Research Plan

Proposed Research Activities (Prior to Workshop I)

Participants:

We would like to interview at least 6 and preferably 10 people for 90 to 120 minutes each. We would like to interview:

•   At least 2 staff members of NGOs stationed in Africa. Preferably, NGO staff who have worked with U.S. military planners or other military personnel.

•   At least 2 staff members of African military or non-military agencies. Preferably, staff who have worked with U.S. military planners or other military personnel.

•   Zero or more U.S. military and non-military personnel who have worked with NGOs and African military or non-military government officials. Preferably, Joint staff officers who have experience within a JTF or combatant command headquarters.

Since our primary focus is on operational level planning, our first priority is interviewing members of NGOs and of the African military who have been involved in planning with the American military. If no such individuals will be available, we could interview members of NGOs and of the African military who have collaborated with the American military at any level.

Data collection Instrument is found in Appendix A.

Participants:

We would like to have 6 to 9 people complete each of the two surveys and the interview. The two surveys will each last 60 minutes, with the interview occupying 90 minutes. We do not require that different individuals complete the surveys and instruments, so we are not expecting that 18-27 individuals be made available for this effort. Rather, any mix of unique and repeat respondents will be sufficient for our purposes.

Regarding the desired experience and backgrounds of the respondents, we would like to survey or interview, for each instrument:

•   At least 2-3 individuals who have worked with or worked for NGOs operating in Africa, preferably in one of the 15 ECOWAS countries, and who have first hand-knowledge of working with the US and/or coalition military.

•   At least 2-3 individuals who have worked with or worked for an International Organization (e.g., the UN) operating in Africa, preferably in one of the 15 ECOWAS countries, and who have first-hand knowledge of working with the US and/or coalition military.

•   At least 2-3 individuals who have staff experience in the US, coalition, or African military, and who have worked with NGOs, IOs, or USG inter-agencies in Africa.

While it is preferable to interview participants on an individual basis, our instruments can accommodate as many as 2-3 participants at one time if schedule constraints require this. Larger numbers in a given session would be handled by having two of our staff (a total of 3 will be present) conduct parallel sessions in separate rooms.

Data collection instrument is found in Appendix B.

Participants:

Approximately 30-50 college students raised in Western Africa to take the Hofstede's Values Survey: The goal is to gain a better understanding of cultural similarities and differences.

Proposed Research Activities (During Workshop I)

-Data collectors will:
- Transcribe discussions (persons will be identified by type such as NGO, governmental agency, military organization, not by name)
- Use socio-gram form to count interactions (who spoke to who-by type of organization, not name). Use a new form for each change of topic or each hour.
- Use matrix form to rate the tone of each exchange using 4 levels from negative to positive. Note change over time.
- Provide index cards for participants to make anomalous comments or ask questions.
- Observers will ask questions via comment cards. If possible, those in the audience will be able to participate via computer and carry on a parallel dialogue to that of the panel.
- At the end of each day, data collectors will meet to compile findings for that day and prepare a report for the following day. Participants will be asked to make corrections or additions. `
- Data collectors will compile findings for distribution to the Community of Interest for comment

Proposed Research Activities (On-line; separate from workshop)

Threaded Discussion Online
- When we get our site online, we will post topics for discussion.
- Community of Interest (COI) may post topics for discussion through PIF

Interviews above may be put on-line for COI input.

COI asked to respond to conclusions of other forums via web
- COI will be able to rate their agreement with the conclusions of other related forums.
- COI will be able to rate the importance of these conclusions
- COI will be able to add to our understanding of the information sharing technologies in the region

An example can be found in Appendix C.

Appendix A

PART I:
Civil-Military Collaboration Challenges and Strategies

This part of the interview will be treated much like a Team Audit. We expect to probe each of the high-level categories, getting specific examples from the interviewees' collaborative experiences. We do not expect to hit each area within the interview, but will delve deeper into collaboration dimensions which elicit the richest incidents. Also, the questions here are simply starting points. It is likely that additional questions will be posed within each category, depending on the content of the interviewee's response.

Note: If the interviewee does not have experience collaborating with [other organizations], reframe the

questions in each category to elicit *expectations*.

➢ **Roles and Functions**
We're interested in understanding how NGO-IA-host nation-governmental agencies-military collaborators establish or assume roles and responsibilities in complex contingencies.
- Think of a specific experience you had in collaborating with [another organization].
Background
- What were the overall mission/goals for the collaboration?
- What were you trying to accomplish when working with staff from [other organization] (e.g., joint execution, planning, coordination, etc.)
- Who, more specifically were you working with from [other organization]? What were their titles/ranks?
Roles/Responsibilities
- What was your role? Why was that your role?
- What was the role of _____? Why was that their role?
- How were roles and responsibilities determined?
- Who (if anyone) held a "leadership" role? Was that determined explicitly up-front? Or did it emerge? Explain.
- What expertise, skill set, or resources did the military provide? Explain
- Did the military fulfill the role you expected? Explain why or why not.
- Did you fulfill other roles that were not expected originally? Explain.
- Were there any confusions regarding roles and responsibilities? Describe. How were those confusions resolved, if at all?

➢ **Maintaining shared SA/ Information Sharing**
One of the keys to effective collaboration the ability to maintain a shared understanding of the situation, to detect when that shared understanding may have been broken, and to repair it. We want to understand how this shared understanding is (or is not) achieved and maintained among NGO-IA-host nation-governmental agencies-military personnel during complex contingencies.
- Think of a specific experience you had in collaborating with [another organization] when you believe that members of this coalition weren't all on the same page? Please Describe.
Background
- What were the overall mission/goals for the collaboration?
- What were you trying to accomplish when working with staff from [other organization] (e.g., joint execution, planning, coordination, etc.)
- Who, more specifically were you working with from [other organization]? What were their titles/ranks?
Shared SA
- What clued you into the misalignment? In other words, how did you know that members of the coalition weren't aligned?
- What did you and other members of this coalition do (if anything) to make sure that you had a shared view of the situation?
- Was there any process in place which should have ensured that you all stayed on the same page, but which failed in this instance?

➢ **Communication and Information-Sharing Process**
We want to understand how information flow and communication occurs between NGO-IA-host nation-governmental agencies-military players during complex contingencies, and any challenges that arise from differing processes or expectations for sharing information.

- Think of a specific experience you had in collaborating with [another organization] in which sharing information became particularly challenging?

Background
- What were the overall mission/goals for the collaboration?
- What were you trying to accomplish when working with staff from [other organization] (e.g., joint execution, planning, coordination, etc.)
- Who, more specifically were you working with from [other organization]? What were their titles/ranks?

Information Sharing
- Who did you, specifically, communicate with? How did you decide to communicate with that person (or set of persons)?
- What information did you share with that person (or set of persons?)
- Is there some communication or information that you expected, but didn't receive? Explain.
- Did any confusion arise due to differing communication processes? Explain

➢ **Performance Monitoring**

A team's ability to monitor the quality of its performance and its own progress toward goals is one of the characteristics of highly effective teams. We want to understand whether and how NGO-IA-host nation-governmental agencies-military monitor their progress and performance during complex contingencies,
- Think of a specific experience you had in collaborating with [another organization]. How did the coalition monitor progress towards goals (if at all?)

Background
- What were the overall mission/goals for the collaboration?
- What were you trying to accomplish when working with staff from [other organization] (e.g., joint execution, planning, coordination, etc.)
- Who, more specifically were you working with from [other organization]? What were their titles/ranks?

Performance Monitoring
- Who was responsible for monitoring your collective performance? Was this responsibility explicit? Or assumed? If assumed, why?
- What, if anything, was done when progress was deemed insufficient?
- What about measuring the quality of a plan or action? Did this happen? If so, describe. How was this assessment made? And by whom?

➢ **Time Management**

Every collaboration has certain deadlines, although the flexibility of those deadlines might vary. We're interested in understanding how NGO-IA-host nation-governmental agencies-military coalitions manage their time, and where differing time scales may cause challenges in collaboration during complex contingencies.
- Think of a specific experience you had in collaborating with [another organization], to what extent was timing/schedule a driver in the planning or the execution of the objectives?

Background
- What were the overall mission/goals for the collaboration?
- What were you trying to accomplish when working with staff from [other organization] (e.g., joint execution, planning, coordination, etc.)
- Who, more specifically were you working with from [other organization]? What were their titles/ranks?

Time Management

- How did the importance of timing/schedule in planning or executing the plan compare to other potential drivers? Explain.
- Were there any differences between the NGO and military in terms of their assumptions surrounding timing and schedule? Please explain.
- How was timing and schedule determined and managed?
- Was the schedule made explicit? If so, how?
- How flexible was timing/schedule? What did that "flex" depend on?

➢ **Decision Making**

We're interested understanding how decisions are made among NGO-IA-host nation-governmental agencies-military players in complex contingencies, as well as any challenges that may arise due to differing expectations or processes.
- Think of a specific experience you had in collaborating with [another organization]; can you describe how decisions were made? Perhaps you can think of a specific example or two…

Background
- What were the overall mission/goals for the collaboration?
- What were you trying to accomplish when working with staff from [other organization] (e.g., joint execution, planning, coordination, etc.)
- Who, more specifically were you working with from [other organization]? What were their titles/ranks?

Decision Making
- What was the process for arriving at a decision? How did things unfold?
- Who was involved? And how was that determined?
- What was the most difficult aspect of the decision-making? (if there were any) Please describe.

➢ **Trust and role of personal relationships**

Trust and personal relationships affect the collaborative environment. We're interested in understanding how trust and personal relationships affect collaboration between NGO-IA-host nation-governmental agencies-military personnel in complex contingencies
- Can you think of a specific experience when collaborating with [another organization] when trust (or lack thereof) contributed significantly to the functioning of the coalition? Explain.

Background
- What were the overall mission/goals for the collaboration?
- What were you trying to accomplish when working with staff from [other organization] (e.g., joint execution, planning, coordination, etc.)
- Who, more specifically were you working with from [other organization]? What were their titles/ranks?

Trust
- How is trust or personal relationships established in this environment? Can you give an example?

➢ **Successful Experience**

We're interested in understanding contributors to effective collaborations between the NGO-IA-host nation-governmental agencies-military.
- Can you think of a specific experience when collaborating with [another organization] where the experience was particularly successful? Describe that for

us.

Background
- What were the overall mission/goals for the collaboration?
- What were you trying to accomplish when working with staff from [other organization] (e.g., joint execution, planning, coordination, etc.)
- Who, more specifically were you working with from [other organization]? What were their titles/ranks?

Successful Experience
- What factors do you attribute the success of that experience to? E.g., was it the specific task/mission? Was it a particular person or set of persons who were involved? Was it the way information was shared? Some combination thereof? Describe.

PART II:
Humanitarian Assistance Response Planning/Preparation

➢ **Concept of planning process**

We're interested in understanding what the planning/preparation process looks like with NGO-IA-host nation-governmental agencies-military personnel during complex contingencies, as well as any confusions or challenges that arise due to differing processes or expectations surrounding planning/preparation.

- What was the last health sector planning team you were on? Who else was on the team and what was your role?
- What sort of process did you use? Was it a formal process? Or was it more informal an ad-hoc? Explain.
- Did you have certain expectations for the process that maybe conflicted with how things actually played out? Explain.
- Were there any points in which the preparation process surprised you? Or perhaps where there was some confusion? Please describe what happened.
- More generally, which parts of the planning process do novices usually find surprising.

➢ **Concept of plan**

- What are the components of a plan? If you had limited time for planning, which would be the most important to focus on?
- What's the biggest mistake that a new person makes in thinking about what a plan is?

➢ **Concept of plan quality**

- Can you tell us about a time when you worked on a team that developed an especially good plan?
- What makes for a good plan?
- What are some of the characteristics that differentiate a good plan from a poor plan?
- Have you ever tried to execute with a plan that turned out to be bad? How did you discover that the plan was bad?
- Is more detail better or worse for a plan's success? How can you tell if a plan has too much

detail or too little detail – give examples if possible

➢ **Functions of plans and planning**

- What are some ways that a plan is used in execution?
- Have you ever seen a plan used inappropriately? Please explain...
- We have talked to some good planners who say that the plan is just a platform for improvisation, rather than to be executed as written. What has your experience told you about this statement? Examples?

➢ **Plan revision**

- What does it mean to replan, or plan on the fly?
- What would lead to you make changes to the objectives of a plan?

Are there any additional contacts that would be in a position to help our project that you think we should interview?

Appendix B

Interview to understand information sharing and collaboration between civilian and military organizations during a crisis response

- The goal of our project is to provide Internet-based training that will facilitate information sharing and collaboration between civilian and military organizations during a crisis response.

- The focus in this interview will be crises whose origin is a natural disaster and where military personnel provide support at the request of a host nation in West Africa.

- Our current objective is creating a Web site that will (1) provide access to the training and (2) demonstrate a set of tools that may facilitate information sharing and collaboration.

Previous research has shown that information sharing and collaboration can be facilitated when (1) the obstacles to sharing and collaboration are recognized and (2) individuals act based on knowledge and skills intended to overcome these obstacles. During this interview we will be asking you about the obstacles you have experienced and the skills you have used to overcome them. Your answers will help us develop the training, tools, and content for the Web site.

The interview should take about 90 minutes. We greatly appreciate the time you are giving us today. Before starting, we would like you to read the Informed Consent for this interview. After that we will answer any questions you have about the purpose of this interview.

Type of Organization		*Date*	

Note: Your name and your organization's name will not be recorded, nor will

your specific ratings or comments be linked to you in any way. This survey is for RESEARCH purposes only.

Before we begin the interview, we would like you to briefly describe the type of information that you normally share with members of other organizations and the methods that you use to share this information.

Obstacles to Information Sharing and Collaboration

In this section, we present eight potential obstacles to information sharing and collaboration.   Previous research has shown these obstacles may be a problem when organizations having different perspectives attempt to work together. These obstacles include technology factors, organizational differences, and procedure differences.
We are interested in finding out if these factors have affected your ability to share information and collaborate with other organizations. For each obstacle, we would like you to indicate:

   a. Whether you have encountered the obstacle when attempting to share information and collaborate with another organization;

   b. If you have encountered the obstacle, describe the way that it affected you and your organization; and

   c. Comments on solutions you found that worked or solutions you would suggest trying out.

1. **Presence of the Media**: Does the presence of television and newspaper reporters and camera people make it difficult to share information and collaborate with other organizations?

   ☐ **YES**   ☐ **NO**

   If you have encountered this obstacle how did it affect you and your organization?

   Comment on solutions that worked or ones we should try out.

2. **Information Classification**: Some information may not be shared by an organization because it is considered proprietary or, in the case of the military, classified. Is information classification a problem in acquiring or sharing information?

☐ YES   ☐ NO

If you have encountered this obstacle how did it affect you and your organization?

Comment on solutions that worked or ones we should try out.

3. **Terminology**: Different organizations may use different words to mean the same thing, even if they speak the same language. This can make communication difficult. Have you found this to be a problem in acquiring or sharing information?

☐ **YES**   ☐ **NO**

If you have encountered this obstacle how did it affect you and your organization?

Comment on solutions that worked or ones we should try out.

4. **Knowledge of How Other Groups are Organized**: It can sometimes be difficult to work with another agency when you don't know how it is organized, who is responsible for specific functions, and so forth. Have you found this to be a problem in acquiring or sharing information?

☐ **YES**   ☐ **NO**

If you have encountered this obstacle how did it affect you and your organization?

Comment on solutions that worked or ones we should try out.

5. **Lack of Personal Contacts**: It can be difficult to exchange information with other organizations if there is not a particular individual you can contact, either by telephone or e-mail. Have you found this to be a problem in acquiring or sharing information?

☐ **YES**   ☐ **NO**

 If you have encountered this obstacle how did it affect you and your organization?

Comment on solutions that worked or ones we should try out.

6. **Technology Barriers**: It can be difficult to share information with organizations if the e-mail systems are incompatible, they cannot be reached by telephone, or if they have a very different computer system than your organization. Have you found this to be a problem in acquiring or sharing information?

☐ YES   ☐ NO

If you have encountered this obstacle how did it affect you and your organization?

Comment on solutions that worked or ones we should try out.

7. **Knowledge of Resources**: It can be difficult to share information with organizations if you don't know what type of resources they have that might be useful to your organization. Have you found this to be a problem in acquiring or sharing information?

   ☐ **YES**   ☐ **NO**

   If you have encountered this obstacle how did it affect you and your organization?

   _____

   Comment on solutions that worked or ones we should try out.

   _____

8. **Procedural Differences**: It can be difficult to share information with another organization if their method of operation is quite different from your organization's; that is, they have different procedures, rules, or ways of doing things. Have you found this to be a problem in acquiring or sharing information?

☐ **YES**   ☐ **NO**

If you have encountered this obstacle how did it affect you and your organization?

Comment on solutions that worked or ones we should try out.

To complete this section of the interview, we'd like you to think about whether there are any other obstacles to information sharing and collaboration that you have encountered. After indicating the obstacle, please give a brief explanation of how it affected you and your organization and any solutions you found effective.

Additional Obstacle: _____

Explanation and comments:

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Additional Obstacle: _____

Explanation and comments:

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Additional Obstacle: _____

Explanation and comments:

Additional Obstacle: _____

Explanation and comments:

Core Competencies for Information Sharing and Collaboration

Core competencies are a set of acquired knowledge and skills. Previous research has found several core competencies that are important for promoting information sharing and collaboration between organizations that have different purposes and perspectives. Below, we list 17 such skills. We would like to you to indicate:

   a. If the competency is important for information sharing in your organization;
   b. If it is important, comment on how individuals that lack the skill impact you or your organization; and
   c. How you think the skill might be learned or trained.

1. **In-Synch**: The staff person takes measures to ensure that his or her actions are in unison and concurrent with other members of the staff.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

[ ]

How do you think this skill might be learned or trained?

[ ]

2. **Focus**: The staff person keeps his or her focus on information at the appropriate level, not being too detailed or too general.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

3. **Consequences**: The staff person understands the potential for extended or unintended consequences (effects that aren't immediate but can show up later) in any action taken.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

4. **Timing:** The staff person supports his or her organization's needs for rapid decision making by supplying information on a timely basis.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

5. **Localize**: The staff person pinpoints or finds where key information is located in a given situation, and who has it, by considering as many different organizations as possible.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

6. **Terminology**: The staff person understands and applies terminology that is appropriate for the region (rather than using his or her own organization's jargon) in all communication.

☐ **YES, this skill is important**　　　☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

7. **Communicate**: The staff person communicates efficiently in ways that don't overwhelm the limits of the communication system and its users.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

8. **Information Flow**: The staff member knows where the flow of information can be restricted or obstructed and what kind of information transactions are time-consuming and labor intensive.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

9. **Roles**: The staff member understands what roles the various civilian (HN, NGO, IO, USG) and military entities in the region play, and what they can and can't do for them.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

10. **Measures**: The staff member is able to develop and use appropriate indicators to measure progress toward a goal at key points as the crisis unfolds.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

11. **Relationships**: The staff member establishes and maintains useful personal relationships with appropriate counterparts at other organizations.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

12. **Common Understanding**: The staff member monitors the situation and events to ensure there is a common understanding of objectives across participating organizations.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

13. **Events Requiring Action**: The staff member monitors the operational environment for events or signs that indicate some action, decision, or input are needed by their organization.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

14. **Plans Ahead**: The staff member is able to anticipate, or "plan ahead" of, unfolding events to help units at the scene perform their duties more effectively.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?
[   ]

How do you think this skill might be learned or trained?
[   ]

15. **Rules**: The staff member interprets policies and procedures (rules of engagement) in light of the current crisis situation and organizational requirements.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

16. **Systems Orientation:** The staff member develops and maintains an understanding of how events and elements in the operating environment are interconnected, like a "system."

| YES, this skill is important | NO, it is not important |

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

17. **Resource Matching**: For a given point in a crisis, the staff member is able to match resources needed with resources available at the scene to guide a speedy response.

☐ **YES, this skill is important**   ☐ **NO, it is not important**

How do individuals lacking this skill affect you and your organization?

How do you think this skill might be learned or trained?

To complete the interview, we'd like you to take some time and think about whether there are skills or knowledge that, from your experience and observation, have proved useful in your organization for effective information sharing between civil and military entities. After indicating the skill or knowledge, please give a brief explanation of how it was shown in your organization.

Additional Skill or Knowledge:

_____

Explanation and comments:

Additional Skill or Knowledge:

_____

Explanation and comments:

Additional Skill or Knowledge:

_____

Explanation and comments:

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Additional Skill or Knowledge:

_____

Explanation and comments:

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Thank you very much for your time. These results will be invaluable in our efforts to create learning vignettes for our web site in the coming weeks and months. If you have any additional information that you'd like to provide, again on a non-identified basis, please don't hesitate to contact us. Our contact information is provided below:

Alan Spiker, Project Director, Phone: 011-805-966-6157 x20, vaspiker@anacapasciences.com
Wayne Walls, Lead Developer, Phone: 011-818-883-3723, wwalls@anacapasciences.com

Appendix C

For example: The following "principles" were noted. Rate your agreement with each statement. How important is this statement to successful information sharing? What are other important issues?

-Information sharing should take place through internet communications with existing UN exchange mechanisms... Relief Web (12million hits annually)

Rate your agreement with this statement.

|_____|_____|_____|_____|
Strongly   Neither   Strongly
Agree   Disagree

How important is this statement to successful information sharing?

|_____|_____|_____|_____|
Extremely   Neutral   No
Important   Importance

-Information sharing should take place through established social networks and individual networks within the social networks.

Rate your agreement with this statement.

```
|_____|_____|_____|_____|
Strongly                Neither              Strongly
Agree                                        Disagree
```
How important is this statement to successful information sharing?

-Information sharing tools should be open source non proprietary software tools (no licensing fees)

Rate your agreement with this statement.
```
|_____|_____|_____|_____|
Strongly                Neither              Strongly
Agree                                        Disagree
```
How important is this statement to successful information sharing?
```
|_____|_____|_____|_____|
Extremely            Neutral                 No
Important                                    Importance
                  Disagree
```
-Information sharing should adhere to the "KISS" (Keep it Simple Stupid) principle

Rate your agreement with this statement.
```
|_____|_____|_____|_____|
Strongly              Neither            Strongly
Agree                                            Disagree
```
How important is this statement to successful information sharing?
```
|_____|_____|_____|_____|
Extremely            Neutral                 No
Important                                    Importance
```
-What other issues are important to consider?