAA). This is the major international document that provides a basis for national action on ageing. The part gives a short interpretation of how perceptions of ageing and older persons have evolved over the past 25 years, and how this evolution can shape policies and programmes on ageing. It introduces the concept of mainstreaming and provides an example of mainstreaming in practice in one country. Finally, it discusses institutional arrangements for managing and directing national action on ageing.*

### **A. AGEING PERSPECTIVES: FROM VIENNA TO MADRID**

The Madrid International Plan of Action on Ageing is the second internationally-agreed programme to offer recommendations and guidance to countries seeking



to develop and implement policies and programmes on ageing. It reflects the changes that took place over twenty years in the situation of older persons around the world, and represents an evolution in the approach to social policy, to the ageing of societies and to older persons.

## **1. Lessons learned from the Vienna Plan of Action on Ageing (1982)**

The first plan of action on ageing, the Vienna International Plan of Action, was adopted by Member States in 1982 at the first World Assembly on Ageing. At that time, it was already apparent in developed countries that populations were ageing, while the issue remained on the distant horizon in most developing countries. As a result, the Vienna Plan of Action concentrated on two facets of population ageing – humanitarian (responding to the specific needs of older persons) and macro-economic or demographic (the implications of an ageing population for socio-economic policy) – with the latter focusing on general concepts meant to ensure that older persons did not become a drain on national resources. In addition, given the demographic situation and approach to social policy at the time, the Vienna Plan focused on policies in developed countries that tended toward a welfare orientation.

Implementation of the Vienna Plan of Action was uneven – particularly in developing countries with high rates of poverty and limited resources. Surveys and anecdotal evidence revealed that, although many developing countries adopted policies, programmes, principles, and even plans of action for older persons, many of these instruments remained unimplemented because of, among other things:

- ✚ lack of capacity at many levels: lack of skills, insufficient financial or human resources, low levels of organizational and institutional capacity;
- ✚ low political priority given to ageing issues, which affected the ability to implement policies and programmes that were adopted.

Over the twenty years that elapsed between the adoption of the Vienna Plan in 1982 and the Madrid International Plan of Action on Ageing in 2002, many things changed, including:

- ✚ the ageing of populations had become much more apparent in developing countries, and at a speed much greater than that experienced by developed countries;
- ✚ new approaches to development policy (for example, participation of stakeholders, self-help, mainstreaming etc.); and,

- ✚ a transformed economic and social landscape that has brought about policy changes.

These issues were the main driving force behind the decision by Member States to prepare a new Plan of Action, the Madrid International Plan of Action on Ageing (MIPAA).

## 2. The Madrid Plan of Action on Ageing: responding to challenges and opportunities of population and individual ageing

The MIPAA aims “to ensure that persons everywhere are able to age with security and dignity and to continue to participate in their societies as citizens with full rights.”<sup>1</sup>

### MIPAA Core concepts:

- **A development approach** to population ageing, through the mainstreaming of older persons into international and national development plans and policies across all sectors; and
- **A life-course intergenerational approach** to policy that stresses equity, reciprocity and inclusiveness of all age groups through all policy areas.

Ageing will be the dominant and most visible aspect of world population dynamics in the 21st century. It is expected that, by the year 2050, the populations of numerous countries will consist of over 30% older persons. This situation presents both challenges and opportunities; the MIPAA provides Governments with recommendations and policy advice, which they may interpret to their national circumstances, to develop the most appropriate response to their own particular situation. Chief among the recommendations are to **promote the participation of older persons as citizens with full rights**, and to **assure that persons everywhere are able to age with security and dignity**. Governments reaffirmed that the promotion and protection of all human rights and fundamental freedoms, including the right to development, are essential for creating an *inclusive society for all ages*.

For the first time, Governments agreed to link ageing to other frameworks for social and economic development and human rights. They recognized that other goals cannot be achieved unless they take into account the demographic changes that are occurring. The MIPAA thus has a strong **development** focus, emphasizing the need to integrate the evolving process of global ageing with the larger process of economic and social development. It calls for an examination of policies on ageing from a *developmental perspective*. This change of emphasis (from the more humanitarian focus reflected in the Vienna Plan)

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<sup>1</sup> MIPAA, para 10

reflects the modern perspectives on ageing and older persons, which views them as agents rather than objects of change, recognizes them as contributors to, not just beneficiaries of, economic and social development, and emphasizes their “deserving” aspect, which is to say, their fundamental human rights to equal treatment and self-determination.

The MIPAA differs from the Vienna Plan in that it (a) focuses more on developing countries, particularly due to the expected increase in the number of people aged 60 years or older in those countries during the first half of this century; and it (b) emphasizes inclusion of older persons in deciding policies rather than having policies designed for them.

It should be noted that each region also has its own regional plan of action which may also give you some regionally specific ideas and information:

Shanghai Implementation Strategy for the Madrid International Plan of Action on Ageing 2002 and the Macao Plan of Action on Ageing for Asia and the Pacific, 1999

Regional Strategy for Latin America and the Caribbean in the Implementation the Madrid International Plan of Action on Ageing (2003)

Economic Commission for Europe Regional Implementation Strategy for the Madrid Plan of Action (2002)

African Union Policy Framework and Plan of Action on Ageing (2003) (*please note, however, that this is not a United Nations document*)

Understandably, Governments tend to give more attention and resources to those groups that comprise the largest segment of the population - particularly children and young people, who have traditionally been seen as the key for successful national development and increased productivity. Older persons have often been viewed as yet another group requesting new programmes in an environment short on resources. Moreover, many Governments assume that a traditional cultural image of family -- one in which older persons are held in high esteem by family members -- still exists, and therefore, whatever social or economic problems older persons face will be taken care of by family members. A lack of age disaggregated data and an insufficient appreciation of changing family structures and functions in many countries tends to perpetuate this assumption, even though both quantitative and qualitative information often tells a different story.

## **B. OVERARCHING APPROACH – INCLUSION AND MAINSTREAMING**

### **1. The Mainstreaming Approach**

#### **The change in thinking on development policy and ageing – the roots of the new Madrid International Plan of Action on Ageing**

The Madrid Plan of Action moved from description to analysis. The goal for ageing policy became to ensure that older persons were “mainstreamed” into overall policy, not treated as a separate group in need of remedial care. Thus, policies should not be simply concerned with the welfare of older persons, or the allocation of resources, but should recognize the important role that older persons continue to play in societies, and that bias against them can affect the outcome of the policies themselves. The participation and empowerment of older persons – recognizing older persons as an untapped resource for society – became the centre of much of the debate in the early to late 1990s and is captured in the Madrid Plan of Action.

#### **What is mainstreaming?**

Mainstreaming is a methodology for ensuring that issues of ageing (and indeed, age) and older persons are brought into the “mainstream” of the policy making process rather than simply being treated as an add-on. Ageing and older persons should no longer be treated as merely the concern of the Social Ministry, but should be a concern of most other ministries and incorporated into their activities. Those other ministries should examine how their policies and programmes affect older persons, whether intentionally or unintentionally and whether positively or negatively. They should further consider how to improve their activities to encourage a more positive impact on older persons. Mainstreaming does not mean that policies or programmes specifically targeting older persons are no longer appropriate or worthwhile. In some areas they are necessary when a specific and concentrated activity is required or a particular need should be met. It also does not mean that once age has been mainstreamed it can be forgotten about.

As formally defined by the United Nations, mainstreaming is:

“...the process of assessing the implications for (*older persons*) of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making *older persons*’ concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres...” (ECOSOC conclusions 1997/2).

#### **Why mainstream?**

Some of the reasons you will want to mainstream ageing are to:

- ensure that policies and programmes reflect and respond to the interests and needs of older persons;
- optimize resources by integrating ageing into existing activities;
- reduce the differences between older persons and other members of society;
- end the marginalization of older persons and their overall social exclusion;
- optimize the ability of older persons to contribute to societal development;
- change stereotypes, reduce prejudice and improve intergenerational relations.

A fundamental justification for mainstreaming lies in the fact that older persons may have different issues and needs from younger people. This does not mean that the interests of older persons will necessarily conflict with those of youth; in fact, often their interest will coincide. But it does mean that policy makers should consider the needs, the activities, the resources, the benefits and the participation of people of all ages. Research on ageing and collection of age-disaggregated data are essential for understanding the issues of older persons, the diversity of situations among individual older persons, and the direct and indirect impacts of policies and programmes on older persons.

### **How to mainstream**

In broad terms, mainstreaming is achieved through:

- collecting and using age disaggregated data (quantitative information);
- collecting and using analytical information (qualitative information);
- analyzing the particular situation of older persons;
- analyzing the impact of policies and programmes on older persons;
- providing information and training to relevant officials of ministries, non-governmental organizations and others on what mainstreaming entails;
- establishing implementation arrangements and institutional frameworks for mainstreaming;
- establishing focal points or advocates in relevant offices and organizations;
- encouraging networking and coordination among representatives of Governments, international agencies, donors, NGOs and older persons.

When mainstreaming, it is important for you to recognize that older men and women are not a homogenous group and that age impacts people differently depending on a number of factors. "Old age" means different things to different people and you should bear in mind that older persons:

- have different priorities and goals;
- may have different legal and traditional rights;
- may have control of and access to different levels and types of resources;
- almost certainly have different roles within the household; and
- probably spend their time differently.

You should also recognize that situations, conditions, needs, priorities and goals of older persons will likely change throughout the period of “old age”.

## 2. What could this look like in practice? The case of New Zealand

The Government of New Zealand made a specific decision to adopt a mainstreaming approach to the design, implementation and monitoring of policies on ageing, through its Positive Ageing Strategy, 2001. In drafting the strategy, the Government combined actions being taken across the various policy making bodies to create one comprehensive strategy framework.

The strategy was produced through a highly participatory consultative process. A Working Party was created, which included the Ministerial Advisory Council for Senior Citizens, older indigenous citizens, and representatives of non-governmental organizations, local governments, academia, the health sector and the general public (both old and young). The Working Party undertook extensive community consultations.

The strategy it produced is simple. It is built around ten goals and ten principles, and it provides a framework to encapsulate and analyze policy action across all policy making bodies and levels. The goals are:

**Income:** Secure and adequate income for older people

**Health:** Equitable, timely, affordable and accessible health services for older people

**Housing:** Affordable and appropriate housing options for older people

**Transport:** Affordable and accessible transport options for older people

**Ageing in place:** Older people feel “safe and secure” at home and can “age in place”

**Cultural diversity:** A range of culturally appropriate services allows choices for older people

**Rural:** Older people living in rural communities are not disadvantaged when accessing services

**Attitudes:** People of all ages have positive attitudes to ageing and older people

**Employment:** Elimination of ageism and promotion of flexible work options

**Opportunities:** Increasing opportunities for personal growth and community participation.

The Office for Senior Citizens in the Ministry of Social Development liaises on an annual basis with many government departments to encourage them to identify actions that promote the goals in the Positive Ageing Strategy. Individual actions are linked to goals, and measurable indicators are identified and then reviewed regularly, so that the Office can assess achievement at the end of each year. In order to keep the momentum working across different Ministries, the Office of Senior Citizens organizes quarterly Interdepartmental Network meetings to exchange information and check on progress. The Office also provides

comments on proposed policies, programmes and services across the policy sphere.

The Ministry of Social Development believes that this approach, which designates the Office of Senior Citizens as the focal point for the strategy, but not its sole implementer, is most effective in ensuring action from a variety of actors from across the policy spectrum. Annual progress reports in a user-friendly format are widely distributed to the public and posted on the Ministry's website (source: paper prepared for Vienna meeting, 2003).

The New Zealand approach to mainstreaming ageing issues provides a good case study for the design of a specific strategy on ageing. When it came to implementing the strategy, the Ministry of Social Development also made a strategic decision to identify actions within the work programmes of other Ministries in the annual Positive Ageing Strategy Action Plans that are *specifically* aimed at older persons. It should be noted that, while this makes for a more streamlined action plan that may be easier to implement, it may also limit the scope for mainstreaming ageing into other policy arenas because it relies solely on using existing policies. The well-functioning Interdepartmental Network in New Zealand also points to the crucial issue of ensuring leadership from the top political level of Government to obtain the participation and cooperation of a variety of Ministries in implementing the strategy.

However, in developing countries and countries with economies in transition, where policies and programmes that specifically apply to older persons may be limited or, indeed, non-existent, mainstreaming should perhaps occur not at the level of the work programmes of individual ministries, but at the level of overall national development plans and policies to make a start on the inclusion of older persons and ageing at the national policymaking level first.

### **3. Institutional arrangements: joining forces for ageing**

Experience from New Zealand and from many other countries indicates the importance of well-functioning institutional arrangements, both within Government and between Government and other actors in society, for promoting effective policies and programmes on ageing, and for managing mainstreaming efforts. Networking is essential, in order to pool resources and best utilize the variety of skills and experiences that exist in your country. Strong political support is often key.

Many governments have established some type of focal point or coordinating body for ageing (usually within the Ministry of Social Affairs, Ministry of Health, or a Pensions Department). Of course, the size of this body, its ability to influence policies and programmes, and the financial support it enjoys will vary considerably across countries. For instance, in developing countries or countries in transition, it is unusual for a whole department or division to be devoted to the implementation of ageing policy. In fact, there is rarely an office devoted solely

to ageing and older persons. What is most often found is one unit carrying multiple responsibilities for various groups with special needs (youth, older persons, persons with disabilities). Issues of ensuring sufficient human and financial resources may exist. This means that formulation and implementation of ageing policy is often the responsibility of over-stretched staff with multiple and sometimes conflicting priorities. There may be competition for their scarce time and resources. Therefore, it is both essential and practical for you to consider how to best leverage your time and resources by cooperating with others. This may best be achieved if you can establish an effective network that is committed to implementation.

Case study: Canada's Senior Secretariat

This body was established in 2005 to act as a focal point for federal-level coordination and development of a collaborative approach to policy and programme development. The Secretariat also supports and participates in the Federal/Provincial/Territorial Ministers Responsible for Seniors Forum, which meets regularly to discuss issues pertinent to older persons and the development of a common understanding of needs. The Secretariat also coordinates the Interdepartmental Committee on Seniors which recognizes the interconnectedness of policies and programmes for older persons which are somewhat spread out over several Ministries. (Source: Addressing the challenges of ageing in Canada: Government of Canada 2007)

### **PART THREE: GETTING STARTED**

*This part of the framework will help you to review what you might need to do to begin the policy process. It discusses issues related to perceptions of ageing and how to advocate for policies and programmes for older persons, in order to “set the stage”. It asks you to consider the national policy environment, which includes the context in which decisions are taken and the processes by which activities are implemented. It encourages you to analyze past experience in your country, so that you can build on what has already happened and what has been learned. It then introduces the concept of a needs assessment and offers tools for gathering information and viewpoints that will be useful for policy development and implementation.*

#### **1. Building on experience: the Vienna Plan of Action and its impact on the development and implementation of national policies and programmes on ageing**

When it came to developing and implementing policies and programmes on ageing on the basis of the Vienna Plan of Action, the record was not good. Soon after the adoption of the Vienna Plan, several small projects were initiated that focused on the productive role of older persons through income generating activities - an approach that affected just a small number of people, treated them as a “vulnerable group” and left older persons in general on the margins of



development activities. Sadly, experience in many countries showed a great deal of indifference to formulating policies or programmes; even when these were developed, there was often insufficient effort or resources given to their implementation.

Examples of some of the reasons most often cited for non-interest or non-implementation include the following:

- Lack of information, research or data for politicians and policymakers – no age disaggregated data; no interesting or compelling information;
- Misguided or outdated information;
- Weak or marginalized constituency – older persons are not usually an organized and visible group that demands attention;
- Other constituencies or issues are more visible or considered more pressing;
- Ageing issues receive low priority from donors – the donors prefer to fund other groups or issues;
- Critical numbers – older persons are not the biggest population group;
- Cost/benefit argument – what benefit will accrue to the politician, policymaker, or government official? Who will care if they do anything for this group or not?
- No commitment by working level civil servants to implement programmes for older persons – without the enthusiasm of mid and lower level personnel who are responsible for policy implementation, efforts will be slow and uneven;
- No policy "ownership" due to little or no consultation with stakeholders during the policy formulation stage.

In all probability a combination of these issues is at the heart of most cases of policy or programme "evaporation" or inertia. The purpose of reviewing these past obstacles is not to discourage you from taking action. Instead, it is to remind you to consider what has taken place in the past, and to learn from the experience. You should understand and analyze past experience before you start designing any new policy or programme. This first step constitutes your initial needs assessment, and will shed some light on relevant issues and add important information that may not be readily apparent already.

## **2. What is the current policy situation?**

Therefore, you should investigate what actions have been taken in your country with regard to policies and programmes on ageing during the past 25 years following the Vienna Assembly on Ageing. Do policies, programmes or a national plan of action on ageing already exist? This will give you a good place to start. Once you have identified what exists, consider what the impact of those policies and programmes has been. How successfully are they being implemented? What was the result? Did they achieve their objectives? Are older persons better off as a result? What do you think caused them to be implemented successfully or not? Discuss these questions with your

stakeholders. Seek the opinions and experience of others and collate their input to develop a general understanding of the current policy situation in your country.

Governments will find themselves in a range of situations: some have no separate policies aimed at older persons; some have established policies but these are being only partially or incorrectly implemented; other have promulgated national plans of action on ageing but these have not resulted in the development of specific policies or programmes. Still others may have developed programmes and activities, but the extent to which they have been implemented may vary widely. In a few places, policies and programmes may be functioning very well.

### Learning from experience

From this initial analysis, you will have a sense of what is going on in your country. In order to fully utilize this experience, however, you need to develop a clear understanding of *why* something worked well or did not. It is not enough to know that something happened; it is essential to realize why or how it happened, because it is the experience of the *why and the how* that you will utilize in replicating success and avoiding failure.

### Some common problems

Lack of financial resources was already mentioned as a common initial explanation for non-implementation of policies and programmes (i.e., a lack of financial capacity). Governments have to make decisions about how to allocate scarce resources, and in many places social policies and programmes continue to be viewed as costly, time-consuming and with uncertain benefits. Ministries of Social Affairs, therefore, uniformly receive less funding than they require to implement the large and growing mandates they have acquired and to provide the services that their “clients” require. Competition among different social groups for scarce resources can also make allocation of resources within the ministry difficult. Stereotypes of older persons persist that make it difficult for some ministries to devote resources to programmes that benefit them. Many people continue to consider money spent on older persons to be “wasted”.

However, resources are not the only, or maybe even the main, type of capacity issue. Many Governments also lack knowledge or experience on how to implement a policy or plan. A national plan of action or policy on ageing is most often a statement of principles. In order for action to occur, the policy or plan has to be translated into a work programme or plan of implementation. The ability to “operationalize” a policy is key. There may also be a lack of human resources – not enough people to implement the policy – or a lack of human capacity – having people with unrelated or insufficient training.

The point of listing some common problems is not to discourage you from taking action, but to encourage you to take a realistic view of the work to be done. It is

important that you analyze past experience in order to establish a clear understanding of what happened, to profit from its lessons and to try to avoid past mistakes or shortcomings. It is also very important that you consider, at the outset and in a realistic way, the challenges that you will face. You should then identify the potential resources at your disposal and the partners – in Government and in the national society – who can work with you to develop and implement appropriate and effective programmes. This framework focuses on helping you to work with stakeholders to leverage resources and collaborate in an efficient way to implement policies and programmes at the national level by taking a mainstreaming approach.

### **3. Starting the policy process: Rationale for a Needs Assessment (and age analysis)**

What is a needs assessment, and why do we need to do them?

A needs assessment must be the starting point for any type of enquiry, and eventually, for a change in policy or programme design. A needs assessment is just what it says: a review and analysis of needs. It provides the evidence-base you will need to determine what policies should be changed and why, and it can help you to achieve that policy change by providing justification and, therefore, gaining political support. Often we may think we “know what needs to be done” with a policy, or we think we “know what the problem is” when a policy or programme is not being implemented successfully or is not having the expected impact. Sometimes our assumption might be right, but there may be additional issues or forces at work that we might not have thought about. Carrying out a participatory planning process which brings together diverse stakeholders offers the possibility of gaining different information and perspectives, building a strong network for collaboration that will enhance the level of evidence-based policymaking, and improving the likelihood that policies will be considered legitimate by stakeholders. All of this will contribute to the success of the policy in reaching its objectives.

Bringing the major stakeholders together to discuss findings of the assessment can bring about a discussion of issues and problems that have not been addressed or acknowledged before. Thus, taking the time to do thorough needs assessment can provide you with valuable insight, can encourage the participation of various stakeholders, and can draw in attention and resources to your effort.


In Kyrgyzstan, a variety of actors work on issues of ageing and older persons, but they rarely worked together. A debriefing meeting organized after a needs assessment mission brought Government officials and representatives of NGOs to the same table to discuss a variety of issues, including how official policies regarding older persons are actually being implemented around the country. Despite policies which guarantee access to medical care, for instance, it came out that many older persons are refused

treatment or required to pay a service charge when they visit a clinic. The information provided and the contacts established proved invaluable in increasing understanding of actual conditions, particularly in areas far from the capital.

Needs assessments should look at the social, political and economic relations within a population, and provide an analysis of these relations and resulting issues by age and gender. They are a valuable tool that points to areas where these issues have been overlooked. The analysis they provide can help to ensure that the ensuing policy or programme will address the issues identified in an effective way. It may thus be argued that the needs assessment is the most important part of the policy process because it is the foundation on which any successful policy or programme is built. When doing needs assessment, you may identify issues that need further in-depth research. As discussed earlier in the section on mainstreaming, it is at this first stage that analysis by age should be undertaken.

#### How to do needs assessment: Available tools and methodologies

There are various tools and methodologies that can be utilized in undertaking a needs assessment – they all serve as a basis for situation analysis, policy formulation, programme planning and evaluation. They can also provide the data and indicators for monitoring, mid-term or final assessment of a policy or action plan. The type of needs assessment and tools you choose to use depends largely on what you wish to find out, how much time you have available, and the human and financial resources and capacities at your disposal. \* See the following table for an overview of available tools and methodologies.

-  For an in-depth discussion of tools, methodologies and guides to undertaking research with older people see “Participatory research with older people: A sourcebook” HelpAge International, March 2002

#### 4. Assessment tools

Decide which assessment tool (or combination of tools) you will use for the exercise.

##### Overview of selection of assessment tools<sup>2,3</sup>

Tool	Purpose	Advantages	Risks
<u>Semi-structured interviews</u>  1. Individual	To create dialogue or process that draws out experiences and attitudes relevant to a problem: flexible but controlled; natural and relaxed; appropriate location (the home).	Builds rapport. Detailed information; Might reveal information not brought out in a group.	Can be misled by myths, rumour, gossip; expectation of gifts unless purpose clearly stated.
2. Group	To obtain representative information; interview a number of different individuals on same topic (older women, older men...)	Cross checks individual interviews; people correct each other; large groups of people covered in short time; some people may feel more comfortable sharing information.	Might fear sensitive information will be told to others; difficult to reach most disadvantaged women, ill, poorest. Group may not be representative; the most verbal may dominate; can become chaotic if group is too big.
3. Key informant	To obtain specialized information – from government officials, health service personnel...	Acquire information about community, not just individual problems; key informant can suggest who to interview	Key informant may express personal rather than community view and be biased against certain groups.
<u>Participant observation</u>	To participate in and observe daily activities, relationships, people or events.	Supports and cross checks findings; builds rapport; identifies key indicators	Difficult to observe when participating and to be objective.
<u>Focus group discussion</u>	To discuss a specific topic with a small homogeneous group – pre selected	Provides atmosphere of open communication in which members correct each other	Group may express desired and not actual situation

<sup>2</sup> Adapted from “Social Assessment and Participation Tools”. Department of Economic and Social Affairs and Department for International Development (DFID)

<sup>3</sup> Other useful resources for more in-depth information: World Bank (1996) Participation Sourcebook. [www.worldbank.org/wbi/sourcebook/sbhome.htm](http://www.worldbank.org/wbi/sourcebook/sbhome.htm). Centre for Development Studies, Swansea. Participatory Rights Assessment Methodologies <http://www.swan.ac.uk/cds/research/PRAMs/index.htm>. Framework for monitoring, review and appraisal of the Madrid Plan of Action on Ageing: [http://www.un.org/esa/socdev/ageing/documents/MIPPA\\_framework.pdf](http://www.un.org/esa/socdev/ageing/documents/MIPPA_framework.pdf)

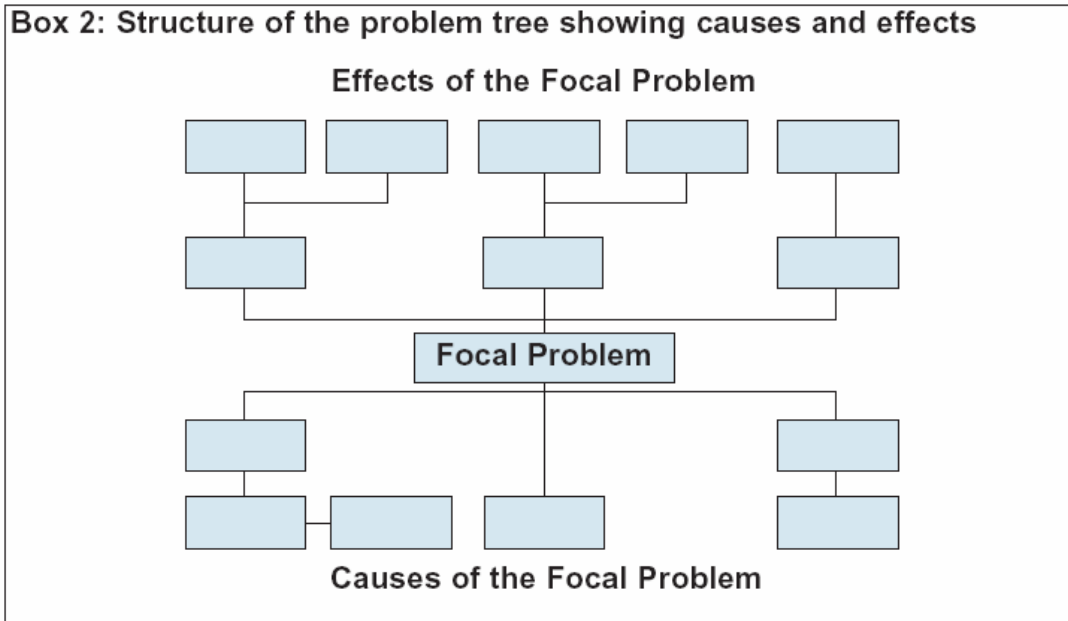
<b>Tool</b>	<b>Purpose</b>	<b>Advantages</b>	<b>Risks</b>
<u>Problem tree</u> <u>Cause/effect analysis</u>	Method of analyzing with a group what is the main problem(s), its causes and effects	Highly focused/organized. Gives a visual picture to participants	Methodology can be intimidating to some participants. Can get confusing unless facilitator fully understands the methodology. Can be time consuming and labour-intensive.
<u>Desk study</u>	To investigate data and information that is available to obtain an overview of current situation.	Low cost way to quickly obtain information.	Information available may not be enough to tell you the whole picture. Serious lack of age disaggregated data in many developing countries. Information may be biased. With no input to assessment there will be no stakeholder participation and "buy-in" to policy/programme.

The problem tree approach is one popular tool. What it is and how it can be used, are described below, followed by an outline of the methodology for a problem tree and diagram.

**Box ...: Steps in undertaking a Problem Tree Situational Analysis**

Guidance notes and key questions	Hints
<p><b>Step 1: Formulate problems</b></p> <p>A. Stakeholders brainstorm suggestions to identify a local problem, that is, to describe what they consider to be the central point of the overall problem.</p> <p>B. Each identified problem is written down on a separate card or post-it.</p>	<p>Post-its are a particularly useful device, otherwise use small cards and display them where all participants can see them.</p> <p>Try to identify existing problems, not possible, imagined or future ones.</p> <p>What is a problem? A problem is not the absence of a solution but an existing negative state: Crops are infested with pests is a problem. No pesticides are available is not.</p>
<p><b>Step 2: Select one focal problem</b></p> <p>A. The participants should discuss each proposal and try and agree on one focal problem.</p>	<p>What is a focal problem? One that involves the interests and problems of the shareholders present.</p> <p>If agreement cannot be reached then:</p> <ul style="list-style-type: none"> <li>- arrange the proposed problems in a problem tree according to the causal relationships between them;</li> <li>- try again to agree on the focal problem on the basis of the overview achieved in this way;</li> </ul> <p>If no consensus can be achieved:</p> <ul style="list-style-type: none"> <li>- try further brainstorming;</li> <li>- select the best decision, e.g. by awarding points; or</li> <li>- - decide temporarily on one; continue your work but return at a later stage to discuss the other options.</li> </ul> <p>Whenever possible, avoid a formal vote by the participants to obtain a majority decision.</p>
<p><b>Step 3: develop the problem tree</b></p> <p>A. Identify immediate and direct causes of the focal problem</p> <p>B. Identify immediate and direct effects of the problem</p> <p>C. Construct a problem tree showing the cause and effect relationships between the problems</p> <p>D. Review the problem tree, verify its validity and completeness and make any necessary adjustments.</p>	<p>In developing the problem tree, the cards or post-its be moved so that:</p> <ul style="list-style-type: none"> <li>- the immediate and direct causes of the focal problem are placed in parallel beneath it;</li> <li>- the immediate and direct effects of the focal problem are placed in parallel above it</li> </ul> <p>Causes and effects are further developed along the same principle to form the problem tree.</p> <p>The problem analysis can be concluded when the stakeholder groups are agreed that all essential information has been included that explains the main cause and effect relationships characterising the problem.</p>

Structure of and steps in undertaking a problem and situational analysis and development of a problem tree (taken from Tools for Development, DFID, September 2002)



## 5. Advocating for older persons

The Madrid Plan of Action identified images of ageing and perceptions of older persons as integral for policy development. Negative perceptions make it less likely that older persons will remain engaged with their societies and also less likely that action will be taken that includes them and benefits them. You may, therefore, want to consider advocacy with and for older persons as a first step in the policy process. You may find that you need to overcome longstanding negative stereotypes in order to obtain the support of politicians and policymakers, and to improve the likelihood that action will be taken.

A key to advocating on behalf of older persons is to identify the issues and political forces at play in your country and to develop an approach for your policy or programme that works within the parameters of the national development agenda. This will make your proposal more likely to appeal to policymakers, development agencies and donors. For example, you may be able to promote the case for ageing policies and programmes by suggesting that:

- a) Including older persons in national development initiatives will provide an economic boon to the country. Ignoring or excluding a growing segment of the population will become more and more costly to the State. Arguments could also include illustrations and evidence of how older persons reinvest benefits and income into the family unit; e.g. research undertaken on the non-contributory pension scheme in South Africa indicates that older persons most often use their pension incomes for the benefit of the entire family;



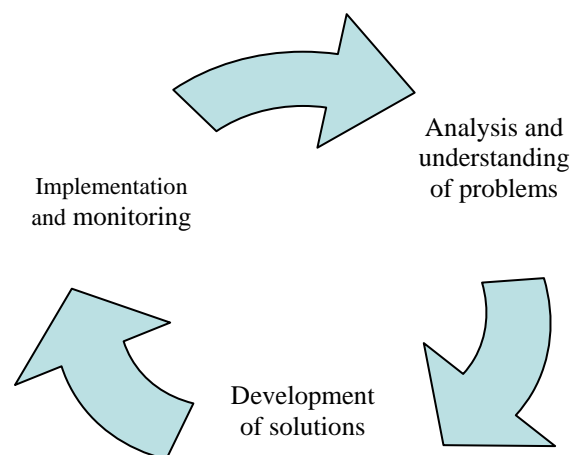
b) Continuing to involve older persons in social networks ensures that knowledge, experience and traditions are maintained and passed on to succeeding generations;

c) Involving older persons in national and community life helps to ensure their human rights and quality of life. An improved quality of life will not only benefit older persons themselves, but also their families because they will be healthier and better able to continue contributing to the family unit, the community and society.

Certainly, you should make use of available research and data to promote your case. Grounding your advocacy in quantifiable terms adds power to your arguments and can be invaluable for “selling the issue”. Therefore, you should seek out and develop contacts with people engaged in the research community in your country or region, and ask for their support and for access to persuasive research results. You may find that researchers are eager to establish contacts and draw greater attention to issues of ageing. The importance of building alliances and networks with other stakeholders cannot be overstated.

## 6. Understanding the policy environment in your national context

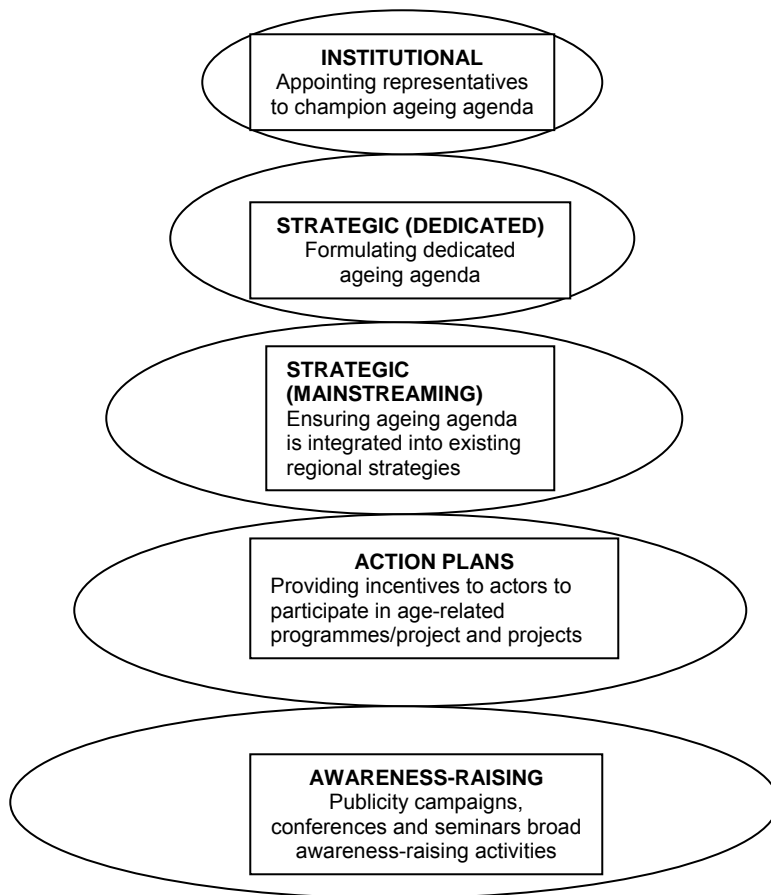
This framework is structurally organized using the standard rationale of the policy making cycle: from analyzing and understanding problems, to developing solutions, through implementing policies and programmes, and closing the cycle with monitoring. In real situations, the policy process is rarely this straightforward. This framework will, therefore, also ask you, the user, to think about ageing issues in the wider policy environment: that is, all the issues and factors, often not directly related to policies or programmes on ageing, which can influence (both positively and negatively) the success or failure of those policies and programmes.



For example, while there are aspects to the policy-making process, such as drafting a project work plan or a plan of action, which may seem purely technical, it is clear that unless you have an understanding of the wider policy environment in which the plan or policy will be implemented, you may find it difficult to get it implemented. Understanding and tailoring both your arguments and your programmes to the policy-making environment in your country is key. The policy-making environment involves all the processes and procedures required to move from concept, to information gathering, to policy development, to implementation. How, in your country, is a policy formulated and implemented? Who is involved and who makes the decisions? What resources (human and financial) do they draw upon?

The policy-making environment also includes all actors (or stakeholders), from civil servants, politicians, donors, researchers, beneficiaries, lobbying groups and NGOs, to the public in general. They all have different interests, motivation and power. They may choose to support, inhibit or ignore policy approval and implementation. Therefore, when considering the policy process, you should make sufficient efforts to identify potential stakeholders and ensure that they are actively engaged, have an ability to contribute, and buy into or “develop ownership” of the proposed policy or programme.

The following diagram is another version of a possible policy process flow.



Policy design 'cascade' (Regions for All Ages: The Implications of Demographic Ageing for Regional Policy; European Policies Research Centre, January 2006)

## PART FOUR: STEP BY STEP NEEDS ASSESSMENT

*This part of the framework offers a detailed approach to conducting your own needs assessment exercise. It provides suggestions on collecting background information you may need, organizing your team, approaching communities and arranging discussions. It also provides a selection of possible questions, as an indication of the kinds of information you may be able to collect and assess. The suggestions offered are for your consideration; the way you actually conduct the needs assessment will depend upon your local circumstances.*

### **Step 1: Starting from your own office:**

**a. Define or clarify your objective:** It is crucial before you start any work to decide what you would like to know and for what purpose or objective you need the information. This will guide both the content and the scope of the assessment and help to ensure that the enquiries you make will garner the information you need. For example, if you are working on mainstreaming ageing into a sectoral policy or programme and you are unfamiliar with the substantive issues involved in that sector, you will need to seek guidance from others. Consult a specialist who will be able to suggest what information you will need to achieve your goal.

**b. Determine your starting point:** Is there an official document such as a policy or plan of action on ageing? If there is no separate policy, are ageing issues included in any other major policy initiatives, such as health, social development or social welfare policies? If not, you may wish to use the Madrid Plan of Action as an initial guiding document.

**c. Review the starting point:** determine the dates of any existing policy or plan of action and the provisions contained in the document (what are its goals, etc.)

**d. Undertake a desk analysis of secondary data and background information:** What data and information are available (not only ageing-specific material), including socio-demographic data or socio-economic data analysis? Also, what is not available that would be important for analysis and for policy making (particularly important here is data used to monitor the achievement of major development goals, such as age-disaggregated data that may have been collected for poverty analysis)? What are the major development documents that establish national priorities and policies, and what type of approach do they take to social issues? For example, does the poverty reduction strategy focus on macro-economic issues, or does it also contain a social perspective and analysis? Are older persons mentioned and in what context? (i.e., in relation to pension issues, employment issues, or others)? What ministries are responsible for these national documents or plans? Do you know whether other ministries

were involved in their preparation or if a consultative process was used for their elaboration? Is ageing mainstreamed in any of the major national development documents?

Conduct the same review of the programming and implementation framework of the United Nations country team in your country, including the Common Country Assessment (CCA), United Nations Development Assistance Framework (UNDAF), and the country-level plans of financial institutions (World Bank system) or bilateral donors. What preliminary conclusions can you draw from this review?

## **Step 2: Stakeholder analysis**

The information and suggestions that follow pertain most specifically to interview and focus group situations. They may also, however, provide you with guidance in how to approach any kind of needs assessment, including observation and ranking exercises.

**Undertake a stakeholder analysis:** It is important that you do not receive a one-dimensional view that will bias decisions and the elaboration of your policy, plan or programme. A stakeholder analysis introduces the possibility of having a 360 degree review process, i.e., obtaining input from all sides of an issue, and working with stakeholders to obtain a consensus on the best approach. Involving stakeholders from the beginning in planning any future action is likely to garner more support, if done in the right way. Stakeholder analysis will also help to devise a stakeholder participation strategy, which will be instrumental to planning, implementation and programme evaluation.

Stakeholders are all those people who have a role or an interest in the outcome of a policy or programme. Stakeholders will vary depending on the issue and so it is important to identify stakeholders according to the specific issue and at all levels. You should consider stakeholders from institutions – both formal and informal – and from the community, and in particular, older persons themselves. As there are likely to be a large number of stakeholders, it is important to recognize that different people will have different interests, degrees of interest, and “stakes” in the outcome of the process. You may wish to sub-divide the group accordingly:

**Key stakeholders:** those people with significant influence on the outcome of any activity – their participation is crucial;

**Primary stakeholders:** those people who are directly affected by the activity – as beneficiaries or by the impact of the activity (the affect could be either positive or negative);

**Secondary stakeholders:** all other people with an interest in the activity or its outcome;

It is preferable to involve as many of these stakeholders in the analysis as possible. Of course, if very large numbers would be involved or there is a problem in bringing people together because of distance and cost, you will need to consider alternate arrangements. Is it feasible in your country to use video conferencing or similar link to people in remote locations? Is it possible to conduct smaller analyses of some type in each region of the country? This will also allow you to take account of potential regional variations. It is important that appropriate solutions be found to ensure that representatives from each group of stakeholders from different regions are involved for the resulting analysis to be both accurate and well received.

The kind of information needed to assess the type of stakeholder and the degree of their stake in an activity is shown below. By asking questions and interpreting the answers you will be seeking to clarify whose problem you are addressing, who will benefit or lose, who will be included or left out, and who will be positively or adversely affected by the policy or programme. To the best of your ability, you should undertake these main steps:

- Identify the general development problem or opportunity being addressed or considered;
- Identify all those groups who have a significant interest in the policy or programme (stakeholders);
- Investigate their respective roles, different interests, relative power and capacity to participate and influence the process;
- Identify the extent of cooperation or conflict in the relationships between stakeholders; and

One popular tool for organizing information is the stakeholder analysis matrix – see the example below:

### Stakeholder analysis matrix

Stakeholder and basic characteristics	Interests and how affected by the problem(s)/issues(s)	Capacity and motivation to bring about change	Possible actions to address stakeholder interests
Older persons			
Families of older persons			
Local government officials			
National government officials – health, social, planning, finance, statistics, housing etc.			
NGOs working with older persons			
NGOs working in general development arena			

**Source: Stakeholder analysis methodology (adapted from Aid Delivery Methods Vol. 1 – Project Management Guidelines; European Commission, March 2004)**

### **Step 3: How to organize and carry out the needs assessment**

**a. Set specific criteria for your team members:** Once you have identified the stakeholders, you can begin your needs assessment. You will need to think about who is going to be part of your assessment team. It is important at this point to note that the following guidance is a best-case scenario given sufficient resources. If resources are not available to encompass all the recommended steps you should think about how you can adapt the needs assessment exercise to fit your situation. For instance, in Senegal, needs assessments were carried out on a decentralized basis with regional level government officials carrying out the exercise. The team should contain a mix of members, to include not only

people working in government, but also people working in civil society organizations, academia and the community. A broad mixture of people will ensure that a wide range of skills and interests are represented, and will tend to make participants feel more at ease. Ideally, you should include people with experience in participatory research or assessments. There are in many countries, people with these skills in academia and in civil society organizations. Don't just look at organizations working with older persons, but at the whole range of organizations active in your country. You should make sure your team is balanced in terms of age and sex. If you plan to hold a focus group discussion or other group activity, look for an experienced facilitator who can guide the discussion while remaining objective, and who will be seen as neutral by participants.

**b. Distinguish between regions and between urban and rural areas:** To obtain a complete understanding of local conditions, you should attempt to undertake needs assessment exercises in each region of your country and at all levels (regional, district and local). What may be the key problem for older persons in a major urban area may not be the same for those who live in rural and isolated areas. In Kyrgyzstan, there was a marked difference between the northern and southern parts of the country on all levels: topography and environment, economy and culture. Arranging regional assessments will also give you a good overview of the policy implementation process from central government down through regional levels to local levels. Again, in Kyrgyzstan interactive discussions with community members at district and village level proved essential to determining the linkages between policy making and implementation.

**c. Establish the group profile and dynamics:** In preparing for your visit to different regions and communities, you should do some groundwork with key people in each community. Identify and contact these people beforehand, to ensure that they understand the purpose of the visit, to enlist their support and to seek their knowledge of the community. It is a good idea to have one focal person in the community who can facilitate access to locations and to people you need to speak with. You may even wish to consider including at least one member of the community on your team. This is particularly important if you are working in a community of a different ethnic or religious group, or that speaks a different language. If you do this, however, it is essential to select a focal person who has the trust of the whole community. You may need to consult with various members of the community to ascertain who would be your best contact person.

In order to obtain useful information, it is important to ensure that you have access to all groups in a particular community. It is not uncommon for elites or powerful groups to attempt to usurp the process and exclude others from participation. Sometimes groups will "de-select" themselves, opting out of the discussions because they feel they are not able to contribute, or they are confused about the purposes, or they are afraid to speak their minds. Sometimes



people are reluctant to participate because they feel that any criticism they make will be held against them. One way to overcome these obstacles is to stress the importance of hearing a wide range of perspectives, and to ask people to focus on offering constructive comments and solutions to problems.

If you plan to do group exercises such as focus groups or problem tree analysis as part of your fact-finding, you should make sure that you have a thorough understanding of the community dynamics and its component parts, so that you can properly identify the specific profiles of the people you need to include in each group. It takes some initial effort to ensure that appropriate invitations are extended, but the effort will pay off when you are sure that you have a balanced sampling of participants.

You may discover that it is not possible to form a single discussion group. Sometimes divisions within a community are too large for you to overcome. In fact, it is often preferable that groups be homogeneous, so that they function more smoothly and successfully. In some places, for example, only older men are expected to contribute to decision making, and so only they are traditionally invited to meetings of any sort. You may find that you need to organize separate meetings of older women, to allow them the opportunity to express their opinions without the influence of their male relatives or neighbours. In such a case, it is usually a good idea to assign a female facilitator as well. Depending on the local situation, you may find it helpful to organize separate groups, segregated by age, sex, ethnicity or even social class. While it is not always necessary to have separate groups, you should investigate and try to understand the social dynamics at work in a particular community, so that you are able to organize your inquiry appropriately and so that you have a better chance of obtaining relevant and useful information.

**d. Get to know the community:** If you are working in a community for the first time, it is important that your team has some initial opportunity to get to know the place and the people, and that people have a chance to get to know you. You will find that discussions flow more freely when people feel comfortable and at ease. Therefore, it is a good idea, ahead of any focus group or other group exercises, to allow your team enough time to walk informally around the community, to introduce themselves, explain their activity, and talk to people in a relaxed way. This “transect walk” is not just a social occasion, however. During their first informal interactions with the community, the team should be looking for clues about how the community functions and how different members of the community interact. This will help them to determine whether they have managed to ensure proper and adequate representation of the community in the group exercises. They may also form questions that the group can later help to clarify.

**e. Consider logistics and practical issues**

The **timing** of the exercise is very important. Make sure that the time you propose to undertake this work is convenient for the people you wish to speak with. It is more important to adjust your schedule and your team's activities to the needs of the community than to suit your own needs. You should not expect people to forgo their normal household or subsistence work, or to give up income generating activities in order to fit your schedule. Too often, outsiders assume that people's time is "free" and that they should be eager, or even honoured, to participate in any activity. This is often not true. Many people may be willing – and even eager – to participate, but only at a time of day, week, month or year that does not conflict with their other responsibilities. Find out, before you plan the exercise, the times when people are most fully occupied, or when there are conflicting activities or festivals that make demands on their time. Then, avoid these times.

Another aspect of timing that is important to consider is the amount of time that the focus group or other exercise is expected to take to conclude its discussions. People will be more likely to participate if they know in advance for how long they are expected to commit themselves. The amount of time allotted for a discussion does not have to be rigid, and sometimes a discussion will end sooner or last longer than the time that was anticipated. This is all right, as long as the group is satisfied that the issues were covered and the themes were exhausted. You should certainly avoid a situation in which people feel frustrated because the conversation ended before they were able to make their points, or because the discussion dragged on too long. A good facilitator will ensure that everyone is heard and that the conversation keeps flowing, while avoiding repetition.

You may find, particularly in rural areas but also in some urban areas and especially if you organize your group at night, that **transportation** is a major concern. This is especially the case for many older persons. Sometimes transportation is not available at all, and other times it might prove to be an added expense that people cannot afford. In order to ensure that the people you have identified are actually able to participate, inquire whether they need transport and, if so, have transport lined up that is appropriate for local conditions.

Do not underestimate the importance of the **venue** you select for the group exercise. You should select a location that is easy to access, safe and comfortable. Often, focus groups and other activities take place over a period of many hours, and if people are not comfortable the group dynamic may suffer. People may be less willing to participate if their primary thought is to escape the venue! The size of the room or rooms you select is important. Crowding too many people into a small, hot room is a sure way to cause people to lose interest quickly. Conversely, holding a small group meeting in a very large space can make people feel ill at ease. Therefore, make sure that you reserve a venue that is appropriate for the number of people you are planning to invite. Finally, the location you choose should be as neutral as possible. It should not be a place

that is affiliated with a particular group, political party or organization. It is also usually preferable not to choose government premises.

You should also consider that it might be necessary to provide **refreshments** (including food and drink) for participants in group meetings. Sometimes, local customs dictate the need to provide food and drink. Regardless, you should recognize that the group is likely to spend quite some time in its discussions, and people will surely become hungry and thirsty. When extending invitations, you may encourage participants to bring their own refreshments, but you should also determine the need to provide adequate food and drink for the size of the group and the amount of time you expect it will meet. You may find that serving refreshments acts as an incentive for some people to participate.

Once you have confirmed all the background information and made all the logistical arrangements, it is time to conduct your needs assessment. You will find, in the section that follows, a wide range of questions and topics to consider. These derive from the priority directions of the Madrid International Plan of Action on Ageing, and are provided here as an example of the types of things you may wish to ask. You will, of course, develop your own questions and topics depending on the issues you are confronting, the policies and programmes you are examining, and the groups you are engaging.

Recently, the Division for Social Policy and Development supported qualitative analysis of the situation of older persons in Armenia. The analysis included a series of focus group discussions that sought to ascertain the views and concerns of stakeholders regarding specific issues affecting older persons. Before arranging the focus group discussions, organizers established the following framework to assist them:	
1/ Problem definition:	What questions do we wish to have answered? What information are we seeking?
2/ Recruitment:	Who is responsible for identifying participants? What characteristics should they have?
3/ Contact with respondents:	Who will invite participants? How?
4/ Incentives:	Is it necessary to provide incentives for participation? If so, what incentives are deemed necessary (refreshments, transportation, stipend?)
5/ Place:	Where will the discussion be held? What do we need to do to ensure that the venue is available?
6/ Number of respondents:	How large should the focus group be?
7/ Guidelines:	What topics will be discussed? How will the discussion be structured? How will participants make their contributions?
8/ Moderator:	Who will facilitate the discussion? What skills does he or she need to possess?
9/ Conduct of the discussion:	What is the timeframe for the discussion? How will inputs be received and how will information be recorded?
10/ Analysis:	Who will review and analyze the information recorded during the discussion? What validation process is envisaged?

Finally, after conducting your needs assessment exercise, you will need to interpret the findings and build them into the design of your policy or programme. Use the findings also to ensure allocation of resources, management and coordination, and continued participation or ownership by stakeholders. For further discussion of these issues, see Part Five, below.

Finally, after conducting your needs assessment exercise, you will need to interpret the findings and build them into the design of your policy or programme. Use the findings also to ensure allocation of resources, management and coordination, and continued participation or ownership by stakeholders. For further discussion of these issues, see Part Five, below.

#### **Step 4: Age Analytical Framework**

What follows is an outline for an age analytical framework, suggesting some lines of enquiry and questions for you to consider. These are organized according to the three priority directions contained in the Madrid Plan of Action: older persons and development; advancing health and well-being into old age; and ensuring enabling and supportive environments. The framework can serve as the foundation for the information that you wish to collect during needs assessment, regardless of the approach you adopt. It also allows you to select appropriate questions based on your national situation and needs.

#### **Model Age Analytical Framework**

The following framework attempts to address each issue on a variety of levels, taking into account the overall policy environment, organizational environment, and views of stakeholders. You may use this framework to give you ideas about the kinds of questions you wish to explore with your groups. Choose your area of focus on the basis of your own local situation and priorities. Some of the information may be available to you through reviews of reports, research and other documentation. Other information can only be obtained through talking with stakeholders. The lines of enquiry suggested are listed according to likely source of information.

In asking any questions, it is important to receive full answers with explanations. It is better to ask “open-ended questions” (questions that do not elicit simple yes or no answers, but that require further explanation). You may have to ask follow up questions, or guide your participants to qualify and justify their statements. Ask for examples. Ask also for analysis, to the extent possible. Remember, your goal is not to simply find out what things happen, but how they happen and why.

#### **(i) Older persons and development:**

##### **Active participation in society and development:**

### Desk review

What specific provisions exist concerning older persons under current national human rights legislation?

What policies and programmes or measures are being taken to promote the participation of older persons in cultural, economic, political, social life, lifelong learning and national development? (*maybe, if documentation readily available*)

Which older persons are currently targeted by a specific policy, plan or intervention at the national level? (In this case, you may distinguish older persons according to age groups, social situation, economic status, social or family environment.)

### Focus group

How do older persons participate in society and in the development of the country? Is it the perception of the Government that participation should be enhanced? Are older persons satisfied with their level of participation – in terms of the quantity and the quality of their participation?

Are older persons aware of existing policies or programmes promoting their active participation in societal development? Ask them to qualify their statement; if they do not know, what reasons can they identify for their lack of awareness? If they do know, what do they think about them?

Have older persons participated in activities to identify their problems and needs, and have they contributed to the formulation of policies, programmes, action plans or any other type of action?

How do older persons perceive national efforts for their inclusion in mainstream politics and societal development?

### **Work and the ageing labour force:**

#### Desk review and/or expert interview

What information is there on the current situation regarding older persons and work? Is age- and sex-disaggregated data available?

Is there any legislation on retirement age? Is anything done to enable older persons to continue working, in either the formal or informal sector, should they choose to do so?

Which older persons are targeted by a national employment policy, plan or any intervention at national level? (Again, you may distinguish older persons according to age groups, social situation, economic status, social or family environment.)

Is there any legal provision to promote access to credit for older persons so they can start or improve their own businesses? Which older persons, if any, benefit from credit mechanisms?

What is the adult literacy rate? Is the rate disaggregated to distinguish adults over 60 years of age?

Are there adult literacy programmes in place? Do older persons have access to basic and continuing education programmes?

Is there a government policy to promote training and retraining for older workers? Is there a programme to allow them to utilize their skills and knowledge after retirement?

What do older persons do when they “retire” from the workforce? How many older people remain in productive employment beyond any perceived or formal retirement age?

### Focus group

How do older persons perceive their situation regarding employment and any policies and programmes to help them?

Are older persons able to access services (credit, information etc.) to establish or maintain their own business?

Are older persons aware of any existing employment policies and programmes that may help them? Ask them to qualify their statement: if they do not know, what reasons can they identify for their lack of awareness? If they do know, what do they think about them?

Have older persons participated in activities to identify employment opportunities (both formal and informal)? Have they had opportunities to discuss their problems and needs or to contribute to the formulation of policies, programmes, action plans or any other type of action?

Do older persons know about opportunities for adult literacy programmes and do they take advantage of them? What do they think of these opportunities?

Are older persons aware of opportunities for their continued training and education? How do they view these opportunities?

## **Rural development, migration and urbanization:**

### Desk review

What are the particular concerns of older women in rural areas? Are they afforded legal rights, particularly with regard to owning land? Do they have equal access to and control over economic resources?

To what extent are older persons affected by migration in your country? Have older persons been left behind by children who have migrated? What issues and concerns do they have? Do older persons themselves migrate from their homes in your country? What are the reasons behind this migration? What are the primary concerns of older migrants? Are there specific programmes to assist older persons affected by migration? (*information will probably need to be gleaned from various sources*)

Among older persons who have migrated to urban areas, what are their primary concerns? Has your country established objectives for integrating older migrants into their new communities? What has been their impact?

### Focus group

Do older persons feel that they are included in rural development plans? Do they feel that sufficient efforts are made to target them in development activities? What approaches would they suggest?

Does the situation of older persons vary between rural and urban areas? What are the differences between the two – are there different problems? Are there different opportunities? (*there may be some information available via desk review*)

Are older persons included in rural development initiatives or projects – are older farmers able to access credit, training in improved farming techniques and improved technologies? Are they aware of existing opportunities?

## **Intergenerational solidarity:**

### Expert interview and focus group

How much interaction do older persons in your country have with younger people who are not members of their families? What are the issues that support or hinder intergenerational solidarity? Can they identify specific successes or problems? Do policies or programmes exist to enhance intergenerational ties? Do you perceive a difference as you talk to people in urban and rural areas?

### Focus group

What do young and older persons think about the current status of intergenerational relationships in the country? What suggestions do they have for improving relationships?

### **Eradication of poverty:**

#### Desk review

How is poverty defined or understood in your country? Is there official data on this?

#### Expert interview

Are older women treated differently from men with regard to access to or ownership of wealth or resources in your country? Do barriers to their financial independence and stability exist, such as discriminatory inheritance laws? Has action been proposed or taken to remove discriminatory statutes or practices? Have older women been targeted by policies or programmes to ameliorate the affects of past discrimination?

Are older persons specifically targeted in poverty alleviation policies or programmes and national development plans? Do older persons have equal access to resources to enable them to improve their condition and help their families? Are they engaged in decision making regarding anti-poverty policies and programmes, or in their implementation?

### Focus group

What is the perception concerning older persons and poverty in your country? Do older persons perceive themselves to be better off or less well off in comparison to others in their communities? Has the situation changed in recent years? Do older persons feel they have the ability to improve their situation?

How do older women feel about their access to wealth and resources?

### **Income security, social protection:**

#### Desk review and/or expert interview

What is the primary source of financial support for older persons in your country?

Do formal income security or protection programmes exist for older persons in your country? What percentage of the population is covered by these programmes? What percentage of older women is covered? Does coverage



extend to workers in the informal sector? Is there a universal minimum pension? If there is a pension scheme, how is it funded?

#### Focus group

If older people are primarily supported by their families, what do they perceive to be the result of this dependence? Are they concerned about their inability to contribute financially to the family? Do they feel strain in their relationships to other family members, or is their position in the household threatened by their inability to contribute financially?

Do people perceive income protection programmes to be adequate and functioning properly?

What do older persons think about the support they receive? What would they like to improve and how would they suggest that improvements be made?

If support programmes exist, what do older persons do with the income they receive? How do they spend their income or dispose of their wealth? To what extent do they contribute to the well being of their families and communities, and in what tangible ways?

Do older persons receive any forms of non-income support, including special services or programmes? What is their perception of the non-income support they receive?

#### **Emergency situations:**

##### Desk review

If your country has a national disaster plan, does it recognize older persons as a group deserving special attention? Does the plan contain specific provisions to ensure that older persons receive support to meet their particular needs? Does the plan recognize the possible contributions older persons can make to assist in post-disaster recovery situations?

##### Focus group

What is the perception among the general population in your country of how older persons might contribute in emergency situations? Are older persons considered as a resource to defuse potential emergency situations? Have older persons been engaged as mediators in situations where different groups have competing interests that could lead to conflict?

#### **(ii) Advancing health and well-being into old age:**

## **Health promotion and well-being throughout life:**

### Desk review

What is the general health status of older persons in your country? Have targets been set to improve their overall health and well-being, and to reduce disability and mortality rates? How have older persons been engaged in protecting their own health and well-being, including the setting of targets?

Do policies and programmes exist to promote good health and healthy lifestyles throughout the life course? What kind of educational programmes exist and how do older persons contribute to them?

Do older persons have access to adequate nutrition and clean water?

Are services for primary health care, long term care and social or community services coordinated?

Is “ageing in place” (i.e., the provision of support and services to older persons to enable them to remain in their own homes as long as they can) a priority for your Government? Do policies or programmes exist to encourage ageing in place? How effective are these programmes in achieving their objectives? What additional support is needed?

## **Universal and equal access to health-care services:**

### Desk review

Does the national policy on health specifically target older persons? Is there a specific programme for the health care of older persons? Does this include prevention, promotion of primary care, acute care and rehabilitation?

How is access to health care ensured for older persons? Do they enjoy equal access, and do they take advantage of the services that are offered?

### Focus group

Do older persons understand what services are available to them? How do they rate the services they receive? How do they pay for the services they receive? Is there a policy of free health care for older persons? Is there access to free or subsidized drugs?

## **Older persons and HIV/AIDS:**

### Desk study

How are older persons affected by HIV/AIDS in your country? What burdens do they face and what contributions do they make? How are they supported by families and communities to cope with the impact of HIV/AIDS?

What provisions has government made to address older persons and HIV/AIDS (economically and socially)?

Do national HIV/AIDS programmes include older persons in both prevention and treatment measures?

Do older parents or grandparents caring for HIV/AIDS infected children, grandchildren or orphans receive assistance? Are they engaged in any way in decision making regarding the assistance that is provided?

#### Focus group

What additional support would older persons request?

#### **Training of care providers and health professionals:**

##### Desk study, expert interview

How is primary health care provided to older persons in your country, through formal, informal or non-formal means? Are informal and non-formal care providers, including family and community members, adequately recognized, trained and supported? What improvements could be implemented to assist them?

What are the primary issues concerning training of medical professionals to work with older patients? Do medical or social welfare personnel receive specialized geriatric training?

Are there sufficient geriatric specialists for the number and location of older persons?

#### **Mental health needs of older persons:**

##### Desk study and expert interview

Is the mental health of older persons recognized as a specific concern of medical policies and programmes in your country? What are the underlying assumptions regarding the provision of such care to older persons?

Are programmes in place to prevent, detect and treat mental illness associated with old age? Do healthcare personnel receive adequate and appropriate training? How could training be improved or upgraded?

How is recognition given to the informal provision of mental health care? Are support programmes in place for carers?

**Older persons and disabilities:**

Desk study and expert interview

How do current legislation, policies, programmes or plans of action recognize and take into account the relationship between old age and disability?

What measures exist to reduce or prevent the onset of age-related disabilities? How do these measures engage older persons in the maintenance of their capacities? What special treatment is provided to older persons with disabilities? How do they view the treatment and services they receive?

Focus group

What housing options are available for older persons with disabilities? How do these options promote or hinder their independence?

**(iii) Ensuring enabling and supportive environments:**

**Housing and the living environment:**

Focus group

What do older persons regard as currently their most pressing problems regarding their living environment (i.e., housing, transport, mobility, access)?

Expert interview and desk study

How do housing and transport policies and programmes take account of the special needs of older persons? Do they reflect the priorities that older persons express?

What support or services might be made available to older persons to enable them to “age in place”?

**Care and support for caregivers:**

Desk study and expert interview

Where and from whom do most older persons receive daily care and support? Are social support services provided to older persons in their own homes?

Are there any policies or programmes regarding care of older persons or care provided by older persons? Do persons providing care to older persons (including other older persons) receive any assistance, including financial support, for the care they provide? How are communities engaged in supporting their older members? Is respite offered to care givers who provide support to older persons?

### **Neglect, abuse and violence:**

#### Desk study and expert interview

To what extent are neglect, abuse and violence directed against older persons considered to be issues or concerns in your country? Is there general awareness of these issues and their extent? Is data collected on aspects of abuse of older persons? What publicity or awareness raising campaigns exist to highlight the issue?

Does government policy define abuse of older persons? How are these issues treated in general or specific programmes?

Do any bodies or organizations exist in your country to respond to issues of abuse of older persons?

Do gender-based discrimination or traditional practices exist which may result in abuse and violence against older women, or otherwise be detrimental to their health and well-being?

### **Images of ageing:**

#### Desk study and expert interview

What is the image of ageing and older persons that is most prevalent in your country? Are older persons generally viewed in a positive or a negative way? Has the image changed in any ways during recent years? Has it changed during the last generation? If it has changed, what has caused this change and how has the change affected older persons and their relationships with other generations?

Are there now, or have there been, any campaigns to promote positive images of older persons with the media or within the education system? If so, what has been the impact of these campaigns?

#### Focus group

How do older persons perceive their image in society and how do they feel they are seen by other generations?

### Experience gained through needs assessment

Below we give some insights drawn from needs assessments recently undertaken, using the MIPAA framework. These insights illustrate the benefits of undertaking needs assessment and analysis at all levels.

#### **Some key findings of rapid needs assessments undertaken in Kyrgyzstan (2004) and Grenada (2007)**

##### Cultural, social and economic context

**Kyrgyzstan:** Change in traditional Kyrgyz cultural attitudes, including those toward older persons, which sees the family as the primary place for older persons in society; Collapse of the former Soviet system and the introduction of economic liberalization and cut backs in social support mechanisms which brought about much higher poverty rates. These rates grew further because of the collapse in the value of pensions and savings. Out migration of younger citizens, particularly ethnic Russians, leaving elderly parents alone. Result has been increased institutionalization of older persons due to lack of policies and programmes to support old people at home. Older persons universally spoke of insufficient pensions well below the poverty line and lack of access to free healthcare as provided by law if they fell below a certain income level. However, a marked difference in the place of older persons in society exists in the southern part of the country which still retains its more traditional roots. This translates into older men being leaders of their communities and retaining an authoritative role. As a result, problems expressed by older persons there tended to be those affecting the whole community such as youth unemployment, water and sanitation, even though the issue of insufficient pensions and health care obviously affected older persons in this region too. In general, many older persons felt pushed aside in today's new culture with no ability to contribute to society.

**Grenada:** Fragmentation of the family leading to breakdown in support systems - in particular for older men who father children with different mothers and as a result do not "belong" to an extended family in the traditional sense. Unhealthy lifestyles leading to high incidence of diabetes and circulatory diseases at a younger age but continuing into old age – thus increasing dependency/disability. Instability of commodity markets for farmers (the majority of whom are old) – exacerbated by devastation caused by Hurricane Ivan in 2004 which is still being felt. Older persons are concerned with low pension levels or non-existence of pensions, uneven access to entitlements to free health care and prescription drugs

##### Policy environment

**Kyrgyzstan:** Limited vision of ageing issues and older persons and where they fit into the national economic and social context. Older persons largely seen as recipients of benefits and "invalids". No coordinated plan of action on ageing or national policy. Need for linkages between policies and programmes and rationalization of resources (translates into lost opportunities for enhanced policies and planning). Problems for older persons in accessing entitlements under pension and health care systems.

**Grenada:** Lack on integrated strategy on ageing and fragmentation of programmes. Absence of clear guidelines to access free medical care and prescriptions. Large informal sector and

subsequent lack of pension coverage.

#### Institutional framework

**Kyrgyzstan:** Confused institutional linkages in Government, with no clear lines of responsibility, which translates into duplication of roles and responsibilities. Multiple benefit structures at all levels which need to be streamlined and rationalized. Lack of targeting strategy in policies and programmes to differentiate different age groups within older population i.e. young-old, old and old-old. Translates into lost opportunity for older persons to contribute to national development. Lack of capacity in Ministry to formulate and implement effective national policy.

**Grenada:** institutional linkages between Ministries need enhancement.

#### International development environment

UN system within **Kyrgyzstan** neither targets nor includes older persons in programmes. The exception is pension reform measures by the World Bank. Macro economic development perspective largely dominant in discourse

Collaboration with UN system in **Grenada** on the issue of ageing needs to be strengthened – particularly difficult because UN system operates from a sub-regional hub on another island which covers a number of Islands.

## **PART FIVE: PLANNING AND DESIGNING PLANS OF ACTION, POLICIES AND PROGRAMMES**

*This part of the framework will guide you in analyzing the outcome of your needs assessment, setting priorities among the many issues you may have identified, and beginning the process of policy and programme development on the basis of the information you have obtained.*

### **1. Where do you want to go? Deciding on priorities**

#### *Sharing and validating your needs assessment results*

The next phase of the policy process should be based on the outcome of the needs assessment. To begin the process, you should inform those who participated in the needs assessment of the outcome of your assessment work. This is essential to ensure the validity of your results. It will also help to ensure future cooperation and buy in from stakeholders.

#### *Comparing, validating and prioritizing your outcomes*

The most important step is to hold a joint meeting of stakeholders (as many as possible of the stakeholders you have spoken with) to discuss the main findings

of your field visits in different regions. This is known as “validating your results”. The purpose is to discuss your conclusions with the people who provided you with information and opinions, to see whether they agree with the outcome you have reached. This is important for three reasons: it helps you to be sure that you have understood the issues from the point of view of the stakeholders; it gives you a chance to identify and discuss with stakeholders differences in perspectives or approaches that they themselves may have, and to seek a consensus among the stakeholders; and it serves to acknowledge the stakeholders, to show appreciation for their contributions and to promote their continued participation in the next steps in the process.

### *Analyzing the situation*

You may find that the information you obtain through your needs assessment is quite personalized, anecdotal or specific to individual circumstances. It is important to interpret this information as it reflects the specific context and “distil” the responses to identify their implications for priority setting and policy making. What do the individual answers you received indicate about the actual situation? Your situational analysis should draw general conclusions from what might be very specific or personal information. You may compare (highlighting similarities and differences) the problem as perceived by different people in different places. The analysis may focus on differences between the various groups of stakeholders. The goal should be to form an overall picture from the various inputs you receive. Your inquiry may develop along lines similar to these:

#### **Policy or institutional level – outcomes of assessment:**

- What are the main areas of concern to the secondary stakeholders?
- What institutional strengths or weaknesses were identified (these can be organizational, budgetary, or human resource based) that affect the implementation of policies and programmes currently in place?
- What else is encouraging or hampering current implementation of existing policies or programmes?

#### **Individual level – outcomes of assessment:**

- What are the problems (economic, physical, social etc.) for primary stakeholders (older persons themselves)?
- What coping mechanisms (if any) do they currently employ?
- How do you interpret the role of the community, and any action it has taken in response to the identified problems; what have been the results of community action?
- What are the existing resources and strategies (formal and informal) in place – what exists – what is and is not working and why? What do stakeholders think is needed?



To ensure that all views are validated, it is suggested that you form mixed stakeholder groups when discussing the policy-institutional and individual spheres.

### *Establishing priorities*

Once you have validated the results of your needs assessment, you will begin to establish priorities for action. When undertaking the prioritization of issues with the stakeholders you may find they have identified a wide range of issues to be important. You should try to cluster issues into categories, coming up with a maximum of 5-7 categories. Any more than this number of categories may not be manageable. If the number of issues identified is small, you can decide on priority rankings by simply listing them and voting on the order of importance. If this proves too complicated to manage, use any of a variety of ranking techniques. For example, you may choose to list each issue on a card, and taking two cards, ask participants to decide which of the two issues is the more important. Continue the process until all the issues have been compared to all the others. The number of times each problem is identified as the most important decides the final priority ranking.

You may also wish to consider the issues according to a priority matrix. This is a tool which helps you to determine whether issues are urgent or not so urgent, and whether they are important or not so important. This helps to add a certain nuance to your prioritization exercise. Taking each issue separately, ask stakeholders to determine into which box on the matrix below that issue would fall:

### Priority Matrix

	URGENT	NOT SO URGENT
IMPOR- TANT	Top priority	Important, but you have time to think and plan
NOT SO IMPT	Not top priority, but demand a lot of attention	Ongoing issues or activities

## 2. How will you get there? – Policy formulation and planning for action

### How to set objectives

Once you have worked with stakeholders to establish the priority of the issues to be addressed, the next step is to start thinking about policy objectives that relate to each issue, and types of action that should be taken to meet each objective. This step will depend to a large extent on the outcome of the needs assessment you have undertaken and the amount of information you have, as well as the policy situation in the country. For instance, your results may indicate that there is one key issue or problem, which needs to be addressed immediately. You could then focus your action on the development of a specific policy, programme or project to meet this need. If there is no urgent issue or problem, you may wish to focus on longer term goals, such as elaborating a national plan of action on ageing, which stakeholders may decide is the first priority for Government action (or both).

In addition, if you undertook a rapid assessment due to a lack of time and/or resources that gave you an overview of the broad problem areas, you may want to consider undertaking a problem tree analysis exercise with stakeholders at this stage and also share assessment results.

### Tools

#### *Objectives or solution tree approach*

If you produced a problem tree(s) during the needs assessment and analysis exercise, you can easily formulate possible objectives for future action using the problems you originally identified. Your goal is to turn your problem tree(s) into an objectives, or solution, tree. Do this by simply reformulating the problems as positive desirable outcomes, as outlined below and further illustrated by an example from an earlier very simple project formulation exercise. Bear in mind that if you are thinking of developing a new policy or national plan of action, many more objectives and issues will be included.

### **Box: Steps in developing an objectives tree and activity strategy**

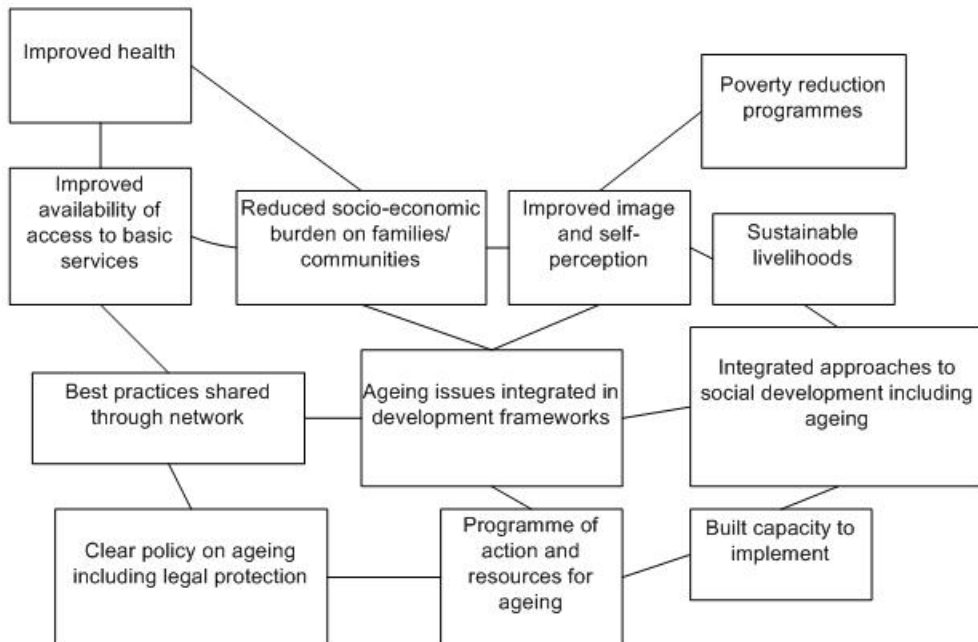
(adapted from Tools for Development: A handbook for those engaged in development activity: DFID, 2002)

<p><b>Step 1: Developing the Objectives Tree</b></p> <p>A. Reformulate all the elements in the problem tree into positive desirable conditions.</p> <p>B. Review the resulting <b>means-ends</b> relationships to assure the validity and</p>	<p>In the objectives analysis the problem tree is transformed into a tree of objectives (future solutions of the problems) and analyzed.</p> <p>Working from the top, all problems are reworded, making them into objectives (positive statements)</p>
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<p>completeness of the objective tree.</p> <p>C. If required:</p> <ul style="list-style-type: none"> <li>- Revise statements</li> <li>- Delete objectives that appear unrealistic or unnecessary;</li> <li>- Add new objectives where required.</li> </ul> <p>D. Draw connecting lines to indicate the <b>means-ends</b> relationships.</p>	<p>Difficulties in rewording may be solved by clarifying the original problem statement.</p> <p>If a statement makes no sense after being reworded, write a replacement objective or leave the objective unchanged.</p> <p>Check that meeting objectives at one level will be sufficient to achieve the objectives at the next level.</p> <p>Problems: If cause is A then effect is B.</p> <p>Objectives: The means is X in order to achieve Y</p> <p>Note: Not every <b>cause-effect</b> relationship becomes a <b>means-ends</b> relationship. This depends upon the rewording.</p> <p>Working from the bottom upwards, ensure that <b>cause-effect</b> relationships have become means-ends relationships.</p> <p>Draw lines to indicate the <b>means-ends</b> relationships in the objectives tree.</p>
<p><b>Step 2: Alternative Analysis</b></p> <ul style="list-style-type: none"> <li>A. Identify differing <b>means-ends</b> ladders, as possible alternative options of activity</li> <li>B. Eliminate objectives that are obviously not desirable or achievable</li> <li>C. Eliminate objectives being pursued by other development activities in the area</li> <li>D. Discuss the implications for effected groups.</li> </ul> <p><b>Step 3: Selecting the Activity Strategy</b></p> <ul style="list-style-type: none"> <li>A. Make an assessment of the feasibility of the different alternatives</li> <li>B. Select one of the alternatives as the activity strategy</li> <li>C. If agreement cannot be reached then: <ul style="list-style-type: none"> <li>- Introduce additional criteria</li> <li>- alter the most promising option by including or subtracting elements from the objectives tree.</li> </ul> </li> </ul>	<p>The purpose of the alternative analysis is to identify possible alternative options, to assess their feasibility and agree upon one strategy for action.</p> <p>Possible alternative <b>means-ends</b> branches in the objective tree that could become activities are identified and circled.</p> <p>These <b>means-end</b> branches constitute alternative options</p> <p>Alternative options should be discussed in the light of the interest groups that would be affected by them and the ways in which they would be affected.</p> <p>In selecting the most viable alternative a series of criteria should be developed and used. These could include:</p> <ul style="list-style-type: none"> <li>- costs</li> <li>- benefits to particular groups</li> <li>- the probability of achieving objectives</li> <li>- the social risks and costs</li> <li>- the assumptions made</li> </ul> <p>Stakeholders should also agree on other criteria to use when assessing the viability of the alternative options. These could include:</p> <ul style="list-style-type: none"> <li>- Social criteria: Distribution of costs and benefits, gender issues, socio-cultural constraints, local involvement and motivation</li> <li>- Environmental: Appropriateness, use of local resources, market suitability</li> <li>- Technical: Appropriateness, use of local resources, market suitability</li> <li>- Institutional: Capacity, capability, technical assistance</li> <li>- Financial: Costs, financial sustainability, foreign exchange needs.</li> </ul>

## Annex 2

### Objective tree



### 3. Developing a National Plan of Action or Policy on Ageing

At this point if you decide to draft a national plan of action or policy, you can simply follow the format of the Madrid Plan of Action with the three priority areas:

1. Older persons and development
2. Advancing health and well-being into old age
3. Ensuring enabling and supportive environments

Of course, if appropriate to the findings of your needs assessment you may even be able to more or less follow along the lines of the Issues cited in the Madrid Plan, while substituting your own objectives and broad related actions.

## **PART SIX: WAYS & MEANS FOR IMPLEMENTING POLICY ON AGEING**

*This part of the framework will encourage you to think about the actions needed to ensure that the policy or programme you have developed is successfully implemented.*

### **1. Deciding on the strategy (the how) for implementation**

Successful action on ageing is not just about drafting a policy, programme or plan, but also gaining the political, institutional and community support needed to implement it. Once again, this demands an understanding of the national policy environment and development agenda – including the influence of international agencies and the donor community – on how policies are implemented and which issues are highlighted. Understanding what the development priorities are that drive and frame the main debates and which Ministries are involved is crucial. Identifying allies and potential partners for implementation, and the obstacles you will need to overcome, is also essential. As many of the actions needed for successful implementation are similar to those originally required for policy development, you may wish to review the discussion on “getting started” contained in Part Three of this framework.

*The importance of networking: for advocacy, mainstreaming and implementing policies and programmes*

To a large extent, the successful implementation of policies and programmes on ageing, or efforts to mainstream ageing into national development agendas, depends on the establishment of successful networks and coalitions. The importance of political support from a high level was mentioned in Part Three.

In addition, the existence of collaboration within and between ministries is absolutely crucial for policy and programme implementation. Work at the national level inevitably reveals that staff members of one ministry working on issues of ageing often have no contact with counterparts working in other ministries. For instance, staff of the Ministry of Social Development may not collaborate or even interact with staff of the Ministry of Health. If you find that this is the case in your country, you will want to create opportunities for interaction. You may find it important to create a mechanism that brings together various officials with responsibilities for issues of ageing and older persons. A network of officials working on ageing will help to strengthen the individual activities of each member.

A strong and coordinated network of civil society organizations can not only bring greater attention to a topic, but can also achieve stronger support from the government. In most countries, there are usually not many civil society organizations concerned exclusively with ageing. Many of those that do exist tend to focus on the welfare of older persons, rather than advocating for their greater participation in society. At the same time, very few organizations that work on cross-cutting issues such as poverty or human rights take older persons into account in their work. Therefore, you may find that you need to make a case for these organizations to consider issues of ageing in their work, and to mainstream ageing into their activities. It is also important to try to link organizations that work on issues of ageing with organizations that work on larger economic and social development priorities. A strong network of civil society organizations that takes the issue of ageing on board can be a great help to government, not only for advocacy, but also to implement and monitor specific policies and programmes. For more information and suggestions on how to promote advocacy for and with older persons, see “Advocacy with Older People: Some Practical Suggestions” HelpAge International, reissued 2007 – [www.helpage.org](http://www.helpage.org).

#### *Establishing or strengthening national committees*

Sometimes, as a result of the First or Second World Assemblies on Ageing (1982, 2002), Governments established National Committees on Ageing (often composed of representatives of various ministries and civil society groups) to lead a policy process on ageing, design a national plan of action or monitor progress on implementation. In a number of countries, success has been achieved and progress made through such committees. Yet, experience indicates that maintaining the momentum of committees can take quite a lot of effort, and quite often committees become ineffective or cease to operate over time. The chief reasons for this are a lack of support from the highest political level that sends a clear message to all ministers that the work of the committee is important, an unclear mandate or terms of reference for action, or a loss of motivation over time as obstacles proved difficult to overcome. When working with networks and committees, you should bear the following in mind:

- Give careful thought to the composition of the committee – membership on the committee should rest with institutions, not individuals. Where government ministries are concerned, for example, the ministry itself and not an individual official should be nominated, so that there are no issues of non-participation should an individual leave his or her position. Alternative representatives should be named, to step in should the committee member be unable to participate at any time. Individuals chosen to represent a ministry should have the requisite skills, experience and interest;
- Draft clear terms of reference and goals for the committee;

- Establish effective leadership (including a chairperson with sufficient visibility and sufficient time to devote to the activity);
- Organize regular meetings, with pre-set agendas; try to stick to the agenda;
- Make sure that meetings reach decisions for immediate action, create timelines and establish clear responsibilities for who does what;
- Strive for specific results. There is nothing more dispiriting for committee members than to attend endless meetings that achieve nothing!
- Nominate a secretary of the committee, who can provide clear and concise minutes of each meeting with the decisions and commitments clearly indicated.

National committees must include representatives from ministries beyond those with obvious responsibilities for ageing (social welfare and health). You may quickly identify several other line ministries that ought to be included, but you should also consider the whole range of ministries which *should* be thinking about issues of ageing in their policy and planning processes. This would include ministries that might not seem obvious at first, such as transport, rural development, labour, or many others. If one simply looks at the breadth of recommendations in MIPAA one quickly realizes that no single ministry could possibly implement such a wide-ranging array of recommendations single-handedly.

#### *Nurturing links with academia and the research community*

It is particularly important to seek the contributions of academic professionals and others in the research community. Academic experts and researchers frequently conduct studies that reveal actual conditions “on the ground”, and the evidence they collect can be especially useful to inform policy development. Their research efforts can also provide feedback about how policies are implemented and what their impact has been. You may find that these “evidence-based arguments” will not only help you to advocate on behalf of policies on ageing, but also will improve the focus and impact of the policies and programmes you develop. You should therefore consider what resources might be available to you in the academic and research community in your country.

Unfortunately, there is frequently very little contact between researchers and policy makers. This is particularly true in the area of the collection and dissemination of age-disaggregated data. Sometimes, the information that is available is not provided in ways that readily appear useful to policy makers. These issues are receiving greater attention in development activities in many places. The Overseas Development Institute (ODI) – RAPID (Research and Policy in Development) Network is a new network coordinated to promote awareness of the importance of evidence use by civil society organizations. It

was established solely to improve the use of research and evidence in development policy and practice. (for further information, see [www.odi.org.uk/rapid](http://www.odi.org.uk/rapid)).

In addition, the United Nations programme on ageing, in cooperation with the International Association of Gerontology and Geriatrics (IAGG) produced a Research Agenda on Ageing for the Twenty-first Century, which was presented to the Second World Assembly on Ageing in 2002 and updated in 2007. It aims to encourage research in priority areas to support the implementation of the Madrid Plan of Action ([www.un.org/esa/socdev/researchagenda.html](http://www.un.org/esa/socdev/researchagenda.html))

The table below lays out the major priorities and critical research areas linked to the Priority Directions of the Madrid Plan.

MADRID INTERNATIONAL PLAN OF ACTION ON AGEING	RESEARCH AGENDA ON AGEING		
	Major Research Priorities <sup>4</sup>	Critical Research Areas	
Priority direction I: Older Persons and Development	<p><u>Priority 1.</u> Relationships of population ageing and socio-economic development</p> <p><u>Priority 2.</u> Current practices and options for maintaining material security in old age</p> <p><u>Priority 3.</u> Changing family structures, intergenerational transfer systems and emergent family and institutional dynamics</p>	<p>1. Social participation and integration</p> <p><b>2. Economic security</b></p> <p>3. Macro-societal change and development</p> <p>4. Poverty</p> <p>5. Social security systems</p>	I M P L E
Priority direction II: Advancing health and well-being into old age	<p><u>Priority 4.</u> Determinants of healthy ageing</p> <p><u>Priority 5.</u> Basic biological mechanisms and age associated diseases</p> <p><u>Priority 6.</u> Quality of life and ageing in diverse cultural, socio-economic and environmental situations</p>	<p>6. Healthy ageing</p> <p>7. Biomedical</p> <p>8. Physical and mental functioning</p> <p>9. Quality of life</p>	
Priority direction III: Ensuring enabling and supportive environments	<p><u>Priority 3.</u> Changing family structures, intergenerational transfer systems and emergent family and institutional dynamics</p> <p><u>Priority 6.</u> Quality of life and ageing in diverse cultural, socio-economic and environmental situations</p>	<p>10. Care systems</p> <p>11. Changing family structures and functions</p>	

<sup>4</sup> Two Major Research Priorities (3 and 6) are listed twice, as they correspond to two different Priority Directions of the Madrid International Plan for Action on Ageing.



Implementation and follow-up		12. Policy design, implementation, monitoring and evaluation	M E N T A T I O N

### *Working with civil society organizations*

In many places, there is still little interaction between government officials and representatives of civil society organizations working on issues of ageing. This is unfortunate, when collaboration could increase the effectiveness of both. Sometimes, a degree of animosity may surface in the interactions between government and civil society. A high level of frustration sometimes seems to exist on both sides, and it is easy for both Government and civil society to become critical of the work that is or is not being done by the other. It is important for both Government and civil society to acknowledge the benefits of partnership and to work to overcome differences and make partnerships function.

When considering how you can better engage civil society organizations in the policy process, the first thing you should do is discuss issues and priorities with them. You should first identify the critical stakeholders within the NGO and faith based organizations community at the various administrative levels and initiative input from them. They may raise new ideas and question old ones, share expertise and experience and suggest new approaches.

You may also wish to refer to the suggestions of the RAPID Programme. Consider how you might utilize the skills, knowledge and experience that civil society offers as you seek to promote policy implementation. For instance, civil society organizations were pioneers of the participatory methodology that now widely informs policy making processes. This indicates how useful it is for Governments to cooperate with civil society to improve policy making. (see ODI Briefing Paper 3, June 2006).

### *Working with the media to highlight your issues*

The media provides an excellent vehicle to disseminate information at the national, regional and local levels and, if used well, can help encourage stakeholders to participate in the policy process.

There are several ways to elicit media interest in ageing issues:

- Invite journalists to special events or meetings you are holding
- Send regular briefing points to contacts in the media – particularly if there is a plan for a change in policy
- Write features for newspapers, particularly around the time of The International Day of Older Persons (October 1 each year)
- Issue press releases on issues connected with ageing and older persons

In Grenada, West Indies, there is a Government Information System which uses multi-media approaches to inform citizens about Government policies and programmes and to air information. A local television station is dedicated to this information.

For further information on advocacy and older persons, please see a publication of HelpAge International, *Ageways* Issue 68 (available on the web) at: <http://www.helpage.org/Resources/Regularpublications/Ageways>

#### *Cooperating with the development community*

When the international development community (defined as the multilateral and bi-lateral programmes and agencies that promote development) considers how to support issues of ageing, it most often is concerned with reform or development of pension systems. While this is important, much remains to be done to achieve greater mainstreaming of ageing issues among the priorities and within the programmes of the development community.

Development agencies respond to the priorities set by Governments, and so it is important to get the message across that ageing issues deserve greater support. Yet staff of the ministries responsible for ageing issues at the national level often have little or no contact with representatives of the development community in their countries. You should, therefore, approach the appropriate national representatives of development agencies to alert them that a policy or plan of action is to be developed, or that resources are required to support implementation. You may include representatives of civil society organizations in these discussions. If it is difficult to obtain overall funding to implement the plan of action in its entirety, you may find that a UN agency or bilateral development agency is interested in supporting one or more objectives or initiatives within the overall plan.

For longer term initiatives, you should be aware of the existence of the Common Country Assessment and UN Development Assistance Framework<sup>5</sup>. These are joint efforts of the UN system at the country level, usually coordinated by the United Nations Development Programme (UNDP), which provide input concerning programme priorities and the contributions of the UN system to meeting the Government's development objectives. As these activities form the starting point for UN system programming at the national level, it is important for you to learn how you can contribute to their development, so that you can ensure that ageing and the issues of older persons figure on the list of priorities to be covered.

## **2. Programme planning - how to promote implementation of a policy or plan of action (the Logical Framework Approach)**

In some ways, drafting a policy or plan of action and getting it approved is actually the easy part. You should feel a great sense of accomplishment once your policy or plan is adopted, but that is only half the story: once a policy or plan is agreed, it is time to start thinking about its implementation. A major reason greater progress on issues of ageing is not achieved in many countries is a failure to consider how policies and plans, once adopted, will be implemented. Implementation and monitoring raises a whole new set of challenges and you will need to consider how to address these in order to ensure that your plan actually comes to life.

In planning for implementation, it is important for you to consider how to turn policy prescriptions into actual programmes and activities. Among the issues you should address are the timing or sequencing of activities, the people or offices that will be responsible for various activities, and the resources and capacities that will be required.

To facilitate implementation, some governments have utilized a planning tool called a **Logical Framework**, or logframe. The logframe helps stakeholders and planners analyze and answer the questions, *why, how, with whom, and with what*, to develop an operational framework that mobilizes partners for implementation.

### *Logical Framework - brief overview*

A logframe is a chart that lists the most important aspects of an activity in an operational way and in a matrix form. The framework describes what a given activity expects to achieve. It provides a way to check whether the operation was

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<sup>5</sup> The CCA (Common Country Assessment) and the UNDAF (United Nations Development Assistance Framework) are national level planning tools for country programmes, generally on a 5-year cycle. The CCA is prepared first as an assessment of the major issues that need to be addressed by the UN system, and the UNDAF is the final planning product where responsibility for follow up and implementation of each priority issue by each UN agency is specified..

well designed and whether it had the desired impact, and it asks for information to confirm the result. The framework thus facilitates and improves monitoring and evaluation.

The logframe presents the substance of an activity in terms of overall objectives, project purpose, results, activities and their causal relationships, all of which are presented systematically. In addition, external factors (assumptions) that can influence the success of a project are included in the logframe. Following the outline below, an example is presented in the following section of one logframe that Government and NGO representatives in Kenya developed in order to promote implementation of the national plan of action on ageing.

### *Using the Logical Framework approach*

It is best to involve your committee – or the other stakeholders who will be your partners in implementing your plan, policy or programme – in developing and utilizing the logframe. You should organize a meeting or series of meetings to discuss the major aspects of the activity you envisage, and to establish the logframe.

You might start by asking participants to consider the following issues:

**Background and context** – What problem statement does the plan (or policy or programme) seek to address?

**Target group** – What group(s) are expected to be better off, either directly or in the longer run, if this plan is implemented?

**The purpose or immediate objectives** – What specific effects is the plan to achieve within its lifetime? If the plan is completed successfully what improvements or changes are expected in the target group?

**The ultimate objective or goal** – What is the broader goal towards which the efforts of the plan are directed?

In thinking about setting both immediate and ultimate objectives, participants may be reminded that objectives must be *smart*.

**S** – Specific

**M** – Measurable

**A** – Appropriate

**R** – Realistic

**T** – Time-bound

**Indicators** – what evidence, measures or indications will demonstrate that the objectives have been achieved? Note that it is best to have baseline (or starting

point) indicators in place at the beginning of the implementation phase so that you will be able to measure progress. By setting baseline indicators, you will be better able to monitor whether your objectives are met and, if not, to plan for a change in approach. Indicators will also facilitate your final evaluation of the success of the plan, policy or programme at its conclusion.

Appropriate indicators must also be:

**Specific**  
**Measurable**  
**Available**  
**Relevant**  
**Time-bound**

Indicators may be direct or indirect, quantitative or qualitative and they should be designed to monitor the achievement of the end result, the effectiveness of the strategy (the process you are using to reach the objective), and the efficiency of the strategy (including the timeframes, costs and other inputs) as follows:

Overall/immediate objective → Impact Indicator  
Purpose/Goal → outcome indicator  
Results/outputs → output indicator

For further discussion on this issue with relation to the Madrid Plan of Action, please refer to “Guidelines for review and appraisal of the Madrid International Plan of Action on Ageing” pages 59-85.

**Outputs** – Outputs are the result of completed activities. Determine what kinds of outputs should be produced with the inputs provided. Consider how many outputs you expect to achieve.

**Activities** – What activities need to be undertaken in order to produce the desired outputs?

**Inputs** – What money, personnel and materials are necessary to conduct the activities?

**Assumptions** – What events, conditions, actions or decisions might affect the implementation of your policy or plan? Assumptions may be outside your control, but you should consider them anyway. It is important to recognize factors that may influence the smooth operation of the policy or plan, and to try to mitigate any negative impacts.

**Means of verification** – refers to the source of data/information for your indicators at each level. For example, data sets, reports, evaluation of activities, feedback from stakeholders etc.

### **3. Case study – Policy on Older Persons and Ageing, Kenya: Development of a logical framework to assist in the implementation of the National Plan of Action**

The Government of Kenya has a national plan of action on ageing with clear but multiple “objectives”. The government had not established, however, how the plan would be implemented, by whom, and with what resources. In order to operationalize the plan, a workshop was organized that brought together officials from government and representatives of civil society organizations to undertake a planning exercise. The goal was to streamline the plan of action and establish measures for its implementation. Participants decided to work with the logical framework methodology.

#### **Broad outline of the Kenya National Plan of Action**

The overall goal is to ensure quality of life in old age through fulfilment of basic needs

#### **Objectives of the Plan of Action**

1. Recognition of the rights and independence of older persons
2. Enjoyment of quality of life throughout the life course, including old age
3. Reinforcement of healthy and active ageing by ensuring access to comprehensive health care
4. Recognition and provision of assistance to families and communities that support older persons
5. Recognition of the cultural perspective of old age
6. Recognition of the gender dimensions of ageing and development of age-specific programmes to address disability
7. Access to adequate food and nutrition for older persons
8. Access to safe, durable and affordable shelter for older persons
9. Access to and active participation in education and training initiatives by older persons in their local environment and use of media to create awareness of the potential of older persons to transfer cultural knowledge across generations
10. Elimination of discrimination against older persons in obtaining employment and training opportunities, and in retaining jobs, thereby enhancing income security
11. Establishment of appropriate social security systems
12. Strengthened and expanded national and community based social welfare services that are accessible, flexible and affordable
13. Promotion of retirement schemes that recognize that retirement is not an end to an active life
14. Recognition of the special needs of older persons in conflict and disaster

- situations
15. Establishment of appropriate and effective legislation and institutional and implementation frameworks to support policy on ageing.

The objectives of the Plan of Action were grouped into 15 “strategic areas”:

1. Poverty and sustainable livelihood
2. Health and active life
3. Family and culture
4. Gender
5. Food security and nutrition
6. Housing and physical amenities
7. Education, communication and training
8. Employment and income security
9. Social security
10. Social welfare
11. Preparation for retirement
12. Conflicts and disaster situations
13. Institutional framework
14. Policy implementation
15. Law and rights of older persons

### Getting started

Participants were asked to list the strategic areas in order of priority, and to link any areas they felt were related. In this way, they could begin to manage better the processes of planning, implementation and monitoring. Discussions were held and consensus was reached on the following reformulation:

1. Poverty, family and culture: (poverty and sustainable livelihoods, family and culture)
2. Basic needs: food, health and housing (health and active life, food security and nutrition, housing and physical amenities, conflicts and disaster management)
3. Provisions to meet basic needs: (education, communication and training, employment and income security, social security, social welfare)
4. Institutional framework: (Institutional framework, policy implementation, law and rights of older persons, preparation for retirement)

It was agreed that gender was a cross-cutting issue rather than a separate category.

The participants developed the following table in order to present one of the draft objectives from the Kenyan Plan of Action. This objective was concerned with improving social security and welfare programmes, and the table was created using the logical framework approach and guidelines described previously.

#### 4. Example of part of a Logical Framework

##### Provisions to meet basic needs

<b>NARRATIVE SUMMARY</b>	<b>OBJECTIVELY VERIFIABLE INDICATORS</b>	<b>MEANS OF VERIFICATION</b>	<b>ASSUMPTIONS</b>
<p><b>GOAL (of Policy)</b></p> <p>To contribute towards improving the quality of life in old age through fulfilment of basic needs</p>	<p>Percentage of older persons in poverty reduced by 30%</p> <p>Improvement in health indicators for older persons</p>	<p>Age-disaggregated health surveys</p> <p>Age disaggregated poverty assessments</p> <p>National household surveys</p>	
<p><b>PURPOSE/IMMEDIATE OBJECTIVE</b></p> <p>Improved social security and social welfare measures.</p>	<p>% of increase of older persons enrolled / contributing to social security schemes</p> <p>Number of new welfare programmes established.</p>	<p>Social security centre records</p> <p>Ministry of Health records</p> <p>Ministry of Social Development records</p>	<p>Increase in number of social security and social welfare schemes will lead to improved wellbeing of older persons</p>
<p><b>OUTPUTS/RESULTS</b></p> <p>1. Formal social security systems established targeting vulnerable older persons through the National Health Insurance Fund branches</p>	<p>1. One per province by 2012</p>	<p>Social security Centre records (local and central authorities)</p> <p>Interviews with beneficiaries</p>	<p>Availability of funds</p> <p>Political commitment</p>
<p>2. Informal social security mechanisms established through table banking, revolving funds and symbolic interest based credit.</p>	<p>1. In 3 provinces by 2008 and 7 provinces by 2012</p>	<p>Records and registers in local authorities offices, progress reports, beneficiary interviews</p>	<p>Government and private sector support</p> <p>Bank support</p> <p>Participation of older persons</p>
<p>3. Multi-service centre (food, shelter, rehabilitation, health and nutrition) established for indigent older persons</p>	<p>1. At least one per province by 2015 serving over 500 older persons</p>	<p>Registers at Centres</p> <p>Local Authority reports</p> <p>Budget sheets</p> <p>Beneficiary interviews</p>	<p>Availability of funds</p> <p>Political commitment</p> <p>Local authority commitment</p> <p>Availability of land/building</p>
<p>4. Improved awareness of rights and needs of older persons</p>	<p>1. Number and reach of campaigns, awareness raising sessions</p> <p>2. Increase in number of older persons accessing social security programmes by 2010</p>	<p>Church records</p> <p>Interviews with staff</p> <p>Rapid qualitative/participatory assessment</p>	<p>Older persons will act upon information received</p>
<p>5. Job creation programme for older persons established</p>	<p>1. At least 1,000 basic jobs created for older persons over 5 years</p>	<p>Progress reports</p> <p>Registers</p> <p>Rapid household qualitative assessment</p>	<p>The economic situation supports the creation of new jobs</p>
<p><b>ACTIVITIES</b></p> <p>1.1 Set up pressure groups (including older persons) to</p>	<p>X number of groups established by xx and talks</p>	<p>Minutes of meetings</p>	<p>People found to participate who are committed</p>



<p>hold talks with policy makers and programme planners at the National Social Health Insurance Fund.</p> <p>1.2 Organize advocacy seminars targeting the media and donor community to lobby for formal cash transfers for poor older persons.</p> <p>1.3 Organize information campaigns through agricultural extension and health workers to inform and education older persons on financial social security issues and existing provisions and mechanisms.</p> <p>2.1 Organize one village meeting per month involving chiefs and community leaders to pool disposable resources into revolving community funds to be allocated to older persons for micro-enterprises</p> <p>2.2 Organize one sensitization session per village per month to promote small savings culture among families as source of mutual cash transfer.</p> <p>2.3 Create stakeholder consortium to contribute to the pool of resources and support informal social security mechanisms for poor older persons.</p> <p>3.1 Meet with local authorities to acquire land/premises free of charge to establish multi-service centres.</p> <p>3.2 Organize sensitization sessions to encourage community to contribute in-kind to setting up of centres (building materials, labour etc.)</p> <p>3.3 Launch resource mobilization campaign to secure financial/material contributions.</p> <p>4.1 Hold talks with church leaders to use their sermons to create awareness among local communities on need to provide basic support to older persons.</p> <p>4.2 Organize community groups to undertake home visits to older persons with disabilities or mobility problems to provide necessary support (first aid,</p>	held by xxx		
	X number of advocacy seminars carried out by xx	Records/reports of seminars	Success of advocacy seminars
	X number of information campaigns carried out by xx	Information campaign materials	Agricultural and health workers willing to take on this role
	X number of meetings held in x number of villages per province	Records of meetings	Chief and community leader willingness to participate and agree to objective
	X number of sessions held in x number of villages per province	Meeting records	Good attendance of beneficiaries
	X number of consortiums established by x	Legal papers/guidelines	Stakeholders think consortium is a good idea and are willing to contribute
	XX meetings held by xx	Number of buildings Amount of land	Local authorities willing to donate
	XX number of sensitization sessions held by xx	Records of sessions	Willingness of community members to show interest and attend
	Campaign launched by XX	Amount of and kinds of contributions raised	Willingness of community to donate
	XX number of meetings with church leaders held by xx	Minutes/records of meetings	Willingness of church leaders to participate
XX number of groups established by xx	Records of Ministry	Availability of human resources to establish groups and financial resources for costs of services	
XX number of focus groups established by xx	Ministry records	Appropriateness/quality of assessment	
Number of talks held with xx number of local	Files of Ministry	Interest of local authorities	

<p>hot meals etc.)</p> <p>4.3 Conduct qualitative assessment through focus groups to gather information on specific needs of older persons</p> <p>4.4 Hold talks with local authorities to devise information education programme targeting older persons</p> <p>4.5 Prepare information materials for distribution during home visits.</p> <p>5.1 Hold talks with local banks to sensitize them to the need to allocate fixed proportion of small credit loans to older persons able and willing to invest in small income generating activities.</p> <p>5.2 Train groups of older persons in design, marketing and overall management of income generating activities</p> <p>5.3 Undertake sensitization campaign to encourage efficient credit management to facilitate basic employment/income generation of older persons.</p>	<p>authorities and location</p> <p>Type and amount of information materials prepared</p> <p>Meetings with XX number of Banks by XX</p> <p>XX number of older persons trained by XX – in xxx locations</p> <p>Sensitization campaign strategy produced by xxx'abd implemented by xx</p>	<p>Information materials</p> <p>Meeting records</p> <p>Workshop materials Files</p> <p>Sensitization materials</p>	<p>Budget available</p> <p>Interest of Banks in the issue and commitments made</p> <p>Resource availability. Interest of older persons</p> <p>Resources</p>
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Not shown here, but another portion of a logistical framework are sections on the potential risks and human/material/financial resources needed to implement the activities.

Risks to be taken into account are those that within your control, e.g. project design, and those that are not, e.g. political stability.

With regard to resources, it is worth noting that all proposed activities may not require financial resources from your office. If the mainstreaming methodology is taken on board, some outputs may be delivered by mainstreaming older persons into other ongoing projects and policies.

For more detailed information and discussion of this methodology, please go to:  
 Tools for Development: A handbook for those engaged in development activity  
 Department for International Development, UK. September 2002  
[www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf](http://www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf)

**PART SEVEN: MONITORING OF POLICIES AND PROGRAMMES**

Monitoring as the word suggests, is a tool for assessing whether a project/policy/programme is being implemented as planned and if not, to make changes. This differs from evaluating which usually takes place when the project is closing to assess whether the objectives of the project have been met.

As discussed in Part Six, in choosing indicators in the Logical Framework exercise, you have in effect, already laid the basis for monitoring your policy/project as planned, reaching objectives and if not, making adjustments to correct that.

In addition to monitoring implementation of your policy or plan of action for your own management purposes, the Madrid International Plan of Action calls for a global monitoring (review and appraisal) of it's implementation every five years. The first review and appraisal process started in 2007 and concludes with the presentation of results at the United Nations ECOSOC's Commission for Social Development in February 2008. DSPD has issued a separate publication containing guidelines for this process. This publication also serves as a good source of information on the process of participatory monitoring and evaluation and the formulation of indicators for programmes/policies and plans of action on ageing in general. It is available on line at: [www.un.org/esa/socdev/ageing/researchpapers.html](http://www.un.org/esa/socdev/ageing/researchpapers.html) and in hard copy from the Division for Social Policy and Development.

The following table illustrates some of the more popular methodologies for setting indicators – both quantitative and qualitative. Ideally, if possible you should have a balance of both types of indicators to complement each other. However, the important thing is to pick indicators where the collection of data is easy and of use to both project implementers and management. Don't let the monitoring mechanism become onerous.

Tool	Purpose	Advantages	Risks
Performance Indicators	Measures inputs, process, outputs, activities, impact	Effective for measuring projects in progress. Facilitates benchmarking	Indicators have to be well-defined and data readily available
Logical Framework Analysis	Utilizes performance indicators at each stage of the project/policy and causal links to review progress	Improves design of policy/programme, management tool. Objective basis for monitoring/appraisal	Some see the methodology as too rigid.
Theory-based evaluation	More in-depth approach than Logframe to analyze logic and process	Gives earlier feedback for project management on what is not working well	Can be overwhelming to use if a large programme/policy is being monitored

Formal survey	Collect standard data from a sample of people or households – baseline data	Quantitative information to extrapolate findings	Results often take time due to processing and analysis of data. High cost.
Rapid Appraisal	Rapid qualitative information for decision making.	Low cost, flexible, speed.	Difficult to generalize from findings due to limited sample size
Participatory methods	Involves stakeholders in planning, activities, monitoring, and evaluation using participatory qualitative approach.	Sense of partnership and ownership for stakeholders which increases success	Less valid than formal surveys because quantitative data not collected. Can be time consuming, requires trained facilitators, potential for domination by particular stakeholders.

Monitoring and Evaluation Tools (adapted from Monitoring and Evaluation: Some tools, methods and approaches, World Bank, 2004)

## PART EIGHT: FURTHER DEVELOPMENT OF THE FRAMEWORK

This framework is viewed as a work in progress, which will be periodically updated as more experience in developing and implementing ageing policies and programmes is gained and collected. We would like to add case studies and examples of best practices from around the world to promote the sharing of information. The framework will be posted on DESA website within a sub-section on implementation of MIPAA.

In this context, we welcome comments and suggestions to improve the framework.

## **ANNEX ONE**

### Tools methodology

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