World Vision®

ORGANISATIONAL CAPACITY BUILDING MANUALS

■ ***Organisational Self-Assessment*** *(trainer)*

■ ***Organisational Self-Assessment*** *(facilitator)*

■ ***A Mentoring Approach to Capacity Building***

1 ***Organisational Purpose and Planning***

2 ***Organisational Structure and Procedures***

3 ***Group Dynamics***

4 ***Monitoring, Evaluation and Reporting***

5 ***Financial Management***

6 ***Resource Mobilisation***

7 ***External Relations***

Introduction to the Organisational Capacity Building Manuals, Web Publication version

Welcome to the Web Publication of the Organisational Capacity Building Manuals! This presentation of these manuals is optimised for online and computer-based viewing using Adobe Reader. The books within this collection contain the same content as their printed counterparts, and follow the same pagination.

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World Vision International

Ch. de la Tourella 6, 1209 – Geneva, Switzerland
email: geneva@wvi.org

A few words regarding navigation

In this publication, it is possible to navigate from one page to the next using the usual Page Up / Page Down buttons, the Left and Right Arrow buttons, or by clicking the Previous Page / Next Page icons. However, it should be pointed out that directly entered page numbers are not likely to take you to intended destinations, as many page numbers are reiterated from one booklet to the next and cannot be distinguished from one another.

Rather, for navigating to different sections, two useful methods are via the **Pages** tool and the **Bookmarks** tool, each of which can be found at the side of the viewport. (If these tools are absent, they may be hidden, or you may be using an older version of Adobe Reader. If you have access to the Internet, you may wish to visit adobe.com to download a current version.)

The **Pages** tool provides a visual means of navigation. When the Pages icon is selected, a thumbnail icon of each page in the publication is produced. These icons can then be selected to navigate to specific pages.
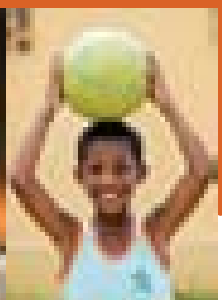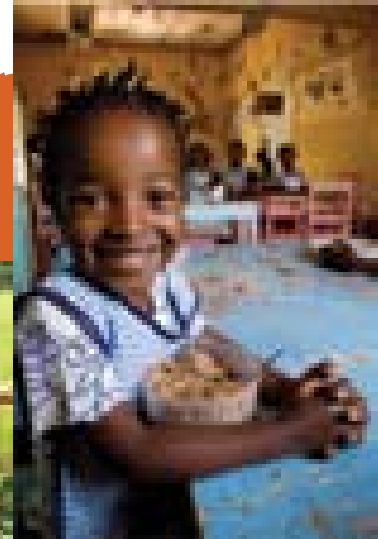
The **Bookmarks** tool provides a topical means of navigation. When the Bookmarks icon is selected, a topically organised menu is produced. Topics can be collapsed by clicking on the ' - ' icons, and expanded by clicking on the ' + ' icons. Topics can be selected to navigate to the given index or page that reflects the topic. The bookmarks are also helpful for getting a sense of the general structure and sectional organisation of the manuals.

For more comfortable reading of sideways-formatted pages, the view can be rotated page by pressing Ctrl + Shift + "+" and Ctrl + Shift + "-".

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Part 1: Trainer's Manual for **OSA**

ORGANISATIONAL
CAPACITY
BUILDING

Organisational
Self-Assessment

World Vision is a Christian relief, development and advocacy organisation dedicated to working with children, families and communities to overcome poverty and injustice.

As followers of Jesus, World Vision is dedicated to working with the world's most vulnerable people. World Vision serves all people regardless of religion, race, ethnicity or gender.

Trainer's Manual for

Organisational
Self-Assessment

Contents:

Outline of 5-Day Training Curriculum:

Introduction

This Trainer's Manual is a companion guide to World Vision's *Facilitator's Manual for Organisational Self-Assessment*, which forms Part 1 of World Vision's Organisational Capacity Building program. [1]

The Trainer's Manual is meant to be used by experienced Trainers tasked with training the Facilitators who will, in turn, carry out the Organisational Self-Assessment (OSA) with CBOs. The training curriculum outlined here will ideally be co-facilitated by three experienced Trainers, as this will allow for a division into groups on the penultimate day for practical facilitation practice. If such co-training is not possible, the Trainer will need to work out alternative arrangements for that section of the training agenda

The target *recipients* for this training are World Vision Facilitators tasked with carrying out the Organisational Self-Assessment process in communities. These should be staff with the front-line responsibility for field implementation. Senior staff (non-implementers) may also participate in the training, but on the understanding that they will be receiving more detail about the OSA process than they in fact will require as non-implementers.

The sample training program outlined in this Manual requires 5 days to complete. The sequence of activities in this 5-day training has been piloted and refined by World Vision Trainers in various countries in Sub-Saharan Africa and is judged to be appropriate to this context. Nevertheless, World Vision's Organisational Capacity Building program in its entirety is a work in progress. All feedback and comments are most welcome and may be sent to:

Stefan_germann@wvi.org

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[1] A separate Trainer's Manual to accompany Part II: *Facilitator's Manual to Organisational Capacity Building* is still under construction.

Sample Training Agenda

Day 1: Introduction to Participatory Facilitation

Time	Activity	Facilitator
8:00 - 8:30	Devotions	
8:30 - 9:15	Presentation Game	
9:15 - 10:00	Brainstorm Game	
10:00 - 10:20	**Break**	
10:20 - 10:30	Agenda	
10:30 - 10:45	Training Objectives	
10:45 - 11:15	Logistics and Training Rules	
11:15 - 11:30	Background to Participation	
11:30 - 12:15	Basic Principle #1	
12:15 - 13:15	**Lunch**	
13:15 - 14:15	Facilitation Techniques	
14:15 - 15:00	Distribute OCB Guide, give homewoork	

Day 2: Introduction to Appreciative Inquiry, Overview of OCB Process

Time	Activity	Facilitator
8:00 - 8:30	Devotions	
8:30 - 9:00	Group divisions, explain Thurs/Fri work and scoring	
9:00 - 10:00	A Diagram of Appreciative Inquiry	
10:00 - 10:20	**Break**	
10:20 - 12:00	Practice with AI Activities	
12:00 - 12:30	Feedback on AI Facilitation	
12:30 - 13:30	**Lunch**	
13:30 - 14:30	Overview: What is Capacity Building; What is OCB	
14:30 - 15:15	Intro to "Menu" of Capacity Areas	
15:15 - 15:45	**Break**	
15:45 - 16:30	The Importance of the Capacity Areas	

Day 3: Internal Organisational Self-Assessment: Steps 1-3

Time	Activity	Facilitator
8:00 - 8:30	Devotions	
8:30 - 9:00	Homework Quiz	
9:00 - 9:45	Powerpoint, Intro 5 Steps, Identify Partic. Methods	
9:45 - 10:00	Intro/Review OSA Step 1	
10:00 - 10:20	**Break**	
10:20 - 10:45	Group Work – Storytelling	
10:45 - 11:45	Plenary: Sharing Stories, Extracting Themes	
11:45 - 12:15	Creating the Organisational "Tree"	
12:15 - 13:15	**Lunch**	
13:15 - 13:30	Intro/Review OSA Step 2	
13:30 - 14:15	Group Work - Visioning	
14:15 - 15:00	Plenary Summary – Visioning	
15:00 - 15:20	**Break**	
15:20 - 15:45	Intro/Review OSA Step 3	
15:45 - 16:30	Plenary: OSA Step 3	

Day 4: Internal Organisational Self-Assessment: Step 4, Practical Facilitation

Time	Activity	Facilitator
8:00 - 8:30	Devotions	
8:30 - 9:00	Intro/Review OSA Step 4	
9:00 - 10:00	Group Work: Scoring the Capacity Areas	
10:00 - 10:20	**Break**	
10:20 - 11:30	Group Work: Graphing the Scores	
11:30 - 12:00	Preparations/Logistics for Afternoon Session	
12:00 - 13:00	**Lunch**	
13:00 - 16:30	Practical Facilitation in Groups with Scoring: Part 1	

Day 5: Practical Facilitation, Wrap Up

Time	Activity	Facilitator
8:00 - 8:30	Devotions	
8:30 - 12:00	Practical Facilitation in Groups with Scoring: Part 2	
12:00 - 13:00	**Lunch**	
13:00 - 14:00	Plenary Feedback on Practical Facilitation: Tips	
14:00 - 15:00	Experiences from other Countries	
15:00 - 15:20	**Break**	
15:20 - 16:00	Test	
16:00 - 17:00	Action Plans	

Outline of 5-Day Training Curriculum

Day 1: Introduction to Participatory Methodologies

Contents

Activity One: | Presentation Game

Preparation:	None
Handouts:	Handout 1
Materials:	None
Time:	30‑40 minutes

Instructions

1. Distribute Handout 1 to all participants. Inform participants that they should fill out everything except for "Name" and "District". For "Birthday" they do not need to write the year; only the month and day. For "Something interesting about me", you may provide an example such as *"I am a good cook"*.

2. When all participants have filled out their forms, collect the forms and then redistribute them randomly. If a participant receives his/her own paper, he/she should return it to you for a new one.

3. Participants must now circulate and ask questions to other participants until they find the owner of the paper they have received. Participants should arrange themselves in a circle such that each person is standing next to his/her partner. For example, if participant A has the paper of participant B, and B has the paper of C, and C has the paper of D, and D has the paper of A, a circle will be formed in the order A-B-C-D-A. It will take participants from between 10-15 minutes to find the owners of the papers and to arrange themselves into a circle.

4. Now ask each participant to introduce his/her partner, providing all information except for the "Three things I know about participatory methodologies" (This is information for you, the Trainer.) After each person has presented, do a verification check to see if the other participants have remembered the information. Clap for each person.

5. Collect all papers at the end for your own records.

Activity Two: Background Information

Preparation:	None
Handouts:	None
Materials:	Alarm clock, flip-chart paper, markers, sticky gum (Bostik)
Time:	30 - 45 minutes

Instructions

- Divide participants into three groups. (Note: If you have more than three groups the activity becomes too unwieldy.) Each group should give itself a team name. Give each team a sheet of flip chart paper and a marker.

- Explain to the teams that you will be giving them a topic. You may give the example: "Cooking". (Explain that this is only an *example* and *not* the topic that the groups will be working with.) Each team must come up with as many words as possible related to the topic in two minutes and write the words quickly. Examples might include "pots, pans, oven, eggs", etc. Explain to the teams that if they have a word that the other teams do not have, their team will win two points. If they have a word that one other team has, the two teams with that word will each win one point. If all three teams have the same word, no team wins a point. The teams must brainstorm *quietly* so that the other teams do not hear their words. Make sure that all teams understand the rules. Do not give the topic until you are ready to begin.

- Set the alarm clock for exactly two minutes. Right at the beginning of the two minutes give the teams the topic: "Football" (Soccer). This is usually a very easy and popular topic. The teams have two minutes to brainstorm as many words as possible related to football.

- When the alarm goes off, all teams must put down their markers. Each team should send one member to another team to act as a "Truth Verifier", making sure that the words the team announces are in fact written on the paper. Ask the first team for their first word. Note the points on the flip chart accordingly (two points for a word that no other team has, one point for each of two teams if two of the three teams have the same word, no points if all three teams have the same word). Ask the second team for their first word and note the points on the flip chart accordingly. Continue around the teams in this way until all teams have exhausted their words. You should do this quickly and not allow for too much argument or discussion. Make "executive decisions" yourself as to whether or not a word is acceptable. You should accept most words unless they are wildly unrelated to the topic. Keep the pace loud and fast.

- After this first round, determine which team is in the lead. Explain to the teams that the game is not finished, however! Tell them to get ready for a second round. "Truth Verifiers" should return to their own teams. When all teams are ready and you have set the alarm for two minutes, give the second topic: "Participatory Methodologies". The teams should once again brainstorm as many words as possible related to this topic. When the two minutes are up, score the teams in the same way as before, and come up with the final winner of the game.

- During the break you should copy all the brainstormed words from the second round in neat handwriting onto one sheet of flip chart paper and post it on the wall. Draw the participants' attention to the fact that they already demonstrate a good deal of knowledge about participatory methodologies!

Activity Three: Course Objectives

Preparation:	None
Handouts:	Handout 2
Materials:	None
Time:	15 minutes

Instructions

- Distribute Handout 2 to the participants and review the training objectives with them. Answer any questions that they may have.

Activity Four: Training Ground Rules

Preparation:	None
Handouts:	None
Materials:	Flip chart + paper, markers, sticky gum (Bostik)
Time:	20 minutes

Instructions

- Tell the participants that they must come up with "Ground Rules" for the training week. They should write the rules on flip chart paper and post them on the wall for the duration of the training.

- If the participants do not come up with the following points themselves, you should add them:

  - Cell phones must be switched to silent mode

  - No sending sms's during the training; only during breaks

  - No use of laptops during the training. (Laptops will not be needed. Participants can take hand-written notes and they will be receiving handouts.)

Activity Five:

Basic Principle:
The Need for Participation

Preparation:	Speak to a volunteer ahead of time who will lead the "karate" activity
Handouts:	None
Materials:	Flip chart + paper, markers, sticky gum (Bostik)
Time:	30 - 45 minutes

Instructions

- Draw three concentric circles on the flip chart, as below, and explain to the participants that these circles represent "Basic Principle no. 1", without telling them yet what this principle is:
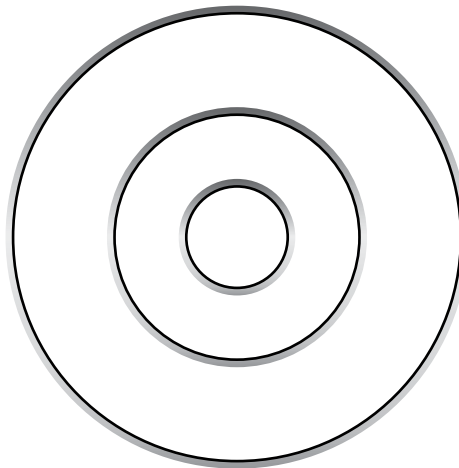
- Think of some sort of sporting action that you know how to do. This could be a golf swing, a swimming breast stroke, a football kick, a dance move, a volleyball hit, etc. You will go through three steps in "teaching" the class how to carry out this action. First, try to explain to the group how to carry out your action without demonstrating the action at all. That is to say, explain *through words* only, *do not demonstrate*. Second, repeat your explanation but now accompany it with a demonstration of what you are talking about. (Show the group your golf swing, or your swimming stroke, or your dance move, etc.). Finally, ask the group to stand up and to practice the action with you.

- Now call your volunteer up and have him/her go through the same three steps with reference to a "karate chop". When it is time for the group to stand up and demonstrate, the karate chop should be as dramatic and energetic as possible!

- While this is a simple example, it makes the point that we learn much better when we *are actively involved* in the learning. While the percentages may not be absolute, you may explain to the group that it is commonly recognised that we retain in the long run approximately 20% of what we hear, 40% of what we see and hear, and 80% of what we actively learn for ourselves. Indicate these percentages on the drawing on the flip chart:
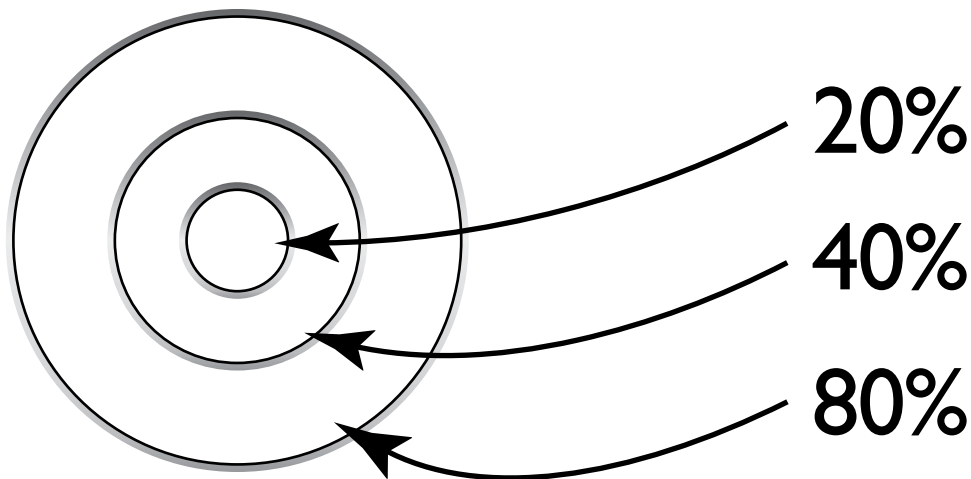
- Explain to the group that you showed them an example of learning a *skill*, but that the same principle applies when learning new *information*.

- The implication is that we must always make an effort to *facilitate* the active *participation* of our learners in the learning process.

Activity Six: Facilitation Techniques

Preparation:	None
Handouts:	None
Materials:	Flip chart + paper, markers, sticky gum (Bostik)
Time:	30 - 45 minutes

Instructions

- Ask the group to brainstorm in plenary what they think some important facilitation techniques are. You should write their ideas on a flip chart, or ask a volunteer to do so. Allow sufficient time to develop a good list and to discuss the group's ideas.

- When the group has exhausted their ideas, explain to the participants that later in the week they will be assessed on some facilitation techniques. It is likely that the group will have already come up with many of the techniques that you will be assessing, but if any are missing from the list, you should add them:

Facilitator Style

- Speak loudly
- Dynamism
- Smile
- Body language
- Empathy

Facilitator Skills

- Promote participation
- Verify understanding

Content / Message

- Synthesise ideas
- Content understood and transmitted

Day 2:	**Introduction to Appreciative Inquiry, Overview of OCB Process**

<u>Contents</u>

Activity One:	**Visual Depiction**

|	
Preparation:	None
Handouts:	None
Materials:	Flip chart + paper, markers, sticky gum (Bostik)
Time:	1 hour

Instructions

- Refer to the visual depiction on page 20. This is the visual you will draw on the flip chart. Explain to the participants that the visual represents **3** *different scenarios*.

- Scenario 1 represents the "traditional" approach to development and to organisational evaluation. In this drawing, the bold arrows represent the "distance" that an organisation or group has already traveled, or the strengths that they demonstrate, or the accomplishments that they have achieved. The dotted lines represent all that has yet to be achieved within the organisation; or that which is missing. In traditional organisational evaluation, an *external evaluator* would arrive with a set of indicators (represented by the X's), representing one standard, or one outcome, that all organisations were expected to achieve. The focus of the evaluation would be on measuring the extent to which the organisation demonstrated – or not – those indicators, and the main emphasis would be placed on *that which was lacking or missing.* In this scenario, the external evaluator was the "expert" and imposed his ideas on the organisation, always indicating to the organisation the *gaps that needed to be filled* in order to reach the ideal outcome, as measured against the pre-determined indicators. You should explain all this to the participants and explain that *this traditional form of interaction with a group – completely "top-down" – is no longer considered to be the best way to work.*

- Scenario 2 represents a 180 degree reversal of Scenario 1. Explain to the group that there was a time when development thinking seemed to have moved to this opposite extreme. In this scenario, the development worker believes that whatever the group believes and wants is valid, and that the group can move in whatever direction it wants. The development worker in this case simply stands back (with "arms folded") and does not intervene with opinions and ideas. An organisational evaluation, in this scenario, would consist of the organisation talking about how much

it has achieved and where it wants to go, without any input from the development worker at all. You should explain to the participants that this scenario is also not entirely satisfactory, as it presupposes that you (the facilitator, the development worker) have nothing to offer at all, and that your interaction with the group does not and should not affect or influence the group in any way. This extreme way of working does not allow any space for your input into the group's development.

- Instead, you will want to explain to the participants that we should be aspiring to Scenario 3. In this scenario the facilitator is "walking along with" the group members and assisting them with ideas and suggestions, through dialogue and mutual sharing. The final "outcome" of the group is unknown (represented by ?'s), but the facilitator and the group will together provide input as to what this outcome might be.

- Organisational self-assessment in this scenario proceeds in a specific sequence. In the first step, the facilitator will encourage the group to *recognise and appreciate* that which is *already working well* in the organisation; its strengths and achievements. This is represented by the bold arrows, showing the "journey already traveled", and indicated by the number 1. This is the main difference between Appreciative Inquiry and other approaches! Appreciative Inquiry insists that the organisation *look first* at that which is already working well, in order to move forward based on strengths that the organisation already has.

- Step 2 then involves dreaming and visualizing a preferred future outcome – represented by the ?'s (as the future is not yet entirely known) and indicated by the number 2. Finally in Step 3 the organisation identifies areas in which it will need to grow in order to achieve its vision for the future. This is represented by the dotted lines and indicated by the number 3. This is a *completely different approach* from approaches that look only at that which the organisation is *lacking*, or its *weaknesses or gaps*! In Appreciative Inquiry the idea is to begin with the positive, look to the future, and identify areas for further improvement. It is *Opportunity-Based*, as opposed to *Problem-Based*.

- Go through the visual diagrams with the group and try to make all of these points. You should allow an hour for this activity to ensure that there is ample time for questions and discussion.

Scenario 1:
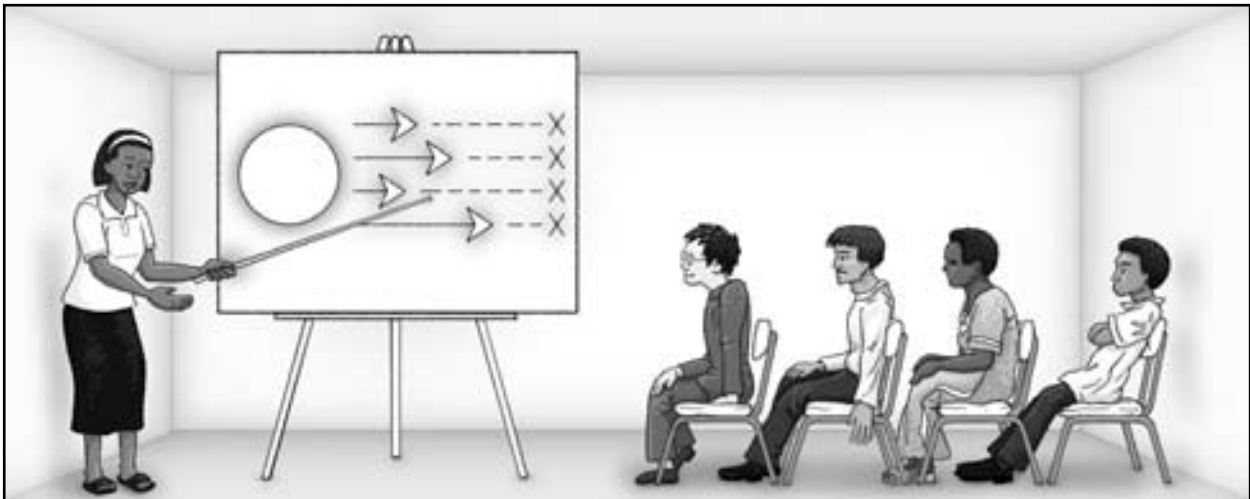
Scenario 2:
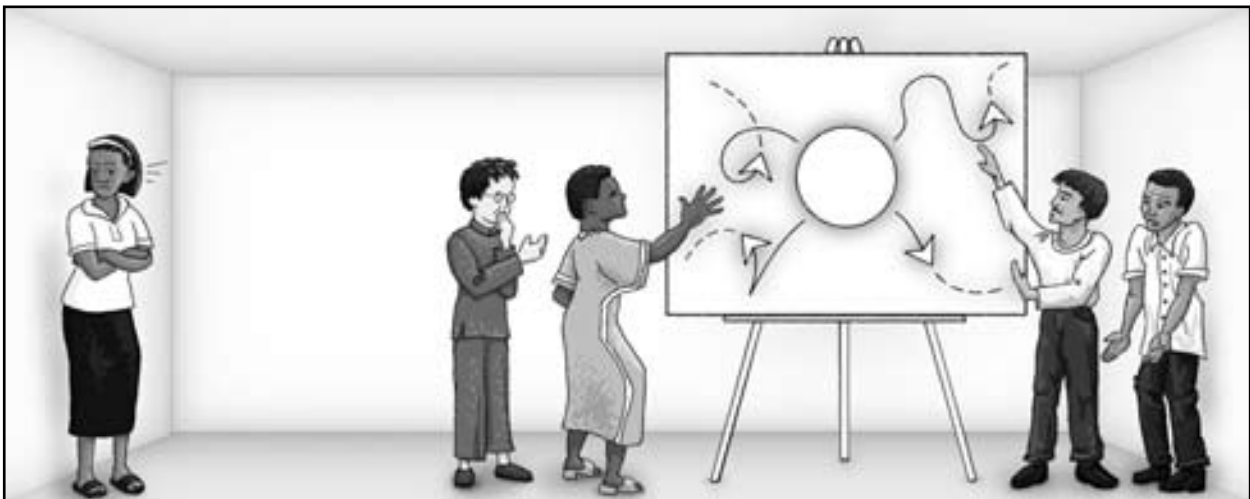
Scenario 3:
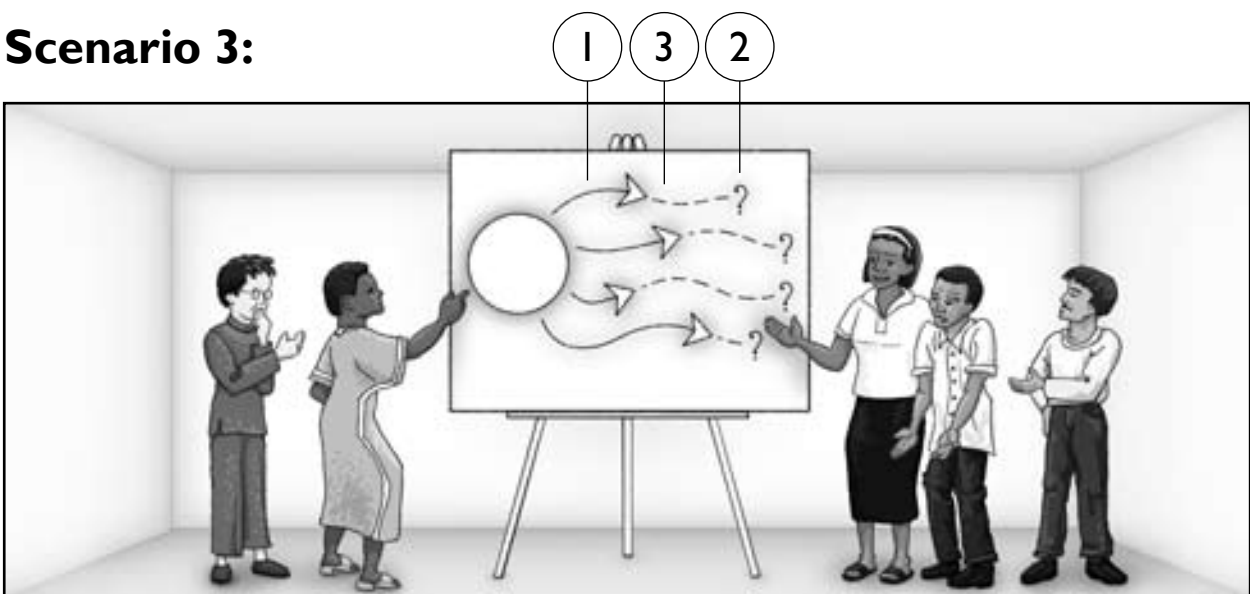
Activity Two: > **The Assumptions of Appreciative Inquiry**

Preparation:	None
Handouts:	Handout 3
Materials:	Flip chart + paper, markers, sticky gum (Bostik)
Time:	30 minutes

Instructions

- Divide the participants into groups of three or four members. Distribute Handout 3 to the groups and tell them to discuss the assumptions together. Ask each participant to decide which assumption is his/her favorite – which assumption "speaks to them" – and to explain their reasons to the other members of their small group.

- Following the group work, return to plenary and ask for volunteers to share their favorite assumption, telling the plenary what they like about the assumption and what they understand by it. Allow time for five or six volunteers to share their ideas. Answer any questions the group may have.

Activity Three: > Practicing with AI Activities

Preparation:	None
Handouts:	Handout 4, cut into sections for each group
Materials:	A glass, water, flip chart + paper, markers, sticky gum (Bostik)
Time:	1 and ½ hours

Instructions

- Divide the participants into five groups and give each group *one* of the activities from Handout 4. The groups should take time to read and understand the activity and decide how they want to facilitate the activity in plenary. Note that some of the activities will require the participation of all the members of the small groups (i.e. the two role plays), while other activities might only require the facilitation of one person (such as "the black dot", "the glass of water" and "positive characteristics".)

- After the small groups have had time to practice, each group will facilitate its activity in turn. The groups with role plays will perform the role plays, while the remaining groups will facilitate their activities as if the class were a community CBO.

- After each activity is presented, you should help the participants understand the **main message** of the activity. In all cases the message relates to *focusing on the positive, not on that which is missing!* We have a *choice* of what we choose to focus on, such as in the example of the glass of water – is it "half empty" or "half full" – and we can make the *choice* to focus on the positive ("half full").

- You should also use the opportunity to begin to give the participants feedback on their facilitation skills. As groups facilitate their activities, let the facilitators know if they are speaking loudly, smiling, being dynamic, showing empathy to the class, promoting participation, verifying understanding, and if the main message was effectively summarised by the end of the activity.

- You should also draw the participants' attention to those factors that make a role play effective, to include all actors speaking loudly and clearly, not turning their backs to the audience, speaking one person at a time, and other role play tips that you and the participants may come up with.

Activity Four: Introduction to Capacity Building

Preparation:	Powerpoint overview (optional)
Handouts:	Handout 5
Materials:	Powerpoint projector (optional), flip chart + paper, markers, sticky gum (Bostik)
Time:	1 and ½ hours

Instructions

- If you have prepared a powerpoint presentation with an overview of the OCB process you may give this presentation to the group.

- After the presentation, divide the participants into 3 or 4 small groups and give the groups the following two questions to answer:

  - What is capacity building?
  - Give 3 examples of possible capacity building interventions

- Give the groups time to work, and to write their answers on flip chart paper. Then return to plenary and have each group present their work.

- Consolidate the activity by making sure that participants understand the following points:

  - Capacity building is more than just training!
  - Capacity building is a *process*, not a one-off event.
  - Capacity building is meant to be empowering and to promote ownership

- Finally, distribute Handout 5 to the participants and explain that World Vision's OCB program is a cyclical process made up of:

  - Organisational Self-Assessment (OSA)
  - Selected Trainings (based on results of the OSA)
  - Various forms of follow up (such as mentoring, exposure visits, small grants, etc.)

- Explain that this week's training will focus **only** on the Organisational Self-Assessment. The OCB Training Part II, covering the content of the training modules, is available to participants as a companion manual. For this week, however, you will only give an *overview* of these modules (in the next two activities), but will not actually go into detail regarding their content, focusing instead on the content of the OSA.

Activity Five: ⟩ Introduction to the "Menu" of Capacity Areas

Preparation:	Prepare 5 sets of cards. Each set should have cards of two different colors (example: green and yellow):
	• On 7 green cards you will write the 7 **Capacity Areas** (Purpose and Planning, Structure and Procedures, Group Dynamics, Monitoring and Evaluation, Financial Management, Resource Mobilisation, External Relations).
	• On the yellow cards you will write the individual **Modules** (Vision / Mission, Goal / Objectives, Action Planning, etc.).
	You should have **5 sets** of all of these cards.
Handouts:	Handout 6
Materials:	Cards, Flip chart paper, sticky gum (Bostik)
Time:	1 hour

Instructions

- Explain to the participants that World Vision has written a series of training modules to respond to the possible training needs that CBOs may identify as they go through the Organisational Self-Assessment process. The modules are organised under **seven** broad capacity areas, namely:

  - Organisational Purpose and Planning
  - Organisational Structure and Procedures
  - Group Dynamics
  - Monitoring and Evaluation
  - Financial Management
  - Resource Mobilisation
  - External Relations

- Divide the participants into 4 or 5 small groups and give each group a set of cards. Explain to the groups that the words written on the cards of one color (i.e. green) are the 7 capacity areas, while the words written on the cards of the other color (i.e. yellow) are the individual modules. The groups should try to arrange the cards in order, by placing each individual modules under the capacity area into which they think it fits. There are two or three (sometimes four) modules for every capacity area. When the groups are satisfied with their arrangements they should paste the cards onto large sheets of flip chart paper with bostik.

- Return to plenary and have each group present the way in which they organised the cards. It is likely that groups will have organised the modules in different ways, and this is fine.

- You should tell the group that there is *no one, correct way to categorise the modules!* In fact, when World Vision was researching OCB, we found that no two literature sources organised capacities and capacity areas in the same way! World Vision went through a series of workshops and finally came up with the "menu" of capacities that is in use in the OCB Guide, but this should not imply that this is the *only* way that these capacities could possibly be organised!

- Finally, distribute Handout 6 to the participants, in which the "menu" of capacities, as found in the OCB Guide, is outlined.

Activity Six: The Importance of the Capacity Areas

Preparation:	Prepare 5 sets of cards. Each set should have cards of two different colors (example: green and yellow): • Write the **Modules** listed below on cards of one color, and the **Consequences** listed below on cards of the other color. • You should have **5 sets** of all of these cards.
Handouts:	None
Materials:	Flip chart + paper, sticky gum (Bostik)
Time:	1 hour

Instructions

• Divide the participants into 4 or 5 groups and distribute a set of cards to each group. Explain that each of the capacity areas has its importance, and that if an organisation fails to develop in these areas there can be negative consequences. You may give the following example: If the organisation does not have good **Financial Management**, it may begin to suffer **Losses**. Tell the participants that the cards they have received show some of the capacity areas in one color, and the consequences of not developing in those areas in another color.

• The groups should attempt to organise the cards, matching capacity areas and consequences. When they are satisfied with their arrangement they should affix the cards to flip chart paper with bostik.

• Return to plenary and have each group present their results, giving the reasons for matching the way they did. There are no absolute right or wrong answers to this activity, but groups should attempt to explain their reasons.

• Consolidate the activity by asking the participants if they agree that the capacity areas are indeed important for organisations, and if they understand the consequences that might arise if these capacity areas are not developed.

• Suggested matching:

Capacities (lack of)	Consequences
• Vision	Confusion
• Values	Corruption
• Planning	Diffusion
• Leadership	Independent Paths
• Teamwork	Conflict
• Monitoring	Ignorance
• Evaluation	Doubts
• Financial Management	Losses
• External Relations	Isolation

Day 3: Internal Organisational Self-Assessment: Steps 1-3

<u>Contents</u>

Activity One: → Overview of the Organisational Self-Assessment

Preparation:	Powerpoint presentation
Handouts:	None
Materials:	Digital projector, computer (laptop), Powerpoint software installed on computer, connection cable (e.g. VGA)
Time:	45 minutes

Instructions

- Prepare a powerpoint presentation reviewing the 5 steps of the organisational self-assessment:

  - Step 1:   Discover
  - Step 2:   Visioning
  - Step 3:   Determine capacity areas to achieve vision
  - Step 4:   Assess current level of maturity in capacity areas
  - Step 5:   Action plan

- Provide sufficient detail in the presentation so that the participants have a broad understanding of what is involved in each of the steps

- Take some time to explain what is meant by **themes** in Step 1. In Step 1 the facilitators will be listening to the stories of the CBO, and will need to be skilled at listening for, and identifying, the main capacity-related themes of these stories. It is useful for you to spend some time at this stage talking about this with the participants and helping them to understand what this means.

Activity Two: OSA Step 1: Discover

Preparation:	Prepare the **circles** that you will be using for the organisational "tree". You should cut circles out of sturdy paper, large enough so that they are clearly visible when posted on the wall; perhaps the size of a small plate. You should decide what **wall space** you will use for this activity.
Handouts:	Handouts 7 and 8
Materials:	Sturdy circles, markers, sticky gum (Bostik)
Time:	2 and ½ hours

Instructions

- Explain to the participants that for the remainder of the day *they should not be thinking about community-based organisations, but rather, they should be thinking of* **themselves, as World Vision (or whatever organisation the participants work for)**. You will be helping the group to go through an organisational self-assessment **for their organisation/their project**, in order to gain an understanding of the experience, before going out to facilitate an OSA with a CBO. For the remainder of the day all activities are **for real**, and participants should try to answer all questions honestly and genuinely.

- Divide the participants into groups of 5 or 6. Depending on the composition of the group, you may want to keep district teams, or country teams, together, as this will make it easier for the groups to talk about how their work projects are actually going. Distribute Handout 7 to the groups. Explain that they should spend about 45 minutes talking and sharing with each other, using the questions on the handout as a loose guide. Remind the participants that this first step is meant to be **positive** and **appreciative**, and they must hold all their problems or complaints about their work until later! For now, they should only be sharing with each other the positive experiences they have had with their organisation. Participants may want to begin with one or two personal stories, as per the handout, to get warmed up, but you should encourage them to move on to the organisational stories fairly quickly, as that is meant to be the main thrust of this activity. Allow for at least 45 minutes of sharing in small groups.

- Return to plenary and ask for volunteers to share a story. Depending on the group, you may only get two or three volunteers to share, or you may get more. It is a good idea to spend time on this plenary sharing step, as it sets the right atmosphere for everything that is to follow. You want to make sure that participants are sharing, appreciating and recognizing the good experiences they have had in World Vision / their organisation.

- After a few volunteers have shared, take the stories one by one. Start with the first story and ask the participants which capacity areas (themes) they thought were represented in the story. You may hear stories about good **Teamwork** and **Leadership**, or good **Planning** and **Vision**, and so forth. As themes are brought out, make sure that the "owner" of the story agrees with them. If there is consensus on a theme (a capacity area), you should write it on one of the circles and attach it to the wall, explaining to the group that they are beginning to create their "organisational tree", identifying areas in which World Vision / their project shows capacity. Continue in this way with each additional story, adding more circles to the wall as more themes emerge.

- When you have finished this activity, have the participants open their OCB Manuals to Step 1 in the OSA. Review the activities that are contained in this step and ask the participants if they feel like they comfortably understand the step, now that they have gone through it themselves. Answer any remaining questions that the participants may have.

- Finally, distribute Handout 8, which the participants can use for guidance when they begin to go out to groups in the field to facilitate the OSA Step 1.

- Note that it may take you most of a morning to work through this step with the group. You should allow plenty of time for this step in your training agenda.

Activity Three: OSA Step 2: Visioning

Preparation:	None
Handouts:	None
Materials:	Flip chart + paper, markers, sticky gum (Bostik)
Time:	45 minutes

Instructions

- Explain to the group that Step 2 of the OSA involves "Visioning": thinking towards the future and imagining a perfect, future time when everything in World Vision/their organisation is working well and everyone is performing at their best. Tell the participants that they should try to imagine this as if they can really *feel* it, can really *believe* that this could be true.

- You may want to provide a sports analogy and explain to the participants that many times top athletes go through similar "visualisation" exercises. A golfer, or a footballer, or a swimmer will be told by his/her coach to imagine a perfect performance; to close his/her eyes and actually visualise the ball going into the hole, or the net, or to imagine the swimming stroke as artistically perfect. The athlete should do his/her best to really see and feel this perfect performance, and to imagine himself/herself performing like this effortlessly.

- The participants may stay in the same small groups that they formed for Step 1. Before they go off into their groups, you should read the following "Visioning Scenario" aloud, asking the participants to close their eyes while you are reading, if they feel comfortable doing so.

Visioning Scenario:

Imagine that you are working in World Vision at a time in the future when the organisation is performing exceptionally well. Try to feel what it would be like to be performing at your personal best, to be receiving recognition for the work that you are doing, and to feel satisfied and fulfilled in your role. Imagine that communication and cooperation within your work team is harmonious at all times, that your leaders are exemplary and inspirational, and that the impact of your work is clearly visible in communities. Try to feel this satisfaction and to imagine a workplace where all of this is happening.

- Now tell the participants to form into their groups and to do the following, writing their answers on flip chart paper:

    - Discuss together their thoughts, feelings and ideas related to the Visioning Scenario
    - Come up with 3 wishes for World Vision

- Return to plenary and have each group present their results. The combination of the results from all the groups will form a fairly complete picture of the "Visioning" that the group has for World Vision's future.

- You will now help the group to transform their ideas into "Provocative Propositions". For every sentence written in the future tense, change the sentence so that it reads in the present tense. For example "We wish that all employees would receive positive feedback when they have done well", will become, "All employees receive positive feedback when they do well".

- Copy all of the Provocative Propositions in **neat and legible** handwriting onto a separate sheet of flip chart paper. The Provocative Propositions represent the group's output for Step 2, and the paper should be hung on the wall next to the organisational tree. Have the participants repeat in chorus all of the Provocative Propositions, with energy and enthusiasm, to serve as a source of inspiration.

- Finally, have the participants open their manuals to Step 2 and review the step with them, making sure that they understand and feel comfortable with all the activities outlined in the step.

Activity Four: > OSA Step 3: Determining Capacity Areas to Achieve Vision

Preparation:	Make sure you have additional **circles** to add to the "organisational tree"
Handouts:	None
Materials:	Circles, sticky gum (Bostik)
Time:	45 minutes

Instructions

- You will do this activity in plenary. Review the outputs of Steps 1 and 2 with the group. Review the "organisational tree" and make sure the group remembers the capacity areas that they have identified as current strengths, represented on the circles as the current "fruits of the tree". Remind the group that the tree, as it is now, represents the *now*; it represents the strengths that World Vision / their organisation currently has. Then review the Provocative Propositions with the group, having the participants repeat the Propositions again in chorus. Remind the group that these Propositions represent *where they would like to see World Vision going*.

- Now ask the participants: "To get from where we are now (Step 1: the tree) to where we want to go (Step 2: the provocative propositions), **what *existing* capacity areas need to be strengthened / enlarged** and **what *new* capacity areas need to be added**?

- Help the group to make the connections between where they want to go, as represented in the Provocative Propositions, and the areas in which World Vision / their organisation will need to grow in order to get there. As new capacity areas are identified, write these on new circles and add the circles to the tree. If the group feels that existing capacity areas, while good, still need to be improved, then you may want to indicate this in some way by marking the corresponding circle on the tree (perhaps making a larger outline around the circle).

- By the end of this activity, you and the group should have identified all the circles; i.e. "fruits" that it wants on its tree in the long run. These should all be represented on the wall at this point, regardless of how strong, or not, the group feels that they are.

- Finally, have the participants open their manuals to Step 3 and review the step with them, making sure that they understand and feel comfortable with all the activities outlined in the step.

Day 4: Morning: Internal Organisational Self-Assessment: Step 4

Contents

Activity One: > OSA Step 4: Determining Current Levels of Maturity in each Capacity Area

Preparation:	None
Handouts:	Handout 9
Materials:	Flip chart paper, markers, sticky gum (Bostik)
Time:	1 hour

Instructions

- The participants will remain in the same small groups that they formed in Steps 1 and 2. Distribute a sheet of flip chart paper to each group, and assign each group to **one** of the capacity areas on the organisational tree (i.e. Teamwork, Vision, Leadership, etc.). **Note:** You will not manage to finish this activity for **all** of the capacities on the tree. If you have 4 groups you will cover 4 capacity areas; if you have 5 groups you will cover 5, and that's all.

- Tell the groups that they should write the name of the capacity on the top of the page. They should then, as a group, come up with 3-5 **indicators** that would demonstrate excellent capacity in this area. For example, if the capacity area is "Teamwork", you might want to give the example of the following indicator: *"The opinions of all group members are taken into consideration, even if there is disagreement"*. **Each group should come up with 3-5 indicators for the capacity area in question.**

- Following this, each group should then give World Vision/their organisation a **score**, from 1-5, with 5 being the best, for the overall capacity, based on how well they feel World Vision/their organisation is doing for each of the indicators identified. The groups should write the score at the top of the page.

- Return to plenary and have each group present their results. They should read the indicators they developed and then explain the reasons for the score that they eventually came up with. At this point, the groups must turn to the plenary for consensus. The final score may not be the score given by the small group, but must be a final score decided upon by plenary. (That is to say, the plenary may disagree with the small group's score and may change it.) It is important that the class as a whole comes up with a final score for each capacity area.

- Finally, write the scores on each of the corresponding circles ("fruits") on the organisational tree hanging on the wall. You have now helped the group to come up with a complete picture of their organisational tree, including the current levels of maturity of each of the fruits (for the 4 or 5 capacity areas that you handled in this activity).

Activity Two: OSA Step 4: Graphing Maturity Levels

Preparation:	Obtain a Growth Monitoring card from a local health post
Handouts:	None
Materials:	Flip chart + paper, markers, sticky gum (Bostik)
Time:	1 hour

Instructions

- Show the Growth Monitoring card that you obtained from the health post to the participants and ask them if they know what it is. This card is usually familiar to development workers. Explain that, in much the same way as a mother will track the growth of her child, we can also track the growth of the organisation over time.

- Tell the participants to open their manuals to OSA Step 4, Activity 4. You will need to take some time to review with the participants what is meant by the **median line**, and how to decide how to draw the median line. **The median line may be different for different organisations!** Since you are doing an organisational self-assessment for World Vision/their organisation, you will want to help the participants to decide how to draw the median line **for World Vision/their organisation**. Review this with the participants and draw a sample graph with a sample median line for World Vision/their organisation on the flip chart.

- The participants should now return to their small groups. Each group should draw a graph with a median line for World Vision/their organisation, and then plot their capacity area on the graph. According to where they plot the capacity area they will see that World Vision/their organisation is either *"healthy"* (on the line), *"malnourished"* (under the line), or *"fat"* (above the line) for that capacity area. For example, if the group has drawn the median line such that World Vision/their organisation should be showing scores of **4** in order to be considered "healthy" at this point of time, and if they have given a score of **3** to their capacity area, then they will plot their capacity area under the median line, showing that World Vision/their organisation is "malnourished" in that area. If they have given a score of **4** to the capacity area, then they will plot it **on** the median line, showing that World Vision/their organisation is "healthy" in that area. If they have given a score of **5** to the capacity area, then they will plot it **above** the median line, showing that World Vision/their organisation is "fat" (well developed) in that area. Circulate among the groups as they are preparing their graphs – participants usually need some assistance to understand this activity.

- Return to plenary and have each group present their graphs. Explain to the participants that the graphs can be used again in the future, so that they can continue to measure their growth over time.

- Finally, have the participants go to the beginning of Step 4 in their manuals and review the step with them, making sure that they understand and feel comfortable with all the activities outlined in the step.

Activity Three: > Reviewing OSA Step 5

Preparation:	None
Handouts:	None
Materials:	None
Time:	30 minutes

Instructions

- Explain to the participants that you will not actually be doing Step 5 during this training, but that you want to make sure that everyone understands the activity in this step.

- Explain that after an organisation has gone through the OSA process, it is important that the organisation develops an **action plan** in order to grow in the areas that they have identified as needing strengthening. You can make the point that it would be difficult for the participants in the training to come up with an action plan for World Vision / their organisation themselves, as this would likely require the involvement of senior management in order to move forward. This is an important point, in fact! It implies that when the participants are carrying out an OSA with a CBO, they will need to make sure that the CBO's leaders are involved in the process.

- Have the participants open their manuals to Step 5 and review this step with them. Go over the sample Action Plan given in the manual. Participants will see that **part of** the Action Plan consists of **trainings** to be provided by the World Vision facilitator. This is important, because this is one of the outcomes that you will want to see from the OSA. Remember that facilitators will not likely carry out **all** the training modules provided in the "menu" of trainings with a CBO; rather, the choice of which trainings to carry out will *depend on the results of the OSA!* It is the CBO that will determine which trainings they need in order to further their growth.

- You will also want to make the point that not all of the Action Plan depends on World Vision! Point out to the participants that there are many actions that the CBO will be carrying out *on its own*, to further its own growth. This is very important, because it shows the CBO that they have the ability to grow on their own, without becoming overly dependent on World Vision input.

- Review Step 5 with the participants to make sure that they understand and feel comfortable with the activity.

Day 4: Afternoon and Day 5: Morning: Practical Facilitation

Preparation:	Decide on the division of the class into groups and prepare a handout with the group lists.
Handouts:	Group lists (see sample Handout 10)
	Handout 11 **(250 copies!)**
Materials:	3 alarm clocks, 3 flip charts + paper, markers, sticky gum (Bostik)
Time:	4-5 hours

Instructions

- It is now time for the participants to practice facilitating. In order to give everyone an opportunity, it is best if you can divide the class into three groups. In order to do this, you will need to have at least three trainers; that is to say; you should be co-training with at least 2 other people. Each group will need to be led by one of the trainers. If you are carrying out the training by yourself, this will not be possible and you will need to come up with a different solution and another structure.

- Assuming you have 2 other co-trainers, you should decide how to divide the participants into three groups and prepare a handout with the group lists and facilitation responsibilities. See Handout 11 as an example. **This handout should be distributed to the participants early in the week – on the first or the second day – so that the participants have time to prepare.**

- Divide into your groups now. Each group will need to go to a separate room, or to a separate location outdoors. Each group will need a flip chart, paper, markers and bostik. The group members themselves will be responsible for all other preparations (glass of water, etc.).

- Each participant will facilitate in turn. Each facilitator will have strictly **20 minutes** to facilitate his / her activity. If possible, use alarm clocks to keep track of the time. The other members of the groups should **play the role of CBO** members and respond to the facilitator's prompts as if they were responding as a CBO! They will need to be creative and dynamic if the activities are to go well!

- Every facilitator will be assessed by *every member of the group + the Trainer*, using Handout 12. This means that you must have enough copies of Handout 12 so that every person has one copy for every member of the group that they will be assessing! Tell the participants that they should **not try to assess** *while the facilitator is carrying out his/her activity*, **as this will** distract them from participating in the activity as CBO members. Rather, they should wait to score and write comments at the end of the activity.

- Allow 10 minutes for feedback at the end of each facilitator's presentation. Group members **should not** provide feedback by reading out the scores they have given: the facilitator will receive these scores later. Rather, feedback should be general, and should include positive feedback along with areas of improvement. You as the Trainer should give your feedback last, and correct any errors with regards to **content** if need be. Participants should relax and have fun with this activity, and try to enjoy their opportunity to facilitate!

Day 5: Afternoon: Wrap Up, Test, Closing

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Contents

Activity One: | Wrap Up

Preparation:	None
Handouts:	None
Materials:	Flip chart + paper, markers, sticky gum (Bostik)
Time:	1 hour

Instructions

- You should allow time in plenary to discuss the practical facilitation that you have spent the last day doing in groups. This is a chance for the facilitators to come back together and to share their experiences in plenary. Participants may have some tips on how to facilitate the activities, or they may have come up with some innovative adaptations to the activities, or they may wish to raise some concerns or have some remaining questions. This is the time to handle all of this and to ensure that the participants feel ready now to go out and facilitate the OSA with community groups.

Activity Two:

Test

Preparation:	None
Handouts:	Handout 12: Test
Materials:	None
Time:	45 minutes

Instructions

- The purpose of the test is to help the participants to consolidate the content of the OSA. There is a lot of material in the manual and by reviewing the material for a test the participants will be encouraged to make sure they understand it all. It is not absolutely necessary, however, that participants answer all the questions. You may leave this open and tell the participants to answer what they can remember.

- When the test is finished you should end the training with an appropriate closing: a song, thanks to the participants and trainers, a prayer, etc.

Handouts

See these handouts on the following pages:

Handout 1: Presentation

Name: _____

Country: _____

My Birthday: _____

My Favorite color: _____

Three things I know about participatory methodologies:

1. _____

_____

2. _____

_____

3. _____

_____

Something interesting about me: _____

_____

_____

_____

_____

Handout 2: Training Objectives

❈ To understand the difference between traditional methodologies and participatory methodologies.
To understand why these days participatory methodologies are considered to be better.

❈ To identify good facilitation techniques, and to improve the capacity of the training participants in these techniques.

❈ To learn the theory and practice of "Appreciative Inquiry".
To carry out an internal Appreciative Inquiry process.

❈ To learn how to facilitate an Organisational Self-Assessment.
To practice carrying out an Organisational Self-Assessment in the classroom.

❈ To introduce participants to the content of the OCB training modules.

Handout 3: The Assumptions of Appreciative Inquiry

1. In every society, organisation, or group, something works.

2. What we focus on becomes our reality.

3. Reality is created in the moment,
   and there are multiple realities.

4. The act of asking questions of an organisation or group
   influences the group in some way.

5. People have more confidence and comfort to journey
   to the future (the unknown) when they carry forward parts
   of the past (the known).

6. If we carry parts of the past forward, they should be
   the best parts.

7. It is important to value differences.

8. The language we use creates our reality.

Handout 4: Appreciative Inquiry Activities

Group 1: Glass of Water

Fill a glass halfway with water. Hold up the glass in front of the group and ask the group how they would describe it: as 'Half Full' or 'Half Empty'. Lead a discussion regarding choice of focus. We may choose to focus on what exists and is good (half full) or we may choose a more negative mode of focusing on what is missing (half empty). Explain that during this step in the self-assessment process we will be using the 'Half Full' focus and looking at the positive characteristics of the CBO. *Variation:* It may be more culturally relevant to use a *sack of maize* rather than a glass of water. The sack of maize, too, will be half full.

Group 2: The Journey

Give the example of a group of people who have started out on a journey. They have covered approximately half of the distance they need to travel, while the other half remains ahead of them. Explain that the group can either choose to complain about the distance that still remains (a negative focus), or they can choose to feel encouraged by the distance they have already traveled (a positive focus). Explain to the group that in this training we are choosing the positive focus. We are encouraged by how far the CBO has already come in its growth and we are using this as motivation to keep growing, to keep traveling!

Group 3: Positive Characteristics

Ask each CBO member to tell the group something good or positive about himself / herself. The facilitator may give an example first. (e.g. 'I am a good cook') Note that in some cultures it may not be appropriate for people to speak positively about themselves in front of others. If this is the case in your group, divide the participants into pairs and have each person tell the group something good or positive about his / her partner.

Group 4: The Black Dot

Use a large sheet of flip-chart paper for this activity. Draw a black dot in the center of the paper. Walk around the room showing the paper to the participants and asking them what they see. In almost all cases you can expect that the participants will respond by saying that they see a black dot. When all participants have responded you should draw their attention to the fact that the black dot is just a tiny part of what they are seeing. What about all the white paper surrounding the black dot?! Do they not see that also?! Explain that we select what we choose to focus on and that we may exercise our choice to focus on positive, rather than negative, aspects of our work.

Group 5: Role Play

This is a role play that can be carried out by the facilitators or, alternatively, the facilitators may instruct the CBO members so that they carry out the role play themselves. There are three actors: a mother, a father and a child. The parents are about to go out to visit relatives. They ask the child to straighten up the house while they are gone. The child straightens up the house and does a good job, but forgets to wash one cup. When the parents return from the visit the mother immediately scolds the child for not washing the cup. The father, on the other hand, praises the child for all the good work he / she *did* do. Following the role play, ask the CBO which approach is better and discuss.

Handout 5: The Capacity Building Cycle

Organisational Self Assessment

Selected Trainings

Follow Up:

_____

_____

_____

Handout 6: "Menu" of Capacities

Organisational Purpose and Planning

- Vision / Mission
- Goal / Objectives
- Action Planning

Organisational Structure and Procedures

- Organisational Structure, Roles and Responsibillities
- Internal Rules
- Meetings

Group Dynamics

- Leadership
- Team Work

Monitoring, Evaluations and Recordkeeping

- Monitoring
- Recordkeeping

Financial Management

- Budgeting
- Bookkeeping
- Banking

Resource Mobilisation

- Local Resource Mobilisation
- Proposal Writing

External Relations

- Networking
- Advocacy

Handout 7: Questions for Reflection: Appreciative Inquiry

Personal Stories

1. Tell a story about a time when you felt like you had the power to make your life better. What did you do? What was better? What were the factors that made you feel empowered?

2. Tell a story about a time when you feel you demonstrated excellent leadership qualities. What were the challenges you were facing and what did you do to overcome them?

3. Tell a story about a time when you were confronting a very big challenge and you overcame it. What did you do and how did you feel?

Stories about World Vision / their organisation

1. Tell a story about a time when you felt very enthusiastic about belonging to World Vision / their organisation.

2. Tell a story about a time when the group you work with was performing at its best and when energy and enthusiasm levels were at their highest.

3. Tell a story about a time when a new or innovative idea helped your work group. What happened exactly?

4. Tell about a time when you were recognised for your work within World Vision / their organisation.

5. Tell about a time when your work team was demonstrating excellent communication skills. What was happening. How did you feel to be part of that?

Handout 8: Characteristics of Good Stories / Good Questions

- Formulate the questions in an affirmative manner that implies that the group has strengths.

- Ask open ended questions that invite stories and details as opposed to yes/no answers

- Look for stories relating to the members of the group, and not stories about third parties.

- Focus on the main message of the story, not on irrelevant details.

- Ensure that the atmosphere is conducive to positive story telling

- Give time to the participants to respond after asking the question: sometimes participants will not be able to think of a good story right away.

- Begin with individuals in the group who you know have good stories.

- Ask follow up questions

- Encourage and validate participants when they tell their stories.

- Accept all stories and look for the positive aspects within each story.

Handout 9: Possible CBO Indicators

Vision and Mission

- The CBO has a written Vision Statement
- All members can clearly state the Vision Statement
- The CBO has a written Mission Statement
- All members can clearly state the Mission Statement

Goal and Objectives

- The CBO has a written Goal
- All members can clearly state the Goal
- The CBO has written objectives
- All members can clearly state the CBO objectives

Action Planning

- The CBO has a written Annual Action Plan
- The CBO plans its activities on a regular basis (monthly, quarterly)
- The monthly or quarterly action plans are written
- All CBO members are involved in drafting the action plans
- The CBO successfully carries out at least 80% of its planned activities

Structure, Roles and Responsibilities

- All CBO members have a written Role Description
- All CBO members can clearly state their responsibilities
- The CBO has an Organisational Chart (Organogram)
- CBO members know where to go for help if they are having difficulty fulfilling their responsibilities

Internal Rules

- The CBO has a set of rules to guide its internal procedures
- The CBO's rules were drafted with the participation of all CBO members
- The CBO's rules are written
- All members understand the CBO rules
- There is an agreed procedure in place for changing the rules if necessary

Meetings

- The CBO meets on a regular basis
- The CBO Secretary provides a meeting agenda and writes meeting minutes (reports)
- Attendance at meetings is high (at least 75% of CBO members are in attendance)
- Decisions are taken based on democratic vote or group consensus

Leadership

- The CBO has a leadership structure in place
- At least one leader is a woman
- Leaders are elected by secret ballot
- New elections are held periodically
- All leaders understand their responsibilities
- Leaders promote the participation of all group members
- Leadership style is democratic, not autocratic

Team Building

- All CBO members feel that their contributions to the group are valued
- The opinions of all members are taken into account, even when there is disagreement
- The group understands that people have different personality styles and does not try to force all members to be alike
- Conflicts are resolved through consensus-building among those involved

Monitoring

- The CBO has a system for registering all beneficiaries (OVC, PLWHA, etc.)
- The beneficiary register is kept up to date
- The CBO has a system for recording all activities undertaken on behalf of beneficiaries (e.g. home visits, recreation)
- All CBO members know how to fill out the forms required of them (e.g. home visit records)
- All forms are filled out accurately and are handed in to the appropriate person(s) on time
- The CBO leaders know how to compile monthly/quarterly statistics
- The CBO leaders compile monthly/quarterly statistics accurately and on time

Reporting / Documentation

- The CBO gives verbal progress reports to members and the community on a periodic basis
- The CBO writes progress reports on a periodic basis for internal use and external submission, as required
- The CBO has an organised filing system

Budgeting

- The CBO leaders know how to write a budget
- The CBO has a budget that accurately reflects projected income and expenditures
- Actual expenditures do not vary by more than 10-20% from budget projections

Bookkeeping

- The CBO (Treasurer) keeps a Cashbook recording all credits and debits
- The Treasurer writes Receipts for all credits
- The Treasurer fills out Payment Vouchers authorised by 3 CBO members for all debits
- The CBO verifies the balance on the Cashbook to actual cash on hand on a monthly basis
- The Treasurer provides a justification of accounts to the CBO members on a monthly basis
- All CBO members understand the basics of the system that the Treasurer is using

Proposal Writing

- The CBO has succeeded in submitting a proposal for funding to an external donor
- The CBO has succeeded in securing external resources (in addition to World Vision)

Linkages / Networking

- The CBO can identify and name all other CBOs working in their area
- The CBO has regular contact with other CBOs and / or government entities in the area
- The CBO sends at least one representative to the relevant community / district / zone coordinating meetings.

Handout 10: Sample Facilitator Assignments

Group 1: Faith and George

Name	Facilitation Assignment
Maria	OSA Step 1: Activity 3
Nathan	OSA Step 1: Activity 4
John – Zambia	OSA Step 1: Activity 5
Violet	OSA Step 1: Activity 7, 8
John – Uganda	OSA Step 2: Activity 1
Victor	OSA Step 3: Activities 1 and 3
Harriet	OSA Step 4: Activity 2

Group 2: Michele and Haran

Name	Facilitation Assignment
Jacques	OSA Step 1: Activity 3
Sephiso	OSA Step 1: Activity 4
Zodwa	OSA Step 1: Activity 5
Ann	OSA Step 1: Activity 7, 8
Richard	OSA Step 2: Activity 1
Sheila	OSA Step 3: Activities 1 and 3
Harry	OSA Step 4: Activity 2

Group 3: Alexander and Alice

Name	Facilitation Assignment
Jenny	OSA Step 1: Activity 3
Kayana	OSA Step 1: Activity 4
Zodwa	OSA Step 1: Activity 5
Tita	OSA Step 1: Activity 7, 8
Brian	OSA Step 2: Activity 1
Godwin	OSA Step 3: Activities 1 and 3
	OSA Step 4: Activity 2

Procedures

- Each Facilitator will have a maximum of 20 minutes to facilitate his/her activity(ies).

- The remaining group members will act like a CCC/CBO, and respond to the facilitator's prompts accordingly. As such, groups may want to do some preparation ahead of time.

- All group members and group leaders will fill out a Facilitator Observation Sheet for each facilitator.

- There will be 10 minutes of feedback following each facilitator's activity(ies).

Handout 11: Facilitator Observation Sheet

Name of Facilitator: _____

Name of Observer: _____

<u>Facilitator Style</u>

Speak Loudly / Dynamism	1	2	3	4	5
Smile	1	2	3	4	5
Body Language	1	2	3	4	5
Empathy	1	2	3	4	5

<u>Facilitator Skills</u>

Promote Participation	1	2	3	4	5
Check Understanding	1	2	3	4	5

<u>Content / Message</u>

Synthesise Ideas	1	2	3	4	5
Content Understood / Transmitted	1	2	3	4	5

<u>Comments</u>

Handout 12: Test: Organisational Self-Assessment Training

WRITTEN ASSESSMENT – 2 HOURS

Instructions

The paper has two parts. PART A is the story read by the chairman of the care group. PART B are questions based on the story in part A. Read the story carefully and answer all the questions on a separate sheet of paper.

PART A

Read the report thoroughly and answer the questions after the story.

Below is a report of Chikhu OVC Care group which the chairman read at the beginning of the Organisation Self-Assessment.

Chikhu is a care group that was established 5 years ago by churches, women groups, the village headman, the school and the clinic. The purpose of forming the care group was to put our efforts together to coordinate care of the children in our community. This was made possible by the social welfare that has supported us with training on how to care for children.

We have a total of 45 members. Some are directly involved with caring for children through home visitors while others provide technical support such as training in psychosocial support, home based care, food, health care and financial resources.

Since the care group was formed, we have supported 1700 children with school fees, food, blankets and psychosocial support. We have also trained 150 home visitors and families for orphans and vulnerable children in income generating activities. Out of these 80 families are now able to care for themselves.

Our success as a care group stems from the good leadership team that has been trained in leadership. We are proud to say that we now have a bank account. This was made possible because we are now registered as an organization and we also sit at the district OVC coordinating committee. We meet every month to share reports, review and improve plans. We have started mobilizing resources through the churches and we hope to start external resource mobilization once we are trained in proposal writing.

We still need a lot of skills in managing our organization effectively so that we can expand our activities to the neighboring communities.

Thank you.

PART B

Answer all questions

1. What are capacity areas?
    (2 marks)

2. Identify at least five (5) organizational capacity themes from the report
    (10 marks)

3. List 3 technical areas the care group has implemented since five years ago
    (6 marks)

4. Imagine you are a member of the Chikhu Care Group, what would be your vision? Present it as that will follow after the chairman has read the report?
    (3 marks)

5. Present the capacity areas mentioned in the report on a tree or any way that would make sense to the care group
    (2 marks)

6. Why do we assess capacity areas?
    (1 mark)

7. What is the last step of the organizational self-assessment?
    (1 mark)

8. *Bonus question:*
    What is your role as a facilitator after the organizational self-assessment?
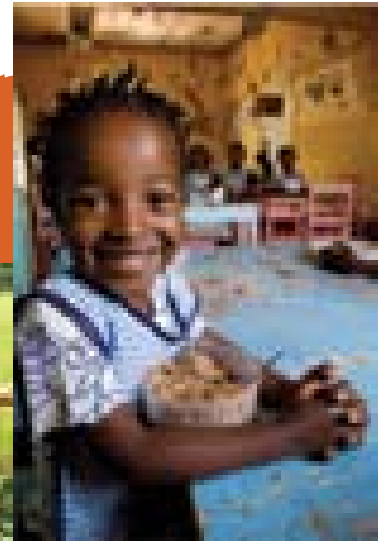   *(1 bonus mark)*

    (Total: 25 marks)

Trainer's Manual for Organisational Self-Assessment

This Trainer's Manual is a companion guide to the Facilitator's Manual for Organisational Self-Assessment, which forms Part 1 of World Vision's Organisational Capacity Building program. The Trainer's Manual is meant to be used by experienced Trainers tasked with training the Facilitators who will, in turn, carry out the Organisational Self-Assessment with CBOs. The 5-day training program outlined in this manual introduces Facilitators to basic principles of participatory facilitation, basic principles of "Appreciative Inquiry", and provides an overview of the complete Organisational Capacity Building process before introducing the Organisational Self Assessment (OSA) itself. From there, Facilitators are given the opportunity to practice each of the five steps of the OSA by carrying out an actual OSA for their own organisation. The training culminates with a simulation exercise in which individual Facilitators must facilitate a section of the OSA and receive feedback from their peers and from the Trainers. By the end of the training, Facilitators will be prepared to carry out the OSA process with CBOs in the field.

World Vision®

Part 1: Facilitator's Manual for **OSA**

ORGANISATIONAL
CAPACITY
BUILDING

Organisational
Self-Assessment

World Vision is a Christian relief, development and advocacy organisation dedicated to working with children, families and communities to overcome poverty and injustice.

As followers of Jesus, World Vision is dedicated to working with the world's most vulnerable people. World Vision serves all people regardless of religion, race, ethnicity or gender.

author: Michele Gaudrault

Facilitator's Manual for

Organisational Self-Assessment

Contents:

Introduction to the Manual

Welcome to the *Facilitator's Manual for Organisational Self-Assessment!* This manual forms Part I of World Vision's organisational capacity building process aimed at community-based organisations (CBOs) engaged in HIV and AIDS response. World Vision works with community care groups and community care coalitions in high prevalence countries in Africa and around the world. These grassroots CBOs form the front line response for care and support to orphans and vulnerable children, home based and palliative care for the chronically ill, prevention activities for youth, and more. The ways in which these CBOs are organised and structured vary from country to country, ranging from small groupings of as few as 15 members with little hierarchy or bureaucracy, to more complex coalitions made up of multiple local groups and organisations. Some CBOs implement HIV and AIDS-related activities directly, while others carry out a coordinating function. Some CBOs have limited geographical coverage while others are more far-reaching in their response.

This manual may be used with all such types of CBOs. The facilitator will, however, need to be attentive to tailoring the activities to the actual needs of the group he/she is working with. As the manual was written to be applicable to a variety of organisational types, the language and examples used are necessarily general in nature. It is up to the facilitator to ensure that the activities are tailored and carried out in such a way as to respond to the specific characteristics of the organisation in question.

The manual is directed to CBOs engaged in HIV and AIDS response. As such, all examples and activities are related to HIV and AIDS. Nevertheless, the manual can be used with CBOs working in other sectors, as the content of the self-assessment is *general* and applicable to CBOs of all types. In such cases the facilitator should read the steps ahead of time and change the examples from HIV and AIDS-related cases, to reflect the sector or sectors in which the CBO in question is engaged.

Acknowledgements

World Vision drew from a number of sources and incorporated the field experiences of many people and organisations to develop the activities outlined in this manual.

Many field-ready activities were taken from World Neighbors: *From the Roots Up: Strengthening Organizational Capacity through Guided Self-Assessment*, and adapted to fit the 5-step sequence of this guide. World Vision is grateful for the many ideas originating from this excellent source.

The conceptual underpinnings guiding the self-assessment process as it is outlined in this manual have their origins in The Christian Reformed World Relief Committee's (CRWRC): *Partnering to Measure Organizational Capacity*. In particular, the decisions to base the self-assessment on an appreciative inquiry approach and to support community-led processes are both derived from the experiences described in the CRWRC manual.

The idea of the 5-step sequence comes from World Vision Tanzania, where much good work has been carried out in applying appreciative inquiry and organisational self-assessment in the World Vision Area Development Programme (ADP) context. Good experience has been gained in Tanzania and the insights shared by the staff there have helped to inform this manual.

Finally, the activities were all piloted in four country contexts in Sub-Saharan Africa and subsequently refined based on the results of the pilot experiences. The main lesson learned from the process was that activities must be made as simple, as user-friendly and as field-ready as possible, in order that they may be carried out even in contexts where education and literacy levels are low. Many thanks to the World Vision Uganda, Zambia, Ethiopia and Mozambique teams for their assistance in suggesting refinements to the manual.

Note to Facilitators

The intention is that this manual should be a 'living document'. The activities as they are outlined here have been tested in multiple settings. However, it is recognised that no two groups or contexts will be exactly the same and that therefore not all the activities will necessarily work equally well each and every time they are carried out. We encourage you to be alert to what is happening in your group as you work through the self-assessment

process and to make adjustments as needed. You should not take these activities to be rigid and 'set in stone', and you should not carry them out mechanically without an awareness of how they are working – or not – with any particular group. Please use your good judgment and your creativity to adapt as needed based on the situations you encounter, and to try new things if you feel you can improve upon what is included here.

World Vision envisions publishing and distributing supplemental pages to this manual on a periodic basis, so that any good ideas that facilitators come up with in the field can be shared with other colleagues. If you try something that works particularly well, please contact us and let us know. Your ideas may be published in future supplementary pages!

Contacts:

stefan_germann@wvi.org

modes_of_learning@wvi.org

Introduction to Organisational Self-Assessment

Conceptual Background:
Dialogic Approach to Organisational Self-Assessment

Most capacity building programmes follow a two or three-step process, beginning with organisational assessment, followed by selected trainings based on the results of the assessment and, in some cases, supplemented with additional follow up support. While this two or three-step process is generally common to most capacity building programmes, there are two distinct approaches that can be taken when following these steps. In the first approach, traditionally, the process began with a front-end organisational assessment carried out by external evaluators, with the purpose of 'measuring' the CBO against a standard set of indicators. Against this pre-determined, idealised picture of organisational capacity, current weaknesses were identified. 'Capacity building' in this view was equated with training, and a standardised training curriculum was applied in order to strengthen the organisation in those areas identified as weak.

More current thinking has seen a shift in emphasis. In the newer approaches, organisational assessment is no longer carried out strictly by external facilitators in order to *evaluate* and *judge*; rather, the facilitating organisation and the CBO come together in *partnership* to move through a process of organisational *self*-assessment. The purpose of this assessment is as much to provide a learning opportunity for the CBO, as it is to serve as a measurement tool. The focus is shifted away from that which is *missing* in the organisation, and more towards that which is already working *well*. By identifying existing *strengths*, the CBO can use these to articulate realistic future goals, building off a foundation of past successes. In partnership with a facilitator or a facilitating organisation, mutually agreed indicators of future goals are drafted, and action steps are identified. Within this context, certain training needs are likely to surface; these are the trainings that will then be carried out by the facilitator. In this view, capacity building is no longer *equated* with training; rather, training is seen as one *part* of a larger process in which assessment and appropriate follow-up also feature.

It should be noted that this approach is not a complete *reversal* of traditional 'top-down' approaches, such that the outcomes of the capacity building process are now entirely defined by the CBO. Rather, this

approach recognises the validity of the contributions that *both* partners in the process have to make, and does not require that the facilitator discard *its* notions of desired and achievable outcomes. The facilitator will have suggestions to make throughout the process; suggestions that at times might not have been apparent to the CBO analysing and acting on its own. It is an approach that '*enables community-led, but mutually agreed, expectations for assessing capacity needs that then form the basis of capacity building initiatives*[1].'

In practical terms, this means that the facilitator will work to elicit priority areas for further growth *from* the CBO, but will also supplement the CBO's ideas with additional suggestions. Specifically, facilitators will introduce the 'menu' of capacity areas and sample indicators for the CBO's consideration. The facilitator will avoid imposing the menu on the CBO but will nevertheless present these capacity areas and indicators as information and input, ensuring that the CBO may make an informed decision as to the areas it wishes to strengthen from among a comprehensive list. The lists of capacity areas and indicators are not meant to represent a standard towards which all CBOs must be measured but, rather, are intended to serve as suggestions as to useful areas of focus based on experiences with other CBOs. By respecting the contributions that both the facilitating organisation and the CBO have to make to the process, facilitators will be able to bring forward a capacity building programme in line with the philosophies of participation and partnership that guide all of World Vision's work.

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[1] World Vision, *Transformational Development Indicators: Supplementary Programme Resource Guide*

The Cyclical Nature of the Self-Assessment, Training and Follow-up Processes

In addition to the notion of dialogical interaction, a second conceptual underpinning that informs the approach to organisational capacity building outlined in this manual is the conviction that self-assessment, training and follow-up support should be iterative processes rather than linear, one-time-only activities. The diagram below illustrates the cyclical nature of the process. The implication is that this *Facilitator's Manual for Organisational Self-Assessment* is a manual that facilitators and CBOs will return to periodically, repeating the activities and assessing anew as the CBO proceeds along its path of growth and maturity.

Self-Assessment

Selected Trainings

Reflect / Learn
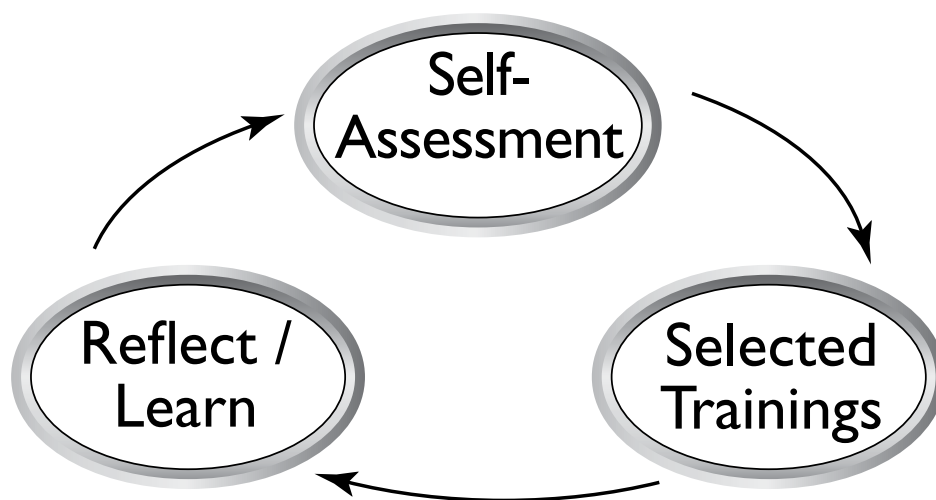
Appreciative Inquiry in Organisational Self-Assessment

The approach to organisational capacity building outlined in this manual is one that takes ***Appreciative Inquiry*** as fundamental to the self-assessment process. As briefly described in the introduction, Appreciative Inquiry works to focus more on existing *strengths* than on weaknesses, to identify that which is working well in an organisation, and to build off of these successes in order to move towards a preferred future outcome. Appreciative Inquiry is based on a number of assumptions, as shown in the text box on the following page.[2]

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[2]　Hammond, Sue Annis; *The Thin Book of Appreciative Inquiry*, Thin Book Publishing Co.

The Assumptions of Appreciative Inquiry

1. In every society, organisation, or group, something works.

2. What we focus on becomes our reality.

3. Reality is created in the moment, and there are multiple realities.

4. The act of asking questions of an organisation or group influences the group in some way.

5. People have more confidence and comfort to journey to the future (the unknown) when they carry forward parts of the past (the known).

6. If we carry parts of the past forward, they should be what are best about the past.

7. It is important to value differences.

8. The language we use creates our reality.

In this manual an appreciative inquiry approach is built into the 5 steps of the organisational self-assessment. The instructions in the manual will help you, the facilitator, to lead the group you are working with through this process of positive discovery, visioning and planning, working towards a preferred future by building from existing organisational strengths.

Step 1:   'Discovery': Sharing Stories

Contents

Activities

Facilitator Reference Sheets

Instructions for Facilitator

Introduction

T**he** first step of the assessment process is 'to discover and value those factors that give life to an organisation; the 'best of what is".[3] This may be done by encouraging the members of the organisation to share stories, and by taking the time to draw out the common successful elements of these stories. This is a process that should not be rushed or forced but, rather, allowed to proceed at a natural and easy pace in order that rich and deep sharing and appreciation of positive qualities may take place.

Objective

By the end of this step, the group will be able to clearly identify those areas that are their greatest strengths. This step should instil a feeling of excitement and positive energy among the members and pave the way for further exploration into how the group can continue to develop.

Time: 1 day

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[3] CRWRC; *Partnering to Build and Measure Organisational Capacity*, page 74.

Activity One: Introduction

Note to Facilitator:

For Activities One and Two you may want to speak to the Chairperson or Leader of the CBO a day or two ahead of time to prepare him / her to lead these activities. It is better if the Chairperson asks the group members to introduce themselves in Activity One. It is also better if the CBO can present a brief report at the beginning of Activity Two, prior to the questioning. In this way, the CBO, rather than the facilitator, is taking the lead. *Thanks to Faith Ngoma / World Vision Zambia for this idea!*

The CBO Chairperson or Leader should ask each member of the CBO to introduce himself / herself by giving his/her name, position within the CBO, and position within the community (i.e. teacher, traditional leader, etc.).

Activity Two:	Background Information

If this is the first time that you are working with this CBO you may wish to take some time to gather some basic information. You may ask the Chairperson to prepare a report ahead of time. This report may answer most of your questions. You will also want to involve the CBO members in the conversation. Following the Chairperson's report you may ask the members the following questions. Try to carry out the questioning in a conversational manner – as if you were having an informal conversation with the CBO – rather than by reading the questions as if this were a formal questionnaire.

- How many members does the CBO have?

- How long has the CBO been working together?

- Can all members read and write? Do all members speak the national language or is it necessary to translate into the local dialect?

- What trainings has the CBO received? What do the members remember from the trainings?

- How is the CBO structured? (e.g. leadership structure, sub-groups)

- What are the main activities of the CBO? (e.g. OVC care and support, home-based care)

- How many beneficiaries is the CBO working with?

- What kinds of records does the CBO keep?

- Is the CBO linked with other external organisations? Describe

Activity Three: Explain the Purpose of the Self-Assessment Process

Take a few minutes to ensure that the CBO understands the purpose of the process they will be going through. The main points that you should raise are the following:

Step 1:
The Difference Between Technical and Organisational Capacity

- Explain the difference between technical capacity and organisational capacity, as follows:

Technical Capacity

Technical capacity refers to the CBO's abilities with respect to the **activities it carries out in the community**. It is related to the CBO's knowledge and ability concerning HIV and AIDS, OVC support, home-based care and the like. Examples might include capacity in psychosocial support, nutrition counselling, and HIV and AIDS prevention information.

Organisational Capacity

Organisational capacity focuses on **the strengths of the CBO itself, internally**. It is related to the skills and information that the CBO needs to function effectively as an organisation. Examples include areas such as leadership, monitoring, planning and reporting.

- Display **Illustration 1** found at the end of this step. This illustration shows drawings both inside and outside of a circle.

  Explain that the circle represents the CBO. Everything *inside* the circle (inside the CBO) refers to organisational capacity – things like the reports that the CBO writes, the meetings it holds with all the members, the planning that it carries out, etc.

  Everything *outside* the circle (the things the CBO does outside itself) refers to technical capacity – things like caring for the chronically ill in their homes, assisting OVC to attend school, carrying out community meetings regarding HIV prevention, etc.

Step 2: Explaining the Organisational Self-Assessment

- Explain that the purpose of this process is to assess *organisational*, rather than technical capacities.

- Explain that WV will be able to offer selected trainings based on the outcome of the self-assessment process. Explain also that self-assessment, training and follow-up support will be ongoing, rather than carried out only once.

Activity Four:	Introduce the Idea of Exploring the Positive

The focus of Appreciative Inquiry is on that which is currently *working well* within the organisation; the ***positive*** characteristics of the organisation rather than the negative. It may be necessary to spend some time helping the CBO to understand this focus. The following are examples of possible activities that can help the CBO to recognise that we want to examine the good, before we examine the problems.

> **NB:** You do not have to carry out all of the following activities! It has been found that some of these activities work well in certain contexts but do not work well in others. If one of the activities does not work for your group, try another! You may carry out any or all of these activities, or come up with your own ideas for ways of explaining this concept to the CBO.

- **Glass of Water**
  Fill a glass halfway with water. Hold up the glass in front of the group and ask them how they would describe it: as 'Half Full' or 'Half Empty'. Lead a discussion regarding choice of focus. We may choose to focus on what exists and is good (half full) or we may choose a more negative mode of focusing on what is missing (half empty). Explain that during this step in the self-assessment process we will be using the 'Half Full' focus and looking at the positive characteristics of the CBO.

  Variation: It may be more culturally relevant to use a sack of maize rather than a glass of water. The sack of maize, too, will be half full.

- **The Journey**
  Give the example of a group of people who have started out on a journey. They have covered approximately half of the distance they need to travel, while the other half remains ahead of them. Explain that the group can either choose to complain about the distance that still remains (a negative focus), or they can choose to feel encouraged by the distance they have already traveled (a positive focus). Explain to the group that in this training we are choosing the positive focus. We are encouraged by how far the CBO has already come in its growth and we are using this as motivation to keep growing, to keep traveling!

  Thanks to Faith Ngoma of World Vision Zambia for this idea!

- **Activities / Beans**

  Explain to the CBO that it is normal in any organisation to experience both successes and setbacks when carrying out our activities. Place a pile of beans on the floor and ask the CBO members to divide the pile, imagining that the beans represent their activities. They should separate the beans into two piles, to represent the percentage of their work that they believe is successful and the percentage of their work that has experienced difficulties. (For example, if the group is given 10 beans and believes that 70% of their work is successful, they should divide the beans into two piles of 7 and 3.) When the group has divided the beans, point to the pile that represents the successful activities and explain to the group that during this first step our focus will be on these successes.

- **Positive Characteristics**

  Ask each CBO member to tell the group something good or positive about himself / herself. The facilitator may give an example first.
  (e.g. 'I am a good cook') Note that in some cultures it may not be appropriate for people to speak positively about themselves in front of others. If this is the case in your group, divide the participants into pairs and have each person tell the group something good or positive about his / her partner.

  Thanks to Martha Rezene of WV Ethiopia for bringing the cultural aspect of this activity to our attention and suggesting this modification.

- **The Black Dot**

  Use a large sheet of flip-chart paper for this activity. Draw a black dot in the center of the paper. Walk around the room showing the paper to the participants and asking them what they see. In almost all cases you can expect that the participants will respond by saying that they see a black dot. When all participants have responded you should draw their attention to the fact that the black dot is just a tiny part of what they are seeing. What about all the white paper surrounding the black dot?! Do they not see that also?! Explain that we select what we choose to focus on and that we may exercise our choice to focus on positive, rather than negative, aspects of our work.

  Thanks to Martha Rezene and World Vision Ethiopia team for this idea!

- **Role Play**

  This is a role play that can be carried out by the facilitators or, alternatively, the facilitators may instruct the CBO members so that they carry out the role play themselves. There are three actors: a mother, a father and a child. The parents are about to go out to visit relatives. They ask the child to straighten up the house while they are gone. The child straightens up the house and does a good job, but forgets to wash one cup. When the parents return from the visit the mother immediately scolds the child for not washing the cup. The father, on the other hand, praises the child for all the good work he/she *did* do. Following the role play, ask the CBO which approach is better and discuss.

  Note to Facilitator: Give the actors time to practice before performing the role play. You may adapt this role play as you see fit. If you want to involve more members of the CBO for example, you may have some members play the roles of the relatives that the parents are going to visit. Be creative! Tell us what works!

  Thanks to the WV Mozambique team for this idea.

- **Role Play: Variation**

  In this variation of the role play you will add another actor. After the mother scolds the child and the father praises the child, the two parents begin to argue. Neither parent agrees with the way the other parent reacted. The mother gets very angry and eventually beats the child. At this, the child starts to cry and leaves the house. A neighbor sees the child crying and asks what the matter is. The child explains that he/she was beaten for failing to complete one simple chore in the house. The neighbor asks why the child failed to complete the chore. The child responds that he/she didn't know how. *(At this stage the facilitator can link the message to the idea of **capacity**.)* The neighbor accompanies the child back into the house and begins to reason with the mother. The mother finally recognises that she overreacted to the situation and apologises to her son/daughter, and says that she will teach him/her how to carry out the task. *(At this stage the facilitator can link the message to the idea of **training**.)*

  Thanks to Martha Rezene of WV Ethiopia for this variation on the role play!

  Note to Facilitators: If you have additional ideas for this step, please feel free to try them with your CBO and tell us about your experiences. Your idea may be published in supplemental pages to this manual!

Activity Five: Positive Questions and Sharing Stories

• Prior to meeting with the group, draft a set of possible 'positive questions' to stimulate story-telling. See the examples below, but be sure that the questions you draft are appropriate to the level and context of the group you will be working with. Write the questions on a flip chart or, alternatively, write each question on a large card and post the cards on the wall. You may post all the questions on the wall at the same time, or post them one at a time. If some members of the group are illiterate, be sure to read the questions aloud. Tell the group that they can supplement the list with positive questions of their own if they want. Explain that they will use these questions to engage in exciting conversations.

Sample Positive Questions[4]

1. What motivated you to become a member of this group?
2. In your entire experience with this group, when have you felt most alive and most engaged in your work? What were the forces and factors that made it a great experience?
3. What do you value most about yourself, your work and your group / organisation?
4. What are the best things that your group does?
5. What is the core factor that gives life to your organisation?
6. Describe a time when you really appreciated your leader(s). What did he or she or they do?
7. Describe a time when you felt that the community really recognised and appreciated your work. When was it? What happened?
8. Tell a story about a beneficiary – an OVC or a chronically ill person – who you helped. What happened? What would have happened if you weren't there? How did the person respond?

NB: **A total of 8 sample questions are provided here. It has been found in most groups, however, that it is best to limit the questions to a total of 4 or 5 at most. You should select the 4 or 5 questions that you think will promote the best discussion in your group, or come up with 4 or 5 questions of your own.**

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[4] Ibid, page 75.

- Divide the CBO into small groups of three or four members each. (The smaller the group, the more likely it is that each individual will speak and share.) If the CBO is heterogeneous you may want to divide into 'interest groups' such as groups of OVC home visitors, groups of home-based caregivers, leaders, etc.

- Remind the groups to appreciate what they hear. Encourage them to share generously, learn from each other, and follow what they are curious about. Although this is in some ways an interview, it should also be seen as an enjoyable conversation about the organisation, one where members are speaking freely and imaginatively. It is not intended to be overly formal or structured. You should allow at least 45 – 60 minutes for this step so that the storytelling can go into some depth.

- Ask each group to think about what they want to share in plenary

Activity Six: Time Line (Optional)

- As another way of stimulating sharing, you may ask the group to draw an organisational timeline. Present a blank timeline diagram (a horizontal line representing the past up until the present point in time, e.g. from 2001 to the present). Have participants list **key events** (i.e. major highlights) in the CBO's history. They may either write or **draw** visual representations of these on the corresponding point on the timeline. The group members may use this timeline to further stimulate sharing and storytelling.

- You may use a checklist of key events to help the members remember and to think about what they want to include on the timeline. An example of a checklist is as follows:

    - Creation of the CBO

    - Election of leaders

    - Key trainings

    - Starting and ending of activities

    - Establishment of relationships with external groups

    - Gaining legal status, etcetera

Activity Seven:	**Identify Main Themes – and Capacities – from Stories**

- In plenary, ask for volunteers to share the best story, the most powerful ideas, or the most exciting information they learned. As the story-telling proceeds, you will assist the group members in extracting common *themes* of positive experience from the stories, and listing these on a flip chart. These will be themes related to *what works* in the organisation and what gives it *life* and *meaning*. (Example: Many members share stories about the positive response they have received from the community in carrying out their work. You may wish to list 'community response' as a positive theme for the CBO.)

NB: This will probably be a messy process and you as a facilitator will need to be listening carefully and helping the group to extract the themes. It is not likely that the groups will talk about themes using the exact words that you want to hear. They may not use the words 'Goal and Objectives', or 'Volunteerism', for example, but as you are listening to their stories you should be trying to extract these ideas from what the group is saying. An example is provided here:

CBO Member: "I remember the time when we wanted to organise a recreational activity for the children in the community. We all got together and decided what we needed to do. We purchased a football and Luisa and Telma brought jumpropes. About 40 boys participated in the football match and even more girls were jumping rope all afternoon. It was one of the best events that our CBO carried out."

*Facilitator: "From this example it sounds like your CBO is very good at **planning**."*

- As the themes are identified and extracted from the discussion, you should draw visual representations of each topic on a large **circle**. For example, if the topic/theme is 'Leadership' you may draw a group of people with 2 or 3 leaders standing in the front. For 'Volunteerism' you may draw the group with their hands in the air, showing their willingness to volunteer. You will need to use your imagination and creativity for this! You may also ask the CBO members to try to come up with the drawings themselves.

Activity Eight: Creating the Visual of a Tree

NB: **In actual fact you will carry out this activity immediately after you identify the themes in Activity Seven. It is written here as a separate activity for ease of explanation.**

- Explain to the group that we can compare the CBO to a tree. When the tree is fully mature, it will bear fruit. Each area in which the CBO is performing well is like a fruit of the tree. As the group has already identified some areas in which it is performing well, we can say that we are beginning to see the fruits of this CBO's tree. We can place these fruits on a large diagram of a tree.

- For this activity, place the circles on which you have drawn the themes on a large outline of a tree. Explain to the group that we do not yet know exactly how mature each fruit is, but we *do* know that the fruit is there on the tree, based on the group's stories. See the example on the following page of a tree with themes – circles – identified by a CBO in Mozambique.

- Explain that as we continue with this process, we will look more closely at each capacity area. We may change these fruits to *green* or *yellow* or *orange* (or perhaps to *small* or *medium* or *large*, if there is no coloured paper) based on the results of these explorations. In a later step you will be looking at actual indicators for the capacity areas identified by the CBO, so it is too early at this stage to decide whether these fruits are fully mature or not. For the moment, however, it is enough to celebrate the fact that the CBO is already bearing many fruits!

Note to Facilitator: It is common in this step for the CBOs to identify themes relating to their *technical* capacity (e.g. in psychosocial support, HIV prevention counselling, etc.) as well as their *organisational* capacity. You will **not** include these technical themes on the tree. You may congratulate the group for showing capacity in these areas, but explain again that the focus of this self-assessment is on organisational capacities only.

Example from Mozambique
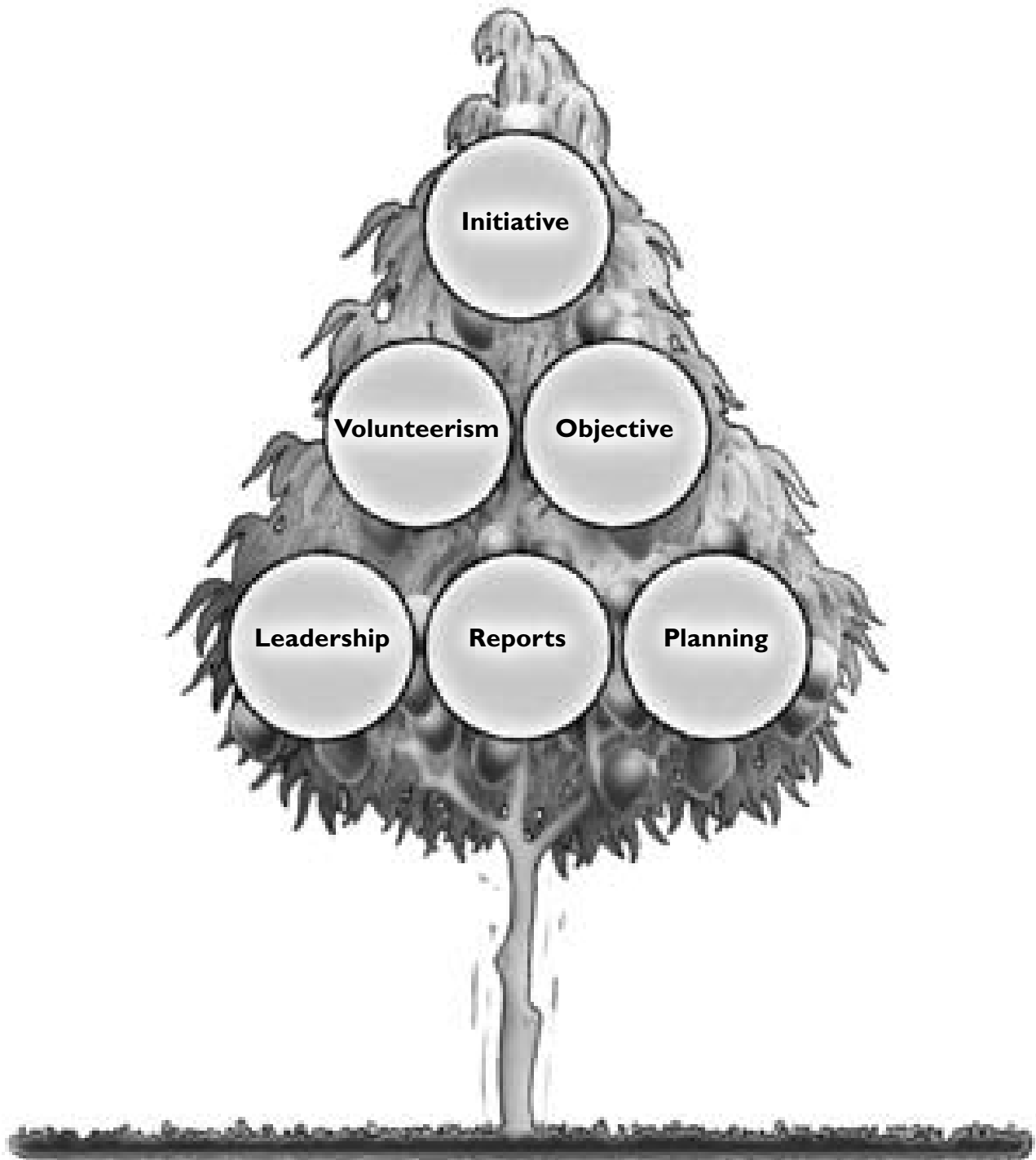
Facilitator Reference 1.1: Conceptual Background for Step 1 [5]

In this step, you will help the CBO to ask itself, 'What works best in our organisation?' and to explore those moments when the organisation (the CBO) was at its best. An assumption of this exercise is that in every organisation **something works**. In planning for the future, it is important for decision-makers to be able to understand and explain exactly **what was happening** when things were working and the organisation was performing exceptionally. When people begin to see and appreciate what they do well, they are in a better position to do more of it.

A second assumption of this exercise is that planning is not about solving problems but more about **embracing solutions**. You are not asking the CBO to look for what is broken or wrong. Instead, the focus will be on the things that have been successful. The result of this process will be statements devised in Step 2 to follow – propositions for the future – that describe where the organisation wants to be based on the high moments of its past. These statements will reflect real successes that people will want to repeat.

This step, like those that follow, involves the entire CBO. You will help the CBO to participate in a group inquiry, by asking each other questions and generating information about the organisation. Everyone will take responsibility for **discovering** what the organisation is. Following this, CBO members will choose what they most want to learn about.

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[5] CRWRC; *Partnering to Build and Measure Organisational Capacity.*

Illustration 1: Organisational vs. Technical Capacity
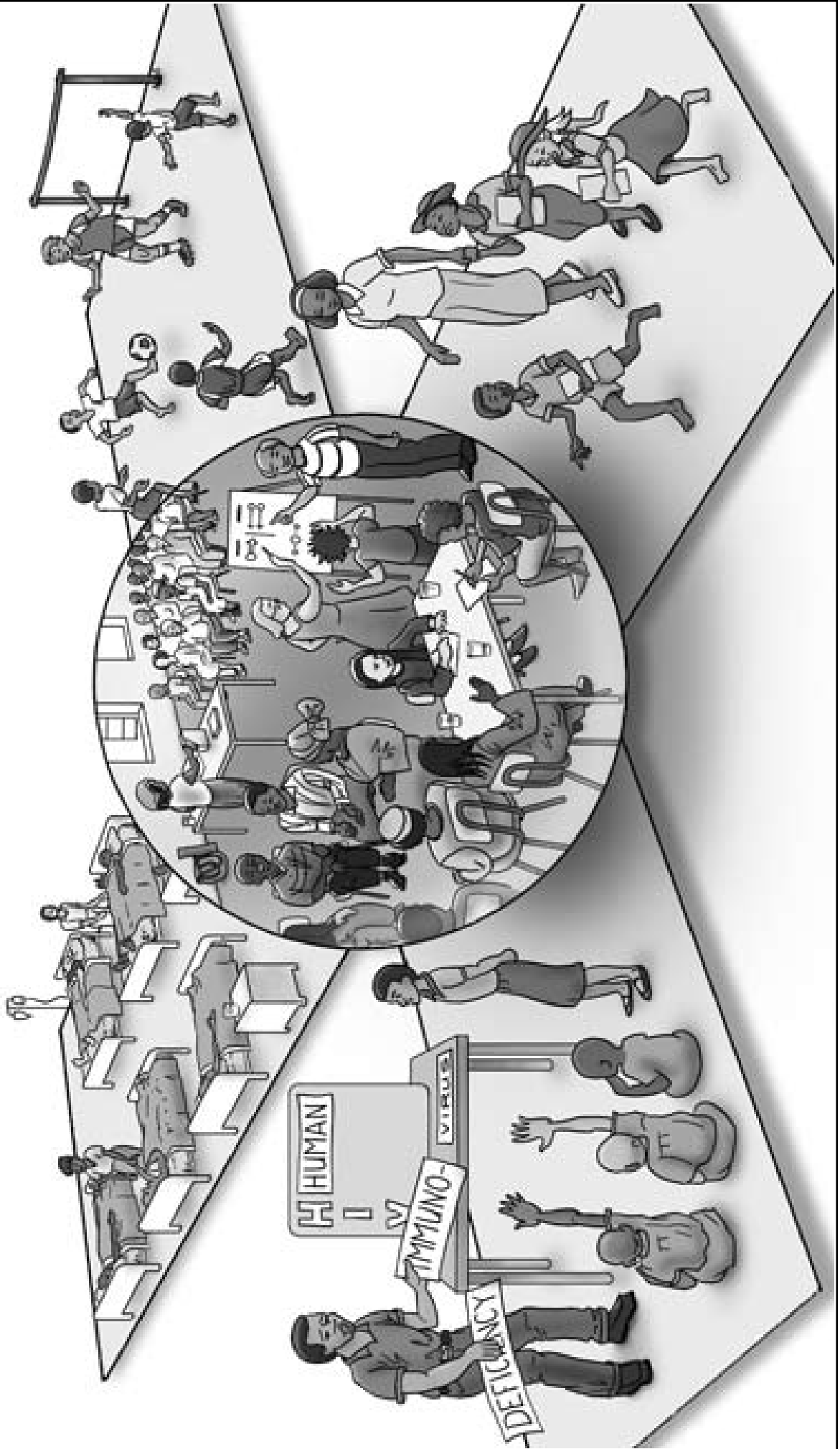
Step 2:   'Visioning': Comparing Existing Situation with Desired Future

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In this step, the group looks to the future and envisions what their organisation can become, based on the successes it has experienced in the past. This visioning is realistic and specific to each group, and builds from existing strengths. (That is to say, the visions are not just 'wishful thinking' towards some generic ideal.) In crafting a version of a preferred future, it is useful for groups to come up with 'provocative propositions'; statements in the present tense that describe what their organisation can look like in the future.

Objectives

By the end of this step the group will have articulated its positive ideas for the future, based on past successes. These ideas will take the form of 'provocative propositions'.

Time: 2 hours

Activity One:	Thinking about the Fruits of the Mature Tree

(Or the full glass of water, or the full sack of maize, or the completed journey)

- Use the metaphor of the tree again, and explain to the group that thinking about a preferred future is like thinking about the fruits that a tree bears when it is healthy and mature. Remind the group that they have already identified some fruits – perhaps mature or perhaps immature, but fruits nonetheless – of their organisational tree and review the white circles generated in Step 1.

- Now ask the members to think again about their organisation and what they would like to achieve in the future. Ask them what the 'fruits' of their organisational tree might look like if everything were exactly the way they would want it to be. This should be a fairly open-ended process of articulating their vision of a healthy and well-functioning organisation.

- There are in fact various metaphors you can use for this activity. You can ask the group to talk about a time when 'their cup of water is full', or 'their sack of maize is full', or 'their journey is complete'. As you will recall, these are all examples of metaphors that you might have used during Step 1. In Step 1 you were helping the group to think about what is already present and functioning well in their organisation. In this Step 2 you are now asking the group to think about an ideal future time. It may be helpful to use the same metaphors for this step.

- **NB:** It is common at this stage for CBOs to think in terms of their **programmatic** visions rather than their **organisational** visions. That is to say, CBOs frequently talk about their visions *for their target beneficiaries*, in terms such as 'adequate food for all OVC' 'every OVC is in school', 'all the ill are receiving visitors', etc. This in fact is normal, and it is fine. The organisation exists, after all, in order to carry out activities for the benefit of one or more community target groups and these are the ends that the organisation wants to achieve. In this Step 2, you can be satisfied with sentences that capture these programmatic visions. (In the next step you will help the group to identify *how* they will achieve these ends.)

- Write the group's ideas on a flip chart and, where necessary, *draw* visual representations of each item. Examples might be:

  - All OVC are in school (you may draw a school, or ask a group member to draw)
  - All OVC have adequate food (you, or a group member, may draw a plate with food)
  - All OVC have decent clothing (you, or a group member, may draw a shirt and a dress)
  - All the chronically ill have a bed (draw a bed)
  - All the chronically ill are receiving visitors (draw a person visiting an ill person)

| **Activity Two:** | **Restating the Visions as 'Provocative Propositions'** |

- It is possible that the group has already articulated its visions for the future as 'provocative propositions'. How will you know?!

- A **provocative proposition** is a statement *in the present tense* that describes what the ideal situation will be like when fully realised. These statements will describe what the CBO will be doing when it is performing at its best. Propositions for the future are grounded in realities from the past and are stated in the present tense as if they are already true. The beauty of propositions for the future is that they have meaning beyond their words; they remind us of what is best about the organisation and how everyone can participate in creating more of what is best. They come from stories about the past.

- The most important point to remember is that the propositions should be written in the present tense as if they are already true! See the following example:

  Original statement: We hope that all OVC will be in school
  Provocative proposition: All OVC are in school

- Review the statements that the group came up with in Activity 1. If they are not yet written in the present tense, change them so that they are. Repeat the provocative propositions in chorus every time you come together with the group!

<div style="border:1px solid #000;padding:10px;background:#e6e6e6;text-align:center">

Facilitator Reference 2.1:
Conceptual Background for Step 2 [6]

</div>

You have now arrived at the point in the process where the CBO can answer the question 'What does your organisation want to do?' It is time to envision what the future can be based on what has been. In the previous step the CBO remembered what it was like to be at its best and identified the energising forces that made these high points possible. Now, with the information fresh in its mind, the CBO has an opportunity to capture these positive images and use them as the basis of an action plan.

Propositions for the future are grounded in realities from the past and are stated in the present tense as if they are already true. The beauty of propositions for the future is that they have meaning beyond their words; they remind us of what is best about the organisation and how everyone can participate in creating more of what is best. They come from stories about the past. From the perspective of planning, a proposition for the future is powerful since it can give people the knowledge that they can impact the direction of their organisation.

The CBO's propositions for the future will be statements of what the organisation's future will look like after its issues/concerns have been successfully addressed. As noted above, propositions are stated in the present tense as if they are already true. Desired changes are expressed in a positive way rather than as shortcomings or problems. In order to produce propositions for the future, the CBO must begin to think about solutions to its concerns which draw on its vision of what the situation would look like once the ideal state of affairs has been reached.

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[6] Ibid

Step 3: Determine Capacity Areas to Achieve Vision

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The previous two activities will have helped the group to identify areas in which their organisation is performing well, and to think towards the future in terms of continued growth. In this step, the facilitator will assist the group in **identifying the capacity areas** in which they may wish to direct further attention, in order to achieve the future they aspire to.

Objectives

By the end of this step the group will have developed a shared understanding of capacity areas and will have identified the capacity areas towards which their organisation wishes to direct further attention.

Time: 2 hours

Note to Facilitator: Eliciting Capacity Areas

In this step you will first try to help the CBO members *themselves* to identify capacity areas – such as monitoring, financial control, budgeting, etc. – that will help them to achieve their visions articulated in the previous step. Activities One and Two will help you to elicit these ideas from the CBO members.

Sometimes, however, the CBO *will not know* of the possible capacity areas that exist for potential further strengthening. After trying to solicit ideas from the CBO in Activities One and Two, you may then introduce your own suggestions to the CBO in Activity Three. To avoid a feeling that you are *imposing* your own solutions, however, it is important that you first exhaust all the ideas that the CBO has. Activities One and Two are two possible ways of eliciting ideas for capacity areas from the CBO. Only when you have tried these and elicited all the ideas that the CBO has should you move on to Activity Three.

Activity One: Identifying Capacity Areas to Achieve the Vision–Eliciting Ideas from the Group

- **What:** In Step 2 the group came up with provocative propositions describing **what** the CBO will be like at an ideal future time. Normally, these provocative propositions relate to the results of the work that the CBO is doing with community target groups such as OVC and/or the chronically ill, and represent a time when 'the fruit is mature', or 'the glass of water is full', or 'the journey is complete'.

- **How:** In this step you will help the group to determine **how** they will achieve these visions. If the glass of water or the sack of maize is half full and they want to fill it, or if the journey is half complete and they want to complete it, how will they go about doing this? What do they need to do in order to fill the glass of water or the sack of maize, or complete the journey?

- **Reviewing organisational capacities.** In this step you will help the group to focus on the **organisational capacities** that they will need in order to achieve these ends. In Step 1, the group already identified some areas in which the organisation shows strength and ability. The facilitator should begin with these. Review the themes identified in Step 1. Remind the group that these are the areas in which the CBO already shows strength. Review the white circles on the diagram of the organisational tree.

- **Identifying additional organisational capacities.** Now ask the group if they can think of any other ways in which their organisation will need to grow in order to achieve the visions that they have. You will need to use your skill as a facilitator here in order to translate what the group is saying into concrete capacity areas. Two examples are provided here:

CBO Member: "I think that our organisation needs to become more unified in order to achieve our vision. We have a lot of disagreements among ourselves and sometimes this makes it hard to get anything done."

Facilitator: "It sounds to me from what you are saying that you would like to improve your capacity in **Team Building**"

CBO Member: "If we really want to help the chronically ill we need to have a better relationship with the health post here and with the District Department of Health"

Facilitator: "It sounds to me from what you are saying that you would like to improve your capacity in **External Relations/Linkages**"

- **Adding additional capacities to the tree.** As you and the group come up with new capacity areas that the group would like to focus on, **draw** a representation of the capacity area on a *new* white circle, and place this new circle on the diagram of the organisational tree. In this example, 'Team Building' and 'External Relations' would be added as new white circles on the tree.

Activity Two: Identifying Capacity Areas by Raising the Issue of Money

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NB: Important!

This activity is OPTIONAL. If you use it, you must use it very carefully. Sometimes talking about money and fund-raising will help the group to think about the organisational capacities that they need to improve, and so it may be a useful discussion to have. On the other hand, it can raise false expectations whereby the CBO begins to think that funds are forthcoming from you, your organisation, or other external sources. It can also serve to minimise the importance of everything that the CBO is already managing to do for community target groups *without* money.

You may choose to have this conversation with the group but you must be sensitive to these issues, explaining very carefully that the conversation does not imply that funds are forthcoming, nor does it imply that the only good work that the CBO can do is that work that they spend money doing.

- Sometimes a group will be most successful in identifying organisational capacity areas for improvement if you ask the following question:
  'Imagine that your CBO wants to compete for funding from the District Department of Social Welfare to expand your activities. In order to compete for funds like this, what sorts of things do you think the funder will require, or will want to see in your organisation?''

- Ask the question to the group and help them to think of the possible answers. Examples might include:
  - Budget
  - A record of what we are doing (Monitoring)
  - Etc.

- As you and the group come up with these new capacity areas, **draw** a representation of the capacity areas on *new* white circles, and place the circles on the diagram of the organisational tree. In the examples here 'Budgeting', and 'Monitoring' could be added as new white circles on the tree.

- See the example of the tree on the next page. The first circles represent those capacity areas that the group identified in Step 1 as *already existing* in the CBO. The shaded circles are those that the group has identified in this step, as representing areas of capacity in which the CBO can grow and mature in order to achieve its visions for the future.

Example

New circles added as group identifies
additional capacity areas
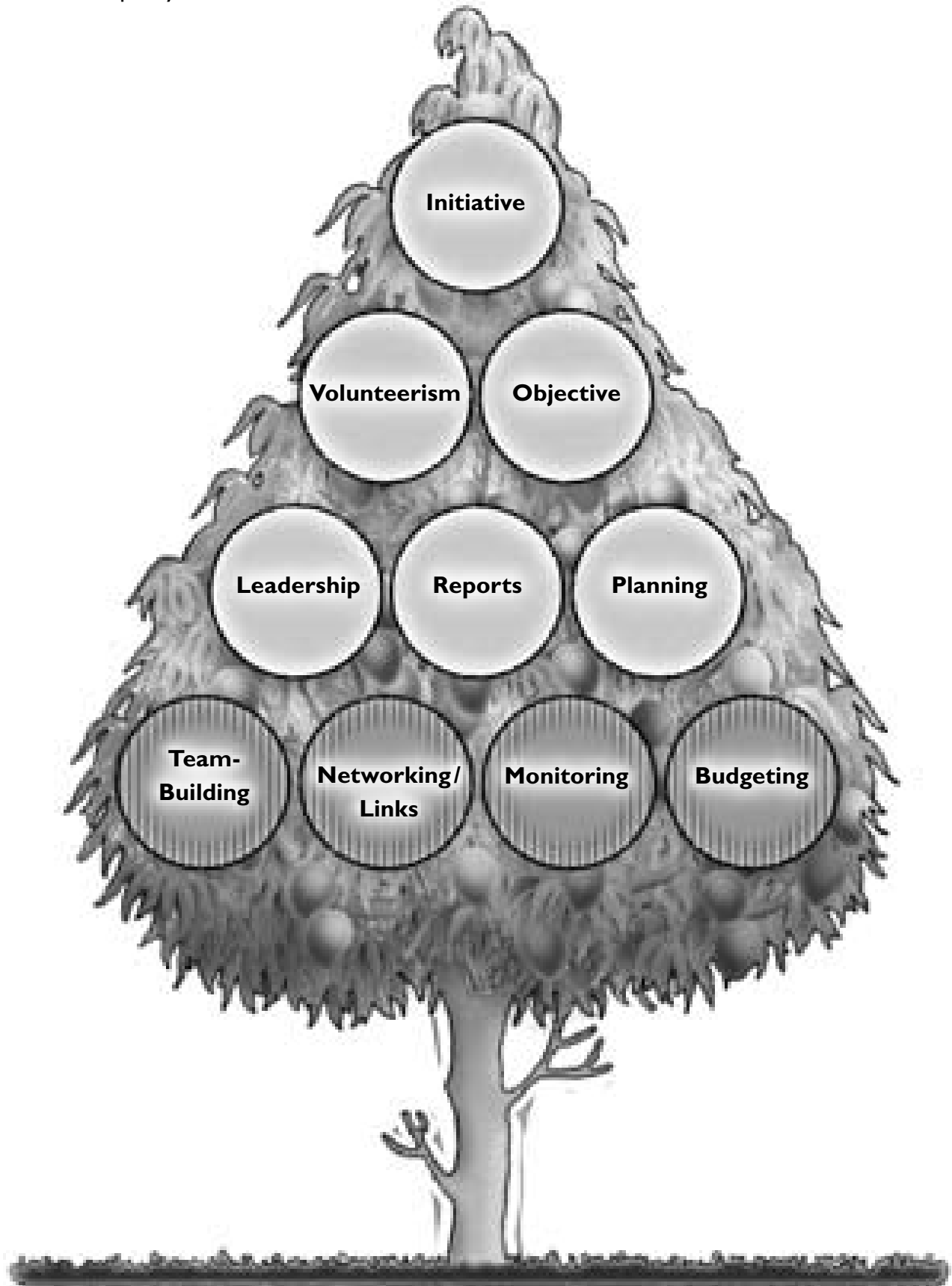
Activity Three: The Facilitator Suggests Remaining Capacity Areas

- The Facilitator Reference provided at the end of this step lists the major capacity *categories* together with their respective capacity *areas*. For beginner CBOs, it is advisable to be building capacity in each of the categories, although not all capacity areas within each category need to be addressed at once. Those capacity areas indicated in **bold font** are those that you will suggest for beginner CBOs. (It is expected that as the CBO matures, additional topics from within each category will be addressed.)

- The 14 main capacity areas that you may suggest for a beginner CBO, selected based on the experiences of CBOs in various country-contexts, are the following:

- Vision and Mission
- Goal and Objectives
- Action Planning
- Structure, Roles and Responsibilities
- Internal Rules
- Meetings
- Leadership

- Team Building
- Monitoring
- Reporting and Recordkeeping
- Budgeting
- Bookkeeping
- Proposal Writing
- Linkages / Networking

- To begin, review with the CBO those capacity areas that they have *already identified* either as existing within their CBO or as requiring assistance. Refer back to the white circles on the tree. You may then introduce the remaining capacity areas to the group, explaining the meaning and importance of each one. In the example we have been using, these would be:

- **Existing**
  - Goal / Objective
  - (Action) Planning
  - Leadership
  - Reporting

- **Identified by CBO as requiring assistance**
  - Team Building
  - Monitoring
  - Budgeting
  - External Relations / Linkages

- **Introduced by Facilitator**
  - Vision and Mission
  - Structure, Roles and Responsibilities
  - Internal Rules
  - Meetings
  - Bookkeeping
  - Proposal Writing

Activity Four: Complete the Tree

• You will now help the group to fill in the complete tree as illustrated here.

Initiative

Volunteerism **Objective**

Leadership **Reports** **Planning**

Team-Building **Networking/Links** **Monitoring** **Budgeting**

Vision/Mission **Roles/Responsibilities** **Internal Rules**

Meetings **Book-Keeping** **Proposal Writing**

CBO Identified (positive)   CBO Identified (as lacking)   Facilitator Identified
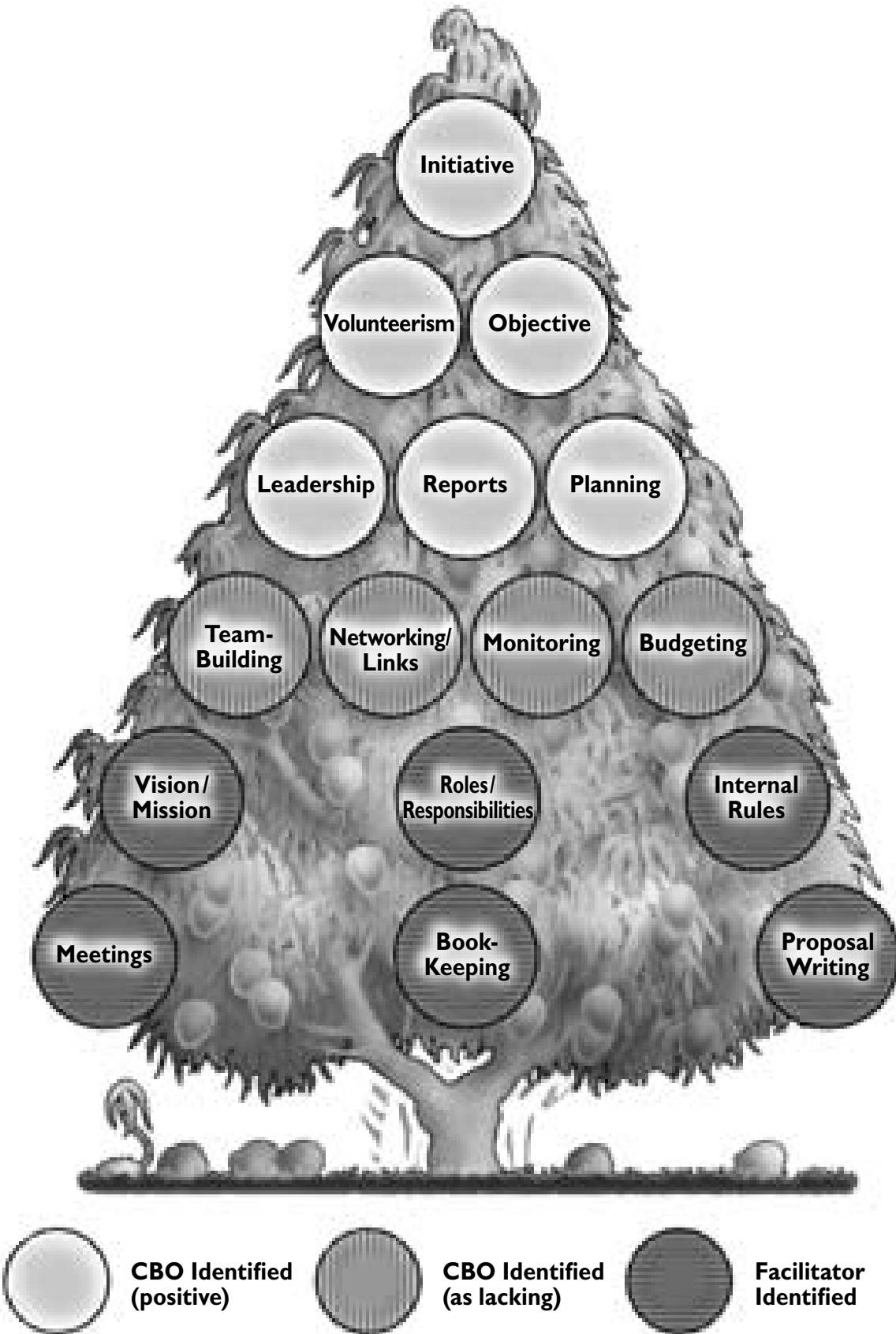
Activity Five: > Discussion and Agreement

- Note that if the CBO has come up with areas of positive functioning that do not fit into any of your suggested categories, you should not consider this to be a problem. Retain the CBO examples, even though they are different from your outline. In our example, you would maintain the following two circles on the tree, even though they do not 'fit' our categorisation:

  - Initiative
  - Volunteerism

- In our example, there are six new capacity areas that you are introducing to the CBO (Vision/Mission, Roles/Responsibilities, Internal Rules, Meetings, Bookkeeping, Proposal Writing). Clearly explain what is meant by each one, and explain the value and importance of each of these capacity areas. (*NB: You can refer to the separate* **Part II: Facilitator's Manual for OCB Training** *books for these capacity areas to assist you with information so you can explain the meaning and value to the CBO.*)

- Explain to the CBO that these additional capacity areas are *suggestions only!* It is as if a CBO member is going to the market where there is a selection of vegetables to choose from, or if he or she is going into the garden to pick some vegetables for dinner. In either case, he or she will select some of the vegetables, but probably not all of them. In the same way, you are providing a 'menu' of capacity areas to the CBO here. They may select some, all, or none of these areas to focus on. Explain that you can offer trainings in these areas but that it is probably not advisable for the CBO to try to focus on *every* new capacity area all at once. They should look at their own situation and decide what is most important to them at this particular point in time.

- Give the CBO time to decide as a group which of the newly-introduced capacity areas are interesting and important to them. These are the circles that you will keep on the tree. You will remove any circles that the CBO does not select.

- *NB: It is important that you, the facilitator, keep your own records of CBO selections so that you can prepare appropriate trainings, and can follow up with the capacity areas left out of this self-assessment in subsequent self-assessment processes.*

Facilitator Reference 3.1: Suggested Capacity Areas

*(NB: **You will not introduce these suggestions until Activity Three**)*
The capacity areas indicated in bold font represent the priority areas for beginner-level CBOs, selected based on World Vision's experience working with CBOs in various contexts. It is expected that as a CBO continues to mature, it will focus on additional capacity areas.

Organisational Purpose and Planning

- **Vision / Mission**
- **Goals / Objectives**
- **Action Planning**
- Strategic Planning

Structure and Procedures

- **Structure, Roles and Responsibilities**
- **Internal Rules**
- **Meetings**
- Formal By-Laws
- Governance
- Legal Registration

Group Dynamics

- **Leadership**
- **Team Building**
- Conflict Resolution
- Gender Considerations

Monitoring, Evaluation and Reporting

- **Monitoring**
- **Reporting and Recordkeeping**
- Evaluation

Financial Management

- **Budgeting**
- **Bookkeeping**
- Banking
- Accounting

Resource Mobilisation

- **Local Fund Raising**
- **Proposal Writing**
- Project Cycle Process
- Business Plans (internal funds)

External Relations

- **Linkages / Networking**
- Advocacy
- Partnering

Step 4:	Identify Indicators and Assess Level of Maturity in each Area

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In the previous step, the group identified the capacity areas in which they will direct further attention. In this step the facilitator will assist the group in assessing their *current level of maturity* in each of the capacity areas.

Objective

In this step the group will agree on its own set of *capacity indicators* for each capacity area. These indicators will represent the 'evidence' or the 'proof' that the organisation has reached maturity in a particular capacity area. The group will use these indicators to assess their current level of maturity in each capacity, giving themselves a score from 1-5. They will then plot this score on a graph so that they may continue to track their progress over time.

Time: 1 – 1 ½ days

Note to Facilitator: Eliciting Capacity Indicators

You will facilitate the first activity in this step in much the same way as you did Step 3, when you were helping the CBO to identify capacity **areas**. In Step 3 you first tried to help the CBO to identify capacity areas by itself. It was only when the CBO had exhausted its ideas that you introduced your own suggestions from the Facilitator Reference list or 'menu'.

In the same way, with respect now to capacity **indicators**, you will first try to elicit the CBO's own ideas. It is only when all of their ideas are exhausted that you will introduce additional suggestions from among the list of core capacity indicators provided here. Once again, you will present these suggestions as a 'menu of options' from which the CBO may select, but you will not *impose* the menu on the CBO, nor consider this menu as a standard against which all CBOs must be measured. The idea is for you to present information and input to the CBO so that it can make its selections from an informed position.

Activity One: Reviewing Indicators to Assess Capacity

- Post one sheet of flip-chart paper on the wall for each organisational capacity that the group chose to focus on in the previous step At the top of the page draw the symbol that represents the capacity – the same drawing that is found on the circle on the organisational tree. (e.g., one page for Leadership, with the drawing you made to represent leadership; one page for Budgeting, with the drawing you used to represent budgeting, etc.) You may have as many as 14 flip-chart pages on the wall, depending on the number of capacities chosen. Choose one of the capacities that, in your judgment, will be easier to address.

- Ask the group *how they will know if they have grown and matured* in this area. In other words, what is the **evidence** that they can use to show that they have reached maturity? Write the group's ideas on the paper. Explain to the group that we can call these examples of evidence indicators, and that we want to identify **indicators** for each of the capacities.

- When you have exhausted the group's ideas, you will add your suggestions. Refer to the Facilitator Reference Sheet provided at the end of this step. This page outlines suggested indicators – the 'proof' or 'evidence' of maturity – for each of the 14 capacities. Read the indicators corresponding to the capacity that you are focusing on. If the group agrees that these are logical indicators to use, add them to the flip chart page.

- Repeat this exercise for each of the capacities on the organisational tree.

- *NB: Do not introduce **indicators** for **capacities** that the group has not chosen to focus on. For example, if this CBO is not interested in External Linkages/Networking at this time, you will not review the indicators for this capacity with them. Review only those indicators corresponding to the capacities selected by the CBO.*

- Explain to the CBO that these additional capacity indicators are **suggestions only**, but that they are based on the experiences that World Vision and other organisations have had in working with other CBOs. The CBO should look at their own situation and decide on those capacity indicators that seem most logical and fitting to them at this particular point in time. By the end of this activity you should have one flip-chart page for each selected capacity with a drawing of the capacity at the top and with the corresponding indicators listed below the drawing.

Activity Two: > Assessing Level of Maturity in Each Capacity Area

- Before beginning this activity you will show the group a drawing, found at the end of this step **(Illustration 2)**, that introduces a new metaphor of a tree. This drawing shows the five stages of growth of a tree, from seeding (1), to germinating (2), to vegetating (3), to flowering (4), to bearing fruit (5). Show the drawing to the group and compare the drawing to the organisation, explaining that organisations, too, go through stages of growth and that it is possible to try to identify these stages in each of the chosen capacity areas.

- Split the participants into groups of 4 or 5. Divide the number of flip-chart pages evenly among the groups. Each group will probably have between 2-4 capacities to work with.

- Tell the groups to take the capacity areas one at a time. The group should read the indicators corresponding to the first capacity area and discuss together the extent to which they think their organisation meets these indicators. Based on their discussion they will give their CBO a score of between 1-5 for the capacity area, with 5 representing full maturity; that is to say, the stage of a tree bearing fruit, as in the drawing.

- The groups should repeat this process for each capacity area that they are working with.

- Following the small group work, return to plenary and have the groups present their results. As each group presents the scores that they have given to each capacity area and explains the reasoning for the scores, the plenary should decide whether or not they agree. There should be ample opportunity given for further discussion until the group as a whole is able to agree on a final score. Continue with this activity until all of the capacity areas have been reviewed and the plenary has agreed on the scores to be given for each one.

Activity Three: Representing the Scores (the stages of growth) on the Organisational Tree

- Refer to the 'organisational tree' that you and the group created in Steps 1 and 3. You and the group represented each of the selected capacity areas with drawings on large white circles that you then posted on the tree. These circles are meant to represent some of the 'fruits' that the organisation either already has, or wishes to develop.

- You will return to the tree now to show the current level of the CBO in each of the capacity areas. You may do this in one of two ways, as follows:

- You may simply write the score (1-5) on each of the white circles. If most of the group members can read and write and can easily recognise numbers then this may be the simplest way to proceed.

- Alternatively, if you are able to purchase colored paper you may substitute the white circles with **colored** circles representing fruits at different stages of maturity, as follows:

   - A score of **1** can be represented by a **small**, **green** (unripe) circle
   - A score of **2** can be represented by a **medium**, **green** (unripe) circle.
   - A score of **3** can be represented by a **medium**, **yellow** (ripening) circle.
   - A score of **4** can be represented by a **larger**, **yellow** (ripening) circle.
   - A score of **5** can be represented by a **large**, **orange** (fully ripe) circle.

1   2   3   4   5
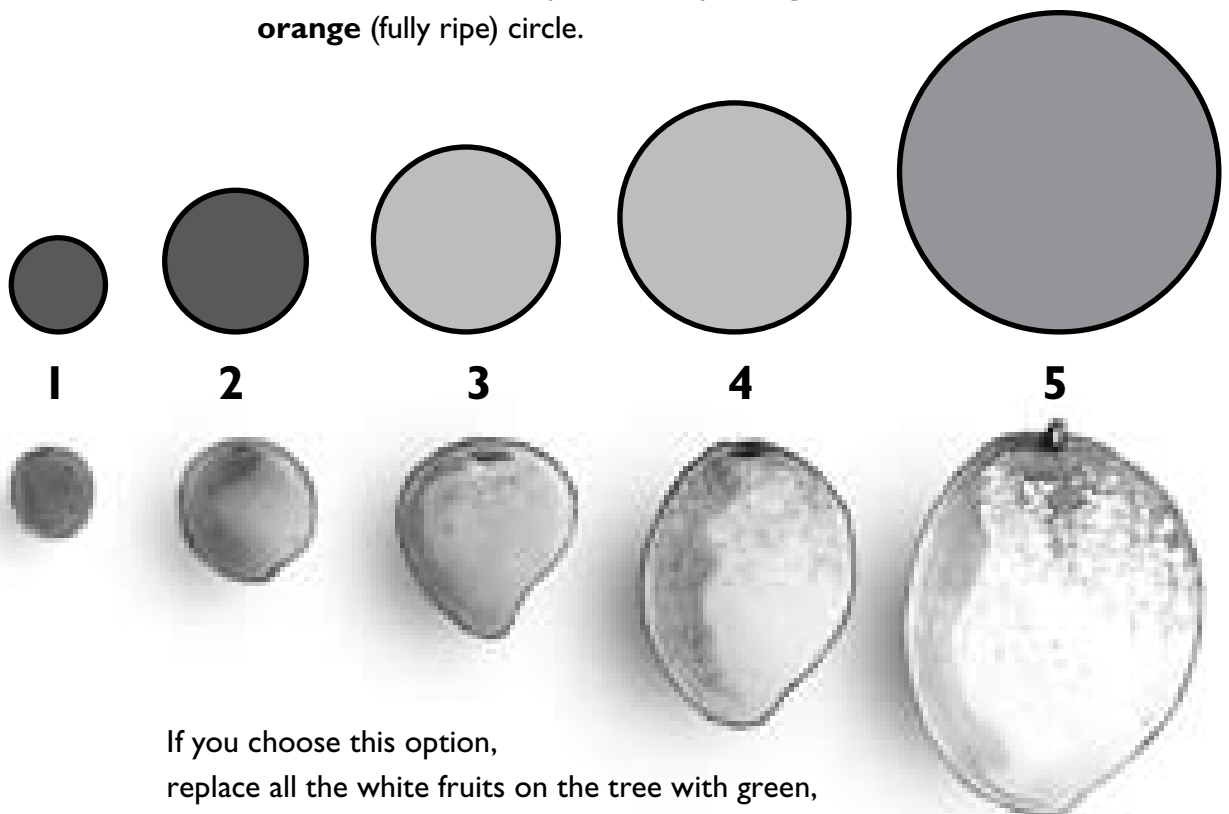
If you choose this option,
replace all the white fruits on the tree with green,
yellow and orange fruits based on the results of the scoring.

Activity Four: The Road to Capacity

- In preparation for this activity you should go to a health post in your area and request a 'Road to Health' card: the charts that are used to track a child's weight for age. (Refer to **Illustration 3**, found at the end of this step, for an example.) These charts are familiar to all mothers who regularly weigh their babies (and are usually familiar to the fathers too!). Pass the card around to the CBO members and verify that they recognise what it is and understand what the graphing symbolises.

- Explain to the group that they can use a similar method to track their own growth in each of the identified capacity areas. Use the same flip chart pages that you have been working with – one for each capacity area – with the drawing of the capacity area at the top, the written indicators, and the score that the group agreed upon. If there is space remaining on the paper, draw a graph similar to one on the Road to Health card. (If there is no space remaining, use the back of the paper, or a new sheet.)

- You will want to come up with a 'median line' to represent 'normal' growth, similar to the median that the Road to Health card uses to represent the normal growth of a child. If you have found, for example, that the group gave itself a score of **3** for most of the capacity areas then perhaps you will want to consider **3** to be the norm for a group at this stage in its development. If so, your graph will look like this:

| 5 |
| 4 |
| 3 |
| 2 |
| 1 |

I year ago   6 months ago   Now   6 months hence   I year hence
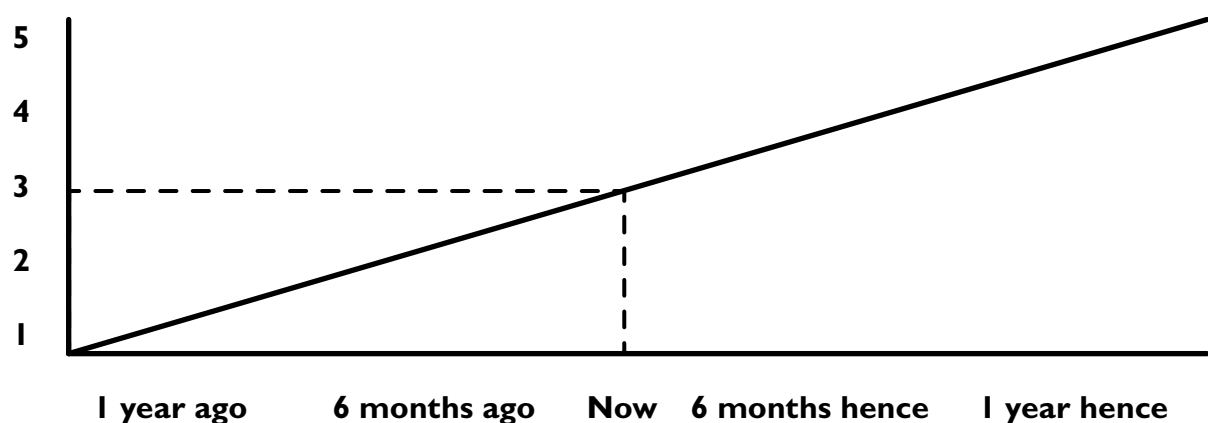
In this example, for every capacity area in which the group gave itself a score of **3** at this current point in time (i.e. 'now'), they will place a mark on the graph where the dotted lines meet. This mark will be **on** the median line, meaning that the CBO is showing **normal** growth in this area.

If for some of the capacity areas the group gave itself a score of 4 at this current point in time, then the mark that they make on the graph will be **above** the median line. (To make the mark, follow the dotted line up from 'now' until it corresponds with the number 4. As you can see, this mark will indeed be above the median line.) Any mark above the median line represents very healthy – indeed 'fat' – growth!

If, in contrast, the group gave itself a score of **2** in certain capacity areas at this current point in time, then the mark that they will make on the graph will be **below** the median line. (To make the mark, follow the dotted line up from 'now' until it corresponds with the number 2. As you can see, this mark will indeed be below the median line.) Any mark below the median line represents slow – indeed 'undernourished' – growth!

• You should help the group to create one graph for **each of the selected capacity areas** and to plot their score on each of the graphs.

NB: You will have to carefully choose the median line! It is not mandatory that the median line shows a score of **3** as normal for this current point in time. It is equally possible, for example, that you will want to select a score of **1** as representing normal growth for a new organisation, and give the CBO a period of 2 years, for example, to reach maturity. If so, your graph will look like this:
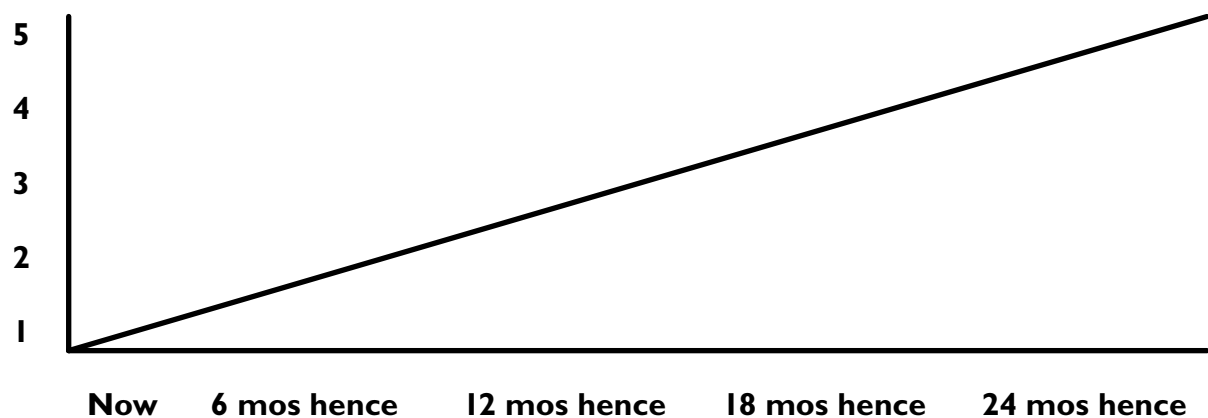
You will need to use your own best judgement in determining how to draw the median line. You should look at the current level of maturity of the group you are working with, and choose an appropriate score – between 1-4 – to represent 'normal' growth for this current point in time, and draw the median line accordingly

- Explain to the group that they will return to these graphs in 6 months time, and then again in 12 months time, in order to chart their progress. It is expected that the group will continue to grow and mature during this time. In our first example, the median line shows a score of 3 as normal for this current point of time. In 6 months time, however, a score of 3 will be no longer be considered satisfactory; rather, it will be seen as under-nourished! In 6 months time, if the group is to be growing satisfactorily, it should in fact be demonstrating a score of 4! In like fashion, in our first example the group should be showing a score of 5 – or full maturity – one year hence.

- The precise scores that the group should be achieving in each 6 month interval will depend on your choice of median line. The point, though, is that the group should come together every six months in order to assess their growth anew, and to plot this growth on the graphs. Ideally the group will be seeing its scores going up each time that they come together to repeat the exercise.

Facilitator Reference 4.1:
Suggested Capacity Indicators for the 12 Core Capacity Areas for Beginner CBOs

(NB: You will not introduce these suggestions until you have exhausted the group's ideas.)

Vision and Mission

- The CBO has a written Vision Statement
- All members can clearly state the Vision Statement
- The CBO has a written Mission Statement
- All members can clearly state the Mission Statement

Goal and Objectives

- The CBO has a written Goal
- All members can clearly state the Goal
- The CBO has written Objectives
- All members can clearly state the CBO Objectives

Action Planning

- The CBO has a written Annual Action Plan
- The CBO plans its activities on a regular basis (i.e. monthly, quarterly, etc.)
- The monthly or quarterly action plans are written
- All CBO members are involved in drafting the action plans
- The CBO successfully carries out at least 80% of its planned activities

Structure, Roles and Responsibilities

- All CBO members have a written Role Description
- All CBO members can clearly state their responsibilities
- The CBO has an Organisational Chart (Organogram)
- CBO members know where to go for help if they are having difficulty fulfilling their responsibilities

Internal Rules

- The CBO has a set of rules to guide its internal procedures
- The CBO's rules were drafted with the participation of all CBO members
- The CBO's rules are written
- All members understand the CBO rules
- There is an agreed procedure in place for changing the rules if necessary

Meetings

- The CBO meets on a regular basis
- The CBO Secretary provides a meeting agenda and writes meeting minutes (reports)
- Attendance at meetings is high (at least 75% of CBO members are in attendance)
- Decisions are taken based on democratic vote or group consensus

Leadership

- The CBO has a leadership structure in place
- At least one leader is a woman
- Leaders are elected by secret ballot
- New elections are held periodically
- All leaders understand their responsibilities
- Leaders promote the participation of all group members
- Leadership style is democratic, not autocratic

Team Building

- All CBO members feel that their contributions to the group are valued
- The opinions of all members are taken into account, even when there is disagreement
- The group understands that people have different personality styles and does not try to force all members to be alike
- Conflicts are resolved through consensus-building among those involved

Monitoring

- The CBO has a system for registering all beneficiaries (OVC, PLWHA, etc.)
- The beneficiary register is kept up to date
- The CBO has a system for recording all activities undertaken on behalf of beneficiaries (e.g. home visits, recreation)
- All CBO members know how to fill out the forms required of them (e.g. home visit records)
- All forms are filled out accurately and are handed in to the appropriate person(s) on time
- The CBO leaders know how to compile monthly/quarterly statistics
- The CBO leaders compile monthly/quarterly statistics accurately and on time

Reporting / Documentation

- The CBO gives verbal progress reports to members and the community on a periodic basis
- The CBO writes progress reports on a periodic basis for internal use and external submission, as required
- The CBO has an organised filing system

Budgeting

- The CBO leaders know how to write a budget
- The CBO has a budget that accurately reflects projected income and expenditures
- Actual expenditures do not vary by more than 10-20% from budget projections

Bookkeeping

- The CBO (Treasurer) keeps a Cashbook recording all credits and debits
- The Treasurer writes Receipts for all credits
- The Treasurer fills out Payment Vouchers authorised by 3 CBO members for all debits
- The CBO verifies the balance on the Cashbook to actual cash on hand on a monthly basis
- The Treasurer provides a justification of accounts to the CBO members on a monthly basis
- All CBO members understand the basics of the system that the Treasurer is using

Proposal Writing

- The CBO has succeeded in submitting a proposal for funding to an external donor
- The CBO has succeeded in securing external resources (in addition to World Vision)

Linkages / Networking

- The CBO can identify and name all other CBOs working in their area
- The CBO has regular contact with other CBOs and / or government entities in the area
- The CBO sends at least one representative to the relevant community / district / zone coordinating meetings.

Illustration 2: Tree Diagram
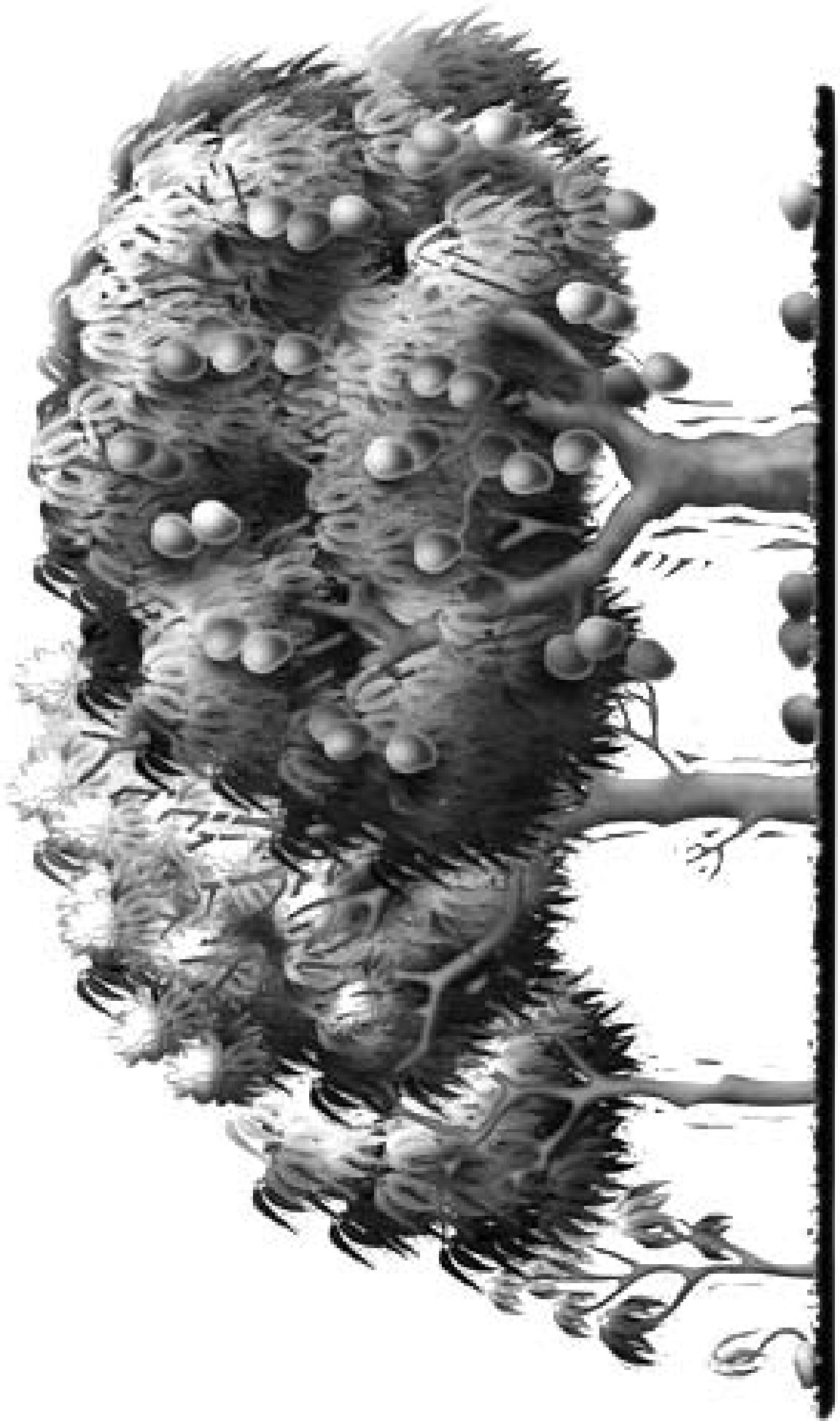
Illustration 3: Road to Capacity Card

Birth to 36 months: Generalised Average

Length-for-age and Weight-for-age percentiles
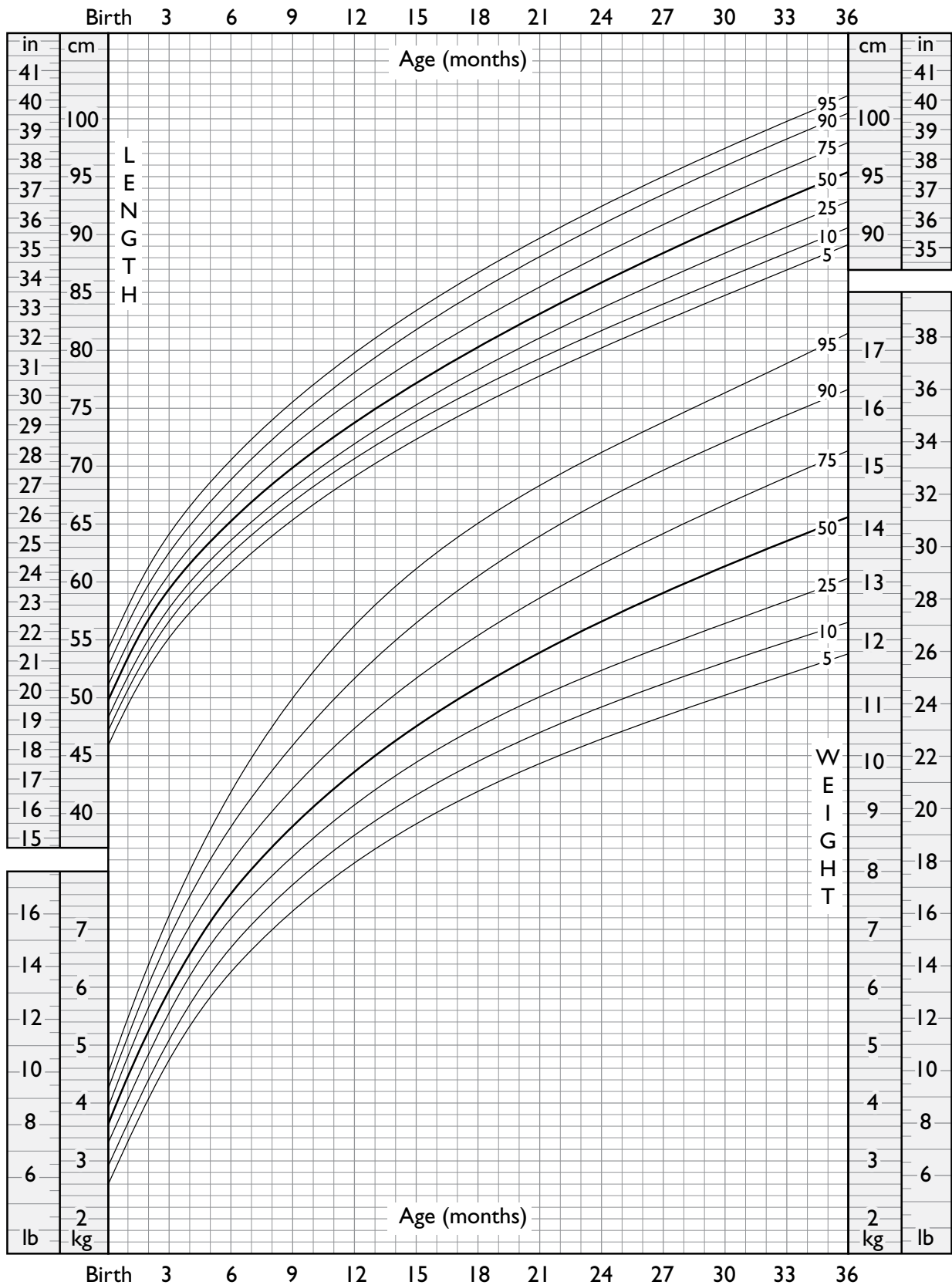
Step 5: Formulate Action Plans to Build Capacities

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Activities

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Introduction

Now that the group has gone through a process of identifying its strengths, envisioning a preferred future for itself, articulating this in the form of 'provocative propositions', identifying the capacity areas needing strengthening in order to arrive at this future, and designing indicators to measure its ongoing progress, the group may now devise a concrete action plan to carry it along the path of progress. The action plan will entail much effort on the part of the group itself, but it is likely that the group will also identify further training needs and will request the assistance of the Facilitator in this regard. The Facilitator may refer to the 14 core training modules following this self-assessment process to assist the CBO with its training needs.

Objective

By the end of this step the group will have formulated an action plan that will help strengthen the organisation in the priority capacity areas.

Time: 2-3 hours

| **Activity:** | **Formulating an Action Plan** |

- Before beginning this activity you can return to the example of the '**Road to Health**' card to make the point that there are some activities that the CBO will be able to carry out by itself, while other activities will require the assistance of the Facilitator or another outside party. Refer to the 'Road to Health' card that you picked up from the health post. Tell the group to imagine that a mother has just had her child weighed and found that her child is underweight. Ask the group what the mother should do. You can categorise the group's responses into *Actions the mother can carry out by herself*, **and** *Assistance that the mother requires from others*. Examples of the first category include increasing the portions of food that the mother gives to the child, taking the child for regular weighings, and so forth. Examples of the second category include requesting vitamin supplements from the nurse, asking the nurse for advice on the best foods to give to the child, and so on. Explain to the group that, in much the same way, there will be many things that they can do by *themselves* to increase their growth. At the same time, there may be areas where they will require the *assistance* of the Facilitator or of others.

  Thanks to Martha Rezene of WV Ethiopia for this idea!

- Review the priority capacity areas and indicators developed in previous exercises. Choose one capacity area to begin with. Ask the participants: *What actions do you think will be needed to tackle this capacity issue?* Explain that the sum of these interventions will constitute an action plan for strengthening the capacity area. Write all of the proposed interventions on cards and ask the participants to sort the cards in order of implementation (what will be done first, second, etc.). Post these in descending order on a flip chart page.

- In columns next to each action card, write WHEN it will be carried out, who the TARGET BENEFICIARY group will be, who will be RESPONSIBLE for ensuring it gets done, and what RESOURCES will be required.

- Repeat this process for each of the selected capacity areas. When you have finished the group will have produced a complete action plan.

- ***Note to Facilitator 1:*** *Remember that capacity building is more than just training! The action plans should not be limited to listing only those trainings that the CBO will be receiving from the Facilitator; rather, the CBO should also include other types of activities in their plan. For example, as a way of achieving a capacity indicator for Leadership, the CBO may decide that it is necessary to hold new elections. These elections should be included in the Action Plan. The CBO should look at all the indicators they have chosen and decide what actions are needed in order to achieve them.*

- ***Note to Facilitator 2:*** *You may also help the CBO to fill in certain activities relating to the follow-up support that you or your organisation can provide. Examples might include a visit to a nearby CBO to learn from its experiences, or mentoring by you or your organisation as the CBO begins to carry out its bookkeeping funcions.*

- ***Note to Facilitator 3:*** *You should be encouraging the CBO to look to other sources of assistance besides you and your organisation. The CBO should be thinking about potential partnerships and external linkages so that, over time, they will be able to carry out their action plans without the need for your support or the support of your organisation.*

Facilitator Reference 5.1: Sample Action Plan

You may use this example to help the CBO in setting up the format for an action plan. You should allow the CBO to come up with activities itself, but you can help the members with the layout and with additional ideas.

Sample Action Plan

Activity	When	Target Beneficiary	Responsible	Resources
Leadership				
Hold new elections	January	CBO	All CBO members	CBO members' time
New leaders receive training	February	Leaders	Leaders with Fac.	Leaders' time
Internal Rules				
Meet to develop internal rules	February	CBO	All CBO members	CBO members' time
Write internal rules	February	CBO	CBO Secretary	CBO members' time, Paper
Bookkeeping				
Bookkeeping training	March	Leaders	Leaders with Fac.	Leaders' time
Prepare end-of-month financial report	April	CBO	Leaders	Leaders' time, Forms, Calculator
Financial report reviewed by Facilitator	April	Leaders	Leaders with Fac.	CBO members' time
Go to bank for information on opening bank account	April	CBO	Treasurer	Treasurer's time
Collect documentation to open bank account	May	CBO	All CBO members	CBO members' time, fees

Facilitator's Manual for Organisational Self-Assessment

This manual provides facilitators with instructions for guiding CBOs through a complete Organisational Self Assessment (OSA) as a means of launching the capacity building process. The intent of the OSA is not to *evaluate* or *judge* the CBO against a pre-defined set of organisational standards, but rather is meant to serve as a learning opportunity that will enable the CBO to take charge of its own capacity building journey, based on its own unique strengths and needs. The OSA follows an "Appreciative Inquiry" approach in which the CBO will first identify existing strengths and then use these as a foundation for articulating realistic future goals, building off of past successes. Together with the facilitator, the CBO will come up with indicators to track desired future achievements, and will draft an action plan detailing the steps to be taken to reach these goals. The action plan will outline the CBO's training needs and this will guide the facilitator in selecting the training modules (Part II) to be carried out. The OSA process is meant to be an iterative one, with the CBO members coming together periodically to revisit the indicators and action plan, to assess progress, and to set new goals.

World Vision®

*Part II: Facilitator's Manual for **OCB** Training*

ORGANISATIONAL
CAPACITY
BUILDING

A Mentoring Approach to Capacity Building

World Vision is a Christian relief, development and advocacy organisation dedicated to working with children, families and communities to overcome poverty and injustice.

As followers of Jesus, World Vision is dedicated to working with the world's most vulnerable people. World Vision serves all people regardless of religion, race, ethnicity or gender.

author: Michele Gaudrault

A Mentoring Approach to Capacity Building

Contents:

Part 1: A Comprehensive Model for Capacity Building

Overview: The 3 Components of Effective Capacity Building:

1.   Mentoring
2.   Training
3.   Limited financial support

Introduction: Capacity Building is more than Training!!

This manual provides you, the Facilitator, with the needed materials to carry out trainings in more than 20 capacity areas. You will have hopefully received a training, yourself, that will help you to know how to carry out many of these trainings with the CBOs you are working with, and it is expected that the capacity and strength of these CBOs will grow as you do so.

Nevertheless, it is important to understand that **training** is only **one part** of capacity building and may not, in fact, even be the most important part!

Consider the following statements:

- Trainings should only be given if they meet an immediate need.
- Trainings carried out in isolation often result in limited impact.
- The learnings from trainings should be put into practice as soon as possible or they are likely to be forgotten
- CBOs need support and assistance as they begin to put learnings into practice.
- That which happens after the training is often more important than the training itself!

These sentences imply that there is **more** to helping to build the capacity of the CBOs you are working with than just carrying out trainings. While trainings are an important and indeed necessary part of capacity building, you will need to enter into a **new kind of relationship** with the CBO if you are to support them along their path to increased capacity. In this manual we will refer to this relationship as one of **mentoring**.

As part of the mentoring relationship you will assist the CBO in various ways. You will certainly carry out trainings with the CBO when it is appropriate to do so, but you will also assist the group **before** and **after** trainings, and you may also assist them in additional ways that may be altogether unrelated to training, based on the most important needs of the group, as you and the group work together and begin to understand and define these needs.

A Model for Capacity Building

The following table summarises the various elements of a comprehensive capacity building model:

1. Mentoring
a. Relationship-building
b. Informal, ongoing organisational self-assessment; identifying useful trainings / other inputs
c. Support and assistance as learnings are put into practice
2. Training
a. Formal organisational self-assessment (OSA)
b. Selected trainings based on results of OSA
3. Financial Support
a. "Sheltered finance" for capacity building

1. Mentoring

Mentoring is an **approach** and a **process**. Some of the components of this process include:

a. Building an ongoing **relationship** with the CBO.
b. Assisting the CBO to identify those **trainings** and other **inputs** that will be most useful to them at various stages of their development, through **informal** and **ongoing** organisational self-assessment, using various questioning and probing techniques
c. Supporting the CBO *in situ* as they begin to put new learnings into practice in their day to day work.

This first section of the manual will introduce you to the mentoring approach.

2. Training

The remaining sections of the manual provide you with complete instructions for carrying out:

a. Formal organisational self-assessment (OSA)
b. Trainings in more than 20 capacity areas, selected based on the results of the self-assessment

*As noted, the OSA and these trainings comprise only **one part** of an overall, comprehensive capacity building model. They must be supplemented with (1) the mentoring approach outlined herein and, ideally (3) limited forms of financial support.*

3. Financial Support

If your organisation is able to provide limited financial assistance to the CBO in the form of small grants that you as a mentor support them to manage, this will provide the CBO with an excellent opportunity to gain experience in financial management. This in itself is a capacity building milestone and should form part of a good, comprehensive, capacity building strategy.

Part 2:	Principles of Mentoring

Why Mentoring?

You will establish a mentoring relationship with the group primarily because your *ongoing assistance and support* will result in a more successful capacity building outcome than if you were engaged *only* in providing trainings and nothing more. That is to say, your mentoring assistance before, after and in addition to trainings is meant to lead to **more effective CBO learning outcomes**. This is why the **Principles of Mentoring** are very similar to many of the main **Principles of Learning**, which you as a facilitator may already be familiar with.

Principles of Mentoring: (related to Principles of Learning) [1]

1. The Vision of the CBO must belong to the CBO, not to the Mentor

- This principle is related to the idea of **ownership**. While you as a facilitator, and World Vision (or the organisation you work for), will have been instrumental in mobilising and providing assistance to the CBO, this does not mean that you *own* the CBO or that you should be telling them what to do. When the day comes for you and your organisation to withdraw from the scene, the CBO must be able to stand on its own feet. For this reason it is important that, from the very beginning of the CBO's existence, the group feels a powerful reason for working together and is motivated by a Vision that is their own, not yours. This principle has implications for the way that you will relate to the CBO.

2. People are motivated by their own search for solutions

- It is much more motivating for CBO members (or students, in the classroom setting) to come up with solutions to their own issues themselves, than to have solutions given to them by somebody else (i.e., by you the facilitator, or by a teacher). The role of a mentor is **not** to come to the CBO with "all the answers". Not only is this far less motivating to the group but it is also possible that the "answers" or "solutions" that you think you have may in fact not be the right ones for the group!

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[1] Adapted from *Mentoring Leaders of HIV/AIDS Community-Based Organisations: Reflecting on The Barnabas Trust's approach in South Africa;* Symes, Camilla, February 2006.

"It is far more effective to get a group fully involved discussing (even arguing about) a problem first, than it is to come with a ready-made analysis and solution. The group's responses to ready-made solutions are usually polite, quiet, uninterested or intimidated." [2]

- **Role of the Mentor:** The role of the mentor, then, is to work together with the group, presenting the group with key problems and issues and assisting the group to come up with **their own solutions**. (Some tools for doing this are presented later in this section.)

3. Action Learning:
Motivation increases as people achieve goals: people need to see that their ideas work.

- It is one thing to help a group come up with solutions to their problems or issues; it is something else for the group to actually *follow through* with the ideas they have generated. Too often, momentum breaks down somewhere between *planning* and *action*, such that good ideas are never actually put into practice. It is important for the CBO to experience *successes* – to see that they are capable taking a good idea and seeing it through to completion. One of the roles of the mentor is to help the group get into the habit of following through with a "learning cycle" called **Action Learning**. Such a cycle moves from ideas and **planning**, through to **action**, to follow up **reflection and learning** from the results of the action. This reflection and learning, in turn, should lead the group to new ideas, which will start the cycle all over again.
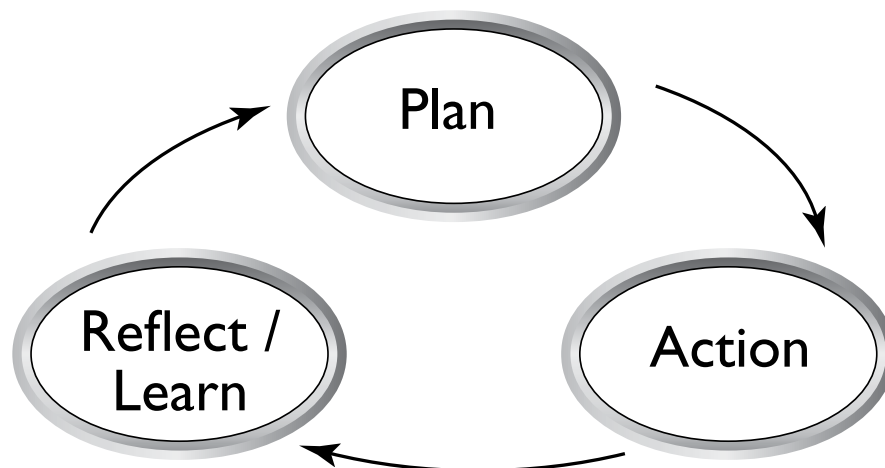
- **Role of the Mentor:** The mentor should be paying attention to whether or not the group is putting its ideas into practice. You will want to make sure that the group **experiences some of its own successes**, but this will not happen if there are problems with follow through. You should introduce the group to the idea of the learning cycle, and assist the group to get into the habit of working through these cycles.

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[2] Ibid.

4. People learn from mistakes and conflict

- It is normal to find in any learning cycle that the good ideas that we think we have do not always turn out, in fact, to be as successful as we expect. Rather than being viewed as "mistakes" or "failures", however, these occasions provide important new learning opportunities, as the group is forced to reassess the situation in order to understand what went wrong. You as a mentor should avoid jumping in to "correct all the errors", before the group has had a chance to discover them themselves. People usually remember very clearly the lesson learned from a mistake that they have corrected themselves. "Mistakes" are a normal part of the learning process and you, the mentor, should give the group the time and space that they need to learn from their mistakes.

- **Role of the Mentor:** Do not jump in to correct all mistakes before the group has had a chance to discover them themselves! Help the group to understand that mistakes are a normal part of the learning process, and that they should not feel discouraged by them.

5. Discussion is a critical element of capacity building

- The best learning will take place if the group is able to listen to and consider as wide a range of ideas as possible. The combined effort of many people is usually better and richer than the effort of one individual working alone. You as mentor will want to encourage as much participation as possible among the members of the group. You will want to avoid imposing your opinions on the group – at least until they have had a chance to discuss their own ideas – mainly because it is *the group itself* that knows its own situation best. The more the group discusses and reflects upon its own situation, through open communication, posing of questions, and analysis, the better the ultimate quality of their work will be.

- **Role of the Mentor:** You will want to make sure that the group is frequently coming together to discuss its work, and that all group members are free to participate openly in these discussions. Later in this section you will learn some tools that will help you to stimulate these discussions.

Part 3:   The Mentor-CBO Relationship

So what is the nature of the Mentor-CBO Relationship? There are three possibilities – we will examine each possibility in turn.

Scenario 1:

The Mentor is the "Expert" and provides answers to the CBO
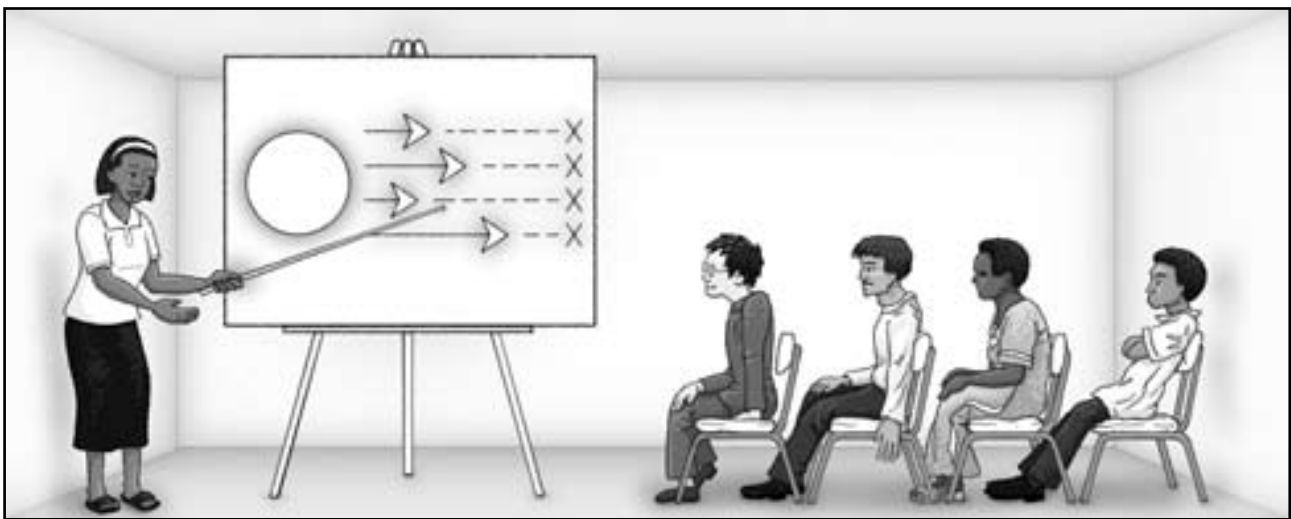
If you have read carefully the "Principles of Mentoring" you will probably understand right away that this is not the type of relationship you will want to establish with the CBO. Remember, the CBO will be *most motivated* if they feel they "own" the Vision and the direction that they are taking, they will be *most motivated* if they are able to search for and come up with their own solutions; and it is more likely that the solutions they come up with will be better suited to their local realities, as it is *they* who know their own situation best. If you come in with all the answers you will be sapping the group's motivation and robbing them of the opportunity to gain confidence in their ability to figure things out on their own.

Most of the **development**, **education**, and **mentoring** literature today rejects this type of "top down" approach whereby the mentor (or facilitator, or teacher) provides all the answers. While these "traditional" approaches may have been fashionable 30 years ago, they are no longer considered today to be the most effective way to bring about good learning.

You as a mentor should reject Scenario 1!

Scenario 2:

The Mentor should "stand back" and let the CBO do everything
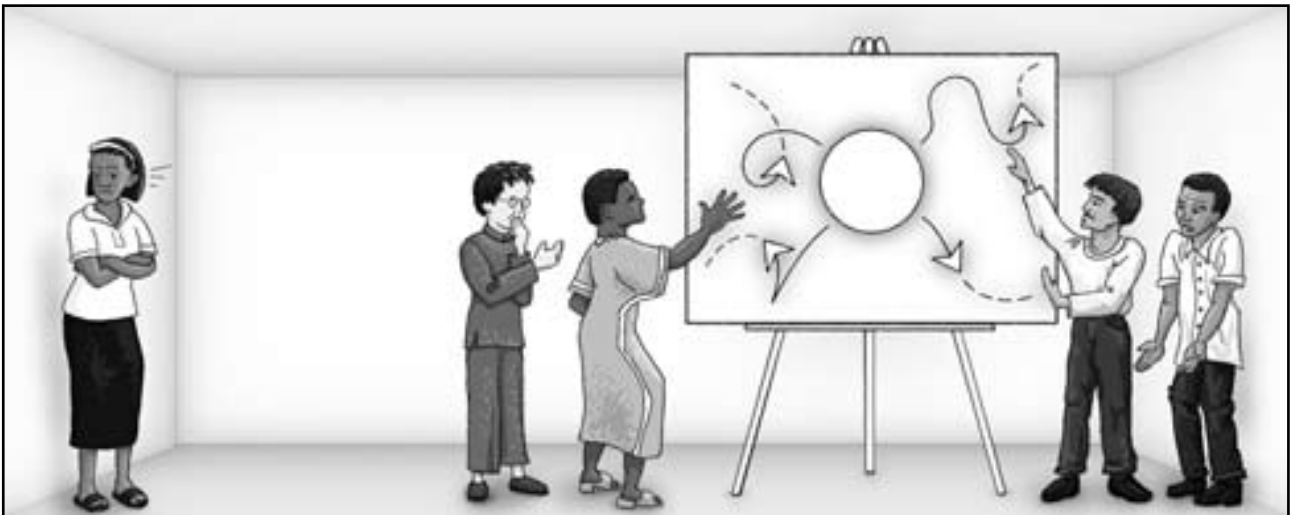
Scenario # 2 represents the "pure" bottom-up approach whereby the mentor is only available to assist the CBO with *whatever it is the group decides to do*. In this scenario the mentor **avoids giving any opinions or input of his/her own**, in order to make absolutely sure that he/she is not influencing the decisions of the group.

Many development and education professionals believe that in order to be truly "participatory" or "student-centered" in their approaches, it is necessary to move all the way over to this opposite extreme. Instead of being 100% "top-down" as in traditional approaches, some professionals have wanted to move to the opposite extreme such that approaches are now 100% "bottom-up".

If you give a little thought to this possibility, however, you will probably find that this scenario, too, is not the ideal way to work. The main problem in this scenario is that, if you as a mentor do not provide *any input at all*, then the CBO is limited only to **doing more of what it already knows**. There may be many important things that you as a mentor or facilitator can offer as ideas to help the CBO, but if you do not share any of these ideas, these new possibilities will remain **unknown** to the CBO. This is in fact a disadvantage, because you are not providing the CBO with the possibility to learn something **new** from you. In the bottom up approach the CBO will remain limited to that which it already knows. If you agree with this argument then you will conclude that:

You as a mentor should also reject Scenario 2!

Scenario 3:

The Mentor and the CBO dialogue and work together in mutual search for solutions
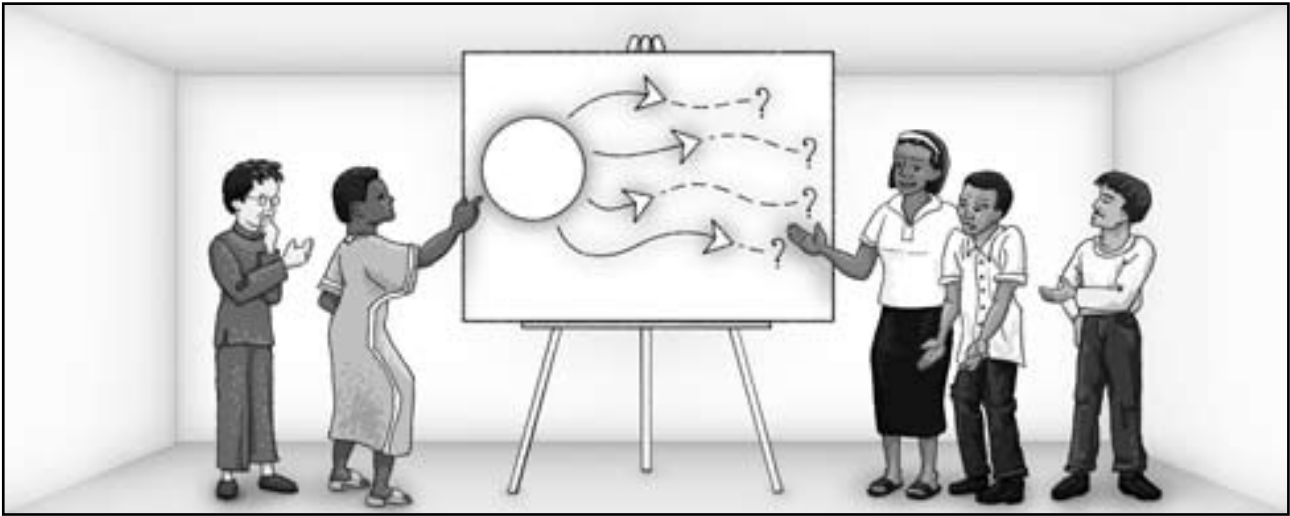
In this Scenario, the mentor:

- Does not suppose that he/she **has all the answers** for the CBO (as in Scenario 1)
- But also does not suppose that he/she has **nothing at all to offer** the CBO (as in Scenario 2)

Instead, the mentor is **interested in listening to the CBO** in order to understand the group's perspectives and elicit their ideas, but is **also** prepared to **offer ideas and input** *for the group's consideration* in accordance with the group's most important needs.

This is different from *imposing* ideas and input. The mentor will **offer**, but *not impose* his/her ideas and input.

The ideal Mentor-CBO relationship should be one where both parties are involved in mutual exploration of ideas and solutions, working together, sharing ideas and engaging in two-way dialogue.

You as a Mentor will want to aspire to "Scenario 3-type relationships" with the CBOs you are working with!

The Roles of the Mentor in Scenario 3:

1. The Mentor must **listen** to the CBO members! You will need to develop effective listening skills in order to be a good Mentor!

2. One of the purposes of listening is to establish a **relationship of trust** with the CBO. The CBO members will be more likely to trust that you are genuinely committed to their growth if you listen in a respectful way to their ideas and opinion.

3. A second purpose of listening is to help the Mentor **understand the current situation** of the CBO. Since you want to provide input to the CBO *based on the CBO's needs*, it is therefore important that you take the time to listen and discover what those needs are. Do not suppose that you can understand the CBO without talking and listening to them!

4. As the Mentor listens and begins to understand the CBO's situation, issues, and needs, the Mentor should provide careful **feedback** to the CBO. (Some tools will be introduced later in this section to help you to do this.)

5. Finally, as the Mentor listens and begins to understand the CBO's situation, issues and needs, the Mentor can then decide what forms of **information** and **input** will be most timely and useful to the group. Some of the types of information and input that Mentors will choose to provide to CBOs may include:

   a. Trainings (based on need, not "in isolation"!)
   b. Moral or emotional support
   c. Links with external stakeholders
   d. Limited forms of financial support
   e. Other! You will discover yourself as you begin to work as a mentor!

Part 4:   Knowing When and How to Provide Input

1. Formal Organisational Self-Assessment (OSA)

OSA = Periodic, one-off exercises!

As explained, the remaining sections of this manual provide you, the facilitator, with complete instructions to carry out an Organisational Self-Assessment and Trainings in more than 20 capacity areas based on the results of the OSA.

The OSA process is a **formal** and **structured** way of helping you and the CBO to identify:

• Areas in which the CBO is already performing well
• A "Vision" for an ideal future when the CBO is performing exactly as it wants to be
• Additional capacity areas in which the CBO can grow in order to achieve its Vision

By following the OSA process:

1. **The CBO** will be able to identify **actions** that it can take to build its own capacity
2. **You**, **the Facilitator**, will be able to identify the **trainings** that you should provide to further help to build the CBO's capacity

As such, the OSA process provides you of **one way of knowing** when and how to provide specific input in the form of **training**.

Which Trainings?

OSA Process

Menu of Trainings

Vision / Mission
Goal / Objectives
Action Planning
Organisational Structure
Meetings
Internal Rules
Leadership
Group Dynamics
Monitoring
Reporting
Budgeting
Bookkeeping
Banking
Local Resource Mobilisation
Proposal Writing
External Linkages
Advocacy
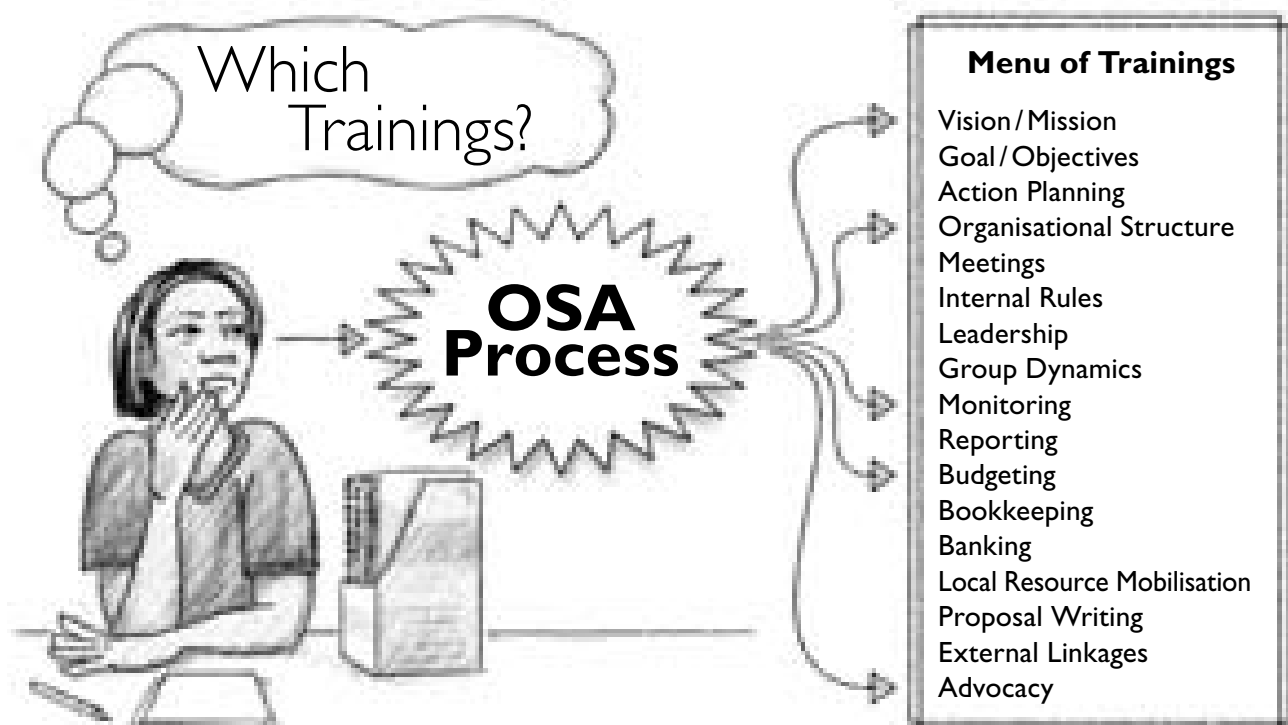
2. Informal, Mutual, Organisational Assessment

Informal Organisational Assessment = Ongoing!

While the OSA process is an excellent formal and structured way for you and the CBO to identify timely inputs for further capacity building, the OSA is not something you will do more than once or, at most, twice per year. The OSA will require advance preparation and a time commitment of at least three days to carry out. As such, although these will be important learning experiences for you and the CBO, you will need to supplement the OSA with other forms of informal assessment that can be carried out on a **regular, ongoing basis**.

A good Mentor will be constantly involved in informal assessment/ diagnosis of the CBO, together with the CBO, as a matter of regular, day-to-day practice!

Many people refer to this idea as "taking the temperature of the CBO" or, "keeping a finger on the pulse of the CBO". The purpose of staying updated on the CBO's situation in this way is so that both you and the CBO can know when further **action** or **input** would be useful to the group.

The Zone of Proximal Development

The "Zone of Proximal Development" is a useful concept to understand and keep in mind when "taking the temperature of the group". To understand this concept you may think of the metaphor of a journey, or the road that the CBO is traveling. As a Mentor, you want to be able to understand *where the CBO is on the journey now, and what the next stretch of the road will be.*

The stretch of road that is to be traveled next is the Zone of Proximal Development. The Zone of Proximal Development is ***the next thing*** – the one best thing that the group will find most useful and important to its **growth** *at that point in time*.

A	B	C	D	E
"Journey Traveled"	Zone of Proximal Development (the next, best thing)	(Journey still to travel, but later)		
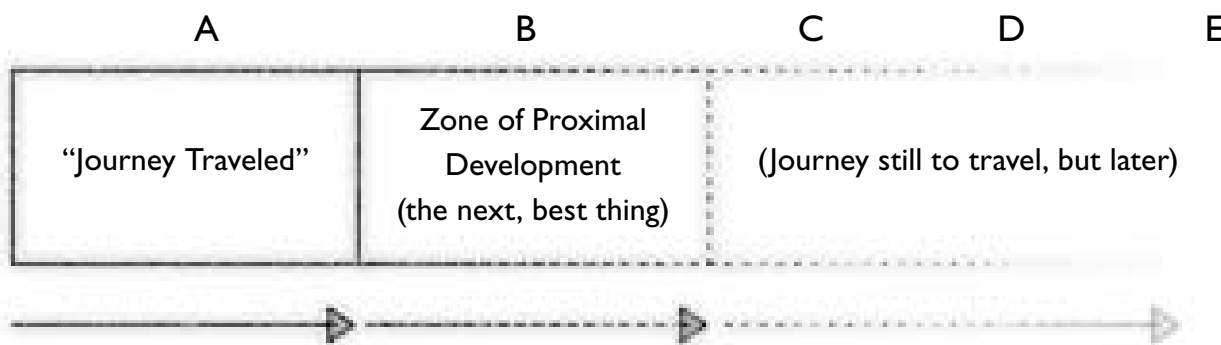
If a Mentor is **not** attentive to the situation of his/her group and does **not** know where along the journey the group is, the following outcomes may result:

- The Mentor may provide information or training that, from the group's perspective, is at point "A" on their journey; that is to say, information/ training that they *do not need*, as the content or skill set is something that they *already know* **or** *have already mastered* (journey already traveled).

- The Mentor may provide information or training that, from the group's perspective, is at point "C" or point "D" on their journey. The input in this case would be too advanced for the group. If the training (or other input) is provided "in isolation" in this way (isolated from what the group's actual needs and actual level are), then it is very likely that the group will not be successful in retaining the learnings for very long once the training is finished.

It is very important, then, that the Mentor does not just "assume to know" what the group needs, or to provide input without any reference to where the group is in its development at a particular point in time.

Instead, a good Mentor will be able to help the group to identify its "Zone of Proximal Development", or the "next, best thing" for its growth, and to provide any needed input in accordance with that!

This is a very special skill to have! It takes listening skills, awareness, paying attention, dialogue, and some degree of "intuition" or "art" to be able to identify the best ways to intervene at any particular point in time!

The more time you are able to spend with the group, the easier it will become for you to understand its situations, issues and most immediate concerns. This is all linked to the idea of developing an ongoing relationship of trust with the group.

You should feel excited and proud as you begin to develop this skill of identifying, together with the group, its "Zone of Proximal Development", and to intervene with information, training, or other forms of input based on that! This will make you an excellent mentor!

The next section will introduce some tools that you can use to help you and the group (together, always!) to recognise and identify the most important issues that the group is facing, and the best ways to move forward with interventions.

Part 5:   Tools for Mentoring 1: "Before": Understanding the Current Situation

There are a number of different techniques that you can use as a mentor to help you and the group understand the group's current situation. The main purpose of these techniques is to enable you to gain a deeper and more finely-tuned understanding, sense, and feeling for the group's current stage of development so that you and the group will, in turn, be better able to identify its "Zone of Proximal Development" and, in turn, to know what forms of action and assistance will be most timely and appropriate.

1.   The Timeline

If you are **beginning** your relationship with the group, it may be useful for you to ask the group to draw a timeline that shows the history of the CBO. They should write or draw the most important events that have happened in the life of the CBO, and explain these highlights to you. The purpose of this activity is not so much the visual output of the timeline itself but rather *the conversation that you have with the group as they are explaining the timeline to you*. If you are paying attention and thinking about the "Zone of Proximal Development", you may be able to identify some useful ways of assisting the group.

Example: As the group talks about its history you learn that they have had many episodes where members have quit because of problems with the leaders and internal group conflicts. They explain that the situation seems stable at the moment, but they are afraid that the same types of problems might occur again in the future.

   Possible Mentor Responses:

- Meet separately with leaders and other members to understand their different points of view regarding the problems the group has had
- Carry out a training using your module on **Leadership**, and spend time with the leaders after the training as they begin to apply the learnings
- Have follow up meetings with the members to see if they think the situation has improved
- Continue to follow the situation with the group and seek out ideas and solutions together

2.   The "Mood-o-meter"

Before you begin each meeting with the CBO you can ask the group members to fill out a "mood-o-meter", similar to the "Smiley Game" that is frequently used in trainings and other types of participatory activities. Ask each member to rate the extent to which they think things are going well in the CBO, putting a mark in the box that best represents their "mood" about the organisation.

	1 Very bad	2 Bad	3 Ok	4 Good	5 Very Good
How are things going in our organisation right now?		√ √ √ √	√ √ √ √ √ √ √ √ √ √	√ √ √	√

Probe with the group to understand the reasons why they gave the rankings that they did. Listen carefully to their answers and discuss with the group what they think the most important issues that the group is facing are. Use these issues as the starting point for identifying the types of action, assistance, support, information, trainings or other input that would be most useful to the group in addressing the identified issues.

Example: The group members who gave a score of "bad" explain that the community has begun to complain that the CBO never provides any material support to the children they visit. They say that the community attitude is negatively affecting the morale of the group.

Possible Mentor Responses:

• Ask the group to brainstorm what they think can be done about the situation
• Help the group to develop an action plan to carry out some of their ideas
• Accompany the group to the first community meeting they hold, assisting where needed
• Call another meeting with the group in one month's time to reflect on the results of their action plan
• Help the group to come up with new ideas and new action plans as needed

NB: You will notice that in this example you are helping the group to go through a **learning cycle** of ideas-planning-action-reflection! This is an excellent role for a mentor to play!

3.   Storytelling

Storytelling can often be a very powerful way of gaining a rich and deep understanding of that which is going on in the group and in the group's work. You may choose to begin your meetings with the CBO by asking the members to share stories about the most interesting or most important things that have happened since the last meeting. This will often give you and the group good insight into the most urgent priorities of the moment, in a fuller and more complete way than other more structured or quantitative assessment methods could achieve.

Example: You notice during your June meeting with the CBO that the members seem more enthusiastic about their work. When you ask them to share some stories they talk about how they are really starting to feel, now, that they understand what they are doing and have gained a certain mastery and competence in the tasks they are carrying out. (Remember, mentoring is not only about dealing with problems or difficulties! The mentor will also join the group in celebrating its successes!) Your main impression when listening to the stories is that the group has grown in self-confidence. When you ask them what they think should "come next", they reply that they think they are ready to do some fund raising as a way of expanding the work that they now believe they are capable of doing.

Possible Mentor Responses:

• Carry out a training with the group using the **Local Resource Mobilisation** module

• Assist the group as they try to identify members of the community to approach for fund raising

• Help the group to write information sheets for the community members that they will be approaching

4.   Other

There are a number of other ways that you can be keeping yourself up to date on the group's current situation and providing support and assistance on an ongoing basis. Some ideas include:

- Use any **reports** that the group writes as an important source of information and point of departure for further learning and exploring of issues.

- Use **internal conflict** as a learning opportunity. *"Frequently, issues that need to be dealt with only come to light when there is a conflict or a crisis".*[3] It may be useful to use the "GROW" approach described in the next session to help the group think through ways of overcoming their conflicts.

- **What animal:** Ask the group the question: *If the CBO were an animal, what animal would it be?* Have them explain their answer. This may give you some surprising insights into aspects of the group's development that you (and the group!) might not have otherwise realised.

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[3] Symes, Camilla, *Mentoring Leaders of HIV/AIDS Community-Based Organisations: Reflecting on The Barnabas Trust's approach in South Africa*, February 2006.

Part 6:	**Tools for Mentoring 2: "During": Helping the CBO to Find Solutions**

Much of what makes a good Mentor is an ability to ask the right Questions!

The "GROW" Method[4]

One of the most popular tools used by mentors goes by the name of "GROW". Grow is an acronym that stands for:

G **Goal**

R **Reality**

O **Options**

W **Will**

This is a simple yet powerful framework to guide mentoring sessions with the CBO. You as a mentor will ask a series of questions related to the CBO's Goal, their Reality, their Options and their Will. This is demonstrated in the box on page 27.

Examples of when the "GROW" method can be used:

1. **General:** When talking about the CBO's Goals and plans *in general*. (The CBO's overall purpose)
2. **Specific:** When talking about the CBO's goals *with reference to a particular situation or issue they are facing*.
   * For example, maybe the CBO wants to improve its **Group Dynamics**, and to try to minimise internal conflict. You may go through the "GROW" process with the CBO to help them to achieve this more specific goal.

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[4] *Coaching and Mentoring for Leadership Development in Civil Society*; Deans, Fran and Lousie Oakley with Rick James and Rebecca Wrigley, INTRAC, Praxis Paper No. 14, January 2006.

- Perhaps the CBO is about to receive a **Small Grant** from your organisation and wants to get through the 4-month grant period with no difficulties and no financial irregularities. You will be helping them to set up a system of financial controls (perhaps using the modules on **Budgets** and **Bookkeeping**) in preparation for this, but you may also want to go through the "GROW" exercise to help the group think through the ways in which they want to meet their goal during the 4 months.

- Or perhaps the volunteer home visitors are beginning to suffer **emotional distress** as a result of the work they are doing. This is an issue that the group decides that it wants to try to come to terms with and to make better. You do not have a training module that addresses this, but you could go through the "GROW" process with the group as a way of coming up with some ideas and plans together.

Note: The sequence that the GROW method follows is very similar to the sequence that you will use when carrying out the Organisational Self-Assessment (OSA) process. The OSA takes a group through a process of identifying the steps needed to move from *where they are now* to *where they want to go* and, as such, is not so very different from what you will be doing when you ask GROW questions. The difference is that you can carry out the GROW exercise at any time, without the need for advance preparation or the three-day time commitment that the OSA process requires!

The "GROW" Method of Mentoring

G **– Goal.** You should help the group to formulate a goal related to the issue they are addressing that is as specific and measurable as possible. In this way it is easier to know if the goal is achieved or not. You may ask the following questions:

- What is the goal that the CBO is trying to achieve? (This can be a general, overall goal, or a more specific goal related to an immediate situation)
- How will you know that you have achieved this goal?
- What are the expectations of others?
- Who else needs to know about the plan? How will you inform them?

R **– Reality.** As well as knowing where they are trying to get to (the goal), the CBO also needs to know where it is starting from: the current reality. It is surprising how often this is a key part of a mentoring session. Simply by seeing the situation clearly (rather than what the situation was thought or imagined to be), the resolution may become obvious and straightforward.

- What has really been stopping you from reaching your goal?
- Do you know anyone (or any organisation) who has achieved this goal?
- What can you learn from them?

O **– Options:** Once the group knows where it is and where it wants to go, the next step is to explore the options that the group has for getting there.

- What could you do as a first step?
- What else could you do?
- Who could support you as you try to do these things?
- What would happen if you did nothing?

W **– Will:** But this understanding in itself is not enough. The group must also have the motivation, or will, to carry through with its ideas. The desired outcome from this stage is a commitment to action. The following questions can guide this:

- Where does this goal fit within the priorities of the group at the moment?
- What obstacles does the group expect to meet as it tries to achieve the goal? How will the group overcome these obstacles?
- How committed is the group to this goal?

Part 7:	Tools for Mentoring 3: "After": Following up after Trainings

Introduction

Up to this point you have been focusing on the following mentoring roles:

- **"Before":** Understanding the current situation and identifying the group's "Zone of Proximal Development" in order to provide inputs (advice, trainings, information, etc.) in ways that will be most useful and appropriate to the current stage of growth of the group. (Part 5)

- **"During":** Remaining attentive to that which is going on in the group and using mentoring skills to help the group work through problems and issues as they arise. (Part 6)

In this Part 7 we will focus on:

- **"After":** A good mentor will always provide follow-up support after any trainings or other types of "input". Remember the statements from Part 1:

  - The learnings from trainings should be put into practice as soon as possible or they are likely to be forgotten
  - CBOs need support and assistance as they begin to put learnings into practice.
  - That which happens after the training is often more important than the training itself

This Part 7 provides suggestions on the types of follow up support that will be important for the group to receive from you after the trainings in the modules that fall under the seven different capacity areas, found in the remaining sections of this manual.

NB: These suggestions are also provided at the back of each capacity area so that you, the Facilitator, will not need to refer to various booklets when you complete the trainings. They are given here as well in order to provide a complete description of your various roles as a mentor.

Mentoring: Capacity Area 1: Organisational Purpose and Planning

Module 1:   Organisational Vision and Mission
Module 2:   Organisational Goal and Objectives
Module 3:   Action Planning

Follow Up (after trainings)

1. Use the **"GROW"** method to consolidate the Vision with the CBO. Once the CBO has come up with its Vision Statement you may use the probing questions contained in the GROW method to help the group think through the ways in which they will work towards their Vision in light of the current reality, in light of obstacles that they may face and in line with the levels of commitment that they display.

2. After you have completed the training in **Action Plans** (Module 3) continue to provide support to the group as they begin to create their action plans on a regular basis (monthly or quarterly). You will want to try to be present during the first 2 or 3 planning sessions to provide guidance as the group starts to put the learnings into practice.

3. Assist the group to get into the habit of thinking in terms of a **Learning Cycle**. The group should always review the extent to which they were successful in carrying out their plans during the past month, to reflect on their experiences, and to make adjustments to new plans in light of what happened during the previous cycle. (Plan-Action-Reflection/Learning-Plan, etc.)

4. Use the following **Guiding Questions** to assist the group as they move through the Learning Cycle.

   Action: For each planned activity, describe the actual events during the month. What significant things happened? Who was involved, what did they do?

   Reflection: Why did these things happen, what caused them? What helped, what made the situation worse? What did we expect to happen differently? What assumptions did we make? Did some of these assumptions turn out to be false? Were any of our assumptions correct?

   Learning: What could we have done differently? What did we learn from the experience? What new questions have emerged?

   Planning: What does this mean for practice? What do we want to do now? How? What should we do differently? What steps should we use to build these new insights into our practice? How will our next monthly plan change, if at all?

Mentoring: Capacity Area 2: Organisational Structure and Procedures

Module 5: Structure, Roles and Responsibilities
Module 6: Internal Rules
Module 7: Meetings

Follow Up (after trainings)

1. After you have completed the training in organisational structure (Module 5), **spend some time with the leaders** to make sure that they fully understand their roles and responsibilities. Meet with leaders individually to give them a chance to ask questions and seek your assistance with anything they do not feel completely confident about.

2. Likewise, **spend time with the other members** as they begin to carry out their responsibilities. In particular, you should try to find time to accompany Home Visitors on some of the visits they make to OVC and / or the chronically ill, clarifying any doubts they may have and strengthening their technical ability to carry out their functions.

3. After you have carried out the training in Module 6, **assist the group to draft its internal rules**. The decisions as to what the rules will be should certainly be left up to the group, but, if you can, try to be present to assist with any clarifications the group may need.

4. After carrying out training in Module 7, work with the Secretary as he / she begins to try to write **minutes** of the groups meetings. You may need to **assist the Secretary** for the first three or four months as he / she gains experience in this task, until he / she feels confident that he / she can write minutes on his / her own.

5. **Encourage the group to use its meetings as opportunities to reflect** on its work. Everything else that the group does during the month is *action*, so the monthly meetings provide the CBO with an important opportunity to come together and reflect on the results of what they are doing. You may want to **sit in on the first three or four meetings** that the group has in order to try to stimulate this reflection.

6. Encourage the group to also use its meetings for **storytelling**. As Module 7 points out, storytelling is often an excellent way to gain a richer and deeper understanding of what is actually happening in the group and in the community. You may use the following probing questions to stimulate the storytelling.

    •   Can you tell a (true) story that illustrates the **positive impact** that your work is having?

- Can you tell a story that illustrates an **unexpected result** of your work? Did something happen this month that you did not know was going to happen? Why do you think it happened? What should the CBO do as a result of this?

- Can you tell a story that shows the **change** that has happened over time as a result of your work? What was the situation like in the beginning? How did the people in your story relate to each other? How is the situation now? What has changed and why do you think it changed?

- Can you tell a story about the way that you feel that **you have changed** as a result of your work? What has happened? Why do you think you have changed?

- Can you tell a story about one of the special **children** that you visit? We know that all children are special, but what makes this child particularly important to you?

- Can you tell a story about one of the special **chronically ill** that you visit? What makes this person particularly important to you?

Mentoring: Capacity Area 3:
Group Dynamics

Module 11: Leadership
Module 12: Team Building

NB: Issues of leadership and group dynamics are often some of the most important issues that will "make or break" a group. There are times when the assistance of a neutral outsider can play a valuable role in helping groups to work through some of the conflicts they may be having in these areas. Many of the suggestions given here are reinforcements of the ideas and activities presented in Modules 11 and 12. As always, remain attentive to what is going on in the group so that you can try to assist in ways that are most relevant to the specific situations that the group is facing.

Follow Up (after trainings): Leadership

You may repeat the **probing questions** you used in Module 11 with leaders and other group members whenever you feel that these issues need to be revisited:

Questions for Leaders:

• What do you like about being a leader? What is easy about being a leader?

• What do you dislike about being a leader? What is difficult about being a leader?

• What are some of the main roles of a leader, in your opinion?

• When you are in a situation when you are *not* the leader, how do you feel being supervised by somebody else? Are there types of supervisory styles that you prefer and other types of styles that you don't like as much? Describe these different experiences.

• What do you think the members of the CBO expect of you? What do you think the members want of you? Do you think that you meet these expectations and desires? Why or why not?

• Is there a leader who you particularly respect? (i.e. a church leader, a community leader, a government leader, etc.). What do you respect about this person's style of leadership? What makes him/her such a good leader?

• Do you feel that you are participatory in your leadership style?

• Are there constraints in your group or your community that make it difficult for you to be a participatory leader? Are there ways to overcome these constraints?

• Is there anything about your leadership style that you would like to change or to learn more about?

Questions for Members:

- What do you think are the easy and the difficult aspects of your leaders' roles?

- What are your expectations of your leaders? What do you want from your leaders? Do you feel that your expectations and desires are being met by your leaders? If so, describe the ways that the leaders are meeting your expectations

- If not, what difficulties do you think the leaders have in meeting your expectations? How can the situation be improved?

- Do you think there are reasons why it might be difficult for your leaders to become fully participatory in their style? If so, how can these difficulties be overcome?

Follow Up (after trainings): Conflict Resolution

If the group is experiencing a conflict, help the group to go through the steps given in Module 12 for **conflict resolution**, as follows:

1. Identify the problem / conflict. Do not pretend that the problem / conflict does not exist.

2. Decide if the problem should be discussed with only select members, or if the whole group should be involved.

3. Decide if outside mediation will be necessary. If so, identify a mediator. This could be your Facilitator, or a respected community member.

4. Call a meeting. The following rules should apply during the meeting:
   - Everyone present must "leave their anger at the door" and approach the conflict resolution calmly.
   - Do not forget that it is necessary to respect the different personality types of those present at the meeting.
   - Allow each person to speak without interruption. Everyone present should listen attentively to what each person says, even if there are differences of opinion.

5. After each person has had a chance to speak, look for the seeds of resolution. To arrive at a resolution of the conflict it will probably be necessary to *negotiate* a solution. Try, during the negotiations, to seek a solution where all present are 'winners', rather than a solution that would result in 'winners and losers'.

6. Once an agreed solution or resolution has been reached, the group **must attempt to** *put the agreement into practice*.

7. Understand that when putting the agreement into practice there may be some backsliding into previous habits or behaviors. The group should not consider this as failure. Keep trying, and keep moving forward!

Mentoring: Capacity Area 4: Monitoring and Reporting

Module 15:   Monitoring

Module 16:   Reporting and Record Keeping

Follow Up (after trainings)

1. The **monitoring** system that you will be introducing in Module 15 will require a good deal of follow up. This is an excellent example of a case when *training by itself is only a first step!* The group will gain most of its learning and experience in monitoring *only after the training*, when they begin to try to put their own monitoring system into place. You may need to be present to **help the group fill out its forms** for the first 3-6 months following the training. Provide the members, supervisors and group leaders with all the follow up support needed until you are confident that they can fill out their respective forms correctly.

2. Provide follow up support to the group for the first 3-6 months in order to **help them to compile the data from the forms into monthly statistics**.

3. Provide follow up support to the group for the first 3-6 months so that they can understand how the monthly statistics relate to their **goals and targets**.

4. Provide follow up support to the group for the first 3-6 months so that they begin to use their monitoring information as a **decision-making tool**. In other words, if the group finds differences between their planned targets and what they actually achieved when reviewing their monthly monitoring figures, they should try to analyse and understand what caused the difference. They will then need to make decisions accordingly as to what should be done next.

5. Following the training in Module 16, **assist the group as it begins to try to write its reports**. You will need to work with the Secretary and other leaders to help them learn how to include all the necessary information into their reports.

6. You should also spend some time with the **Secretary to help him or her establish an efficient and organised record keeping system**. It is not enough to have everything written in a notebook in a disorganised fashion. Rather, the CBO needs to have an organised and transparent system of record retrieval if it is to be effective in the long run, when things become more complicated. Module 16 gives you, the Facilitator, some guidance in helping the Secretary to set up his/her record keeping system.

Mentoring: Capacity Area 5:
Financial Management

Module 18: Budgeting
Module 19: Bookkeeping
Module 20: Banking

NB: If you were forced to prioritise the one area in which to provide follow up support to the CBO, there is probably no area more important than financial management! This is the one capacity area where the group will need the most assistance from you, as it is the area that requires the most degree of careful control, with no room for error. It is probably true that more groups have fallen apart due to problems with managing money than for any other reason. Like monitoring, financial management is an example of a case where training *is only the first step*. You should be certain to provide as much follow up assistance as needed as the CBO puts its bookkeeping and banking systems into place.

Follow Up (after trainings)

1. After providing training in **budgeting** (Module 18), provide as much support to the group as necessary as they begin to prepare their own budgets.

2. After providing training in **bookkeeping** (Module 19), you will need to work very closely with the Treasurer and others responsible for the CBO's bookkeeping system. As the CBO begins to receive money and to make payments, **help them to correctly fill out the following forms**:
   - The Cashbook
   - Payment Vouchers
   - Receipts (Cash in / Cash out)
   - Monthly cashbook reconciliation

3. Once the CBO has developed a bookkeeping system, **work with the Secretary to make sure that he / she has a corresponding filing system**. All financial records must be easily retrievable at any time.

4. In your role as mentor you may need to play an active role in **helping the group to open its bank account**. You can **help the group to gather the necessary documentation**, help them to **get photographs taken**, **provide transport where needed**, **accompany them to the bank**, **assist in filling out forms**, and so forth.

5. You should then provide the group with all the assistance they need as they are learning how to **write checks**, **balance their checkbook** and keep their bank statements organised.

6. Finally, the limited **financial assistance** that World Vision (or your organisation) may provide to the CBO, described in Part 8, will also play an important role in building the capacity of the group. You will want to mentor the group closely as they manage this money.

Mentoring: Capacity Area 6:
Resource Writing

Module 22:   Local Resource Mobilisation
Module 23:   Proposal Writing

The two modules are additional examples of when training is only a *first step* and where you will want to be supporting the group in various ways as they begin to raise funds locally and to write proposals to compete for outside sources of funding.

Follow Up (after trainings)

1. Following training in Module 22, you may want to **go out together with the group** as they **approach individuals/organisations** to solicit resources.

2. You can **help to link the CBO to the community radio**, and to **prepare a message** to deliver over the radio to promote the CBO and to solicit support.

3. You can **assist the group in developing a message** to present in churches for resource mobilisation.

4. The group might need assistance to organise and carry out some of the more unfamiliar forms of resource mobilisation, such as holding a **football match**, a **concert** or a **walk**, where the proceeds go to the CBO. You can **help the CBO with the preparations and be present at the event**.

5. Encourage the group to write **'thank you' letters** to their supporters. You may need to **help them the first time they write such a letter**.

6. You will have an important role to play in helping the group to identify outside sources of funding and of **linking the group** to these outside funders. This assistance may be in the form of contact information, transport, or accompanying the group to their first meetings with the potential donor(s).

7. You will certainly want to **assist the CBO in writing proposals** when the group reaches this stage. While you *should not write the proposal for the group*, it is likely that the group will have a lot of questions and will need a lot of your assistance as they undertake this sophisticated activity for the first time. You may need to help the group to go through two or three drafts before they produce a version that is suitable for presentation to the donor. This will be a valuable learning experience for them.

8. If the CBO is successful in raising funds through a competitive process, it will be extremely important that they manage these funds correctly. You should **provide mentoring support to the group as they control and record their money movements**, and as they prepare financial summaries for the donor.

Mentoring: Capacity Area 7:
External Relations

Module 26: Networking
Module 27: Advocacy

Follow Up (after trainings)

1. Although the group may understand the importance of forming networking links following the training in Module 26, they may still require **assistance in approaching potential partners**. You can help the group to link up with external stakeholders.

2. **Advocacy** is one area where it is perfectly appropriate for World Vision (or your organisation) to be working in partnership with the CBO. This does not in any way undermine the CBO's independence or create dependency on you; rather, advocacy efforts are often most successful when broad coalitions of groups come together with a common message and voice. As the CBO begins to identify advocacy issues for action, you should **look for ways that you and your organisation can join in the effort**. (This is known as "advocacy *with* the people", as you will read about in Module 27.)

3. In order for the CBO to be most effective in its advocacy activities, it will need good **information and statistics** to support its case. You will have an important role to play in **helping the CBO to gather this information**. It may be easier for you to access health statistics, for example, than it is for the CBO. You will want to build the group's capacity, over time to know where to look for relevant supporting information and how to gain access to it.

Part 8:   Financial Assistance – "Sheltered Finance"

Introduction

If your organisation has the necessary budget to do so, it is an excellent idea to provide small amounts of financial assistance to qualifying CBOs as a means of enabling them to gain experience in managing money within the "shelter" of your organisation. While you will require the strictest of controls in the use and reporting of this money, the CBO will nevertheless have some "space" to make – and learn from – mistakes as they begin to gain practice in financial management, than if they were raising this money from external sources. You as a mentor will be available to help the CBO every step of the way as they go through the first financial cycle – something an external donor is much less likely to do. After the CBO has gained sufficient experience in managing the small amounts of financial assistance that your organisation provides, it can then move on to the "unsheltered" world of donor funding!

An overview of the main principles of this type of financial assistance is provided here, in recognition of the fact that this is one of the three important components of a comprehensive capacity building model.

Principle # 1: Begin with small amounts

Providing too much money too soon can be very disruptive to a group, forcing them to make significant changes in their programming and their procedures. It can also be a source of temptation for group members who may not have previously had access to such large sums. The group may feel pressure to spend the money quickly and may therefore not be as careful about the financial controls as they need to be.

For these reasons you will want to begin with small amounts that will enable the group to achieve some modest goals without disrupting the core of their programming. In this way the group will gain practice in budgeting, spending the money, and accounting for it. Amounts may increase in subsequent disbursements but the group should gain experience by beginning with small amounts.

You and your organisations should come up with guidelines that will enable you to determine appropriate initial amounts for the countries and contexts you are working in.

Principle # 2: Have a clear and transparent selection process

Your organisation should have detailed information on the procedures you will have to follow to select CBOs qualifying to receive cash grants. You will want to make sure that you follow these procedures closely:

- To ensure that the groups you are working with do not begin to feel that you are favoring some CBOs over others. All CBOs should understand that the selection process is based on clear qualifying criteria.

- To ensure that "phantom CBOs" do not gain access to the cash grants. Sometimes when communities learn that there is money available to be awarded to local organisations, dishonest community members will form a false CBO to obtain this money. If you have strict and transparent selection criteria, however, it will be impossible for a "phantom CBO" to pass through your verification processes.

You will ask the groups to go through a series of steps when applying for funding. Broadly speaking, these steps will involve:

- Preparing a budget showing how the CBO will spend the money
- Drafting a work plan
- Receiving a visit from the selection committee
- Answering questions regarding the budget and plan
- Providing copies of reports, monitoring and financial information

The committee will select those CBOs for funding based on the outcome of these steps and against a "checklist" of qualifying criteria.

The Peer Review

As CBOs gain experience in writing budgets and plans for small grants, going through the selection process and understanding the qualifying criteria, you may begin to institute a process of peer review. In this case you will form a selection committee made up of one or two members of your organisation, along with representatives of other CBOs operating in the area (a "cluster" of CBOs). This will give CBOs excellent experience in understanding the process "from the point of view of the funder", thereby better enabling them to accommodate to the requirements of external donors in later phases.

Principle # 3: Provide training and mentoring support

Once a CBO has been approved for financial assistance, you should **train** the group in all of the forms, procedures and reports that you will require from them as they move through the funding cycle. Following the training, you should then **mentor** the group as they begin to put the trainings into practice. The CBO should not feel afraid to come to you with questions and concerns, and you should give them as much assistance as they need to enable them to come through the funding cycle successfully. You should check their cashbooks and financial reports for accuracy and help them to write reports that are concise and informative.

Principle # 4: Have strict standards and expectations for financial management

While you will be helping the group at all stages of the process of grant qualification, disbursement and management, you should nevertheless make it absolutely clear to the group that you expect nothing less than strict financial control from them. The group should be able to account for the *full amount* of money it has received from your organisation, and should understand that it is *unacceptable* if they do not. You will help them in their learning process but you will not be at all tolerant of dishonesty in the use of the money. This level of transparency and compliance means that the group will need to adhere to strict financial controls and you, as the funder, will accept no less.

Principle # 5: Increase disbursements upon the successful completion of a funding cycle

The group should clearly understand that no further funding will be made available to them until they have successfully accounted for the first tranche. It is likely that your initial funding cycles will be no longer than three or four months, meaning that the group will spend its money in that short period of time and will then be interested in receiving more. Assuming that the group has provided all reports and statements in accordance with the agreed stipulations, you can then provide follow-on funding in second, third, and fourth disbursements.

The amounts of the subsequent funding tranches may increase as the group's experience and capacity to handle the money also increases.

Principle # 6: Consider the funding relationship as temporary!

You should avoid creating a "dependency relationship" whereby the CBO relies on your organisation to meet its funding needs. The purpose of the "sheltered funding" is to provide the CBO with an opportunity to gain experience in managing money. Once this has been accomplished, you should agree with the group on a reasonable time period for the withdrawal of support. You should assist the group during this time to identify other potential donors and to submit proposals to these funders for consideration, now that the group has shown that it has the capacity to successfully manage external grants.

Part 9: Phasing out of the Mentoring Relationship

Introduction

You will want to make it clear to the CBO from the outset that the mentoring support you will be providing to them is meant to be **temporary**. If your support goes on for too long you run the risk of creating dependency whereby the CBO relies on you, the mentor, to guide them through their challenges and problems. This is not, however, the goal of mentoring! A good mentor will want to provide all the support and assistance necessary such that the group is eventually capable of dealing with all issues on its own. This means that you will eventually phase out your support to the group, when its level of development and maturity no longer warrant the intensity of a mentoring relationship.

The following are some guidelines for phasing out your involvement with a CBO:

- All CBOs are different and your work with CBOs will have varying starting points. If you are beginning to mentor a CBO that already demonstrates relatively strong organisational capacity *(you can determine this by going through the OSA process with the group)* then your engagement with the group may not need to be as lengthy as it would be if you were starting out with a very weak and nascent CBO.

- As a general rule of thumb, a mentoring relationship will last between **18-24 months**. Again, though, you should be flexible in applying this rule if you feel that the CBO you are working with needs somewhat less or somewhat more time than this.

- You should make sure the group is aware of the fact that the mentoring relationship will be temporary and you should prepare the group for your withdrawal well ahead of the time that you actually discontinue your support to them.

- You should encourage the CBO to try to establish **substitute links** when the mentoring relationship comes to an end. That is to say, simply because the CBO is no longer interacting regularly with you and your organisation this should not mean that it should begin to work in isolation. On the contrary, the more external links, partners and networks that the CBO is able to form and to join, the more connected, "tapped in" and supported the CBO will be in the long run.

- The CBO should not feel that the end of the mentoring relationship means the end of all contact with you. It may be the case that difficult or urgent issues arise even after the relationship has been discontinued and it is not inappropriate for the group to seek your assistance on an ad hoc basis from time to time when such difficulties arise.

- You may want to have a party to celebrate the group's "graduation" from the mentoring relationship. Congratulations are in order both to the CBO and to you, their mentor!

A Mentoring Approach to Capacity Building

The underlying premise of this manual is that *capacity building involves more than training*. While trainings are an important and indeed necessary part of capacity building, the Facilitator will need to enter into a new kind of relationship with the CBO in order to best support the CBO along its path to increased capacity. In addition to his/her role as *facilitator of trainings*, in this manual the Facilitator will learn how to play a **mentoring** role, entering into a time-limited supportive relationship with the CBO members. Guidance is provided to enable the Facilitator to provide timely and need-specific support to CBOs before, during and after the periodic training events. The Facilitator will learn how to provide this mentoring support in a *non-directive* manner, seeking to guide the CBO in coming up with answers and solutions to its own self-defined questions and issues. A series of useful tools are provided to the Facilitator as suggested ways of structuring this mentoring support before, during and after trainings. Finally, guidelines are provided for phasing out of the mentoring relationship over time as the CBO achieves its desired levels of capacity.

World Vision®

*Part II: Facilitator's Manual for **OCB** Training*

ORGANISATIONAL
CAPACITY
BUILDING

Capacity Area 1:

Organisational Purpose and Planning

World Vision is a Christian relief, development and advocacy organisation dedicated to working with children, families and communities to overcome poverty and injustice.

As followers of Jesus, World Vision is dedicated to working with the world's most vulnerable people. World Vision serves all people regardless of religion, race, ethnicity or gender.

Contents [1]

Contents overview for the accompanying series:

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[1] Modules in bold font are aimed at beginner-level organisations, while modules in light font are aimed at intermediate / advanced level organisations. Additional intermediate / advanced level modules are planned for a future edition, as follows:

Capacity Area 1, Module 4: Strategic Planning
Capacity Area 2, Module 8: Formal By-Laws
Capacity Area 2, Module 9: Governance
Capacity Area 2, Module 10: Legal Registration
Capacity Area 3, Module 13: Conflict Resolution
Capacity Area 3, Module 14: Gender Considerations
Capacity Area 4, Module 17: Evaluation
Capacity Area 5, Module 21: Accounting
Capacity Area 6, Module 24: The Project Cycle
Capacity Area 6, Module 25: Business Plans
Capacity Area 6, Module 28: Partnering

Introduction to the Manual

Welcome to the *Facilitator's Manual for OCB Training*! This manual forms Part II of World Vision's organisational capacity building process aimed at community-based organisations (CBOs) engaged in HIV and AIDS response. World Vision works with community care groups and community care coalitions in high prevalence countries in Africa and around the world. These grassroots CBOs form the front line response for care and support to orphans and vulnerable children, home based and palliative care for the chronically ill, prevention activities for youth, and more. The ways in which these CBOs are organised and structured vary from country to country, ranging from small groupings of as few as 15 members with little hierarchy or bureaucracy, to more complex coalitions made up of multiple local groups and organisations. Some CBOs implement HIV and AIDS-related activities directly while others carry out a coordinating function. Some CBOs have limited geographical coverage while others are more far-reaching in their response.

This manual may be used with all such types of CBOs. The facilitator will, however, need to be attentive to tailoring the activities to the actual needs of the group he/she is working with. Leader responsibilities (module 11), for example, must be agreed together with the group based on the actual structure of the leadership within the CBO. The form that organisational charts will take (module 5) will differ from group to group based on the degree of complexity of the organisational structure. And so forth. As the manual was written to be applicable to a variety of organisational types, the language and examples used are necessarily somewhat general in nature. It is up to the facilitator to ensure that the activities are tailored and carried out in such a way as to respond to the specific characteristics of the organisation in question.

The manual is directed to CBOs engaged in HIV and AIDS response. As such, all examples and activities provided in the modules are related to HIV and AIDS. Nevertheless, the manual can, if desired, be used with CBOs working in other sectors, as the topic and content of each module is general (e.g. vision and mission, goal and objectives, etc.) and applicable to CBOs of all types. In such cases the facilitator should read the modules ahead of time and change the examples from HIV and AIDS-related cases, to examples pertaining to the sector or sectors in which the CBO in question is engaged.

The manual is a compilation of 28 training modules grouped into 7 capacity areas, each addressing a specific topic related to organisational growth and performance. Some modules are aimed at beginner-level organisations, while others are geared more specifically to more advanced CBOs[2]. The level of each module is clearly indicated throughout the manual.

1. Selecting Training Modules

The modules may be carried out sequentially if the CBO so chooses. A sequential training would lead a CBO through a logical progression beginning with issues of organisational purpose and planning (capacity area 1),
moving on to structure and procedures (capacity area 2),
to fostering healthy group relationships (capacity area 3),
to monitoring and reporting on project activities (capacity area 4),
to managing finances (capacity area 5),
to mobilising resources (capacity area 6)
and, finally, to engaging with external stakeholders (capacity area 7).

Nevertheless, the selection of training modules to be carried out *must rest on the outcome of the organisational self-assessment* outlined in *Part I: The Facilitator's Manual for Organisational Self-Assessment.* The organisational self-assessment takes the CBO through a process of recognising existing organisational strengths and using these as the foundation for moving towards a preferred future outcome. The CBO will identify capacity areas in need of further strengthening as part of the self-assessment process, and neither the facilitator nor the CBO should try to select training modules *prior to* carrying out the self-assessment.

In most cases, the CBO will discover during the self-assessment process that some capacity areas are more critical to its further growth and development than others. The CBO together with the facilitator should select training modules accordingly, and not feel obligated to follow the sequence as it is outlined in this manual. Rather, the training modules compiled in this manual should be seen as a 'menu' of choices. A careful selection from the 'menu' of those modules of most relevance to the CBO will ensure that the organisational capacity building process is, at all times, tailored to the needs and the context of each specific group.

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[2] The 14 beginner-level modules are included in this September 2006 draft. The remaining modules are not yet available.

2. Structure of the Modules

All modules follow a similar format. In each module you will find:

a) Introduction

The introductory page outlines the training objectives, output(s), suggested indicators, necessary materials, and approximate time needed to complete the training. Make sure you read this page in order to get an overview of what you will be trying to achieve with the group, to assemble the necessary materials, and to plan for the time that you will need.

b) Activities

Every module contains numerous activities to be carried out with the group. All activities come with clear instructions so that you will know exactly what to do. Some activities (not all) are sub-divided into steps. The activities and steps are usually simple for the group to understand, even for those members who do not know how to read or write. None of the activities require a great deal of preparation, but you should read them ahead of time so that you can make any preparations as are needed. Most activities are interactive or participatory, which means that you will not usually be doing a lot of talking; rather, you will be encouraging the group members to get involved in carrying out the activity themselves. Many activities make use of visual aids, and can be a lot of fun! All activities are sequenced so that by the end of the module the group members will have learned what the training module sets out to introduce to them.

c) Facilitator Reference Sheets

These sheets provide you, the facilitator, with all the information you need in order to understand the **content** of the module. These sheets do not tell you *how to explain* this content, *what to do with the group* or the *methodology* that you will use: that was handled previously under 'Activities'. Rather, these sheets are meant to ensure that you have a firm understanding of *what* the group will be learning, and that you are able to answer any questions that the group may have. You should read these sheets carefully before beginning the training. If you have any questions or doubts, ask your Supervisor for help.

d) Handouts (some modules)

Some modules (not all) have Handouts that are meant to be distributed to the group so that you do not have to spend a lot of time writing the information on a flip chart. Look through the module before beginning the training to see if it contains any Handouts and, if so, be sure to make enough copies for all the members of the group that you will be training.

e) Special Section: Coordinating CBOs

As described in the Introduction on page 4, World Vision works with community care groups and community care coalitions mobilised for HIV and AIDS response in many countries around the world. Some of these groups *implement* activities directly, while others carry out more of a *coordinating* function. This manual has been written with more of a focus on *implementing* CBOs. If you are facilitating trainings with a **Coordinating CBO**, there will be certain differences that will need to be taken into consideration. This special section at the end of each module provides instruction as to the modifications to activities (if any) that you should make in order to ensure that the module is relevant to this special type of CBO.

f) Special Section:
The Learning Organisation and Facilitator as Lifelong Learner

One of the most important elements of organisational capacity – perhaps **the** most important element – is an organisation's ability to **learn**. The world that we live in and the communities that the CBOs work in are never static; rather, our world is constantly changing, growing and evolving. Any organisation that tries to apply old ideas and old solutions to new situations and new problems is not keeping up with the times! As situations change and evolve, so too must the organisation!

At the end of each module you will find a special section dedicated to 'The Learning Organisation'. In these sections you will move beyond the content of the module as simple 'input', to suggest the ways that the CBO may continue to learn as they put the ideas and skills into practice. Following this section, there is a page dedicated to 'The Facilitator as Lifelong Learner'. These sections encourage **you** to also continue to learn and grow as you accompany the CBO on its journey!

g) Special Section: Mentoring

The **last** module of each capacity area will also contain a special section on **mentoring**. These are capacity-area-specific excerpts from chapter 7 of the Mentoring module, containing information regarding approaches to follow-up work after trainings have been completed.

3. Getting Started

So you have completed the organisational self-assessment process with your CBO and together have selected the training modules to be carried out! You will need to do some preparation before beginning the training to ensure that you and the group get as much out of the time you spend together as possible. Before beginning the training you should:

- **Read the module!**

  Make sure you understand everything that you will need to do and explain. If you have any questions or doubts, ask your Supervisor to help you.

- **Make photocopies:**

  If there are Handouts in the module, make enough copies for every member of the group.

- **Assemble materials:**

  You will need a flip chart, paper and markers for every module. Some modules require additional materials such as calculators, scissors, index cards or blindfolds. Make sure you review the materials needed for the module you will be doing and have them ready prior to the training.

- **Visit the training location:**

  You will want to make sure that there are enough tables and chairs for the participants. You should also note features such as wall space for hanging papers, and whether or not there is an area for outdoor activities.

- **Think about logistics:**

  The training logistics may be your responsibility or they may be somebody else's job. Nevertheless, it is a good idea to follow up with everyone involved to make sure that food, water, bathroom facilities and transport have all been arranged.

- **Have fun!**

  Enjoy this time that you have together with the group! You will all learn a lot from each other!

Capacity Area 1:

Organisational Purpose and Planning

Contents

Introduction

The three modules in this capacity area for beginner level organisations – Organisational Vision and Mission, Organisational Goal and Objectives, and Action Planning – will take the CBO through a systematic approach to designing a project framework, and planning in accordance with that framework. The CBO will begin at the highest level of overall Vision and work its way down the levels of Mission, Goal and Objectives to the point where it is ready to develop a step-by-step plan of action. While the activities are easy for the CBO members to understand and to carry out, the end result is a logical and systematic framework that will clarify what the CBO wants to achieve and guide the action that it will take.

The combination of a good strategic framework (modules 1 and 2) and a good operational or action plan (module 3) will: [3]

- Provide a clear understanding of what the CBO needs to do in order to achieve its goals
- Guide the CBO in prioritising and making decisions
- Allow the CBO to focus limited resources on the actions that will benefit its work the most
- Provide a tool to help the CBO communicate its intentions to others
- Provide a coherent guide for day-to-day implementation.

It is this type of systematic approach to planning that donors look for and, upon completing these three modules, the CBO will not only be more effective in the work that it does, but will also be well on its way to being able to prepare a project proposal for funding.

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[3] Shapiro, Janet, *Toolkit on Overview of Planning*, Civicus: Civil Alliance for Citizen Participation.

Module 1:   Organisational Vision and Mission

Contents

Introduction

Activities

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Handouts

Special Sections

Introduction

Wohile many organisations may not recognise the value in drafting Vision and Mission Statements, especially when compared with the 'nuts and bolts' of action planning and day-to-day work, there are in fact a number of reasons why it is important to take the time to think through the organisational Vision and Mission. Without this type of strategic thinking, it is possible that the CBO will end up carrying out many activities that may not always add up to a coordinated effort [4]. A Vision of what the CBO is ultimately trying to achieve will keep the organisation on track.

Having a clear Vision and Mission will also help to avoid conflicts among members. Often what appear to be personality conflicts within an organisation are not due to the personalities of the members at all, but rather to the fact that different people may have different ideas of what the organisation ought to be achieving. Clarifying these ideas from the outset will help to ensure that the efforts of all the members are aligned to a common purpose.

Having well thought-out Vision and Mission Statements is also important for public relations, as this allows the CBO to clearly explain its reason for being and what it is setting out to achieve.

Training Objectives

- To allow members to give **in-depth thought** to their motivations for participating in the CBO, and to why the CBO is doing the work that it is doing.
- To reach **consensus** among CBO members regarding the purpose of the CBO's work.
- To **situate** the CBO's day-to-day operations within a broader, guiding framework.

Training Output

- To **produce written Vision and Mission Statements** for internal use as well as for use in public relations, fund-raising or other external purposes.

Suggested Indicators

- The CBO has a written Vision Statement
- All members can clearly state the Vision Statement
- The CBO has a written Mission Statement
- All members can clearly state the Mission Statement

Materials

- A flip chart, paper and markers
- One onion

Time: 1 day

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[4] Ibid.

Activity One: Individual Meetings with CBO Members

I t is useful for you, the facilitator, to have an understanding of what the individual members of the CBO perceive the purpose of the organisation to be. To best ensure member commitment to the organisational Vision and Mission Statements, it is best to tap into the individual motivations of each member, and to use these motivations as the generating force for developing the statements. That is to say, it is better to *begin* with individual motivations and use these to work towards Vision and Mission Statements, than to write Vision and Mission Statements as a group and then expect that these will prove to be the source of inspiration for each member.

Individuals will have various motivations for belonging to the CBO. All motivations are valid, but it is important that in the end the group is broadly aligned to an overall general purpose, and that they are able to articulate this purpose together.

As a first step, you will want to understand what has brought the individuals together in the CBO in the first place. If you can arrange short meetings with each member, you will likely get more individualised responses than if you were to try to do this as a group activity. You may use the following questions as guidance when meeting with each member.

- Who first gave you the idea to join this CBO?
- Why did you agree to join?
- What do you like best about participating in the CBO?
- Do the children enjoy your visits? Can you give some examples?
  (In cases when the CBO is making home visits to orphans and other vulnerable children)
- How do you think that the ill benefit from your visits? *(In cases when the CBO is visiting the chronically ill in the community)*
- What is the most important part of your work with the CBO?
- What is the purpose of the CBO?
- How does your CBO make the community better?

Variation:

If you do not have time to meet individually with all the members of the CBO, you may choose to carry out this activity during the training period, by pairing up members of the group and having the pairs ask the questions to each other. Encourage the pairs to think carefully and to really explore their reasons and motivations for belonging to the CBO.

Following the discussions in pairs, ask each person to present the ideas of his/her partner to the plenary. You may take notes during this plenary feedback to remember the main points.

(Thanks to Martha Rezene of World Vision Ethiopia for the idea for this variation!)

Activity Two: The Concept of Vision: The Onion[5] (Optional)

To be most effective, you should use a real onion for this activity. Show the onion to the members and explain that it represents the CBO. Explain that parts of the CBO are immediately visible, and other parts need to be uncovered. Ask the members to list what they think the visible parts of the organisation are; for example, the members, the work that it does, any materials that it provides to its target beneficiaries, and so forth. As they give examples, you may begin peeling off layers of the onion (or ask a volunteer to do so). You will eventually lead the discussion to the innermost core of the onion (the CBO), eliciting from the group the values, or vision, or identity of the organisation that this 'heart of the onion' represents. You do not need to be too specific about the actual terms used, as long as the general idea of a guiding core is understood. You may award the onion to the person who you feel best articulates this concept.

Following this, you will now return to the ideas generated during the individual conversations in Activity One. Facilitate a group discussion prompted by the same questions you asked the members individually, explaining to the group that you want to talk about and identify the key elements of the organisation's purpose. You may begin to write key words on a flip chart; those that best embody the ideas of organisational purpose. Be sure that the ideas of the quieter members are also captured! You already know what these ideas are since you spoke with these members earlier. If they are not emerging in the group discussion you may call on these individuals to repeat their ideas for the group as a whole.

Variation:

Instead of an onion, you may want to use the example of a fruit with a seed inside. It is the seed that gives new life to the fruit and, indeed, no fruit can exist without a seed. If you compare the seed to the Vision, you can help the group to make the point that in the same way, it is the Vision that gives life to the organisation!

Thanks to Abate Alemu of World Vision Ethiopia for this idea!

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[5] This activity is taken from Carter, Isabel, *Building the capacity of local groups:* Tearfund, 2001.

Activity Three: Examples of Visions and Missions

Refer to the **Facilitator Reference Sheets 1.1** and **1.2** at the back of this module to make sure that you are clear about the difference between the Vision and the Mission. Remember:

- The Vision is the *ideal* that the CBO has for its community, representing the *impact* of its work and the work of others. The Vision is *long-term* and will not be reached easily or quickly, but it serves to guide us (like a star). The CBO will not achieve the Vision by itself, but it can **contribute**.

- The Mission is the ***practical way that the CBO will contribute*** to this Vision, and answers the questions: *Who are we? What are we doing? With whom or for whom are we working? How – in broad terms – are we working?*

Distribute **Handout 1.1** to the participants. Explain the difference between Vision and Mission and make sure that the participants understand.

Distribute **Handout 1.2** to the participants and divide the members into small groups (groups of 4 or 5 will work well). The groups must read the eight examples and identify each example as either a Vision Statement or a Mission Statement. Give the small groups time to work together, then return to plenary and ask each group to give their answers, explaining their reasons for the choices that they have made. You may turn this into a competition to see which group comes up with the most correct answers!

Answers to Handout 1.2:

1-Mission	*5-Mission*
2-Vision	*6-Vision*
3-Vision	*7-Vision*
4-Mission	*8-Mission*

Activity Four: Personal Visions

Divide the participants into groups of three or four. Ask the participants to imagine their lives in five years time and to think of the visions they have for themselves in terms of how they would like their lives to be then. They should then share their visions with other members of their group You should circulate among the groups and join in on some of the conversations. You may help the groups to reflect and deepen the conversations by asking prompting questions, such as:

• What are some of the dreams you have for yourself and for your family?
• What are you hoping to achieve in 5 years time?

The small group work may only take 15 minutes, but you should then allow sufficient time (up to 30 minutes) for subsequent sharing in plenary. Ask the participants to share their personal visions with the whole group. Participants are usually very happy to do so!

As a discussion prompt you may ask the group: *"Even if you do not achieve all the elements of your personal vision, do you think it is important to have such a vision? Why or why not?"*

Activity Five: Arriving at The Vision Statement

Step 1: Problem Identification

Ask the participants to describe two or three key problems they are trying to address as a CBO. One member of the group can write these down. If the CBO is working with orphans and vulnerable children (OVC), they should think about some of the problems that these children may be facing. If the CBO is providing home-based care to the chronically ill, the problems they identify will be related to this work. Each CBO will likely be dealing with a unique set of issues.

Step 2: Drawing the Vision[6]

Divide the participants into groups of 4 or 5. Ask the participants to imagine that they have been out of the country for five years. They have arrived back to find that their dreams of how the society should be, in terms of the problems they have identified, have been fulfilled – the problems are solved and the community is functioning just as they had always hoped. They should draw a picture of what the community looks like.

Step 3: Presentations

Have each group present its picture and explain what it represents. You should capture key words and write these on a flip chart. Explain to the participants that their drawings represent **Visions** for their community, and that they can use the ideas in the drawings as a basis for forming their own Vision Statement.

Step 4: Writing the Vision Statement

Continue in small groups and ask each group to try to draft a Vision Statement. When the small groups have finished, return to plenary and ask the CBO as a whole to deliberate over each of the versions. The participants may either choose the version they think is best, or combine the best vocabulary from the different groups into one best Vision Statement.

Step 5: The Final Draft

Write the Vision Statement! The group should transfer the Vision Statement onto flip-chart paper and post it for continuous reference. You may copy the group's statement here:

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_____

_____

_____

Useful Idea: A Vision is like a star. It may be very far away and it may not be possible to reach, at least not quickly. But we are able to chart our course by it!

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[6] Taken from Shapiro, Janet, *Strategic Planning Toolkit*, Civicus: Civil Alliance for Citizen Participation.

Activity Six: Arriving at The Mission Statement

Step 1: Role Play

If your CBO is made up of 15-20 members it is possible to carry out this role play with all participants, without needing to break into small groups. Explain to the members that they should imagine that the President of the country and a delegation are coming to visit the community and want to see the work of the CBO. The group should act out the 'tour' that they will give to the President. During the tour they should show the President all the various activities that the CBO is involved in. These may include visits to the homes of OVC, visits to the chronically ill, recreational activities for children, HIV prevention messages, community sensitisation regarding testing and counseling, etc. The role play is an opportunity for the CBO to categorise the various activities it is engaged in and to act these out! Following the tour, one member should play the role of a radio journalist who gives a glowing report describing the wonderful work of the CBO. You should give the participants ample time to rehearse the role play – perhaps as long as 30-45 minutes. The group will then perform the role play. (If you have a video camera you may film the performance!)

Step 2: Writing the Mission Statement

The group should reflect on the role play and the discussions that followed and make a list of the various activities represented in the drama. Divide the participants into groups of 4 or 5 and have the small groups try to draft a Mission Statement. The Mission Statement should answer the questions: *Who are we? What are we doing? With whom or for whom are we working? How – in broad terms – are we working?* The CBO as a whole may then deliberate over each of the versions and select among – or select the best vocabulary from among them – for the final Mission Statement.[7]

Variation:

If you are finding that the role plays do not generate enough concrete information to enable the groups to come up with a Mission Statement, you may ask the groups to make new drawings. In these drawings they should imagine that they need to describe the work of the organisation to somebody who does not speak their language. Once the groups have completed their drawings you may help them to extract the essential information needed to draft their Mission Statement.

Step 3: The Final Draft

Write the Mission Statement! The group should transfer the Mission Statement onto a large sheet of flip-chart paper and post it for continuous reference. You may copy the group's statement here:

_____

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_____

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[7] This idea comes from Symes, Camila, *The New Toolbox: A Handbook for Community Based Organisations*, The Barnabas Trust, 2002.

Activity Seven: Songs

Now that the group has produced a Vision Statement and a Mission Statement, you want to make sure that even those members who cannot read and write will be able to remember and articulate these Statements.

As a homework assignment explain to the participants that they should come up with two songs; one for the Vision Statement and one for the Mission Statement. The statements should form the main lyrics or the main chorus of the songs. By giving this activity as a homework assignment the group will have time to think of a melody and practice.

You may encourage the CBO to begin all its meetings with these songs!

Facilitator Reference 1.1: The Vision Statement

The Vision Statement

Organisations and projects in the non-profit sector usually exist because they want to make a difference in their community. These organisations have a Vision of how their community could or should be in the future. For most community organisations, a Vision involves contributing to a concrete improvement in the lives of the target community. This Vision is not something that the organisation can usually achieve on its own, but it is nevertheless something that guides the organisation in its work and which the members believe can be achieved if enough projects, organisations and/or individuals share the Vision and work towards it.[8] One of the values of a Vision is that it helps the organisation to always keep long-term ideals in mind. It serves as the **heartbeat** and the **aspiration** of the CBO by representing the impact that the members want to see realised; this serves to motivate them in their work.

> The Vision is the **ideal** that the CBO has for its community, representing the **impact** of its work and the work of others. The Vision is **long-term** and will not be reached easily or quickly, but it serves to guide us (like a star). The CBO will not achieve the Vision by itself, but it can **contribute**.

Example of a Vision Statement

The following is an example of a Vision Statement of a local CBO, known as *Understanding Youth*, involved in HIV and AIDS prevention for adolescents:

> ### Vision Statement
>
> We strive to contribute to a environment where all youth understand the facts of HIV and AIDS and are supported by the community to engage in healthy behaviours.

---

[8] Shapiro, Janet, *Strategic Planning Toolkit*, Civicus: Civil Alliance for Citizen Participation.

Facilitator Reference 1.2: The Mission Statement

The Mission Statement

As explained, the Vision Statement is a description of the impact that the organisation hopes to have on the community, and the eventual changes in the community situation that the organisation wants to help to bring about, together with others working towards similar ends.

The Mission Statement describes **the particular way that the organisation will make a contribution to this Vision**. While the Vision may be achieved by many organisations working together, the Mission Statement describes the purpose of this particular CBO and its particular contribution to the Vision. A Mission Statement describes what the organisation does, with whom or for whom it does it and, in broad terms, how it does it. A Mission Statement will therefore have four components:

- What the organisation or project is;
- What the organisation or projects aims to do or achieve;
- Who the work is aimed at (the target group) and who it is done with;
- How it does its work – in broad terms, what methods it uses.

The Mission Statement is the organisation's **identity** or its '**calling card**'. It is important for an organisation to have a Mission Statement not only to guide its work but also to be able to explain to partners or potential donors, in a concise fashion, what it is that the organisation is all about.

Example of a Mission Statement

Remember CBO *Understanding Youth's* **Vision Statement:** *We strive to contribute to an environment where all youth understand the facts of HIV and AIDS and are supported by the community to engage in healthy behaviours.* This is the CBO's description of the impact it wishes to see in the community, together with others working towards a similar Vision.

The Mission Statement describes that way that CBO *Understanding Youth*, as an organisation, will contribute to this Vision. It describes what the CBO is, what the CBO hopes to achieve, who the CBO's work is aimed at, and how the CBO does its work.

Mission Statement

We are a community-based organisation made up of volunteers. We are working to ensure that all community youth have basic knowledge regarding HIV transmission and healthy sexual behaviours, and that they are supported by the community to practice these behaviours. We do this through special trainings in schools, churches and youth clubs, and by organising community events with parents and leaders.

Handout 1.1: Vision and Mission

Vision:

- The Vision is the **ideal** that the organisation has for its community

- The Vision represents the **impact** of the organisation's work, along with the work of many others

- The Vision is **long-term** and will not be reached quickly, but it guides what we do (like a star)

- The organisation will not achieve the Vision by itself, but it can **contribute**

Mission:

- The Mission is the **practical way that the CBO will contribute** to the Vision

- The Mission answers the questions:

  - Who are we?

  - What are we doing?

  - With whom or for whom are we working?

  - How – in broad terms – are we working?

Handout 1.2: Examples of Vision and Mission Statements

Instructions:

Work in small groups and decide which of the examples below are examples of **Vision Statements** and which are examples of **Mission Statements**. Be prepared to explain your answers in plenary.

1 We are a group made up of volunteers from the church. We are working to bring comfort to the sick. We do this by visiting patients in their homes every Sunday afternoon.

2 We aim for a society where no child dies from illness that can be easily prevented.

3 We are committed to a future when all of our forests are protected from unlawful use.

4 We are a community-based savings and credit group working to ensure that all members have enough money to meet their yearly expenditures through member-generated savings and loans.

5 We are a group of youth working for more entertainment in our village by raising money to purchase uniforms for the football team.

6 We aim to see local government accountable to the people.

7 We believe that all youth who want to play football should have the opportunity to play.

8 We are a committee of teachers working to increase the numbers of girls who are in school by raising money to build separate latrines for girls and by meeting with families.

Coordinating CBOs: Vision and Mission

Vision

You will not need to make any changes to the way you carry out the Vision activities if you are working with a Coordinating CBO in place of an Implementing CBO. Remember that the Vision is the long-term ideal that the CBO has for its community, and represents the impact of the work of many organisations and individuals; not only the one organisation alone. This remains true regardless of the structure of the organisation. You should help the Coordinating CBO to develop a Vision Statement in the same way that you would with an Implementing CBO.

A Coordinating CBO may see faster progress in working towards its Vision than an Implementing CBO would, because the Coordinating CBO is benefiting from the efforts and activities of all the individual organisations that it is coordinating! In other words, there is more than one organisation involved in working towards the Vision, so successes may become apparent more quickly!

Mission

You will also not need to make any changes to the way you carry out the Mission activities for a Coordinating CBO, but you should make sure that the CBO writes a Mission Statement that explains the coordinating nature of its work. Remember that the Mission Statement answers the questions:

• Who are we?
• What are we doing?
• With whom or for whom are we working?
• How – in broad terms – are we working?

A Coordinating CBO will answer these questions differently than an Implementing CBO will, because the way that they work is different. The Coordinating CBO's Mission Statement will describe the way that the CBO coordinates the work of many other organisations and / or individuals, rather than describing the work that the organisations it coordinates are doing in the communities.

An example Mission Statement for a Coordinating CBO might be:

"We are an organisation made up of representatives of eight local groups that are working to improve the lives of orphans and vulnerable children in the community. All representatives come together periodically for sharing of information and coordination of activities, in order to achieve maximum benefit for the children, through the efforts of all."

The Learning Organisation

Introduction

One of the most important elements of organisational capacity – perhaps *the* most important element – is an organisation's ability to **learn**. The world that we live in and the communities that the CBOs work in are never static; rather, our world is constantly changing, growing and evolving. Any organisation that tries to apply old ideas and old solutions to new situations and new problems is not keeping up with the times! As situations change and evolve, so too must the organisation! A truly 'capacitated' organisation is one that is always aware of changes taking place in its environment and is able to learn about these changes and to adapt and respond accordingly.

Each module in this training manual presents specific **information** (content) and works to build the **skills** of CBO members in specific areas. You as a facilitator have an important role to play in presenting new information and introducing new skills to CBOs – information and skills that the CBO may not have had any previous exposure to. You will present the content of the trainings as **input** for the CBOs' consideration. Nevertheless, this information and these skill sets are meant to be **beginnings**, rather than the 'final answer' or the 'end points' of the CBO's learning. The CBO will need to take the information and skills and subsequently apply these to their own situations. Given the complex, changing and dynamic nature of the communities that CBOs work in, they will need to constantly test the relevance of the input they have been exposed to against the realities of their local situations, and make adjustments as needed. The real test of the CBO's capacity will be its ability to pay attention to what actually happens as they put new ideas into practice, and to continuously **learn** from these experiences!

Throughout these training modules we will dedicate a section to 'The Learning Organisation'. In these sections you will attempt to move beyond the content of the module as simple 'input', to suggest the ways that the CBO may continue to learn as they put the ideas and skills into practice.

Learning and The Vision

We have seen in this module that the Vision does not represent a situation as it is *now*; rather, the Vision puts into words the organisation's dreams and aspirations for the *future*. Organisations are guided by Visions that will be achieved only over time, through the efforts of many. One way of looking at this is to say that it is the Vision, then, that in fact motivates the organisation to keep going and to keep learning! If everything were already achieved, if the current situation (of OVC, of the chronically ill, of communities, of the poor, of the world) were already exactly as we wanted it to be, then there would be nothing left for development organisations to work towards and nothing left to learn! Our motivation to keep learning is the realisation that 'things are not yet the way we want them to be'. We need to keep working and, since the external environment in which we work will be constantly changing (indeed, our very work will contribute to these changes), we need to keep learning!

In order for organisations – and, crucially, the individuals within organisations – to genuinely *want* to learn more, they must be *genuinely committed* to the Vision. If they do not really care about the Vision, then they probably won't take their learning very seriously. They will 'do the work' in order to comply, but they may not be internally motivated to continuously improve their work through learning if they are not genuinely committed to the Vision. In order to be genuinely committed to the Vision, however, the organisation and the individuals *must believe that they can make a difference*. The Vision becomes a living force only when people truly believe they can shape their future.

In this way, we see that there are certain **preconditions** that need to be in place in order for an organisation to become a true learning organisation. One precondition is a **genuine commitment to the Vision** (as it is this that spurs the organisation on!). But the precondition for a genuine commitment to the Vision, is the **attitude/belief that the organisation can make a difference**. We can think of these preconditions as a 'hierarchy of capacities', where the elements of Attitude/Beliefs and Vision need to be in place in order that other capacities can be effectively built[9]...

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[9]   Kaplan, Allan, *The Developing of Capacity*, CDRA: Centre for Development Practice, Cape Town, South Africa, 1999.
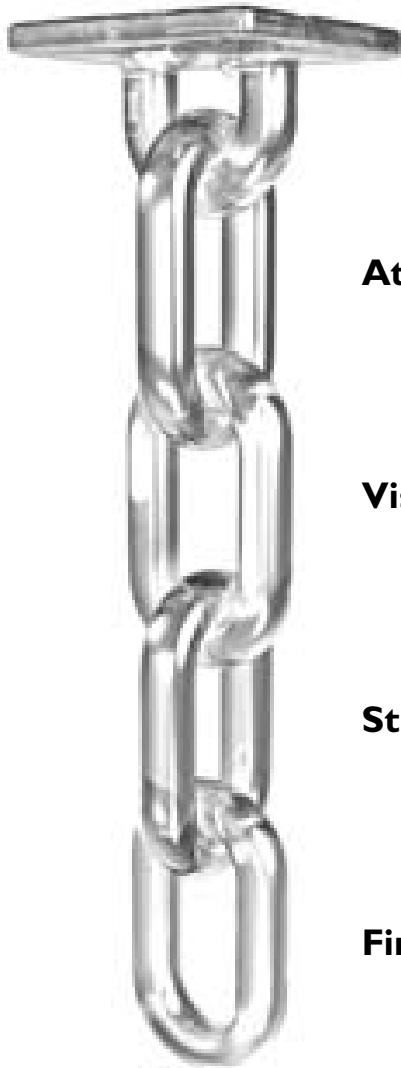
Attitudes / Beliefs

Vision (and Mission, Goal, Objectives)

Structure and Procedures

Financial / Material Resources

This hierarchy might surprise you, the Facilitator! Many efforts to build organisational capacity commonly begin with rearranging the *structure* of the organisation, or making sure that *procedures* and policies are clearly documented in manuals. In our diagram, however, we see that issues of structure and procedure do not come first! This is not to say that structure, procedures or financial resources are not important, for of course they are (and indeed you will come to these elements of capacity in subsequent training modules). But what we are arguing here is that no amount of organisational (re)structuring or adherence to procedure can make up for a lack of a clear Vision or healthy, positive and proactive Attitudes and Beliefs. *Once* organisational Vision and Attitudes are in place, it becomes possible to *structure* the organisation in such a way that roles and functions are defined, and to put *procedures* into place that guide decision-making and enhance transparency. But you should not attempt to do this the other way around. Our argument here is that **Attitudes** and **Vision** are necessary preconditions for all the other elements of organisational capacity!

Organisational 'Attitude'

So what do we mean exactly by 'Attitude'? In essence, we are talking about an Attitude whereby the organisation **genuinely believes it can make a difference**. If the organisation does not believe this, then there is no point in having a Vision! Indeed, there is really no point in creating the organisation, if members do not believe that they will be able to have any impact! Let us look at this a little more closely. We are talking about the following types of attitudes:

• Do the members of the organisation believe that they can **act** to **change** the current situation, or do they feel **fatalistic**, i.e. as evidenced in statements such as 'whatever happens, happens' or 'we will wait and accept what destiny brings'?

• Do the members accept the challenge of working towards change, or do they think that external conditions will always block progress. (i.e., are they 'blaming' the external environment, or do they believe they can do something to *affect* the environment?)

• Is the organisation **internally motivated** or **externally mobilised**? In the case of the CBO you are working with, it may be true that World Vision (or another organisation) played the role of external mobiliser, and the CBO therefore may not have formed out of a spontaneous, internal impulse. (Although this should not imply that the members do not believe in the value of joining together as a CBO.) Nevertheless, one of the main keys to the CBO's 'capacitisation' and future success is the degree to which they maintain their motivation even without World Vision's (or other outside) influence!

These are very important issues and as you probably realise, you, the Facilitator, cannot *impose* these attitudes! Nevertheless, you can help to create the conditions under which the CBO can begin to **believe** in itself and increasingly gain confidence in its ability to make a difference. You can do this by:

• Stressing that the information you are providing is a *starting point*, but that the CBO will have to use its own judgment to decide what is relevant to its own situation. By encouraging the CBO to learn to *trust its own judgment*, you will avoid an over-dependence on you, the Facilitator. The CBO will begin to believe in its own capabilities.

• Carrying out additional training modules with the CBO. As the CBO is exposed to new information and learns new skills, the members will gain confidence in what they can do.

• Supporting the CBO as it starts to work in the community. Stressing to the CBO that any setbacks should be seen as learning opportunities rather than failures. As they begin to see results in the community, they will gain in confidence. Success breeds confidence!

• Recognising that the CBO's internalisation of attitudes of self-confidence and ability to make a difference is an ongoing **process**! Watch to see how your CBO gains in confidence and shifts to more proactive Attitudes over time!

Genuine Vision

We have seen that in order for the members to be genuinely committed to the Vision, they need to genuinely believe that they can make a difference. We have talked about the ways that you, the Facilitator, can create the conditions whereby the CBO gains confidence in its ability to make a difference: by avoiding an over-dependence on you, by learning to trust its own judgment, and by seeing the positive results of its work. As these Attitudes increasingly develop within the group, we can take a closer look at the group's commitment to the Vision.

The activities that you carried out in this module served to introduce the CBO to the idea of a Vision, and to think through a sensible and inspiring Vision for their own work. The activities cannot guarantee, however, that each and every member becomes genuinely committed to the Vision! Genuine commitment happens at an *individual* and *personal* level and is not something that you, the Facilitator, or the CBO Leaders, or other CBO members can *impose* on any individual. As one of the leading thinkers in Organisational Learning puts it:

'My vision is not what's important to you. The only vision that motivates is your vision' [10]

This realisation means that – although you have assisted the CBO to write its *group* Vision Statement – real and genuine commitment will in fact be found at the level of each *individual*. Each person will share responsibility for the group Vision, but may think of his or her commitment in ways that are not absolutely identical to other members. Each member will have his or her own way of seeing (and feeling) the larger Vision. This may be compared to looking at an object from many different angles. It is probably true, then, that to become a real learning organisation (where all members are genuinely committed to learning more), that the CBO should recognise *both* the Group Vision and the individual, Personal Visions. Listening to all the various ways that members articulate their own Personal Visions will help to make the overall Group Vision a rich and living one!

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[10] Senge, Peter M., *The Fifth Discipline: The Art & Practice of The Learning Organisation*, Currency Doubleday, NY, NY.

Exercise: Personal Visions

Ask the group to present their 'Vision Song'. The chorus of this song, as you remember, is the Group Vision. Now explain to the group that they will present the song in a different way, with *each member* adding a verse to the song, one person at a time. Each member will sing a verse that puts into words *his or her own Personal Vision* for the work that he/she is doing.

Explain to the members that there is no 'right' or 'wrong' way to sing their verses. They should sing whatever it is that they feel is inspiring them in their work! You should give the members time to think and prepare *by themselves* (not in small groups this time!), and to reflect on what is really important to them with regards to their membership in the CBO. You may have the members think back on the individual conversations they had with you at the beginning of this module, when you were talking about their reasons and motivations for joining the CBO. When the group is ready, have them present their new song, with each member contributing his/her verse in turn.

NB: The individual verses may change over time! The CBO may begin each monthly meeting by singing the song, and members may change their verses each month if they wish. It is likely that members' commitment to the CBO will grow over time; for example, commitment may grow as they begin to develop bonds with the children or the chronically ill patients they are visiting. In fact, if it is a bond with a child or a sick individual that inspires a member, then that is what the member can sing about!

The Facilitator as Lifelong Learner

Just as the CBO will be learning more and more as it puts new ideas and skills into practice and reflects on what is happening, so too will you, the Facilitator, be always learning as you continue to work with CBOs and to reflect on the outcomes of the training and support that you are providing. The important thing is for you to **pay attention** to what is happening! Observe, think and make adjustments if you think adjustments are needed. Pay attention to the ways in which your CBO is growing, and learn from what is happening! Here are some ideas for some of the factors that you can pay attention to, reflect on, and learn from:

- How would you describe the 'Attitude' of the CBO members you are working with, as you begin these trainings? Do they seem very dependent on you without much confidence in their own abilities? Or do they perhaps show a desire to learn from you combined with a belief in the value of what they already know? Do they seem enthusiastic about the work they will be doing in the community, or do they seem to be doing it only to 'satisfy World Vision'? Do they have many ideas about what they can do in the community, or are they waiting to hear your ideas?

- In cases where the CBO seems very dependent on you and without much belief in its own abilities to bring about change in their community, what are your ideas about the ways you can help to build their confidence in their own potential?

- Continue to observe these attitudes over time! As the trainings continue, do you see the CBO progressing in self-confidence? (If not, how can the trainings be improved so that this happens?!) As the CBO's work in the community moves forward, is this generating excitement and commitment among the members?

- Did you find it difficult to elicit Personal Visions from the 'quiet' group members? Do you observe any change in the self-confidence and participation of these quiet members over time, i.e., do you think they recognise the value of their own contributions?

Module 2:   Organisational Goal and Objectives

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Introduction

Module 2 is an extension of Module 1 and takes the CBO through a process of becoming ever-more specific about what the outcomes of its work will be. While the Vision and Mission represent *aspirations*, the Goal and Objectives are concrete statements of what the CBO actually expects to *achieve* during the life of its work.

Training Objectives

- To allow members to **think in specific terms** of what the CBO will achieve, and how these achievements will contribute to the CBO's Vision.
- To reach **consensus** among CBO members regarding the Goal and Objectives.
- To help CBO members to understand the **cause and effect** relationships between actions and outcomes.

Training Output

- To **produce a written Goal and written Objectives** for internal project use as well as for potential funding proposals.

Suggested Indicators

- The CBO has a written Goal
- All members can clearly state the Goal
- The CBO has written Objectives
- All members can clearly state the Objectives

Materials

- A flip chart, paper and markers
- Sturdy 'index cards'
- A watch or clock

Time: One-half day (4 hours)

Activity One: > Arriving at the Goal Statement

Step 1: Remembering the Vision and Mission Statements

Refer back to the group's Vision and Mission Statements. You may have the group perform the two songs as a way of refreshing their memory.

Step 2: Explaining the Goal Statement

Refer to Facilitator Reference Sheet 2.1 and give the definition of a Goal:

> **Goal:** The change in the lives of the target group(s) that the organisation expects to bring about during the life of its work.

Explain to the group that whereas the Vision represents an ideal situation towards which they and many others will contribute, the Goal should be *realistic* and *achievable* during the life of the CBO's work.

You may explain that whereas the Vision is like a star; hard to reach and far away, the Goal is like a lightbulb, illuminating the path and possible to reach and to grab.

Step 3: Writing the Goal Statement

Assist the CBO to draft their Goal. Ask the group to identify the main problem that this Goal is addressing. If the group feels that what they have written does not capture the most basic and general outcome of their work, at the highest level of problem that they expect to address, then they should edit what they have written until they are satisfied that it does.

Step 4: The Final Draft

Write the Goal Statement! The group should transfer the Goal Statement onto a large sheet of flip-chart paper and post it for continuous reference. You may copy the group's statement here:

_____

_____

_____

_____

_____

Activity Two: "Seating Arrangement" [11]

This is a fun activity that you can try prior to getting into a discussion about Objectives, as it will help to make the point that Objectives need to be specific!

Say to the group, in a tone of voice that suggests that you are just a little dissatisfied, *"Actually – you know what – before we move into our next activity, I really wish you would seat yourselves in a more effective way. You have exactly 2 minutes to improve your seating arrangement".* Do not give the group any further clarification, and begin to look at your watch or at a clock. If the group asks for clarification you can respond, *"You determine for yourselves what 'improve' means. You are all adults".* Do not be surprised (and do not stop them!) if they start moving tables and chairs to 'improve' their seating arrangement.

When the two minutes are up and the group is reseated, you should now laugh and reassure the participants that this was a 'fake' activity that you carried out in order to demonstrate the problems that arise when objectives are not clear. Discuss with the group how they felt when they had to rearrange themselves without knowing the specific criteria that they were supposed to be using. With this you may lead into a discussion on the need for clarity in organisational Objectives, as will be further explained in the next activity.

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[11] This activity is taken from Cole Miller, Brian, *Quick Team-Building Activities for Busy Managers*, American Management Association, NY, 2004

Activity Three: Examples of SMART Objectives

Before attempting to draft Objectives it is important that the group understand that Objectives must be SMART.

S   **Specific**

M   **Measurable**

A   **Appropriate**

R   **Realistic**

T   **Time-Bound**

Distribute **Handout 2.1**, found at the back of this module, to the the participants and divide the members into small groups (groups of 4 or 5 will work well). The groups must read the examples and determine whether the Objective in the example is SMART or not. Give the small groups time to work together, then return to plenary and ask each group to give their answers, explaining their reasons for the decisions that they have made. They should explain what element or elements are missing if the example is not fully SMART. You may turn this into a competition to see which group comes up with the most correct answers!

Answers to *Handout* :

- Example 1 is not Time-Bound (T)
- Example 2 is not Realistic (R)
- Example 3 is not Measurable (M), Time-Bound (T) or sufficiently Specific (S) (It is a good example of a Vision, rather than an Objective.)

- Example 4 is not Measurable (M). (How many teachers?)
- Example 5 is not Appropriate (A). (This is asking the farmers to take on too much risk for an unproven technology with an uncertain market.)
- Example 6 is SMART!

Activity Four: ▷ Arriving at the CBO's Objectives

It is important that when the CBO writes its Objectives that the participants follow a logical thought process. It is important that the group can show that the *achievement of the Objectives* will lead to the *achievement of the Goal*. You should help the group to understand and demonstrate this cause and effect relationship. The group should write one objective for every *main activity* that they are carrying out.

```
                    ┌─────────────┐
                    │    Goal     │
                    └─────────────┘
                      ↑         ↑
            ┌──────────────┐  ┌──────────────┐
            │  Objective 1 │  │  Objective 2 │
            │(Main Activity 1: │(Main Activity 2:
            │ e.g.: visits to OVC)│ e.g.: visits to the ill)│
            └──────────────┘  └──────────────┘
```
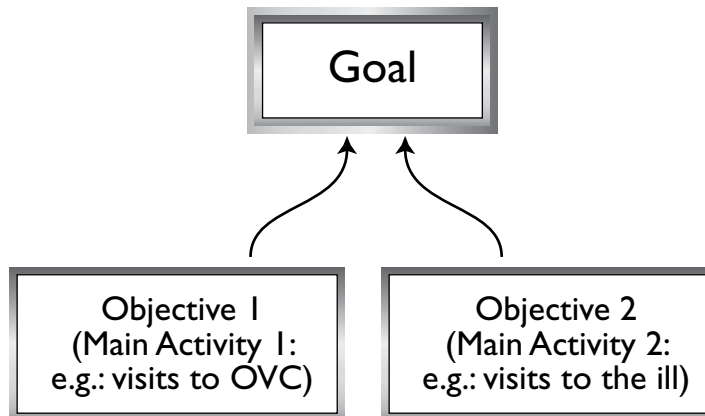
Step 1: Identify main activities

Help the group to identify the main activities that their CBO is carrying out. It may be useful to refer back to the role play from Module 1, when the group dramatised a visit by the President of the country, showing the President all the various activities that they are undertaking. Make a list of between 2-4 **main** activities.

Step 2: Writing the Objectives

Assist the group to write between one and four Objectives, depending on how many main activities the CBO is carrying out. Ensure that the Objectives are SMART. In order to write SMART objectives the group may need to think about target **numbers** and **dates** for the first time. This is important and will help them to focus on what they need to achieve.

Step 3: The Final Draft

Write the CBO's Objectives! The group should transfer the Objectives onto a large sheet of flip-chart paper and post them for continuous reference. You may copy the group's Objectives here:

_____

_____

_____

_____

_____

Facilitator Reference 2.1: The Goal

Depending on what approach you are using, there are different ways to categorise Goals and Objectives. Here we will define Goal as **the change in the lives of the target group(s) that the organisation expects to bring about during the life of its work**. The Goal should represent the solution to the problem that the CBO has come together to address. While the Vision may represent a long-term dream or ideal, the Goal must be **realistic**.

Differentiating between The Vision and The Goal

Note to Facilitator: Sometimes there will be no difference between the Vision and the Goal. This will depend on the work of the particular CBO. If you are finding that it is too difficult to differentiate between the two, then advise the CBO that they may use their Vision as their Goal.

Example 1: The Vision and the Goal are the same

An example might be in the case of a CBO with a Vision Statement that reads "We seek to improve the lives of all community OVC". The CBO Goal may also read "To improve the lives of all community OVC".

Example 2: The Vision and the Goal are different

Times when it may be appropriate to differentiate will be when the CBO's Vision is broader than what they, alone, expect to achieve. For example, if the Vision Statement reads "We aim for a community free of HIV and AIDS", the CBO will need to narrow its Goal to reflect its *actual work* and the *actual changes* in the community that they expect to bring about during the life of its project. An example of a Goal in this case might be "To improve the quality of life of the chronically ill in our community."

Example 3: The Vision and the Goal are different

Another example of a time when it is appropriate to differentiate between the Vision and the Goal is when the organisation is very large and works in many different sectors in many different geographic areas. World Vision itself is a good example of this. World Vision has a Vision Statement that guides and motivates staff around the world. It reads: *Our Vision for every child: Life in all its fullness. Our prayer for every heart: The will to make it so.* Each individual project, however, needs to develop its own Project Goal.

Vision: Long-term change at the level of the community towards which many organisation will contribute.

Goal: Change at the level of the community that the individual project/ organisation expects to bring about within the life of its work.

In some cases, these will be the same.

Example of a Project Goal

The main problem that CBO *Understanding Youth* wishes to address is the risky sexual behaviour that many community youth engage in. The CBO feels that its organisation can do good work in this regard, and that this is therefore a realistic goal for them. The CBO will write its Goal as the *inverse of the problem*; that is to say, the Goal will be stated as a solution to the main problem.

Goal
To reduce the frequency of risky sexual behavior among community youth

---

Facilitator Reference 2.2: Project Objectives

Project Objectives

Until now, you have been helping the CBO to think in *broad* and *general* ways about its purpose as an organisation and about the impact of its work. Now, however, you must help the CBO to think more specifically about what it will accomplish, by assisting the CBO to draft its Objectives.

Remember that the project Goal represents the *general accomplishment(s)* of the CBO, and is stated as a *solution to the problem(s)* that the CBO has identified.

Objectives represent **the specific accomplishments** of the CBO, and are usually related to the **causes of the problem(s)** that the CBO will contribute to solving.

SMART Objectives:

All objectives need to be SMART:

S **Specific**

M **Measurable**

A **Appropriate**

R **Realistic**

T **Time-Bound**

Example of Objectives

To come up with its Objectives, the CBO *Understanding Youth* first identified the major problem in the community and wrote a project Goal stated as the solution to the problem. After this, *Understanding Youth* analysed the causes of the problem and wrote project Objectives to address the two main causes. The CBO made sure its Objectives were SMART.

Problem: Community youth engage in risky sexual behaviour

Goal: To reduce the frequency of risky sexual behaviour among community youth

Cause 1: Youth do not have information on how to protect themselves from HIV infection
Cause 2: Some community cultural practices promote risky sexual behaviour

---

Objective 1

To provide life skills training and basic HIV information to 1,000 youth in schools, churches and youth clubs by the end of 12 months.

Objective 2

To hold one 'community conversation' per month with parents and leaders to discuss the primary issues surrounding HIV risk.

Facilitator Reference 2.3:
Review of Vision, Mission, Goal and Objectives

Vision: The Vision is the *ideal* that the CBO has for its community, representing the *impact* of its work and the work of others. The Vision is *long-term* and will not be reached easily or quickly, but it serves to guide us (like a star). The CBO will not achieve the Vision by itself, but it can *contribute*.

> **CBO** *Understanding Youth's* **Vision Statement**
>
> We strive to contribute to an environment where all youth understand the facts of HIV and AIDS and are supported by the community to engage in healthy behaviours.

Mission: The Mission is the *practical way that the CBO will contribute* to this Vision, and answers the questions: *Who are we? What are we doing? With whom or for whom are we working? How – in broad terms – are we working?*

> **CBO** *Understanding Youth's* **Mission Statement**
>
> We are a community-based organisation staffed by volunteers. We are working to ensure that all community youth have basic knowledge regarding HIV transmission and healthy sexual behaviours, and that they are supported by the community to practice these behaviours. We do this through special trainings in schools, churches and youth clubs, and by organising community events with parents and leaders.

Goal: The Goal is the *general accomplishment* of the organisation, designed to bring about a solution to an identified problem or problems at the level of the community, that the organisation expects to achieve within the life of its work.

> **CBO** *Understanding Youth's* **Goal**
>
> To reduce the frequency of risky and/or unhealthy sexual behavior among community youth

Objectives: Objectives are the *specific accomplishments* of the organisation, each addressing one or more *causes* of the identified problem or problems, that the organisation expects to achieve within a defined time period. Objectives are SMART: Specific, Measurable, Appropriate, Realistic and Time-Bound.

> **CBO** *Understanding Youth's* **Objective 1**
>
> To provide life skills training and basic HIV information to 1,000 youth in schools, churches and youth clubs by the end of 12 months.

> **CBO** *Understanding Youth's* **Objective 2**
>
> To hold one 'community conversation' per month with parents and leaders to discuss the primary issues surrounding HIV risk.

Facilitator Reference 2.4:
Diagram of Vision, Mission, Goal and Objectives

Vision
The ideal society; the work
of many organisations

Mission Statement
Who we are, what we do,
for whom we do it, and
our contribution to the Vision

**Problem
Identification**

Goal
The main outcome of our work;
the solution to the main problem
that we will address

**Causes of
Problem**

Objectives
The specific accomplishments
that will lead to the goal;
addressing the causes
of the main problem

Handout 2.1: 'SMART' Objectives

Introduction

An organisation must make sure that its Objectives are 'SMART'!

Specific

Measurable

Appropriate

Realistic

Time-Bound

Exercise

Look at the following examples of Objectives and decide if they are SMART. If you think any of the Objectives are not SMART, be prepared to explain your reasons to the plenary.

Example 1: To drill 20 boreholes providing clean water for 10,000 people.

Example 2: To hold 1 meeting per month with the President of the country to advocate for the abolition of primary school fees.

Example 3: To eliminate HIV and AIDS from our community.

Example 4: To train teachers in gender awareness by the end of 2007.

Example 5: To mobilise 1,000 farmers to uproot 5 hectares of maize each in order to plant and experiment with the cultivation of vanilla beans, for possible export in 2010.

Example 6: To hold 4 workshops per month, each workshop reaching 100 mothers in the community, to explain the various methods of preparing orange-fleshed sweet potato.

Coordinating CBOs: Goal and Objectives

- You should help the Coordinating CBO to write its Goal and Objectives. While the way you carry out the activities in the module will not change, the Goal and Objectives of a Coordinating CBO may be different from the Goal and Objectives of an Implementing CBO. For example:

- The **Goal** of an Implementing CBO will usually have to do with the beneficiaries in the community, as in the example:

   "To improve the quality of life of the chronically ill in our village"

- The **Goal** of a Coordinating CBO, on the other hand, will have to do with its coordination activities, as in the example:

   "To ensure that the eight organisations working with children in our community have up-to-date information on the activities of each other and are able to coordinate their activities in the most efficient manner possible."

- Likewise, the **Objectives** of an Implementing CBO will usually also have to do with the beneficiaries in the community, as in the examples:

   1. *"To provide life skills training and basic HIV information to 1,000 youth in schools, churches and youth clubs by the end of 12 months."*

   2. *"To hold one 'community conversation' per month with parents and leaders to discuss the primary issues surrounding HIV risk."*

- The **Objectives** of a Coordinating CBO, on the other hand, will have to do with the way it is coordinating the activities of its member organisations, as in the examples:

   1. *"To hold one meeting with all eight representatives once per month for purposes of information sharing"*

   2. *"To develop and carry out monthly action plans to respond to the gaps in activities identified during the information-sharing meetings"*

The Learning Organisation

The Learning Organisation's approach to 'logical' Goals and Objectives

Introduction

It is helpful to realise that the use of logical 'cause and effect' thinking to design Goals and Objectives is a very 'Western' way of working, based on dominant scientific ideas. This way of thinking has its origin in the natural sciences, which try to understand the physical world by reducing 'wholes' into their component 'parts'. This is a useful and logical way of thinking about machines, for example, which operate as a whole when all the parts are assembled. It is a logical way of understanding the biology of the human body, and doctors are able to effectively diagnose many illnesses by understanding the cause-and-effect relationships between the various body parts and bodily systems. It is an effective way of understanding and explaining how plants grow, how chemicals create known compounds, and even the predictable patterns of how planets orbit around the sun.

This method of breaking wholes down into their component parts in order to understand how they work is less useful, however, for understanding dynamic human and social systems. When working with humans – individuals, families, communities, organisations – we cannot always predict the effect that our actions will have, as human systems do not always follow predictable cause-and-effect patterns.

One way to understand this difference is to compare the results of throwing a rock and throwing a live bird. When we throw a rock, which is non-living, if we understand enough about physics, gravity, velocity, and other 'scientific' things, we will be able to predict exactly where the rock will go, and exactly where it will land. In contrast, it is impossible to predict the flight path of the bird! We may be able to make some educated guesses if we understand enough about the bird's habitat, daily patterns, nesting locations and so forth, but these will be, at best, *educated guesses*, **or** *working hypotheses*, **and never absolutely certain predictions!**

The same is true about the work of the CBO! The CBO will be working with children, with the sick, with families, with the community, not with rocks, plants or machines. The CBO will never be able to predict with absolute certainty what the results of its actions will be, since the members are working with human beings who all have their own personalities, behaviors and reasons for making the decision that they make.

Here are two examples of situations encountered by the CBO *Together for Children*, with results that the CBO could not predict ahead of time:

Case Study 1

The CBO *Together for Children* has as its Goal *'To improve the quality of life of OVC'*. The CBO's Objectives state the number of visits that CBO members will make to the homes of OVC, providing essential care and support. The CBO is using a 'cause and effect' logic – believing that by making home visits and providing care and support, the *effect* will be the improved quality of life of OVC. While we certainly hope that this is true, we must remember that the community is made up of human beings and we therefore cannot be absolutely certain of what will happen. In this case, the CBO realised after several months of work that families of children *not receiving* home visits were beginning to discriminate against the OVC receiving support, out of jealousy and a belief that the resources that the CBO was providing were not being distributed equitably in the community. Some OVC were being mistreated by their classmates at school, and some parents were refusing to let their children play with any child who was receiving home visits. The CBO had not anticipated this problem. But this unexpected reaction from the community was in fact *worsening* the quality of life of the OVC in social terms, meaning that the home visits were not having the effect that the CBO predicted!

Case Study 2

The CBO *Together for Children* also assumed that the families of OVC would welcome the Home Visitors into their households and would appreciate the support that the Home Visitors were providing. For the first few months this was true. However, CBO *Together for Children* did not have many financial resources when they first began their work, and so was not able to provide the OVC with any *material support* such as clothing, school books or food. The CBO nevertheless believed that the *psychosocial support* that they were providing to the children was valuable in itself – that the home visits served an important psychosocial benefit even if no material resources were being provided. But the families did not feel the same way! They began to question the purpose of the home visits, and some families even told the Home Visitors not to return! Again, the CBO had not expected this reaction from the families, and realised that their simple 'cause and effect' models were not sufficient to predict every possible outcome.

What does this mean for our work?

We do not want to suggest with these examples that it is not useful to try to think through the likely effects of our work. A logical and analytic planning process is very helpful in thinking through the "whys" of project activities. While this logical process will not capture *all* possible outcomes or scenarios as we have seen in the two case studies, it will help the CBO to have a better understanding of *why* they are carrying out each particular activities and *what* they hope the outcome will be. A logical planning process can help the CBO to achieve: *"a sense of purpose in which the organisation does not lurch from one problem to the next, but manages to plan and implement a program of action, and is able to adapt the program in a rational and considered manner".* (Kaplan, The Developing of Capacity)

Organising a project in a logical manner *does* help to provide order and coherence to the work that we are doing. As such it *does* serve an important purpose, and for this reason you are helping the CBO to develop this skill. The important point here, however, is that we cannot be **rigid** in our cause and effect logic. The key is to consider the logical plan as a *working hypothesis*. In other words, we should consider our logic to be our *good ideas*, but we should be open to the possibility that some things may not go as planned and that we may need to make changes to these ideas. We can summarise the attitude that we need to take about logical processes in a type of Credo; perhaps something like the following:

 "This is what we *think* will happen, but we are not completely certain. We *think* that these Activities will lead to these Objectives, and we *think* that these Objectives will lead to this Goal. We understand, however, that we will always need to observe what is *actually* happening to determine if our ideas are valid or not. We will make adjustments as necessary if our activities are not having the effects that we anticipated."

Exercise 1: ⟩ The Rock and the Bird

Congratulate the group on writing their Goal and Objectives, and ask them if they think that these have helped them to 'see' their project more clearly, to understand *why* they are carrying out particular activities, and *what* the results of these activities will be. Listen to the group's ideas. You may then give the group a few examples of absolutely predictable 'cause and effect' results. Hold your pen above the table and ask the group to predict what will happen if you let it go. The group will say that the pen will fall to the table and so, indeed, it will. This is absolutely predictable. Pull a plant or a flower from the ground and ask the group to predict what will happen if you leave it outside in the sun for a day. The group will say that the plant will wither and eventually die and so, indeed, it will. (You may think of your own examples to illustrate with the group.)

Now give the group the example of throwing a rock and throwing a bird, and ask the group to describe the difference in the predictability of the two actions.

Explain to the group that it is very different to make predictions about something that is *alive* as compared to something that is not. Explain that the CBO's Goal and Objectives represent *good ideas* about the likely results of the CBO's work, but that they must remember that they are working with *live human beings* and, as such, the results can never be absolutely predictable.

Exercise 2: ⟩ The Two Case Studies

Tell the group the two stories about CBO *Together for Children*'s work, and the unexpected results of the home visits. It is possible that your CBO will have experienced these very same issues, and this may provoke much dialogue and debate! Ask the group to think of recommendations that they might make to CBO *Together for Children*. It is important to understand that the reactions that the CBO encountered do not necessarily mean that the CBO must completely throw out its Goal and Objectives and start over again. Rather, it may only be necessary to make certain adjustments to their program in order to respond to the issues that have come up in implementation.

Explain to the group that these examples show that it is very important to always be alert and paying attention to what is *actually happening* as they carry out their activities. It is not enough to simply count the number of home visits made, the number of shirts distributed, or amount of school fees paid on behalf OVC, for example, and to assume that

these interventions will automatically lead to the results that they are expecting. The group certainly *must* count and keep track of its activities, but they should *also* be constantly aware of the other dynamics going on, apart from the simple delivery of their services. What is *actually happening* in the community? What are the *actual results* of their work with OVC and/or the chronically ill? Explain to the group that, in later modules, they will learn *both* how to 'count' and keep track of the activities that they carry out (See *Module 18: Monitoring*) and will *also* learn how to think about their work in ways that go beyond 'just counting'. (See, for example, *Module 6: Meetings*).

Exercise 3: ▷ The 'Vision' Drawing

Tell the group to find the drawing they made in Module 1 representing their Vision of their community in five years time. Have the members describe the drawing again, in their own words. While some of the description may take the form of 'cause and effect' (i.e., they might explain how the payment of school fees led to better-educated and happier children), it is likely that much of the description will be focused on human dynamics and relationships.

This is because a picture can often help us to see something as a 'whole', in contrast to the 'dissecting' that often happens when we are trying to analyze our project. A picture is a different way of seeing than the 'parts-to-whole', 'cause-and-effect' work that you have been doing with the group in this module. It is important that the CBO think about their work in terms of possible cause and effect, but it is also important to think in 'holistic' and dynamic ways too. Try to see if talking about the drawing brings out some of these other ways of 'seeing' the community, and 'seeing' the effects of the CBO within the community.

Conclusion

The main conclusion that you and the CBO should reach from this discussion is that the CBO will always be **learning**! The CBO will be a **learning organisation**! If the CBO were absolutely *certain* that their planned Activities would always lead to their planned Objectives and Goal, then they would only need to *think* during the planning process. Once the planning was finished, they could stop thinking!

In fact, however, the CBO should never stop *observing* what is happening, *thinking* about what they observe, *learning* from it, and *making adjustments* based on their learning!

The Facilitator as Lifelong Learner

It is interesting to think about the fact that (many) rural African communities do not always worry as much about logical 'cause and effect' planning, and 'counting', as Westerners do.

This may mean that your CBO will need to gain experience in logical planning processes and monitoring, and you will help them to gain these skills in this and other modules.

At the same time, however, it may also be the case that the CBO will *already* be much better at understanding what is 'really happening' than those of us who often limit our understanding to what we can measure and count! For example, there is often an alive and vibrant tradition of storytelling in African communities that allows for much richer and fuller descriptions of experience than simple numbers can give. This is a strength that should be recognised and built upon! Some reflections for you, the facilitator:

- Did the activities in this module prove easy or difficult for the CBO to understand and carry out? If you thought they were difficult for the CBO, what do you think the reasons for this are? Are there ways to improve the module to make it easier for the CBO to understand? (Remember, this module is World Vision's 'working hypothesis' about what will work with the CBOs. You may find that the module works well with one group, but not so well with another group, because of differences in background and circumstances. If so, what sorts of adaptations should you make?)

- Were there times during this training when the participants would 'tell stories', 'give examples' or otherwise approach planning in this more 'holistic' – as opposed to 'analytical' – way? If so, is there anything *you* can learn from the CBO about planning in ways that do not rely exclusively on Western models? Is there a way to combine 'both' ways of seeing and planning? Would that make the planning process richer and this module better? Do you have any suggestions about how this could be done?

- What can you learn about the community you are working in that you didn't know before? How can the CBO help you to learn more about the community?

Module 3:   Action Planning

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Introduction

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Special Sections

Introduction

The CBO has just gone through a process that we call *Strategic Planning* and now has its strategic framework in place, made up of a Vision Statement, a Mission Statement, a Goal and one or more Objectives. The CBO is now ready to go on to the next phase known as *Action Planning*; to think through and sequence the various activities that they will carry out in the context of this guiding framework. The diagram in *Facilitator Reference 3.1* at the end of this module shows the relationship of all these elements. One description of Action Planning is:

"The process that guides the day-to-day activities of an organisation or project. It is the process of planning what needs to be done, when it needs to be done, and by whom it needs to be done. It is the process of operationalising the strategic objectives. That is why it is also called operational planning." [12]

This module will take the CBO through the process of developing an Annual Action Plan as well as Monthly or Quarterly Action Plans.

Training Objectives

- To assist the CBO to **list and sequence the activities** it will carry out in order to reach its Objectives, using a standard, recognised Action Plan (Gantt Chart) format
- To reach **consensus** among CBO members regarding the activities in the Annual and Monthly/Quarterly Action Plans
- To help the CBO to use the **Action Plans as tools** for ongoing reflection, learning, planning and action.

Training Output

- To **produce a written Annual and at least one Monthly or Quarterly Action Plan** in a standard format.

Suggested Indicators

- The CBO has a written Annual Action Plan
- The CBO plans its activities on a regular basis (i.e. monthly, quarterly)
- The monthly action plans are written
- All CBO members are involved in drafting the action plans
- The CBO successfully carries out at least 80% of its planned activities

Materials

- A flip chart, paper and markers

Time: One-half day (4 hours)

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[12] Shapiro, Janet, *Toolkit for Action Planning*, Civicus: Civil Alliance for Citizen Participation

Activity One: Amelia's Birthday

Refer to **Facilitator Reference 3.2**: *'Amelia's birthday'*, at the back of this module. You may either read this story to the group, or dramatise it, asking for volunteers to play the roles of Juliana, Joana, Leo, Juliana's mother, Amelia and Amelia's friends. If you choose to have the group carry out a role play, be sure to explain the story well and give the group sufficient time – as much as 30 minutes – to rehearse before performing.

The purpose of this story is to demonstrate the advantages of planning. Following the story or the dramatisation, lead a group discussion about the importance of planning. Ask the group why it is important to plan, and listen to their answers. Some of the reasons include: [13]

- To force the CBO to decide how it will reach its objectives
- To resolve issues of sequence or the order in which things should be done
- To provide a basis for holding people accountable for what they do.
- To provide a basis for measuring progress.
- To provide a basis for job descriptions
- To provide a basis for budgeting

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[13] The idea for this activity is taken from Shapiro, Janet, *Toolkit on Overview of Planning*, Civicus: Civil Alliance for Citizen Participation.

Activity Two: ⟩ Personal Goals and Plans

Divide the participants into groups of three or four. Ask the members to think of situations in their own lives when they had an objective to reach and had to plan in order to reach it. Participants should tell their stories to the other members of their group. You may circulate among the groups and listen to their stories, perhaps sharing a personal goal of your own.

Following the small group discussions, return to plenary and ask for one volunteer to share his/her example. After the presentation you should summarise the information on a flip chart. It is helpful to begin to put plans into the format that the group will eventually need to use. This format has columns for the **Activity, Who** is involved and **When** it is done. For example, a CBO member named Daniel talked about his objective of harvesting 3 hectares of maize and the steps he needed to follow to achieve this. The facilitator summarised Daniel's story in a table format, as follows:

Daniel's Goal: To harvest 3 hectares of maize

Activity	Who	When
1. Select seed from last year's crop	Daniel	October
2. Till the field	Daniel and Carolina (wife)	October
3. Plant the seed	Daniel, Carolina and 3 children	November
4. Weed the field	Carolina	Dec., Jan., Feb.
5. Harvest the maize	Daniel and Carolina	April

NB: *In the case of groups with many illiterate members, you or the members may draw the activities in the respective column, rather than write.*

Activity Three: > Planning a Ceremony (Optional)

Divide the participants into groups of five and give each group a large sheet of paper and markers. Instruct the groups to draw a planning table on the paper, similar to the tables used in the examples in Activity Two, with columns labelled **Activity**, **Who**, and **When**.

Tell the group to imagine that they are a family: a husband, wife and three older children. Their eldest son (not present) will be returning next month from working in the mines of South Africa and the family wants to plan a return ceremony for him, inviting important leaders and other families.

The group should decide on all the steps they will have to take to prepare for and hold the ceremony. Some of these steps will take place *prior* to the actual day (i.e. purchasing a goat). They should also include and carefully sequence all of the activities for the *day* of the ceremony, with the appropriate division of responsibilities. (i.e. fetch water, slaughter the goat, etc.).

Give the groups time to fill in their tables. Again, if the members do not read and write they may draw representations of the various activities. They should clearly indicate *who* will be responsible for each activity, and *when* each activity must happen (sequencing).

When each group is finished they should present their plans in plenary. The participants may vote on which group came up with the most complete plan, with the most complete and logical sequencing of activities, that will result in the most successful ceremony!

Activity Four: The CBO's Annual Action Plan

Now that the group has had a chance to practice planning a sequence of activities with respect to their own lives and to a hypothetical situation, they should be ready to come up with an Annual Action Plan for the CBO. The main difference between this plan and the plans they have already practiced with is that they will use a **Gantt Chart** format to show the distribution of activities by month throughout the year. Instead of writing a month (i.e. October), they will shade in the box or boxes that represents the month or months. See the example in **Facilitator Reference 3.3** at the back of this module.

You will carry out this activity with the group in plenary. Copy the example of the Gantt Chart onto one or more large sheets of paper and post the paper(s) on the front wall so all members can see. Review the CBO's **Objectives** with the group. The Annual Action Plan will be drafted based on these Objectives. Write the first Objective at the top of the paper.

To come up with a sequence of activities, the members should ask themselves what actions the CBO needs to take to reach this first Objective. The groups should put the **activities** into sequence, determine **who** will be responsible for the activities and **when** the activities will be completed. Notice in the example in your Facilitator Reference that if an activity will be carried out all year long, the group will shade every monthly box. Follow these steps for each of the CBO objectives until the members have exhausted their ideas and feel that they have come up with a complete plan of action for the year.

When all the members have agreed on a final version of the Annual Action Plan, be sure that the Secretary copies it into his / her notebook to serve as a permanent group record.

Activity Five: The Monthly/Quarterly Work Plan

While the Annual Action Plan is an important tool that enables the CBO to think through the steps it will take to reach its objectives, it is also necessary for the group to come together more frequently for purposes of more immediate planning. This is important to ensure that each member knows exactly what he or she is responsible for doing on a month-to-month (or quarter-by-quarter) basis, and allows for more effective follow up by the group leaders.

NB: You should let the group decide if they prefer to do this type of planning on a quarterly (i.e. four times per year) basis, or if they prefer to meet and plan every month.

The quarterly or monthly plan is similar to the annual plan but it is more detailed. You may use a similar Gantt Chart format for this plan, substituting the columns with months for columns with weeks (see the example below). The group will also add an **Observations** column that they will fill in at the *end* of the month/quarter so that they can track their actual accomplishments against the plan.

Copy the example onto a flip chart and ask for a volunteer to lead the CBO through the process of drafting a plan for the following month or quarter. Explain that this is a process they should repeat every month or quarter, coming together to review the prior month's/quarter's activities and to make new plans for the coming month or quarter.

Monthly Plan: October 2007

Activities	Who	When (week)				Observations (to be filled in at end of month)
		1	2	3	4	
Example: Plant CBO community garden	**Example:** All members					**Example:** Work was delayed due to lack of rain. Garden finished by week 4.

Facilitator Reference 3.1:
From Strategic Framework to Action Planning

Vision
(The ideal society; the work
of many organisations)

Mission Statement
(Who we are, what we do,
for whom we do it, and
our contribution to the Vision)

**Problem
Identification**

Goal
(The main outcome of our work;
the solution to the main problem
that we will address)

**Causes of
Problem**

Objectives
(The specific accomplishments
that will lead to the goal;
addressing the causes
of the main problem)

Activity Planning
(The specific activities that
the CBO will carry out to
lead to its Objectives)

Facilitator Reference 3.2: 'Amelia's Birthday' [14]

Juliana is a 16 year-old girl who lives in a small village. She has three brothers and one sister. Her sister, Amelia, will be 8 years old next month, but she has never had a birthday party because the family usually does not have enough money.

It is a hot and quiet evening and Juliana is unable to sleep. She wishes she could plan a party for her sister, even if it is something simple. She gets out of bed and quietly finds a candle. She tears a sheet of paper from her school notebook. At the top she writes, 'Amelia's Birthday'. Then she begins to make a list:

1. Save the coins that Father gives me for school snacks. Do not eat a snack for 2 weeks. Use the money to buy ingredients for a cake.

2. Ask brother Leo who is working if he will buy 4 Fanta Orange and 4 Fanta Pineapple drinks for the party.

3. Ask schoolmate Joana to draw a beautiful picture. Have Amelia's friends write their names on the back of the picture.

4. Ask Mother if I can invite 5 of Amelia's friends to the house to play jump-rope, eat cake and drink Fanta.

5. August 7th: Party! Play, eat, drink and sing Happy Birthday.

She rereads what she has written and, satisfied with her plan, goes back to bed.

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[14] This activity is modified from a similar activity in *Project Design for Program Managers: Conducting a Workshop on Planning Community-Based Projects:* The CEDPA Training Manual Series, Volume II, The Centre for Development and Population Activities, Washington, D.C., 1994.

Facilitator Reference 3.3: Gantt Chart for Annual Action Plan

Objective 1: _____

Activities	Who	When (Month)											
		J	F	M	A	M	J	J	A	S	O	N	D
Example: Meet with local Administrator to discuss educational needs of OVC	CBO President												
Example: Make regular visits to the homes of OVC	CBO Home Visitors												
Example: Make regular visits to the homes of the chronically ill	CBO Home-Based Caregivers												

Coordinating CBOs: Goal and Objectives

Again, there will be little difference in the way that you will carry out the activities in this module if you are working with a Coordinating CBO as opposed to an Implementing CBO. The only difference, again, is that while the activities of an Implementing CBO will be related to their work with beneficiaries in the community, the activities of a Coordinating CBO will be related to their work with the organisations that they are coordinating.

The Gantt Chart in Facilitator Reference 3.3 provides examples of the types of activities that might be found in the **Action Plan of an Implementing CBO**, as follows:

1. Meet with local Administrator to discuss educational needs of OVC
2. Make regular visits to the homes of OVC
3. Make regular visits to the homes of the chronically ill

In contrast, the types of activities that might be found in the **Action Plan of a Coordinating CBO** might be the following:

1. Meet with local Administrator to discuss educational needs of OVC (on behalf of the eight organisations represented in our CBO)
2. Meet with all eight representatives on a monthly basis
3. Identify community OVC not being reached by any of the 8 organisations
4. Develop a strategy to reach OVC identified in previous step

The Learning Organisation

Introduction

The important point for a Learning Organisation to remember is that Action Plans are only 'Working Hypotheses' or 'Good Ideas'! Action Plans are *not* absolutely rigid, permanent lists of activities that the CBO *must* carry out at all cost. The CBO should certainly *try* to carry out the activities that it has planned, but if things are not working well, or if the external situation changes, then the CBO may need to *change its plans*. A Learning Organisation will always review what is *actually happening* and decide if the Action Plans are still 'good ideas', or if they need to make adjustments to the plans.

Action Learning

We may think of this as a cycle. First the CBO **Plans**. Then it tries to carry out its plans; in other words, it moves to **Action**. After this, the CBO must **Reflect** on what actually happened, to see if what actually happened was the same as what was planned, and to **Learn** from any unexpected results. From this learning, the CBO should make new **Plans**, carrying on with what is working well, and making any changes that need to be made.
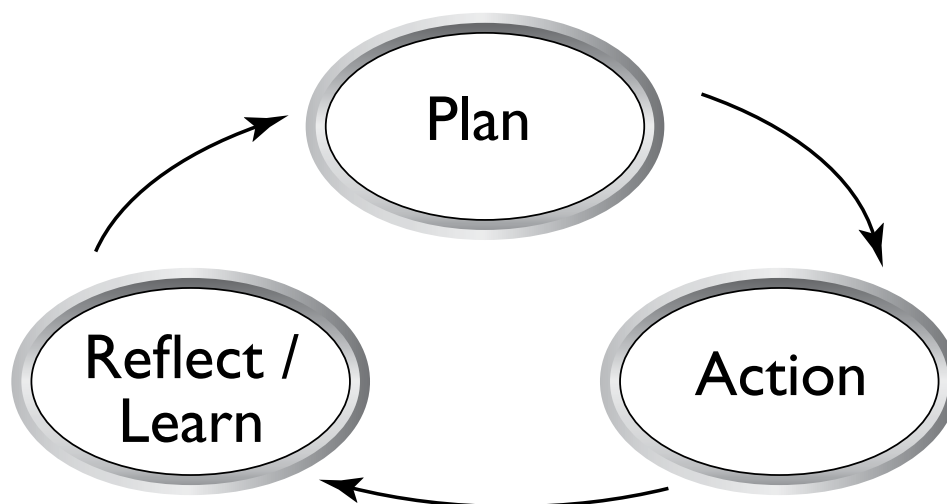
We call this cycle of Plan, Action, Reflect/Learn, and new Plan '**Action Learning**'. One definition of Action Learning is:

The process of consciously learning from experience in order to improve future practice.

Action Learning is not difficult for the CBO to do! In fact, you just taught them how to do this when you introduced the Monthly / Quarterly Action Plans! The CBO will come together at the beginning of the quarter to **Plan** for the quarter. They will then will carry out their **Actions** during the quarter. At the end of the quarter they will come together again to **Reflect** and **Learn** from what actually happened. (Remember the column for 'Observations' in the Quarterly Action Plan table? This is where they will write down their 'review notes') During the same meeting, they will make new **Plans** for the coming quarter, adjusting old plans based on what they learned from their action during the quarter.

One benefit of Action Learning is that it helps the members of the CBO to become independent learners, learning more from their **own experience** and becoming less dependent on you, the Facilitator, for knowledge or guidance. This is crucial if the CBO is to sustain its work beyond the time you, or the organisation you work for, are there to help.

The most important point to make here is that the CBO **should not be afraid to change its plans** if necessary! Sometimes we think that just because we have written something down, we can no longer change it! But a Learning Organisation will *always* change if it has to – a Learning Organisation will never be afraid to make necessary changes!

Exercise: Case Study

CBO *Understanding Youth* tries to carry out one 'community conversation' per month with parents and community leaders to discuss the main issues surrounding HIV and AIDS. This activity forms part of their monthly action plan, as follows:

Activities	Who	When (week)				Observations
		1	2	3	4	(to be filled in at end of month)
Community Conversation	All members, with parents and community leaders					

During the month of May, 9 parents and 7 community leaders, including traditional birth attendants, initiation ceremony leaders and traditional healers were present at the community conversation. The CBO began to speak about initiation ceremonies, and about how some of the practices that are carried out during these ceremonies can increase the risk of HIV transmission. As soon as the CBO members raised this topic, however, the parents and the initiation leaders grew very angry, saying that youth initiation is a traditional practice that has been going on for as long as they can remember and that the CBO has no right to question the practice. The meeting ended in disarray and, very quickly, the entire community learned what happened and joined the parents and the leaders in showing their disapproval and anger towards the CBO and the issues it was raising. Needless to say, the CBO members were very concerned, and called a special meeting to talk about what happened. They began the meeting by filling in the 'Observations' column of the action plan, as follows:

Activities	Who	When (week)				Observations
		1	2	3	4	(to be filled in at end of month)
Community Conversation	All members, with parents and community leaders					Parents and leaders very angry Disagree completely with our message Community also opposed We do not know what to do now.

Ask the group to reflect on this case and to think through the Action-Reflection-Learning-Planning cycle. You may ask the group the following questions to help stimulate their thinking. Note that there are no right or wrong answers; rather, it is up to the group to engage in the action learning process and to come to their own conclusions!

Action: Describe the events. What significant things happened? Who was involved, what did they do?

Reflection: Why did it happen, what caused it? What helped, what made the situation worse? What did the CBO expect to happen differently? What assumptions did the CBO make?

Learning: What could the CBO have done differently? What did the CBO learn from the experience? What new questions have emerged?

Planning: What does this mean for practice? What does the CBO want to do? How? What should the CBO do differently? What steps should the CBO use to build these new insights into its practice?

Exercise: A Real Meeting

Explain to the group that they should practice going through the action-reflection-learning-planning process when they come together at their next meeting. They should review the monthly action plan and fill in the 'Observations' column with comments as to what actually happened during the month. They can then reflect on these happenings, using the same questions that you asked for the case study, as follows:

Action: For each planned activity, describe the actual events during the month. What significant things happened? Who was involved, what did they do?

Reflection: Why did these things happen, what caused them? What helped, what made the situation worse? What did we expect to happen differently? What assumptions did we make? Did some of these assumptions turn out to be false? Were any of our assumptions correct?

Learning: What could we have done differently? What did we learn from the experience? What new questions have emerged?

Planning: What does this mean for practice? What do we want to do now? How? What should we do differently? What steps should we use to build these new insights into our practice? How will our next monthly plan change, if at all?

Explain to the group that they should try to go through this process at every monthly meeting.

The Facilitator as Lifelong Learner

You should try to sit in on the CBO's monthly meetings during the first few months so that you can help them with the Action-Reflection-Learning-Planning cycle. Your facilitation will be useful as the group gains practice in reflection and learning. You may ask the same questions that you posed in the exercises given here. As you assist the group to go through this process, reflect on your own learning!

- **Action:** What happened in the CBO this month that I did not expect? Who was involved, what did they do? Was I involved in any way? What was my role, my contribution, my influence? Was this positive or negative?

- **Reflection:** Is the CBO understanding the reflection phase of the cycle? Are they able to think about and discuss the reasons why unexpected things happened?

- **Learning:** Is the CBO learning from its experiences? Am I learning? What can I do differently as a facilitator?

- **Planning:** What should I do now to continue to grow as a facilitator and to continue to help this group?

Mentoring: Capacity Area 1: Organisational Purpose and Planning

Module 1: Organisational Vision and Mission
Module 2: Organisational Goal and Objectives
Module 3: Action Planning

Follow Up (after trainings)

1. Use the **"GROW"** method to consolidate the Vision with the CBO. Once the CBO has come up with its Vision Statement you may use the probing questions contained in the GROW method to help the group think through the ways in which they will work towards their Vision in light of the current reality, in light of obstacles that they may face and in line with the levels of commitment that they display.

2. After you have completed the training in **Action Plans** (Module 3) continue to provide support to the group as they begin to create their action plans on a regular basis (monthly or quarterly). You will want to try to be present during the first 2 or 3 planning sessions to provide guidance as the group starts to put the learnings into practice.

3. Assist the group to get into the habit of thinking in terms of a **Learning Cycle**. The group should always review the extent to which they were successful in carrying out their plans during the past month, to reflect on their experiences, and to make adjustments to new plans in light of what happened during the previous cycle. (Plan-Action-Reflection/Learning-Plan, etc.)

4. Use the following **Guiding Questions** to assist the group as they move through the Learning Cycle.

   Action: For each planned activity, describe the actual events during the month. What significant things happened? Who was involved, what did they do?

   Reflection: Why did these things happen, what caused them? What helped, what made the situation worse? What did we expect to happen differently? What assumptions did we make? Did some of these assumptions turn out to be false? Were any of our assumptions correct?

   Learning: What could we have done differently? What did we learn from the experience? What new questions have emerged?

   Planning: What does this mean for practice? What do we want to do now? How? What should we do differently? What steps should we use to build these new insights into our practice? How will our next monthly plan change, if at all?

Resources: Modules 1 - 3

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20. *Youth Livelihood Training Manual*; Africare: RAPIDS "Reaching HIV and AIDS Affected People with Integrated Development and Support", Lusaka, Zambia, 2005.

Capacity Area 1: Organisational Purpose and Planning

Module 1: Organisational Vision and Mission

Module 2: Organisational Goal and Objectives

Module 3: Action Planning

In this section the CBO will establish a clear organisational vision, mission, goal and objectives by working through a series of facilitated activities. Each member of the group will memorise the vision, mission, goal and objective statements that the CBO creates using different memorisation techniques. The Facilitator will explain the importance of these four components to internal activities, public relations, fund-raising, and other external purposes and will engage the group in various activities that will help to consolidate these points. Through case studies and stories, the Facilitator will also help the CBO to understand what it means to be a 'Learning Organisation' and how this will benefit the CBO. The CBO will then create annual and quarterly / monthly action plans, and will learn how to use these plans for future reflection, learning, planning, and action carried out by the CBO.

World Vision ®

Part II: Facilitator's Manual for **OCB** *Training*

ORGANISATIONAL
CAPACITY
BUILDING

Capacity Area 2:

Organisational Structure and Procedures

World Vision is a Christian relief, development and advocacy organisation dedicated to working with children, families and communities to overcome poverty and injustice.

As followers of Jesus, World Vision is dedicated to working with the world's most vulnerable people. World Vision serves all people regardless of religion, race, ethnicity or gender.

author: **Michele Gaudrault**

Capacity Area 2:

Organisational Structure and Procedures

Contents

Introduction

If you have carried out Modules 1-3 with the CBO, the participants will have produced a Vision and Mission Statement, written their Goal and Objectives, and come up with an Annual Action Plan. This means that the CBO has both a clear **Strategic Framework** and a clear **Operational (Action) Framework** in place. The general direction in which the CBO's work is headed, and the concrete ways in which the CBO plans to carry out this work, have all been carefully thought through.

It is now important that the CBO turn its attention to issues of **Structure** and **Procedures**. What is the best way for the group to organise itself so that the work will be carried out as efficiently and effectively as possible? What kinds of rules and procedures should the CBO establish in order to keep things running smoothly and to respond to any internal problems in a fair and consistent manner? How often should the CBO meet to review its work, and what are the main items that need to be addressed and discussed during the meetings?

Modules 5-7, aimed at beginner-level organisations, address all of these questions and will help the CBO to put its necessary structure and procedures into place.

Module 5:   Structure, Roles and Responsibilities

Contents

Introduction

Activities

Facilitator Reference Sheets

Special Section

Introduction

This module looks at the way that the CBO as a whole is structured – that is to say, the way that the leaders and members and, sometimes, other member CBOs are organised, and the way that information flows between and among them. By the end of the training, you will have helped the CBO to review its structure and to represent this structure in visual form, emphasising organisational arrangements that ensure open *communication* and *collaboration* among all the members. You will also help the CBO to make certain that each individual understands his or her roles and responsibilities within the CBO and within the larger community.

Training Objectives

- To identify the structure of the CBO and to represent this structure in visual form
- To determine the 'lines of communication' within the CBO
- To assist each member of the CBO to clarify and understand his / her responsibilities

Training Outputs

- To produce an **Organisational Chart** illustrating the structure and 'lines of communication' within the CBO
- To produce written **Role Descriptions** for all members

Suggested Indicators

- The CBO has an Organisational Chart (Organogram)
- The CBO has a leadership structure in place
- At least one leader is a woman
- Leaders are elected by secret ballot
- New elections are held periodically
- All CBO members have a written Role Description (RDs)
- All CBO members can clearly state their responsibilities
- CBO members know where to go for help if they are having difficulty fulfilling their responsibilities

Materials

- Flip chart, paper and markers
- Sturdy 'construction paper' or 'index cards'
- A camera and access to photo processing / printing (optional)

Time: 1 day

Activity One: The Structure of the CBO

Introduction

The CBOs that you will be working with may be structured in many different ways. The following are examples of some of the types of organisational structures that are possible. These examples are not exhaustive, and it is possible that the CBO that you are working with will be structured differently. **Before you begin the training in this module** you should decide which of the example structures most closely matches the organisation you are working with. If none of the examples provided here are close, you will need to **draw your own diagram** and be prepared to work with it throughout the module.

- **Example 1:** A small, implementing CBO *(See the diagrams in Facilitator Reference 5.1 and 5.2 as examples)*
  - In this example, the CBO shown in the diagram is working with Home Visitors to provide care and support to OVC in their own homes.
  - This CBO *implements* this work directly.
  - All the Home Visitors are members of the CBO and participate in decision-making.
  - The CBO has a leadership structure made up of a Chairperson, Vice Chair, Secretary, Treasurer and Counselor. Some of the leaders are also Home Visitors

- **Example 2:** A larger, implementing CBO *(See the diagram in Facilitator Reference 5.2 as an example)*
  - In this example, the CBO shown in the diagram is working with Home-Based Caregivers (HBCGs) to care for the chronically ill in the community
  - This CBO *implements* this work directly
  - The CBO has a *Central Committee* made up of representatives from all sectors of the community, as shown in the diagram
  - There are a total of 90 HBCGs in this example, working in 3 different villages. Only *one* representative of the HBCGs is a member of the Central Committee. This representative helps to take decisions *on behalf of* all the HBCGs.
  - The Central Committee has elected a Chairperson, Vice Chair, Secretary, Treasurer and Counselor from among the committee members.

- **Example 3:** A coordinating CBO; a *coalition* of CBOs coming together to coordinate the activities of the individual organisations *(See the diagram in Facilitator Reference 5.3 as an example)*
  - In this example, the **CBO Coalition** is made up of 8 member CBOs, each of which has its own internal mission and carries out its own activities.
  - The 8 member CBOs *implement* their own activities. The CBO Coalition *coordinates* the activities of the 8 member organisations.
  - The CBO Coalition has elected a Chairperson, Vice Chair, Secretary, Treasurer and Counselor from among the CBO representatives.

In this activity you will assist the CBO to draft an organisational chart, also known as an **organogram**, similar to the example diagrams provided in the Facilitator Reference sheets. Organograms are developed to illustrate the way that the CBO is structured, and to delineate the lines of communication within the organisation.

Step 1: Preparing cards for the organogram

- Give each group member a large, sturdy card. You may distribute the cards as they are, or you may cut them into circles, as in the diagrams in the Facilitator Reference sheets. Ask each participant to write his/her name on the card in large letters.
- If the CBO you are working with is an *implementing CBO*, ask each participant to also write on the card the community sector that he/she represents, if applicable (e.g. Traditional Healer, Teacher, etc.)
- If the CBO you are working with is a coordinating CBO (i.e. a CBO Coalition), ask each participant to also write the name of the member CBO to which he/she belong and is representing. *(e.g. in Facilitator Reference 5.4, this corresponds to the titles 'CBO #1, CBO #2, etc. The participants will substitute names for numbers, of course)*
- If the participant holds a leadership position, tell the participant to also write his/her position on the card. (e.g. Chairperson, Treasurer, etc.)

Step 2: Arranging cards into an organisational structure

- Now that each participant has filled out a card, ask the group to arrange their cards on a table or on the floor in a way that represents the organisational arrangement. As Facilitator, you will need to recognise that there are various possibilities for the way that the group will arrange their cards. Refer to your Facilitator Reference sheets as examples, and help the group to decide how to represent their organisational structure. If the CBO you are working with is structured in a different way – a way not represented in any of the diagrams in this module – this is not a problem, so long as the structure makes sense and is functional.

Step 3: Copying the organogram

When the group has agreed on its organogram, the Secretary should copy the diagram into his/her notebook. In addition, the CBO may want to draw the organogram on a large sheet of flip chart paper and keep it posted for continous reference.

NB: If it is possible to arrange to take photographs of each member and to use the photographs in the organisational chart, this is even better!

Activity Two: Roles and Responsibilities

Introduction

In this activity you will review the roles and responsibilities of the leaders and other members of the CBO. In almost every case, the CBO leaders will have similar responsibilities. You will have to work on a case-by-case basis, however, when reviewing the responsibilities of other members.

Step 1:   Reviewing the Leadership Structure

- Ask the leaders of the CBO to introduce themselves. You will want to review the leadership structure with the group to ensure that there are enough filled positions to carry out the basic functions of the CBO. At a minimum, the CBO will probably need a leadership structure composed of the following:

    - Chairperson
    - Vice Chairperson
    - Secretary
    - Treasurer
    - (Counselor)

- In addition, if the CBO you are training works with a cadre of volunteers, you may also want to suggest that it elects or appoints a leader to look after and support these volunteers. As such, a new leadership position may be created:

    - Volunteer Support Coordinator

Step 2:   Reviewing Leader Responsibilities

- Review the leadership positions one by one, asking each leader to describe his or her responsibilities. Make a list of these responsibilities on a flip chart, or ask for a volunteer to do the writing. After each leader has reviewed his or her responsibilities you may then add suggestions from your lists in *Facilitator Reference 5.5* found at the back of this module. You should be careful not to *impose* these ideas on the CBO, but if the members feel that the additional roles make sense for their group, they may add them to the lists of leader responsibilities. You should have one flip chart page for each leader. Post the pages on the wall. You will return to these lists later when the group writes its Role Descriptions.

Step 3: Defining Desired Leader Qualities

- Facilitate a group discussion about the desired qualities of the leaders. As the group brainstorms their ideas, a list of these qualities should be added to the pages on the wall. Different groups will come up with different lists, and this is fine. Examples might include:

  - Honesty
  - Ability to motivate
  - Literacy
  - Outgoing personality
  - Accountability to members

NB: In Module 12 you will explore with the group the qualities and styles of effective leadership in much greater detail. The purpose of this exercise is to develop a preliminary list of desired qualities to include in the Role Descriptions.

Step 4: Reviewing the Membership Structure

- This step is similar to Step 1 except that instead of identifying the leadership positions you will ask the group to identify its membership structure.

Step 5: Reviewing Member Responsibilities

- This step is similar to Step 2 except that instead of reviewing the Leaders' responsibilities, you will be discussing the Members' responsibilities.
- Ask the participants to describe the duties of the various CBO members (e.g. Committee Members, HVs, HBCGs) and list these on separate sheets of flip chart paper. Brainstorm with the participants until the ideas are exhausted and the group feels that the lists are comprehensive. You may then add suggestions from *Facilitator Reference 5.6* as appropriate.

Step 6: Defining Desired Member Qualities

- Facilitate a group discussion about the desired qualities of a CBO member, to include the desired qualities of a Committee member, a HV or a HBCG. As the group brainstorms their ideas, a list of these qualities should be added to the relevant flip chart paper on the wall. Different groups will come up with different lists, and this is fine. Some possibilities include:

  - Volunteer spirit
  - Likes children
  - Energetic
  - Positive

Activity Three: Discussing Leader Elections

Explain to the group that there are at least three ways of electing leaders, as follows:

- **Consensus:** All members agree that a particular individual should be the Chairperson, a particular individual should be the Treasurer, etc.
- **Open Vote:** If the group is undecided among two or more candidates, it is possible to vote with a show of hands. This is called an open vote because everybody is able to see who everybody else votes for.
- **Secret Vote:** If the group is undecided among two or more candidates, it is also possible to vote through secret ballot. There are many ways to organise this. For example, you may set out one cup to represent each candidate and have each member secretly place a stone in the cup of his / her choice. The winner is the person whose cup has the most stones.

You can illustrate these three ways of voting by calling over some of the children who will likely be watching your training session. (It is better to demonstrate the voting methods using children or other individuals who are not members of the group, to avoid any unintended influencing of the group's eventual choice of leaders.) Have the group practice with a *consensus* vote, an *open* vote and a *secret* vote, 'electing' one or more leaders among the children.

*Although it is ultimately up to the CBO to decide which method it wishes to use, it is not inappropriate for the **facilitator to recommend the secret vote**. Both the consensus and the open vote methods carry the disadvantage of members influencing each other, and this may result in the true wishes of the less powerful members of the group remaining hidden. A secret vote is democratic and gives every member the opportunity to assert his or her preference.*

Explain to the group that it is usually a good idea to rotate the leadership on a periodic basis (every year or every two years), although they should remember that leaders should be selected based on their capacity to perform their functions. In groups with many illiterate members it may be more feasible to rotate leadership roles among the leaders (for example, the Chairperson becomes the Secretary, the Secretary becomes the Vice Chairperson, etc.). Nevertheless, to the extent that ordinary members are able to assume leadership pos itions over time, this should be encouraged.

Explain to the group that they will be making decisions on all of these matters – how to elect their leaders, how long leaders should remain in their positions, etc. – in the next module, when they draft their internal rules.

Activity Four: Mock Interviews (Optional)

It is best in this exercise if you have 2 facilitators to play the roles of the 2 candidates who would like to run for Chairperson in the next CBO elections. (If you ask group members to play these roles, the candidates who are not selected may take it as a personal reflection of their own abilities. You want to avoid this.) If you are facilitating by yourself – that is to say, if you do not have two other facilitators to help you with this activity – you may try to summon your creativity and your acting abilities to play the role of 2 different people!

Tell the group to imagine that it is almost time to hold new leader elections. There are two members of the CBO who are interested in running for Chairperson, and the CBO has decided to interview these candidates so that they can gain a better idea of who they would like to vote for. Explain that they will need to ask the candidates questions in order to gain insight into their qualities, personalities, and abilities.

Give the group time to come up with good interview questions. You can help the group if they are having trouble with this. Some examples might be:

- Have you ever held a leadership position? If so, when, and for what group?
- How many people were in the group that you were leading?
- Imagine that there are 3 Home-Based Caregivers in the CBO who have not been making visits to the homes of the ill for the past two months. If you were elected Chairperson, how would you handle such a situation? What would you do?
- Imagine that there are 2 members of the CBO who are constantly arguing and trying to stir up trouble in the group. If you were elected Chairperson, how would you handle such a situation?
- Imagine that the health post begins refusing to receive OVC without payment, even though our CBO had already negotiated with the health post not to charge these children. If you were elected Chairperson, how would you handle such a situation?

You (and the other facilitator, if available) will play the role of the two candidates in turn. You should sit in front of the group and prepare to answer the questions that the group asks you. After you have acted out the interviews, the group will make its selection. You should then facilitate a discussion, eliciting from the group the reasons for their choice and the qualities that the candidates demonstrated. You will use this discussion to consolidate the ideas generated in Activity Two. This should help the group to think carefully about the qualities that the CBO is looking for in its leaders.

Variation

You may choose to repeat the mock interviews, altering the activity so that the group now imagines that it is trying to recruit additional HVs or HBCGs, rather than a new Chairperson. Again, the group should come up with interview questions and you – and the other facilitators if available – will again play the roles of two potential candidates. Following the interviews the group will make its selection, and you will facilitate a group discussion consolidating the ideas as to the desirable qualities of a HV and/or HBCG.

Activity Five: ⟩   Written Role Descriptions

Now that the group has agreed on the responsibilities and desired qualities for the Leaders and the Members, it is important that these are summarised in written Role Descriptions (RDs) and that each person is provided with a copy of his or her own RD.

You may use the format provided in *Facilitator Reference 5.7* **found at the back of this module and assist the group to complete RDs for each person. (You can either photocopy sufficient pages for every group member, or ask the CBO to copy the format onto their own paper.) The group should be able to easily fill in the Duties and the Desired Personal Characteristics for each position, based on the lists developed in the previous activities.**

If many members – particularly HVs and/or HBCGs – do not read and write, it will be most helpful for these members to receive RDs with pictorial representations of their responsibilities, as opposed to written lists. If this is not fully possible (i.e., if some responsibilities are difficult to represent through drawings), it is important that other group members assist those who cannot read and write to understand their own RDs.

Activity Six: > # Working with the Secretary

As the CBO begins to accumulate written documentation, you will want to spend a little time with the Secretary to make sure that he or she has a reasonable system for filing papers. It is unlikely that the CBO will own a file cabinet as such, but you may want to help the Secretary to organise a system of folders and notebooks. If you have carried out Modules 1-3 and Module 5, the Secretary should be safekeeping, at this point, the following documentation:

- The CBO Vision Statement, Mission Statement, Goal and Objectives
- The CBO Annual Action Plan
- The CBO Monthly Activity Plans
- A copy of the Organisational Chart (Organogram)
- A copy of a Role Description for every position

The Secretary should be able to locate these documents at any time to present to any interested CBO member or outside party. An organised system of folders is therefore key, and you should help the Secretary to set this up.

Facilitator Reference 5.1:
Sample Organisational Structure 1

Implementing CBO with Home Visitors and/or
Home-Based Caregivers as members
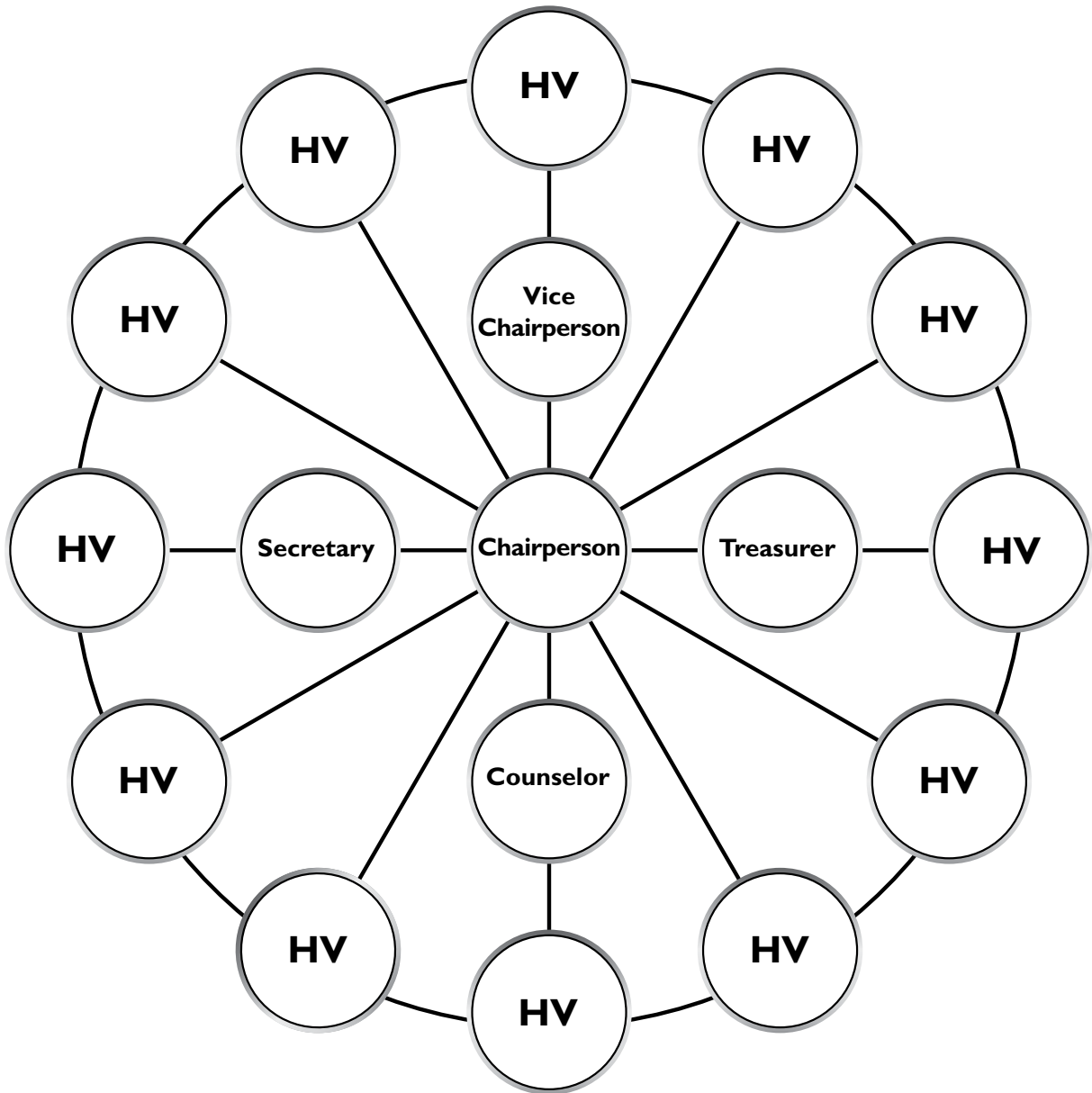
HV = Home Visitor

Facilitator Reference 5.2:
Sample Organisational Structure 2

**Implementing CBO: CBO Committee with
multi-sectoral representation; recruits Home Visitors and/or
Home-Based Caregivers**
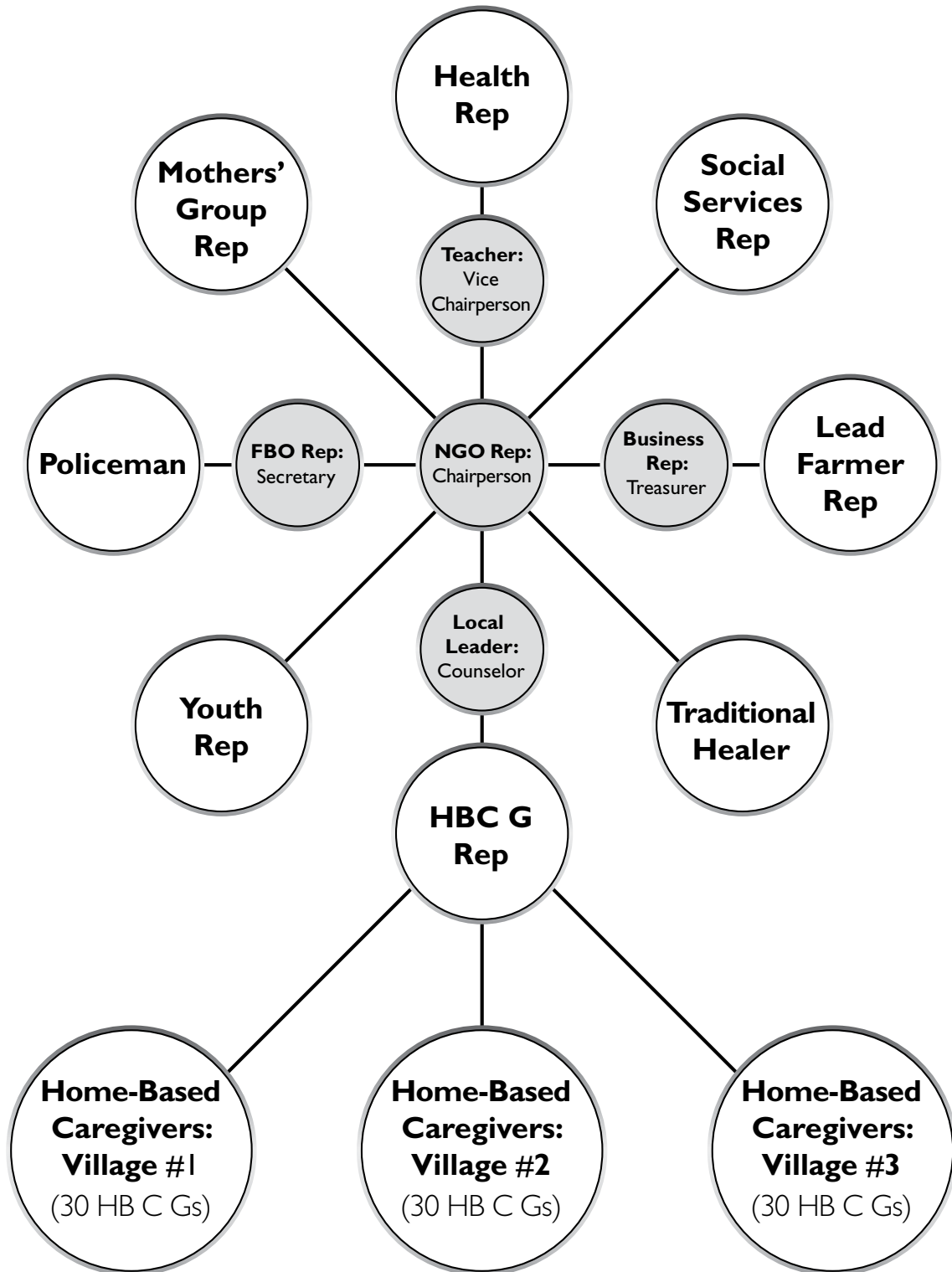
HV = Home Visitor

Facilitator Reference 5.3:
Sample Organisational Structure 3

**Coordinating CBO: Multiple organisational members,
each with own program, join to form coalition.
The coalition coordinates activities**
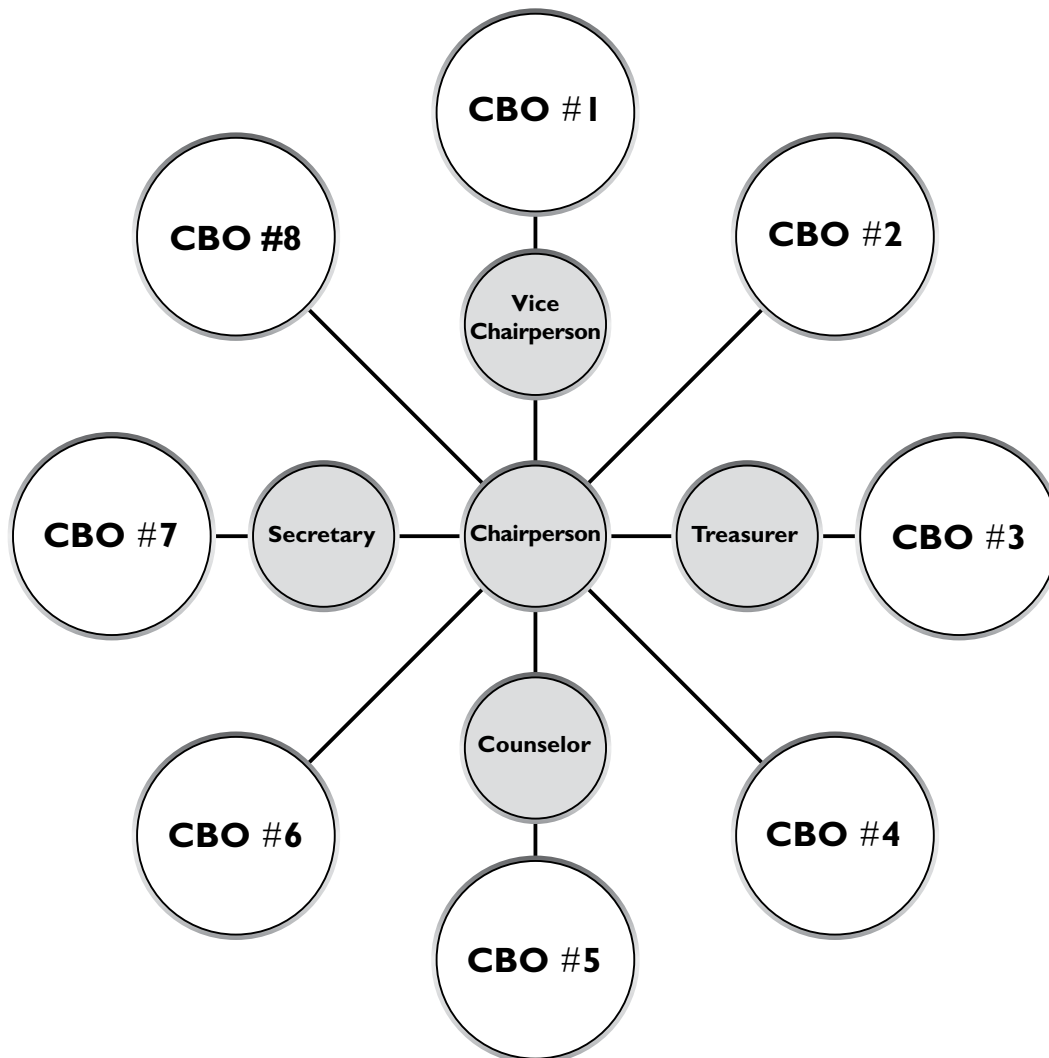
Examples:

CBO #1: Works with Home Visitors to provide support to OVC

CBO #2: Works with Home-Based Caregivers to care for chronically ill in community

CBO #3: Carries out OVC advocacy

CBO #4: Carries out HIV and AIDS prevention activities

CBO #5: Works with Home Visitors to provide support to OVC

CBO #6: Sponsors recreation activities for community children

CBO #7: Involved in PMTCT sensitisation

CBO #8: Works with Home-Based Caregivers to care for chronically ill in community

Facilitator Reference 5.4:
Sample CBO Leader Responsibilities

General

Leaders must be accountable to CBO members! Some examples include:

- Accepting periodic elections where new leaders may be voted in by the members
- Involving all members in formulating the CBO's Internal Rules. Leaders and members alike must abide by the rules
- Reading minutes and providing progress reports (these may be verbal) to members during monthly meetings
- Providing a cash reconciliation to members during monthly meetings (opening the cash box, counting the money in front of the members, and demonstrating that the money on hand matches the balance in the cash book)

Chairperson

- Coordinate CBO activities
- Monitor and manage the work of the CBO to make sure there is progress and problems are dealt with
- Collect monitoring information, prepare monitoring reports, and submit as necessary
- Supervise the other members of the Executive Committee
- Convoke and preside over periodic meetings
- Structure meetings such that members can openly and frankly debate and decide on issues
- Motivate members to be active and participate in activities as well as discussion and debate
- Make sure members have information on relevant issues affecting the CBO
- Represent the CBO at meetings with external stakeholders

Vice Chairperson

- Stand in for the Chairperson when the Chairperson is absent
- Assist the Chairperson to coordinate and oversee CBO activities
- Make recommendations to the Chairperson and / or the Executive Committee as appropriate
- Inform the Chairperson of problems

Secretary

- Keep an updated list of all CBO members
- Create an organised filing system
- Safekeep all CBO documentation, to include Vision and Mission Statement, Action Plans, Role Descriptions, Organisational Chart, and more
- Write an agenda for all meetings and post the agenda visibly prior to the meetings
- Take notes during meetings in order to subsequently write meeting minutes (reports)
- Save all meeting agendas and minutes
- Receive and send all CBO correspondence

Treasurer

- Receive all money into the CBO and make all necessary payments
- Guard the CBO's money in a safe place
- Maintain an accurate and updated bookkeeping system
- Save all receipts and bills
- Provide a financial reconciliation (a matching of the paper records with cash on hand) to the CBO on an agreed-upon periodic basis
- Assist the Executive Committee in writing the CBO's budgets

Counselor

- Counsel group members for conflict resolution
- Work with group members to solve internal problems
- Refer internal problems to the Executive Committee or the Chairperson as needed

Volunteer Support Coordinator *(some CBOs)*

- Meet regularly with the CBO's volunteers (HVs, HBCGs, and/or other) to listen to their experiences and provide support as needed
- Identify problems or constraints that volunteers may be experiencing and identify possible solutions
- Organise periodic 'retreats' where volunteers can reflect on their experiences, provide mutual support and gather new energy for continuing work
- Identify the reasons for volunteer attrition, if applicable. Work to mitigate against the factors that cause volunteer drop-out, in order to reduce attrition

Sub-Group Supervisor *(some CBOs)*

- Assist Home Visitors (HVs) and Home-Based Caregivers (HBCGs) to carry out their duties
- Assist illiterate HVs and/or HBCGs in completing the necessary paperwork.
- Compile monitoring information from HVs and/or HBCGs at the level of the sub-team
- Submit compiled monitoring information to Chairperson for overall compilation

Facilitator Reference 5.5:
Sample CBO Member Responsibilities

General

Members must be active in insisting on accountability from leaders!
Some examples include:

- Actively participating in CBO meetings
- Participating in periodic elections, voting for existing or new leaders
- Participating in formulating the CBO's Internal Rules. Leaders and members alike must abide by the rules
- Asking leaders to write and read minutes, and to provide reports (these may be verbal) during monthly meetings
- Insisting that leaders (normally the Treasurer) provide a cash reconciliation during monthly meetings (opening the cash box, counting the money in front of the members, and demonstrating that the money on hand matches the balance in the cash book)

Committee Members *(In larger implementing or coordinating CBOs)*

- Attend CBO meetings and participate with opinions and ideas
- Carry out other CBO responsibilities as appropriate, such as linking OVC or chronically ill to specific sources of assistance based on the sector that the committee member represents
- Complete paperwork as required. Committee members may be responsible for collecting monitoring information from Home Visitors and / or HBCGs

Home Visitors (for OVC)

- Visit OVC families on schedule and carry out all support and care activities during home visits
- Carry out other CBO responsibilities as appropriate, such as assisting with vegetable gardens or organising child recreation.
- Complete paperwork: records of visits and OVC information, with assistance from Supervisor as needed.
- Submit paperwork to Supervisor
- Attend CBO meetings and participate with opinions and ideas (in the case of small, implementing CBOs) or send a representative to CBO meetings (in the cases of larger implementing CBOs or coordinating CBO coalitions)

Home-Based Caregivers (for the chronically ill)

- Visit the homes of the chronically ill on schedule and carry out all support and care activities during home visits
- Carry out other CBO responsibilities as appropriate, such as assisting with vegetable gardens or linking with health posts.
- Complete paperwork: records of visits and beneficiary information, with assistance from Supervisor as needed.
- Submit paperwork to Supervisor
- Attend CBO meetings and participate with opinions and ideas (in the case of small, implementing CBOs) or send a representative to CBO meetings (in the cases of larger implementing CBOs or coordinating CBO coalitions)

Facilitator Reference 5.6:
Sample Role Description Format

Role Description

Name: _____

Title: _____

Reports to: _____

Supervises: _____

Hours / Days of Work per Week: _____

Duties: _____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

Desired Personal Characteristics (Qualifications):

_____

_____

_____

_____

_____

_____

Coordinating CBOs:
Structure, Roles and Responsibilities

This is the module where you will find important differences between Implementing and Coordinating CBOs, as these two types of organisations are, indeed, structured differently. At the beginning of the module you were introduced to three possible organisational structures. If you are working with a Coordinating CBO, the structure you should be referring to is that provided in **Facilitator Reference 5.3**, as follows:

- In this example, the **CBO Coalition** is made up of 8 member CBOs, each of which has its own internal mission and carries out its own activities.

- The 8 member CBOs *implement* their own activities. The CBO Coalition *coordinates* the activities of the 8 member organisations.

- The CBO Coalition has elected a Chairperson, Vice Chair, Secretary, Treasurer and Counselor from among the CBO representatives

Activity 1: Organisational Structure

- You will need to spend some time with the CBO to learn how it is structured and to make sure that the representatives understand this structure. You will carry out Activity 1, in which you help the CBO to create an organogram, in the same way as you would with an Implementing CBO, except that the structure of the organogram will be different! (The structure of the organogram will be something like the diagram in Facilitator Reference 5.3) Having a visual representation in the form of an organogram will help the CBO to understand, and explain to others, the way that they are structured.

Activity 2: Roles and Responsibilities

- The roles of the leaders of a Coordinating CBO will not be very much different from the roles of the leaders of an Implementing CBO. Nevertheless, you should make sure that you give the participants a chance to *tell you* what their roles and responsibilities are, before you make suggestions to them.

Activities 3-6

- You may carry out the remaining activities in this module with the Coordinating CBO in the same way as you would with an Implementing CBO.

> See Facilitator Reference 5.4 for an example of an organisational structure for a Coordinating CBO.

The Learning Organisation

The Organisational Structure and Learning

The way that an organisation is structured can have a very big impact on learning. Almost all organisations have leadership structures of one kind or another, and members normally report their work to supervisors or other leaders. Some people have argued that any time there is any kind of 'hierarchy' in an organisation, with some members reporting to others, that this will prevent organisational learning. This is true in some cases, but only in some cases! As we will see in a moment, the ability of an organisation to learn will depend on the *directions that information flows* within the organisation.

In the case of volunteer organisations, the purpose of the leadership positions is more to *coordinate* the work, *collect* necessary information and *liaise* with external stakeholders, rather than to act as 'authoritative bosses' to other members. As such, there is very little in the way of 'hierarchy' in the way that the CBOs are structured. Indeed, the organograms presented in this module show no hierarchy at all. Instead, the interconnectedness of all Leaders and Members in the organograms is meant to suggest the effective ***collaboration*** among all CBO participants.

Nevertheless, questions of *information flow* remain relevant. For an organisation to be a truly learning organisation, information needs to flow **in all directions**. Information must flow from the leaders **out** to the members, but it must also flow from the members **in** to the leaders, as well as **between** members and **between** leaders.

The diagram on the next page, using one of the examples of a possible CBO structure, illustrates this idea. The double arrows show that information moves in all directions

Organisational Structure, An Example
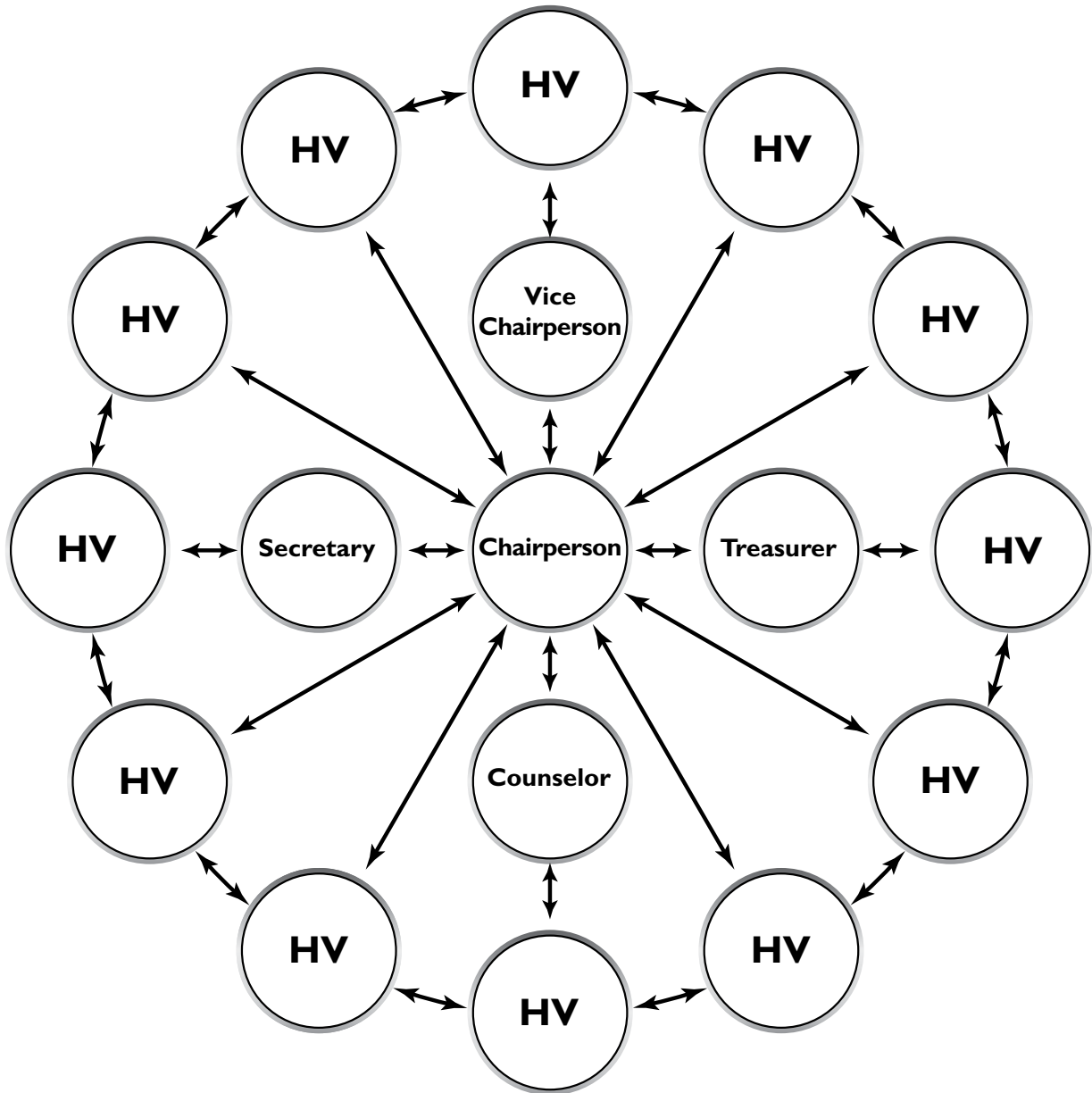
HV = Home Visitor

The most common example of organisations that do not learn are those where it is believed that only **the Leaders** have good ideas, or know enough to guide the organisation. In these types of organisations, the Leaders discuss their ideas among themselves, make decisions, create action plans and then tell the Members (or the employees) what to do. The Members' roles are limited to carrying out the work that the Leaders have decided on. In these cases, information is flowing only in one direction – **out** – from the Leaders to the Members.

The problem with this arrangement is that, as we have seen in previous modules, it is important that the CBO constantly **reviews** its ideas and compares its plans to what is *actually happening* as the Members carry out their work in the community, in order to make adjustments as needed. But how will the CBO know what is actually happening if the Members do not contribute information?! If the Leaders are not making home visits or carrying out other types of work in the community themselves, then the only people in the organisation who really know what is happening in the community are the other Members! In order for the organisation to learn from its experiences, it is critically important that the Members have opportunities to talk about what is happening, to give their opinions about these realities, and to influence the ongoing decision-making of the CBO. The Members are the ones who have the critical information that the CBO needs in order to understand if its work is having the impact it planned! This means that information must also flow from the Members **in** to the Leaders, and that the Leaders must truly recognise the very valuable insights that the Members have to offer.

This type of two-way flow of information can sometimes be a challenge for an organisation. In some cases the Leaders may not be open to listening to the ideas of the Members, although it is expected that this will not be a big problem in the CBOs. What may be more common is that Members may be hesitant to express their opinions. Members may still believe that their role is to *take orders from* the Leaders, and they may not always be comfortable in speaking out, or may not always have the self-confidence to believe that they have valuable insights to contribute.

In Module 7 you will help the group to learn how to use part of their monthly meetings for **storytelling**. This will provide Members and Leaders alike with the opportunity to share their actual experiences in the community with everybody else in the group, ensuring that information is thereby flowing in all directions. You will also assist the group in Module 15 with **monitoring** the results of its work in a systematic fashion, comparing actual results with planned targets. In both of these cases, the contributions of the Members will be essential – and equally important as the contributions of the Leaders. In all cases the CBO will be constantly working to **learn** from its experiences, in ways that would not be possible if information were only flowing from Leaders **out** to Members, and not also **in** from Members to Leaders.

Exercise: ▷ Discussion

Remind the group of the two situations that CBO *Together for Children* encountered in its work with communities (Module 3). Remember that in the first situation, families who were not receiving the benefits of home visits began to discriminate against those OVC who were; a reaction that the CBO had not anticipated. In the second situation, the families receiving the Home Visitors did not understand the reasons for the visits. (The CBO was unable to provide any material resources and the families did not understand that there were other psychosocial benefits to the visits.) Some families eventually asked the Home Visitors not to return.

Explain to the group that CBO *Together for Children* is structured in such a way that the Leaders carry out administrative functions (writing reports, raising funds, etc.), while only the Home Visitors actually carry out home visits (that is to say, the Leaders are not also Home Visitors.) Ask the group the following questions:

• Which members of the CBO first became aware of the problems with the work in the community – the Leaders or the Home Visitors?

• What would happen if the Leaders simply ordered the Home Visitors to continue making home visits in accordance with the Action Plan, without listening to the real experiences that the Home Visitors were having?

• Is it correct to stick with the Action Plan of making ongoing Home Visits exactly the way the CBO wrote the plan, or does the CBO need to make some changes to it?

- If the CBO needs to change its Action Plan (at least temporarily, until the community problems are resolved), who do you think will have good ideas about what to do next – only the Leaders, only the Home Visitors, or both? Explain your answer.

- Do you think that in your CBO, the Leaders like to listen to the experiences of the Home Visitors? Do you think the Home Visitors recognise their responsibility to share their experiences and give their opinions, and have the self-confidence to do so?

   NB: This is a question meant to get the group reflecting! While the group will likely answer 'yes' to both questions, you should encourage them to really think about what kinds of attitudes they will need to have, in order for this genuine listening to everybody to happen!

Follow up this discussion by referring again to the Organogram that the group produced in this module. Remind the CBO that the Leaders cannot do all the learning for the organisation, partly because they do not have all the necessary information! You can use the visual aid of drawing arrows going out from Leaders to Home Visitors, as well as arrows going in from Home Visitors to Leaders.

The Facilitator as Lifelong Learner

It is important to realise that in many rural African communities there is a strong tradition of respect for authority. This is a valuable tradition! For example, it is often the case that in these communities there is real appreciation for the wisdom and experience of older members, in contrast to Western cultures which tend to place more value on youth, often overlooking the importance of the amassed experience and knowledge of older people in society! These are of course generalisations and you, the Facilitator will need to observe the patterns and traditions in the community you are working in. To the extent that these traditions are dominant in the community, however, it may be difficult – at least at first – for the Home Visitors to believe that it is appropriate for them to be speaking out in front of their Leaders! Home Visitors may prefer to remain silent and defer to the Leaders.

If this is the case in your CBO, you will need to be patient about looking for gradual changes over time. You can try to encourage greater participation of Home Visitors through mechanisms such as **storytelling**, introduced in Module 7, with the hope that as all members of the CBO listen to the Home Visitors' stories (and insights, and opinions), the Home Visitors will come to increasingly value these, and to recognise the importance of these insights to the overall functioning of the CBO. Perhaps your biggest challenge as a Facilitator here is to 'Be Patient', and to 'Respect the Process', realising that shifts in traditions and attitudes can only take place over time! Some questions to stimulate your own reflection:

- How would you describe the relationship between the Leaders and the Home Visitors of the CBO you are working with? Would you describe the Leaders' attitudes as dominating, or as open to contributions from others, or as some sort of mix of the two? Would you describe the Home Visitors' attitudes as deferential, or as active and self-confident, or as some sort of mix?
- Do you observe changes in these relationships over time, as the CBO continues to grow and mature, and as Home Visitors show that they have much to contribute to this growth? How would you describe the changes, and what do you think is causing them?
- How do you think that your example as a Facilitator affects the behaviour of the group? What type of a Leader / Facilitator are you? Are you comfortable with the way you play your role? Are there things about your way of facilitating that you would like to change?

Module 6:   Internal Rules

<u>C</u>ontents

Introduction

Activities

Facilitator Reference Sheets

Special Section

Introduction

A system of internal control is necessary in any organisation to ensure that issues and problems are handled in a consistent and transparent manner. An organisation without any rules at all will find itself solving problems or responding to difficulties on a 'case by case' basis, often lurching from one solution to another with no basis or justification for the decisions it takes. Many problems can be avoided if the rules and procedures of the organisation are clear to all members from the outset. In this module you will help the CBO to draft a set of internal rules that will guide its decision making on a range of common issues.

Training Objectives

- To agree on the main areas / issues for which rules and / or procedures are needed
- To reach consensus as a group on the procedures to be followed and the rules to be enforced for each of the identified issues

Training Output

- To produce **written Internal Rules**

Suggested Indicators

- The CBO has a set of rules to guide its internal procedures
- The CBO's rules were drafted with the participation of all members
- The CBO's rules are written
- All members understand the CBO rules
- There is an agreed procedure in place for changing the rules if necessary

Materials

- Flip chart, paper and markers
- (Secretary's notebook)

Time: 2 hours + homework time

Activity:	Drafting the Internal Rules

It is important that the group have a basic set of internal rules so as to respond to issues and problems in a fair and consistent manner. A simple set of minimum guidelines not only reduces internal conflict, but can pave the way to more formal and legally binding by-laws as and when the CBO reaches such a level of maturity or legal recognition. In this module you will help the CBO to draft its internal rules.

Step 1: Review Sample Format

Review the format for Internal Rules found in *Facilitator Reference 6.1* at the back of this module. You should read each question to the group and ask the group if they think the question / issue is relevant to the workings of the CBO. You will include any questions that the group accepts, and remove any questions that the group does not find relevant. You should then ask the group to add any questions or issues of their own.

Step 2: Secretary copies final version

When the group has agreed on the questions and issues around which they want to establish internal rules, the Secretary should copy the final version of the suggested format into his/her notebook, leaving plenty of space for the responses.

Step 3: Review methods of voting

Review with the group the three methods of voting that you introduced in the previous module: namely, *consensus, open vote* and *secret vote*. Explain to the group that they will need to work together to reach decisions on the many issues that will make up their internal rules document. It is important that all members participate and are free to express their opinions. Once again, you may want to recommend to the group that they work with a process of secret voting.

Step 4: The group drafts the Internal Rules

The group should set a date when they will meet to draft the internal rules. As there are numerous issues around which they will need to come to agreement, this process might take some time. They should go through the questions one by one, encouraging group dialogue and culminating with a group vote on each question. Once the decisions have been reached, the Secretary will record the responses on the form. The Chairperson should review all the responses with the group to ensure complete understanding. This will remain as a permanent document for the CBO, until such time as the group agrees to modify or add to the rules.

Facilitator Reference 6.1:
Suggested Format for Internal Rules

Name of Group/Organisation: _____

Organisational Purpose:

1. What is the organisation's Vision? _____

    _____

2. What is the organisation's Mission? _____

    _____

    _____

3. What is the organisation's Goal? _____

    _____

4. What are the organisation's Objectives? _____

    _____

Organisational Structure:

5. Who can be a member of the organisation? _____

    _____

6. What are members' responsibilities? _____

    _____

Leadership:

7. What are the leadership positions? _____

    _____

8. What are the responsibilities of the leaders? _____

    _____

9. How are leaders elected? _____

    _____

10. How long is the leaders' mandate? (i.e., for how long will leaders remain in their positions?)

    _____

    _____

11. What procedures will be followed if a leader fails to live up to his/her responsibilities?

_____

_____

12. Under what circumstances will the group fire a leader?_____

_____

Meetings:

13. How often will the organisation hold general meetings?_____

14. How many members/what percent of members must be present for a quorum (i.e. in order to make decisions in the meeting?) _____

15. How are decisions taken (i.e. unanimous consensus, majority vote?) _____

_____

16. What is the organisation's policy with respect to absences at meetings?_____

_____

Disciplinary Measures:

17. What are the measures to be taken for the following infractions?

Absences: _____

Failure to perform duties: _____

Monetary fraud: _____

Contributions:

18. Will members contribute to a group fund? If so, how much?_____

_____

19. Who collects and safekeeps contributions?_____

20. What is the purpose of the group fund? _____

_____

21. If a member leaves the organisation is he/she entitled to his/her contribution? _____

_____

22. What are the procedures for changing or adding to the internal rules? _____

_____

_____

Coordinating CBOs: Internal Rules

- There is no difference in the way you will carry out this module if you are working with a Coordinating CBO in place of an Implementing CBO. Both types of organisations need to have rules to guide them, and the sample provided in this module is equally relevant to either type.

- Review the format for internal rules provided in the module, make any changes to the format that the organisation wishes, and help the organisation to come up with a satisfactory set of rules for themselves.

The Learning Organisation

The Rules Serve the Organisation

Introduction

The important thing for a Learning Organisation to remember is that rules are written in order to serve the organisation. Rules help to smooth procedures, to ensure clarity in terms of what is expected of leaders and other members, and to outline how the organisation can deal with problems in a fair and consistent manner. A Learning Organisation should consider its internal rules in this light, but should never become a prisoner to the rules! Many organisations make the mistake of thinking that once a rule has been written it can never be changed. However, as we have seen, change takes place all the time and a true Learning Organisation will always be open to changing its plans, its budgets, its targets and, indeed, its rules if the circumstances demand.

It is important to note that changes to rules should not be made lightly or without deliberation. There should always be a good reason for any changes to the rules that the group makes. But if a rule is proving untenable, a good Learning Organisation will always recognise that the members are free to alter it, rather than thinking that the rule is 'set in stone'.

| **Exercise:** | **Case Studies** |

Explain to the group that it is important that they periodically review their internal rules to make sure that they remain relevant and responsive to the realities and needs of the organisation. There will be times when it will be necessary to change the rules in light of changing circumstances. Review the following examples with the group and ask the members whether or not they think the rule in question should be changed. Note that there are no right or wrong answers; rather, it is up to the group to deliberate and to decide for themselves.

- **Example 1:** CBO *Compassionate Assistance's* rule states that all members must make home visits to the chronically ill on Monday mornings. In fact, however, Mondays are normally the days that the local health post reserves for the routine follow up of these patients. In light of this, should the CBO change its rule? If so, what change(s) should be made?

- **Example 2:** CBO *Together for Children's* rule states that if a member fails to assist with the community vegetable garden without a justifiable reason, that member must pay a fine equivalent to 50 cents. Daniel did not show up at the most recent weeding. Daniel does not have a good reason for not participating, but he claims that the rule is unfair and he does not want to pay. In light of this, should the CBO change its rule? If so, what change(s) should be made?

- **Example 3:** CBO *Understanding Youth's* rule states that there should be a new election of leaders every two years. When the time comes for the election, however, the CBO's current leaders realise that none of the 'regular' members can read or write and therefore none of them will be able to handle the leader responsibilities. Only the current leaders have the necessary qualifications to carry out these roles. In light of this, should the CBO change its rule? If so, what change(s) should be made?

- **Example 4:** CBO *Understanding Youth's* rule states that each member should make a monthly contribution of $1.00 to the CBO. After a year of keeping records in the cashbook, the Treasurer reports that only a small percentage of these contributions were actually received during the year. In light of this, should the CBO change its rule? If so, what change(s) should be made?

- **Example 5:** CBO *Together for Children's* rule states that any member committing fraud will be immediately expelled from the CBO. During the June monthly cashbook reconciliation it becomes apparent that the Treasurer has been writing false receipts and keeping some of the CBO's money for himself. However, the Treasurer is the only person in the CBO with good ability in maths, and the only person who has been trained in the cashbook and bookkeeping system. In light of this, should the CBO change its rule? If so, what change(s) should be made?

Exercise: **Periodic Review of the Internal Rules**

Review the group's current Internal Rules with the members. Go over the rules one by one. Ask the group if they think that any of the rules will require careful watching, to see if they are in fact tenable? Are there rules that the group is uncertain about at this stage? Ask the members to explain their answers.

Tell the group that they should review their rules at least once a year (or perhaps even once every six months) to make sure that they are still relevant to the organisation. If the group feels that a rule should be changed, the change must be agreed upon by *all members of the CBO*, and not only by the leaders!

Module 7:   Meetings

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Introduction

Regular meetings provide the CBO members with an invaluable opportunity to come together to review their work, share their experiences and seek the advice and feedback of other members. By coming together regularly, leaders and members alike will be able to sustain the energy for their work, realising that they are not alone and recalling the common Vision that inspires the CBO in what it does. Meetings should therefore be seen as inspirational and energy-giving events for all members! Meetings will also serve practical purposes, such as the reporting on results and handling of administrative items. In order for the CBO to get the most out of the meetings, the members should be clear as to their purpose, and the CBO should be organised in addressing the items on the meeting agenda. This module will review some of the elements that go into ensuring a successful and inspiring meeting.

Training Objectives

- To review meeting protocol and meeting documentation (agenda, minutes)
- To encourage the active participation of all members during the meetings
- To encourage the CBO to use meetings as an opportunity to review the status of the beneficiaries (e.g. OVC, chronically ill, etc.) they are supporting
- To encourage the CBO to use meetings as an opportunity for all members to provide mutual support to each other

Training Output

- The Secretary writes a meeting **Agenda** and meeting **Minutes** (report)

Suggested Indicators

- The CBO meets on a regular basis
- The CBO Secretary provides a meeting agenda and writes meeting minutes (reports)
- Attendance at meetings is high (at least 75% of CBO members are in attendance)
- Decisions are taken based on democratic vote or group consensus

Material

- Flip chart, paper and markers
- Stones, beans or bricks
- The CBO's beneficiary monitoring information

Time: 4 hours

Activity One: The Agenda

Step 1:

Distribute **Handout 7.1: Sample Agenda** to the Secretary of the CBO and ask him/her to read it aloud to the group. Explain to the group that every meeting should have an agenda, and that it is the responsibility of the Secretary to write the agenda and to make sure that all members either have a copy, or that it is posted visibly and all members understand it.

> While the Secretary will do the actual *writing* of the agenda, he/she will confer with the Chairperson, the other leaders and sometimes with the members to determine the points to be included on the agenda.

Step 2:

To make sure that the group understands how to write an agenda, you may use the example of the *current meeting* you are having with the group (the training agenda), or they may think back to a meeting they recently had among themselves. Ask the group to think of the points discussed in the meeting and to come up with a (retroactive) agenda. The Secretary should write this agenda on a flip chart and, if there are many illiterate members, the points of the agenda should be repeated in chorus a number of times.

Explain to the group that they will refer to this agenda in the next activity, so it is important that everybody understands it.

Activity Two:	The Meeting Minutes

Step 1: Reviewing an Example of Minutes

Distribute **Handout 7.2** to the Secretary. This handout gives an example of the minutes from a meeting. You will notice that the points in the minutes follow the same sequence as the points in the agenda from Handout 7.1. Draw this to the attention of the group. Ask the Secretary and one other literate member to stand in front of the group. Have the member read the first point on the agenda, with the Secretary then reading the first point from the minutes, as follows:

Literate Member: 'One. Welcome and Attendance'

Secretary: 'One. Welcome and Attendance. Ms. Cristina, the Chairperson, welcomed all members of CBO *Together for Children* to the general monthly meeting. Those present were Faith, Maria, Jonathan, Richard, Roderick, Clara, Luisa, Phillip, Teresa, Thomas, Fabian and Solomon.

Literate Member: 'Two. Announcements'

Secretary: 'Two. Announcements. Ms. Lesedi will not attend the meeting because her daughter is ill. The Chairperson announced that the facilitator will arrive next Thursday to begin the organisational self-assessment. All members should be present.

Explain to the group that it is the responsibility of the Secretary to take notes during the meeting so that he / she can write the minutes at the end. Of course, the Secretary does not need to write everything that was said by everybody; rather, the minutes should summarise the main points of the meeting.

Step 2: Writing Sample Minutes

Divide the participants into two or three groups, making sure that each group has at least one literate member. Tell the groups to refer back to the agenda they wrote in the previous activity corresponding to a recent meeting that the CBO has had. The groups must now work together to write the minutes of that meeting, trying as much as possible to follow the sequence of the agenda and remembering what was said and decided for each point.

When the groups have written their minutes, they should read them aloud in plenary. The participants can decide which of the two or three example minutes is the most complete (which group best remembered what actually took place at the meeting).

NB: This activity may be done as homework if you are limited for time.

Explain to the group that, even more important than the agenda, minutes should be written for every meeting held, and these minutes should be saved. This will create a transparent record of the proceedings of the group. The Secretary must have a logical system of filing papers, and be able to locate meeting minutes at any time. The minutes of a prior meeting should always be read aloud to the group at the subsequent meeting, so that the group can make sure that the minutes are an accurate reflection of what was actually discussed and decided in the meeting.

Activity Three: ⟩ 'Stones'

The final important point with respect to meetings is to ensure good participation of all members. The group will want to avoid situations where only the Chairperson or the leaders speak. It is important that ordinary group members are given the opportunity to express their points of view with respect to the items on the agenda.

Give each group member a stone. Explain that during a meeting each person must make at least one contribution to the dialogue (i.e. must speak at least once). Once a person has spoken, he/she will then hand in his/her stone. This is a mechanism to ensure that everybody has the opportunity to speak.

As an example, tell the group to imagine that they are having a meeting to discuss the planning of a particular activity (i.e. planting a vegetable garden, planning a youth football game). Each person must make at least one contribution to the discussion, and turn in his/her stone after speaking.

You may come up with variations on this idea if you wish. With one group in Mozambique the facilitator decided to distribute heavy bricks instead of stones, and told each member to hold the bricks in the air. The idea was that the bricks would prove to be so heavy that each person would be very anxious to talk in order to be relieved of the burden of holding the brick! Alternatively, you may use a 'talking stick', common in African tradition. In order to speak, a member must be holding the talking stick, which gets passed around from person to person during the meeting.

> It is clear that these activities are in some ways artificial gimmicks to get members to speak and that they will not contribute in any significant way to a transformation of local 'power' realities. It is also the case that it may perhaps not be necessary that every member speak. What is important, however, and what these activities make possible, is that members do have the opportunity to voice their opinions if they so wish.

Activity Four: Reviewing the Status of Target Beneficiaries

If the CBO you are working with is involved with orphans and vulnerable children (OVC) and/or the chronically ill, you should encourage the members to review the status of these target beneficiaries during the monthly meetings. Ideally, each Home Visitor and/or Home-Based Caregiver should give an update on all of the children and/or chronically ill that he/she is visiting. It may, however, be more practical to first do this review in sub-teams. Within sub-teams, each Home Visitor/Home-Based Caregiver should report on the children and/or chronically ill he/she is visiting, reviewing the status of each individual with regard to various criteria

- Education
- Nutrition
- Health

- Psychosocial
- Shelter
- Clothing

NB: All Home Visitors/Home-Based Caregivers should have monitoring forms to track this information. You will review these forms with the group in Module 15: Monitoring.

The sub-teams and, later, the CBO as a whole, should identify the main issues that come out of this review and determine if any special action is needed. For example, the review may reveal that many families are not seeking treatment for their children for a variety of common illnesses. The CBO may decide that they need to review the training on identifying the symptoms of common illnesses, so that they are able to continue to provide good health-seeking advice during all home visits.

Divide the participants into groups. If the CBO is arranged in sub-teams, have the participants divide into their sub-teams. Tell the participants to use this time to review the status of the individuals they are supporting, trying to provide information about each beneficiary. If you find that Home Visitors/Home-Based Caregivers do not have this information readily available (either in their memory, or on the appropriate monitoring forms), you may need to review the system that the CBO is currently using to keep track of the beneficiaries it is supporting. (Indeed, you may need to carry out some of the activities in *Module 15: Monitoring*.)

When the sub-teams have completed their reviews, the group should come together again in plenary. Ask the Supervisor of each sub-team to give a report in plenary, providing an overview of the status of the beneficiaries in his/her sub-team. (The Supervisor should not repeat all the information regarding every individual; rather, he/she should identify the main issues, successes and/or problems.) When all Supervisors have given their reports, the CBO as a group should discuss whether any special action is required.

Explain to the group that this review of beneficiary status is one of the most important reasons for the CBO to meet on a regular basis, as it is a review of the central core of its work!

Activity Five: Role Plays (Optional)

Divide the participants into two groups. Explain that each group will now prepare a role play to demonstrate an effective meeting. The role play should follow these steps:

- Leaders seated in front, members seated together
- The Chairperson opens the meeting, welcoming everybody, and then calls on the Secretary to read the Agenda
- The Secretary reads the Agenda, which should be written on a flip chart. The Secretary then hands back to the Chairperson for the first point on the Agenda.
- The Chairperson takes attendance. He/she should call names with each member responding 'Present'.
- The Chairperson then asks if there are any announcements. One or two members should make an announcement.
- The Chairperson then asks the Secretary to read the minutes from the previous meeting. The Secretary should have prepared a simple report ahead of time that he/she will read now.
- The Chairperson then moves through the remaining points on the Agenda. The group should be active in discussing the points. There should be at least one discussion where the example of the stones is demonstrated, i.e. where each member contributes to the discussion and then hands in his/her stone.
- The group should discuss the status of the beneficiaries that they are supporting. (They should not, however, spend as much time on this as they did in Activity 4! The role play is meant simply to be an example!)

Experience in the field has shown that it is necessary to spend a good deal of time assisting the groups to prepare the role plays. It may take as long as an hour for the groups to rehearse before they are ready to present. It is well worth taking the time to allow the groups to prepare in this way, however, as a good role play is very effective in demonstrating a well-run meeting.

Variation: You may want to try a variation on the role play. Instead of two groups acting out an effective meeting, you may want to ask one group to act out a very *disorganised* and *ineffective* meeting! The elements of this role play might include late arrivals of leaders and members, a Chairperson who is unable to keep control of the discussion, the absence of a meeting Agenda or meeting Minutes, women who are silent throughout the meeting, disruptive members, etc. You can then facilitate a discussion comparing the two role plays and listing the elements of an effective meeting.

> The actual protocols of meetings may vary from group to group depending on the culture of the country. You should not be too rigid in mandating that the Chairperson must always open the meeting or other such elements of protocol, so long as the group is able to be organised and to hold meetings that contribute to accomplishing what needs to be accomplished, and discussing what needs to be discussed.

Perhaps the two most important points that you will want to emphasise at the end are:

• There should be written minutes of all meetings so that a transparent record is kept of issues discussed and decisions made.
• The CBO should use the meetings as a valuable opportunity to review the status of the beneficiaries they are supporting.

Activity Six: Using Meetings for Mutual Support

Remember that the purpose of the CBO members coming together is not only to address administrative items and review the status of the target beneficiaries, but also to support each other and renew their energy through group solidarity. For most of the month the Home Visitors and / or Home-Based Caregivers will be working on their own, working with community members in need and giving of themselves voluntarily to help others. There may be times when the members will find aspects of the work to be sad or distressing, and it is important to pay attention to the emotional and psychosocial needs of the volunteers themselves. Coming together once a month provides members with an opportunity share their stories and experiences and perhaps to gain some needed 'perspective' on the work they are doing by listening to the ideas of others. This is a time for volunteers to remember that they are not alone, and they do not have to shoulder the responsibility of supporting those in need by themselves.

Explain to the group that they should set aside time at the end of the meeting to allow members to talk about their own emotions regarding the work that they are doing, if they so wish. It is not necessary for everybody to speak, but those who wish to talk through some of their experiences should be given the opportunity to do so. You may want to ask the Chairperson to lead this part of the meeting. He / she can use the following questions as a way of inviting members to talk if they wish to.

- Did anything happen this month that you found difficult to deal with? Can you explain to the group what happened?

- Can the group think of ways that we can help and support this person?

- What can we try to do as a group to support each other more?

- Is any member in need of assistance from other members, or from the leaders? Can you explain the problem you are having and the assistance you need?

Handout 7.1: Sample Meeting Agenda

Sample Meeting Agenda

1. Welcome and Attendance

2. Announcements

3. Read minutes from previous meeting

4. Review status of target beneficiaries

5. Any other issues

Handout 7.2: Example of Meeting Minutes

Minutes of Meeting of 31 July

1. Welcome and Attendance

Ms. Cristina, the Chairperson, welcomed all members to the general monthly planning meeting. Those present were:

Faith	Richard	Luisa	Thomas
Maria	Roderick	Phillip	Fabian
Jonathan	Clara	Teresa	Solomon

2. Announcements

Ms. Lesedi will not attend the meeting because her daughter is ill.

The Chairperson announced that the facilitator will arrive next Thursday to begin the organisational self-assessment. All members should be present.

3. Minutes

The Secretary, Mr. Solomon, read the minutes from the last meeting, dated 11 June. The minutes were unanimously approved by the group.

4. Review Status of Target Beneficiaries

The Supervisors of each sub-team gave a report on the status of the ill members of the community being supported by the Home-Based Caregivers. 15 HBCGs are currently visiting a total of 45 ill community members in their homes. Three of these individuals are very seriously ill and need to be transferred to the District Hospital. The Chairperson, Ms. Cristina, will travel together with the director of the local health post to the district capital next week in order to request that the hospital vehicle come for these patients. The remaining 42 individuals are stable and welcome the visits of the HBCGs.

5. Any Other Business

No member raised any additional issues.

Minutes written by the Secretary, Mr. Solomon

Coordinating CBOs: Meetings

- There is not much difference in the way you will carry out this module if you are working with a Coordinating CBO in place of an Implementing CBO. Both types of organisations will need to meet on a regular basis, and these meetings should be organised around an agenda, with the full participation of all present, and with the Secretary writing up minutes at the end.

- It is true, however, that the two types of organisations will *talk about different things* during their meetings. Activities 4-6 are mainly geared to Implementing CBOs, who should take the time to review the status of their target beneficiaries, and to assist members who may be experiencing psychosocial or other types of difficulties as they carry out their work. **These activities will be less relevant to a Coordinating CBO**.

- Instead, a Coordinating CBO should use its periodic meetings as an opportunity for each of the member organisations (i.e. the various implementing organisations that are represented in the Coordinating CBO) **to give progress reports on their activities**. This type of information sharing is essential to a Coordinating CBO and meetings should be structured in such a way that each member organisation has an opportunity to update the others on its progress.

The Learning Organisation

Using Meetings to Learn!

Introduction

The monthly meeting is the single best opportunity for the CBO to learn! This is when the CBO will come together to review what happened during the past month, to compare the actual experiences with the plans that were made, and to make adjustments as needed for the following month. You should encourage the group to try to *always set aside time at the end of the month for this important meeting*, and tell them that if they use the meetings to really learn from each other, then they will renew their energy and enthusiasm for the work they are doing! Remind them that everything else they do during the month is *action*, so they should value the opportunity at the end of the month to *reflect* and *learn*!

The CBO will use the meeting to accomplish many things. In this module, the group learned about **two** essential items to cover during meetings:

1. Administrative issues
    *   Announcements
    *   Read Minutes
    *   Any Other Business

2. Review the Status of Target Beneficiaries
    *   Each Home Visitor, or each sub-team Supervisor, discusses status of OVC, chronically ill and / or other target beneficiaries

In subsequent modules the group will learn how to also use meetings to **Monitor** their results and to review their **Budget** and **Funds**. All of these are 'organisational learning' activities!

For now, however, the group will be focusing on reviewing the **Status of the Target Beneficiaries** as the main learning activity in their meetings (until such time as they receive training in the other modules, when they will add these additional learning activities to their meeting agendas). The meetings provide an excellent opportunity for the group to reflect on the actual experiences they are having in the community, and the real impact of their work on the beneficiaries they are supporting. It is a chance for Members to share their successes and struggles and to receive support and advice from other members. It is an

opportunity for the CBO to extract the main issues facing OVC from all the individual home visits and to determine as a group how to respond to these issues so that their work has the greatest possible impact. It is a chance for sharing and fellowship, so that no member feels that he or she is alone with his or her work. It is a chance for the group to remind itself of its Vision and to think about the progress that they are making in working towards this Vision, and the improvements in many areas that the target beneficiaries are experiencing!

Storytelling

In addition to reviewing the status of OVC, however, the monthly meeting is an ideal opportunity for both the Leaders and Members to share **stories** about their experiences in the community. Storytelling helps to bring the experiences to life; to make them real and vivid to the listeners!

We talked in Module 2 about the way that Western tradition often relies on breaking wholes into parts, and we said that this does not always result in 'complete' learning or understanding, especially when human beings are involved! We also talked about how rural African communities do not always share this Western impulse to analyse things in such a scientific way but, rather, that they tend to focus on whole systems, and on the inter-relationships between the human beings within these systems.

Storytelling is an excellent way to bring some of these insights out into the open! It is a way of thinking and explaining that does not insist on analysing the 'parts' but, rather, that gives more expression to values and to understanding how things and people interrelate. And it is a means of expression and explanation that will likely feel familiar to CBO members!

Storytelling, in fact, is an important part of African tradition. The following quotes reveal some of the power of storytelling, and the way that this 'art' is still alive in many African settings:

> ❝ *Story-telling still lives strongly in Africa, especially in older, rural communities… – living both as traditional fables to pass on wisdom, but also as a daily way of people expressing themselves to one another. I have heard farmers tell their poetic stories, everyday tales of the mundane, and marveled at the parables, pictures and metaphors they continually weave into daily exchanges, a deep culture of imagination – artistic conversations[1].*

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[1] Reeler, Doug, *Story-telling – getting to the heart of things, CDRA Nugget*, CDRA, Cape Town, South Africa, 2004.

> *(Storytelling helps) people to tell and learn and advocate from their own stories, finding their own voices and thinking their own thoughts[2].*

> *Stories have served Africa and the rest of the world well for centuries in conveying what is most important to communicate. Holding, as they do, the 'whole' of a situation, stories offer an appropriate vehicle for sharing measurement of social development. Stories are the simple vehicle through which you describe very complex situations[3].*

> *In many of the communities we work with we find that … people are masterful in their ability to tell stories and they are full of subtlety and depth and incredible complexity, but they can be told very simply. The other point about stories is that they have more power than graphs and tables and statistics[4].*

Exercise: **Building Storytelling into the Monthly Meetings**

Explain to the group that one of the best ways that they can learn from their experiences in the community is by sharing **stories** about these experiences. Encourage the group to think about how they might want to structure their monthly meetings to allow time for some or all of the Leaders and Members to share a story about something important (related to their work) that happened during the month. This is one time when you should give the group as little concrete direction as possible, leaving the storytelling almost entirely open-ended. Members can share stories about **successes** they experienced during the month, **problems** they encountered, **amusing** things that happened, **descriptions of changes** that they have seen – whatever seems important and valuable. Ideally each member of the CBO will have a turn to share a story, if there is enough time during the meeting.

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[2] *Annual Report 2000/2001*, CDRA, Cape Town, South Africa, 2001.

[3] Ibid.

[4] Ibid.

It is possible that the storytelling idea may get off to a slow start. Members may search in vain for 'something interesting' to share, and end up 'talking just to talk', without much conviction about what they are relating and without generating much enthusiasm. However, it is hoped that as the group gains experience, they will gain momentum with this idea and inspiration from the stories of others. When members know in advance that they will be asked to share a story at the next meeting, they will begin to think throughout the month about what it is they want to share. This may become the most popular item on the meeting agenda over time! It may also prove to be the one most effective way of enabling all members to share their insights and of ensuring that even the quietest members begin to speak up (in their own way, with their own voice, telling their own stories), with ever-greater degrees of self-confidence.

Here are some guiding questions you may give the group if they are having difficulty getting started:

- Can you tell a (true) story that illustrates the **positive impact** that your work is having?

- Can you tell a story that shows the **change** that has happened over time as a result of your work? What was the situation like in the beginning? How is the situation now? What has changed and why do you think it changed?

- Can you tell a story that illustrates an **unexpected result** of your work? Did something happen this month that you did not know was going to happen? Why do you think it happened? What should the CBO do as a result of this?

- Can you tell a story about the way that you feel that **you have changed** as a result of your work? What has happened? Why do you think you have changed?

- Can you tell a story about one of the special **children** that you visit? We know that all children are special, but what makes this child particularly important to you?

- Can you tell a story about one of the special **chronically ill** that you visit? What makes this person particularly important to you?

- Can you tell a story about something **amusing** that happened during the month?

The Facilitator as Lifelong Learner

If you are able to attend the CBO's monthly meeting from time to time and listen to the stories, this will be a wonderful learning opportunity for you too! Remember that World Vision (or your organisation) has 'Good Ideas' about what it thinks the results of its work – and the CBOs' work – will be. But until everybody (you, your organisation, the CBOs, the communities) gains more experience with this model of community-led care for OVC, we do not really know if these 'Good Ideas' will always work, or if they will work differently in some setting than they do in others. World Vision (or your organisation's) senior staff do not always have opportunities to go into the communities and see the CBO's work firsthand. But you as a Facilitator do! World Vision (or your organisation) needs you to be learning about what is happening, so that the organisation as a whole can continue to grow.

So by all means grab these opportunities to listen and learn from the CBOs' stories! Some items for reflection might include:

- What do you think about the storytelling 'way of learning'? Is it a good way to gain deeper insight into the CBO's work, or do you prefer to learn from reports, and statistics? Or perhaps you like both? What are the advantages and disadvantages of each way of understanding? Are you surprised at what you can learn from storytelling, or is it more or less what you expected?

- Have things been happening in the CBO and in the community that were unexpected? In what ways does the CBO need to adjust to these unexpected results? Do you think World Vision also needs to adjust? If so, in what ways?

- Do the stories capture the positive impact that the CBO's work is having? How do the stories describe this impact, and how would *you* describe it? Are the stories inspirational to the group?

- Are there any stories that made a particular impression on you, and that you are sure you will remember? Why do you think this is so?

Mentoring: Capacity Area 2:
Organisational Structure and Procedures

Module 5: Structure, Roles and Responsibilities
Module 6: Internal Rules
Module 7: Meetings

Follow Up (after trainings)

1. After you have completed the training in organizational structure (Module 5), **spend some time with the leaders** to make sure that they fully understand their roles and responsibilities. Meet with leaders individually to give them a chance to ask questions and seek your assistance with anything they do not feel completely confident about.

2. Likewise, **spend time with the other members** as they begin to carry out their responsibilities. In particular, you should try to find time to accompany Home Visitors on some of the visits they make to OVC and/or the chronically ill, helping them with any doubts they may have and strengthening their technical ability to carry out their functions.

3. After you have carried out the training in Module 6, **assist the group to draft its internal rules**. The decisions as to what the rules will be should obviously be left up to the group, but, if you can, try to be present to assist with any clarifications the group may need.

4. After carrying out training in Module 7, work with the Secretary as he/she begins to try to write **minutes** of the groups meetings. You may need to **assist the Secretary** for the first three or four months as he/she gains practice in this task, until he/she feels confident that he/she can write minutes on his/her own.

5. **Encourage the group to use its meetings as opportunities to reflect** on its work. Everything else that the group does during the month is *action*, so the monthly meetings provide the CBO with an important opportunity to come together and reflect on the results of what they are doing. You may want to **sit in on the first three or four meetings** that the group has in order to try to stimulate this reflection.

6. Encourage the group to also use its meetings for **storytelling**. As Module 7 points out, storytelling is often an excellent way to gain a richer and deeper understanding of what is actually happening in the group and in the community. You may use the following probing questions to stimulate the storytelling.

   • Can you tell a (true) story that illustrates the **positive impact** that your work is having?

- Can you tell a story that illustrates an **unexpected result** of your work? Did something happen this month that you did not know was going to happen? Why do you think it happened? What should the CBO do as a result of this?

- Can you tell a story that shows the **change** that has happened over time as a result of your work? What was the situation like in the beginning? How did the people in your story relate to each other? How is the situation now? What has changed and why do you think it changed?

- Can you tell a story about the way that you feel that **you have changed** as a result of your work? What has happened? Why do you think you have changed?

- Can you tell a story about one of the special **children** that you visit? We know that all children are special, but what makes this child particularly important to you?

- Can you tell a story about one of the special **chronically ill** that you visit? What makes this person particularly important to you?

Resources: Modules 5-7

1. Alin, Fadumo et. al., *How to Build a Good Small NGO,* Network Learning

2. *Annual Report 2000/2001,* CDRA, Cape Town, South Africa, 2001.

3. Carter, Isabel, *Building the capacity of local groups: A PILLARS Guide,* Tearfund, 2001.

4. *Community Organisers Toolbox: Building an Organisation,* ETU

5. Hope, Anne and Sally Timmel, *Training for Transformation: A Handbook for Community Workers,* ITDG Publishing, London, 1995.

6. Lawrie, Alan, *Developing your Organisation,* The Directory of Social Change, London, 2000.

7. *OVATA Project Farmer Association Training Modules 4 and 5: Meetings, Internal Rules*, World Vision Mozambique (unpublished).

8. *Project Design for Program Managers: Conducting a Workshop on Planning Community-Based Projects:* The CEDPA Training Manual Series, Volume II, The Centre for Development and Population Activities, Washington, D.C., 1994.

9. Reeler, Doug, *Story-telling – getting to the heart of things, CDRA Nugget,* CDRA, Cape Town, South Africa, 2004.

10. Slabyj, Stefania et. al., *Fundamentals of NGO Financial Sustainability,* Abt Associates, Inc., under subcontract to Pathfinder International, 1994.

11. *Strengthening Your Organisation: A Series of Modules and Reference Materials for NGO and CBO Managers and Policy Makers,* Pathfinder International.

Capacity Area 2: Organisational Structures and Procedures

Module 5: Structure, Roles and Responsibilities

Module 6: Internal Rules

Module 7: Meetings
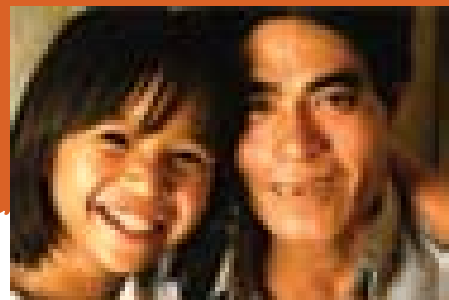
This section begins with the Facilitator assisting the CBO to produce an organisational chart (organogram) depicting its structure, with an emphasis on organisational arrangements that ensure open communication and collaboration among all members. The group will analyse the way the leaders and regular members of the CBO communicate with each other and will take corrective action if these are not effective. A clear leadership structure will be established to ensure that the functions of the CBO are carried out effectively, with an emphasis on rotating leadership and democratic election mechanisms. The Facilitator will work with the CBO to determine the qualities the group wants in its leaders and regular members, and the responsibilities they expect each individual to carry out. The CBO will write down role descriptions for members and leaders so that the duties of each are clear. The group will also work together to produce a written set of internal rules in order to standardise procedures. Finally, the CBO will discover the importance of creating agendas for each meeting, and the Secretary will learn how to record the meeting minutes. It should be emphasised that meetings present a good opportunity for members to receive and provide mutual support.

World Vision®

Part II: Facilitator's Manual for **OCB** *Training*

ORGANISATIONAL
CAPACITY
BUILDING

Capacity Area 3:

Group Dynamics

World Vision is a Christian relief, development and advocacy organisation dedicated to working with children, families and communities to overcome poverty and injustice.

As followers of Jesus, World Vision is dedicated to working with the world's most vulnerable people. World Vision serves all people regardless of religion, race, ethnicity or gender.

author: **Michele Gaudrault**

Capacity Area 3:

Group Dynamics

Contents

Introduction

Any organisation is only as good as the people who make it up, and any group is only as healthy as the relationships between the members! An organisation may have a clear *purpose* (vision, mission, goal, objectives) and a carefully thought-out *action plan*, it may be *structured* so that work is carried out efficiently and have clear *procedures* that guide how things get done. But if the organisation has weak *leadership* and if the members are unable to work together as a *team*, we may consider the organisation to be unhealthy in terms of the nature of its relationships.

> *Some groups work well, but others leave the members feeling dissatisfied with the way things are going. To get the job done, the group needs to stay together. To keep the group together, the relationships need to stay healthy. This means that the group members need to listen to each other and to deal with conflict when it arises. They also need to build trust, to learn to accept and understand each other and to cooperate. Finally, every member must believe that they belong, because the stronger their feeling of belonging, the stronger their sense of responsibility for the work of the group. The art of leadership is to (recognise) these needs and to take steps to ensure that the needs are met effectively.'* [1]

Modules 11 and 12, aimed at beginner-level organisations, treat Leadership and Teamwork as being essentially about relationships, and focus on the nature of the relationships between and among leaders and other members. In Module 11 the participants will reflect on different leadership styles in order to come up with a coherent concept of leadership, and learn how to put this into practice within the group. In Module 12, the CBO will think about the possible phases of group development and the contributions that members with different personality types can make, and will participate in various activities aimed at fostering group cohesion through improved listening, communication, trust-building and cooperation.

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[1] Symes, Camilla, *The New Toolbox: A Handbook for Community Based Organisations,* The Barnabas Trust, 2002.

Module 11:   Leadership

Contents

Introduction

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Facilitator Reference Sheets

Handouts

Introduction

In this module you will help the CBO to come up with a coherent view of leadership by reflecting on different styles of leadership and determining the style that they would like to see put into practice in their group. You will work with leaders to talk about their experiences as leaders, the role models and examples they have been exposed to, and any difficulties they might perceive in putting a participatory style of leadership into practice.

NB: You will carry out some activities with the entire group, while for other activities you will work with leaders and members separately.

Training Objectives

- To introduce two **styles of leadership** to the group and to discuss the advantages and disadvantages of both.
- To reach **consensus** on the style of leadership that the participants would like to see put into practice in the CBO
- To identify **potential constraints** to putting a participatory style of leadership into practice, and to work to overcome such constraints.

Training Outputs

- Leaders understand and are equipped to put into practice a participatory style of leadership

Suggested Indicators

- Leaders promote the participation of all group members
- Leadership style is participatory, not autocratic

Materials

- Flip chart, paper and markers
- Photocopies of pictures and cartoons

Time: 6-8 hours

Activity One: Group Discussion and Brainstorm

Step 1: Open Discussion

*NB: Before beginning this activity please read **Facilitator References 11.1 and 11.2** found at the back of this module.*

You will carry out this activity with all members of the CBO – the leaders and the other members. Begin the activity with an open group conversation, asking the members to talk about why they selected this training module. In what ways do they feel that they need more training in Leadership and what is it that they want to learn and address in this training?

You should make note of the main points that are raised in this discussion, as this will help you to understand the particular leadership issues, successes and concerns facing this particular CBO. As emphasised in *Facilitator Reference 11.1*, Leadership is very much about **relationships** – about the ways that leaders interact with those who are looking to them for guidance. As you listen to the group's conversation you should try to be alert to the nature of these relationships. Do the CBO members seem to be satisfied with their leaders and vice versa, with relationships that are cooperative and supportive, or are you hearing some discontent? You should avoid turning the discussion into an opportunity for people to simply complain, and you will need to be sensitive to the way that the conversation is going and adept at facilitating it. But if carefully facilitated, you will be able to gain some insight into whether the leader-member relationships in the CBO are healthy or not, and this will better prepare you to know what to focus on in the activities that follow.

Step 2: Brainstorm 1

Once you have given the group an opportunity to explain their reasons for wanting to be trained in Leadership, ask the following question and ask the group to brainstorm together.

•   What are the characteristics of a good leader?

Write the responses on a flip chart. You should not worry whether the responses fall under the category of 'Style 1: Autocratic / Dictatorial' or

'Style 2: Open / Participatory'. Simply record the responses and follow up with a discussion. You may add your own ideas to the list if the group has not already mentioned them. Some possibilities are listed below. You may think of others.

Responsible	Trusted	Confident
Listens to other members	Supportive	Honest
Caring	Helps to solve problems	Patient

Step 3: Brainstorm 2

Repeat the same exercise, asking the group to brainstorm their ideas regarding the following question:

- How is your CBO, which is made up of **volunteers**, different from other types of organisations that have paid staff? How is the leadership different in these two cases?

The main point that you will want to emphasise is that the CBO has formed in order to collaborate together to carry out work in the community, with OVC, the chronically-ill, or other target groups. In this case, there is not a big difference between leaders and other members, and leaders should not try to exert control over the other members in an authoritarian way.

Activity Two:	Case Study – Two Leadership Styles

Introduction

Explain to the group that you will present a case study that describes two different styles of leadership. After reading or dramatising the case, the participants will debate the advantages and disadvantages of the two styles.

Step 1: The Case Study

Read the Case Study: CBO *'Together for Children's' New Chairperson* found in **Facilitator Reference 11.3** at the back of this module. Or better yet, organise a dramatisation of the case study, with two participants playing the roles of Ms. Joana and Ms. Lesedi.

Step 2: The Debate

To begin the discussion and debate on the two leadership styles, place two chairs facing each other in the front or middle of the room. One chair is for Ms. Joana, and the other is for Ms. Lesedi. Ask for two volunteers to sit in the chairs and start the debate. The person in Joana's chair must defend Joana's point of view, while the person in Lesedi's chair must defend Lesedi's point of view. Allow each pair 2-3 minutes to debate their positions. When the time is up, ask for two more volunteers, and continue in this way, until everybody who wants to participate has had an opportunity to do so.

Step 3: Discussion

Use the questions below to lead a group discussion about the two different leadership styles:

• The two candidates differ in a number of ways. Describe these differences.

• Describe how the two candidates would behave during a monthly CBO meeting

• CBO *Together for Children* has a difficult decision to make! The person they choose will be their Chairperson for two years, and will have a big impact on how the CBO is run. If you were a member of this CBO, which candidate would you vote for, and why?

Activity Three: **Comparing Leadership Styles**

Step 1: Pictures: Autocratic vs. Participatory Leadership

Use the pictures in *Facilitator Reference 11.4* for this exercise. Explain to the group that we can broadly classify Joana and Lesedi's styles as Autocratic and Participatory. Explain that these terms refer to the extent to which a leader *consults* with and *supports* the other members of the group. Show the group the two pictures and ask them to discuss the difference between the two pictures. Which picture more closely represents Joana's ideas, and which Lesedi's?

Picture 1: Autocratic leaders prefer to make decisions themselves and believe that their role is to make sure that other members carry out the work that they are supposed to do.

Picture 2: Open or Participatory leaders want to hear the ideas of the other members and include the members in making decisions. They believe that their role is to help and support other members to carry out their work.

Step 2: Diagram: Degree of consultation (Optional)

Use the diagrams in *Facilitator Reference 11.5* for this exercise. One of the features that distinguishes autocratic and participatory leaders is the extent to which the leaders consult with 'ordinary members' when taking decisions. The diagrams represent the different positions leaders can take with respect to consultation.

Show the diagrams to the group and explain what they mean. Ask the group to decide which of the diagrams most closely represents Joana's position with regard to consultation of members and decision-making, and which diagram most closely represents Lesedi's point of view. Have the group discuss the advantages and disadvantages of the different degrees of leader control and member involvement.

Step 3: Lists:
Describing Autocratic and Participatory Leaders

Label two sheets of flip chart paper with the titles 'Autocratic Leader' and 'Participatory Leader'. Work with the group to outline the characteristics of these two styles of leadership. You may use the lists provided in *Facilitator Reference 11.2* and brainstorm other ideas together with the group. Write (or ask a volunteer to write) all the ideas on the two sheets of flip chart paper.

Your lists might look something like this:[2]

Autocratic	Participatory
• Believes that he/she needs to control and watch over other members	• Believes that members want to do a good job
• Believes members cannot be counted on to do a good job without discipline and strict control	• Believes that leaders should help to solve problems
• Looks for problems and examples of poor performance	• Believes that members – and members' ideas – need to be recognised
• Does not believe that members should contribute to decision-making	• Believes that leaders should be oriented towards people's needs
• Blames	• Helpful
• Impatient with questions and requests	• Consultative
• Non-supportive	• Supportive

Step 4: Role Play (Optional)[3]

You can work with the group to carry out a role play to emphasise the differences between an autocratic and participatory leader as an optional activity. Divide the participants into two groups, and give each group the scenario that they will act out. *NB: You may want to carefully select the two actors to play the roles of the two different Chairmen and practice with them ahead of time so that that the characters are played well, that each Chairperson behaves as you have instructed them to and makes the points as clearly as possible.*

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[2]   *Supervision,* The CEDPA Training Manual Series, Volume IV, The Centre for Development and Population Activities, Washington, D.C., 1996.

[3]   Adapted from Symes, Camilla, *The New Toolbox: A Handbook for Community Based Organisations,* The Barnabas Trust, 2002.

Tell the two groups to imagine that they are holding a monthly meeting and that they need to discuss arrangements for the football tournament that they are organising for next month (four games in one day, more than 200 children!) During the discussion, each member should behave according to the specific instructions they are given. (The only difference between the two groups will be the role of the Chairperson.)

Chairperson Group 1: You are an **autocratic** Chairperson. Your role is to dominate the group. Call for ideas, but do not listen to people, put down their suggestions, and impose your will and your point of view on the group.

Chairperson Group 2: You are a **participatory** Chairperson. Your role is to listen to the ideas of the participants and to try to work towards a group consensus. You should try to resolve any conflicts within the group if they arise. You should also encourage the quieter members to voice their opinions. Be patient and kind, but eventually make sure you reach decisions on the items you are discussing.

Members: (Same for Group 1 and Group 2)

Member A: Support whatever the Chairperson says / suggests
Member B: Oppose and interrupt whatever the Chairperson says / suggests
Member C: Vigorously support Member B.
Member D: Come up with lots of ideas and suggestions
Member E: Say very little, be timid, but occasionally try to add something.

NB: If you have more than 12 people in the CBO you may invent additional roles for the remaining members to play.

Give the two groups plenty of time to rehearse their dramas. When the groups are ready, have each group perform. Remind the actors to speak loudly and clearly, and to face the audience when they are speaking!

When the two dramas are over, facilitate a discussion using the following questions as a discussion guide:

• What did the first leader do in the group?
• How did the group react?
• What did the second leader do in the group?
• How did the group react?

Step 5: The 'New' Roles of the Participatory Leader

Now that the group has had a chance to compare the two leadership styles, ask them which style of leadership they prefer for their CBO. In most cases it is to be expected that the group will overwhelmingly choose the participatory style!

You have already done a lot of brainstorming with the group about the roles of a participatory leader. The group might find it difficult to come up with new ideas if you ask them to brainstorm again. Instead, distribute **Handout 11.1** to all the leaders, and any members of the group who can read. (Members who do not read can listen to the conversation.)

Explain that the handout lists some of the possible 'new' roles of a participatory leader. (These roles will be 'new' if the group has not yet had very much experience with participatory leadership.) Ask the literate members of the group to read the items on the list one by one, and facilitate a group discussion as you go along. You may use the following questions as a discussion guide:

- Do the leaders agree with the suggestions on the handout?
  Do the members?

- Do the participants feel that the CBO's leaders are *already* behaving in the ways suggested on the handout or not?

- What sorts of changes the CBO might need to make in order to make the leadership more participatory?

- What sort of support might the leaders themselves need in order to try to put some of the ideas on the handout into practice?

Activity Four: Conversations with Leaders and Members

For this activity you should meet separately with leaders and members. The purpose of the meetings is to listen to the perspectives of both the leaders and the members. You have carried out many activities related to leadership by now, and the group should have a good understanding of the advantages of a participatory style. Nevertheless, the group may still have difficulty in putting some of these ideas into practice, especially if the CBO has traditionally accepted a more autocratic style. (Remember, the 'autocratic' style of leadership is still common in many parts of the world, there may be aspects of this style that both the leaders and the members like, and it may take time to shift viewpoints and to put new ideas into practice.) You should try to discuss openly any concerns that the leaders may have in trying to become fully participatory, and think together of the small steps they can take if they decide that they want or need to change certain elements of their leadership.

Step 1: Meeting with the Leaders

You should use the cartoons in *Facilitator Reference 11.6* **as discussion** prompts. These cartoons represent some of the difficulties that leaders may face, and also show how an autocratic style of leadership may be the only example that the leaders have ever had to follow. You should try to discuss these issues openly with the leaders!

Please note that there are no correct or incorrect ways for the leaders to answer the questions you ask. Rather, you should use the questions as a starting point to facilitate an open conversation. You want to use this meeting to give the leaders an opportunity to think through their style(s) of leadership, to express their points of view, and to raise any issues, concerns or positive themes that they may be thinking about. You may use any or all of the following questions, or come up with your own questions, to get the conversation going:

- What do you like about being a Leader? What is easy about being a Leader?

- What do you dislike about being a Leader? What is difficult about being a Leader?

- Thinking back on the case study that the group discussed in the previous activity, how would you answer CBO Together for Children's interview question? *'What is the role of a Chairperson (or Leader) in your opinion?'*

- When you are in a situation when you are not the Leader, how do you feel being supervised by somebody else? Are there types of supervisory styles that you prefer and other types of styles that you don't like as much? Describe these different experiences.

- What do you think the members of the CBO expect of you? What do you think the members want of you? Do you think that you meet these expectations and desires? Why or why not?

- Is there a leader who you particularly respect? (This could be a church leader, a community leader, a government official, or anybody else that the participants know.) What do you respect about this person's style of leadership? What makes him/her such a good leader?

- What do you think about the Facilitator's suggestion to try to be a participatory leader? Are there any reasons why you do not like this suggestion?

- Do you feel that you already are participatory in your style, or has your leadership style been different until now?

- Do you think that there are constraints in your group or your community that would make it difficult for you to be a participatory leader? Explain. Are there ways to overcome these constraints?

- Is there anything about your leadership style that you would like to change or to learn more about? Please explain.

Since leadership behaviours are developed over time, it should be clear that this training module is only a **first step** in trying to raise awareness about the benefits of a participatory style. It is important that you remain available to play a coaching/mentoring role as leaders take on the many challenges of leading. You should ideally be developing an ongoing relationship with the CBO and its leaders/members, so you will be able to provide any needed support throughout this process.

Step 2: Meeting with the members

You may use the cartoons provided in *Facilitator Reference 11.6* to call attention to some of the difficulties that the CBO Leaders might be facing, and to recognise the types of 'autocratic' role models that the leaders might have had, and that might have influenced their own style.

Again, there are no correct or incorrect answers to your questions, rather, the purpose of this meeting is to facilitate an open conversation with the members. You can use the following questions to get the conversation going:

- What do you think are the easy and the difficult aspects of your leaders' roles as leaders?

- What are your expectations of your leaders? What do you want from your leaders? Do you feel that your expectations and desires are being met by your leaders? If so, please describe the ways that the leaders are meeting your expectations.

- If not, what difficulties do you think the leaders have in meeting your expectations? How can the situation be improved?

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*Note to Facilitator: Try not to let this conversation degenerate into a complaining session, if the members are not happy with their leaders! Rather, try to constructively identify some of the factors that could be improved. Discuss the positive **actions** that the leaders can take to improve the situation, and avoid attacking the leaders as **people**. You will need to use sensitive facilitation skills for this!*

- Is there a leader who you particularly respect? (This could be a church leader, a community leader, a government official, or anybody else that the participants know.) What do you respect about this person's style of leadership? What makes him/her such a good leader?

- Do you like the Facilitator's suggestions for participatory leadership? Are there any reasons why you do not like these suggestions?

- Do you think that there are any reasons why it might be difficult for your leaders to become fully participatory in their style? If so, how could these difficulties be overcome?

Activity Five: Plenary Conversation

It is difficult to know in advance exactly how this follow-up plenary conversation will go, as much will depend on the issues raised in the meetings you had with the leaders and the members. If there are leadership problems within the CBO, these will need to be handled sensitively, and you will need to make sure that this plenary meeting is not used as an opportunity to attack any leader as a person! Hopefully, however, the individual meetings will have brought out many positive features of the CBO's leadership, and you will want to build on these in the plenary conversation!

Here is one possibility for facilitating the plenary conversation:

Step 1: Summarise main points on flip charts

Write the ideas of both the leaders and the members on a flip chart. You may have separate sheets of paper for each of the following themes:

- Easy and enjoyable things about being a leader
- Difficult and less enjoyable things about being a leader
- Members' expectations of their leaders
- How leaders are meeting the expectations of members
- Possible difficulties in being fully participatory leaders
- Aspects of leadership to learn, change or improve

Step 2: Compare the perspectives of the leaders and the other members

It will be interesting to see if there are differences between the way the leaders responded to the questions and the way the other members responded! You will be able to see the similarities and differences clearly with the answers recorded on the flip charts.

Have the group discuss the similarities and differences between the leaders' and members' perspectives. Help the group to decide if there is any action they would like to take as a result of this conversation. For example, the leaders might decide that they need to set aside time to meet individually with each member (perhaps dividing responsibility for these meetings between the 4 or 5 CBO Leaders) so that everybody has a chance to talk through any issues, concerns or successes that they might have.

Facilitator Reference 11.1:
Introductory Notes on Leadership

Guiding Idea:
Leadership is very much about relationships

Introduction

In this module you will be working with the CBO to look at the nature of the relationship between the leaders and the other members of the CBO. The way in which the leaders of an organisation interact with those who look to them for guidance will have a major impact on group motivation and effectiveness. Leaders who are able to inspire, support and learn from and with other members will, through their influence and behavior, foster an organisational environment that is positive and energetic. On the other hand, Leaders who attempt to control, dominate and discipline other members will create an environment of caution and compliance that can effectively dampen enthusiasm and commitment within the group. It has been argued that no positive organisational growth can take place without the support and 'buy-in' of the organisation's leaders. Leaders generally set the tone of an organisation. While strong and positive leaders can lead an organisation forward and inspire the members to learn, grow and continuously improve their work; weak, negative and / or autocratic leaders can effectively bring organisational dynamism to a standstill and undermine group cohesion.

The CBO as a Volunteer-Based Organisation

In most of the CBOs that you will be working with, the leaders will have been elected from among the members of the group, and all members, including the leaders, will be working on a voluntary basis. This is a different type of arrangement from an organisation with paid staff. The leaders of the CBO do not exert the same type of 'authority' over the other members as does a supervisor or 'boss' in an organisation with paid employees. Rather, the relationship between leaders and other members in a volunteer-based organisation is one of relative equality. Leaders are fulfilling certain practical roles that the CBO needs them to fulfill, but they do not 'control' the other members in any formal way. This relationship of relative equality between leaders and members is one that you, the Facilitator, will want to help to foster. This is discussed in greater detail below.

Different Styles of Leadership

For the sake of this discussion, we will exaggerate between two extremes of leadership styles. In reality, leaders around the world exhibit qualities and characteristics that are probably some sort of mix of these two extremes. For the sake of the discussion we can contrast a 'Style 1' type of 'dictatorial' or autocratic leader with a 'Style 2' type of open, 'participatory' leader. (See *Facilitator Reference 11.2* for more details regarding these two styles.) In this training, you will work with the group to think about these different leadership styles. World Vision generally believes that good, effective leaders will exhibit many or most of the characteristics of 'Style 2', and you will work with the group in this module to come to an understanding of the relative advantages that this style of leadership offers.

Note to Facilitator: It is important, however, that you respect the fact that for some CBOs these may be new and unfamiliar ideas. In some parts of the world it is still common to view leaders as the final 'authority'. Leaders are frequently comfortable in this role and are not accustomed to seeking the input of those they are leading. At the same time, 'ordinary members' may be uncomfortable speaking up in front of leaders and contributing their ideas and opinions. Indeed, they may feel that their leaders are not 'strong' if they are asking for help in this way! If this is the case in your CBO you will need to understand that any shifting of the CBO's views in this regard will be a **process** that will take **time**. You will need to be alert and attentive in order to understand the CBO's current ways of thinking about leadership, and you will need to pay attention to the nature of the relationships between the CBO's leaders and members as they are now. You should carry out the discussions and activities in this module with sensitivity and awareness, and try to have open and honest conversations with leaders and members as they explore their ideas and form their views.

Facilitator Reference 11.2: Overview of Two Styles of Leadership

Style 1: Autocratic/Dictatorial

The autocratic leader is one who concentrates all 'power' and decision-making in his/her own hands. This leader does not ask for the ideas of other group members when making decisions, rather, he/she makes decisions himself/herself and then tells the group members what to do. As described in *Module 5: Structure, Roles and Responsibilities*, in these cases information flows in only one direction: from the leaders **out** to the other members (represented by the letter M), as shown in the diagram:
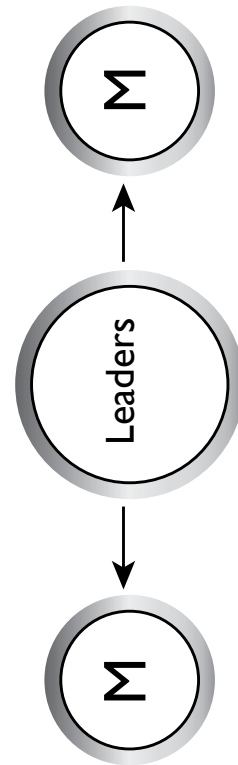
The autocratic leader often displays the following characteristics[4] :

*   Believes that he/she needs to control and watch over other members
*   Believes members cannot be counted on to do a good job without discipline and strict control
*   Believes that members are motivated through discipline and strict control
*   Looks for problems and examples of poor performance
*   Does not believe that members should contribute to decision-making
*   Blames
*   Impatient with questions and requests
*   Non-supportive

The picture on the following page illustrates the way that an autocratic leader sees himself/herself to be 'above' the others in the group:

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[4] *Supervision: The CEDPA Training Manual Series Volume IV,* CEDPA: The Centre for Development and Population Activities, Washington, D.C., 1996.

The participatory leader is one who guides and provides direction, but also looks for ideas and opinions from other members. This leader does not concentrate all decision-making in his/her own hands; rather, he/she consults with others and tries to work towards genuine consensus in decision-making, so that the whole group agrees on what to do and how to do it. This leader recognises the valuable contribution that 'ordinary members' make to the organisation, tries to support them in their work, and nurture their motivation and growth. This leader *earns* loyalty and admiration through his/her behavior, rather than *commanding* obedience through his/her authority. This type of leader wants to see information flowing in all directions in the organisation; not only **out** from the leaders to the other members, but also **in** from the members to the leaders, as shown in the diagram:
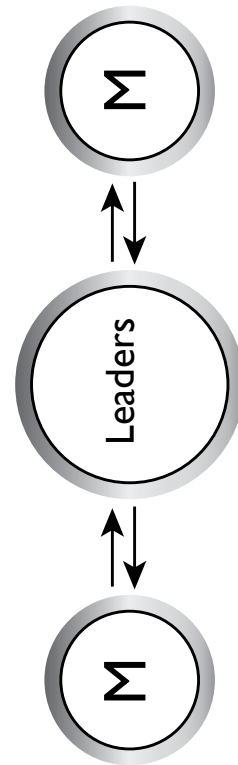
The participatory leader often displays the following characteristics[5]:

- Believes that members want to do a good job
- Believes that leaders should help to solve problems
- Believes that members – and members' ideas – need to be recognised
- Believes that leaders should be oriented towards people's needs
- Helpful
- Consultative
- Supportive
- Inspirational

The picture on the following page illustrates the way that a participatory leader works together with other members of the group:

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[5] Ibid 1996.

M → Leaders → M
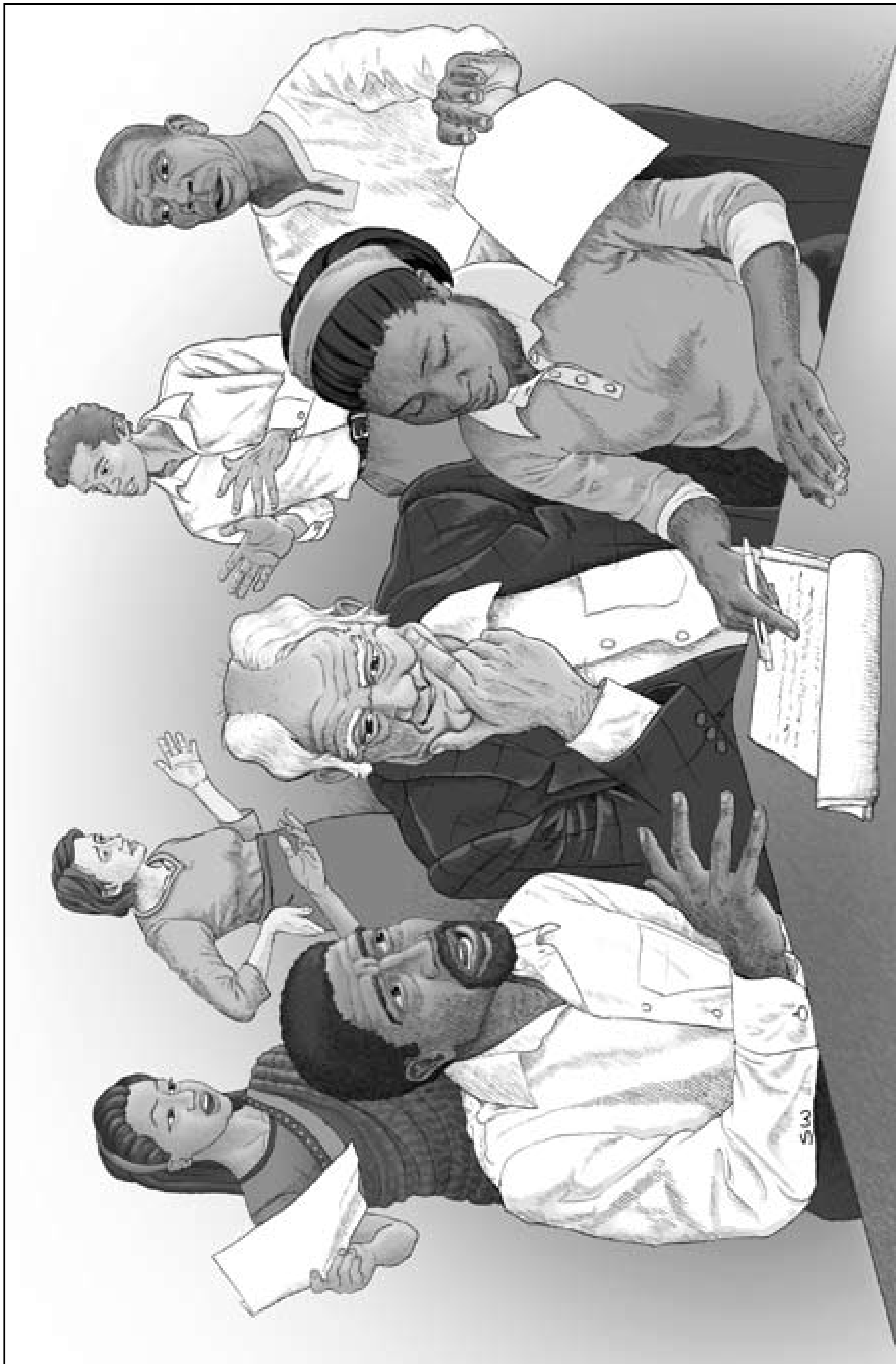
Facilitator Reference 11.3: Case Study[6]

CBO Together for Children's New Chairperson

CBO *Together for Children's* current Chairperson, Mr. Richard, has reached the end of his two-year term. According to the CBO's internal rules, Mr. Richard must now step down and the group must elect a new Chairperson. During the monthly meeting the CBO asks if there are any members – either current leaders or other members – who want to be candidates for the Chairperson position. Once the candidates are identified, the group will interview them, and then hold an election to choose between them.

Two Home Visitors – Ms. Joana and Ms. Lesedi – decide that they would like to run for Chairperson. Both women have been Home Visitors for two years, both know how to read and write, and both are well-respected among the group and within the community. Here is the question that the CBO asked the two candidates in the interview, and here is the way the two candidates responded:

Question: What is the role of the Chairperson, in your opinion?

Ms. Joana: "The role of the Chairperson is to make sure that the CBO's work gets done, according to the plan, the procedures and the rules. We have many problems in our CBO. For example, the Home Visitors are always making visits on different days of the week, instead of on Mondays the way we agreed. The Chairperson needs to push the Home Visitors constantly, because they never follow the rules correctly. Many members do not contribute to the group fund on time because they say they are waiting until the end of the month. How can we do our work if we don't have money in our fund? Also, the members have decided to work in the vegetable garden in shifts, instead of all coming together on Saturdays. How can we hold our CBO together if people do not follow the rules? If I am the Chairperson I will be stricter with the Home Visitors. When we make a plan, we must follow it, and I will make sure that that happens."

Ms. Lesedi: "The role of the Chairperson is to help the Home Visitors to do their jobs well. We are all volunteers and we are all doing the best that we can to care for OVC in the midst of all of our other responsibilities. I know that Home Visitors sometimes cannot make visits on Mondays because they need to work in their fields or take care of their own children. But all Home Visitors are trying hard, and they usually manage to make other arrangements with the families and to visit all of their OVC by the end of the week. I know that it is also difficult for many members to find the money every month to contribute to the fund, and I think that we must be patient and give people until the end of the month to pay. The work that we are doing is important, and it sometimes makes us sad to see children in hard situations, so we must support each other. If I am Chairperson, I want the Home Visitors to come to me when they need help, and I will try to help them. Our plans do not always go the way we expect them to, but if we all work together, we can help each other to do most of the work that we are trying to do. The Chairperson must motivate the Home Visitors by recognising all of the good work that they do. This will help the whole CBO to go on even if we sometimes get discouraged. I promise to try to keep our group motivated, so that we help each other to help our children."

[6] Adapted from *Supervision*, The CEDPA Training Manual Series, Volume IV, The Centre for Development and Population Activities, Washington, D.C., 1996.

Facilitator Reference 11.4: Pictures

Picture 1: The Autocratic Leader

Picture 2: The Participatory Leader

Facilitator Reference 11.5: Degrees of Consultation[7]

One of the features that distinguishes autocratic and participatory leaders is the extent to which the leaders consult with 'ordinary members' when taking decisions. The diagrams below represent the different positions leaders can take with respect to consultation.

☐ = Leaders' control

▧ = Member involvement

Position 1: Fully Autocratic

Leaders take decisions alone and inform others of the decisions they have taken. Leaders control the direction of the organisation and take responsibility for all decisions.
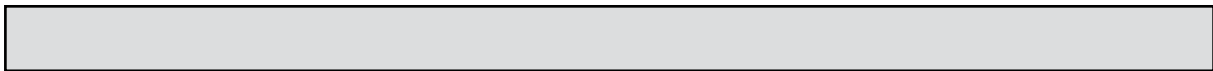
Position 2: Some input from others (mostly autocratic)

Before taking a decision, leaders ask organisation members for their views.
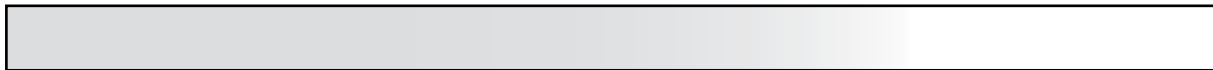
Position 3: Active consultation (mostly open)

The leaders consult with members before taking a decision and believe that the members need time to consider the issues and to express their views.

Position 4: Shared consensus (fully open and participatory)

Leaders do not take decisions by themselves. Instead, the group as a whole works to reach a consensus. The leaders can facilitate the process of decision-taking so that the group agrees on a way forward that has the support of everybody.
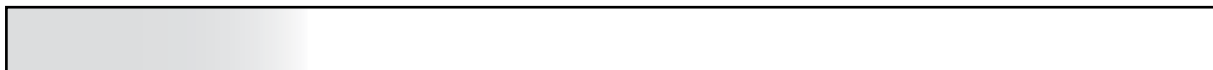
[7]   Lawrie, Alan, *Developing your Organisation,* The Directory of Social Change, London, 2000.

Facilitator Reference 11.6: Cartoons

Cartoon 1:

Cartoon 2:

Cartoon 3:

Cartoon 4:

Cartoon 5:

Handout 11.1: The 'New' Roles of the Participatory Leader

Observe the team: Pay attention if there are any problems or issues surfacing in the CBO. Observe the members and decide if they need help or support.

Motivate: Help to motivate the members by encouraging them and recognising the good work that they do.

Accept ideas of staff: Understand that you play an important role in the CBO, but you do not have all the answers! It will in fact ease your work load to recognise that the members can and should contribute their ideas and participate in the decisions that the CBO takes.

Minimise cliques: It is best if the CBO can remain a unified team. Sometimes, though, when many people come together in a group, smaller 'cliques' begin to form and this can sometimes work against a team spirit. If you see this happening, you may want to speak privately with the individuals involved and ask them to try not to exclude the other group members.

Recognise: Recognise the good work that the other leaders and members are doing! Do not be afraid to praise people's good work in front of the other members of the group! It is always very motivating to be recognised.

Listen: Listen to people and try not to judge too quickly. Do not jump to conclusions and stop listening, or cut them off before they have finished what they were saying. Doing so can hurt the other person's feelings, and you may miss important information!

Observe people's feelings: Note how people are feeling when you talk to them. How do you relate to people and how does it make them feel? If the people you are working with sense that their feelings are not respected, they will lose their motivation to continue doing good work.

Ask for help: Do not be afraid to ask for help from the other Leaders or the Home Visitors if you feel you have too much work, or if you are frustrated for any reason and need support.

Coordinating CBOs: Leadership

- There is not much difference in the way you will carry out this module if you are working with a Coordinating CBO in place of an Implementing CBO. Issues of good leadership are relevant to both types of organisations. You will want to carry out many of the same activities in this module with the Coordinating CBO, making sure that the participants understand the difference between "participatory" and "autocratic" leadership, and making sure that there is an opportunity to talk with leaders about some of the difficulties they might be experiencing when trying to lead in a participatory manner.

- One additional activity you may want to carry out is to ask the leaders to brainstorm the differences between leading an organisation that is carrying out activities directly in the community (an Implementing CBO), and an organisation that is trying to coordinate the activities of many other organisations (a Coordinating CBO). You can then facilitate a discussion about the special challenges, or unique roles, of leaders in a Coordinating CBO.

The Learning Organisation

The Learning Organisation's approach to 'logical' Goals and Objectives

This module has placed much emphasis on fostering a participatory style of leadership in which leaders encourage the involvement of all CBOs members in learning and decision making. Leaders are seen to have new and different roles as compared to the roles of the 'traditional' leader. One of these new roles of the participatory leader is to actively foster an environment of learning!

The literature is clear on the point that an organisation will never be able to become a true learning organisation without the *commitment of the leaders.* While everyone in an organisation contributes to fostering an attitude or 'culture' of learning, leaders have a particular responsibility in making sure that the CBO plans regular opportunities to learn. This is a two-fold responsibility, as follows:

- **Information:** Making sure that all members have the necessary information to stay up to date on the CBO's work, and up to date on what is happening in the CBO.
- **Organisational learning processes:** Deliberately creating time for all CBO members to engage in reflection, storytelling and dialogue.

1. Making information available to all members

In order for all members to participate in organisational learning, they must have access to relevant information. In many organisations, however, essential information and records such as action plans, monitoring data and financial reports are often available only to the leaders. The leaders produce the plans, statistics and financial reports but they never convey this information to other members of the organisation. It is very difficult for ordinary members to participate in organisational learning in any meaningful way in these cases, as they are unable to stay up to date with what is actually happening within the organisation. It is the leaders' responsibility to make sure that information of this sort is shared with all members, and is understood by them. It is only in this way that everybody can participate in the learning.

Examples of information-sharing include:

- **Action plans (Module 3):**
  If you have carried out Module 3 with the group then all members of the CBO will have been involved in creating the Annual and Monthly/Quarterly action plans. Leaders should make sure that all members understand these plans. The plans should be reviewed during monthly meetings.

- **Monitoring information (Module 15):**
  In Module 15 you will work with the group so that all members understand the data they will need to collect (usually related to numbers and support provided to target beneficiaries – OVC or chronically ill persons, for example). The data collected at the lowest level will subsequently be compiled into monthly statistics by sub-group supervisors and/or the Chairperson. It is important that the leaders then feed this compiled information back to the members! During the monthly meeting the leaders should present the overall results to the group, explain any figures that the members do not understand, and discuss the results with the members. This is an excellent opportunity for the CBO take stock of what it has been able to achieve during the month, to analyse successes and setbacks, and to make changes to plans if necessary.

- **Budgets (Module 18):**
  Depending on the levels of literacy in the CBO you are working with, as well as the training plan that you have come up with, it is possible that you will carry out the module on budgets with only the leaders of the CBO, and it is likely that the leaders (especially the Treasurer) will be the ones to put together the CBO's budget. Nevertheless, it is important that the other members of the CBO approve the budget – that they agree on what the CBO will be spending its money on. Leaders should present the budget to members for approval, and review the budget periodically with the members during monthly meetings. Changes to the budget should be discussed with members, and any variations between amounts budgeted and amounts actually spent should be explained

- **Financial position (Module 19):**
  In Module 19 you will work primarily with the Treasurer to help the CBO set up a simple and efficient bookkeeping system. As part of this system the Treasurer will be required to complete a cashbook reconciliation every month, and to present the results of the

reconciliation to the CBO during the monthly meeting. At this meeting the Treasurer will also verify the cash on hand in front of the group to ensure that the amount is equal to the balance in the cashbook. These procedures will not only foster transparency within the organisation and minimise the potential for fraud, but will also help all members to understand the financial position of the CBO; thereby allowing them to make informed decisions regarding planned activities and expenditures. The leaders are responsible for ensuring that the monthly reconciliations and discussions take place at every monthly meeting.

- **Reports (Module 16):**
  In Module 16 you will help the group to understand the various verbal and written reports that they can provide to different stakeholders. One of the CBO's most important stakeholders, of course, is the membership of the CBO itself! The leaders should make sure that all written reports are read to the members during the monthly meetings, and written copies made available to those members who are literate. This will ensure that all members remain fully up to date on the CBOs progress and achievements.

2. Structuring organisational learning processes

Ensuring that the CBO members have access to relevant information is a necessary pre-requisite for organisational learning. It is difficult for an organisation to reflect and learn in any meaningful way if the members do not have updated information on what is actually going on! Nevertheless, information by itself is not sufficient to ensure that the organisation will, in fact, learn. It is up to the leaders to ensure that opportunities for *learning processes* are scheduled so that the CBO can reflect, analyze, and act on the information. Examples of the types of organisational learning processes that leaders should set up include:

- **Action Learning (Module 3):**
  The idea of *Action Learning* is introduced in *The Learning Organisation* section of Module 3. Action Learning is explained as a process of Planning, Action, and Reflection. Almost all organisations *plan* and then move on to *action* based on their plans. But not all organisations deliberately *reflect* on what is actually happening as they carry out their plans. However, it is only by reflecting on its work that an organisation can decide if things are going well or not, and whether or not changes to plans are needed. No organisation should get so busy carrying out its activities that it fails to build in time for reflection. It

is the responsibility of the leaders to make sure that time is set aside for this. This is usually best done during monthly meetings when all members come together. The group should review its monthly or quarterly plan, fill in the 'observations' column with information as to what actually happened when the plans were put into action, and then discuss these observations as a group. It is this discussion – or reflection – that should be built in to every monthly meeting, and that will ensure that the CBO continues to learn as it goes along!

- **Storytelling:**

  The idea of Storytelling is introduced in *The Learning Organisation* section of Module 7. A lot of learning can result when CBO members take a close look, through storytelling, at what is actually happening in the communities as they carry out their work. In Module 7 the group is encouraged to build storytelling into the monthly meetings, giving an opportunity to all members to share their stories. The leaders have an important role to play in encouraging this activity! It is likely that many members will be shy or reluctant to speak up during the first few meetings. It is up to the leaders to keep the activity going over a number of months so that the storytelling can begin to gain some momentum, and so that members can come to the meetings prepared with interesting stories to tell. Without leader encouragement the storytelling may die out after a few months. Leaders with a commitment to organisational learning should be active in continuing to promote this process!

- **Dialogue:**

  The idea of Dialogue is introduced in *The Learning Organisation* section of Module 12. Dialogue is described as being different from Debate. In a debate, each individual holds firmly to his/her point of view and tries to convince others that his/her position is correct. The problem with this stance is that the individual remains firmly closed to accepting the points of view of others and, as such, is unable to learn anything new! In fact, however, individuals and teams must be open to new ideas if organisational learning is to take place. Leaders have a role to play in setting up Dialogue sessions whenever the group has an important issue to discuss. If the organisation is struggling with an important issue, it needs everyone's ideas, and it needs to learn as a *team,* in order to move forward and continue to act effectively. The techniques for a good Dialogue are explained in *The Learning Organisation* section of Module 12. Leaders should make sure that they understand these techniques and should encourage their members to engage in genuine Dialogue whenever the organisation is confronting important issues or problems.

Exercise: **Preparing leaders to lead the organisational learning**

- Explain to the leaders that organisational learning *will not happen* without their involvement and leadership, and that they have a very important role to play in promoting an environment where learning is encouraged!

- Review the difference between *information* **and** *organisational learning processes.* **Explain to the leaders that they are responsible for making sure that the CBO members have the** *information* **they need in order to stay updated on what is happening within the CBO. Explain that information alone is not enough for an organisation to learn, however, and that the leaders will also need to set aside time for** *organisational learning processes.*

- Distribute **Handout 11.2** to the leaders. Review the items on the handout one by one. Note that the leaders may not be able to carry out all of the items on the handout until they have received further training. Nevertheless, the leaders may use the handout as a useful reference as they work at building the CBO into a true learning organisation!

Handout 11.2: Leader Responsibilities in Building a Learning Organisation

1. **Information:** Make sure all members have all necessary information. All of the following information should be presented at every monthly meeting:

   * **Action Plans**
   * **Monitoring Information/Monthly Statistics**
   * **Budget Information**
   * **Financial Position of CBO/Monthly Cashbook Reconciliation**
   * **Reports**

2. **Organisational Learning Processes:** Set up and encourage the following learning processes.

   * **Action Learning** (Plan, Action, **Reflect.** Time should be built in to every monthly meeting to **Reflect** on the outcome of the CBO's Actions)
   * **Storytelling** (Encourage each member to share a story about their work at each monthly meeting)
   * **Dialogue** (Promote genuine dialogue- as opposed to debate – whenever the organisation is confronting a serious issue or challenge)

Module 12:   Team Building

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Introduction

In this module you will focus on the nature of the relationships between all group members (leaders and other members). In order for the organisation to remain strong and to stay together, the group will need to pay attention to the relationships among the members and work to keep these healthy. You will work with the group to think about the possible stages of group development and to learn to recognise the benefits of having members with different personality types. You will then carry out many activities with the participants to help them develop skills in listening, communication, trust-building and cooperation. Many of these activities are meant to be a lot of fun, and you should approach this module in a spirit of fun and enjoyment, recognising that these attitudes can help to foster group cohesion.

Training Objectives

- To recognise the importance of diversity among group members
- To improve listening skills, communication and cooperation, and to build trust among group members
- To have some fun

Training Outputs

- The relationships between all CBO members are healthy; characterised by trust, communication and cooperation

Suggested Indicators

- All CBO members feel that their contributions to the group are valued
- The opinions of all members are taken into account, even when there is disagreement
- The group understands that people have different personality styles and does not try to force all members to be alike
- Conflicts are resolved through consensus-building among those involved

Materials

- Flip chart, paper and markers
- *NB: You will not carry out all activities in this module with all groups. You should select activities on a case-by-case basis and prepare materials as indicated for each activity. (See the separate activity descriptions for the necessary materials.)*

Time: 1 day

Activity One: Group Discussion and Brainstorm

Step 1: Open Discussion

You will carry out this activity with all members of the CBO. Begin the activity with an open group conversation, asking the members to talk about why they selected this training module. In what ways do they feel that they need more support in Team Building and what is it that they want to learn and address in this training?

Much as is the case with Leadership, Team Building is all about **relationships**! The emphasis in this module is on finding ways to assist the group to work more closely together, to cooperate and support each other, to build trust, and to minimise conflict. You should make note of the main points that are raised in this discussion, as this will help you to better understand the relationships between the members of the CBO. Does the group seem to be working together harmoniously, or could they benefit from some practice in listening skills, communication skills, trust-building and working cooperatively? As always, you should be careful not to let the conversation degenerate into a session of complaining. But if carefully facilitated, you will be able to gain some insight into whether the group dynamics appear to be healthy or not, and this will better prepare you to know what to focus on in the activities that follow.

Step 2: Brainstorm

Once you have given the group an opportunity to explain their reasons for wanting to receive training in Team Building, ask the following question and ask the group to brainstorm together. (You may divide the participants into smaller groups first and then have the groups report back in plenary, or you may carry out this brainstorm as a plenary activity, without breaking into groups first.)

- **Why is it important to work as a group? What are the advantages of working together instead of working alone?**

Write the responses on a flip chart. The group will likely mention such things as mutual support, solidarity, increased impact, and bringing together the talents of many people. These are all valid responses.

Explain to the participants that working together as a group has many advantages, as they have just identified. Nevertheless, for the group to function effectively, the members must pay attention to the relationships that they have with each other in order to prevent problems from arising, and to effectively deal with and resolve problems if they do arise. Explain that the activities in this module will help them to think about the ways that they work together as a group, and to develop and practice the following skills:

- Appreciating different personality types
- Effective listening
- Good communication
- Building trust
- Working cooperatively

Activity Two: > Thinking about Group Dynamics (OPTIONAL)

Divide the participants into groups of four or five. Make sure that each group has at least one literate member. Ask the members to think about **another group** to which they belong. This may be a church group, a savings and credit club, a school group, a community committee, etc. (It is to be expected that the members will belong to different groups – they do not need to all talk about the same group.) Distribute **Handout 12.1** to the literate members. In their small groups, the members should discuss this other group, using the questions on the handout as a discussion guide.

> If the members of the 'other group' that the participants are talking about are known to the CBO, tell the participants to use *false names* so that they do not identify who they are talking about. You do not want this to turn into a gossip session!

Give the participants time to discuss the questions in small groups and then ask for three or four volunteers to review in plenary. The key points that should emerge from the discussion are:

• Groups should try to avoid sub-dividing into 'cliques' as this undermines the strength of the group as a whole.

• Groups should recognise that it is an *advantage* to have members with different personality types in the group, as each will contribute special talents and strengths!

• It is not uncommon for a group to pass through stages of growth. You will review the possible stages of group development in the next activity.

Activity Three: Possible Stages of Group Development[8]

- Distribute **Handout 12.2** to the participants. This handout describes the four possible stages of group development, as follows:

  - 'Forming'
  - 'Storming'
  - 'Norming'
  - 'Performing'

- Review the four stages with the group one at a time, explaining each stage. To make sure the group understands, you may ask for volunteers to dramatise each stage as you explain it. For example, in the 'forming' stage volunteers can dramatise group members coming together and being very polite and superficial with each other. The dramatisation of the 'storming' stage will include conflict and misunderstanding, and so forth for the other stages.

- Ask the participants if they think that their CBO has gone through any or all of these stages. If so, which stage do they think they are in now? If they say that they are in either the 'forming' or 'storming' stage, what sorts of actions should they take to make sure that they do not remain in this stage indefinitely?

- *Optional Discussion:* If you have developed a good working relationship with the CBO such that you feel comfortable discussing more personal matters, you may introduce a comparison – comparing the stages of group development with the possible stages of a marriage. Ask the group if they think that this comparison is valid; that is to say, if they think that human relationships such as marriages also proceed – or can proceed – through the various stages described here. Members can share their own personal stories if they feel comfortable doing so. If this conversation is culturally appropriate and if your group is comfortable talking about personal relationships then this can be a very clear way of explaining and understanding these phases!

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[8] Symes, Camilla, *The New Toolbox: A Handbook for Community Based Organisations,* The Barnabas Trust, 2002.

- Once the group is clear on the four possible stages of group development, you must make the point that the **risk** to any group is that of getting stuck in the 'storming' (conflict) stage and not being able to overcome internal problems. Indeed, when a group reaches a 'storming' stage, there are in fact two possible outcomes: either the group supercedes the 'storming' and moves on to 'norming', or the group is unable to resolve its conflicts and it falls apart (much like a marriage that ends in divorce). These two possible paths are represented below.

Forming

↓

Storming

Norming   **Dissolution**

↓

Performing
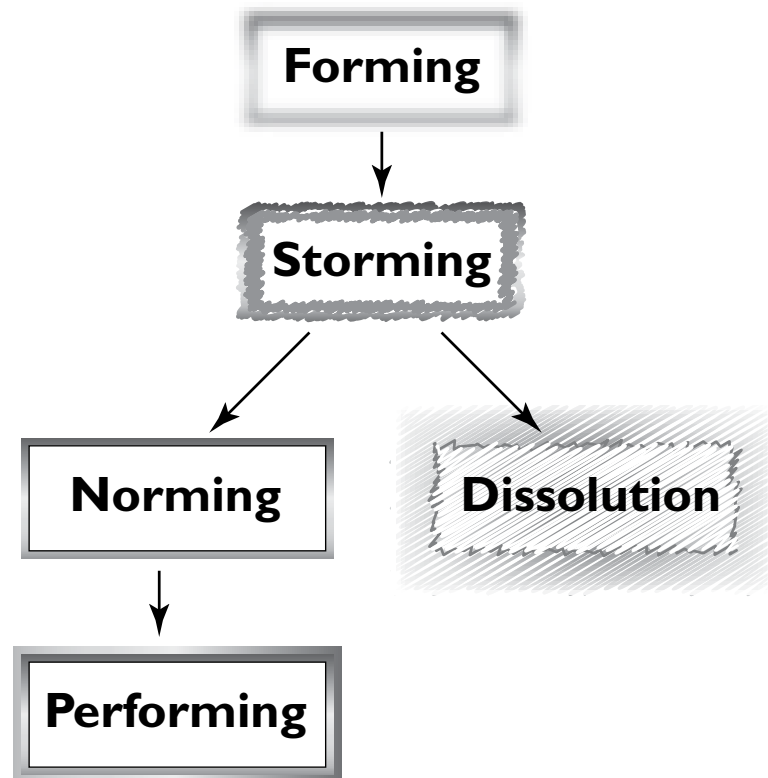
- Explain to the group that in the next two activities you will look at the following aspects of group dynamics:

    - Recognising and appreciating different personality types
    - Practicing good listening skills

- Using the skills that the group will learn in these two activities, you will then move on to looking at *Conflict Resolution*. You will review with the group a series of possible steps that it can follow when it is facing internal conflict, in order that the group may supercede this stage and move on to more mature stages. You will want to help the group to avoid an outcome where conflict leads to group dissolution! The following activities will help the group to gain skills in resolving their conflicts in a healthy way.

Activity Four: Recognising and Appreciating Different Personality Types

Step 1: Children on a Tree

Distribute **Handout 12.3** to the participants. This handout is a drawing showing many children playing and climbing in and around a tree. You may want to ask someone with some artistic ability to copy the drawing on to a flip chart for easy reference. By looking at the drawing carefully it is clear that the children all have different personalities – some are louder and more assertive, others are quieter and more reserved, some appear to be leading others, others appear to be following, etc.

Divide the participants into groups of 4 or 5 and tell the groups to look at the drawing for a few moments. Each participant should try to decide which of the children he/she feels most similar to, and explain his/her answer to the other members of the group.

Return to plenary and ask each individual to share his/her response with the group, coming up to the flip chart and indicating which child they selected and explaining their reasoning. Ask the group the following two questions:

• What is good about the child that this member has selected?

• Identify one special talent that this member contributes to the CBO.

Repeat for every member of the group. The point of this exercise is to demonstrate that the CBO is comprised of members with different personalities, and this is a positive thing! This diversity serves to strengthen the CBO as each person contributes special talents for the overall benefit of the group!

Step 2: Animals

Divide the participants into groups of 4 or 5 and give each group a large sheet of flip chart paper and one marker per person. Explain to the groups that each person should compare himself / herself to an animal and draw this animal on the paper provided. (All 4 or 5 group members can use the same sheet of paper.) The participants should only think in terms of the *positive characteristics* of the animals they choose! For example, a member who considers himself / herself to have leadership qualities might compare himself / herself to a lion. A member who likes to look at everything and think about everything before making a decision might compare himself / herself to a bird (flying above the situation and seeing it as a whole).

When the groups have finished their drawings, each group should come to the front of the room and explain their choices, with each member explaining individually. The CBO should clap for each person! The end result will be that each member of the CBO will have identified at least one positive characteristic about himself / herself, so that the CBO as a whole can see what a collection of talents the group has!

You may wrap up this activity by asking the group the following questions:

•	We have seen that this CBO is made up of individuals with many different personality types. Explain how this contributes to the strength of the CBO.

•	What would the CBO be like if every member thought and acted in exactly the same way? What would the CBO be like if everybody talked all the time? What would the CBO be like if nobody talked at all?

•	If the CBO is finding that the personality differences in the group are starting to create divisions, what can the CBO do to overcome these divisions and to remember that differences actually make the group stronger?

Activity Five: ⟩ Improving Listening Skills

Listening is one of the most important skills for every group member – and especially the leaders – to develop! We cannot hope to understand each other if we do not listen to each other. Nevertheless, most people are so busy thinking about their own ideas and points of view that they do not listen very attentively to others. For trust and appreciation to grow in a group, it is essential that the members listen to one another. The following exercises will help the group to understand the importance of listening, and to practice their listening skills.

Step 1: Dialogue or Monologue?[9]

For this step, you will ask for six volunteers to dramatise three different scenes. You should give the volunteers time to practice before performing.

Scene 1: Two people meet. One of them starts to talk and gets so excited and involved in what he/she is saying that he/she pays no attention to the other. The other tries several times to speak, to ask a question, respond, or make a suggestion, but the first person talks on, so the second person remains silent and gives up trying. (The pair should decide on a topic beforehand.)

Scene 2: Two people meet and both start telling the other what they are concerned about. They each have a different topic. Neither is listening to the other, and both are talking at the same time.

Scene 3: Two people meet, greet each other, and start a real dialogue. Each one asks questions about the other's interests, listens and responds to the other's answers, and shares his/her own news and opinions. (A common topic should be decided on beforehand.)

When the volunteers have finished performing the three scenes, facilitate a group discussion by asking the following questions:

• What did you see happening in Scene 1? In Scene 2? In Scene 3?
• Do these things happen in real life? Do they happen in your group?
• What can the CBO do to make communication and listening as effective as possible in the group?

You may write the responses to the third question on a flip chart and label the page *'Guidelines for Good Communication'*.

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[9] Hope, Anne and Sally Timmel, *Training for Transformation: A Handbook for Community Workers*, ITDG Publishing, London, 1995.

Step 2: Listening in Silence: Avoiding Interrupting

Divide the participants into groups of three or four members. You should instruct the groups that they should give an opportunity to each person in turn to speak without interruption for 2 or 3 minutes on a subject which the group has strong feelings about. *(NB: If it is difficult to think of a subject to speak about, you may tell the participants to 'Discuss an event or experience that made you extremely joyful or extremely angry')*

While each person is speaking, the rest of the group members must listen in silence, without asking questions or commenting.

Afterwards, return to plenary and ask the participants the following questions:

• What helped you to listen well?
• What was difficult about listening well?

Step 3: Listening Pairs: Restating (OPTIONAL)

It is common that when we disagree with someone, we have the most difficulty listening to that person. This exercise helps to develop the skill of listening even when we disagree, and provides a way of finding out if the members are truly listening to each other!

Ask the participants to divide into **pairs**, with each person trying to pair with someone with whom they know they disagree on a specific subject. Each pair should decide what they are going to discuss. Each person should speak for 3 or 4 minutes. After the first person in the pair has presented his/her point of view, his/her partner must **summarise to the speaker's satisfaction** what he/she has said!

The point of this exercise is to make sure that the members listen to and understand the other person's point of view, even if they do not agree with it! This is fundamental to good listening and good communication.

Afterwards, return to plenary and ask the participants the following questions:

• What difficulties did you experience in listening to and summarising a point of view that you do not agree with?
• How can the CBO improve listening and communication in the group?

Step 4: Do's and Don'ts of Listening

Now that the group has carried out three exercises helping them to think about and improve their listening skills, ask the participants to come up with a list of **do's** and a list of **don'ts** for listening.

You may use the lists in *Facilitator Reference 12.1* to add suggestions when the group is finished.

Activity Six:	**Steps for Conflict Resolution**

- Distribute **Handout 12.4** to the participants. This handout outlines a series of steps that a group can follow when trying to resolve an internal conflict. Review the handout with the members and discuss. If the members have additional ideas for conflict resolution they may write these on the back of the handout.

- Remind the participants that they have already practiced some of the skills recommended in the handout, including *appreciating different personality types,* **and** *effective listening.* **Ask the group what other skills they think they will need in order to resolve their conflicts effectively, and what sorts of actions they can take to improve these skills.

- If time permits you may want to carry out a 'practice conflict resolution' with the group. You may use a real example if the group indeed is experiencing a conflict or problem of some sort. Alternatively, you can help the group to come up with a hypothetical situation. Go through the steps outlined in the handout, and hold a meeting where the group attempts to arrive at a resolution of the issue at hand.

Note to Facilitator: Additional Activities for Group Strengthening

The remainder of this module presents many games that you can select from to foster greater group cohesion. All of the activities are fun, and are meant to promote better **communication**, increased **trust** among members, and improved **cooperation and teamwork**. It is not expected that you will carry out all the games with every group. Instead, you should think about the issues raised and discussed in the previous steps and decide which of the games will be of greatest value to the particular CBO that you are working with. You may decide that some activities are not well-suited for your group or your local context. For example, if there is a member of the CBO with a physical disability that would prevent him/her from participating in an game, then you should not carry out that game with that group. Or, for example, if the local context in which your CBO works is one in which many people fear witchcraft, you may find that the trust-building activities treat the subject of trust in too superficial a manner to have much effect on your group. (Or maybe not! You must decide!) You should use your best judgment and select games based on the particular characteristics of the CBO you are working with. Try different games with different groups and find out what seems to work best!

All of the games have discussion questions at the end. In many cases, the discussion after the game will be more beneficial than the game itself. Getting everyone involved in the game is important, but getting everyone to participate in the discussion can be just as important. Use the discussion questions as a guide, but allow the group to talk about any other issues that may have arisen during the game, and let the discussion go from there.[10]

Which games?

Note that you will **not** carry out **all** of the following games with any one group! If you were to do so, this training would take far too long! Instead, you should pick and choose from among the games those that you think will be most useful and interesting to the particular CBO you are working with.

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[10] All of the games are taken from the following two sources. World Vision thanks the authors for their permission to reproduce their material.

   1. Cole Miller, Brian, *Quick Team-Building Activities for Busy Managers,* AMACOM, American Management Association, NY, 2004.

   2. Jones, Alanna, *Team-Building Activities for Every Group,* Rec Room Publishing, Richland, WA, 1999.

Activity Seven: Games to Improve <u>Communication</u>

Game 1: Line up [11]

Divide the participants into groups of 8 or 9 members. For this activity, everyone must close their eyes or, better, wear a blindfold. Instruct the groups to arrange themselves into a line, using any of the criteria below. For an added challenge, give the groups a time limit, or have the groups compete to see which group can finish most quickly.

Line up criteria

- Shortest to tallest
- Number of letters in full name (shortest name to longest name)
- Where the members were born (nearest to furthest)
- Person who is newest to the group to person who has been in it for the longest
- Anything else you or the members can think of

Discussion questions

- How did the group communicate in order to complete this activity, since nobody could see?
- Did one person act more as a leader in this activity?
- Is it sometimes necessary to have a leader?
- What happens when everyone acts like a leader?
- What happens when everyone waits for someone else to lead?
- Are you more a leader or more a follower? Do you like being in this role, or do you want to change? Why?

Game 2: Twenty-One [12]

Divide the group into two or three teams of between three to nine members each. Each team appoints a 'counter' who will add up the number of fingers held up by the group. Prior to giving the directions of the game, instruct the group that there is no talking allowed for the remainder of the activity, with the exception of counting by the team 'counter'.

Each team stands in a circle, facing each other, with their hands behind their backs. You, the facilitator, will count '1, 2, 3' and on '3' each person will holdout between zero to ten fingers. The 'counter' adds them up, and if all the fingers together equal exactly twenty-one the team has won the round. If no team reaches twenty-one, everyone immediately puts their hands behind their backs and continues to play until one team comes up with twenty-one. Remember, no talking!

Discussion questions

- How did you communicate since you couldn't talk? Or did your team just hope to win through luck?
- What happens when you are on a team and there is a lack of communication?
- What can a group do if it is having trouble communicating?

Game 3: Footbridge [13]

Materials: 10 squares of heavy paper, about 1 metre by 1 metre or a bit larger

Explain to the participants that they will have to get their group from one end of the room to the other. The rules are that they can only use the paper squares given to them to cross the room. They may not touch the floor at any time while trying to cross, but they may step on the paper squares. Once a square has been placed on the ground it may not be moved (unless the group decides to start over and picks up all the squares). Also, once someone steps on a square, he/she may move forward but never backwards.

Divide the participants into two groups and give each small group five squares (or enough squares to get half way across the room but no further when laying them down and stepping on them to create a 'bridge'). Place the groups on opposite sides of the room as far away from each other as possible. Tell them to devise a plan that will get their small group across the room while observing all the rules.

At this point, both groups will try to get across, which is very difficult because they don't have enough squares to make a bridge. Eventually they should figure out that the two opposite teams must meet in the middle and help each other to create one large bridge. Due to the fact that the participants cannot go backwards, there will be some teamwork needed to get around each other in the middle when the teams are going in opposite directions.

This is a fun game. The less hints you give the participants the better, and the further apart the teams are, the more effective the game!

Discussion questions

- What was needed from both groups in order for this activity to be successful?
- How did you feel when you had to cross paths with the other team in the middle of the bridge?
- Are there times when you must rely on others in order to be successful at something? When should you ask others for help?

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[11] Ibid.

[12] Ibid.

[13] Ibid.

Game 4: Five Hands [14]

Divide the participants into teams of between three to five members. In each team, each participant must mark the back of their hands with a number from 1 to 5 (depending on the number of participants in each team, the members will have to mark one or both of their hands). Lay three pieces of paper in front of each team. Participants should stack their hands on one paper in order from '5' on the bottom to '1' on the top. This is the 'start' position.

Each team must restack their hands in the exact same order (with '5' on the bottom and '1' on the top) using only these moves:

- Move only one hand at a time
- Move a hand onto another hand (or stack of hands) or onto an empty paper
- Move only the top hand on a stack
- Never move a hand on top of a lower numbered hand

For example:

- '3' can never be placed on top of '1' or '2'
- '3'can be placed on top of '4' or '5' or '6' or on an empty paper
- '5' cannot be placed on top of '1' or '2'or '3' or '4'.
- '5' cannot be pulled out from under any number of hands; it can be moved only when it is on top.

Discussion questions

- What strategy did you use to be successful?
- How were differences of opinion about how to move handled in your team?
- Did you have a leader? How was he/she selected?
- When someone on the team thought that he/she knew the solution or at least the next move, how did he/she behave? How did you respond to that?
- Did you ever feel like you were backtracking? How did that make you feel?

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[14] Cole Miller, Brian, *Quick Team-Building Activities for Busy Managers*

Game 5: Blame Game[15]

Arrange the group in a large circle, with everyone standing. You, the facilitator, begin by pointing to someone in the circle. Keep pointing. That participant now points to someone else and keeps pointing. Continue until everyone is pointing at someone else, and the last participant points at you.

Stop pointing (drop your hands) and fix your eyes on the participant you were pointing at. That participant becomes your Idol. Explain that the objective is to watch your Idol closely and copy his or her every action.

Now ask the group to stand perfectly still. No one may move *unless* his or her Idol does. And if his or her Idol moves (twitches, coughs, etc.), he or she is to mimic that movement exactly and then be still again. Begin the game and play for several minutes.

Ask these questions:

- We were supposed to stand still – what happened?! (Expect some participants to immediately start blaming their Idol for moving.)
- Who knows who started the movement? (Allow for some accusations; inevitably it will be difficult or impossible to pinpoint who really started each movement.)
- How much does it matter who started it, once it got started?
- How much energy do we spend blaming other people?
- How can we communicate in a more productive way, instead of looking for somebody to blame?

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[15] Ibid.

Activity Eight:

Games to Build <u>Trust</u>

Game 6: Lighthouse [16]

Materials:

- Various obstacles (chairs, rocks, etc.)
- Two or three blindfolds (bandanas, scarfs, etc.)
- A small bag of sweets

NB: If the group does not know what a lighthouse is and what its purpose is, explain that a lighthouse is a tower, usually built on an island, to guide ships through narrow waters.

Blindfold one person and put him/her at one end of a room or outdoor area that has various obstacles in it (i.e. rocks, trees, chairs, etc.). Select at least three of the remaining group members to be 'lighthouses' and ask them to stand in various places along the 'obstacle course'.

Give the blindfolded person three or four sweets (one sweet for each lighthouse). The job of the *lighthouse* is to guide the *cargo ship* (blindfolded person) through the rough waters safely so that the cargo (sweet) can be delivered to each *lighthouse*. The first lighthouse must verbally guide the cargo ship through the obstacles and directly to the lighthouse, if this is done successfully the ship will deliver one sweet to that person.

The only lighthouse allowed to give directions at a given time is the one that the ship is headed for, but he or she may give support and encouragement after the person has gone past him/her. Any lighthouse whose area the ship has not come to yet must remain quiet until the ship reaches his/her area.

If the ship is put into danger by crashing into an obstacle, the guiding lighthouse does not get a sweet. Or, if the lighthouse is unable to guide the person successfully to him/her and the ship passes on by, then this person does not receive a sweet and the next lighthouse takes over.

Allow the group members to take turns in the different positions. For large groups, you may have more than one obstacle course going at once.

Discussion Questions

- Did you feel safe when you were the cargo ship? Why or why not?
- Do you think the people in this group would have kept you as safe if there weren't any sweets? Why or why not?
- Do you have people in your life whom you trust to guide you? Who and why?
- How can this group strengthen trust between the members?

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[16] Jones, Alanna, 1999.

Game 7: Trust Tag [17]

Materials: One blindfold (bandana, scarf, etc.) for every two participants

Divide the group into pairs and ask one person from each pair to be blindfolded. Designate a playing area that the group must stay in for the game, and select one pair to be 'it'. Those who are blindfolded play a game of tag while their partners verbally guide them during the game. The sighted partners must keep their blindfolded partners safe and try to guide them away from the person who is 'it'. If your partner is 'it', your job is to guide him/her towards the others.

Only verbal guidance may be given with no touching allowed (unless necessary for safety). Everyone must stay in the designated playing area for the game. Halfway through the game, the blindfolded partners should become the guides and the guides become blindfolded.

Discussion questions

- Did you trust your partner?
- Was it harder to be the leader or the blindfolded person?
- Do you have trouble trusting others or do you trust everyone?
- Is trust important when you are working with others or in relationships with others? Why?

Game 8: Blindfold Build [18]

Materials: Building blocks or something similar,
            One blindfold (bandana, scarf, etc.) for every two participants.

Blindfold half of the members of the group. Take out a pile of blocks (or something similar) and build a quick structure while the sighted people watch. Give the sighted group one minute to study the sculpture and memorise it. Disassemble the structure and place the pieces around the room.

The blindfolded group must now build the structure with help from the sighted group. However, the sighted group may not touch any of the pieces or any of the people when giving instructions. Once the sculpture is completed (or as much as possible), ask the blindfolded group to uncover their eyes and see what was made and inform them of how close they came to completing it, or let them know if they were able to successfully build the structure. Do another round of this game and have the two groups switch roles.

Discussion questions

- Which role was harder for you? Why?
- Did you ever feel frustrated during this activity? Why or why not?
- Did you work as a team or as individuals? Why?
- What solution did you find (if any) when attempting to complete this task?
- What role do you usually take when in a group? What role did you take today?
- How is this game like your life?

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[17] Ibid.

[18] Ibid.

Activity Nine:	Games to Improve
	Cooperation and Team-Building

Game 9: All Tied Up [19]

Materials: Something to tie participants' wrists, i.e. rags, rope, scarves
A pitcher of water and one small paper cup per participant

Divide the participants in groups of 8-10 members. Ask group members to stand in a circle facing each other and to hold out their arms. Tie the group together so that each person is tied to both neighbor's wrists. Now that the group is 'all tied up', give them a task to do. One idea is to provide a pitcher of water and cups, and tell the group to pour a cup of water for each person!

Discussion questions

- Did everyone in the group help to get the task done?
- What happened when someone didn't help?
- Why were you successful (or unsuccessful) in completing the task?
- Do you ever feel like you are 'tied up' with someone else when you are working with them and trying to get a job done? If so, why, and how do you deal with this feeling?

Game 10: Circle Tag 8 [20]

Materials: Blindfold (bandana, scarf, etc.)

Start the game by asking for a volunteer. Blindfold this person and ask the rest of the group members to hold hands in a circle surrounding him or her. The person in the middle tries to tag (or touch) those in the circle. The people in the circle must work together to avoid being touched by the person who is in the middle. If anyone in the group lets go at any time, the person in the middle wins that round. Set a time limit (about 20 seconds) and challenge the group to go for this amount of time without being tagged. The group can try to get away from the person by getting the person in the middle to go under their arms and outside the circle without tagging them. After the 20 seconds, put another person in the middle and play again.

Variations

- Blindfold two people who must hold hands and work together to try to tag the circle
- The person in the middle has no blindfold but has his/her shoelaces tied together, or a bandana tied around his/her ankles.
- Place a bell or other noisemaker on one person in the circle and challenge the person in the middle to tag this person while the rest of the group tries to keep him/her from being tagged. You may allow more time for this variation.

Discussion questions

- What type of teamwork was needed for this activity?
- What did each person need to do in this activity to make your team successful?
- How did you feel when you were in the middle? Did anyone help you?
- Do you ever feel like everyone else is on the same team and you are standing by yourself? How do you handle this situation?

[19]   Ibid.
[20]   Ibid.

Game 11: Swamp Crossing [21]

Materials: 10 squares of heavy paper, about 1 metre by 1 metre or a bit larger

2 or 3 bottles of water

Divide the group into teams of four to eight people each and tell them the following story: 'Your group is stranded on an island and you need fresh water. The only water is in jugs on the other side of the salt-water, crocodile-infested swamp. You must go and get it. You must do this as a group because the there are elephants on the other side who are protective of their water but are afraid of a large group. You may use these special floating stepping stones (give them one or two fewer paper squares than there are people) that you can move across the water. The stones may be moved only by being picked up and set back down. You may not slide them because this will cause them to sink into the swamp.'

Place the water bottles on the other side of the area and mark off a line that designates the beginning of the swamp and the end. Make the area large enough that the group may not simply make a bridge with the 'stones' but must move the last one to the front in order to advance across the swamp. Remember, the group must bring the water bottles back to the other side before the task is finished.

Discussion questions

- Was this activity frustrating for anyone? Why or why not?
- How did your group decide what to do next?
- Was anyone more of a leader, or did everyone give equal input?
- What was the easiest part of this challenge? What was the hardest?
- How did you feel when you had successfully completed the task?
- Does your group ever have to deal with difficult situations? How does the team handle these situations and how do you feel about that?

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[21]   Ibid.

Game 12: Water Carry[22]

Materials: 10 paper cups filled three-fourths full with water
                      One tray

Prior to the activity, fill ten paper cups with water about three-fourths full and place five at one end of the room (or outside area) on the ground and five at the other end. The cups should be at least **10 metres** apart from each other if possible.

Gather the group together in the middle of the room with a tray placed on the ground and give them the following challenge. 'You must retrieve all ten cups of water and place them onto the tray without spilling any of the water. You may only get one cup from one end of the room at a time. Before getting a second cup from that side of the room you must travel to the other side of the room with the tray and retrieve a cup from that side. When all ten cups of water are on the tray you must place it on the floor in the center of the room. By the way, each person can only use one foot and one hand for the entire duration of this activity and if any water spills the whole group must start over!'

Most groups will try to hop with the tray at first but this spills water. The best way to accomplish the task is to pass the tray down a line and for the person at the end to hop to the front of the line so that the chain can continue all the way to the end of the line.

Discussion questions

- Did anyone get frustrated at any time during this activity? Why or why not?
- Did you try different things before you came up with a solution?
- Are you ever part of a team and you just want to quit? When and why?
- How do you feel when you are a part of a team and you work together to accomplish a difficult task?

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[22] Ibid.

Game 13: Push and Pull[23]

Divide the group into pairs. The closer in physical strength people the pairs are to each other, the better. Ask each pair to face each other and to reach out their right hands. Each person grabs his/her partner's hand by making a C shape with his/her fingers and hooking hands with their thumbs loose.

The object of this activity is to demonstrate how people work against each other when they should be working together (but don't tell the group this). Once everyone is hooked up with his/her partner, tell them, 'The object of this game is to touch your partner's right shoulder with your hands that are locked – no letting go'. Then say, 'The way to win this game is to get the most touches, so make sure and count each time you touch your partner's shoulder'. Most people will think that they are going against their own partners and will be pushing against each other, but really the team with the most total touches wins!

After one minute, ask each team how many touches they had total and declare the winning team the one with the most touches.

Discussion questions

- Why were you working against each other during this activity?
- Did any team work with each other to get as many points as possible? Why?
- Do you usually work against people when you are on a team or with them?
- What happens when people are working against each other but are on the same team?
- What happens when people work with each other when they are on the same team?

Game 14: Tied[24]

Draw a starting line and a finish line in the dirt, or otherwise mark these lines on the floor in the room. Divide the participants into groups of 8-10 members. Line the groups up one at a time behind the starting line. On your signal, the group is to proceed to the finish line together. The catch is that all members of the group must cross the finish line at exactly the same time! If they are not all together, they need to go back to the starting line and try again. They need to keep trying until they succeed.

Once the activity begins, no participant can stop motion (this eliminates the clever possibility of having everyone get up to the finish line and stop and wait to just take one step together!) This activity is harder than it seems, and it may take 5 or 10 attempts for a group to succeed. Participants may eventually use a military cadence, a countdown, holding hands or some other coordination technique, but usually only after their first efforts fail. You should not give them any suggestions!

Discussion questions

- How easy did this activity sound at first?
- How easy was it?
- Have you ever thought that something in your group was going to be easy and then discovered that it was harder to coordinate than you thought?
- How can you make sure that you coordinate effectively as a group?

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[23] Ibid.
[24] Cole Miller, Brian, 2004.

Game 15: Broken Squares[25]

Materials   Photocopies of the squares on the next page. One page for every five participants. The squares should be cut into their pieces and mixed up prior to beginning the activity.

Divide the participants into teams of 5. Give each team one set of puzzle pieces (the pieces of the squares that you have cut and mixed up ahead of time). Each member is given three pieces chosen at random. They will need to exchange some of their pieces with others in the group in order for each person to form a perfect square. The following rules must be observed:

- Team members may not speak
- Team members may **not** signal each other for a piece of the puzzle
- Members may give pieces to each other

Observers should see that the rules are followed. Observers may only speak if they are reminding players of the rules; otherwise they should not interfere. Give the teams 15 minutes to try to form the squares.

Discussion questions

- What was it like trying to form these squares?
- Was anyone willing to give away all of their pieces?
- Did anyone tend to keep pieces rather than give them to others?
- Did anyone break any rules?
- What did you do when you felt frustrated?
- Did the group begin to cooperate at any critical point?
- Was the task a collection of individual problems or was it a group problem?
- Did anyone help others during the task? How?
- What happens to the team when one person finishes and stops working on the team problem?
- What happens if you ignore another person's task?

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[25] *Supervision:* The CEDPA Training Manual Series, Volume IV, The Centre for Development and Population Activities, Washington, D.C., 1996.

Photocopy Sheet for Game 15: Broken Squares
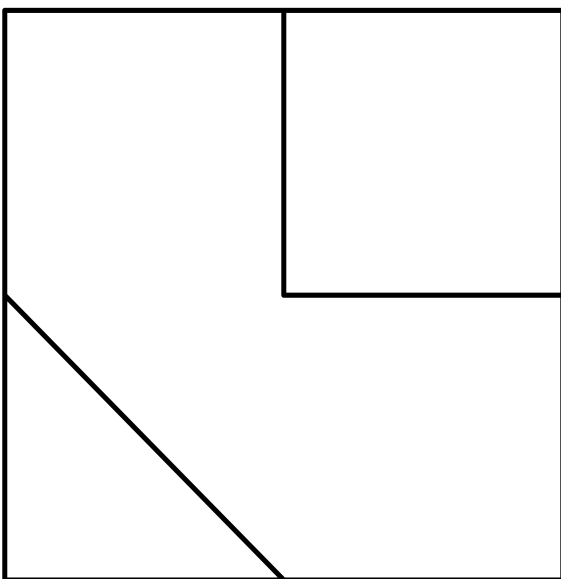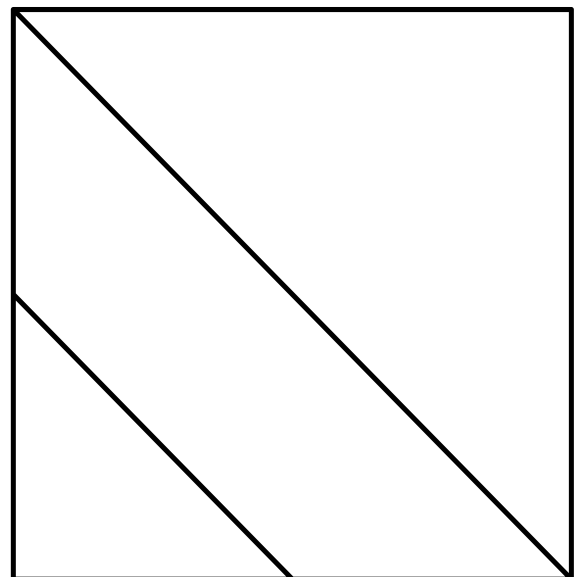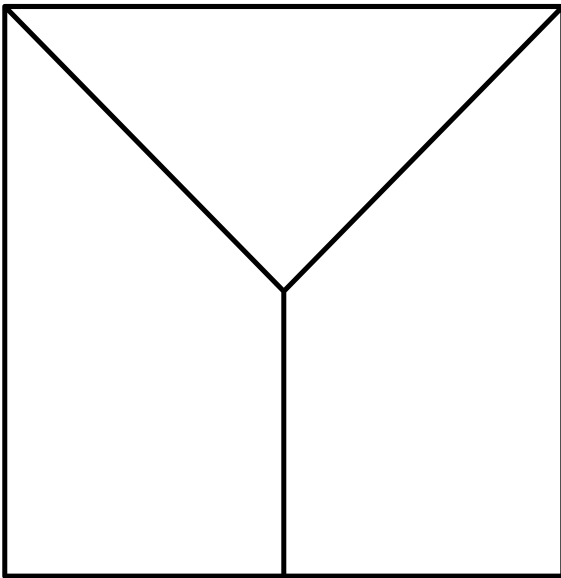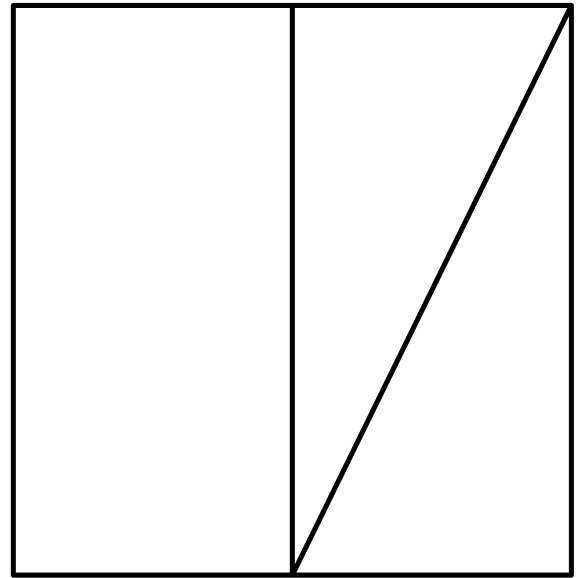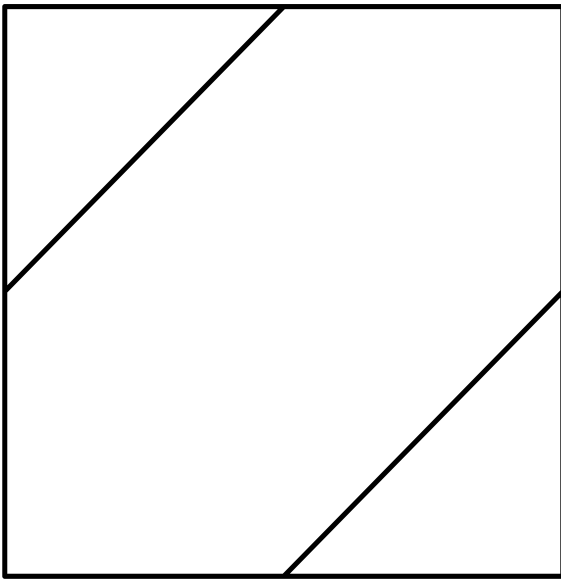
Facilitator Reference 12.1: 'Do's and Don'ts' of Listening[26]

Do's of Listening

- Show interest

- Be understanding of the other person

- Restate or summarise what the person has said

- Ask for clarification if you do not understand everything the speaker has said

- Try to identify the problem if there is one

- Encourage the speaker to think of solutions to the problem

Don'ts of Listening

- Argue

- Interrupt

- Pass judgment too quickly or in advance

- Give advice unless it is requested by the speaker

- Jump to conclusions

- Let the speaker's emotions directly affect your own emotions

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[26] Hope, Anne and Sally Timmel, *Training for Transformation: A Handbook for Community Workers,* ITDG Publishing, London, 1995.

Handout 12.1: Discussion Guide, Activity 2

- Think about another group that you belong to. This could be a church group, a savings and credit club, a community committee, a school group, or anything else. Discuss the following questions. You should use *false names* for the people in this other group to avoid gossiping about people who are not here with you!

- What do you like about being a member of this other group? Is there anything you dislike about it? If so, explain.

- How would you say that the people in the group get along? Are the relationships harmonious and cooperative?

- Has the group divided into 'cliques' (i.e. sub-groups of people who are friendly with each other, but not so friendly with the other members). If so, why do you think this has happened? What are the advantages (if any) and disadvantages (if any) of cliques? Do you think they contribute to making the whole group stronger or weaker?

- Is the group made up of people with different personalities, i.e. quieter, more talkative, argumentative, etc. (note: most groups are!) Do you think there is respect for the different kinds of personalities, or do you think that having people with different personality types creates divisions in the group?

- How do people with different personalities contribute to the strength of a group as a whole? Can you try to describe the talents that each person in the group contributes?

- Have there been changes in the way the group members relate with each other over time? For example, has the group passed through more difficult stages and easier stages? How healthy and strong do you think the group is now?

Handout 12.2: Possible Stages of Group Development[27]

'Forming'

As new volunteers/group members come into a group for the first time, they will be watchful and uncertain. They tend to be very polite as they start to get to know each other. The group Leaders may feel that the members are very dependent on him/her. Some important considerations for the 'forming' stage include:

- Building trust among group members
- Open communication among group members

'Storming'

A group may enter a 'storming' phase when relationships become uncomfortable and people start being honest about their feelings and opinions. Resistance may build to the Leaders, to the project work, or with others in the group. The group lacks unity because the group members are not working together, and cliques and alliances may form within the group. If this begins to happen in the CBO it is important to:

- Control aggressive behavior in the group
- Stop destructive groups from developing around different points of view and encourage cooperation instead

'Norming'

Now the group becomes more open and harmonious. Members feel more committed to the group and more trusting and accepting of one another's ideas and opinions. Some of this trust and understanding may have come through resolving the conflicts in the previous stage. Some considerations for this stage include:

- Helping the group to work together as a team
- Ensure that the group is clear on the common vision that they are working towards

'Performing'

When the group has developed trust based on understanding and respect they are able to perform effectively as a team and their main focus becomes the work that they are doing. Members feel confident about their role in the group and participation is good. Considerations in the 'performing' stage include:

- Understanding the patterns of participation in the team and ensuring that group needs are being met
- Being attentive to individual members and ensuring that they stay motivated
- Celebrating achievements as a group!

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[27] Symes, Camilla, *The New Toolbox: A Handbook for Community Based Organisations,* The Barnabas Trust, 2002.

Handout 12.3: 'Children on a Tree'

Handout 12.4: Steps for Conflict Resolution

1. Identify the problem / conflict (do not pretend that the problem / conflict does not exist)

2. Decide if the problem should be discussed with only select members, or if the whole group should be involved

3. Decide if outside mediation will be necessary. If so, identify a mediator. This could be your Facilitator, or a respected community member.

4. Call a meeting. The following rules should apply during the meeting:

   • Everyone present must 'leave their anger at the door' and approach the conflict resolution calmly

   • Do not forget that it is necessary to respect the different personality types of those present at the meeting.

   • Allow each person to speak without interruption. Everyone present should listen attentively to what each person says, even if there are differences of opinion

5. After each person has had a chance to speak, look for the seeds of resolution. To arrive at a resolution of the conflict it will probably be necessary to *negotiate* a solution. Try, during the negotiations, to seek a solution where all present are 'winners', rather than a solution that would result in 'winners and losers'.

6. Once an agreed solution or resolution has been reached, the group **must attempt to** *put the agreement into practice.*

7. Understand that when putting the agreement into practice there may be some backsliding into previous habits or behaviors. The group should not consider this as failure. Keep trying, and keep moving forward!

Coordinating CBOs: Team Building

- Again, there is not much difference in the way you will carry out this module if you are working with a Coordinating CBO in place of an Implementing CBO. Issues of team building and harmonious relationships among the members of the group are equally relevant to both types of organisations.

- As this is a long module with a lot of possible activities, you will have to use your own judgment to decide which of the activities will be most important for the group you are working with.

The Learning Organisation

Team Learning: Dialogue

Introduction

Team Learning is different from Team Building. Team Building – the focus of this module – looks at improving the ways that group members interact with each other so that they may *work* more effectively. Team Learning – the focus of this section – looks at how the members can come together in order to *learn* more effectively.

While learning can and does occur at an individual level, individual learning does not by itself lead to organisational learning. Organisational learning is a collective activity. The idea behind Team Learning is that members can gain new and greater insights, and learn more quickly, than they are able to achieve individually. As the team learns, the organisation learns and as the organisation learns, its work becomes ever more effective and appropriate.

In order for Team Learning to be successful, members must be willing to genuinely listen to others and to be open to new ideas; ideas that may be different from their own and that may, in fact, challenge them to *change* their ideas. Team Learning will not take place if each member is determined to defend his or her point of view with no possibility of considering other points of view. In such a case, we could consider each member to be like a closed box, with no possibility of receiving new ideas from outside the box. Team Learning, in contrast, is like opening all the boxes in order to let the contents escape and mix and merge with other boxes. The idea is not for any one individual to 'win' (the argument or the debate), but rather for the *team* to win (to achieve better dialogue and more complete understanding).

There is an easy analogy that can be made to sports. In football, for example, no one individual is trying to win the game; rather, all individuals contribute so that the team can perform at its best and the *team* can win. This sometimes means that an individual will need to make personal sacrifices – such as passing the ball to a teammate who is in a better position to score a goal. This is like an individual letting go of his/her opinion when a team member has an opinion that is better for the organisation!

In *Module 7: Meetings,* you introduced the group to the idea of Storytelling, and suggested that the group try to set aside time during each monthly meeting for members to tell stories about the things that happened in their work with the community during the month. In this module you will help the group to go one step further. You will help the group to develop the ability to hold a genuine **Dialogue** so that when important issues arise within the organisation that require careful consideration, the group will be able to deal with the issues as a *team,* thereby reaching better understanding and better solutions as a group than any individual working alone could achieve, and thereby contributing to Team and Organisational Learning.

Discussion 1:   A Football Team

Explain to the group that Team Learning is in many ways similar to team sports. Ask the group what makes a football team successful, and what the roles of the individual players on the team are. Ask the group who wins the game; the individual players, or the team. The main points that should come out of this discussion are the following:

- A team can often achieve more than any one individual alone can achieve
- In a team sport we are less concerned about individual performance, and more concerned about the team performance. No individual wins the game; rather, the *team* wins the game
- The comparison with Team Learning can be made. No team will learn if all individuals refuse to listen to other members (i.e. refuse to 'pass the ball'), or refuse to consider new ideas.
- Like any team activitiy, Team Learning gets better with **practice**!

Discussion 2:   Explaining Dialogue

You can use the example of boxes to explain the idea of genuine dialogue. You can contrast **dialogue** with **debate**.

Debate: In a debate, each individual is committed to 'winning'; that is to say, to convincing others that his/her point of view is the correct point of view. Each individual is like a closed box, with all ideas inside, and each individual is trying to prove that his/her box is superior to all the others. No ideas from the outside are allowed into the box! In a debate, however, it is difficult for learning to take place, as all the individuals involved **reject** new and different ideas, wanting only to prove that the old and familiar ideas inside the box are best!

Dialogue: In a dialogue, in contrast, the idea is to open the boxes so that information and ideas are shared with everybody. By looking inside other people's boxes, an individual may come to see and understand new and fresh ideas! Some of these ideas may cause an individual to change his/her mind concerning old ideas, and this is fine! This does not mean that the individual is 'losing'; rather, it means that the individual is *learning* and the *team* is winning. The idea in dialogue is to 'open the boxes' of all the members so that true sharing, mixing and merging of ideas can take place. The team will learn much more quickly this way, than if everybody were determined only to defend his/her own point of view!

Discussion 3: Preparing to Practice Dialogue

Before practicing the skills of dialogue, there are a few points you can make to the group:

- It is important to stress that the group will get better at dialogue over time and with **practice**
- Dialogue is probably not something that the group will want to build into every meeting; rather, it is a technique that can be used when the group is confronting a **serious issue** that it needs to discuss.
- Good dialogue is often enhanced by the presence of a **facilitator**. As each individual shares his/her ideas, the facilitator can help to keep the dialogue moving forward, helping participants to explore their ideas to the fullest.

Activity: Practicing Dialogue

In order to carry out this practice, the group will need to think of an issue that they genuinely want to explore further. This could relate to a problem that the CBO is having with its work in the community, or tensions that are existing within the group itself, or the difficult issues of some of the cultural factors that might contribute to the spread of HIV and AIDS, etc. In order to fully consider the issue, to learn more about it, and to improve the CBO's work and/or response, it is important that all members are free to share their ideas, and that all members genuinely listen to, and consider seriously, the ideas of the others.

Ask the group to sit in a circle. You should act as the facilitator of the discussion. You will only speak when you feel that your intervention as a neutral outsider is needed. Otherwise you should allow the dialogue to proceed without too much interruption.

Distribute **Handout 12.5** to the members. This handout provides some ideas on how best to participate in a dialogue. The main point to emphasise is that all members should work hard to **listen** to others! In addition to this, some techniques that the group may wish to try out are:

- **Speak to the center:** It may be helpful for individuals to avoid responding directly to one another. That is to say, the idea is *not* to agree or disagree with any one individual but, rather, for the entire group to listen to the ideas of everybody and to think these ideas through. When a member speaks, he/she can speak to the center of the circle rather than addressing himself/herself to any one person. It is as if the member is depositing his/her ideas into the center of the circle for all other members to access and consider!

- **Use silence:** If the dialogue seems to be promoting a great deal of disagreement and people seem unable to consider the points of views of others, the facilitator may call for a period of silence (3-5 minutes). During this time, members should try to quiet their thoughts so that the many ideas that have been discussed can settle down and be assimilated.

- **Blindfolds:** You should only use this technique if you feel that there is good trust within the group and if you feel that the activity is culturally appropriate. With this technique, all members wear a blindfold during the dialogue. This makes it less easy to identify who is speaking, it encourages quieter members to speak up and, most importantly, it makes it easier for all members to genuinely **listen** to others!

- **Fishbowl:** In this technique the group divides in half and forms two circles: an inner and outer circle. Those in the inner circle carry out the dialogue while those in the outer circle listen and observe the others who are talking. After 20 minutes or so, those in the inner circle move to the outer circle, and vice versa. This technique offers members an opportunity to be involved in the dialogue as both participants and observers, which often can help the members to listen more carefully and to reflect more fully.

Remember that the point of dialogue is to contribute to Team Learning – where the team learns better and faster than any one individual is capable of on his/her own. This Team Learning, in turn, contributes directly to ongoing Organisational Learning!

Handout 12.5: Tips for Participating in a Dialogue[28]

- Stop talking! Try to quiet the voice in your head, as well as the voice that speaks in public. You cannot listen if you are talking!

- Imagine the other person's point of view. Try to picture yourself in that person's shoes; doing that person's work, living that person's life, facing that person's problems, sharing that person's values. Try to fully understand the person's point of view.

- Look, act, and be interested!

- Keep your mind open to new ideas.

- Don't interrupt.

- Try to speak only positively. Resist the temptation to judge or criticise what the other person has said.

- Rephrase what the other person has just said to be sure you understood correctly

- Listen, listen, listen!!!

[28] Adapted from Senge, Peter, et. al. *The Fifth Discipline Fieldbook,* Doubleday, 2004, pg. 391.

Mentoring: Capacity Area 3: Group Dynamics

Module 11:   Leadership
Module 12:   Team Building

NB: Issues of leadership and group dynamics are often some of the most important issues that will "make or break" a group. There are times when the assistance of a neutral outsider can play a valuable role in helping groups to work through some of the conflicts they may be having in these areas. Many of the suggestions given here are reinforcements of the ideas and activities presented in Modules 11 and 12. As always, remain attentive to what is going on in the group so that you can try to assist in ways that are most relevant to the specific situations that the group is facing.

Follow Up (after trainings): Leadership

You may repeat the **probing questions** you used in Module 11 with leaders and other group members whenever you feel that these issues need to be revisited:

Questions for Leaders:

- What do you like about being a leader? What is easy about being a leader?

- What do you dislike about being a leader? What is difficult about being a leader?

- What are some of the main roles of a leader, in your opinion?

- When you are in a situation when you are *not* the leader, how do you feel being supervised by somebody else? Are there types of supervisory styles that you prefer and other types of styles that you don't like as much? Describe these different experiences.

- What do you think the members of the CBO expect of you? What do you think the members want of you? Do you think that you meet these expectations and desires? Why or why not?

- Is there a leader who you particularly respect? (i.e. a church leader, a community leader, a government leader, etc.) What do you respect about this person's style of leadership? What makes him/her such a good leader?

- Do you feel that you are participatory in your leadership style?

- Are there constraints in your group or your community that make it difficult for you to be a participatory leader? Are there ways to overcome these constraints?

- Is there anything about your leadership style that you would like to change or to learn more about?

Questions for Members:

- What do you think are the easy and the difficult aspects of your leaders' roles?

- What are your expectations of your leaders? What do you want from your leaders? Do you feel that your expectations and desires are being met by your leaders? If so, describe the ways that the leaders are meeting your expectations

- If not, what difficulties do you think the leaders have in meeting your expectations? How can the situation be improved?

- Do you think there are reasons why it might be difficult for your leaders to become fully participatory in their style? If so, how can these difficulties be overcome?

Follow Up (after trainings): Conflict Resolution

If the group is experiencing a conflict, help the group to go through the steps given in Module 12 for **conflict resolution**, as follows:

1. Identify the problem / conflict. Do not pretend that the problem / conflict does not exist.

2. Decide if the problem should be discussed with only select members, or if the whole group should be involved.

3. Decide if outside mediation will be necessary. If so, identify a mediator. This could be your Facilitator, or a respected community member.

4. Call a meeting. The following rules should apply during the meeting:
   - Everyone present must "leave their anger at the door" and approach the conflict resolution calmly.
   - Do not forget that it is necessary to respect the different personality types of those present at the meeting.
   - Allow each person to speak without interruption. Everyone present should listen attentively to what each person says, even if there are differences of opinion.

5. After each person has had a chance to speak, look for the seeds of resolution. To arrive at a resolution of the conflict it will probably be necessary to *negotiate* a solution. Try, during the negotiations, to seek a solution where all present are 'winners', rather than a solution that would result in 'winners and losers'.

6. Once an agreed solution or resolution has been reached, the group must attempt to *put the agreement into practice*.

7. Understand that when putting the agreement into practice there may be some backsliding into previous habits or behaviors. The group should not consider this as failure. Keep trying, and keep moving forward!

Resources: Modules 11 and 12

1. Cole Miller, Brian, *Quick Team-Building Activities for Busy Managers,* AMACOM, American Management Association, NY, 2004.

2. Hope, Anne and Sally Timmel, *Training for Transformation: A Handbook for Community Workers,* ITDG Publishing, London, 1995.

3. James, Rick, et. al., *Realities of Change: Understanding How African NGO Leaders Develop,* INTRAC, 2005.

4. Jones, Alanna, *Team-Building Activities for Every Group,* Rec Room Publishing, Richland, WA, 1999.

5. Lawrie, Alan, *Developing your Organisation,* The Directory of Social Change, London, 2000.

6. *Strengthening Your Organisation: A Series of Modules and Reference Materials for NGO and CBO Managers and Policy Makers,* Pathfinder International.

7. *Supervision:* The CEDPA Training Manual Series, Volume IV, The Centre for Development and Population Activities, Washington, D.C., 1996.

8. Symes, Camilla, *The New Toolbox: A Handbook for Community Based Organisations,* The Barnabas Trust, 2002.

Capacity Area 3: Group Dynamics
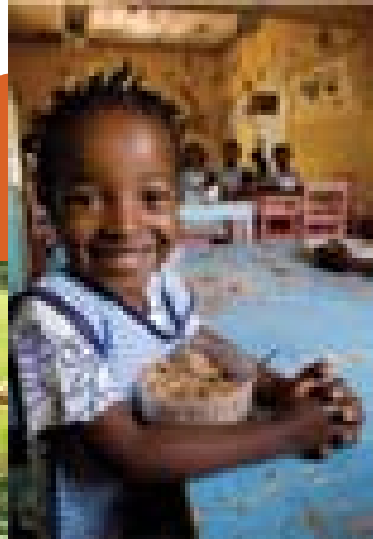
Module 11: Leadership

Module 12: Team Building

The CBO members will compare different leadership styles and, through guided activities and discussions, will come to understand the benefits of a participatory (as opposed to autocratic) leadership style. The Facilitator will have conversations with the CBO leaders and group members separately (and then later together in plenary) to discuss the challenges and realities of leading and to explore the ways in which the CBO can make the transition to a more participatory style of leadership, if necessary. The leaders of the CBO will discover how to encourage the CBO to be a more effective 'Learning Organisation'. The CBO will learn how to coordinate the different personalities of its members to effectively carry out its objectives, and will study conflict resolution. The group will also work to improve communication, trust, and cooperation among members. One way they will achieve this is through working to develop better listening skills. Finally, the CBO will learn how to engage in 'team learning' through group dialogue.

World Vision®

Part II: Facilitator's Manual for **OCB** *Training*

ORGANISATIONAL
CAPACITY
BUILDING

Capacity Area 4:

Monitoring, Evaluation and Reporting

World Vision is a Christian relief, development and advocacy organisation dedicated to working with children, families and communities to overcome poverty and injustice.

As followers of Jesus, World Vision is dedicated to working with the world's most vulnerable people. World Vision serves all people regardless of religion, race, ethnicity or gender.

author: Michele Gaudrault

Capacity Area 4:

Monitoring, Evaluation and Reporting

Contents

Introduction

If you have followed the training modules sequentially[1] then the CBO has by now developed its Strategic and Operational Framework (Capacity Area 1), put its Structures and Procedures into place (Capacity Area 2), and focused on building healthy dynamics of Leadership and Teamwork (Capacity Area 3). It is likely that even while you have been working with the group in these areas, the CBO has also been busy carrying out its activities in the community. When an organisation begins to put its **plans** into **action**, it is important that the organisation **monitors** what is happening in order to compare actual achievements against the original plans.

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[1] It is not necessary to follow the modules sequentially if the CBO has prioritised certain capacity areas over others.

In *Module 3: Action Planning*, you worked with the CBO to understand the importance of reviewing its work against the Action Plan. *In Module 15: Monitoring* you will now teach the group how to carry out these comparisons *in a systematic way*, by collecting information on a regular basis. The CBO will decide *what* information to collect, *how* and *how often* to collect it, and will learn how to *analyse* the information after it has been collected. It is important to stress that the CBO will not be doing all of this for the sake of information collection itself but, rather, the information will serve as a *tool* to help the CBO track the progress of its work and to make decisions about any changes that might be needed.

In *Module 16: Reporting and Recordkeeping* you will go one step further, helping the group to report on the results of its work. There are numerous stakeholders (interested people or organisations) who will want to be updated on the CBO's progress. You will work with the CBO to identify who these stakeholders are and how to effectively report results to different types of audiences.

Module 15:   Monitoring

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Introduction

Activities

Facilitator Reference Sheets

Handouts

Special Sections

Introduction [2]

Monitoring is the systematic collection and analysis of information as the CBO's work progresses. The CBO's monitoring system will be linked to its planning, and will be based on the activities outlined in the plan and the targets set. The information collected will allow the CBO to keep its work on track and to know immediately if things are not going as expected. In this module the CBO will learn how to set up a simple system to track the information that it needs, and will review the forms that it will fill out in order to collect this information. The CBO will also learn how to analyse the information once it has been collected to determine if its work is on track or if modifications to the plans are needed.

Training Objectives

- To understand what monitoring is and why it is important
- To understand how monitoring relates to the CBO's Goal and Objectives
- To develop an indicator tracking table to monitor the CBO's activities
- To review the monitoring forms that CBO members will complete to track their indicators
- To understand how a review and analysis of monitoring information leads to improved learning and improved program performance

Training Outputs

- The CBO creates a **monitoring table** linking monitoring information to the CBO's Goal and Objectives
- The CBO creates an **indicator tracking table** to monitor the CBO's activities and progress towards Objectives
- The **monitoring forms** used by the CBO are standardised and understood, and used to collect information for the indicator tracking table, and for presentation to third parties

Suggested Indicators

- The CBO has a system for registering all beneficiaries (OVC, PLWHA, etc.)
- The beneficiary register is kept up to date
- The CBO has a system for recording all activities undertaken on behalf of beneficiaries (e.g. home visits, recreation)
- All CBO members know how to fill out the forms required of them
- All forms are filled out accurately and are handed in to the appropriate person(s) on time
- The CBO leaders know how to compile monthly/quarterly statistics
- The CBO leaders compile monthly/quarterly statistics accurately and on time

Materials

- Flip chart, paper and markers
- Small prize (optional)
- Photocopies of monitoring forms
- (The Secretary's notebook)

Time: 1 - 1½ days

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[2] Shapiro, Janet, *Monitoring and Evaluation Toolkit*, Civicus: Civil Alliance for Citizen Participation

Activity One:	Introduction to Monitoring

Introduction

Use your **Facilitator Reference Sheet 15.1** found at the back of this module to talk with the group about the importance of monitoring.

- Ask the group how they will know if they are achieving their project objectives. As the members share their ideas you may write key words on a flip chart.
- Explain that the group must **monitor** its activities in order to know if it is achieving what it wants to achieve. You may use the following definition of Monitoring:

> **Monitoring** is the name we give to the process of collecting information about the day to day activities of the organisation, in order to see whether it is making progress towards its specific objectives.[3]

In this module the CBO will have the opportunity to understand why monitoring information is important and how it ties into overall objectives and planning processes.

Optional Activity 1: Bull's-eye!

Draw three concentric circles on a flip chart. Line the participants up about 15 feet away. Give the first participant a marker and explain that he/she must try to walk in a straight line and make a mark in the center of the innermost circle. The only catch is that the participant must wear a blindfold! The participant should try to align himself/herself prior to putting on the blindfold, and will then attempt to walk in a straight line. It is likely, though, that the mark that he/she actually makes will be far outside the innermost circle! Give each participant a turn. The person who is able to make his/her mark closest to the center is the winner. You may want to award a small prize. This activity usually generates a lot of enthusiasm!

At the end of the activity, ask the participants how they felt trying to reach their target 'in the dark'. Explain that this is like trying to reach the CBO's objectives without monitoring! Without monitoring, the group is unable to assess their progress and make necessary adjustments; much the same as trying to hit a bull's eye in the dark! Monitoring allows a group to travel 'in the light'; to see where they are going and to assess the progress they are making towards their objective.

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[3] Symes, Camilla, *The New Toolbox: A Handbook for Community Based Organisations*, The Barnabus Trust.

Optional Activity 2: The Journey

You may also tell the following story, or ask members of the group to dramatise it, to make the same point.[4]

The Journey

One day a group of people started a journey to a town they knew, but along a road that they did not know well. At the beginning of the journey they were happy, because they could see out of the windows of the combie and it was clear that they were making good progress along the road. But after awhile it got dark and started to rain, and they were not able to see where the combie was taking them. Although they knew that they were still moving in the dark and the rain, they could no longer assess their progress. They had no idea which road they were on, how fast they were going, how long it would be before they were likely to get to their destination or whether they had enough fuel to make it.

Optional Activity 3: Monitoring the Growth of Maize

If the group is still unclear about the meaning of monitoring you may use a culturally-familiar example, talking about a farmer who periodically checks on the growth of his/her crops. Ask the participants to give examples of crop characteristics that a farmer will look for to ensure that growth is proceeding satisfactorily. (e.g. height of crop, color of leaves, presence of florescence, etc.)

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[4] Ibid.

Activity Two: Linking the Monitoring Plan to the Goal and Objectives

Introduction

For this activity you will refer back to the outputs from the training on Goal and Objectives. Monitoring is directly linked to Goals, Objectives and Planning and therefore these program elements need to be considered together.

In this activity you will work with the CBO to create a **Monitoring Framework** linked to the Goal and Objectives, and an **Indicator Tracking Table**. With a beginner CBO you will want to avoid the complexity of creating a very detailed tracking table. You should help the CBO to identify only those indicators that are important and interesting to the group, and that link directly to the CBO's Goal and Objectives. You should avoid a situation where the CBO collects a great deal of information for the sake of information collection alone, if this information does not clearly help them to track their progress. Examples of basic indicators that a CBO may track are given below. A CBO involved in OVC programming should keep track of the number of children it is supporting and the types of support provided, while a CBO carrying out a home-based care program will track the number of chronically ill being cared for and the types of support the CBO caregivers are providing to them. If the CBO you are working with is carrying out other types of work such as HIV prevention, PMTCT, treatment, etc., you will need to work together with the group to determine the essential basic information that it should collect.

Example Basic Information (Indicators) for CBOs carrying out OVC programs

- # of active Home Visitors / # of Home Visitors leaving CBO
- # of OVC registered
- # of households registered
- # of OVC visited per month
- # of OVC receiving any of 8 forms of support to include:
  - Education
  - Nutrition
  - Health
  - Psychosocial
  - Shelter
  - Clothing
  - Legal
  - Abuse / Neglect

Example Basic Information (Indicators) for CBOs carrying out Home-Based Care programs

- # of trained Home Based Caregivers / # of HBCGs leaving CBO
- # of registered chronically ill
- # of chronically ill visited per month
- # of chronically ill receiving any of the following forms of support:
    - Bathing / Hygiene
    - Medication
    - Psychosocial / Spiritual
    - Nutrition / Food Support
    - Shelter
    - Clothing
    - Legal
    - Referrals

Step One: Goal and Objectives

- Refer to **Handout 15.1** and copy the outline of the table onto a flip chart. (*NB: Do not distribute Handout 15.1 yet.*) **Go to the column labeled Goal and Objectives**. Ask the group to remind you what their Goal is, and write the answer in the appropriate box. Then have the group repeat their Objectives and write these in the appropriate boxes.

Step Two: Indicators

- Explain to the group that they now need to identify some basic **Indicators** corresponding to their **Objectives**. This is the way that they will track their progress, after all! There is not much use in having Objectives if there is no way of knowing whether or not they are being achieved!
- At this point it is useful to explain the difference between **Goal** and **Objective Indicators**. Explain the following:

- Indicators at the **Objectives** level are those that keep track of *the work that the organisation is doing.*
- Indicators at the **Goal** level are those that measure the *impact of the work* on the project beneficiaries.

- Explain to the group that at this point in their work they will only keep track of indicators at the **Objectives** level. You may give some examples of the types of indicators at Goal level, explaining to the group that these indicators usually require fairly sophisticated methods to measure;

i.e. statistical surveys. Explain that they will not try to **count** and **measure** these indicators at this time. They can, however, **think about** the impact that their work is having, and tell **stories** that illustrate this impact. We will look at this more in the section on The Learning Organisation at the end of this module.

- Focus on the Objectives and work with the group to identify indicators. Since the group's Objectives are already SMART, it should not be difficult to identify what it is they need to measure! Generally speaking, you will want to help the group to identify the indicators outlined on the previous page; namely:

  - # of trained Home Visitors and/or Home-Based Caregivers
  - # of OVC and/or chronically ill registered
  - # of households registered
  - # of OVC and/or chronically ill visited per month
  - # of OVC and/or chronically ill receiving any of 8 forms of support

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NB: Note, however, that these particular indicators may not match up exactly with the group's Objectives. Fill in the table with indicators *in accordance with the group's Objectives*. Depending on how the group organised its Goal, Objectives and Activities, you may find that the indicators listed here correspond to a different level. This is not necessarily a problem, as long as you are able to link the indicators that the group is required to track to some part of their overall project framework.

Step Three: Targets

- Now help the group to set targets for each of the indicators; that is to say, to decide on the numbers and/or percentages that they want to reach. These targets should be realistic and achievable, and all members of the CBO should agree on them.

NB: If you are working with a CBO that was originally mobilised with World Vision support you may find that targets have already been suggested by World Vision. Nevertheless, it is useful to review these with the group so that they understand that the targets followed from a logical process and were not simply imposed arbitrarily. This is also an opportunity to discuss with the group any difficulties they may be having in reaching the targets. If necessary, you may raise their concerns with the World Vision staff to decide whether the targets need to be revised.

- Note that while some targets have numerical or percentage values, others are listed as *'Variable'*. **For example, the** *'Number of Registered Households'* **is a variable indicator.** While the CBO in the example wants to reach 180 OVC, it is not possible to know from the outset how many households these children will belong to, nor is it necessary to set a target for this. In like fashion, all the targets for forms of support provided to OVC and chronically ill (i.e. educational, nutrition, etc.) are listed as *variable*, as the support provided will depend on the status of the child or the patient encountered by the Home Visitor or Caregiver.

Step Four: Copy the Final Monitoring Framework to the Form

- Distribute **Handout 15.1: Example Monitoring Framework** to the participants. Explain that this handout provides an example of a monitoring framework for a CBO involved in OVC care and support. This CBO has two Objectives, and it has identified the essential information – in the form of indicators – needed to track progress towards these **Objectives.** *(The CBO has also attempted to identify indicators corresponding to the Goal level, but it will not measure these indicators at this time.)*

- Now distribute **Handout 15.2: Template for CBO Monitoring Framework**. Have the group copy their monitoring framework table onto this form. You should make sure that the Secretary keeps a clean and legible copy in his/her permanent records.

Step Five: Creating the Indicator Tracking Table

- Now that you have assisted the group in linking the information they are collecting to their overall project framework, you should help them to design a simple indicator tracking table.   Distribute **Handout 15.3: Example Indicator Tracking Table** to the participants. In this example, the indicators and targets at the Objectives level have been transferred to a new table, along with a column for 'Source of Information', and columns for each month where the CBO will fill in data as they collect it.

- Distribute **Handout 15.4: Template for CBO Indicator Tracking Table**. Help the group to create an Indicator Tracking Table of their own, transferring the indicators from their Monitoring Framework to the template in the handout.

- Explain to the group that in the next activity you will review the forms that they will need to complete in order to collect the information needed for the Indicator Tracking Table.

Activity Three: Practice with Monitoring Forms

Introduction

Important! The forms provided in the Handouts in this module are copies of the forms used by World Vision within Area Development Programs (ADPs). If you are working with a CBO with specific donor requirements that uses different or modified forms, or with a CBO that is not affiliated with World Vision, you will first need to familiarise yourself with the **actual forms** the CBO is using and carry out the training with **those** forms, rather than the ones provided to you here.

Important! The forms provided in this module are appropriate for use by CBOs involved in **OVC programming** and are meant to provide an **example** of the types of monitoring forms that a CBO can use. If the CBO you are working with is carrying out home-based care for the chronically ill or other types of programs, you will need to modify the forms accordingly. The forms that a CBO uses should serve the purpose of capturing the information needed by the CBO. You should not use the forms provided here unthinkingly, if the information contained in them does not correspond to the information needed by the CBO!

Step One: The Home Visitor Registration Form (Handout 15.5)

*NB: Forms similar to the Home Visitor Registration Form may be used for registering **Home-Based Caregivers**. If the CBO works with Home-Based Caregivers rather than OVC Home Visitors, you will need to modify the forms as necessary prior to carrying out this step.*

Relevant Indicators: Number of active trained Home Visitors
Number of trained Home Visitors leaving CBO

Explain to the group that they must always have up to date information regarding the number of Home Visitors and that they can use the **Home Visitor Registration Form** to keep track of this.   Make enough copies of **Handout 15.5** so that you have **two** copies for each Home Visitor, and a few extras. Explain to the group that they will fill out the form twice for each Home Visitor, with copies going to:

• The Home Visitor
• The CBO Secretary

Assist the group to fill out the forms. Work with the Secretary to agree on a system to be used for filing his/her copies, so that a complete set of Home Visitor Registration forms can always be easily located. Give the extra photocopies to the Secretary and explain that these will be used whenever the CBO takes on new Home Visitors. The Secretary should always know how many active Home Visitors the CBO has and be prepared to provide this information to the Chairperson when requested.

NB: If a Home Visitor leaves the CBO, the Secretary will fill in the 'Date of termination of volunteer work' on the form and assign it to an inactive file. The inactive files will not count towards the total number of Home Visitors.

NB: It is possible that the CBO you are working with has already filled out Home Visitor Registration Forms for all Home Visitors. If so, simply review the forms to make sure they are correctly filled out and to clarify any doubts or questions that the group may have.

Step Two: The OVC Register (Handout 15.6 *x 3 pages*)

NB: Forms similar to the OVC Register may be used for registering the chronically ill, if that is the target group that the CBO is working with. You will need to review the forms that make up the OVC Register and modify them as necessary prior to carrying out this step.

Relevant Indicators: Number of OVC registered, Number of Households registered

The group should maintain an updated **OVC Register** in order to keep track of these two indicators. There are three forms that the CBO will need to maintain for the OVC Register:

- **Form 2.1:**   Information on the OVC Household
- **Form 2.2:**   Information on Individual OVC and Their Needs
- **Form 2.3:**   End of OVC Home Visit Form (termination of registration)

These three forms are found in **Handout 15.6** (x 3 pages). You will make copies of these forms as needed, based on the status of the CBO's current OVC Register.

1. Reviewing the Current OVC Register

It is possible that by the time you carry out this training module with the CBO they will have already undertaken a process of registering OVC. Use this as a starting point. You may go through the following steps with the group:

1. Review the registration forms that the CBO has already completed. Make sure that they are correctly filled in and assist the group with any clarifications they may need.

2. Ensure that each **Information on Individual OVC and their Needs** form (form 2.2) is grouped together with forms for the other OVC in the same household, and that one **Information on the OVC Household** form (form 2.1) has been filled out. You may want to tell the Secretary to group all the forms for one household together with a paperclip.

3. Help the group to correctly fill out the OVC Registration forms for any children currently receiving home visits who have not yet been registered.

4. Review the OVC Register for any children who have **stopped** receiving home visits. Assist the group to fill out the **End of OVC Home Visit Form** (Form 2.3). The Secretary should locate the *original* OVC Registration Form 2.2 for that child, staple **Form 2.3** to **Form 2.2** (for the same child!) and file the forms in an Inactive file. The forms in the Inactive file will not count towards the total number of OVC currently registered.

5. Count the number of active, registered OVC. Ask each Home Visitor to count how many OVC he/she is visiting. Add the total for all Home Visitors. This total for all Home Visitors should match the figure for total active, registered OVC.

2. Maintaining the OVC Register

Once the first major registration of OVC and their households has taken place, maintaining the OVC Register will be a much simpler task. You will have now assisted the CBO to review this initial registration for accuracy and completeness. From here on, the group will do the following:

• Fill out Form 2.2 for any new OVC, along with Form 2.1 for the Household if the Household has not already been registered

• Fill out Form 2.3 for any OVC who stop receiving home visits. Remove the corresponding original Form 2.2 (the original registration of the child) from the active OVC Register, staple it to Form 2.3, and file in the 'Inactive' file.

• If a Home Visitor leaves the CBO, either reassign his/her OVC to other Home Visitors, or recruit a new Home Visitor. Update the OVC Register accordingly.

The CBO should review the OVC Register each month to make sure that the total number of active registered OVC continues to match the totals that the Home Visitors have on their lists.

Step Three: Monitoring Home Visits

Relevant Indicators: Number of OVC *(or chronically ill)* visited during month

Number of OVC *(or chronciall ill)* receiving any of 8 forms of support

1. The Home Visitor Record of Home Visits (Handout 15.7)

This is the main form that Home Visitors will use to keep track of the visits they make to each OVC. **Make sure that every Home Visitor has one form <u>per child</u>**. You may need to make additional photocopies of **Handout 15.7**, or spend some time helping the Home Visitors to make multiple copies of the form in their notebooks.

There is one row on the form corresponding to every visit that the Home Visitor makes to the child. The form therefore has space for recording 24 visits. If Home Visitors are required to visit OVC two times per month then they may use this same form for an entire year. If the Home Visitors make weekly visits then the form will be good for six months.

It is very important that if any Home Visitors are illiterate that the CBO come up with agreed symbols (icons) for each of the following areas of support:

- Education   (example: a pencil)
- Nutrition   (example: a plate with food)
- Health   (example: a simple building with a health cross)
- Psychosocial   (example: adult talking to child)
- Shelter   (example: a simple building without a health cross)
- Clothing   (example: a shirt)
- Legal   (example: a document)
- Abuse / Neglect   (example: a child being beaten)

These icons should be carefully drawn in the appropriate boxes on the form, so that the Home Visitors easily understand what they will tick.

Review the form with all members of the group. It is likely that the Home Visitors will have already been trying to fill out this form, or one similar to it, during the visits that they have been making. You may review with the group as follows:

1. Ask to see the forms that the Home Visitors have been filling out. In most cases, you should help the Home Visitors to transfer the information from the old forms to this standard form.

2. If the Home Visitors say that they have been making visits without filling out anything, then you may help them to try to reconstruct the visits for the prior month. This will serve as good practice in filling out the form.

3. Ensure that all Home Visitors, even those who do not read and write, have some type of basic system for safekeeping their forms, so that these are always easily accessible.

4. Explain to the group that at the end of each month the Home Visitor should draw a solid line under the last visit made, on each form for each child. This will serve as a 'cut off point' from which the Leader or the Chairperson will work to compile the monthly statistics. (See the example in your Facilitator Reference. Assuming that the Home Visitor made two visits to this child in the first month, a solid line has been drawn under the second row.)

2. Sub-Team Leader: Monthly Home Visit Record (Handout 15.8)

At the end of each month Home Visitors will either meet in groups with their respective Sub-Team Leader if the CBO is organised into sub-teams, or all Home Visitors will meet with the Chairperson if it is not. (See *Module 5: Structure, Roles and Responsibilities* for more information on ways of structuring the CBO.) The Sub-Team Leaders or Chairperson will collect all the **Home Visitor Records of Home Visits** (one for each child) from each Home Visitor in order to transfer information from the month onto his / her **Monthly Home Visit Record**. See the example form provided in **Handout 15.8.**

Exercise

Distribute copies of **Handouts 15.10 – 15.14** to all group members participating in this training.

- For the sake of our example, we can imagine that the Sub-Team Leader, Clara, works with only two Home Visitors, Solomon and Lesedi. Handouts 15.10 – 15.13 are the **Home Visitor Records of Home Visits** for Solomon and Lesedi.

- For the sake of our example, we can imagine that Solomon and Lesedi work with only two OVC each; Thomas Zuma and Melody Leto, and Samuel First and Happy Jalila, respectively. Refer the participants to Handouts 15.10 – 15.13. There is one page for each child.

- Explain to the participants that they are playing the role of the Sub-Team Leader, Clara, and that they will need to fill out Handout 15.14: The Monthly Home Visit Record. In our example, Clara is filling out her Monthly Home Visit Record for the month of **February**. We may assume that she compiled the statistics for January last month. This means that she will *only refer to the February information on the Records of Home Visits!!* Clara should *not* fill in information for January on February's report! We notice how Solomon and Lesedi drew bold lines at the end of each month, so that Clara can easily see where the 'cut off point' is.

- Clara begins with Solomon, and collects the Record of Home Visits from him, one for Thomas Zuma and one for Melody Leto. Clara completes one row on her form for Solomon, indicating that there are 2 children in his care and that he visited these 2 children during the month of February. One is a male and one is a female. Clara then indicates *how many children* of the 2 children that Solomon visited, have an 'OK' status in each of the 8 categories at the end of the month. For example, both Thomas and Melody are 'OK' with respect to education (they are both in school) so Clara writes the number 2 in this column. Only Thomas is 'OK' with respect to Shelter, however, so Clara writes the number 1 in this column. From this we understand that 1 child is *not* 'OK' with respect to shelter. Clara continues to record numbers in each column, corresponding to the status of the children, and the support provided to them. Help the participants to fill in the information correctly on their form. (Note that when Clara has finished transferring the information from Solomon's forms to her monthly form, she will return the Records of Home Visits to Solomon so that he may continue to record the visits he makes to the two children in subsequent months.)

- Clara then asks Lesedi for her forms; one for Samuel First and one for Happy Jalila. She notices that Lesedi only made one visit to each child during the month of February. As Lesedi's Sub-team Leader, Clara asks her why she was unable to make all her visits. Lesedi explains that her own daughter was ill. Clara writes this in her notebook. Help the participants to transfer Lesedi's information from the two visits onto Clara's Monthly Home Visit Record.

- Clara calculates the totals in each column at the bottom of the page.

- Clara then carefully compiles the statistics at the top of the page. A total of **4 OVC** were visited during February, **2 male** and **2 female**. Since Solomon made 2 visits to each of his children, the total number of visits for the month of February is **6 total visits**. Help the participants to fill out this information on their form.

NB: See the answer sheet on the next page.

Variation

The exercise provided here is optional because you may find that it is simpler to work with **real information** compiled by the CBO, rather than with the example information given here. If you have helped the Home Visitors to reconstruct the last month of visits and to complete their forms accordingly, it may in fact be easier to help the Sub-Team Leaders to fill out their monthly forms based on this information, than to go through the fictitious exercise.

NB: It is possible that you will be carrying out this training with only certain select members of the CBO, rather than with the whole CBO. If you are only working with 2 or 3 leaders of the CBO then you will probably need to work through the exercise provided here, as the Home Visitors will not be present to provide 'real' information.

Answer Sheet

Monthly Home Visit Record

(Compiled by Sub-Team Leader recording visits of all Home Visitors in sub-team during the month; submitted to Chairperson)

Name of Sub-Team Leader: ___Clara___ Month: ___February___

Total number of OVC visited: ___4___ Male: _2_ Female: _2_ Total number of visits: _6_

Name of Home Visitor	No. OVC in HV's care	No. OVC visited during month	No. Male/ No. Female	Record of Child's Status (Record no. of children with OK status at end of month)								Support Provided (Record no. of children receiving support)							
				Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect
Solomon	2	2	1/1	2	2	2	1	1	2	2	1	1	0	1	2	0	1	0	0
Lesedi	2	2	1/1	1	0	1	1	2	1	2	2	1	2	1	2	0	0	0	0
Totals	4	4	2/2	3	2	3	2	3	3	4	3	2	2	2	4	0	1	0	0

3. Chairperson: CBO Monthly Compilation Form (Handout 15.9)

The Sub-Team Leaders have collected the information from the Home Visitors concerning numbers of OVC visited, the status of the children visited and the support provided, the Chairperson will fill out the **CBO Monthly Compilation Form**, compiling this information from all the CBO Sub-Team Leaders. See the example form in **Handout 15.9.**

Example

Distribute copies of **Handouts 15.15 – 15.18** to all group members participating in this training

- For the sake of our example we will imagine that this CBO is divided into three sub-teams and therefore has 3 Sub-Team Leaders. We have already seen the form that Clara filled out. Clara will give this form to the Chairperson, Richard. The Chairperson will collect these forms from all 3 Sub-Team Leaders (Clara, Luisa and Fabian). See Handouts 15.15, 15.16, and 15.17 for the forms that Richard receives.

- Assist the participants to fill out Handout 15.18, or the CBO Monthly Compilation Form. This is a very easy form to fill out! All that Richard has to do is to transfer the totals from each Sub-Team Leader onto his form, and calculate the grand total, adding the three rows.

  NB: See the answer sheet on page 24.

- Once the Chairperson has completed the CBO Monthly Compilation Form, it is simple to transfer the relevant information onto the CBO's **Indicator Tracking Table**. Practice doing this with the group so that they can clearly see how the collection of monitoring information on a monthly basis feeds directly in to the tracking of progress towards the achievement of their Objectives!

4. Sharing the CBO Monthly Compilation Form

The CBO Monthly Compilation Form provides the best overview of the CBO's progress towards Objectives, presenting results in a simple and summarised manner. The CBO may share this monthly information as follows:

a) To CBO members during monthly meetings

b) To key stakeholders in the community during periodic meetings to share information and receive feedback

c) To World Vision or other mobilising organisations, as appropriate

d) **To the government, at district and perhaps higher levels, in accordance with national policies and frameworks for OVC monitoring**

NB: The government framework may call for the use of specific monitoring forms that are different from the ones provided here. If so, work together with the CBO to discuss the monitoring information required from them by the government, determine which forms it makes the most sense for the CBO to use, and review how and to whom the CBO will disseminate the monitoring information.

Important Reminder on Confidentiality!

Make certain that you remind all members of the CBO that much of the information they are collecting with respect to the OVC and/or chronically ill they are visiting must remain **confidential**. This is especially true with regards to the information on the *Home Visitors Record of Home Visits*, as the OVC (or chronically ill) appear by name on these forms. If any OVC are suffering from abuse, for example, this will be noted on the *Record of Home Visits*. These forms must not be shared with outsiders.

The CBO should limit its sharing to the sharing of *statistical* information only, such that individual children or ill members or the community are not identified by name. The most appropriate form to share with third parties is the Chairperson's *CBO Monthly Compilation Form*. **Again, the** *Home Visitors Records of Home Visits* must remain **confidential**, and for internal CBO use only

Answer Sheet

CBO Monthly Compilation Form

(Compiled by CBO Chairperson totalling the records of all Sub-Team Leaders; Filed as monthly record and disseminated to key stakeholders)

Name of Chairperson: Richard   Month: February

Total number of OVC visited: 67   Male: 32   Female: 35

Name of Sub-Team Leader	Total No. OVC in Sub-Team	No. OVC visited during month	No. Male/ No. Female	Record of **Child's Status** (Record no. of children with OK status at end of month)								Support Provided (Record no. of children receiving support)							
				Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect
Clara	4	4	2/2	3	2	3	2	3	3	4	3	2	2	2	4	0	1	0	0
Luisa	40	34	18/16	30	19	23	27	32	28	33	30	2	4	9	31	1	1	1	2
Karen	32	29	12/17	25	22	22	23	27	22	24	26	2	4	4	22	1	4	2	1
Totals	76	67	32/35	58	43	48	52	62	53	61	59	6	10	15	57	2	6	3	3

Activity Four: Analysing the Information

Now that the group knows how to fill out all the forms and compile the monthly information, it is important that they analyse the data! Information collection is not an end in itself, but rather a means to an end of understanding how effective our work is. The information can help the CBO to understand if they are making progress in achieving their goals, and can alert the group to those program components where changes might be needed.

Exercise

Distribute **Handout 15.19** to the participants. This Handout is an example of an Indicator Tracking Table, with data filled in for the months of January and February. We can imagine that this is the summary data for the CBO *Together for Children.* (**NB:** The CBO was able to fill in this information by correctly completing the CBO Monthly Compilation Form.) **Review the indicators and targets with the group. Then look at the information for the months of January and February. Ask the group what observations they can make with regard to this data.** Examples might include:

• This CBO has registered more OVC than it had originally planned to. In January there were 185 registered OVC, and in February this number increased to 195. This is compared to the planned figure of 180 registered OVC.
• Nevertheless, not all children were visited in January and February. In January, 170 out of 185 OVC were visited, and in February, 162 of 195 OVC received visits.
• Most Home Visitors are providing Psychosocial support during home visits. All other forms of support are provided only infrequently.
• The community-level activities are popular. 112 OVC participated in January's educational activity, and 265 children and youth participated in February's football tournament!

Now ask the group to discuss the possible reasons for the observed data, and the possible adjustments to the program that the CBO *Together for Children* might need to make. Examples include:

• The CBO is registering more OVC than it is able to visit. One solution would be to recruit and train an additional Home Visitor, bringing the total number of Home Visitors to 16.

- Alternatively, the problem might be with the OVC Register. The CBO should ensure that it has removed to the 'Inactive File' any OVC who are no longer receiving home visits.
- Alternatively, some Home Visitors may not be carrying out their responsibilities as they should be. If so, the CBO should refer to its Internal Rules to address this problem.
- The CBO may lack resources to carry out educational, nutrition, health, shelter or clothing support. One solution might be to write a proposal for funding. Another possibility might be to speak with local education and health authorities about waiving fees for OVC.
- The CBO should continue with its popular recreational activities!

Finally, work with the group to fill in its own Indicator Tracking Table (designed in Activity Two) with data from the most recent month, if possible. Analyse the results together with the group and discuss the implications of any target shortfalls.

Explain to the group that the Chairperson should present the results from the Indicator Tracking Table at each monthly meeting, so that the whole group stays up to date with the CBO's progress and can contribute to the analysis of the data.

Optional Exercise: The President's Visit!

In *Module 1: Vision and Mission*, you told the group to imagine that the President of the country was coming to visit, along with a delegation, to see the work of the CBO. By dramatising this visit and explaining their work to the President, the group was able to think about and to formulate a Mission Statement to help guide its activities.

In this activity, you can tell the group to imagine that the President was so impressed that he/she is returning! To impress the President even further, the CBO is planning this time to give the President a report of its accomplishments, against the planned Goal and Objectives. Divide the participants into two groups and have each group prepare a role play dramatising the President's visit, and the tour and the report that the CBO gives. When the groups have practiced, they should each present their role plays.

This will be a good introduction to *Reporting*, which is the next module in the training series!

Activity Five: ⟩ Reviewing the Meeting Agenda

In *Module 7: Meetings* you helped the group to think of the points that they will discuss during monthly meetings. Now that the group has learned how to track and monitor information, this should be something that comes up for review at each meeting. The Chairperson, Secretary or other individual should present the CBO's **targets** for the month along with **actual** achievements, using the simple Indicator Tracking Table that they developed in this module. As we have learned, the CBO's discussion will not stop there, with just a presentation of the results! The CBO will also *analyse* the results, working to understand the reasons for any differences. While everybody hopes that the targets will be met every month, we also understand that by paying close attention to what is actually happening in the community, including any differences between the plans and the results, the CBO will keep itself open to learning from experience and to making adjustments as needed. The CBO should take the time to do this during every monthly meeting.

A Meeting Agenda updated to include the presentation and analysis of monitoring information might look like the following:

Meeting Agenda

1. Welcome and Attendance

2. Announcements

3. Read minutes from previous meeting

4. Review status of OVC and/or chronically ill

5. Present and analyse Monitoring information

6. Storytelling

7. Any other issues

Activity Six: Follow Up

- After you have completed the previous steps with the participants, you may divide the group into its sub-teams, if this is the way the CBO is structured. You should spend time with the Home Visitors and Sub-Team Leaders until you are satisfied that they understand how to fill out the *Record of Home Visits* and the *Monthly Home Visit Record* respectively.

- You should then give the forms completed by the Sub-Team Leaders to the Chairperson and assist the Chairperson to fill out the *CBO Monthly Compilation Form*. Practice with the Home Visitors, the Sub-Team Leaders and the Chairperson until you are satisfied that each person is able to fill out the form(s) required of him or her.

NB: If the CBO is not divided into sub-teams, then you must ensure that the Chairperson is capable of compiling these statistics from the entire team of Home Visitors. As discussed in **Module 5: Structure, Roles and Responsibilties**, however, this is likely to prove to be too much work for the Chairperson. If he / she can get assistance from Sub-Team Leaders working with sub-teams, this will make the compiling of monthly statistics easier.

It is important that you provide support and follow up to the CBO for two or three months, assisting them to fill out all their forms, until the group demonstrates complete mastery of this monitoring process. You should plan to be present when the sub-teams meet to compile monthly statistics during this time period.

Activity Seven:	**Monitoring Internal Organisational Indicators (Optional)**

Introduction

Throughout these trainings you have been working with the CBO to increase its own internal organisational capacity. You may choose to work with the group now to review the indicators of progress with respect to this internal capacity. (This is in contrast to tracking indicators of progress with respect to programming; that is to say, with respect to the organisation's activities with its target beneficiaries, which has been the focus of this module.) Note that the indicators that you will review here with the group have already been discussed as part of the organisational self-assessment that you helped the CBO to carry out prior to beginning these trainings. As such, the indicators will not be new to the CBO. Nonetheless, by reviewing them here, you may help the group to track its progress using a formal indicator tracking table. This will help them when they return to carry out a second organisational self-assessment at a later point in time.

Note that this is an optional activity! You should only carry out this activity if you think that the group has mastered the content of this module and is ready to move on to something new. If the group is still struggling to collect its basic monitoring data, however, then you should not carry out this activity, as it will likely be too much at once. You may choose to come back to the activity later, if you wish, in that case.

Step 1: Review the Capacities (the first column)

- Distribute Handout 15.20 to the participants. Review the 'menu' of capacities as it is listed in the first column of the table in this Handout. It is likely that you will have already completed trainings for some of these capacities. You will begin with these, but you may take this opportunity to review the full menu, including every capacity in the table. Although the CBO will likely not yet have achieved the indicators for each capacity, this activity will reinforce the idea that they want to continue to grow as an organisation and that there are indicators they can use to measure this growth.

Step 2: Review Indicators for each Capacity (the second column)

- Begin with one of the capacities for which the group has received training. For example, if the group has gone through the training for Vision and Mission, begin with this and ask them to review the Indicators that were identified to measure their progress in this area. In this example, the four indicators corresponding to Vision and Mission are:

  - The CBO has a written Vision statement
  - All CBO members can state the Vision statement
  - The CBO has a written Mission statement
  - All CBO members can state the Mission statement

- Review these indicators with the group. You should ask the group to perform the two songs that they composed in the training, as a way of demonstrating that these indicators have in fact been achieved and that all members do remember the Vision and the Mission!

NB: Note that these are examples of indicators that are measured with a simple 'Yes' or 'No'. That is to say, the CBO has either achieved the indicator(s) or it hasn't. This is in contrast to other types of indicators that require counting or calculating a percentage on a regular basis (such as: # of activity plans written per year and % of CBO members participate in activity planning). You will notice that all the capacities with simple 'Yes/No' indicators are listed first in your table. Once the CBO has achieved these indicators, they do not need to track them every month. (Although they may check against the indicators every month if they wish, to make sure that nothing has changed, or that no change is required. For example, if there is a major change in the community situation the CBO may need to rewrite one or more of its Objectives. While they will have previously achieved the indicators related to Objectives, it will be necessary to revisit these and 'achieve' them again.)

- The second and third pages of the table list capacities with indicators that the CBO should track on a regular basis, preferably every month. Review these with the group. Again, although they may not yet have completed all the trainings (or, indeed, have even selected all these capacities from the 'menu'), it is useful for the CBO to see a complete picture of the possible organisational capacities with their respective indicators.

Step 3: Identify the Source of Information (the third column)

- The third column of your table is labeled 'Source of Information'. You should help the CBO to identify, for each indicator, where they will find the information necessary to know if they have achieved the indicator or not. Some examples follow, but you will need to make sure that what is written in this column reflects the CBO's actual system of information collection and paper filing. Complete the table together with the CBO.

Indicator	Source of Information
The CBO has a written Vision Statement	Secretary's Notebook
All members can state the Vision Statement	Recital of CBO Vision Statement song
% of CBO members in attendance at meetings	Secretary's Notebook
% of meetings with an agenda	Meeting Agendas

Step 4: Setting Targets (the fourth column)

For indicators that require more than just a 'yes' or 'no', decide together with the group on realistic targets for them to aim for. For example, under Bookkeeping, it is imperative that all debits be backed up with a payment voucher authorised by 3 CBO members, therefore this target must be 100%. Anything less may lead to serious problems. In contrast to this, it is probably not necessary to insist on 100% attendance at all CBO meetings, and the CBO will probably decide to set a lower target, such as 75% or 80%.

Complete the targets for all indicators together with the group, even if the capacity in question is one that the group has not yet focused on.

Step 5: Tracking Indicators (the last columns)

Explain to the group that they should track their agreed indicators at their monthly meetings. Help the group if they have any further questions on any of the indicators. You may want to go through a few example with them. For example, imagine that it is now February and the group is tracking the indicators for the month of January under the capacity area Meetings:

Indicator: Number of meetings per year   *Target: 12*

- If the group wants to have 12 meetings per year, this means they must have at least one meeting per month. If they had their monthly meeting during January, they should fill in the number 1 beside this indicator under the column for January. (They will do the same in Feb., March, etc., with the expectation that the total will equal 12 by the end of the year.)

Indicator: Percent attendance at meetings   *Target: 75%*

- Tell the group to calculate the percent of members present at their January meeting and to write that figure next to this indicator, in the column for January. NB: You may have to help the group with understanding how to calculate percentages. We can imagine for the sake of our example that 85% of members were present at the January meeting.

Indicator: Number of meetings per year with agenda   *Target: 12*

- Make sure the group understands that this indicator is written to mean that every meeting must have an agenda! If the Secretary wrote an agenda for the January meeting, then they will fill in the number 1 beside this indicator under the column for January. This means that they had 1 meeting in January with an agenda. By the end of the year the total number of meetings with an agenda should be 12.

Indicator: Number of meetings per year with minutes   *Target: 12*

- If the Secretary wrote minutes for the January meeting, then they will fill in the number 1 beside this indicator under the column for January. This means that they had 1 meeting in January for which the Secretary wrote up minutes. By the end of the year the total number of meetings with minutes should be 12.

The completed table for the capacity area 'Meetings' will show the following information:

Capacity	Indicators	Source of Information	Yearly Target	Month		
				Jan	Feb	Mar
Meetings	# of meetings per year	Secretary's notebook	12	1		
	% attendance at meetings	Secretary's notebook	75%	85%		
	# of meetings per year with agenda	Meeting agendas	12	1		
	# of meetings per year with minutes	Meeting minutes	12	1		

At the end of this activity provide the Secretary with a clean copy of Handout 15.20. Explain to the group that they can continue to keep track of their own growth using this table.

Facilitator Reference 15.1:   Monitoring [5]

What is Monitoring?

- Monitoring is the systematic collection and analysis of information as a project progresses
- Monitoring is based on targets set and activities planned during the planning phases of work
- Monitoring helps keep the work on track, and lets leaders know when things are going wrong
- Monitoring lets you know if you are doing what you planned to do
- Monitoring is aimed at improving the efficiency and effectiveness of the organisation's work

Monitoring is best done when there has been proper planning against which to assess progress and achievements!

Why Monitor?

- The primary use of monitoring is for the organisation to see how it is doing against objectives and whether it is having an impact.
- While plans are essential, they are not totally fixed, and if they are not working, or if the circumstances change, then plans need to change too. Monitoring is a tool that helps a project to know when plans are not working.
- Monitoring gives the project information it needs to make decisions about changes that are necessary.

Getting something wrong is not a crime. Failing to learn from past mistakes because you are not monitoring is!

What does Monitoring involve?

- Establishing indicators
- Setting up systems to collect information relating to these indicators
- Collecting and recording the information
- Analysing the information
- Using the information to inform day-to-day management

What are Indicators?

- Indicators are measurable or tangible signs that something has been done or that something has been achieved.

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[5] Ibid.

Handout 15.1 – 15.20

Handouts 15.1 – 15.20 on the following pages

For Activity Two

Handout 15.1:	Example Monitoring Framework
Handout 15.2:	Template for CBO Monitoring Framework
Handout 15.3:	Example Indicator Tracking Table
Handout 15.4:	Template for CBO Indicator Tracking Table

For Activity Three: Forms

Handout 15.5:	Home Visitor Registration Form
Handout 15.6:	OVC Register (x 3 pages)
Handout 15.7:	Home Visitor: Record of Home Visits
Handout 15.8:	Sub-Team Leader: Monthly Home Visit Record
Handout 15.9:	Chairperson: CBO Monthly Compilation Form

For Activity Three: Exercises

Handouts 15.10 – 15.18:	Exercises

For Activity Four

Handout 15.19:	Example Tracking Table: CBO Together for Children

For Activity Seven (Optional)

Handout 15.20:	Sample Indicator Table for Organisational Capacity

Handout 15.1: Example Monitoring Framework

Goal and Objectives	Indicators	Targets
Goal To improve the quality of life of community OVC	*(# and % of OVC in school)*	
	(# and % of OVC eating meals of a standard at least as good as other children in the community)	
	(# and % of OVC with access to health care equal to that of other children in the community)	
	(# and % of OVC with shelter of a standard at least as good as that of the community)	
	(# and % of OVC with clothing of a standard at least as good as that of the community)	
Objective 1 15 trained Home Visitors make at least 2 visits per month to the homes of 180 OVC providing essential care and support	# of trained Home Visitors	15
	# of OVC registered	180
	# of households registered	variable
	# of OVC visited per month	180
	# of OVC receiving the following forms of support: • Education • Nutrition • Health • Psychosocial • Shelter • Clothing • Legal • Contra Abuse/Neglect	variable variable variable variable variable variable variable variable
Objective 2 The CBO carries out one recreational or educational activity / month for OVC	# of recreational activities per year	8
	# of educational activities per year	4
	# of OVC attending recreational and/or educational activities	100

Handout 15.2: Template for CBO Monitoring Framework

Goal and Objectives	Indicators	Targets
Goal		
Objective 1		
Objective 2		
Objective 3		

Handout 15.3

Example Indicator Tracking Table

Indicator	Source of Information	Target	Month Jan	Feb	Mar	Apr	May	Jun
Objective 1: 15 Home Visitors make at least 2 visits per month to the homes of 180 OVC, providing essential care and support								
# of trained Home Visitors	Home Visitor Register	15						
# of trained Home Visitors leaving CBO	Home Visitor Register	< 3						
# of OVC registered	OVC Register	180						
# of households registered	OVC Register	variable						
# of OVC visited (per month)	CBO Monthly Compilation Form	180						
# of OVC receiving **educational** support	CBO Monthly Compilation Form	variable						
# of OVC receiving **nutrition** support	CBO Monthly Compilation Form	variable						
# of OVC receiving **health** support	CBO Monthly Compilation Form	variable						
# of OVC receiving **psychosocial** support	CBO Monthly Compilation Form	variable						
# of OVC receiving **shelter** support	CBO Monthly Compilation Form	variable						
# of OVC receiving **clothing** support	CBO Monthly Compilation Form	variable						
# of OVC receiving **legal** support	CBO Monthly Compilation Form	variable						
# of OVC receiving **abuse / neglect** support	CBO Monthly Compilation Form	variable						
Objective 2: The CBO carries out one special recreational or educational activity per month to benefit OVC								
# of recreational activities per year	Secretary's notebook	8						
# of educational activities per year	Secretary's notebook	4						
# of children / youth attending activities	Secretary's notebook	100						

Handout 15.4

Template for CBO Indicator Tracking Table

Indicator	Source of Information	Target	Month					
			Jan	Feb	Mar	Apr	May	Jun
Objective 1:								
Objective 2:								
Objective 3:								

Handout 15.5:
Form 1: Home Visitor Registration Form

To be completed by the CBO for every new home visitor registered
1 copy to Home Visitor, 1 copy to CBO Secretary

Details of Home Visitor

Name: _____

Address: (If applicable)   _____

_____

Contact number: (If applicable)   _____

Age: _____

Gender: Male   Female

Date registered as a Home Visitor: _____

Details of CBO or affiliated group

Type of group and name of group that Home Visitor is affiliated to:

☐ CCC _____

☐ FBO _____

☐ CBO _____

☐ NGO _____

☐ Other _____

Focus of Home Visitor (tick appropriate box):

☐ OVC

☐ Chronically ill

☐ Both OVC and chronically ill

Date of termination of volunteer work: _____

Handout 15.6: OVC Registration Form (1 of 3)

Form 2.1: Information on the OVC Household

Name of Home Visitor: _____

Name of CBO: _____

Information on Household

Date of registration: _____

Name of household: _____

Address: (If applicable) _____

_____

Name of household head: _____

Age of household head (estimate if not known): _____

Is this a child-headed household? _____

Number of adults 18 years and older in household _____

Status of children in household *(Use second form if more than 10 children in household)*

Child's Name	M	F	Age Estimate if not known	OVC Status (tick appropriate block)			
				Mother died	Father died	Parent/s chronically ill	Disabled
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

Other forms of vulnerability in this household (as defined by the community):

Can this household be described as very poor? (If yes, give description) *(Continue on the back of this page if more space is needed)*

Handout 15.6: OVC Registration Form (2 of 3)

Form 2.2: Information on <u>Individual OVC</u>

Use a separate form for each child in OVC household

Name of Home Visitor: _____

Name of household: _____

Name of child: _____

Record of child's birth registration, school enrolment and support status

	Yes	No
Is child's birth registered?		
Is child of school-going age?		
If child is school-going age, is the child enrolled in:		
• Primary School		
• Secondary School		
• Vocational Training		
• Not enrolled		
Is the child receiving any external support?		

If yes, what is the source of the external support? _____

_____

_____

If yes, what type of support is being received? _____

_____

_____

Record of child's identified needs

Is child in need of support with:	Yes	No	If yes, please explain
Education			
Health			
Food and Nutrition			
Psychosocial Support			
Shelter			
Clothing			
Legal			
Worst child labor			
Possible abuse / neglect			

Handout 15.6: OVC Registration Form (3 of 3)

Form 2.3: End of OVC Home Visit Form

To be completed by the CBO every time an individual OVC in a registered household ceases to require home visits

Name of Home Visitor: _____

Name of CBO or Group: _____

Name of registered household: _____

Address of household: (If applicable) _____

_____

Name of household head: _____

Date of registration: _____

Details of child no longer requiring home visits:

Child's Name	Date of end of home visits	Reason for end of home visits (tick the relevant box)			
		Reached age of maturity	Moved	No longer needs support	Other reason (explain)
1					
2					
3					
4					
5					
6					
7					
8					

General Observations:

Handout 15.7

Form 3: Home Visitor: Record of Home Visits

Name of Home Visitor: _____

Name of Child: _____

Date of Visit	Record of Child's Status (tick √ if OK; X if not OK)								Support Provided (tic √ if support provided; X if support not provided)							
	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect

(Reverse side of Form 3)

Instructions for Home Visitor:

- Use one form for each child that you are visiting. You will use one row for each visit you make to the child. When you make a visit, record the date. Talk with the child and the guardians to decide if the child is OK or not in each of 8 areas of well-being. If the child is OK, record a tick √. If the child has problems in any of the 8 areas, record a X. Do the same for the support you provide during the visit. If you provide any form of support (such as educational support, for example), record a tick √. If you do not provide support in other areas, record a X.

- If there is any special information you need to record, such as problems that the child is having or the exact form of support that you provided (for example, schoolbooks under education) then you should write this information on the back of this form.

- Repeat this process every time you visit the child. At the end of the month draw a heavy line under the last visit and give the form to your Sub-Team Leader

Observations concerning the Child:

Handout 15.8

Form 4: Monthly Home Visit Record

(Compiled by Sub-Team Leader recording visits of all Home Visitors in sub-team during the month; submitted to Chairperson)

Name of Sub-Team Leader: _____ Month: _____

Total number of OVC visited: _____ Male: _____ Female: _____

Total number of visits: _____

Name of Home Visitor	No. OVC in HV's care	No. OVC visited during month	No. Male/ No. Female	Record of Child's Status (Record no. of children with OK status at end of month)								Support Provided (Record no. of children receiving support)							
				Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect
Example: Jon	12	11	5/6	9	8	6	11	8	5	11	11	1	2	1	9	0	0	0	0
Totals																			

Instructions for Sub-Team Leader:

- Begin with the first Home Visitor in your team. Collect all the Record of Home Visits forms from the Home Visitor. There should be one form for each child that the Home Visitor is supporting. Count the total number of children and record this number in the first column: No. OVC in HV's care. Count the total number of children that the Home Visitor visited during the previous month and record this number in the second column No. OVC visited during month. Break this number down by No. Male/No. Female as in the third column, using a slash / to separate the two numbers.

- Count the number of children with OK status in the previous month (represented by a tick √) in each of 8 areas of well-being and record the totals in the appropriate columns. Count number of children receiving support in each of 8 areas during the previous month (represented by a tick √) and record totals in the appropriate columns.

- Repeat this process for each Home Visitor on your team. When you have finished, add the totals for each column and record the numbers in the row labeled Totals at the bottom of the page.

- If there is any additional important information that you need to record, use the back side of this form.

Handout 15.9   Form 5: Chairperson: CBO Monthly Compilation Form

(Compiled by CBO Chairperson totalling the records of all Sub-Team Leaders; Filed as monthly record and disseminated to key stakeholders)

Name of Chairperson: _____   Month: _____

Total number of OVC visited: _____   Male: _____   Female: _____

Name of Sub-Team Leader	Total No. OVC in Sub-Team	No. OVC visited during month	No. Male/ No. Female	Record of Child's Status (Record no. of children with OK status at end of month)								Support Provided (Record no. of children receiving support)							
				Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect
Example: Sam	48	42	24/18	38	30	38	40	23	26	19	41	10	5	6	42	0	0	2	1
Totals																			

Instructions for Chairperson:

* Begin with the first Sub-Team Leader in your team. Collect the Monthly Home Visit Record from the Sub-Team Leader. Transfer the numbers from the row labelled Total (the last row on the Sub-Team Leader's form) to the first row on this form.
* Repeat this process for each Sub-Team Leader in the CBO. When you have finished, add the totals for each column and record the numbers in the row labeled Totals at the bottom of the page.
* If there is any additional important information that you need to record, use the back side of this form.

Handout 15.10

Home Visitor: Record of Home Visits

Name of Home Visitor: _____ Solomon

Name of Child: _____ Thomas Zuma

Date of Visit	Record of Child's Status (tic √ if OK; X if not OK)								Support Provided (tic √ if support provided; X if support not provided)							
	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect
2 Jan	√	√	√	X	X	√	√	X	X	√	X	√	X	X	X	X
17 Jan	√	√	√	X	X	√	√	X	X	X	X	√	X	X	X	X
8 Feb	√	√	X	X	X	√	√	√	X	X	√	√	X	X	X	X
20 Feb	√	√	√	X	X	√	√	√	X	X	X	√	X	X	X	X

Handout 15.11

Home Visitor: Record of Home Visits

Name of Home Visitor: _____ Solomon _____   Name of Child: _____ Melody Leto _____

Date of Visit	Record of Child's Status (tic √ if OK; X if not OK)								Support Provided (tic √ if support provided; X if support not provided)							
	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect
3 Jan	X	√	√	X	√	X	√	X	X	X	X	√	X	√	X	X
18 Jan	X	√	√	X	√	X	√	X	X	X	X	√	X	√	X	X
9 Feb	X	√	√	X	√	X	√	X	√	X	X	√	X	√	X	X
21 Feb	√	√	√	√	√	√	√	X	√	X	X	√	X	√	X	X

Handout 15.12 — Home Visitor: Record of Home Visits

Name of Home Visitor: _Lesedi_

Name of Child: _Samuel First_

Date of Visit	Record of Child's Status (tic √ if OK; X if not OK)								Support Provided (tic √ if support provided; X if support not provided)							
	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect
20 Jan	X	X	√	X	√	X	√	√	X	√	X	√	X	X	X	X
30 Jan	X	X	X	X	√	X	√	X	√	√	√	√	X	X	X	X
22 Feb	X	X	√	X	√	X	√	√	√	√	X	√	X	X	X	X

Handout 15.13

Home Visitor: Record of Home Visits

Name of Home Visitor: Lesedi

Name of Child: Happy Jalila

Date of Visit	Record of Child's Status (tic √ if OK; X if not OK)								Support Provided (tic √ if support provided; X if support not provided)							
	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/Neglect	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/Neglect
20 Jan	√	X	√	X	√	√	√	√	X	√	X	√	X	X	X	X
30 Jan	√	X	X	X	√	√	√	√	X	√	√	√	X	X	X	X
22 Feb	√	X	X	X	√	√	√	√	X	√	√	√	X	X	X	X

Handout 15.14   Sub-Team Leader: Monthly Home Visit Record

(Compiled by Sub-Team Leader recording visits of all Home Visitors in sub-team during the month; submitted to Chairperson)

Name of Sub-Team Leader: _____   Month: _____

Total number of OVC visited: _____   Male: _____   Female: _____   Total number of visits: _____

Name of Home Visitor	No. OVC in HV's care	No. OVC visited during month	No. Male/ No. Female	Record of **Child's Status** (Record no. of children with OK status at end of month)								Support Provided (Record no. of children receiving support)							
				Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect
Totals																			

Handout 15.15　　Sub-Team Leader: Monthly Home Visit Record

(Compiled by Sub-Team Leader recording visits of all Home Visitors in sub-team during the month; submitted to Chairperson)

Name of Sub-Team Leader: ___Clara___　　　　Month: ___February___

Total number of OVC visited: ___4___　Male: _2_　Female: _2_　　　Total number of visits: ___6___

Name of Home Visitor	No. OVC in HV's care	No. OVC visited during month	No. Male/ No. Female	Record of Child's Status (Record no. of children with OK status at end of month)								Support Provided (Record no. of children receiving support)							
				Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect
Solomon	2	2	1/1	2	2	2	1	1	2	2	1	1	0	1	2	0	1	0	0
Lesedi	2	2	1/1	1	0	1	1	2	1	2	2	1	2	1	2	0	0	0	0
Totals	4	4	2/2	3	2	3	2	3	3	4	3	2	2	2	4	0	1	0	0

Handout 15.16   Sub-Team Leader: Monthly Home Visit Record

(Compiled by Sub-Team Leader recording visits of all Home Visitors in sub-team during the month; submitted to Chairperson)

Name of Sub-Team Leader: _____Luisa_____   Month: _____February_____

Total number of OVC visited: _____34_____   Male: _18_   Female: _16_

Name of Home Visitor	No. OVC in HV's care	No. OVC visited during month	No. Male/ No. Female	Record of Child's Status (Record no. of children with OK status at end of month)								Support Provided (Record no. of children receiving support)							
				Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect
Roderick	10	8	4/4	6	4	6	7	8	7	8	8	1	0	3	7	0	0	0	0
Samuel	10	9	6/3	9	4	5	7	8	8	9	7	0	3	3	9	1	1	0	1
Martina	10	7	5/2	7	6	5	6	7	5	7	7	0	0	1	7	0	0	0	0
Sonia	10	10	3/7	8	5	7	7	9	8	9	8	1	1	2	8	0	0	1	1
Totals	40	34	18/16	30	19	23	27	32	28	33	30	2	4	9	31	1	1	1	2

Handout 15.17   Sub-Team Leader: Monthly Home Visit Record

(Compiled by Sub-Team Leader recording visits of all Home Visitors in sub-team during the month; submitted to Chairperson)

Name of Sub-Team Leader: Fabian   Month: February

Total number of OVC visited: 29   Male: 12   Female: 17

Name of Home Visitor	No. OVC in HV's care	No. OVC visited during month	No. Male/ No. Female	Record of **Child's Status** (Record no. of children with OK status at end of month)								Support Provided (Record no. of children receiving support)							
				Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect
Carmen	12	10	5/5	10	7	9	10	10	9	9	9	0	2	1	9	0	0	0	0
Robert	12	9	3/6	7	7	7	7	8	8	8	7	1	1	2	7	1	2	1	1
Rita	10	10	4/6	8	8	6	6	9	5	7	10	1	1	1	6	0	2	1	0
Totals	32	29	12/17	25	22	22	23	27	22	24	26	2	4	4	22	1	4	2	1

Handout 15.18   Chairperson: CBO Monthly Compilation Form

(Compiled by CBO Chairperson totalling the records of all Sub-Team Leaders; Filed as monthly record and disseminated to key stakeholders)

Name of Chairperson: _____   Month: _____ February _____

Total number of OVC visited: _____   Male: _____   Female: _____

Name of Sub-Team Leader	Total No. OVC in Sub-Team	No. OVC visited during month	No. Male/ No. Female	Record of Child's Status (Record no. of children with OK status at end of month)								Support Provided (Record no. of children receiving support)							
				Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect	Education	Nutrition	Health	PSS	Shelter	Clothing	Legal	Abuse/ Neglect
Totals																			

Handout 15.19   Example Tracking Table: CBO *Together for Children*

Indicator	Source of Information	Yearly Target	Jan	Feb	Mar	Apr	May	Jun
					Month			
Objective 1: 15 Home Visitors make at least 2 visits per month to the homes of 180 OVC (360 visits), providing essential care and support								
# of trained Home Visitors	Home Visitor Register	**15**	15	15				
# of trained Home Visitors leaving CBO	Home Visitor Register	**< 3**	0	0				
# of OVC registered	OVC Register	**180**	185	195				
# of households registered	OVC Register	variable	51	53				
# of OVC visited (per month)	CBO Monthly Compilation Form	**180**	170	162				
# of OVC receiving **educational** support	CBO Monthly Compilation Form	variable	15	33				
# of OVC receiving **nutrition** support	CBO Monthly Compilation Form	variable	21	47				
# of OVC receiving **health** support	CBO Monthly Compilation Form	variable	7	16				
# of OVC receiving **psychosocial** support	CBO Monthly Compilation Form	variable	160	159				
# of OVC receiving **shelter** support	CBO Monthly Compilation Form	variable	0	1				
# of OVC receiving **clothing** support	CBO Monthly Compilation Form	variable	10	35				
# of OVC receiving **legal** support	CBO Monthly Compilation Form	variable	0	1				
# of OVC receiving **abuse / neglect** support	CBO Monthly Compilation Form	variable	0	2				
Objective 2: The CBO carries out one special recreational or educational activity per month to benefit OVC								
# of recreational activities per year	Secretary's notebook	**8**	0	1				
# of educational activities per year	Secretary's notebook	**4**	1	0				
# of children / youth attending activities	Secretary's notebook	**100**	112	265				

Handout 15.20   Sample Indicator Table for Organisational Capacity

Capacity	Indicators	Source of Information	Yearly Target	Month Monitored					
				Jan	Feb	Mar	Apr	May	Jun
Vision / Mission	• The CBO has a written Vision Statement • All members can state the Vision Statement • The CBO has a written Mission Statement • All members can state Mission Statement		Yes Yes Yes Yes						
Goal / Objectives	• The CBO has a written Goal • All members can state the Goal • The CBO has written Objectives • All members can stat the Objectives		Yes Yes Yes Yes						
Structure, Roles, Responsibilities	• All CBO members have Role Descriptions • The CBO has an Organisational Chart		Yes Yes						
Internal Rules	• The CBO has written Internal Rules • CBO members participated in drafting the Internal Rules • All CBO members understand Internal Rules • There is a procedure for changing Internal Rules if necessary		Yes 95% Yes Yes						
Leadership	• The CBO has a leadership structure in place • At least one leader is a woman • Leaders are elected by secret ballot • New elections are held periodically		Yes Yes Yes 2 years						
Proposal Writing	• The CBO knows how to write a funding proposal		Yes						

Capacity	Indicators	Source of Information	Yearly Target	Month Monitored					
				Jan	Feb	Mar	Apr	May	Jun
Action Planning	• The CBO has a written Annual Action Plan • # of monthly Action Plans written per year • % of CBO members participate in Action Planning • % of planned activities carried out		Yes 12 80% 80%						
Meetings	• Number of meetings per year • Percent attendance at meetings • Number of meetings per year with agenda • Number of meetings per year with report • Decisions are taken by democratic vote or consensus		12 75% 12 12 Yes						
Monitoring	• The CBO has a system for registering OVC • The OVC register is kept up to date • The CBO has a system for recording all activities (i.e. home visits, recreation, etc.) • All members know how to fill out the forms required of them • % of forms filled out accurately and on time by CBO members • % of monthly statistics filled out accurately and on time by CBO leaders		Yes Yes Yes Yes 95% 95%						
Reporting / Documentation	• Number of progress reports written per year		4						
Budgeting	• CBO leaders know how to write a budget • The CBO has a budget that accurately reflects projected expenditures • Variation of actual expenditures from budget projections		Yes Yes 10 - 20%						

Capacity	Indicators	Source of Information	Yearly Target	Jan	Feb	Mar	Apr	May	Jun
						Month Monitored			
Bookkeeping	• The Treasurer keeps a cash book recording all credits and debits		Yes						
	• % of debits backed up with payment vouchers authorised by 3 CBO members		100%						
	• % of credits backed up with receipts		100%						
	• Number of times per year that the CBO verifies the balance on the cash book to actual cash on hand		12						
	• Number of times per year that the Treasurer provides a justification of accounts to the CBO members		12						
	• All CBO members understand the basics of the system that the Treasurer is using		Yes						
Linkages / Networking	• The CBO can identify and name all other CBOs working in their area		Yes						
	• The CBO has regular contact with other CBOs and government entities in their area		Yes						
	• Number of community/district/zone meetings attended by a CBO representative per year		12						
	• The CBO has succeeded in raising funds from external resources (excluding World Vision)		Yes						

Coordinating CBOs: Monitoring

- **Important:** The monitoring system described in this module is geared to **Implementing CBOs** rather than **Coordinating CBOs**, and the forms provided are **specialised forms** meant to be used with CBOs working with orphans and vulnerable children. This means that **many of the activities and examples in this module should not be used with a Coordinating CBO!**

- If you are working with a Coordinating CBO, you should only carry out Activity 1 and Activity 2.

Activity 1: Introduction to Monitoring

- You may carry out this activity with a Coordinating CBO as it is written in the module.

Activity 2: Linking the Monitoring Plan to Goals and Objectives

- You will carry out this activity with a Coordinating CBO just as you would with an Implementing CBO, except that the **indicators** for the Coordinating CBO will be quite different from the examples provided in the module, since the Goal and Objectives of the Coordinating CBO are also different.

- The following table provides an example of the types of indicators that a Coordinating CBO might be trying to track:

Example Monitoring Framework for a Coordinating CBO

Goal and Objectives	Indicators	Targets
Goal: To ensure that the eight organisations working with children in our community have up-to-date information on the activities of each other and are able to coordinate their activities in the most efficient manner possible.		
Objective 1 To hold one meeting with all eight representatives once per month for purposes of information sharing	• # of meetings per month • # of meetings per year • # and % of representatives attend meetings • # and % of representatives give report at meetings	1 12 7 / 85% 7 / 85%
Objective 1 To develop and carry out monthly action plans to respond to the gaps in activities identified during the information-sharing meetings	• # of action plans per month • # of action plans per year • % of activities in action plans successfully completed	1 12 80%

The Learning Organisation

Learning through Monitoring

Introduction

By now it should be clear to both you and the group how Monitoring relates to learning! Congratulations! Not all organisations always make this connection! Many organisations, in fact, collect monitoring information only in order to 'judge' if they have completed everything they are supposed to complete, and they view any shortfalls as 'disciplinary' issues (i.e. somebody is not doing his/her work!). Issues of individual responsibility are of course critical to the success of an organisation, and sometimes a target shortfall *will* be the result of an employee (or a member) not fulfilling his/her responsibilities. In these cases, the organisation will need to take appropriate measures, in accordance with its Internal Rules.

In other cases, however, shortfalls may not exactly be the result of individuals not carrying out their responsibilities, but rather may have deeper causes. These shortfalls might be a sign that there are some unexpected issues arising in the community that the organisation needs to pay attention to. The following two case studies illustrate this idea.

Case Study 1: Legumes or Cassava?

A few years ago an organisation was working with farmers in a rural community in Africa on a project to increase cashew production. The soils in the area of the project were very sandy, and the organisation understood that cashew can grow well in sandy soil. The soils were not good for growing many food crops, however, and the farmers were never able to produce much maize, sorghum or millet. Instead, they relied on cassava as their main food crop, since cassava can tolerate growing conditions that other crops cannot.

As part of its cashew production strategy, however, the organisation suggested to its beneficiary farmers that they replace all the cassava intercropped with (i.e. planted in between) the cashew trees with legumes such as groundnuts and pigeon peas. The problem as the organisation saw it was that the cassava was *competing* with the cashew for nutrients, whereas the legumes would release nitrogen into the soil, which would *improve* the cashew yields.

Although at that time *none* of the farmers in that area had ever intercropped legumes with their cashew trees, the organisation set itself a target of 75% of farmers intercropping with legumes after three years! Unsurprisingly, the organisation did not reach this target! While legume intercropping with cashew may make perfect sense from a technical point of view *with respect to cashew*, the priority for the farmers in this food insecure area was to ensure enough staple cassava production to see their families through the year. The idea that the cassava should be uprooted for legumes was absolutely contrary to the farmers' priorities!

Month after month the organisation collected its monitoring data and month after month they saw that they were not reaching their intercropping targets. The organisation did not see this as a sign that something might be wrong with their ideas, however, and they did not use this information as an opportunity to learn what the problem might be. Instead, the organisation assumed that they were not reaching their targets because their field workers were lazy and were not carrying out their responsibilities! So they tried to discipline the field workers, but even so, the intercropping results did not improve.

(In this organisation, by the way, information *only* flowed from the leaders – who thought they had all the answers – **out** to the field workers. The leaders never wanted to listen to the experiences and opinions of the field workers! The field workers – many of whom had grown up in the area – could understand very well why the farmers did not want to uproot their cassava. But nobody was listening to them!)

Instead of seeing the failure to reach the targets as a disciplinary issue, the organisation should have tried to reflect and determine if the reasons were deeper than this. This could have been an excellent learning opportunity for the organisation! If they had reflected on what was *actually happening* in the field, they might have realised that it was much too risky for the farmers to uproot all their cassava, and the organisation might have been able to think of some alternate solutions. Perhaps they could have set up an experimental plot with cashew and legumes so that farmers could see for themselves the higher yields, and could thereby base their decision on whether or not to uproot (some of) their cassava on solid evidence. Or perhaps the organisation could have arranged for a buyer of cashew to come and talk with the farmers, explaining how much he would pay for their cashew nuts, so that the farmers could decide if this type of income could be a partial substitute for living only on cassava. There were probably many alternatives that the organisation could have tried, but they didn't try any of them because they didn't recognise the problem for what it was! The reason they

didn't recognise the problem was because they thought they already had all the answers, and they were not trying to learn any more! They were using the monitoring information only to *measure* their results, failing to *also* use it as a tool for learning and deepening their understanding!

There is not much cashew production in that project area even to this day.

Postscript: It is true that one of the field workers was very lazy! He never visited the farmers, and spent most of the day riding around on his motorcycle collecting coconuts to sell. The poor results with his farmers were *both* the result of the 'cassava problem' *and* a failure of the field worker to fulfill his duties! It is important to remember that monitoring must serve *both* purposes – it is *both* a way to *track and measure* performance *and* a way to *reflect and learn* from experience.

Case Study 2: CBO 'Together for Children'

Once again we can refer to the situation that CBO *Together for Children* encountered in the community. You will remember that, since many families did not understand the benefits that home visits brought to the children (mostly psychosocial benefits in the beginning, rather than material benefits), some families told the Home Visitors not to return.

CBO *Together for Children* collects its monitoring information every month. Its target is to make a total of 200 visits per month (adding together all the visits of every Home Visitor). However, since many of the families have started to complain, the number of *actual* home visits has dropped over the past few months. In January the CBO made 190 total visits, in February they made 172, and in March they only made 68 visits!

Since the CBO collects and reviews this information every month, they are now aware that they have a problem! In the month of March they were very far from achieving their target. The Chairperson's first reaction was to get angry at the Home Visitors, accusing them of getting lazy and refusing to fulfill their responsibilities. But since this is a CBO where the Members are free to express their opinions – that is to say, information flows both **out** from Leaders and **in** from Home Visitors in this healthy organisation – the Chaiperson was quickly able to understand what the real problem was. It is true that Ms. Lesedi didn't make *any* visits in March because of her daughter's illness, but that is not the real problem. The CBO's Counselor will talk to Ms. Lesedi to come up with a reasonable solution for her. But the *main* problem facing the CBO right now is the community's misunderstanding of its work.

CBO *Together for Children's* **Annual Action Plan** shows that the CBO should be making home visits every month. Nevertheless, the CBO understands that its plans are only 'Good Ideas', rather than absolute obligations that they *must* achieve regardless of the actual situation. This is a CBO that is not afraid to change its plans when necessary! During the monthly meeting at the end of March, the CBO decides to suspend all home visits for the month of April, and to carry out four sensitisation campaigns (one per week) in the community instead, to talk about the meaning of 'psychosocial' and to explain in greater detail this element of their work. The CBO understands that only by taking this 'time out' to address the misunderstandings, will they be able to effectively carry on with their main work in the future.

Exercise: Asking 'Why'

The important point to emphasise is that whenever there is a difference between *plans* and *actual* results the CBO should seek to understand 'why'; that is, they should work to understand the reason for the difference. The only thing that Monitoring information can do is to alert us to the fact that there is a difference. After that, it is up to the CBO to reflect in order to understand why there is a difference.

Review the two case studies with the CBO. You may either tell these as **stories**, or work with the group to **dramatise** the two situations. In both case studies the organisations collected monitoring information every month, and in both cases they found differences between what they had planned and what the actual results were. Hold a discussion with the group. You may ask the following questions:

• What was the main reason why the organisation in the first story was not able to achieve its target of 75% of farmers intercropping legumes with cashew trees? Were there any other reasons besides this main reason? *(Answer: It was too risky for the farmers to uproot the cassava as the organisation suggested. Also, there was one very lazy field worker!)*

• What was the main reason why CBO *Together for Children* did not achieve its target of 200 total home visits per month in January, February and March? Were there any other reasons besides this main reason? *(Answer: Many families were no longer allowing the Home Visitors into their homes! Also, Ms. Lesedi was not able to participate because her daughter was ill.)*

• Describe the ways that the two organisations responded to the monitoring information. What did they do when they realised they were not achieving their targets? Which organisation learned from its experiences? Which organisation did not learn? Why do you think one organisation learned and the other did not – what factors explain that?

To reinforce this exercise, you may return to Activity Five in this module (*'Analysing the Information'*). Explain to the group that they have already started to use monitoring information for learning! They did this in Activity Five when they looked at the data for two months and tried to explain the reasons for the differences between planned and actual results. They will continue to do this every month with their own data.

A Word on 'Measuring' Impact

In this module we gave examples of the indicators that World Vision uses to measure the ***impact*** *of the CBO's work on the beneficiaries (OVC)*. **These** examples, listed again below, are **tertiary** indicators that measure results at the Goal level (instead of the Objectives or Activities level).

- # and % of OVC in school
- # and % OVC eating meals of a standard at least as good as other children in community
- # and % of OVC with access to health care equal to that of other children in community
- # and % of OVC showing improvements in psychosocial status and functioning
- # and % of OVC with shelter of a standard at least as good as that of the community
- # and % of OVC with clothing of a standard at least as good as that of the community

We said that (with the exception of the first one) these indicators are in fact very difficult to measure in a scientific way. How can we prove exactly that the meals of the OVC are just as good as the meals that other children are eating? Must we write down what all children eat every day? What are the 'standards' of a good meal anyway? Do we need to break the food down into categories based on vitamins and minerals? These are not easy questions to answer and it is not easy to measure these kinds of indicators in a way that will absolutely convince and satisfy a scientist! The indicators are not *impossible* to measure once all those involved have agreed on certain criteria, but a lot of effort and statistical rigor are required. We can contrast this with the **secondary** indicators that the CBO **is** able to count; i.e. the number of visits per month, the number of registered OVC, and see the real difference between these 'countable' indicators, and indicators like those above that try to measure 'Quality of Life'.

We have argued in previous modules, however, that it is not always necessary to count and measure things in exact, scientific ways in order to understand them! We have even said that sometimes when we try to analyse things in this scientific way, we end up focusing so much on the 'parts' that we understand even *less* about the whole - about the complex and dynamic relationships that influence 'quality of life' just as much as clothing and shelter do. We have also said that rural African communities

are often *better* at understanding these interrelationships than 'westerners' are, given their rich social traditions that do not always involve scientific analysis. (And we also said that this is, of course, a generalisation and that you, the Facilitator, will have to observe and think about the actual characteristics of the CBO and community you are working with!)

It is probably true to say, then, that although it will be difficult for the CBO to measure the above indicators in rigorous and scientific ways, the CBO nevertheless most likely has a *pretty good idea of what is going on!* Since the CBO members live and work in the community, they are in a unique position to see what is really happening and to understand in broad and general ways the patterns of improvement or worsening of the situation of the OVC that they are working with. Just because the CBO will not be carrying out a statistical survey does not mean that the CBO should stop thinking about the impact of its work! You should encourage the CBO to think about these questions and to give examples of the way that it feels its work is affecting the OVC in the community.

Back to Storytelling!

One of the best ways for the CBO to think about the impact that their work is having is to continue with **storytelling** during their monthly meetings. What do their stories reveal about the quality of life of OVC? How is this changing – for the better or for the worse or not at all – over time? Not only will the stories help to paint a broad picture of the general situation, but specific, individual stories may also help to pinpoint those very elements of quality of life that statistical surveys try to measure. (For example, if the CBO hears stories over and over again about children repeatedly falling ill with diarrhea, this is as good an indication of a failure to improve this aspect of 'quality of life' as a measurable survey would be.)

You, the Facilitator, have a role to play in convincing the group that their stories are yielding valuable information! Continue to encourage the storytelling, and continue to sit in on some of the CBO's monthly meetings when this storytelling takes place, if you can.

The Facilitator as Lifelong Learner

In the same way that you have helped the CBO to understand how to collect and analyse information, you should also be doing this as part of your regular work! It is probably the case that there are statistics you need to collect on a regular basis and submit to your Supervisor or Leader. You should make sure that you understand why you are being asked to collect this information, and you should know what your targets are. If World Vision (or your organisation) has not done this for you, then create a simple Indicator Tracking Table for yourself in your notebook. For example, you may be required to track indicators similar to the ones listed below:

- # of training modules facilitated (per month)
- # of CBOs trained (per month)
- # of participants attending training sessions.

You should know what your targets are, and you should compare the targets with what you are actually able to carry out each month. If you have not been able to achieve a target during a particular month you should ask yourself why.

- Were you failing to fulfil your responsibilities?! (If you are honest with yourself, you will know the answer to this question! Even if you are not honest with yourself, your Supervisor will probably know the truth, one way or the other!)
- Did you have logistical problems? If so, how should they be addressed?
- Is there some deeper reason? Is everything OK in the communities where you are working, and with the CBOs, or is there some form of resistance or lack of interest in your trainings? If so, what needs to be done to address these issues?

You should always try to meet your targets. If you cannot meet them, however, then you need to reflect! If you are at fault, then you will need to improve your performance, of course. If there are other reasons, however, then you should not fear that the shortfall will be interpreted as a disciplinary issue. Rather, it is an opportunity for you (and your Supervisor or Coordinator!) to try to understand what is happening and to learn from it!

Module 16:   Reporting and Record Keeping

Contents

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Special Section

Introduction

Now that the CBO is effectively monitoring its results and tracking its indicators, it should begin to report these results both internally and externally. It is important that when the CBO comes together for monthly meetings that all members are brought up to date on the CBO's progress. It is also critically important that the CBO periodically report back to the community in which it is working so that community leaders, families and other key stakeholders are clear about what the CBO is doing, and have an opportunity to provide feedback on the CBO's work. In addition, the CBO may be required to submit written reports to the government at district and perhaps higher levels, to a mobilising organisation such as World Vision or, in some cases, to a donor. In this module you will work with the CBO to prepare both verbal and written reports appropriate for all of these different audiences.

In addition, as the CBO is by now accumulating a great deal of documentation and paperwork, you will work in this module with the Secretary to ensure that he/she has a practical and workable system of record keeping.

Training Objectives

- To assist the CBO to understand the importance of reporting and to identify the various stakeholders to whom the CBO should report
- To understand the information that should be included in the reports and to gather this information
- To learn how to give an effective verbal presentation
- To practice producing a written report following one possible format
- To organise the CBO's paperwork into a practical system of files

Training Outputs

- The CBO is able to give a verbal presentation
- The CBO has produced a sample written report
- The CBO's Secretary has created a filing system

Suggested Indicators

- The CBO gives verbal progress reports to its members and the community on a periodic basis
- The CBO writes progress reports on a periodic basis for internal use and external submission, as required
- The CBO has an organised filing system

Materials

- A flip chart, paper and markers
- Photocopies of sample report format
- Five plastic snap files

Time: 4 hours

Activity One: Discussion

You should begin this training module with a group discussion on the importance of reporting. Ask the group the following questions, one by one, and allow time for brainstorming and discussion:

- **Why** is it necessary to report?

- **Who** should the CBO report to?

- **How** may reporting be done?

- **What** should a report include?

Write the group's answers on a flip chart. You may add your own ideas from *Facilitator Reference 16.1* found at the back of this module. If many members of the group are illiterate, you should have the group repeat the final lists in chorus a number of times.

Activity Two: Readiness Check

There are numerous elements of organisational capacity that should ideally be in place in order for the CBO to have complete information for its reports. The CBO should have SMART objectives, well planned and scheduled project activities, well chosen indicators of progress, and an effective, accurate system of data collection and recordkeeping[6].

Review the checklist in the table below with the group. If there are areas where further strengthening is required, you should probably return to the appropriate modules for review prior to completing this training.

Item	Yes	No	Module
Does the CBO have SMART objectives?			2
Does the CBO have an Annual Action Plan?			3
Has the CBO selected indicators to monitor its progress?			15
Is the CBO completing monitoring forms accurately and on time?			15
Is the CBO compiling monthly information to track the indicators?			15
Does the CBO have an effective system of filing papers / safekeeping documents?			16

In addition to reviewing the items on the checklist, you should ask the group if they have already written any progress reports. Have the Chairperson or the Secretary read the reports aloud. Refer back to the list of elements to include in a report from Activity 1, as follows:

• The period covered by the report
• The planned targets (objectives) and activities for the period
• Actual achievements and activities for the period; what indicators used?
• Problems encountered and lessons learned
• Plans for next period of project activity; any changes?
• *Financial information (See modules 18 and 19)*

The group can assess together the extent to which their reports incorporate these elements, and identify gaps for further practice. Even if there are significant gaps, however, you should congratulate the group for attempting to write progress reports, and their efforts to date should be seen as valuable points of departure as you continue with this training.

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[6] *Project Design for Program Managers: Conducting a Workshop on Planning Community-Based Projects*: The CEDPA Training Manual Series, Volume II, The Centre for Development and Population Activities, Washington, D.C., 1994.

Activity Three: Verbal Reports

Introduction

There are at least two situations when it is probably more effective for the CBO to give a verbal report instead of a written one. These are:

1. The Chairperson's report to the CBO members at monthly meetings

During monthly meetings of the CBO, the Chairperson should give a presentation summarising the CBO's activities and achievements during the previous month.

2. The CBO's report to the community at periodic meetings

Likewise, the CBO should plan to meet periodically (perhaps quarterly) with key community stakeholders, opinion leaders and all interested community members to report on the CBO's activities. It is extremely important to keep the community informed so as to continue to promote goodwill and to avoid any potential misunderstandings or conflicts. These meetings also provide the community with an opportunity to voice their opinions and ideas, and to give feedback on the work that the CBO is doing.

Content of Verbal Reports

At both of these meetings, the Chairperson (or his / her representative) can make presentations to include the following, depending on the type of programming that the CBO is carrying out:

- Number of OVC and / or chronically ill registered in the previous month / quarter
- Total number of registered OVC and / or chronically ill
- Total number of trained home visitors and / or home-based caregivers
- Total number of home visits in the previous month / quarter
- Overview of the types of support provided to OVC and / or chronically ill in the previous month / quarter
- A discussion of the main needs of OVC and / or chronically ill, as observed during home visits
- Other CBO activities, as relevant, such as HIV prevention campaigns, sensitisation and / or training regarding GATV, PMTCT, etc.
- Major achievements of the CBO
- Lessons learned

The Chairperson (or his / her representative) may want to post the CBO's **Indicator Tracking Table** *(see Module 15: Monitoring)* and any other major results or information on a flip chart or a wall for easier reference during his / her presentation. Following the presentation time should be given over for questions and answers and general discussion.

Important Reminder on Confidentiality!

The CBO should limit its sharing to the sharing of *statistical* information only, such that individual children or ill members or the community are not identified by name. The most appropriate form to share with third parties is the Chairperson's **CBO Monthly Compilation Form** or the CBO's **Indicator Tracking Table**.

Practice

Have the group practice the following scenarios:

1. The CBO is having its monthly meeting. The Chairperson will give a presentation of the CBO's main activities and achievements during the past month, using a posted Indicator Tracking Table for reference. The CBO members will contribute with discussion, ideas, and analysis of results.

2. The CBO has organised a quarterly meeting with all interested community members. The meeting will begin with a presentation by the Chairperson, in which he / she will communicate the CBO's main activities and achievements during the past quarter, using a posted Indicator Tracking Table for easy reference. The rest of the group should play the role of community members and participate in the question and answer and discussion session following the presentation.

NB: This is a good opportunity to think about some of the issues that may have arisen in the community regarding the CBO's work in terms of potential conflicts or misunderstandings. The group should play the role of community members, asking difficult questions to the CBO leaders, and the leaders should practice their responses with a view to allaying any concerns that the community may have.

Activity Four: Written Reports

Introduction

There are at least three situations when the CBO may be required to submit periodic written progress reports. These are:

1. During the initial stages of an affiliated organisation's involvement with the CBO

The goal of an affiliated organisation such as World Vision is to work with CBOs so that they become independently functioning organisations over time. World Vision works closely with CBOs in early years and tracks their progress by requesting monitoring and financial information, as well as written progress reports. This assistance, and the corresponding reporting requirements, is phased out in later years as the CBOs mature and are increasingly able to operate independent of the affiliated organisation's support.

At this stage in the CBO's development when the group is still receiving training assistance from you, it is advisable to ask the CBO to submit periodic written progress reports, both so that you can continue to track the CBO's work and so that the CBO itself can gain practice in report writing with your ongoing oversight and assistance.

2. Any time that the CBO is a recipient of donor funding

As the CBO increases in maturity it may begin to apply for outside sources of funding, in order to expand and improve its activities. The CBO can be sure that if it receives such financial support, the donor will want to be updated on the CBO's progress towards objectives, and its use of the money! The CBO should begin *now* to write progress reports so that when they eventually receive funding, they will be able to comply with this donor requirement!

3. To link with the Government's framework for community-level HIV/AIDS response

Grassroots CBOs should ideally be more closely linked with Government structures than they are with affiliated organisations such as World Vision. There may be Government-sponsored district-level working groups, forums, or committees that the CBO can participate in, and it is good practice for the CBO to submit progress reports to such groups on a regular basis.

This will enable the Government to carry out more effective coordination of activities and to gather more complete information with respect to the various target groups that grassroots organisations are assisting.

NB: While the three examples given here refer to reporting for *external* stakeholders, it is always good practice for an organisation to write periodic progress reports, even if the reports are only put to internal use. This written, periodic review of project progress is a good habit for any organisation to develop. These reports should always be read at internal CBO meetings.

Practice

Before you begin this activity, you should ask the Secretary to provide the following:

- The CBO's Goal and Objectives
- The CBO's Annual Action Plan and most recent Monthly or Quarterly Action Plan
- All relevant monitoring and tracking information from the previous month

Make three photocopies of the Sample Progress Report found in **Handout 16.1.** Review the format with the group and make any adjustments as needed based on the group's ideas. Alternatively, you may choose to use a report format that you know is required by a donor or by the Government. In this case you will need to arrange to make photocopies of the format prior to carrying out this activity.

Break the CBO into three groups, making sure that there is at least one literate member in each group. The groups should work together to write a draft progress report for the previous month, following the agreed format. They will need to refer to the documentation that the Secretary has provided. This may be placed on a central table where all groups can access it. When the three groups have finished, they will each read their draft reports in plenary. If there are discrepancies in the data provided in the three reports the CBO will need to work together to determine which statistics are correct and which are not. The participants may also vote on the best responses to the narrative sections of the report. Following this, the Chairperson or Secretary should write a final version of the report for homework, and read it to the participants during the next session.

Activity Five: Recordkeeping

Depending on the number of training modules that you have carried out with the CBO to date, the CBO by now has accumulated a great deal of documentation! In this activity you will work with the Secretary to make sure that he/she has a logical system for filing all these papers.

Most CBOs will not have the means to purchase an actual filing cabinet, at least in the beginning stages of their growth and maturity. The Secretary will usually keep all papers at home, and the tendency may be for the Secretary to mix the CBO's papers with household documents.

For this activity you may facilitate the purchase of at least five transparent plastic snap file folders. (Your organisation may either agree to purchase the files for this training module, or you may ask the CBO Treasurer for money from the CBO's fund so that you can purchase the files in the nearest town.) Files that are made of plastic and that snap shut are ideal, as papers will not fall out, and the file itself will not get as dirty as a cardboard or manila file would.
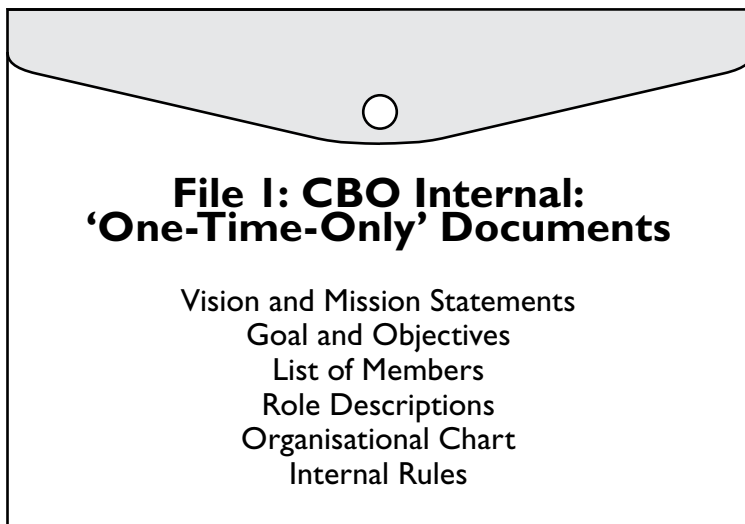
You should help the Secretary to organise the CBO's documentation into various files. One possible arrangement is provided in the example here.

NB: If the Secretary can be given one file for his/her personal use, this will reduce the likelihood of mixing household papers with the CBO's documents!

**File 1: CBO Internal:
'One-Time-Only' Documents**

Vision and Mission Statements
Goal and Objectives
List of Members
Role Descriptions
Organisational Chart
Internal Rules

**File 2: CBO Internal:
'Periodic' Documents**

Annual Action Plan (1/year)
Monthly/Quarterly Action Plans (1/month or quarter)
Meeting Agendas/Minutes (1/month)
Periodic Written Progress Reports (1/quarter)

File 3: CBO Monitoring: 'One-Time-Only' Documents

Home Visitor and/or Home-Based Caregiver Register: Active
Home Visitor and/or Home-Based Caregiver Register: Inactive
OVC and/or Chronically Ill Register: Active
OVC and/or Chronically Ill Register: Inactive

File 4: CBO Monitoring: 'Periodic' Documents

Copies: Records of Home Visits
Monthly Home Visit Records
CBO Monthly Compilation Records
Monthly Indicator Tracking Tables

File 5: Secretary's Personal File!

Documents from home

Facilitator Reference 16.1:
Basic Information Regarding Reporting

Now that the CBO is effectively monitoring its results and tracking its indicators, you will assist the group to understand how to **report** these results both internally and externally. You will use this Facilitator Reference in Activity One, as you brainstorm with the group the 'Why', 'For Whom', 'How' and 'What' of reporting.

Why report? [7]

- It is sometimes a requirement
- To record successes and setbacks
- To communicate to the community
- To assist the government in compiling complete information on local-level activities
- To communicate to donors/funders
- To learn from experience
- To inform decision-making for further action
- To organise information

Report to whom?

- To the CBO members at monthly meetings
- To the community
- To relevant government structures at district and/or higher levels
- To an affiliated organisation such as World Vision (if applicable)
- To donors (if applicable)

How to report?

- Verbal reports to CBO and community
- Written progress reports to government structures, affiliated organisations and/or donors, if applicable

Report on what? [8]

- The period covered by the report
- The planned targets (objectives) and activities for the period
- Actual achievements and activities for the period; what indicators used?
- Problems encountered and lessons learned
- Plans for next period of project activity; any changes?
- Financial information *(See modules 18 and 19)*

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[7] *OCB Training for Mpwedde Children's Care Association, Kasangombe ADP,* World Vision Uganda

[8] *Project Design for Program Managers: Conducting a Workshop on Planning Community-Based Projects:* The CEDPA Training Manual Series, Volume II, The Centre for Development and Population Activities, Washington, D.C., 1994.

Handout 16.1:
Sample Written Progress Report Format

Organisation Name: _____

District: _____   Reporting Period: _____

Project Goal: _____

Project Objectives: _____

_____

_____

_____

_____

Please summarise key activities undertaken during the reporting period:

Objective 1: _____

Status / Progress:

Beneficiaries reached (number, type):

Explain any changes to activity plan:

Challenges:

Objective 1: _____

Status / Progress:

Beneficiaries reached (number, type):

Explain any changes to activity plan:

Challenges:

Objective 2: _____

Status / Progress:

Beneficiaries reached (number, type):

Explain any changes to activity plan:

Challenges:

Please describe any major problems encountered and their effect or potential effect on the success of the project *(use back of page as needed):*

Please briefly describe key activities to be undertaken in the upcoming period of project activities.

Please use this space to relate any lessons learned or 'human interest stories'

Please attach an indicator tracking table completed for the time period covered by the report.

Coordinating CBOs: Bookkeeping

- In most respects you will carry out this module with a Coordinating CBO in the same way as you would with an Implementing CBO. Both types of organisations should be reporting on their activities, and both types of organisations should have an organised system of recordkeeping.

- It is true, however, that the *contents of the reports* will differ for a Coordinating CBO, and will relate to the types of coordinating activities (meetings, action plans, etc.) it has been carrying out, rather than to the types of implementing activities that its member CBOs are doing in the community.

- **It is also possible, however, for a Coordinating CBO to include in its reports progress reports for the individual Implementing CBOs that it is coordinating.**

- Possible contents for a Coordinating CBO report might include:

1. Review of activities of Coordinating CBO in previous month
   - Number of coordinating meetings held
   - Total number of representatives attending meeting(s)
   - Main issues discussed in meetings and main actions taken

2. Progress Report: Implementing CBO # 1
   - Total number of OVC registered
   - Total number of home visits to OVC in previous month
   - Overview of types of support provided to OVC in previous month

3. Progress Report: Implementing CBO # 2
   - Total number of chronically ill registered
   - Total number of home visits to chronically ill in previous month
   - Overview of types of support provided to chronically ill in previous month

4. Progress Report: Implementing CBO # 3

5. Etcetera (Progress Reports: Implementing CBOs # 4 - 8)

6. Challenges and constraints

7. Plan for coming month

Mentoring: Capacity Area 4: Monitoring and Reporting

Module 15: Monitoring
Module 16: Reporting and Record Keeping

Follow Up (after trainings)

1. The **monitoring** system that you will be introducing in Module 15 will require a good deal of follow up. This is an excellent example of a case when *training by itself is only a first step!* The group will gain most of its learning and experience in monitoring *only after the training*, when they begin to try to put their own monitoring system into place. You may need to be present to **help the group fill out its forms** for the first 3-6 months following the training. Provide the members, supervisors and group leaders with all the follow up support needed until you are confident that they can fill out their respective forms correctly.

2. Provide follow up support to the group for the first 3-6 months in order to **help them to compile the data from the forms into monthly statistics**.

3. Provide follow up support to the group for the first 3-6 months so that they can understand how the monthly statistics relate to their **goals and targets**.

4. Provide follow up support to the group for the first 3-6 months so that they begin to use their monitoring information as a **decision-making tool**. In other words, if the group finds differences between their planned targets and what they actually achieved when reviewing their monthly monitoring figures, they should try to analyze and understand what caused the difference. They will then need to make decisions accordingly as to what should be done next.

5. Following the training in Module 16, **assist the group as it begins to try to write its reports**. You will need to work with the Secretary and other leaders to help them learn how to include all the necessary information into their reports.

6. You should also spend some time with the **Secretary to help him or her establish an efficient and organized record keeping system**. It is not enough to have everything written in a notebook in a disorganized fashion. Rather, the CBO needs to have an organized and transparent system of record retrieval if it is to be effective in the long run, when things become more complicated. Module 16 gives you, the Facilitator, some guidance in helping the Secretary to set up his/her record keeping system.

Resources: Modules 15 and 16

Bartle, Phil, *Writing Reports: A Guide for Community Mobilisers and Animators,* Community Management Programme, Kampala, Uganda, 1995.

Carter, Isabel, *Building the capacity of local groups: A PILLARS Guide,* Tearfund, 2001.

Guide to Mobilising and Strengthening Community-Led Care for Orphans and Vulnerable Children, World Vision.

Project Design for Program Managers: Conducting a Workshop on Planning Community-Based Projects: The CEDPA Training Manual Series, Volume II, The Centre for Development and Population Activities, Washington, D.C., 1994.

Shapiro, Janet, *Monitoring and Evaluation,* Civicus: Civil Alliance for Citizen Participation.

Staff Handbook for the RAPIDS Small Grant Programme, RAPIDS: 'Reaching HIV / AIDS Affected People with Integrated Development and Support', Lusaka, Zambia, 2005.

Strengthening Your Organization: A Series of Modules and Reference Materials for NGO and CBO Managers and Policy Makers, Pathfinder International.

Symes, Camilla, *The New Toolbox: A Handbook for Community Based Organisations,* The Barnabas Trust, 2002.

Capacity Area 4: Monitoring, Evaluation, and Reporting

Module 15: Monitoring

Module 16: Reporting and Recordkeeping

The CBO will develop a system for monitoring its activities and tracking progress toward its objectives. CBOs involved in HIV and AIDS-related outreach activities will learn to register home visitors and project beneficiaries, to keep a monthly record of the number of home visits carried out, and to record the status of the target populations receiving services. The group will develop indicators to determine the extent to which the CBO is on track toward meeting its objectives, and will learn how to analyse the data they collect to better inform management decisions and ongoing implementation. The CBO must be sure to report its data at monthly meetings so that members know the status and progress of activities. It is important that the CBO is able to report its progress towards objectives through both verbal presentations and written reports, and to distinguish between situations when one or the other type of presentation is preferred. Finally, the Secretary will learn how to develop a reliable system for organising and filing the CBO's documents.

World Vision®

Part II: Facilitator's Manual for **OCB** *Training*

ORGANISATIONAL
CAPACITY
BUILDING

Capacity Area 5:

Financial
Management

World Vision is a Christian relief, development and advocacy organisation dedicated to working with children, families and communities to overcome poverty and injustice.

As followers of Jesus, World Vision is dedicated to working with the world's most vulnerable people. World Vision serves all people regardless of religion, race, ethnicity or gender.

author: **Michele Gaudrault**

Capacity Area 5:

Financial Management

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Introduction

If the CBO you are working with is newly-formed or has only been working for a year or two, it is unlikely that it has started to manage large sums of money. This is good! The best time to put financial systems into place is *before* money begins to come in and go out of the organisation! Even if the CBO is only working with a very limited group fund created through member contributions, it is essential that it keeps track of this money in a systematic and transparent (i.e. open for everyone to see and understand) way. More small groups have fallen apart because of problems with money than for any other reason!

In Modules 18 and 19, aimed at beginner-level organisations, you will help the CBO to put a basic system of financial management into place. The CBO will first create a Budget, linked to its Action Plan, to estimate the amount of money it will need to carry out its activities, and to detail how this money will be spent. The Budget is a vital planning and management tool, forcing the CBO to think ahead and to make sure that what is planned is realistic from the standpoint of the amount of money it has available. Once the CBO has written a Budget, you will then help the group to set up a Bookkeeping system, so that they can track the actual amounts of money coming into and going out of the organisation. The CBO will learn how to carry out a monthly reconciliation to make sure that no money has gone astray, and to write a Budget Variance Report to compare actual income and expenditures to the original budget plan. With these basic elements of financial management in place the CBO will be able to effectively keep track of the member contributions, thereby preventing internal problems related to money gone missing. This will also pave the way for the CBO to manage funding from external sources in later stages of its growth.

Module 20 is aimed at intermediate organisations, or those CBOs whose funds have either grown too large for safekeeping in the village or who have received donor funding from an external source. In this module you will help the CBO to open a bank account and will train the members in the related procedures and documentation to include writing cheques, recording deposits, completing a bankbook reconciliation and maintaining a transparent paper trail of all transactions.

Module 18:	Budgeting

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Introduction

A **Budget** can be considered to be 'Step 2' of Planning! Once an organisation has developed an Action Plan that details the activities that it hopes to carry out, the organisation will then need to estimate how much these activities, and related administrative functions, will cost. A Budget, then, is a way of translating Plans into money!   It is important that the CBO writes its Budget prior to beginning its work so that it can accurately forecast how much money it will need, and how much money it will have available, for the things that it wants to do. In this module the CBO will learn how to write a budget that is linked to its Action Plan.

Training Objectives

- To introduce a standard budget format to the CBO
- To assist the CBO to write a budget, linked to its Action Plan, in the standard format
- To help the CBO to understand how to compare actual income and expenditures to the budget and create a Budget Variance Report

Training Outputs

- The CBO produces a **budget** linked to its action plan

Suggested Indicators

- The CBO Leaders know how to write a budget
- The CBO has a budget that accurately reflects projected income and expenditures
- Actual income and expenditures do not vary by more than 10-20% from budget projections

Materials

- A flip chart, paper and markers
- Calculators (ideally one for every two participants, remain property of World Vision)
- Photocopies of forms and handouts
- 'Fake' money based on local currency (optional)

Time: 1-2 days

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[1] Shapiro, Janet, Budgeting Toolkit, Civicus: Civil Alliance for Citizen Participation

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Activity One: Discussion

You should begin this training module with a group discussion on the importance of budgeting. Ask the group the following questions, one by one, and allow time for brainstorming and discussion:

- **What** is a budget?
- **Why** is it necessary to budget?
- **Who** will be interested in the budget?

Write the group's answers on a flip chart. You may add your own ideas from Facilitator Reference 18.1. You can also introduce the concepts of Good Practice in budgeting, explaining to the group that they will learn how to do all of these things in this training module.

Activity Two:	Creating a Budget Step by Step

Step 1: Listing the Line Items

Exercise 1

Tell the group to imagine that they have been successful in raising money in the community to expand and improve their HIV and AIDS-related activities.

NB: The amount of the money raised may vary depending on the level of maturity of the CBO you are working with. If this is a CBO that has never handled significant amounts of money, you may want to have them imagine an amount of (the local equivalent of) $100-$200. If the CBO has experience in managing larger sums of money then you could increase this hypothetical figure accordingly.

NB: If you have been able to design and photocopy 'fake money' for this module and the others in this section, the group may use this fake money to help them work through this exercise.

Divide the participants into groups of 4 or 5. It is best if each group has at least one literate member. Give each group a large sheet of flip chart paper, markers, and 'fake money' in the amount of the funds raised. Each group should decide what they are going to spend the money on, and write a list of these items, with the corresponding costs, on the paper. Explain to the group that each item on the list is called a **line item**.

See **Handout 18.1** for an example of a simple budget for the CBO *Together for Children*. You may distribute this handout to the group prior to beginning the activity, or wait to allow the participants to come up with their own ideas first.

When the groups have finished, they should present their lists in plenary. Tell the participants that they have now completed a simple budget! They should transfer this budget to the space provided on Handout 18.1.

If you want to take this activity one step further, tell the CBO that they must now agree on one final budget, drawing from the ideas of the small groups. This will force the group to think carefully about priorities.

Step 2: Introducing the Budget Format

The group has listed line items and total cost, and this will form the basis of the final budget. You will now introduce the budget format that the group will use for the remainder of this module. Distribute **Handout 18.2** to the participants showing the example of CBO *Together for Children's* budget transferred to the budget format table.

You will not fill in **Category**, **Unit Cost** or **No. of Units** yet, but as you proceed through each of the steps with the group, they will progressively learn how to complete all of these columns. (Note that there is not yet a separate table for Income. Instead, in this example, you will simply write the grant amount at the top. The group will learn how to include income in the budget in a later step.)

Exercise 2

Tell the group to transfer their simple budget into the table provided in Handout 18.2. At this stage, they will simply copy the **line items** and the **total cost** of each item, and ignore the other columns.

Step 3: Understanding Unit Costs

Introduction

The previous steps gave the participants a chance to practice writing a simple budget by listing all the items they would spend their money on, and the corresponding total cost of the items. It is better practice when writing budgets, however, to break totals down into unit costs. That is to say, if the CBO plans to purchase *more than one* of a particular item, they should first determine the price to purchase *one* (the 'unit cost'), and multiply this unit cost by the number of units they plan to purchase, to arrive at the total cost.

For example, look at this entry from CBO *Together for Children*'s budget:

Item	Cost
Two footballs for recreation	$50

Since the CBO plans to purchase two footballs, a better way to record this is to first show the price of *one* football (the unit cost), and then multiply this by the number of footballs to be purchased (2) to arrive at the total cost. This budget item would be recorded as follows:

Item	Unit Cost	No. of Units	Total Cost
Footballs for recreation	$25	2	$50

Exercise 1

Distribute **Handout 18.3** to the participants. In this handout they will see an example budget for CBO *Together for Children* with the columns for Unit Cost, No. of Units, and Total Cost correctly filled in. Review this example with the group.

Now ask the group to take the simple budget prepared by CBO *Understanding Youth* and put it into a correct budget format, using the table provided in the handout. The answer is provided to you on the following page.

Answer: CBO 'Understanding Youth'

Category	Item	Unit Cost	No. of Units	Total Cost
	Used shirts for OVC	$4	200	$800
	School fees for OVC	$5	50	$250
	School uniforms for OVC	$10	50	$500
	School notebooks for OVC	$1	200	$200
	Calculators for CBO	$25	2	$50
				$1,800

Exercise 2

Finally, you should now have the participants return to the budgets that they drafted in Step 1 and rewrite them so that they follow the format we have reviewed here. Distribute **Handout 18.4** to the group and tell them to transfer their budget to the table in the handout, filling in the columns for **Item**, **Unit Cost**, **Number of Units** and **Total Cost**. When the group is finished, have one volunteer present the results in plenary.

NB: If the group has done their calculations correctly, the **Total Cost** column should not change!

Step 4: Understanding Budget Categories

Introduction

In this activity you will help the group to **categorise** their budget expenditures. You will limit the number of categories to only **two** in this activity so as not to overly complicate the process for the group. Nevertheless, categorising both income and expenditures is a good habit for the CBO to develop, as it will pave the way for creating a **chart of accounts** in later stages of the CBO's growth. (You will probably not train the group in Accounting until they have reached an intermediate level. But there is no reason why the group cannot begin categorising now!)

Explain to the group that a big organisation such as World Vision spends its money on many different things. Ask the group if they can think of examples of what World Vision spends its money on. Some ideas include:

• Staff salaries

• Vehicles and vehicle running costs

• Travel costs

• Building rent, electricity

• Supplies

• Training costs

• And more!

It is important for any organisation to keep track of where its money is going. For this reason, budgets are usually organised by categories. The categories are given numbers, and all subsequent spending is then coded using these category numbers. This allows the organisation to carefully track exactly what the money is being spent on. In the next module the CBO will learn how to code every payment in and payment out in the **cash book**. In this module, the participants will agree on the main categories to use for this coding.

Explain to the group that as they grow and as their activities become more complex, they may set up a system with many categories. For the moment, however, the CBO will divide its expenditures (i.e. its payments, or its spending of money) into:

01:     Administrative costs
02:     Operational costs

Administrative costs refers to all money spent for the CBO's internal functions. The CBO will need stationary, calculators and other supplies in order to do its work. You may think of administrative costs as money spent *for the CBO*. In the next module on Bookkeeping, administrative costs will be given the code 01.

Operational costs refer to all money spent for the CBO's activities in the community. (**NB:** It is possible that in early stages of the CBO's growth they will not have any money to spend for the community / the OVC / the chronically ill, and that any limited internal funds that they have will need to be spent on administrative items such as paper, files and other such supplies.) **You may think of operational costs as money spent *for the community / OVC / chronically ill*.** In the next module on Bookkeeping, operational costs will be given the code 02.

Exercise 1

Tell the group to refer again to CBO *Together for Children* and CBO *Understanding Youth*'s budgets, and to categorise the items as either Administrative Costs or Operational Costs.

Answer: CBO 'Together for Children'

Administrative Costs
• Stationary for the CBO Secretary
• Strongbox to guard CBO funds

Operational Costs
• Footballs for recreation
• Seed packs for community vegetable garden
• Watering cans

Answer: CBO 'Understanding Youth'

Administrative Costs
• Calculators for CBO

Operational Costs
• Used shirts for OVC
• School fees for OVC
• School uniforms for OVC
• School notebooks for OVC

Exercise 2

Distribute Handout 18.5 to the participants and tell them to complete the tables corresponding to the budgets for the two CBOs, with the 'Category' columns filled in. Note that this will require changing the sequence of the line items so that all Administrative items are listed first, followed by all Operational items. The results should look like the two tables shown below.

Answer: CBO 'Together for Children'

Category	Item	Unit Cost	No. of Units	Total Cost
Administrative (01)	Stationary for the CBO Secretary	$25	1	$25
	Strongbox to guard CBO funds	$80	1	$80
Operational (02)	Footballs for recreation	$25	2	$50
	Seed packs for community vegetable garden	$1	15	$15
	Watering cans	$10	3	$30
				$200

Answer: CBO 'Understanding Youth'

Category	Item	Unit Cost	No. of Units	Total Cost
Admin. (01)	Calculators for CBO	$25	2	$50
Operational (02)	Used shirts for OVC	$4	200	$800
	School fees for OVC	$5	50	$250
	School uniforms for OVC	$10	50	$500
	School notebooks for OVC	$1	200	$200
				$1,800

Exercise 3

Now have the group go back to their own budget and add the information in the **Category** column, using **Handout 18.6**. They will need to decide which of their items are Administrative and list these first, followed by a listing of the Operational items. They may need to change the order of the items.

Step 5: Including Income on the Budget

Introduction

Until now you have been working with the group to list on the budget only that money going *out*. However, the group obviously cannot spend money without first having received it! It is important to also show on the budget the source or sources of money coming *in*.

There are at least three possible sources of income for the CBO, as follows:

03   Member Contributions
04   External Funds (i.e. fund raising or grants)
05   Small Business Activities

While it is possible to include all these sources of income on one budget, it is probably better while the CBO is still young and learning, to keep money from different sources **separate**, and to write separate budgets for each. For each separate budget, the income will be listed *first*, followed by the estimated expenditures (i.e. the line items that the CBO has already written).

We may imagine now that CBO *Together for Children* did not receive the grant that they applied and budgeted for. Nevertheless, the members got together and decided to contribute to a group fund so that the CBO could still carry out the activities it had planned. CBO *Understanding Youth*, on the other hand, received its grant!

Examples of complete budgets including tables for income for these two CBOs are shown on **Handout 18.7**. Distribute this handout to the participants and review the examples with them.

Exercise

Now have the group return to their budget. In this hypothetical budget the group is imagining that they have been successful raising funds from the community. Their income will therefore fall under the category of 'External Funds' (04). Distribute **Handout 18.8** to the participants and tell them to add the income information at the top of the budget, following the examples that they reviewed in Handout 18.7. It is important that the amount of **income** they are receiving is the same as the total of the **expenditures** they have projected!

Step 6: Writing Budget Notes

Explain to the group that sometimes it will be necessary to include additional information about a particular line item so that anyone looking at the budget can easily understand it.

For example, look at the following line item from the CBO *Together for Children*'s budget:

Item	Unit Cost	No. of Units	Total Cost
Stationary for Secretary[1]	$25	1	$25

In order to make sure that the Secretary is not planning to keep some money for himself/herself, we need more detail as to exactly what this $25 will purchase. The CBO should add a note either at the bottom of the page or on an extra sheet of paper to detail this line item. **NB:** If there are many line items that require notes, it is useful to number them, as we have done in our example.

The complete budget for CBO *Together for Children*, including the detailed explanation for the Stationary line item, is shown in **Handout 18.9**. Distribute this handout to the participants and review the information with them.

Exercise

The group should now return to their own budget. They may use **Handout 18.8** again for this exercise as this shows the budget with the most complete information.

Tell the group to review the line items and decide if any item requires further explanation. If so, they should add detailed notes either at the bottom of the page or on another piece of paper.

Congratulations! The group has now put together a complete budget!

Activity Three:	Budgeting for a Ceremony (Optional)

In *Module 4, Action Planning*, you split the participants into groups of 5 and asked them to imagine that they were a family: a father, mother, and three older children. They were told to imagine that the eldest son (not present) would soon be returning from the mines in South Africa and that the family was planning to hold a ceremony for him on his return. The groups came up with Action Plans (i.e. a list of all activities that they would need to carry out) to make sure that the ceremony ran smoothly and was a success.

If the groups still have their Action Plans from the activity you should ask the members to refer to them now. If you have not carried out this training with this CBO, or if the groups have lost the Action Plans, they can start afresh in this exercise.

Divide the participants into groups of five. (If you have carried out the activity in Module 4, the participants should ideally divide into the same groups.) Tell the groups to imagine that a week before the ceremony the son's Godfather, who lives in the village and is quite wealthy, offered to contribute money for the ceremony. The groups can imagine that the contribution is in the amount of (the local equivalent of) $200.

Tell each group to write a budget for the ceremony. If the groups decide that the 'family' is also intending to contribute their own money, then they should write *two* budgets; one showing how the family's money will be spent, and one showing how the Godfather's contribution will be spent. Tell the group to keep the following points in mind:

• They will write one section of the budget for income, and one section for expenditures.

• If the income is coming from the family's own contribution, they will use the code 03.

• For that income that is coming from the Godfather's donation, they will use the code 04.

• Their budget tables should have columns for **Category**, **Item**, **Unit**, **Number of Units** and **Total Cost** (or **Total Income**)

• The groups will *not* use Administrative and Operational costs (because this is a different situation). Instead, they will use code 01 to refer to any expenditure falling under the category of 'food', and code 02 for any 'other' type of expenditure.

- In review, the codes / categories are:

  01   Food (Expenditure)

  02   Other (Expenditure)

  03   Family Contribution (Income)

  04   Godfather's Donation (Income)

- In all cases where the family is purchasing more than one of any particular item, they should first estimate the unit cost and then multiply this by the number of units in order to arrive at the total cost of that item.

- If any line item on the budget needs additional explanation, they should write Budget Notes at the bottom of the page or on a separate sheet of paper.

Give the groups time to draft their budgets, using the 'fake money' if this helps them. Each group should then transfer their budget to a large sheet of flip chart paper, and present the budget to the plenary.

After all groups have presented, the participants can vote on the budget that they think is most accurate and realistic, and which will result in the most successful ceremony!

Activity Four: Writing the CBO Budget

Introduction

The CBO will now write an *actual* (not hypothetical) budget. This budget will correspond to money (income) that the CBO has already collected or expects to collect in the near future. In most cases, this income will be from member contributions, although you may occasionally work with a CBO that has already been successful in raising funds from external sources. *This budget is a **real** budget for money the CBO has on hand, or will soon have on hand.*

Linking the budget to Activity Plans

Before writing the budget, the group should refer to the **Annual Action Plan** that it drafted in Module 4. A budget does not refer to nothing; rather, a budget should be directly linked to the CBO's plans! All activities in the action plan should be budgeted for (otherwise the CBO will not be able to carry out the activity!), and line items in the budget should be able to relate directly or indirectly to the action plan. When writing the budget, the CBO should refer to its Action Plan, going through the activities one by one to make sure that all activities are budgeted for.

NB: A budget line item is related *directly* to the action plan if it is clear that the money is being spent on a particular activity in the plan. An example would be the purchase of a football for the recreational activities listed in the action plan. This is known as a ***direct cost***. A budget line item is *indirectly* related to the action plan if it helps improve the functioning of the CBO, which in turn allows the activities to be carried out. An example would be the purchase of a calculator helping the CBO to keep track of its funds, which allows it ultimately to carry out its activities. This is known as an ***indirect cost***.

Question: Can you think of another name to give to direct and indirect costs?
Answer: Direct costs = Operational costs. Indirect costs = Administrative costs

Preparing to write the Budget

Before writing the budget, the group should do the following:

- Refer to the **Annual Action Plan** and try to budget for all activities.
- Determine the **time period** for the budget. Generally, the CBO should write a budget for one year. However, if the group prefers to gain practice with a six month budget, they may do so.
- If the group does not have much money, they should **prioritise** among possible expenditures. The group should make sure that it is able to cover its Administrative Costs first, allocating money for things like files, notebooks and calculators, before it considers purchasing items for the community, OVC, and/or the chronically ill.
- If necessary, the participants should go around to local shops/markets to **research the prices** of the items they are planning to purchase. While the budget is an estimate, it should nevertheless be as accurate an estimate as possible. Give the participants time to go out to research prices as needed.

Writing the Budgets

You should help the group to prepare the budget. They should remember to follow the steps they learned, keeping the following points in mind:

- Remember to show both **Income** and **Expenditures** on the budget
- Remember to include the five columns of **Category**, **Item**, **Unit Cost**, **Number of Units** and **Total Cost** (or **Total Income**).
- Remember to calculate **Units** before calculating total costs.
- Remember to use **Categories** and Category Codes
    - 01   Administrative (expenditure)
    - 02   Operational (expenditure)
    - 03   Member contributions (income)
    - 04   Donor funds (income)
    - 05   Business activities (income)
- Remember to add **Budget Notes** if any items require further explanation

Producing a Final Copy

After all this work, it will be motivational for the CBO members if they are able to transfer their budgets neatly onto a pre-typed template. This document can then be safe-kept by the Treasurer. The CBO may also want to write the budget onto a large sheet of flip chart paper and post it visibly for all members to refer to.

Photocopy **Handout 18.12** and help the group to transfer the final budget onto this form.

Activity Five: ▷ Budget Variance Reports: Comparing Budgets to Actuals

Introduction

The Budget represents the *plans* that the group has in terms of how much money they expect to receive (from member contribution, donor funding, or small business activities) and how much money they expect to spend. As activities get underway, however, it is necessary to compare these **plans** (the budget) with the amounts of money that are **actually** received and spent.

Exercise 1

Distribute **Handout 18.10** (2 pages) to the participants. This handout gives an example of a budget for CBO *Together for Children* for the purchase of 5 notebooks. When the Secretary went to purchase the notebooks not everything went as planned, however, and the CBO must now produce a Budget Variance Report to show what actually happened.

Review the example with the participants. Make sure they understand how the CBO created its original budget. Review the budget line item by line item. Then review what actually happened when the Secretary travelled to purchase the notebooks.

Now help the group to complete the Budget Variance Report on the second page of the handout, following the instructions provided. The group will need to transfer information from the original budget to the Budget Variance Report, and record the actual prices in the corresponding column of the report. The result should look like this:

Answer: CBO 'Together for Children': Budget Variance Report

Income

Cat.	Item	Budget	Actual	Difference
03	Member contributions	$23.00	$23.00	00.00
	Total	**$23.00**	**$23.00**	**00.00**

Expenditures

Cat.	Item	Budget	Actual	Difference
01	Transport	$3.00	$3.50	($0.50)
01	Purchase notebooks	$15.00	$17.50	($2.50)
01	Lunch for Secretary	$3.00	$2.00	$1.00
	Total	**$21.00**	**$23.00**	**($2.00)**

This is known as a **Budget Variance Report**. It compares the planned budget with actual income and expenditures. This is important so that the group can keep track of its money and analyse its spending. As we can see, it was fortunate in this case that the Secretary traveled with extra money! Ask the group what the Secretary would have done if he had traveled with only the $21.00 that the group budgeted. *(Answer: He would have only been able to purchase 4 notebooks instead of 5.)*

Explain to the group that it is normal to have *some* variance in budgeted and actual expenditures. Circumstances change, prices rise, and things do not always go as planned. As a general rule of thumb, a variance of *10%* is acceptable, although the group will have to make sure that they have a source of income if the 10% variance is an over-spend rather than an under-spend! If they do not have additional income then they will have to cut spending in another part of their budget.

Exercise 2: Case Study

Distribute **Handout 18.11** to the participants. This handout shows a Budget Variance Report for CBO *Understanding Youth*. Remind the group that this CBO received a grant in the amount of $1,800 from the District Department of Social Welfare. Tell the group to review the Budget Variance Report and discuss.

It will be obvious very quickly that the CBO overspent its grant! The supplier of used shirts allowed the CBO to order the shirts on credit, but when the time came to pay the bill, the CBO did not have enough money! They approached the donor to ask for an additional $90, but the donor refused, explaining that the grant was given on the basis of the CBO's original budget, and that any overspending was therefore the responsibility of the CBO!

In the end, the CBO members were forced to contribute $90 themselves to cover the shortfall.

Question: CBO *Understanding Youth* has 30 members. How much did each member have to contribute?

Answer: $3.00 per member

Discuss with the group the importance of carefully controlling spending to avoid a situation such as CBO *Understanding Youth* faced.

Activity Six: Reviewing the Meeting Agenda

The Treasurer should present a Budget Variance Report at every monthly meeting. This is important so that all members can be updated on the actual expenditures compared to the budget that they worked together to write. This will help them to keep track of how much money they have left to spend, and to make sure that the CBO is not spending more than it should!

A Meeting Agenda updated to include the presentation of the monthly Budget Variance Report might look like the following:

Meeting Agenda

1. Welcome and Attendance
2. Announcements
3. Read minutes from previous meeting
4. Review current month's Action Plan
5. Draft next month's Action Plan
6. Present and analyse Monitoring information
7. **Budget Variance Report**
8. Storytelling
9. Any other issues

As you finish this training you may distribute copies of **Handout 18.12: Budget Template** and **Handout 18.13: Budget Variance Report Template** to the participants for their future use as they begin to put the material learned into practice.

Activity Seven: Creating the CBO's Budget Variance Reports (Optional)

You will need to complete the next module on Bookkeeping with the CBO in order that they can set up a system that will allow them to keep track of their income and expenditures. Once this system is in place it will be easier for the Treasurer to fill out the Budget Variance Report every month.

For the time being, however, you should tell the Treasurer to simply keep a list of all money coming into and going out of the CBO. We may use CBO *Together for Children*'s budget as an example to see how the Treasurer should do this.

CBO '*Together for Children*': Budget 2007

Income

Category	Item	Unit Cost	No. of Units	Total Cost
Contributions Members (03)	Member contributions, 20 members	$10	20	**$200**

Expenditures

Category	Item	Unit Cost	No. of Units	Total Cost
Administrative (01)	Stationary for the CBO Secretary[1]	$25	1	**$25**
	Strongbox to guard CBO funds	$80	1	**$80**
Operational (02)	Footballs for recreation	$25	2	**$50**
	Seed packs for community vegetable garden	$1	15	**$15**
	Watering cans	$10	3	**$30**
	Total			**$200**

Budget Notes

[1]One stapler and staples = $7   One A4 notebook = $2

Plastic transparent files @ $3 per unit x 5 units = $15   20 envelopes = $1

NB: This is a budget for an entire year. The Treasurer, however, should write Budget Variance Reports **every month**. You will learn in the next module how to divide a yearly budget into 12 monthly budgets. In the meantime, however, the Treasurer should write a Budget Variance Report using the yearly Budget, and keeping track of *cumulative* Actual income and expenditures. We will see how this works as we follow this example.

During the month of **January** the Treasurer was careful to write down all the money that he received from the group members, and all the money that was spent. His list at the end of the month looked like this:

- Income: Contributions from 20 members = $200
- Expenditure: One football = $25
- Expenditure: Strongbox = $80

At the end of the month the Treasurer wrote a Budget Variance Report, as shown below. We can see that the CBO received $200 from its members, spent a total of $105 according to its budget, and has $95 still to spend.

CBO *'Together for Children'*: Budget 2007

Income

Cat.	Item	Budget	Actual	Difference
03	Member contributions, 20 members	$200	$200	0
	Total			

Expenditures

Cat.	Item	Budget	Actual	Difference
01	Stationary for the CBO Secretary	$25	0	$25
01	Strongbox to guard CBO funds	$80	$80	0
02	Footballs for recreation	$50	$25	$25
02	Seed packs for community vegetable garden	$15	0	$15
02	Watering cans	$30	0	$30
	Total	**$200**	**$105**	**$95**

February: The Treasurer continued to carefully record all money coming in and going out of the CBO. His list at the end of the month looked like this:

- Expenditure: One football = $25
- Expenditure: Seed packs = $10
- Expenditure: Watering cans = $35

His monthly Budget Variance Report looked like this. (**NB:** The totals for the 'Actual' column are *cumulative*. This means that the Treasurer is recording *all* totals from January and February, not only the totals for February!)

CBO *'Together for Children':* Budget 2007

Income

Cat.	Item	Budget	Actual	Difference
03	Member contributions, 20 members	$200	$200	0
	Total			

Expenditures

Cat.	Item	Budget	Actual	Difference
01	Stationary for the CBO Secretary	$25	0	$25
01	Strongbox to guard CBO funds	$80	$80	0
02	Footballs for recreation	$50	$50	0
02	Seed packs for community vegetable garden	$15	$10	$5
02	Watering cans	$30	$35	-$5
	Total	**$200**	**$175**	**$25**

Facilitator Reference 18.1:   Basic Information regarding Budgeting

What is a Budget?

A budget describes and amount of **money** that an organisation **plans** to raise and spend for a set **purpose** over a given period of **time**.

A budget is your project plan expressed in money!

Why Budget?

- **Planning:** A budget is necessary for planning a new project, so that managers can build up an accurate idea of the project's cost. This allows them to work out if they have the money to complete the project and if they are making the best use of the funds they have available.
- **Fundraising:** A budget is a critical part of any negotiation with donors. The budget sets out in detail what the organisation will do with a grant, including what the money will be spent on, and what results will be achieved
- **Project implementation:** An accurate budget is needed to control the project, once it has started. The most important tool for ongoing monitoring is comparing the actual costs against the budgeted costs. Without an accurate budget, this is impossible. Because plans sometimes change, it may be necessary to review the budget after a project has started.
- **Monitoring and Evaluation:** The budget is a tool for evaluating the success of a project, when it is finished. It helps to answer the question: 'Did the project achieve what it set out to achieve?'

Who is interested in a budget?

- **The CBO leaders:** The leaders need budgets so they can oversee the implementation of project activities
- **The CBO members:** The CBO members need to understand the budget so that they know how much money is available to spend on project activities.
- **Potential donors:** When the CBO begins to fundraise, the potential donor or donors will need a budget so they can see how the CBO intends to spend the grant.
- **Community partners:** If the community has a basic understanding of the CBO's budget they will be able to appreciate the work that the CBO is doing with limited resources and understand why all community requests can not always be met.

Good Practice in Budgeting

- **Clarity:** Since different people will need to use the budget for different purposes, they should be able to understand it without additional explanation beyond what is written down.
- **Budget Headings:** The CBO should decide what categories of expenditures they need to keep track of. The Budget Headings should reflect these categories (more explanation on this will be provided in this module).
- **Estimating Costs:** While the budget is an estimate, it is important to be as accurate as possible when making cost estimates. Prices should be researched ahead of preparing the budget, and the CBO should always be able to explain how it arrived at any particular estimate.

Handouts

See Handouts 18.1 – 18.13 on the following pages:

For Activity Two

Handout 18.1: A Simple Budget
Handout 18.2: The Budget Format
Handout 18.3: Understanding Unit Costs
Handout 18.4: Our Budget Showing Unit Costs
Handout 18.5: Understanding Budget Categories
Handout 18.6: Our Budget Showing Categories
Handout 18.7: Including Income on the Budget
Handout 18.8: Our Budget Including Income
Handout 18.9: Writing Budget Notes

For Activity Five

Handout 18.10: A Budget Variance Report
Handout 18.11: Case Study: A Budget Variance Report

For General Use

Handout 18.12: Budget Template
Handout 18.13: Budget Variance Report Template

Handout 18.1: A Simple Budget

Introduction

This is a simple budget written by the CBO *Together for Children*. The CBO has listed all the items that they are intending to purchase. These are called **line items**. The CBO has also indicated the estimated cost of each item.

Example Budget: CBO *Together for Children*

Amount of Funds Raised: **$200**

Item	Cost
Two Footballs for recreation	$50
Stationary for the CBO Secretary	$25
15 seed packs for community vegetable garden	$15
Three watering cans	$30
Strongbox to guard CBO funds	$80
Total	**$200**

Exercise

Transfer the simple budget that your group has written in the space provided below, following the example provided here.

Handout 18.2: The Budget Format

Introduction

The table below shows the format to be used when writing budgets. You will notice that CBO *Together for Children* has simply taken its first simple budget and transferred the information to the corresponding columns in the table. *(Note: You will learn how to complete the remaining columns in subsequent steps.)*

Example Budget: CBO *Together for Children*

Amount of Funds Raised: $200

Category	Item	Unit Cost	No. of Units	Total Cost
	Two footballs for recreation			$50
	Stationary for the CBO Secretary			$25
	15 seed packs for community garden			$15
	Three watering cans			$30
	Strongbox to guard CBO funds			$80
	Total			$200

Exercise

Transfer the information from the simple budget that your group has prepared into the table below, completing only the columns labelled **Item** and **Total Cost**.

Category	Item	Unit Cost	No. of Units	Total Cost
	Total			

Handout 18.3: Understanding Unit Costs

Introduction

Look at the example budget below for CBO *Together for Children*. In this budget the CBO has first calculated the cost to purchase one of any particular item – **the Unit Cost** – and multiplied this by the **Number of Units** it plans to purchase, to arrive at the **Total Cost**.

CBO *Together for Children*

Category	Item	Unit Cost	No. of Units	Total Cost
	Footballs for recreation	$25	2	**$50**
	Stationary for the CBO Secretary	$25	I	**$25**
	Seed packs for community garden	$1	15	**$15**
	Watering cans	$10	3	**$30**
	Strongbox to guard CBO funds	$80	I	**$80**
	Total			**$200**

Exercise

Look at the simple budget for the CBO *Understanding Youth*. Transfer the budget into the table below, completing the columns for **Item**, **Unit Cost**, **No. of Units** and **Total Cost**.

CBO *'Understanding Youth': Budget*

Item	Cost
200 used shirts for OVC	$800
Payment of school fees for 50 OVC	$250
50 school uniforms for OVC	$500
2 calculators for CBO	$50
Total	**$200**

Category	Item	Unit Cost	No. of Units	Total Cost
	Total			

Handout 18.4: Our Budget Showing Unit Costs

Exercise

Transfer the simple budget that your group prepared in previous steps to the table below, filling in the columns for **Item**, **Unit Cost**, **No. of Units**, and **Total Cost**.

Category	Item	Unit Cost	No. of Units	Total Cost
	Total			

Handout 18.5: Understanding Budget Categories

Exercise

Transfer the budgets for CBO *Together for Children* and CBO *Understanding Youth* into the tables below. You will have to change the sequence of the line items such that all Administrative items are listed first, followed by all Operational items.

CBO 'Together for Children'

Category	Item	Unit Cost	No. of Units	Total Cost
Administrative (O1)				
Operational (O2)				
	Total			

CBO 'Understanding Youth'

Category	Item	Unit Cost	No. of Units	Total Cost
Administrative (O1)				
Operational (O2)				
	Total			

Handout 18.6: Our Budget Showing Categories

Exercise

Transfer the budget that your group has prepared into the table below, filling in all the columns including the **Category** column. Remember that you will list all Administrative items first, followed by all Operational items. This may mean that you will have to change the sequence of the items.

Category	Item	Unit Cost	No. of Units	Total Cost
	Total			

Handout 18.7: Including Income on the Budget

Example 1: CBO *Together for Children*

Income

Category	Item	Unit	No. of Units	Total Income
Contributions Members (03)	Member contributions, 20 members	$10	20	**$200**

Expenditures

Category	Item	Unit Cost	No. of Units	Total Cost
Administrative (01)	Stationary for the CBO Secretary	$25	1	**$25**
	Strongbox to guard CBO funds	$80	1	**$80**
Operational (02)	Footballs for recreation	$25	2	**$50**
	Seed packs for community vegetable garden	$1	15	**$15**
	Watering cans	$10	3	**$30**
	Total			**$200**

Example 2: CBO *Understanding Youth*

Income

Category	Item	Unit	No. of Units	Total Income
Donor Funds (04)	Donor Funds, District Department of Social Welfare	$1,800	1	**$1,800**

Expenditures

Category	Item	Unit Cost	No. of Units	Total Cost
Administrative (01)	Calculators for CBO	$25	2	**$50**
Operational (02)	Used shirts for OVC	$4	200	**$800**
	School fees for OVC	$5	50	**$250**
	School uniforms for OVC	$10	50	**$500**
	School notebooks for OVC	$1	200	**$200**
	Total			**$1,800**

Handout 18.8: Our Budget Including Income

Exercise

Imagine that your CBO has been successful in raising funds from the community for the work that you are carrying out. The amount of funds raised is the same as the total amount of expenditures planned in your budget. Transfer your budget into the tables below, filling in all of the columns. In this exercise you will show the source of Income, as well as your planned Expenditures.

Income

Category	Item	Unit	No. of Units	Total Income

Expenditures

Category	Item	Unit Cost	No. of Units	Total Cost
	Total			

Handout 18.9: Writing Budget Notes

Example

Review the example of CBO *Together for Children*'s budget to see how they explained the expenditure *Stationary for the CBO Secretary*. Notice that they have given this expenditure the number '1' and cross-referenced this number at the bottom of the page where the notes are found.

CBO *Together for Children:* Budget 2007

Income

Category	Item	Unit	No. of Units	Total Income
Contributions Members (03)	Member contributions, 20 members	$10	20	**$200**

Expenditures

Category	Item	Unit Cost	No. of Units	Total Cost
Administrative (01)	Stationary for the CBO Secretary[1]	$25	1	**$25**
	Strongbox to guard CBO funds	$80	1	**$80**
Operational (02)	Footballs for recreation	$25	2	**$50**
	Seed packs for community vegetable garden	$1	15	**$15**
	Watering cans	$10	3	**$30**
	Total			**$200**

Budget Notes

[1]One stapler and staples = $7

Plastic transparent files @ $3 per unit x 5 units = $15

One A4 notebook = $2

20 envelopes = $1

Handout 18.10: A Budget Variance Report

The Plan

CBO *Together for Children* needs to purchase 5 notebooks. The group put together a budget for this purchase, as follows:

- 23 members contributed $1.00 each, to create a group fund of $23.00 (Income)
- The Secretary must travel into town to purchase the notebooks at a shop. The last time a member took the bus into town the cost was $1.50 one way, or $3.00 round trip. The group therefore budgeted $3.00 for transport. (Expenditure)
- The group estimates that each notebook will cost $3.00, so the total cost for the purchase of 5 notebooks will be $15.00. (Expenditure)
- Since it is a long way into town, the group decides that the Secretary can have $3.00 to purchase lunch for himself. (Expenditure)
- The total budget for expenditures is therefore $21.00. Nevertheless, the group gives the Secretary the entire fund – $23.00 – in case he encounters difficulties and needs the extra money.

The CBO's budget looks like this:

CBO *Together for Children:* Budget 2007

Income

Category	Item	Unit	No. of Units	Total Income
Contributions Members (03)	Member contributions, 23 members	$1.00	23	**$23.00**

Expenditures

Category	Item	Unit Cost	No. of Units	Total Cost
Administrative (01)	Transport (one unit = one way)	$1.50	2	**$3.00**
	Purchase notebooks	$3.00	5	**$15.00**
	Lunch for Secretary	$3.00	1	**$3.00**
	Total			**$21.00**

What actually happened:

The Secretary's trip doesn't go exactly as planned, however. This is what happened:

- The price of the bus had risen to $1.75 one way.
- The price of each notebook was in fact $3.50.
- The Secretary only spent $2.00 for lunch.

Exercise

Complete CBO *Together for Children*'s Budget Variance Report using the table below. You should follow these steps in order to complete the report.

1. Transfer the information from the column **Category** and the column **Item** from the original budget into the corresponding columns in the Budget Variance Report.

2. Transfer the information from the columns **Total Income** and **Total Cost** from the original budget into the column **Budget** on the Budget Variance Report. Note that you will not include Unit Costs in the Budget Variance Report. You will work only with totals!

3. Use the information regarding what actually happened to calculate the amounts that the CBO *actually spent*. Record these actual amounts for each line item in the column labelled **Actual** in the Budget Variance Report.

4. Calculate the difference between the **Budget** and the **Actual** for each line item and record the figure in the column labelled **Difference** in the Budget Variance Report.

CBO *'Together for Children'*: Budget Variance Report

Income

Cat.	Item	Budget	Actual	Difference
	Total			

Expenditures

Cat.	Item	Budget	Actual	Difference
	Total			

Handout 18.11: Case Study: A Budget Variance Report

CBO *'Understanding Youth'*: Budget Variance Report

Income

Cat.	Item	Budget	Actual	Difference
04	Donor Funds, District Department of Social Welfare	$1,800	$1,800	00.00
	Total	$1,800	$1,800	00.00

Expenditures

Cat.	Item	Budget	Actual	Difference
01	Calculators for CBO	$50	$60	($10)
02	Used shirts for OVC	$800	$850	($50)
02	School fees for OVC	$250	$250	0
02	School uniforms for OVC	$500	$500	0
02	School notebooks for OVC	$200	$230	($30)
	Total	$1,800	$1,890	($90)

Handout 18.12: Budget Template

Name of CBO _____

Time Period Covered by Budget: _____

Income

Category	Item	Unit	No. of Units	Total Income
	Total			

Expenditures

Category	Item	Unit Cost	No. of Units	Total Cost
Administrative Costs (01)				
Operational Costs (02)				
	Total			

Handout 18.13: Budget Variance Report Template

Name of CBO _____

Time Period Covered by Report: _____

Income

Cat.	Item	Budget	Actual	Difference
	Total			

Expenditures

Cat.	Item	Budget	Actual	Difference
	Total			

Coordinating CBOs: Budgeting

- There is not much difference in the way you will carry out this module if you are working with a Coordinating CBO in place of an Implementing CBO. Both types of organisations will need to draft budgets if they expect to be handling money.

- The only difference, of course, is that the expenditures of a Coordinating CBO will likely differ from those of an Implementing CBO. While an Implementing CBO will likely be spending money to benefit the community members it is working to assist, a Coordinating CBO may need to budget for meeting costs, travel costs, and the like.

NB: This is not to say, however, that a Coordinating CBO will never carry out activities or have expenditures related to community beneficiaries. You will need to work with the CBOs on a case-by-case basis to determine the appropriate types of spending that the CBO will be engaged in.

The Learning Organisation

Changing the Budget

Introduction

Since the CBO you are working with is becoming, by now, a Learning Organisation, we understand that there will be times when the CBO will need to make changes to its budget. Why is this so? We have seen that **budgets** are directly linked to the CBO's **plans**. We have also seen that no Learning Organisation is ever completely rigid when it comes to planning. Plans represent the CBO's *good ideas* about what it wants to do and what it thinks will happen as a result of its actions, but a Learning Organisation will always pay attention to what is *actually happening* as it is carrying out its work, reflect on these realities, learn from them, and make changes to the plans as needed. If the CBO at times needs to change its **plans**, then it follows that it will also at times need to change its **budget**!

Of course, it is necessary to understand that if the CBO's money has been raised from outside sources then the CBO will be limited in the changes that it is allowed to make. We have seen in this module that small changes to budget line items, falling within 10% of the original budget, are usually acceptable. If the CBO feels that the reality on the ground calls for more significant changes than this, then it will be necessary to contact the funder to explain the situation and to ask for approval. The funder may or may not approve the change.

Exercise: Changing the Budget

Explain to the group that every time they make changes to their Action Plans, they will need to check to see if there is a corresponding change that they must make to their budget. Review the following example with the group:

- CBO *Together for Children* planned to purchase school uniforms for 100 children, at a price of $5.00 per uniform. At the end of the month of May, however, the CBO realised that they in fact had registered 107 children and decided to change their plan in order to purchase uniforms for all these children. Fill in the missing budget information:

Plan	Budget
Purchase uniforms for 100 children	$500.00

New Plan	Budget
Purchase uniforms for 107 children	

- *Question:* Is this change to the budget within the 10% allowable limit?

- *Answer:* Yes. 10% of 100 is 10. This means that 10 additional children can be budgeted for. The CBO in fact is budgeting for an additional 7 children. Nevertheless, the CBO will contact the funder to ask for permission to make this change.

Exercise: Review the CBO's Budget

Review the CBO's current budget together with the group. Ask the group to consider whether any of the line items might need to be changed based on possible changes to the group's plans. Explain to the group that every time they decide to change their action plan, they will need to determine whether or not there is a related change to be made to the budget. They will also need to understand the funder's requirements as to whether or not such changes are allowable.

Module 19:   Bookkeeping

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Special Sections

Introduction

Bookkeeping is an essential part of financial management. It is critically important that the CBO is able to keep track of all money coming into, and going out of, its fund. This is important for internal reasons, as many groups and community-based organisations fail because of problems with controlling money. It is also important if the CBO expects to seek external funding at a later stage in its growth. No donor will give money to the CBO unless the CBO can demonstrate that it has an effective system for keeping track of the money!

In this module you will work with the CBO to set up a simple bookkeeping system, with a cashbook to record all transactions (money coming in or going out), and supporting documentation (receipts and payment vouchers) to provide justification for all income and expenditures.

Training Objectives

- To train the Treasurer and other CBO members to keep a Cashbook
- To identify the supporting documentation needed for transactions and to train the Treasurer and other CBO members to complete these documents
- To train the Treasurer and other CBO members to do a monthly cashbook reconciliation
- To ensure that all members of the CBO understand the system that the Treasurer is using

Training Outputs

- The CBO sets up a **bookkeeping system** with a cashbook and supporting documentation.

Suggested Indicators

- The CBO (Treasurer) keeps a Cashbook recording all money coming into and going out of the CBO fund
- The Treasurer writes Receipts for all money paid in to the fund
- The Treasurer fills out Payment Vouchers authorised by 3 CBO members for all payments out of the fund
- The CBO verifies the balance on the Cashbook to actual cash on hand on a monthly basis
- The Treasurer provides a justification of accounts to the CBO members on a monthly basis
- All CBO members understand the basics of the system that the Treasurer is using

Materials

- A flip chart, paper and markers
- Calculators (ideally one for every two participants)
- Photocopies of forms and handouts
- 'Fake' money based on local currency (optional)

Time: 1-2 days

Activity One: The Cashbook

Introduction: Review the information on this page with the participants.

The **Cashbook** is the single most important bookkeeping record! If the CBO keeps no other records (apart from receipts), it should at minimum keep an accurate cashbook! This is the job of the Treasurer, but other CBO members will play a role in verifying the work that the Treasurer does. Every time money comes in to or goes out of the CBO, it must be recorded in the cashbook. This is worth repeating:

> **Every time money comes in to or goes out of the CBO,**
>
> **it must be recorded in the cashbook!**

The following details must be entered into the cashbook for each transaction (a **transaction** is the same as cash coming in or cash going out):

- The **date**
- A **code** for the type of income or expenditure *(refer to Module 18: Budgeting. A simple system of coding is introduced in the module)*
- A **description**
- The **amount**
- The resulting **balance**.

Draw the group's attention to the fact that there is one column for money **coming in**, and one column for money **going out**. The Treasurer must always take great care to either **add** or **subtract** the amount from the balance accordingly!

Quick exercise

Ask the group to complete the following sentences:

- If money comes in to the CBO, the amount coming in will be
  _____ the balance.
  (added to / subtracted from)

- If money goes out of the CBO, the amount going out will be
  _____ the balance.
  (added to / subtracted from)

For example, if the CBO has a balance of $26.00 and it pays out $7.00 on 12 May to purchase a book of receipts, the cashbook entry will look like this:

Date	Code	Description	Cash in (*Add*)	Cash out (*Subtract*)	Balance
01 May		Balance Forward			$26.00
12 May	01	Purchase of receipt book		$7.00	$13.00

Ask the group the following questions:

- Why isn't there anything recorded in the 'Cash in' column?
  (Answer: This was an example of cash going out, not coming in. To avoid confusion, the Treasurer may record a 'dash' in the 'Cash in' column).

- Why did the Treasurer record '01' in the 'Code' column?
  (Answer: Because this is an example of an Administrative Cost, which was given the code 01 in Module 18.)

Exercise 1

Photocopy the cashbook form in **Handout 19.1** and give each participants a blank cashbook page.

Distribute **Handout 19.8** to the participants and tell them to use the information to fill in their cashbooks accordingly. (Alternatively, you may read out the transactions one by one and wait for the participants to record each transaction before going on to the next one.)

NB: You may want to give participants fake money and have them actually make payments out and receive cash in, using the fake money. At the end of the exercise they can verify if the balance in the cashbook matches the actual cash they have on hand.

See the **Answer Sheet** (completed cashbook) on page 51.

Discussion

Some points to raise in discussion when the participants have finished the exercise are the following:

- The loan to Thomas is a category of expenditure that you have not yet talked about with the group; for this reason it does not have a code.

- Each CBO will need to decide for itself if it can lend funds to its members. If the funds originate from **member contributions** then it may be acceptable under certain circumstances to make such loans. In this case, they should give this type of expenditure (and income, when the loan is repaid) a code of their own.

- If, however, the funds originate from a **donor grant**, then any lending to members for personal reasons will be considered a **misuse of funds**! You should make sure that the group is entirely clear on this point.

- Explain to the group that if there are no further transactions in the month of June, then the closing balance will be $78.00, and this will also be the **opening balance** for the month of July!

- Ask the group to use the codes to total up all Administrative expenses (01) and Operational expenses (02). Show how this helps them to analyse their expenditures and enables them to pay close attention to where their money is going.

Answer:

Administrative expenses: Purchase of receipt book $7.00 + Purchase of calculators $38.00 + Transport for Chairperson $4.00 = ***$49.00***.

Operational expenses: School fees 6 OVC $60.00, Emergency medical care 1 OVC $15.00, Vegetables 20 households $40.00 = ***$115.00***.

Answer Sheet

Cashbook

Month: _____ June _____

Name of Treasurer: _____ Luisa _____

Date	Code	Description of Movement	Cash in (Add)	Cash out (Subtract)	Balance
01 June		Opening Balance	—	—	$232.00
05 June	01	Purchase of receipt book	—	7.00	225.00
07 June	01	Purchase of two calculators	—	38.00	187.00
10 June	02	Payment of school fees for 6 OVC	—	60.00	127.00
11 June	03	Member contribution – Joana	5.00	—	132.00
11 June	03	Member contribution – Solomon	5.00	—	137.00
15 June	02	Payment of emergency medical care for 1 OVC	—	15.00	122.00
15 June	—	Loan to Thomas	—	10.00	112.00
21 June	01	Transport for Chairperson to attend district coordinating meeting	—	4.00	108.00
25 June	—	Repayment of loan – Thomas	10.00	—	118.00
29 June	02	Purchase of vegetables for 20 households	—	40.00	78.00

Activity Two:
Supporting Documents

Introduction

Recording all transactions in the cashbook is a necessary first step in keeping track of the CBO's finances. However, in order to make sure that what the Treasurer records is true, it is necessary that all transactions are backed up with supporting documents.

Quick exercise

Ask the group why they think it is necessary to have supporting documents.

The answer is that without supporting documents, we don't know if the Treasurer spent the money as he / she wrote in the cashbook or if, conversely, he / she put the money in his / her pocket!

Possible examples include:

• For example, the Treasurer might record an entry of $10 for the purchase of vegetables for OVC, but never actually purchase the vegetables to give to the family, instead keeping the money for himself!

• The Treasurer might record the purchase of a calculator for $20 when in fact the calculator only costs $10. The difference again goes into his / her pocket!

• The Treasurer might record a member contribution of $2.00 when in fact the member contributed $4.00. Again, the Treasurer is pocketing the difference.

Variation

Instead of asking the group why it is necessary to have supporting documents, you may have the participants rehearse and perform a role play. Divide the participants into groups and ask each group to think of various ways that fraud can occur within the CBO. The scenarios given above are a few examples, but given a little time the groups will surely be able to come up with additional scenarios!

Step One: Receipts for Cash In

When money comes into the CBO there is only one supporting document that is needed. Whoever gave the money to the CBO needs a **receipt** in order to prove that he/she did in fact pay. This receipt is mainly for the *protection of the person/organisation paying the money*, to avoid situations of the CBO claiming that the person or organisation never paid. As we have seen in the previous quick exercise, however, the receipt also protects the CBO members from fraudulent action by the Treasurer or other individual with access to the CBO's money. The receipt is proof that the amount recorded by the Treasurer in the cashbook is in fact the amount of money paid into the CBO.

Receipts must always be filled out **in duplicate**, with one copy for the person or organisation who paid the money, and the other copy for the Treasurer's files.

Photocopy the sample Cash In Receipts provided to you in **Handout 19.2** and give six Cash In Receipts (= 3 photocopied pages) to each participant. Explain to the group that they must fill out **two** receipts for each credit transaction. Explain to the group also that receipts should be numbered. They may want to use the code IN for Cash In Receipts and begin the numbering IN-001, and the code OUT for Cash Out Receipts, beginning the numbering OUT-001.

NB: In the future, however, the CBO should **purchase** a book of receipts. Such books usually come with carbon paper so that the receipt only needs to be written once, with the carbon producing one or more copies. This avoids the potentially fraudulent situation where the Treasurer writes one amount on the receipt he/she gives to the person making the payment, and a different (lesser) amount on the receipt that he/she keeps in the CBO's files! To protect against this possibility, while the CBO is still using the photocopied receipts, the person making the payment should **sign both receipts!** Explain this clearly to the participants.

Exercise

Referring back to the exercise in Activity One, money came in to the CBO three times. Ask the participants to identify these three 'Cash In' transactions. *Answer: Joana's contribution of $5.00, Solomon's contribution of $5.00 and Thomas' repayment of his loan of $10.00.*

Give the participants six credit receipts (two for each of the transactions) and have them correctly fill out two copies of receipts for Joana, Solomon and Thomas. One example is provided on the following page. Note that the receipt has been filled out in duplicate, and that both receipts have the same number. (Solomon's receipt will be given the number IN-002, and Thomas' IN-003.)

Cash In Receipt: No.   IN-001

Received from Joana

The amount of: $5.00

The amount of: Five dollars

Reference: Payment of member contribution

Name of Merchant: Together for Children

Received by: Luisa **Function:** Treasurer

Signature: Luisa and Joana **Date:**

Cash In Receipt: No.   IN-001

Received from Joana

The amount of: $5.00

The amount of: Five dollars

Reference: Payment of member contribution

Name of Merchant: Together for Children

Received by: Luisa **Function:** Treasurer

Signature: Luisa and Joana **Date:**

Step Two: Payment Vouchers and Cash Out Receipts

W**hen** money is paid out of the CBO's fund, two supporting documents are needed:

1. The Payment Voucher

The Payment Voucher is signed by three selected members of the CBO, authorising the payment. This will ensure that the Treasurer will never pay out money independently, without anyone else in the CBO knowing about the payment. ***All payments must be authorised!*** This is true even if the expenditure has already been planned in the budget.

> **NB:** If the Treasurer does not know the exact amount of the expenditure prior to purchase/payment, a best *estimate* should be made and this estimate used for the Payment Voucher. This is the amount that will be withdrawn from the fund. If the actual cost is less, the Treasurer will return the difference. The correct method for recording such a transaction will be reviewed in a later step.

2. Receipts

Every time the CBO makes a payment, they should get a **receipt** from the supplier / store / etc. This receipt should then be stapled to the Payment Voucher. The two documents together make up the supporting documentation required for any cash going out.

In some cases receipts are not available. This may be true, for example, when the CBO makes purchases from a market, or uses local transportation. Market vendors and combi drivers may not have receipts to give to the CBO. In this case, the CBO should use ***its own CashOut Receipts***, and ask the market vendor / combi driver, etc. to sign or make a fingerprint imprint. Again, these receipts should be filled out in duplicate, with one copy for the merchant / driver / etc., and one copy for the CBO's files. And again, the CBO should be encouraged to **purchase** a book of receipts for Cash Out transactions, which they will keep separate from the book of receipts for Cash In transactions.

Exercise 1

In the first exercise in this module, cash was paid out from the CBO's fund seven times. Ask the participants to identify these seven 'Cash out' (debit) transactions. The answers are:

- Purchase book of receipts $7.00
- Purchase two calculators $38.00
- Payment of school fees for 6 OVC $60.00
- Payment of emergency medical care for 1 OVC $15.00
- Loan to Thomas $10.00
- Payment of transport for Chairperson $4.00
- Purchase of vegetables in market for 20 households $20.00

Photocopy **Handouts 19.3** and **19.4**. Give the participants 14 Cash Out Receipts (= 7 photocopied pages; two receipts for each transaction, imagining for this example that none of the suppliers / providers have their own receipts) and 7 Payment Vouchers. Help the participants to correctly fill out the documentation. (If you have 7 participants, you could ask each participant to fill out the documents for *one* of the transactions, rather than having each participant go through all 7 examples. You should divide the examples among the group according to the number of participants you have.)

Examples for two of the transactions are provided on the following pages.

Payment Voucher

We the undersigned authorise the withdrawal from the internal fund of CBO

(name): _____ Together for Children _____

of the amount of: _____ $38.00 _____

(The amount of: _____ Thirty eight dollars _____ **)**

for purposes of: _____ Purchase of 2 calculators _____

_____

Signed 1:

Name: _____ Richard (Chairperson) _____

Signature: _____ Richard _____ **Date:** _____ 6 June _____

Signed 2:

Name: _____ Teresa (Vice-Chairperson) _____

Signature: _____ Teresa _____ **Date:** _____ 6 June _____

Signed 3:

Name: _____ Luisa (Treasurer) _____

Signature: _____ Luisa _____ **Date:** _____ 6 June _____

Cash Out Receipt: No.   OUT-002

Received from   CBO 'Together for Children'

The amount of: $38.00

The amount of: Thirty eight dollars

Reference: 2 calculators

Name of Merchant: Office Data Store

Received by: Peter   **Function:**   Store clerk

Signature: Peter (clerk)   **Date:**

Payment Voucher

We the undersigned authorise the withdrawal from the internal fund of CBO

(name): _____ Together for Children _____

of the amount of: _____ $60.00 _____

(The amount of: _____ Sixty dollars _____ **)**

for purposes of: _____ Payment of school fees for 6 OVC _____

_____ (Julia, Amelia, Missy, Linda, Fatima and Paul) _____

Signed 1:

Name: _____ Richard (Chairperson) _____

Signature: _____ Richard _____ **Date:** _____ 6 June _____

Signed 2:

Name: _____ Teresa (Vice-Chairperson) _____

Signature: _____ Teresa _____ **Date:** _____ 6 June _____

Signed 3:

Name: _____ Luisa (Treasurer) _____

Signature: _____ Luisa _____ **Date:** _____ 6 June _____

Cash Out Receipt: No.　　OUT-003

Received from　　　　　　　CBO 'Together for Children'

The amount of:　　　　　　　$60.00

The amount of:　　　　　　　Sixty dollars

Reference:　　　School fees for Julia, Amelia, Missy, Linda, Fatima and Paul

Name of Merchant:　　　　Rift Primary School

Received by:　　Daniel　　　　**Function:**　　School Headmaster

Signature:　　Daniel (Headmaster)　　　　**Date:**

Exercise 2

Distribute Handout 19.9 to the participants, along with one Cashbook page **(Handout 19.1)**, two Cash In Receipts **(Handout 19.2)**, two Cash Out Receipts **(Handout 19.3)** and one Payment Voucher **(Handout 19.4)**. Tell the participants to follow the instructions given in Handout 19.9 and fill out the Cashbook and supporting documentation accordingly.

See the following pages for the answer sheets showing the correct completion of the cashbook and supporting documentation.

NB: Note that while the Treasurer will begin a new cashbook page at the beginning of each month, the numbering of the Cash In and Cash Out receipts will not start over each month. Instead, the numbering of receipts is continuous.

Answer Sheet

Cashbook

Month: _____ August _____

Name of Treasurer: _____ Luisa _____

Date	Code	Description of Movement	Cash in (Add)	Cash out (Subtract)	Balance
01 August		Opening Balance	—	—	$52.00
05 August	01	Withdrawal for purchase of 4 hoes	—	20.00	$32.00
07 August	01	Return of $2.00 for purchase of 4 hoes	2.00	—	$34.00

Payment Voucher

We the undersigned authorise the withdrawal from the internal fund of CBO

(name): _____ Together for Children _____

of the amount of: _____ $20.00 _____

(The amount of: _____ Twenty dollars _____ **)**

for purposes of: _____ Purchase of 4 hoes _____

_____

Signed 1:

Name: _____ Richard (Chairperson) _____

Signature: _____ Richard _____ **Date:** _____ 6 June _____

Signed 2:

Name: _____ Teresa (Vice-Chairperson) _____

Signature: _____ Teresa _____ **Date:** _____ 6 June _____

Signed 3:

Name: _____ Luisa (Treasurer) _____

Signature: _____ Luisa _____ **Date:** _____ 6 June _____

Cash Out Receipt: No.   OUT-022

Received from   CBO 'Together for Children'

The amount of: $18.00

The amount of: Eighteen dollars

Reference: 4 hoes

Name of Merchant: Agro Implements

Received by: Frank   **Function:**   Store clerk

Signature: Frank (clerk)   **Date:**

Cash Out Receipt: No.   OUT-003

Received from   CBO 'Together for Children'

The amount of: $18.00

The amount of: Eighteen dollars

Reference: 4 hoes

Name of Merchant: Agro Implements

Received by: Frank   **Function:**   Store clerk

Signature: Frank (clerk)   **Date:**

Cash In Receipt: No. ___IN-011___

Received from _____Richard_____

The amount of: _____$2.00_____

The amount of: _____Two dollars_____

Reference: ___Reimbursement difference purchase of hoes (original advance =

$20.00, cost of hoes = $18.00)_____

Name of Merchant: _____Together for Children_____

Received by: _____Luisa_____ **Function:** _____Treasurer_____

Signature: _____Luisa and Richard_____ **Date:** _____

Cash In Receipt: No. ___IN-011___

Activity Three: Monthly Cashbook Reconciliation

Introduction

The leaders of the CBO should get together at the close of every month to review the cashbook with the Treasurer and to verify if the closing balance in the cashbook matches the actual cash on hand. They will fill out the 'Monthly Cashbook Reconciliation' form **(Handout 19.5)** accordingly. To fill out this form, the leaders will follow these steps:

- Record the Opening Balance from the Cashbook in the appropriate box on the Monthly Cashbook Reconciliation form. (This should be the first entry in the cashbook, recorded on the first day of each new month.)

- Add together all the 'Cash In' posted in the Cashbook during the month. Record the total in the appropriate box on the Monthly Cashbook Reconciliation form

- Add together all the 'Cash Out' posted in the Cashbook during the month. Record the total in the appropriate box on the Monthly Cashbook Reconciliation form.

- On the Monthly Cashbook Reconciliation form, take the figure for the Opening Balance and **add** the total of all the Cash In, and **subtract** the total of all the Cash Out, to arrive at a calculation for the Closing Balance. Write this figure in the appropriate box on the Monthly Cashbook Reconciliation form. Now check to see if this figure is the same as the Closing Balance on the Cashbook!

- Finally, count the actual cash that the CBO has and write the amount in the appropriate box on the Monthly Cashbook Reconciliation form. The amount of money on hand should match the Closing Balance figure.

- If any of these calculations do not reconcile, you will need to go through the following steps:

  - First, check and recheck all your math. Check all of the addition and subtraction that the Treasurer did for the Cashbook, and then check all of your addition and subtraction for the Monthly Reconciliation form. When you have done this, the Cashbook should match the Monthly Cashbook Reconciliation form.

  - If the Closing Balance *does not match the actual cash on hand*, **however**, then you will need to check to make sure that the figures that the Treasurer recorded in the Cashbook are correct. You will need to check the cashbook entries against the background documentation. Sometimes the Treasurer will write a *receipt* for the correct amount, for example, but write the figure incorrectly when he/she records the transaction in the cashbook. Correct any mistakes that the Treasurer might have made.

  - If the Closing Balance *still* does not match the actual cash on hand, then you will need to go through a third, more difficult, step. This means that the Treasurer did not record one or more transaction in the Cashbook. Help the Treasurer to try to remember/reconstruct the transactions that took place during the month, and to verify the authenticity of these.

  - If it is still impossible to reconcile the Closing Balance with the actual cash on hand, then it is the *Treasurer's responsibility* **to make up the difference!**

Exercise 1

Distribute **Handout 19.5: Monthly Cashbook Reconciliation** to the participants. Use the example of CBO *Together for Children*'s Cashbook for the month of June (the one that the group recorded together in the Activity One). Tell the group to use the Cashbook page to correctly fill out a Monthly Cashbook Reconciliation form.

If the group has been using 'fake money' to go through the steps of each exercise, then it will be possible to check the Closing Balance with the actual cash on hand.

The example of the June Cashbook and the Monthly Cashbook Reconciliation form can be found on the following pages.

Exercise 2

In addition to doing the math for the Monthly Cashbook Reconciliation and checking the actual cash on hand with the Closing Balance, the leaders should ensure that all transactions were correctly posted with all the necessary supporting documentation. The leaders should work through a checklist, such as the **Checklist of Month-End Review Items** found in **Handout 19.6**. Distribute copies of Handout 19.6 to the participants, and help the leaders to go through the checklist in order to review the postings and supporting documentation for the June example.

Answer Sheet

Cashbook

Month: _____ June _____

Name of Treasurer: _____ Luisa _____

Date	Code	Description of Movement	Cash in (Add)	Cash out (Subtract)	Balance
01 June		Opening Balance	—	—	$232.00
05 June	01	Purchase of receipt book	—	7.00	225.00
07 June	01	Purchase of two calculators	—	38.00	187.00
10 June	02	Payment of school fees for 6 OVC	—	60.00	127.00
11 June	03	Member contribution – Joana	5.00	—	132.00
11 June	03	Member contribution – Solomon	5.00	—	137.00
15 June	02	Payment of emergency medical care for 1 OVC	—	15.00	122.00
15 June	—	Loan to Thomas	—	10.00	112.00
21 June	01	Transport for Chairperson to attend district coordinating meeting	—	4.00	108.00
25 June	—	Repayment of loan – Thomas	10.00	—	118.00
29 June	02	Purchase of vegetables for 20 households	—	40.00	78.00

Monthly Cashbook Reconciliation

Month: _____June_____

Date of Reconciliation: _____2 July_____

Opening Balance	(Balance at beginning of month)	$232.00
+ **Total Receipts**	(Total Cash In)	+ $20.00
− **Total Payments**	(Total Cash Out)	− ($174.00)
= **Closing Balance**	(Balance at end of month)	= $78.00

Cash in the Cashbox (Must equal Closing Balance) _____$78.00_____

We certify that the above information is accurate and true:

Name: _____Richard_____   **Signature:** _____Richard_____

Name: _____Teresa_____   **Signature:** _____Teresa_____

Name: _____Luisa_____   **Signature:** _____Luisa_____

Activity Four: The CBO's Own Records

Now that the group has learned how to keep a Cashbook with all the necessary supporting documentation, you should help the group to create their own bookkeeping records.

Step 1: Creating the Cashbook

If the CBO has any money in its fund, work together with the leaders to reconstruct the transactions that took place to arrive at the current balance. While the group may not remember the exact dates of all transactions, they should estimate as closely as possible. They should try to remember enough so that they can write one entry in the Cashbook for every transaction that has taken place. The final balance should match the amount of cash on hand.

Step 2: Supporting Documentation

The CBO should (retroactively) provide a Cash In Receipt to every member or other individual who made contributions or otherwise paid money to the CBO. The receipts should be filled out in duplicate, with one copy going to the person who made the payment, and one copy remaining in the Treasurer's files.

The CBO should then (retroactively) fill out a Payment Voucher for every payment (cash out) recorded in the Cashbook, and decide who the three authorised signatories will be. Each Payment Voucher should be signed by these three individuals, provided they can verify the authenticity of the payment. It is probably too late to acquire Receipts from the merchants / suppliers / providers to whom the payments were made, but the group should be sure to do so for all debits in the future!

Step 3: Cashbook Reconciliation

The CBO should fill out **one** Cashbook Reconciliation form, covering the entire period of the Cashbook that they have reconstructed. Again, the closing balance both in the Cashbook and on the Monthly Cashbook Reconciliation form should match the actual cash on hand. In the future, the CBO will fill out the Monthly Cashbook Reconciliation form at the close of every month.

Step 4: Leader Accountability to Members

A verbal report of the results of the monthly reconciliation, and an open counting of the cash on hand should take place at **every monthly meeting**, so that all members are satisfied that the Treasurer and leaders are handling the group funds in a transparent manner! You should reiterate this function with the leaders participating in this training, and be sure that the members of the CBO are requiring this transparency and accountability from their leaders.

Activity Five: Organising the Treasurer's Files

In order for the Treasurer to carry out his functions effectively, he/she should ideally have the following forms and materials:

Forms

- **Cashbook:** Enough photocopied Cashbook forms to last for at least 12 months. If the CBO has many transactions, more than one Cashbook page may be needed for each month.
- **Payment Vouchers:** Photocopied Payment Voucher forms
- **Credit Receipts:** A book of Receipts for 'Cash In'
- **Debit Receipts:** A separate book of Receipts for 'Cash Out' for instances when merchants/providers/suppliers do not have their own receipts
- **Monthly Cashbook Reconciliations:** Photocopied Monthly Cashbook Reconciliation forms
- **Budget Variance Reports:** Photocopied Budget Variance Report forms

Files and Folders

- **Files:** Individual files to store all the documentation for each **month**
- **Folders:** Plastic transparent snap folders to store many monthly files together.

Other Material

- **Calculator**
- **Pens** (transactions should always be recorded in pen; never in pencil!)
- **Inkpad** (to produce fingerprints in lieu of signatures for those who cannot sign their names)
- **Stapler** with staples, and large paperclips

It is very important that the Treasurer file all monthly cashbooks and supporting documentation in an organised way, so as to preserve a 'paper trail' for anyone wanting to understand the finances of the CBO. While important at all times, this will become a **requirement** if the CBO receives donor grants. It is therefore crucial that the Treasurer develop an effective filing system from the outset. You should work with the Treasurer to come up with a system that works.

NB: In *Module 9: Reporting and Recordkeeping*, you assisted the Secretary in a similar way to come up with an efficient filing system for all of his/her documentation. In Module 9 it was suggested that World Vision purchase a separate file for the Secretary's *personal* documentation, as this will decrease the likelihood that the Secretary will mix household documents with CBO documents. The same approach may be taken with the purchase of files for the Treasurer.

Activity Six: Using the Cashbook to Create a Budget Variance Report (Optional)

Introduction

In *Module 18: Budgeting* the group learned how to compare the budget *plan* with the *actual* income received and expenditures incurred, and to come up with a Budget Variance Report to reflect any differences. In that module, the 'actuals' were *provided* to the group as part of the examples. In this activity, the group will learn how to extract the actual income and expenditures from the Cashbook themselves.

NB: In Module 18, the Budgets used in the examples usually reflected a one-year time period. Nevertheless, the CBO should be comparing their actual income / expenditures to the budget more frequently than only once a year. It is advisable to create Budget Variance Reports at least once per quarter. In order to do this, the CBO will need to take its yearly budget and break it down into 4 quarters:

- In some cases this may be done by spreading income and expenses evenly across the four quarters. Total budget figures can simply be divided by 4 to come up with quarterly budgets.

- In other cases, there will be particular expenditures that the group will incur only once (one-time-only purchases such as calculators, hoes, etc.) – perhaps in the first quarter – that will not be repeated in subsequent quarters. In this case, the group will need to create *separate* budgets for each quarter. They may want to create all four quarterly budgets at the beginning of the year if they think they can make projections that far in advance. Alternatively, they may want to write quarterly budgets at the beginning of every quarter.

Exercise

Distribute **Handouts 19.10**, **19.11**, **19.12** and **19.13** to the participants. Have the participants refer to the sample quarterly budget of CBO *Together for Children* (Handout 19.10) and the three cashbook pages referring to the months of January, February and March (Handouts 19.11, 19.12, 19.13). Give the participants a blank Budget Variance Report form – **Handout 19.7**.

- The participants should fill in the column in the Budget Variance Report labeled 'Budget' by taking information from the quarterly budget (Handout 19.10).

- The participants should fill in the column labeled 'Actual' by compiling information from the 3 Cashbook pages. The group should be careful to note that they may need to add together *more than one* Cashbook entry to come up with the totals for the 'Actual' column.

- The group should then calculate the differences for each row, and total the columns for 'Budget', 'Actual' and 'Difference'. See the Answer Sheet on the next page.

Discussion

There are some good lessons to learn from this exercise! For example:

- It would have been difficult for the group to track 'actuals' against the budget if they hadn't created a Budget Variance Report. It is not easy to follow actual income and expenditure against the budget with just the Cashbook alone!

- CBO *Together for Children* was unable to make all the purchases it wanted to make, mainly because they did not receive all the income they expected to receive. Not all the members were able to make their monthly contributions.

- It is important to recognise that a budget is not fixed and rigid! CBO *Together for Children* might conclude from this exercise that the burden of contributions on members is too high, and they might decide to lower the member contributions and adjust their budget and their plans accordingly.

Budget Variance Report

Name of CBO: _____ Together for Children _____

Time Period Covered by Report: _____ First Quarter (January - March) _____

Income

Cat.	Item	Budget	Actual	Difference
03	Member contributions	$150.00	$108.00	(42.00)
	Total			

Income

Cat.	Item	Budget	Actual	Difference
01	Plastic Files	$12.00	$4.00	(8.00)
01	Receipt books	$12.00	$7.00	(5.00)
01	A4 notebooks	$10.50	$5.00	(5.50)
01	Transport	$6.00	$5.00	(1.00)
01	Lunch for Chairperson	$6.00	$5.00	(1.00)
02	School fees for OVC	$50.00	$50.00	00.00
02	Seed packs for vegetable garden	$18.00	$18.00	00.00
02	Football for recreation	$15.00	00.00	(15.00)
02	Medical fees for OVC	$20.00	$14.00	(6.00)
	Total	**$149.50**	**$108.00**	**($41.50)**

Handouts

Refer to the handouts on the following pages:

Templates *(NB: Handout numbers are not written on the templates)*

Handout 19.1: Cashbook Template
Handout 19.2: Cash In Receipts Template
Handout 19.3: Cash Out Receipts Template
Handout 19.4: Payment Vouchers Template
Handout 19.5: Monthly Cashbook Reconciliation Template
Handout 19.6: Checklist of Month-End Review Items
Handout 19.7: Budget Variance Report Template

Exercises

Handouts 19.8 – 19.13: Exercises

Cashbook

Month: _____

Name of Treasurer: _____

Date	Code	Description of Movement	Cash in (Add)	Cash out (Subtract)	Balance

Cash In Receipt: No. _____

Received from _____

The amount of: _____

The amount of: _____

Reference: _____

_____

Name of Merchant: _____

Received by: _____ **Function:** _____

Signature: _____ **Date:** _____

Cash In Receipt: No. _____

Received from _____

The amount of: _____

The amount of: _____

Reference: _____

_____

Name of Merchant: _____

Received by: _____ **Function:** _____

Signature: _____ **Date:** _____

Cash Out Receipt: No. _____

Received from   _____

The amount of: _____

The amount of: _____

Reference: _____

_____

Name of Merchant: _____

Received by: _____   **Function:** _____

Signature: _____   **Date:** _____

Cash Out Receipt: No. _____

Received from   _____

The amount of: _____

The amount of: _____

Reference: _____

_____

Name of Merchant: _____

Received by: _____   **Function:** _____

Signature: _____   **Date:** _____

Payment Voucher

We the undersigned authorise the withdrawal from the internal fund of CBO

(name): _____

of the amount of: _____

(The amount of: _____ **)**

for purposes of: _____

_____

Signed 1:

Name: _____

Signature: _____ **Date:** _____

Signed 2:

Name: _____

Signature: _____ **Date:** _____

Signed 3:

Name: _____

Signature: _____ **Date:** _____

Monthly Cashbook Reconciliation

Month: _____

Date of Reconciliation: _____

Opening Balance (Balance at beginning of month)		_____
+ **Total Receipts** (Total Cash In)	+	_____
− **Total Payments** (Total Cash Out)	−	_____
= **Closing Balance** (Balance at end of month)	=	_____

Cash in the Cashbox (Must equal Closing Balance)   _____

We certify that the above information is accurate and true:

Name: _____   **Signature:** _____

Name: _____   **Signature:** _____

Name: _____   **Signature:** _____

Checklist of Month-End review items

☐ Does the closing balance in the cashbook match the cash on hand?

☐ Is every transaction backed up with the appropriate supporting document(s)?

☐ Are all Cash In transactions backed up with Cash In Receipts?

☐ Do all Cash In Receipts have the signature of the person / organisation making the payment?

☐ Are all payments (cash out) backed up with Payment Vouchers, signed by the selected CBO representatives?

☐ Do all payments (cash out) have a supporting Receipt? (This may either be a merchant / supplier receipt, or a CBO Cash Out Receipt)

☐ Do all Cash Out Receipts have the signature of the merchant / supplier / provider?

Budget Variance Report

Name of CBO _____

Time Period Covered by Report: _____

Income

Cat.	Item	Budget	Actual	Difference
	Total			

Expenditures

Cat.	Item	Budget	Actual	Difference
	Total			

Handout 19.8

01 June: The balance at the beginning of June is $232.00

05 June: The Treasurer purchases a book of receipts for $7.00

07 June: The Treasurer purchases two calculators for a total of $38.00

10 June: The CBO pays school fees for 6 OVC for a total of $60.00

11 June: Joana gives the CBO $5.00 for her member contribution

11 June: Solomon gives the CBO $5.00 for his member contribution

15 June: The CBO pays for emergency medical care for 1 OVC for $15.00

15 June: Thomas borrows $10.00 from the CBO

21 June: The Chairperson pays $4.00 for transport to attend a district coordinating meeting

25 June: Thomas pays back the $10.00 he borrowed.

29 June: The CBO purchases vegetables to distribute to 20 households, for $40.00

Handout 19.9

- Opening balance at beginning of August = $52.00

- On 5 August the Chairperson asks for authorisation to withdraw $20.00 for the purchase of 4 hoes (unit cost = $5.00/hoe)

- The Payment Voucher is filled out for $20

- The Treasurer gives the money to the Chairperson and records the cash out payment in the cashbook

- The Chairperson purchase the hoes for $18.00 (unit cost = $4.50/hoe) and gets a receipt from the merchant (NB: Use a Cash Out Receipt for this example, imagining that it is a merchant's receipt.)

- The Chairperson gives the merchant's receipt to the Treasurer and returns the $2.00 difference. The Treasurer records the 'cash in' in the cashbook and gives the Chairperson a Cash In Receipt.

- The Treasurer staples the original Payment Voucher ($20), the merchant's receipt (Cash Out $18), and the Cash In Receipt ($2) together.

Handout 19.10: Budget

Name of CBO _____ **Together for Children** _____

Time Period Covered by Budget: _**First Quarter (January – March)**_____

Income

Category	Item	Unit	No. of Units	Total Income
Contributions Members (03)	Contributions of 10 members $5.00 per member, every month x 3 months	$5.00	30	$150.00
	Total			**$150.00**

Expenditures

Category	Item	Unit Cost	No. of Units	Total Cost
Administrative Costs (01)	Purchase of plastic files	$3.00	4	**$12.00**
	Purchase of receipt books	$6.00	2	**$12.00**
	Purchase of A4 notebooks	$3.50	3	**$10.50**
	Transport of Chairperson to coordination meeting	$2.00	3	**$6.00**
	Lunch for Chairperson	$2.00	3	**$6.00**
Operational Costs (02)	School fees for OVC	$5.00	10	**$50.00**
	Purchase seed packs for vegetable garden	$1.00	18	**$18.00**
	Purchase football for recreation	$15.00	1	**$15.00**
	Medical fees for OVC	$1.00	20	**$20.00**
	Total			**$149.50**

Handout 19.11

Cashbook

Month: _____ January _____

Name of Treasurer: _____ Luisa _____

Date	Code	Description of Movement	Cash in (Add)	Cash out (Subtract)	Balance
01 January	—	Opening Balance			**00.00**
02 January	03	Contribution – Solomon	$5.00		$5.00
02 January	03	Contribution – Richard	$5.00		$10.00
06 January	03	Contribution – Teresa	$4.00		$14.00
07 January	03	Contribution – Luisa	$5.00		$19.00
07 January	03	Contribution – Fabian	$3.00		$22.00
15 January	01	Transport Chairperson Richard to district coordination meeting		$2.00	$20.00
15 January	01	Lunch – Chairperson Richard		$2.00	$18.00
16 January	03	Contribution – Roderick	$5.00		$23.00
17 January	03	Contribution – Thomas	$5.00		$28.00
17 January	03	Contribution – Lesedi	$5.00		$33.00
21 January	01	Purchase plastic files		$4.00	$29.00
21 January	01	Purchase A4 notebooks		$5.00	**$24.00**

Handout 19.12

Cashbook

Month: ___February___

Name of Treasurer: ___Luisa___

Date	Code	Description of Movement	Cash in (Add)	Cash out (Subtract)	Balance
01 February	—	Opening Balance			**24.00**
01 February	03	Contribution – Lesedi	$5.00		$29.00
01 February	03	Contribution – Solomon	$3.00		$32.00
04 February	03	Contribution – Fabian	$5.00		$37.00
06 February	03	Contribution – Richard	$5.00		$42.00
06 February	01	Purchase receipt books		$7.00	$35.00
06 February	02	Purchase seed packs for vegetable garden		$18.00	$17.00
10 February	03	Contribution – Luisa	$4.00		$21.00
10 February	03	Contribution – Faith	$10.00		$31.00
11 February	03	Contribution – Jonathan	$5.00		$36.00
18 February	02	Payment of school fees for 5 OVC		$25.00	$11.00
22 February	02	Payment of medical fees for 7 OVC		$7.00	$4.00
28 February	—	Closing Balance			**$4.00**

Handout 19.13

Cashbook

Month: _____ March _____

Name of Treasurer: _____ Luisa _____

Date	Code	Description of Movement	Cash in (Add)	Cash out (Subtract)	Balance
01 March	—	Opening Balance			**$4.00**
10 March	03	Contribution – Richard	$5.00		$9.00
10 March	03	Contribution – Fabian	$5.00		$14.00
10 March	03	Contribution – Luisa	$5.00		$19.00
11 March	03	Contribution – Thomas	$5.00		$24.00
11 March	03	Contribution – Lesedi	$4.00		$28.00
12 March	02	Payment school fees 5 OVC		$25.00	$3.00
13 March	03	Contribution – Solomon	$5.00		$8.00
15 March	01	Transport Richard to coordinating meeting		$3.00	$5.00
15 March	01	Lunch – Richard		$3.00	$2.00
17 March	03	Contribution – Teresa	$5.00		$7.00
17 March	02	Payment medical fees 7 OVC		$7.00	00.00
31 March	—	Closing Balance			**00.00**

Coordinating CBOs: Bookkeeping

- There is **no difference** in the way you will carry out this module if you are working with a Coordinating CBO in place of an Implementing CBO. Both types of organisations need to keep careful track of all money movements, using a Cashbook and supporting documentation. You will train both types of organisations in exactly the same way!

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Module 20:   Banking

Contents

Introduction

Activities

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Special Sections

Introduction

T**he** safest place to keep money is in the bank. If the CBO will be competing for grant funding, the donors in question will almost certainly require that the grant money be kept in a bank.

Training Objectives

- To open a bank account for the safekeeping of the CBO's funds
- To train the Treasurer and Bank Signatories to manage all documentation related to the CBO's bank account
- To ensure that the CBO has separate systems for the financial management of cash and the financial management of the bank account
- To ensure that all members of the CBO understand the system that the Treasurer and Bank Signatories are using

Training Output

- The CBO has a **bank account**, in its name, in the name of three members, or in the name of World Vision (or other affiliated organisation)
- The CBO has an **effective system for managing** the bank account, to include a bankbook, supporting documentation and bank reconciliations
- The CBO has an **effective system for filing** all financial documentation

Suggested Indicators

- The CBO maintains a Bankbook recording all money coming in and going out of the CBO's bank account
- The CBO has effective separation of financial duties. Bank signatories, and persons authorised to sign Cheque Requisitions, are not the same people
- The CBO fills out a Cheque Requisition for all money to be paid out of the bank account.
- The CBO carries out a Bank Reconciliation on a monthly basis
- The CBO is successful in reconciling its bank account on a monthly basis
- The Treasurer provides a summary of the bank account to the CBO members on a monthly basis
- All CBO members understand the banking system that the Treasurer and Signatories are using

Materials

- A flip chart, paper and markers
- Calculators (ideally one for every two participants)
- Chequebook and other documentation from the CBO's bank

Time: **2-3 days**

Activity One: Opening a Bank Account

Step 1: Determine in the name of WHOM the bank account will be opened

In some countries (i.e. Mozambique), the CBO must be legally registered in order to open a bank account *in the name of the CBO*. This is a lengthy, complicated and expensive process that World Vision has chosen *not* to help CBOs / associations with except in the cases of high-level apex organisations, such as district level farmer federations.

If the CBO you are working with is not ready to go through a legalisation process that will enable it to open a bank account *in the name of the CBO*, there are two additional possibilities:

- Open the account in the name of three or more **members of the CBO**. This is a viable alternative, although it provides less protection for the other members of the CBO, should the selected signatories prove fraudulent.

- Open the account in the name of **World Vision** (or your affiliated organisation). In some cases World Vision or your affiliated organisation can safekeep funds in a bank account on behalf of the CBO. This, of course, will create a situation of dependency and must therefore be carefully considered.

It is likely that World Vision or your affiliated organisation will have guidelines to help you to understand which of the above three options is best for the CBOs you are working with. If the CBO is *already legally registered* then the obvious course of action is to advise the group to open the account in their own name. If legal registration is not a viable option, however, then you and your organisation should be clear on which of the remaining two options is most appropriate to the local circumstances.

You may write on the line below the option that you and the CBO you are working with choose:

Account to be opened in name(s) of: _____

Step 2: Select the signatories

With the exception of an account opened in the name of World Vision or your affiliated organisation, the CBO will need to nominate three or more members to be **signatories** for the bank account. These will be the only individuals authorised to write checks and sign other bank-related documents. The CBO should ensure that the signatories selected are trusted by all members and are capable of fulfilling the responsibilities required of them.

When opening the bank account the bank will ask each signatory to provide a sample signature which will be kept on file to make sure that only these individuals sign checks and other bank documents.

You may write the names of the three selected signatories for the CBO you are working with:

Signatory 1:   _____

Signatory 2:   _____

Signatory 3:   _____

Step 3: Gather Necessary Documentation and Open Account

The CBO will need to gather documentation to submit with their bank account application. Distribute **Handout 20.1** to the participants. This handout provides an example of the documentation required for a legally registered CBO to open a bank account in Mozambique.

*(NB: You should **adapt** Handout 20.1 and change the information based on the documentation that is required by the banks in the country you are working in.)*

Assist the CBO to compile the necessary documentation. You may accompany the signatories to the bank branch to open the account if you wish.

Once the account is opened the bank will provide:

- A bank account number
- A bank deposit book
- A cheque book with the **name** (of the CBO or the selected members) and **account number**.

Activity Two: > Reviewing the Cashbook

Introduction

Until this point, the CBO you are working with has been recording all cash movements (i.e. money in and money out) in a **cashbook**, and safekeeping the money in some kind of a cashbox or safe in the village.

Now that the group has opened a bank account, they will also need to keep careful track of their bank money movements in a **bankbook**.

Assuming that the group chooses to keep small amounts of cash on hand in the village for small contingency expenses, then they will at this point need to be working with these **two** systems: the **cashbook** and the **bankbook**.

Exercise

At this point it is a good idea to review the cashbook with the group to ensure that they are maintaining it correctly. You should carry out the exercise provided on **Handout 20.2** with the group, as a review.

To prepare for this exercise you will need to make the following photocopies:

- Cashbook: 1 photocopy per participant
- Payment Voucher: 2 copies per participant
- 'Cash Out' Receipts: 2 copies per participant
- 'Cash In' Receipts: 3 copies per participant

An example of the correctly filled-in Cashbook is provided at the end of the module. (Answers for the Payment Vouchers and 'Cash Out' and 'Cash In' Receipts are not provided. If you have any difficulties with these forms, review Module 19: Bookkeeping).

Activity Three: The Bankbook

Introduction

Now that the group is holding money in two separate places – in the cashbox in the village, and in the bank – the CBO must keep a separate accounting book for each "pot" of money. The cashbook must continue to show the money movements in and out of the cashbox, and the bankbook must show the money movements in and out of the bank account.

There is not much difference between filling out a **cashbook** and filling out a **bankbook**. The same principles apply. All money being **paid out** must be **subtracted** from the balance, and all money **deposited (paid in)** must be **added** to the balance.

Distribute a copy of the **Bankbook** template to all participants. Review the format with them.

- Ask the following question: Can you discover the difference between the Bankbook and the Cashbook?
- Answer: The Bankbook has an additional column for recording cheque numbers.

Explain to the group that whenever they make payments out of their bank account they will do so by writing a **cheque**. This is further explained in Activity 4. For now, it is enough to know that they will need to record the **cheque numbers** in the bankbook for every payment.

Exercise

Carry out the exercise provided on **Handout 20.3** with the group. An **Answer Sheet** (Activity 3: Exercise 1) is provided at the back of the module. You should review the following points with the group:

- The first movement is a **deposit** (the grant money received from the District Department of Social Welfare). For this reason, there is no associated cheque number with this movement.
- Cheque numbers are only needed when money is being **paid out**.

Activity Four:

Bank Deposits

Introduction

The bank will provide the CBO with pre-printed **deposit slips** to be filled in whenever the group needs to deposit money into their account. The example provided in Template 6 is an *example only*, meant to help you carry out the exercise.

Distribute the **Deposit Slip** template to the group. Explain that they may deposit either **cash** or **cheques received** from third parties into their bank account. Point out that there is a separate line to record cash and cheques on the deposit slip.

Explain that the bank will return a copy of the deposit slip to the group at the same time the money is deposited. This copy must be kept with the Bankbook to serve as supporting documentation.

Exercise

The group members should now fill in a **Deposit Slip** for the grant money received from the District Department of Social Welfare, using the example from the previous exercise.

- The **bank's identification code** for this example is 2005117.
- The **group's account number** for this example is 123456789.

An **Answer Sheet** is provided at the back of the module.
(Answer Sheet: Activity 4)

Activity Five:

Writing Cheques

Introduction

Explain to the group that whenever they make payments out of their bank account they will do so by writing a **cheque**.

Before writing the cheque, however, the payment must be approved by the CBO. In much the same way that you showed the group how to fill out a Payment Voucher before withdrawing cash from the cashbox, you will now explain to the group that they must fill out a **Cheque Requisition** before writing the cheque.

Important!

The three individuals who are selected to authorise the Cheque Requisition **should not** be the same people as the three selected bank signatories.

It is important that the CBO maintains separation of duties.

The CBO should decide who will be authorised to sign Cheque Requisition forms. Again, these **should not** be the same individuals selected to be the bank signatories.

You may write the names of the 3 authorised individuals here:

1. _____

2. _____

3. _____

Now distribute copies of the **Cheque Requisition** and **Example Cheques** to the participants. Review these templates with the group. Point out the following:

- Each cheque is assigned its own number, in the top right hand corner (i.e. 900001, 900002, 900003)
- The first number at the bottom of the cheque is the bank identification code. (ex: 2005117)
- The second number at the bottom of the cheque is the CBO's pre-printed account number. (ex: 123456789)

Exercise

The group members should now fill in a **Cheque Requisition** and a **Cheque** for each of the three payments made out of the bank account, using the example from the previous exercise.

Remember: Only the authorised bank signatories can sign the cheques!
For the CBO's protection, each cheque should have **two** signatures.

Answer sheets are provided at the back of the module.
(Activity 5: Exercise 1)

Activity Six: The Bank Statement

Introduction

At the end of every month the CBO will receive a **Statement** from the bank summarising the movements for the month.

Important! [1]

It is important to realise that the balance on the **Bank Statement** may not match the balance in the CBO's **Bankbook**. This is because of **timing lags**.

For example, a cheque written by the CBO during the last days of the month will be recorded in the bankbook, but the cheque may not have been presented to the bank and processed by them. So it might not appear on that month's bank statement. (It will likely appear on the statement the following month.)

There may also be some transactions on the bank statement that have not been recorded yet by the CBO. A common example is bank charges, which the CBO will not find out about until they receive the statement.

Exercise

Distribute **Handout 16.4** to the participants and explain that this is an example of a **Bank Statement**, received from the bank to detail the group's money movements for the month of January.

The participants should compare the Bank Statement to the Bankbook they completed in Activity 3 and answer the questions at the bottom of the Handout.

Answers:

1. Cheque number 900003 in the amount of $80.00 written by the CBO on 28 January has not yet appeared on the bank statement. Since this cheque was written during the last days of the month, Office Data Store has not yet had time to deposit the check in its account.

2. Cheque number 900002 appears before cheque number 900001 on the bank statement because Commercial Enterprises must have taken the cheque to the bank before Chilongwe Health Post did.

---

[1] *Mango Accounting Pack: Basic Book-Keeping Pack: Version 1.0, May 2000*, Mango.

3. The dates that the cheques are posted on the Bank Statement are different from the dates that the CBO recorded on the Bankbook. This is because the bank only posts the cheques on the day that they actually receive them from the payee.

4. The entry on the Bank Statement for "bank charges" in the amount of $10 does not yet appear on the CBO's Bankbook. This is because the CBO only learned of these charges today, when they received the statement from the bank.

Activity Seven: The Bank Reconciliation

Introduction

As we saw in the previous activity, because of timing differences the balance on the Bank Statement will not always match the balance in the CBO's Bankbook. The CBO must make certain, however, that these differences are *only due to timing*, and not to some other reason, such as accounting errors or fraudulent activity. For this reason it is necessary to carry out a **Bank Reconciliation** each month, as soon as the Bank Statement is received.

Note: The CBO will usually receive the Bank Statement some days *after* the last day of the month. For example, they may receive January's Bank Statement around the 7th of February. This is normal. Still, it is important that the Bank Reconciliation be carried out as soon as possible upon receiving the Bank Statement.

Distribute the **Bank Reconciliation Template** to the participants and review the format with them. In order to carry out the Bank Reconciliation the group will carry out the following steps:

1. Record the **balance on the Bank Statement** in Row 1.

2. Record any **payments out of the Bankbook that do not appear on the Bank Statement** in Row 2.

3. Record any **receipts of money on the Bank Statement that do not appear in the Bankbook** in Row 3.

4. Record any **payments out of the Bank Statement that do not appear in the Bankbook** in Row 4.

5. Record any **receipts of money on the Bankbook that do not appear on the Bank Statement** in Row 5.

6. Carry out the appropriate addition and subtraction as per the instructions on the form to come up with an **adjusted Bank Statement balance** and record this in Row 6.

7. Record the **balance on the Bankbook** in Row 7.
    This should **match the adjusted balance in Row 6**.

Exercise

Help the group to carry out a Bank Reconciliation using the example **Bank Statement** and example **Bankbook** for the month of January. The following are the key notations to be made:

- Row 1: Balance on Bank Statement = $1,140
- Row 2: Cheque number 900003 (payment out of Bankbook, not on Bank Statement) = ($80)
- Row 4: Bank charges (payment out of Bank Statement, not on Bankbook) = $10. *Note: The group should not record the bank charges of $10 on the January Bankbook, since they closed out the month on 31 January. Instead, this will be a posting in the February Bankbook.*
- Row 6: Adjusted balance on Bank Statement = $1,070
- Row 7: Balance on Bankbook = $1,070

If the example is carried out correctly you will see that the Bank Statement and the Bankbook **reconcile**.

An **Answer sheet** is provided at the back of the module.
(Answer Sheet: Activity 7)

Activity Eight: Filing the Documentation

Introduction:

It is extremely important that the CBO keep organised files of all its cash and bank account documentation. This is not simply a question of being neat; rather, it is absolutely essential that a "paper trail" of money movements can be followed at all times. This will be an absolute requirement for any CBO that is receiving outside donor money and you will need to work with the group to make sure that their filing system is correct.

The CBO will need to have two separate files: one for the **Cashbook** with supporting documentation and one for the **Bankbook** with supporting documentation.

Exercise

Ask the participants to collect all their documentation together and to organise the papers sequentially, one pile for the Cashbook documents and one pile for the Bankbook documents. Each pile should be stapled together as a final package to be filed away for the month of January.

Answers

Cashbook Sequence of Documentation *(stapled together):*

1. January Cashbook
2. Payment Voucher $100
3. 'Cash Out' Receipt $100
4. 'Cash In' Receipt $2,000
5. Payment Voucher $2,000
6. 'Cash Out' Receipt $2,000
7. 'Cash In' Receipt $3
8. 'Cash In' Receipt $3

Bankbook Sequence of Documentation *(stapled together):*

1. January Bank Reconciliation
2. January Bank Statement
3. January Bankbook
4. Deposit slip $2,000
5. Cheque requisition $150
6. Cheque requisition $700
7. Cheque requisition $80

Templates, Handouts and Answer Sheets

You will find the following Templates, Handouts and Answer Sheets on the next pages.

Templates *(NB: numbers are not written on the templates)*

Cashbook Templates

Template 1:   Cashbook
Template 2:   Cash In Receipts
Template 3:   Cash Out Receipts
Template 4:   Payment Vouchers

Bankbook Templates

Template 5:   Bankbook
Template 6:   Deposit Slips
Template 7:   Cheque Requisition
Template 8:   Example Cheques
Template 9:   Bank Reconciliation

Handouts

Handout 20.1:   Checklist to open a bank account
Handout 20.2:   Cashbook Exercise 1
Handout 20.3:   Bankbook Exercise 1
Handout 20.4:   Example Bank Statement

Answer Sheets

Answer Sheet: Activity 2
Answer Sheet: Activity 3
Answer Sheet: Activity 4
Answer Sheets: Activity 5
Answer Sheet: Activity 7

Cashbook

Month: _____

Name of Treasurer: _____

Date	Code	Description of Movement	Cash in (Add)	Cash out (Subtract)	Balance

Cash In Receipt: No. _____

Received from _____

The amount of: _____

The amount of: _____

Reference: _____

_____

Name of Merchant: _____

Received by: _____   **Function:** _____

Signature: _____   **Date:** _____

Cash In Receipt: No. _____

Received from _____

The amount of: _____

The amount of: _____

Reference: _____

_____

Name of Merchant: _____

Received by: _____   **Function:** _____

Signature: _____   **Date:** _____

Cash Out Receipt: No. _____

Received from   _____

The amount of: _____

The amount of: _____

Reference: _____

                           _____

Name of Merchant: _____

Received by: _____   **Function:** _____

Signature: _____   **Date:** _____

Cash Out Receipt: No. _____

Received from   _____

The amount of: _____

The amount of: _____

Reference: _____

                           _____

Name of Merchant: _____

Received by: _____   **Function:** _____

Signature: _____   **Date:** _____

Payment Voucher

We the undersigned authorise the withdrawal from the internal fund of CBO

(name): _____

of the amount of: _____

(The amount of: _____ **)**

for purposes of: _____

_____

Signed 1:

Name: _____

Signature: _____ **Date:** _____

Signed 2:

Name: _____

Signature: _____ **Date:** _____

Signed 3:

Name: _____

Signature: _____ **Date:** _____

Bankbook

Month: _____

Name of Treasurer: _____

Date	Code	Description of Movement	Cheque Number	Cash in (Add)	Cash out (Subtract)	Balance

Deposit Slip

1234

Quality Bank

where quality truly counts!

Date _____

Account name   **CBO *Together for Children***

Bank No.   _ _ _ _ _ _

Account No.   _ _ _ _ _ _

Sign here in teller's presence for cash received:

_____

		Currency											
CASH		Coins											
List cheques singly													
Total from other side													
Less cash received		TOTAL											
		NET DEPOSIT											

Cheque Requisition

Date: _____

Payee: _____

Description (Reason for Payment): _____

_____

Amount: _____

(The Amount Of) _____

Signed 1:

Name: _____

Signature: _____   **Date:** _____

Signed 2:

Name: _____

Signature: _____   **Date:** _____

Signed 3:

Name: _____

Signature: _____   **Date:** _____

Example Cheque

where quality truly counts!   900001

Quality Bank

Date: _____

Pay: _____ $ _____

The sum of: _____

_____

_____

20051117 123456789

---

where quality truly counts!   900002

Quality Bank

Date: _____

Pay: _____ $ _____

The sum of: _____

_____

_____

20051117 123456789

---

where quality truly counts!   900003

Quality Bank

Date: _____

Pay: _____ $ _____

The sum of: _____

_____

_____

20051117 123456789

Bank Reconciliation

CBO: Together for Children		**Month:**

Bank Statement Date:

	Amount
1. **Balance on bank statement**	
2. Less: Payments (cash out) on Bankbook, not on Statement	
Total Deduction	
3. Less: Receipts (deposits) on Bank Statement, not in Bankbook	
Total Deduction	
4. Plus: Payments (money out) on Bank Statement, not in Bankbook	
Total Addition	
5. Plus: Receipts (cash in) on Bankbook, not on Statement	
Total Addition	
6. **Adjusted balance on Bank Statement**	
7. **Balance on Bankbook**	

Prepared by: **Date:**

Handout 20.1: Checklist to open a bank account (example from Mozambique)

The following are the requirements for a legally-registered CBO/association to open a bank account in Mozambique:

☐ The "Estatutos" of the Association. (The Constitution)

☐ A copy of the minutes of the meeting authorising the opening of bank account, to include the names of the authorised bank account **signatories**

☐ Document from the District HIV and AIDS Nucleus attesting to the HIV and AIDS-related nature of the association's mission.

☐ For each signatory:

    ☐ Photograph

    ☐ Proof of Residence

    ☐ Identity Document

☐ Completed application form to open bank account (provided by bank)

☐ Completed signatory form with signatures of all signatories (provided by bank)

Handout 20.2: Cashbook Exercise 1

Instructions:

1. Use the information below to fill in the **Cashbook**

2. Fill in a **Payment Authorisation** for all money to be taken out of the cashbox

3. Fill in a **'Cash Out Receipt'** for all money paid out of the cashbox

4. Fill in a **'Cash In Receipt'** for all money received into the cashbox

---

01 January: The balance at the beginning of January is $234.00

17 January: The CBO purchases school uniforms for 20 OVC for $100

20 January: The CBO receives a grant in the amount of $2,000 from the District Department of Social Welfare

21 January: The CBO takes the grant money to the bank and deposits it into their bank account

28 January: CBO members, Thomas and Clara, make their monthly contribution of $3.00 each, for a total of $6.00.

Handout 20.3: Bankbook Exercise 1

Instructions:

Use the information below to fill in the **Bankbook**

---

21 January: The CBO deposits the grant money from the District Department of Social Welfare – $2,000.00 – into its bank account.

23 January: The CBO writes cheque number 900001 in the amount of $150.00 to the health post in payment of medical expenses for 5 OVC.

25 January: The CBO writes cheque number 900002 in the amount of $700.00 to Commercial Enterprises for the purchase of used clothing for OVC.

28 January: The CBO writes cheque number 900003 in the amount of $80.00 to Office Data Store for the purchase of a typewriter.

Handout 20.4: Example Bank Statement

Instructions:

Review the Bank Statement for the month of January and compare it with the CBO's Bankbook (completed in Activity 2).

Answer the questions at the bottom of the page.

BANK STATEMENT

QUALITY BANK

Account no.: 123456789   **Date:** 31 January 20XX

Date	Description	Debit	Credit	Balance
	Opening Balance			0.00
21-Jan	REF000701		2,000.00	2,000.00
26-Jan	900002	700.00		1,300.00
27-Jan	900001	150.00		1,150.00
31-Jan	Bank charges	10.00		1,140.00
	Balance Carried Forward			**1,140.00**

Question 1: Which cheque written by the CBO during the month of January has not yet appeared on the bank statement? Why do you think the bank has not included it?

Question 2: Why do you think that cheque number 900002 appears before cheque number 900001 on the bank statement?

Question 3: Why do you think the dates of the cheques are different on the bank statement. (i.e., not the same as the dates on the CBO's bankbook)

Question 4: Which entry on the bank statement does not appear in the CBO's bankbook for the month of January? Why not?

Answer Sheet: Activity 2

Cashbook

Month: _____January_____

Name of Treasurer: _____Luisa_____

Date	Code	Description of Movement	Cash in (Add)	Cash out (Subtract)	Balance
01 Jan		Balance carried forward			$234.00
17 Jan	02	Purchase school uniforms 20 OVC		$100.00	$134.00
20 Jan	01	Receipt grant – District Department of Social Welfare	$2,000.00		$2,134.00
21 Jan	01	Deposit grant in bank account		$2,000.00	$134.00
28 Jan	01	Member contribution – Thomas	$3.00		$137.00
28 Jan	01	Member contribution – Clara	$3.00		$140.00

Answer Sheet: Activity 3

Bankbook

Month: _____ January _____

Name of Treasurer: _____ Luisa _____

Date	Code	Description of Movement	Cheque Number	Cash in (Add)	Cash out (Subtract)	Balance
21 Jan		From Cashbook: Grant: District Dept. of Social Welfare	———			$2,000.00
23 Jan	02	Payment medical expenses: 5 OVC	900001		$150.00	$1,850.00
25 Jan	02	Purchase used clothing: Commercial Enterprises	900002		$700.00	$1,150.00
28 Jan	01	Purchase typewriter: Office Data Store	900003		$80.00	$1,070.00

Answer Sheet: Activity 4

Deposit Slip

1234

Quality Bank

where quality truly counts!

Date   **21 January 20XX**

Account name   **CBO Together for Children**

Bank No.   **2 0 0 5 1 1 7**

Account No.   **1 2 3 4 5 6 7 8 9**

Sign here in teller's presence for cash received:

_____

	Currency	$2000.00
CASH	Coins	
List cheques singly		
Total from other side		
TOTAL		
Less cash received		
NET DEPOSIT		$2000.00

Answer Sheet: Activity 5

Cheque Requisition

Date: **23 January 20XX**

Payee: **Chilongwe Health Post**

Description (Reason for Payment):   **Medical Expenses: 5 OVC:**

                               Carla, Marco, Finula, Mario, Letisa

Amount: **$150.00**

(The Amount Of)   **One hundred and fifty dollars**

Signed 1:

Name:

Signature: Date:

Signed 2:

Name:

Signature: Date:

Signed 3:

Name:

Signature: Date:

Answer Sheet: Activity 5

Q Quality Bank

where quality truly counts!   900001

Date: __23 January 20XX__

Pay: __Chilongwe Health Post__ $ __$150.00__

The sum of: __One hundred and fifty and 00/100 dollars__

_____

__Fatima Ndima__   __Jose Alberto__

20051117 123456789

Answer Sheet: Activity 5

Cheque Requisition

Date: **25 January 20XX**

Payee: **Commercial Enterprises**

Description (Reason for Payment):   **Purchase Used Clothing**

Amount: **$700.00**

(The Amount Of)   **Seven hundred dollars**

Signed 1:

Name: _____

Signature: _____ Date: _____

Signed 2:

Name: _____

Signature: _____ Date: _____

Signed 3:

Name: _____

Signature: _____ Date: _____

Answer Sheet: Activity 5

Quality Bank Q — *where quality truly counts!*   900002

Date: __25 January 20XX__

Pay: __Commercial Enterprises__ $ __$700.00__

The sum of: __Seven hundred and 00/100 dollars__

_____

__Fatima Ndima__   __Jose Alberto__

20051117   123456789

Answer Sheet: Activity 5

Cheque Requisition

Date: **28 January 20XX**

Payee: **Office Data Store**

Description (Reason for Payment): **Purchase Typewriter**

Amount: **$80.00**

(The Amount Of) **Eighty dollars**

Signed 1:

Name:

Signature: Date:

Signed 2:

Name:

Signature: Date:

Signed 3:

Name:

Signature: Date:

Answer Sheet: Activity 5

Quality Bank Q *where quality truly counts!*   900003

Date: __**28 January 20XX**__

Pay: __**Office Data Store**__ $ __**$80.00**__

The sum of: __**Eighty and 00/100 dollars**__

_____

_____**Fatima Ndima**_____   _____**Jose Alberto**_____

⑃⑆⑆⑀⑈⑈⑈⑉ ⑈⑉⑊⑋⑌⑆⑇⑈⑉

Answer Sheet: Activity 7

Bank Reconciliation

CBO: Together for Children   **Month:** January 20XX

Bank Statement Date: 31 January 20XX

		Amount
1.	**Balance on bank statement**	**$1,140.00**
2.	Less: Payments (cash out) on Bankbook, not on Statement	
	Cheque number 900003	
	Total Deduction	**($80.00)**
3.	Less: Receipts (deposits) on Bank Statement, not in Bankbook	
	None	
	Total Deduction	**00.00**
4.	Plus: Payments (money out) on Bank Statement, not in Bankbook	
	Bank charges	
	Total Addition	**$10.00**
5.	Plus: Receipts (cash in) on Bankbook, not on Statement	
	None	
	Total Addition	**00.00**
6.	**Adjusted balance on Bank Statement**	**$1,070.00**
7.	**Balance on Bankbook**	**$1,070.00**

Prepared by: *Luisa Francisco, Treasurer*   **Date:** 8 February 20XX

Coordinating CBOs: Banking

- There is not much difference in the way you will carry out this module if you are working with a Coordinating CBO in place of an Implementing CBO. Activities 2-8 will be carried out in exactly the same way with either type of organisation, as the recording and reconciling of bank information will not vary.

- You will need, however, to work with the Coordinating CBO to decide *in whose name the bank account will be opened* in **Activity 1**. As the Coordinating CBO represents two or more Implementing CBOs, this is an important question. Will the account be opened in the name of the Coordinating CBO *on behalf* of the Implementing organisations and, if so, who will the signatories to the account be? What safeguards will exist to protect the funds of the Implementing CBOs? These are questions that you will need to work out with the CBO, your supervisor, and your affiliated organisation (World Vision or other). The modalities of the bank account authority will likely vary from country to country and situation to situation.

Mentoring: Capacity Area 5:
Financial Management

Module 18: Budgeting
Module 19: Bookkeeping
Module 20: Banking

> **NB:** If you were forced to prioritise the one area in which to provide follow up support to the CBO, there is probably no area more important than financial management! This is the one capacity area where the group will need the most assistance from you, as it is the area that requires the most degree of careful control, with no room for error. It is probably true that more groups have fallen apart due to problems with managing money than for any other reason. Like monitoring, financial management is an example of a case where training *is only the first step*. You should be certain to provide as much follow up assistance as needed as the CBO puts its bookkeeping and banking systems into place.

Follow Up (after trainings)

1. After providing training in **budgeting** (Module 18), provide as much support to the group as necessary as they begin to prepare their own budgets.

2. After providing training in **bookkeeping** (Module 19), you will need to work very closely with the Treasurer and others responsible for the CBO's bookkeeping system. As the CBO begins to receive money and to make payments, **help them to correctly fill out the following forms**:
   - The Cashbook
   - Payment Vouchers
   - Receipts (Cash in / Cash out)
   - Monthly cashbook reconciliation

3. Once the CBO has developed a bookkeeping system, **work with the Secretary to make sure that he / she has a corresponding filing system**. All financial records must be easily retrievable at any time.

4. In your role as mentor you may need to play an active role in **helping the group to open its bank account**. You can **help the group to gather the necessary documentation**, help them to **get photographs taken**, **provide transport where needed**, **accompany them to the bank**, **assist in filling out forms**, and so forth.

5. You should then provide the group with all the assistance they need as they are learning how to **write checks**, **balance their checkbook** and keep their bank statements organized.

6. Finally, the limited **financial assistance** that WV (or your organization) may provide to the CBO, described in Part 8, will also play an important role in building the capacity of the group. You will want to mentor the group closely as they manage this money.

Resources: Module 20

1. *Mango Accounting Pack: Basic Book-keeping Pack, Version 1.0, May 2000*, **Mango.**

2. Shapiro, Janet, *Financial Control and Accountability Toolkit*, **Civicus.**

3. Symes, Camilla, *The New Toolbox: A Handbook for Community Based Organisations: Volume 4: Managing Money and Fund Raising*, **The Barnabas Trust, South Africa, 2002.**

Special thanks to Standard Bank Mozambique, Quelimane branch, for its assistance.
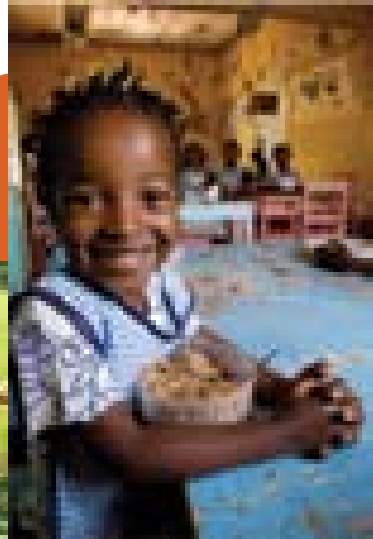
Capacity Area 5: Financial Management

Module 18: Budgeting

Module 19: Bookkeeping

Module 20: Banking

This capacity area aims to ensure the financial competence and transparency of the CBO and to put safeguards into place to minimise the risk of financial mismanagement. The CBO will begin by writing a budget aligned to the activities in its action plan. The group will learn to record expected income and expenditures using a standard budget template, and to record any variance between predicted and actual income / expenditures. The CBO will then learn the critical importance of accurate bookkeeping. A cashbook recording all transactions of the CBO must be kept up to date, and transactions must be verifiable by supporting documents. The CBO will discover the importance of carrying out monthly cash reconciliations to confirm that actual cash available matches the group's records. The Treasurer will then count out the cash in front of the other group members at every monthly meeting. Additionally, for those CBOs managing funds too large to be safekept in the village, or for CBOs receiving funding from external sources, the Facilitator will assist the CBO to open and properly manage a bank account.

World Vision®

*Part II: Facilitator's Manual for **OCB** Training*

ORGANISATIONAL
CAPACITY
BUILDING

Capacity Area 6:

Resource
Mobilisation

World Vision is a Christian relief, development and advocacy organisation dedicated to working with children, families and communities to overcome poverty and injustice.

As followers of Jesus, World Vision is dedicated to working with the world's most vulnerable people. World Vision serves all people regardless of religion, race, ethnicity or gender.

author: Michele Gaudrault

Capacity Area 6:

Resource
Mobilisation

Contents

Introduction

Volunteer community-based organisations (CBOs) represent an excellent way for community members to come together to respond to the enormous need to care for orphans and vulnerable children, the ill, and other affected by HIV and AIDS in Sub-Saharan Africa and around the world. Given the enormity of the HIV and AIDS pandemic, it is only through community members coming together in this way to provide front-line support that a significant number of individuals in need can be reached. If it were necessary to wait for, and depend on, money coming from others to care for children, the chronically ill and others, many many individuals would have to go without support! It is therefore a wonderful

thing that the CBOs you are working with have volunteered their time, their energy, their commitment, their love and their resources to caring for the vulnerable members of their community.

At the same time, however, it is true that the resources that the volunteers have to contribute are limited. CBOs around the world are indeed carrying out high quality work with the little they have, and this shows that a community-led response can indeed work, even though the resources of the community members are limited. It is worth asking, however, how much more the CBOs could do – and how many more beneficiaries they could reach – if they could mobilise additional resources from outside their membership. You have been working to build the capacity of the CBO to grow as a strong and healthy organisation. Now that the CBO has designed a Strategic and Operational Framework, has put in place effective Structures and Procedures, has focused on building healthy Leader and Team relationships, is Monitoring and Reporting the results of its work, and has an effective Financial Management system in place, it is in a good position to raise money both from within the community and from external sources.

In Module 22, aimed at beginner organisations, you will work with the CBO to identify potential sources of contributions from within the community itself. These contributions may be in the form of money, gifts in kind, facilities / space, services, or human resources. The CBO will develop an action plan for approaching community stakeholders with a well-organised and convincing solicitation for support and will learn how to organise various types of "events" as additional ways of raising funds.

In Module 23, aimed at intermediate organisations, you will help the CBO to identify potential external funders and to put together a proposal for funding.

Module 22:   Local Resource Mobilisation

<u>Contents</u>

Introduction

Activities

Facilitator Reference Sheets

Handouts

Special Sections

Introduction

Training Objectives

- To identify the **types** of resources (cash and other) that the CBO can attempt to mobilise, and the types of resource mobilisation **approaches** that the CBO can employ
- To determine **key stakeholders** likely to contribute with time, cash, materials and / or services
- To understand and observe the elements of **good practice** in resource mobilisation
- To come up with an **action plan** for moving forward with local resource mobilisation

Training Outputs

- The CBO produces a written **Action Plan** for moving forward with local resource mobilisation

Suggested Indicators

- The CBO has succeeded in identifying and approaching key stakeholders to solicit resources
- The CBO has succeeded in mobilising local resources

Materials

- A flip chart, paper and markers

Time: 1 day

Activity One: Types of Resources

When people think of mobilising resources it is common to think exclusively in terms of financial donations (money). While the CBO may indeed be successful in raising money within the community, you should encourage the participants to think in broader terms, as the following definition of local resources suggests:

Local resources are any contribution from within the local community that assists the implementation of an activity, project or program. [1]

Divide the participants into three groups and distribute a large sheet of flip chart paper to each group. The three sheets of paper should be labeled as follows:

- Materials
- Services and Facilities
- Human Resources

NB: *You may have to assist the third group with one or two examples of what is meant by Human Resources.* Have the groups brainstorm the various possibilities for resources within their respective categories. When the groups have exhausted their ideas return to plenary and have each group present their results.

Following the plenary discussion, distribute **Handout 23.1** to the participants and review the information with them. Ask them which types of local resources they believe they can attempt to mobilise within their own community.

Optional

As a follow up to this activity you may transfer the items on the handout list to cards – one item per card – and ask the group to arrange the cards in order of priority, with respect to the types of local resources they would like to try to mobilise.

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[1] *How to Mobilise Local Resources: A Guide for Non-governmental Organisations and Citizens' Initiatives*, Academy for Educational Development (AED), Croatia, with USAID, 2004.

Activity Two: Reasons for Local Resource Mobilisation / Motivations to Contribute

In this activity you, the facilitator, will be combining two activities into one. (Just to make things a little bit different this time, so that the group does not get tired of constantly brainstorming!) You will be helping the group to answer the following two questions:

- What are the advantages for the CBO of mobilising resources from the local community?
- Why do community members give to projects like the CBO?

Before beginning this activity you should **make three photocopies each of Facilitator Reference 23.1** and **Facilitator Reference 23.2**. After you have made the copies, cut out the squares, and organise them into three piles. (There should be a total of 12 squares in each pile.) Mix up the squares in each pile so that they are not in the same order as the original photocopies.

Divide the participants into three groups and give each group one pile with 12 squares. Explain to the groups that they should try to sort the squares into two categories, as above. That is to say, they should categorise as follows:

- one category for the advantages of mobilising resources from the local community,
- one category for the reasons / motivations of the community to donate.

After the groups have tried to categorise the information return to plenary and facilitate a group discussion. The key points you will make are:

- **There are many advantages of working to mobilise resources from the community, besides just raising money!**

  - This helps to build long-term relationships with the community, and "social capital".
  - Keeping the community informed will generate community interest in the work the CBO is doing, and create greater community "demand" for the CBO's activities.
  - As the community begins to take on a more active role in contributing to the CBO's work, the CBO will not need to depend as much on World Vision (or on your mobilising agency).

- **Community members are very likely to help if you ask them to!**

  - Sometimes the only reason local people are not involved in the CBO's activities is simply because they have not been asked!

  - The CBO might want to think of ways they can thank those who contribute time, services, materials or money, so that those who contribute feel appreciated and feel that they are benefiting from having helped out.

  - The more the CBO can demonstrate the positive impact its work is having in the community, the more community members will want to help out!

Activity Three: ▷ **Who to Approach for Resources**

Step 1: Identify Potential Contributors

In this step you will ask the participants to brainstorm a list of key individuals and organisations in the community – and perhaps at district level as well – who they feel might be open to contributing in some way to the work of the CBO. Remember, not all contributions must be in the form of money! Have the group write a complete list on a large sheet of flip chart paper. Some examples might include:

- Key community leaders

- Churches

- Local businesses

- Local government

- NGOs

- Regular citizens!

Step 2: Identify Type of Support to Solicit

You may help the participants to draw up a table such as in the example found in **Facilitator Reference 23.3**. This table lists the **type** of support that the group thinks they might be able to solicit from each of the potential contributors. For example, church members might be able to contribute with small food donations, while local businesses might help out with cash, office supplies and assistance with photocopies.

Remember that your Facilitator Reference sheet is meant to serve as an **example** only! The types of support that the group will solicit from each of the target groups will depend entirely on their local context and on what they think is possible.

Activity Four: "Good Practice" in Resource Mobilisation

Before the group gets underway with local resource mobilisation it is important that they understand the "good practice" of fundraising, as well as the common courtesies that should be observed when asking others to give.

Divide the participants into small groups and distribute **Handout 23.2** to each group. The literate members should read the points on the handout aloud to the other participants in their small group. The members should discuss each point in turn to ensure that everyone understands and is in agreement with the information presented.

Some of the ideas on the handout may be new to the participants. If they agree with these ideas they should discuss how they might want to go about putting some of them into practice. For example, it may be the case that the CBO has not, in fact, ever invited other community members to visit their project or to accompany them on their activities. They should begin to discuss whether or not they think that this is something that they might want to do, in preparation for Activity 6 when the group will come up with an Action Plan. Similarly, they may never have thought to send thank you messages to their supporters, and might want to begin to think about that now.

In review, some of the elements of "good practice" in resource mobilisation include:

• Don't be afraid to ask
• Be visible as a CBO
• Get people to connect with the work being done
• Keep contributors updated
• Stay in line with your mission
• Keep records and be transparent
• Express gratitude to all supporters

Activity Five: ⟩ Ways to Mobilise Local Resources

The group should now begin to think about the **ways** that they might want to go about mobilising local resources. While one possibility is certainly to go door-to-door, you should help them to think of other, creative possibilities as well.

Distribute **Handout 23.3** to the participants and go over each of the potential resource-mobilisation approaches with the group. Ask them if they have ever tried any of these approaches and, if so, what their experience was. If some of these ideas are new to the group you may help them to think through the possibilities for their CBO, and the extent to which some of these ideas might be relevant to their situation.

In review, some of the possibilities include:

- Approach potential supporters personally
- Make an appeal in churches
- Use Community Radio
- Organise a special event:
  - A Football Match
  - A "Walk":
  - A Concert:
  - A Sale:

Activity Six:	Ready for Resource Mobilisation?

Before the CBO approaches community members to solicit support, the group should make sure that it is prepared to clearly explain the **nature of the work** that it is doing, the **numbers of beneficiaries** that it is supporting, and the **systems** that it has in place to keep track of resources.

Step 1: Readiness Checklist

Distribute **Handout 23.3** to the participants and go through the checklist items with them. If there are areas where the group does not yet feel prepared, you may need to assist them to go back over some of the previous trainings (or other types of assistance) you have carried out. For example, it might be necessary to review the group's **Vision**, or its **Goals and Objectives**, or perhaps to do a refresher training on how to accurately record cash movements in a **Cashbook**. The group should not move ahead with resource mobilisation activities until it is certain that it can answer the questions and satisfy the concerns of potential supporters.

Step 2: Preparing Statements (as needed)

If the group has decided to approach certain stakeholders directly, or to make a church appeal, or to broadcast over community radio, they should be well prepared in each instance with what they want to say.

Work with the group to develop and practice the statements and/or appeals they will be making. Determine together with the group if there is any additional documentation that they should bring along with them.

Activity Seven: Resource Mobilisation Action Plan

Finally, the group should now come up with a concrete plan of action to move forward with resource mobilisation. You may use the format below to help the group to come up with its plan. Do not forget some of the important activities that will contribute to goodwill in the community, such as inviting community members to visit the project, and sending progress reports and thank you messages to supporters.

An example has been provided here with respect to soliciting support in churches. As always, you should use this as an *example only*, while helping the group to come up with their own ideas.

Resource Mobilisation Objective 1: To raise cash and food donations from congregation members through church appeal		
Activity	**Person(s) Responsible**	**Time Frame**
Speak with 3 pastors to organise an appeal during church services	• CBO Secretary (Teresa)	• May 1st
Review CBO project information. Prepare and rehearse appeal message	• All CBO members	• Week of May 2nd
Deliver appeal during church services. Speak to congregation members and answer questions following service	• Three selected HVs (Thomas, Solomon, Luisa)	• May 15th
Invite interested congregation members to attend CBO meeting and learn more about CBO activities	• All CBO members	• May 18th
Receive food and cash donations from congregation members	• All CBO members	• May 18th
Record all contributions in cashbook and on inventory list	• CBO Treasurer (Carmen)	• May 18th
Send thank you messages to contributors	• CBO Secretary, assisted by 3HVs	• May 21st
Distribute food to OVC according to pre-determined selection criteria	• All HVs	• May 21st
Send progress report to contributors	• CBO Secretary, assisted by Chairman	• June 3rd

Facilitator Reference 23.1:
Advantages of Mobilising Local Resources

DEVELOP LONG-TERM RELATIONSHIPS WITH COMMUNITY	"SUSTAINABILITY" OF ACTIVITIES *(ACTIVITIES CAN CONTINUE FOR A LONG TIME)*
INDEPENDENCE *(DON'T DEPEND ON WORLD VISION TO CONTINUE AND SURVIVE)*	COMMUNITY BETTER INFORMED ABOUT CBO'S WORK AND VALUES IT

Facilitator Reference 23.2:
Reasons/Motivations for Community to Donate

BEING ASKED TO DONATE	INTERESTED IN THE WORK
TRUST THE CBO	PERSONAL LINKS WITH CBO MEMBERS
RECEIVE A DIRECT BENEFIT FROM DONATION	PUBLIC RECOGNITION
INTEREST IN WELFARE OF COMMUNITY	FOLLOWING EXAMPLE OF OTHERS WHO DONATE

Facilitator Reference 23.3:
Examples of Possible Types of Support

Stakeholder	Type of Support
Churches	• Cash donations • Used clothing • Food donations
NGOs	• Office space • Space for training • Free consultancies
Local Businesses	• Cash donations • Office supplies • Photocopy/printing services
Local Government	• Telephone usage • Assistance with transport • Office supplies • Land for collective use (i.e. for cropping, recreation, etc.)
Local Citizens	• Volunteer community service • Food donations

Handout 23.1: Types of Local Resources

Money

- Contributions in cash

Materials

- Office supplies (paper, pens, notebooks, calculators, etc.)
- Sports equipment (footballs, nets, etc.)
- Condoms
- Food
- Used clothing

- _____
- _____
- _____

Services and Facilities

- Free office space
- Free recreational space
- Free training facilities
- Photocopy services
- Typing/printing services
- Telephone usage

- _____
- _____
- _____

Human Resources

- Volunteers for community work
- Experts to help with training or technical assistance
- Free consultancies
- Free legal support

- _____
- _____
- _____

Handout 23.2: "Good Practice" in Resource Mobilisation

Don't be afraid to ask!

One of the most common reasons why people do not contribute more than they do is that they are not asked!

Be visible as a CBO!

Make sure the community knows what you are doing. Tell people about your activities.

Get people to connect with the work being done!

Invite church members, local businesses, local government and other key stakeholders to visit your CBO, to accompany members on some of the activities they are carrying out, or to become involved with the children the Home Visitors are supporting (where applicable). Share the goals, objective and status of the program with stakeholders and the community.

Keep contributors updated!

Anybody who contributes in time, money, materials or services to the work of the CBO should be kept informed about how their contribution is being used. Share success stories with your supporters!

Stay in line with your mission!

Your supporters have contributed to your work based on a certain understanding of what it is you are doing. You should not change the nature of your work in any drastic way without informing your supporters.

Keep records and be transparent!

Keep track of all money and other goods received from supporters. (Ask your facilitator to help you if you do not yet know how to record cash movements in a cashbook, or to keep track of material inventory.) You should be willing to show these documents to anybody who asks to see them.

Express gratitude to all supporters!

You may want to send a note of thanks to those who have contributed to your activities. Church members, business leaders and ordinary citizens will appreciate your acknowledgement and may be more likely to support you in the future as a result.

Handout 23.3: Ways to Mobilise Local Resources

Approach potential supporters personally

You should refer to the list of potential supporters that your group drafted in an earlier activity. You may decide that the best way of asking for support in some cases is to make an appointment and meet personally with the individual or organisation. You will need to be prepared to explain your program, to explain why you are asking for support, and what the support will be used for.

Make an appeal in churches

You may ask the priests/pastors/imams in your village if your CBO could make an appeal during one of the church services. Of course, you will need to be very well prepared with what you want to say, and what type of support you are soliciting!

Use Community Radio

Community radio may be an effective means of advertising the work of your CBO. Your group can prepare a brief message explaining the work that you are doing, and the types of contributions that you are seeking. Those who hear the radio message should be told clearly how to contact your CBO if they are interested in making a donation of time, money, materials or services.

Organise a special event

You might want to think about organising a special event in the village as a means of raising funds. Some examples might include:

- **A Football Match** where the admission fee is paid to your CBO.

- **A "Walk":** Volunteers can walk from one village to another, or from one point within a village to another point. The volunteers will ask individuals to make a contribution to the CBO in their name if they complete the walk.

- **A Concert:** Getting local musicians to perform, where the admission fee is paid to your CBO.

- **A Sale:** All CBO members can prepare small cakes or other local foods on a particular day and sell these for proceeds for the CBO.

Handout 23.4: Ready for Resource Mobilisation? A Checklist

☐ Can the group easily explain its Vision and/or Mission? That is to say, can you clearly explain to others why you exist as a CBO and what it is you are trying to achieve?

☐ Can the group clearly state its Goal and/or Objectives? The group should be able to clearly explain to others the specific ways that the CBO is working towards its Vision and/or Mission.

☐ Can the group clearly explain all the activities it is carrying out?

☐ Does the CBO know how many children and/or chronically ill it is caring for? Are there good records that show the type of support being provided?

☐ Does the CBO have a system for recording all money movements? Is the Cashbook kept up to date, with backup documentation for all credits and debits (money in/money out?)

☐ If the CBO receives contributions in the form of materials, is there a system for keeping track of these materials and showing how they are distributed?

☐ Is the group clear on **who** it wants to approach for support, the **types** of support to solicit from each individual and organisation, and the **approach(es)** to be used in soliciting this support?

Coordinating CBOs: Local Resource Mobilisation

- There is not much difference in the way you will carry out this module if you are working with a Coordinating CBO in place of an Implementing CBO.

- It is important to recognise, however, that the local community may be more disposed to contribute to the type of work that **Implementing CBOs** are doing, as opposed to the work of Coordinating CBOs. This is because local community members usually like to see their contributions used for the direct benefit of identifiable individuals. If the Coordinating CBO you are working with wants to try to raise resources locally it should probably think of the ways in which it can use these resources for the benefit of OVC, the chronically ill or some other community target group.

- Nevertheless, you should remind the CBO that resource mobilisation does not refer only to cash or in-kind contributions! A Coordinating CBO can benefit greatly from contributions in the form of space (a meeting location, for example), services (assistance with legal issues, for example), and the like. You should assist the CBO to think through the types of support it can most usefully be soliciting.

Resources: Module 22

1. *Affiliate Fundraising Pack Training Programme Notes*, **Habitat for Humanity AME, September 2001.**

2. **Hayes, Ernest and F. Alin, L. van Ginneken,** *A Guide to Fundraising*, **Network Learning, 2004.**

3. *How to Mobilise Local Resources: A Guide for Non-governmental Organisations and Citizens' Initiatives*, **Academy for Educational Development (AED) Croatia, with USAID, 2004.**

4. *Raising Funds and Mobilising Resources for HIV/AIDS Work: A Toolkit to Support NGOs/CBOs*, **International HIV/AIDS Alliance.**

Module 23:   Proposal Writing

Contents

Introduction

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Special Sections

Introduction

In all of the trainings to this point the CBO has focused on systems, structures, procedures and relationships that make sense for *the CBO internally*, in order to grow as an organisation. When an organisation begins to seek and receive support from external sources, however, it must now consider the viewpoints of the funder and adhere to its requirements. In this module you will help the CBO to identify those potential funders with visions and objectives similar to the CBO's own. You will then facilitate a workshop so that the CBO can review its programme and present it in such a way so as to conform to what the potential funder is looking for.

Training Objectives

- To help the CBO to identify potential funders with vision / objectives similar to the CBO's own
- To hold a workshop so that the CBO can review its programme, identifying those parts of the programme to be presented to the potential funder
- To write (and submit)[1] one or more proposals for funding, following the format required by the potential funder(s)

Training Outputs

- One or more proposals for funding written for potential funders
- (One or more proposals for funding submitted to potential donors)

Suggested Indicators

- The CBO has succeeded in submitting a proposal for funding to an external donor
- The CBO has succeeded in securing external resources

Materials

- A flip chart, paper and markers
- Calculators (ideally one for every two participants)
- Sample donor proposal formats

Time: 1 day

---

[1] The CBO may wish to receive this training *in preparation* for submitting proposals at a later date. If this is the case, the CBO will only practice writing a proposal, but will not submit it to a funder at the end of the training.

Activity One: Discussing External Resources and Implications for the CBO

So the CBO is ready to apply for external funds! This is very exciting, as it will enable the group to expand its activities to reach more beneficiares, or to add new activities that will provide extra support to the beneficiaries it is already reaching. At the same time, however, there are new responsibilities that will go along with using someone else's money. Before the CBO begins to apply for funds it is important to think about the ways in which the CBO will change – as well as the ways in which it should *not* change – as it moves in this exciting new direction.

Ask the group to think about the following question and to brainstorm together to come up with two separate lists. Write the group's responses on a flip chart.

- **What will change and what will not change in our CBO if we receive external funding?**

Some points that you will want to emphasise at the end of the discussion are as follows:

- When using external funds, the activities that the CBO is carrying out will reflect both what the CBO wants to do, and what the *funder* wants the CBO to do. When using external funds, the funder will have some influence on what the CBO does.

- Donors will not always fund everything that the CBO is doing. The CBO will probably still need to raise some money internally (through member contributions, for example) for some of its work.

- The CBO should not lose its volunteer spirit just because it is receiving money from an external source! Chances are, the external funds will *not* cover all of the CBO's expenses and, chances are, the funding will be for a limited period of time. It is of course wonderful that the CBO is able to do more with the money it is receiving, but in the long run the CBO will still be essentially a volunteer-based organisation. Member commitment will still be the key to the CBO's success! Remind the group of this fact, and congratulate them on their willingness to continue to volunteer their time and effort.

Activity Two:	Understanding the Funder's Requirements

Introduction

Now that the CBO has decided to try to raise money from an outside source (a source other than its own member contributions or its own business activities), it will need to take into consideration the goals, ideas and requirements of the potential funder. While the programme will remain the CBO's own programme, if the CBO is using someone else's money to carry it out, then the funder will rightly have some say in how the money is used. From the outset of the CBO-funder relationship – beginning from the time that the CBO comes together to write the project proposal for the funder – It is important that the CBO understand what the funder is looking for. In the proposal, the CBO should be able to show that its programme is broadly aligned with the funder's goals, and that it believes it can carry out a project that will meet the funder's requirements.

NB: If the funder has goals that are vastly different from the CBO's goals, then this is likely not the correct funder for the CBO! The CBO's overall agenda cannot be too different from that of the funder. It is important that the CBO identify a funder that shares its overall vision and goal, to avoid conflicts later on as to how to carry out the programme!

Prior to beginning work on the proposal, the CBO should research the information outlined below[2]. If there is more than one funder that the CBO is considering approaching, it should collect this information from all the potential funders.

☐ **Contact Information**: Name, address, telephone and fax numbers (if applicable) of the funder. Name and title of the person that the CBO should contact, and name and title of the person the CBO should submit the proposal to.

☐ **Goal/Objectives**: The mission, goals and concerns of the funder, including its areas of interest, whether it funds in particular geographical areas only, and what its general funding criteria are.

☐ **Funding Amounts**: The size of the grant that the funder usually gives, or has stated that it is prepared to give.

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[2] Shapiro, Janet, *Writing a Funding Proposal*, Civicus: Civil Alliance for Citizen Participation.

☐ **Proposal Format**: Whether the funder has a specific proposal format that the CBO should use, or guidelines that the CBO should follow. If so, the CBO should obtain a copy of the proposal format.

☐ **Budget Format**. Whether the donor has a specific budget format that the CBO should use, or budget guidelines that the CBO should follow. If so, the CBO should obtain a copy of the budget format.

☐ **Deadlines**: The dates / deadlines for submission of proposals for consideration. The CBO should post these deadline dates for itself in a very visible location!

Exercise

Work together with the CBO to collect the information outlined on the previous page from potential funders. You as a facilitator together with your organisation (World Vision or other) have a role to play in helping the CBO to identify potential funders. You will likely have more information than the CBO does about potential funding sources, and you should work together with the CBO to help the CBO determine who it can approach for funding.

Possibility One: A Meeting

If the potential funder has local offices then you may facilitate an introductory meeting between the funder's representative and one or more leaders of the CBO. *You should prepare the CBO participants for this meeting ahead of time.* Some considerations include:

- The CBO leaders should be prepared to explain the CBO's current programme. The funder's representative may or may not have the time or the desire to be briefed on all the details of the CBO, but the leaders should be prepared to present these details in case he / she is! Such a programme overview can include:
  - The Vision and Mission
  - The Goal and Objectives
  - The Annual Action Plan
  - Who the CBO's beneficiaries are / how many
  - An overview of how the CBO is structured (leadership, organogram)
  - An overview of actual achievements against planned targets
  - An overview of the CBO's internal funding and budget
  - A 'human interest' story

- The CBO leaders should be prepared to explain why they are interested in seeking funding

- The CBO leaders should be prepared with the questions they want to ask the funder's representative. These questions should be geared to understanding the funder's overall goals and objectives and the funding amounts available, to obtaining proposal/budget forms or guidelines, and to asking about deadlines and other requirements.

Possibility Two: Secondary Information

If it is not possible to meet personally with the funder representative(s), then you will need to help the CBO to collect the necessary information through other means. You may have much of the necessary information on hand. If not, you may need to do some research yourself, perhaps contacting your colleagues in the National Office and requesting the information from that level. Always explain to the CBO what you are doing, and the progress of your attempts to collect information.

If it is necessary to write a letter to the potential funder(s) requesting information and forms, work together with the CBO so that they are involved in drafting such letters. This will prepare them for future occasions when they need to contact funders on their own!

Activity Three: Workshop: Preparing the CBO Programme

Introduction: Programme Planning Workshop

f you have carried out the previous training modules with the CBO, then you have already helped the CBO to go through the process of planning, implementing and monitoring its programme.

At this point the CBO:

- Should have a well-defined programme with Goal, Objectives and Activities
- Should be monitoring its actual activities and achievements against the plans and targets
- Should have a budget and should monitor actual income and expenditures against the budget

These are the main programming elements that a funder will be looking for. You may ask why the CBO cannot simply take its current plans, targets and budget and use these for the proposal. The reason is that the CBO will be applying for new (probably *higher levels of*) funding, and this means that the CBO will either *expand* its current activities or add new activities to what it is currently doing, or both. This in turn means that the members will need to go back to their Action Plans, Monitoring Plans and Budgets with a view to incorporating the new and/or expanded activities that they will be proposing to the funder.

The group should set aside at least one day to hold a workshop to formulate the (new and/or expanded) programme that they will be proposing to the funder. You should be present at this workshop in order to facilitate the process for the group. The CBO will need to go back over the material from many of the previous modules. The decisions and outputs of the modules were originally formulated when the only source of funding for the CBO was internal. These decisions and outputs will now need to be updated or revised in view of the changes to the programme that will result if the CBO receives the external funds they are applying for. You should go through the steps beginning on the following page with the group.

Workshop Step 1: Reviewing Goal and Objectives

- **Goal:** Ask the group to think about whether, if they receive the external funding and now have more money to spend on their programme, the Goal of their programme will change. In some cases a CBO may decide to expand into new areas of work, and this is fine if they feel capable and prepared to do so. In most cases, however, it is probably advisable for the CBO to apply for funding in order to carry out work *that it already has good experience in implementing*. In this case, there will likely be no change to the Goal of the programme.

Remember CBO *Understanding Youth*'s Goal:

> **Goal**
>
> To reduce the frequency of risky sexual behavior among community youth.

The CBO is planning to use the additional funding to both *expand* current activities, and to *add* a component of vocational training for youth. The CBO believes that if youth have job opportunities (through vocational training), they will be better able to take control of their own lives, including their sexual lives. The CBO therefore believes that although they are adding an additional activity, the overall Goal does not change.

Help the group to think through the logic of any new activities that they are planning with the external funding, and whether or not these new activities imply a change in their Goal. (Sometimes the Goal will change, but usually it will not. You will need to think through the logic together with the group.)

- **Objectives:** The group should now return to its Objectives and decide on any needed changes or updates. The two most common changes are as follows:

  - If the CBO will be using the external funding to *expand* its activities (i.e. – to continue with the same activities but to do *more* of them, reaching *more* beneficiaries), then the new **targets** should be reflected in the Objectives. The Objectives will not change except to increase the targets.

  - If the CBO will be using the external funding to *add new activities*, then it may be necessary to add one or more new Objectives.

Distribute **Handout 22.1** to the group. This handout shows the changes that CBO *Understanding Youth* made to its Objectives. The CBO will be *adding* vocational training to its current activities. In addition to this, they

will also be *expanding* their current activities to reach more beneficiaries. Both of these changes have been reflected in their revised Objectives. Review Handout 22.1 with the group to ensure that they understand the changes made.

Help the group to decide if it needs to change its Objectives and / or add any new Objectives. Remember again that Objectives must be SMART!

Workshop Step 2: Drafting Updated Action Plans

It is essential that the group draft a new Action Plan to submit to the funder. This Action Plan should show the funder exactly what the CBO plans to do, and when activities will be carried out.

NB: If you need assistance in remembering how to help the group to write an Action Plan, please refer to Module 3.

Funders may ask for the Action Plan in various formats. The two sample proposal formats provided in your *Facilitator Reference 23.1* show two different ways that funders may want to see activities outlined. If the funder does not provide a specific format, however, then the best bet is to use a *Gantt Chart*, as you learned in Module 3.

Distribute **Handout 22.2: Sample Gantt Chart** to the participants. Help the group to outline their Action Plan either in this format or in the format required by the funder.

NB: The Action Plan should be drafted for the time period covered by the grant. The example given in the handout is for a **one year** Action Plan, but the grant may only be for 6 months or, conversely, for two or three years. The CBO should draft the Action Plan accordingly.

Workshop Step 3: Reviewing Organisational Structure

- The main consideration for the CBO with regards to organisational structure is whether they will need more members / volunteers in order to carry out their new and / or expanded activities.

- If the CBO decides that it needs to recruit more members, it should use the Role Descriptions that it wrote in *Module 5: Structure, Roles and Responsibilities* as a guide. This will both help the CBO to be clear about the type of person (i.e. with what types of skills and characteristics) it is looking for, and will also help the interested individuals to understand the type of work they will be taking on.

- The CBO should update its Organisational Chart (organogram) accordingly. Some proposal formats will ask for a copy of the Organisational Chart.

Workshop Step 4: Drafting Updated Monitoring Plans

- With external funding the CBO will either be *expanding* its current activities in order to reach *more* beneficiaries, or will be *adding new* activities. In either case, the CBO will need to revise its Monitoring Plan to reflect these changes.

- Refer back to *Module 15: Monitoring* and assist the group to review its activities, indicators and targets. The CBO should update its Indicator Tracking Table, by increasing the targets in line with the expansion of activities, or by adding new indicators to correspond to new activities, or both.

- Once the Indicator Tracking Table is complete, the group should check to make sure that the information they are currently collecting is sufficient in order to track all the indicators, including any new indicators. If it is not, work together with the group to determine what additional information is needed, and to update the monthly monitoring forms so that the necessary information is collected.

NB: The funder may or may not ask for an Indicator Tracking Table. Nevertheless, it is important for the CBO to have such a table for its own internal purposes. The funder will almost certainly want to know the programme **targets**, that is to say, *how many* beneficiaries will be reached, *how many* particular activities will be carried out, etc. By drafting an Indicator Tracking Table, the CBO will have its targets ready to present.

Workshop Step 5: Drafting an Updated Budget

- The CBO should be able to show the donor exactly how it plans to spend the grant money! Once again, the CBO will either be *expanding* its current activities in order to reach *more* beneficiaries, or will be *adding new activities*. If the CBO is *only* expanding its current activities, then it may be possible to use the existing CBO budget, making changes only in the *total costs* of the individual line items, but not changing the line items themselves. If the CBO is *adding new* activities, however, then the group will need to carefully budget for these new activities.

- Refer back to *Module 18: Budgeting* and assist the group to write a budget for the amount of funding that it is applying for.

NB: Sometimes funders like to see that the applicant is **also** contributing its own money or materials to the programme, in addition to the money that it is requesting from the funder. This CBO contribution is known as a **match**. Indeed, in some cases the funder will **require** the CBO to provide a certain percentage of the funding as match. Whenever the CBO is providing a match, either required or not, this should be reflected in the budget. (As the group learned in **Module 18**, this will be recorded under 'Income', under the category of 'Member Contributions'.) The CBO should find out if a match is required!

Workshop Step 6: Opening a Bank Account (if required)

- Most funders require that the money they give to an organisation be deposited in a bank account. This is for obvious reasons – to avoid problems of theft and to promote transparency in tracking the money coming in and going out.

- If the funder requires the CBO to open a bank account, then you should carry out the training in *Module 20: Banking*, both to help the group to open the account, and to train the members in the additional bookkeeping that is required when money is kept in a bank.

NB: If the group is successfully recording all its transactions in the Cashbook and correctly filling out Payment Vouchers and Receipts, it will not be too difficult for the group to learn how to work with a bank account!

Workshop Step 7:
Collecting Supplementary Documentation

- Different funders will require different types of documentation to be submitted along with the project proposal. If applicable, you should help the group to collect:

  - Letters of support from World Vision or other affiliated organisations, relevant Government line ministries and / or other partners / stakeholders, as required

  - Certificates of legal registration, if applicable

  - Bank statements, if applicable

Activity Four: Writing the Proposal

- If the CBO has held a workshop to review the steps described on the previous pages, then it will have done most of the work necessary in order to write the proposal! The CBO will have thought through the activities that it wants to carry out with the external funds and will have drafted an *action plan*, a *monitoring plan* and a *budget* related to these activities. The only remaining task is to present all this information in the format that the funder is looking for!

  The two examples provided in your Facilitator Reference suggest that funders will not likely be looking for very lengthy proposals if the amount of funding is less than – say – $10,000. If this is the first time that the CBO has applied for funding, it is unlikely that the amounts that the group can qualify for will be any greater than this. Indeed, the CBO is well-advised *not* to apply for more funding than it can reasonably manage. If the CBO has never managed any funds apart from member contributions, then it should start off by applying for small amounts!

  This being the case, it is likely that the potential funders will require proposals in a format similar to the examples in your Facilitator Reference. In these two examples, the CBO merely needs to transfer the information it has developed during the workshop to the appropriate lines or boxes. As you can see, very little narrative is required.

- Assist the group to fill out the proposal form provided by the funder. ***You should help the group, but you should not write the proposal for them!*** If the funder requires a *typed* proposal, then you may assist the group with the typing.

- The CBO should follow all funder instructions concerning the number of copies to submit, the address to post the submission to, and the deadline for submission!

- When the proposal is submitted, the CBO should feel very satisfied with its effort, regardless of whether it ultimately receives the funding or not! Good luck!

A Note on 'Full Proposals'

Occasionally a funder will require a 'full' proposal, even from applicants requesting small amounts of funding. A full proposal requires a great deal of **narrative description**. That is to say, instead of simply filling in lines or boxes, the CBO will be required to write a description of its project. The CBO may be asked to include any or all of the following sections in the proposal:

- Executive Summary
- Problem Statement
- Project Goal and Objectives
- Project Description
- Management/Staffing
- Monitoring and Evaluation

A training module with guidelines for writing full proposals has not yet been developed. If your CBO is required to submit a full proposal, you will need to work closely with the group to fulfill the specific requirements set out by the funder.

Facilitator Reference 22.1: Sample Proposal Formats

See examples of two proposal formats on the following pages:

- The first example is from the World Vision-led RAPIDS consortium in Zambia, for community-based organisations applying for small grants.

- The second example is from Mozambique's *National Committee to Combat HIV/AIDS*; also for community-based organisations applying for small grants.

Proposal Format #1

Organisational Information

Name of organisation: _____

Date Submitted: _____   *Date Received:* (Internal use only) _____

Contact Person: _____

Title: _____   District: _____

Postal Address: _____   Phone: _____

Physical Address: _____   E-mail: _____

If registered, please provide registration number: _____
(please attach copy of registration certificate, if possible. If not legally registered, please provide a letter of endorsement from a parent organisation, or referee organisation.)

Date of registration / formation? _____   # of members? _____
(If members are related or married, explain)

Mission *(limited to space provided)*: _____

_____

_____

_____

_____

How are you governed? What management and decision making systems are in place?
(please include board, executive, and committees, if appropriate)

_____

_____

_____

_____

When was your last leadership committee / board meeting? _____
(please attach minutes, if available)

How frequently does your leadership committe / board meet? _____

Have you received a grant before? _____   Date of first grant ever received: _____

Last year's annual budget: _____

Please list your past 2 donors, dates of funding, and amount received:

1. _____

2. _____

Project Information

Proposed Project Name: _____

Proposed level of funding from (donor): _____

Duration of Project (months/days): _____

Project Aim/Goal (limit to space provided): _____

_____

_____

_____

Expected Outcome (limit to space provided): _____

_____

_____

_____

What is the contribution from your community or organisation in terms of cash, in-kind or work to this project?

_____

_____

(Donor) requires that funding be maintained in a bank account that exclusively holds money for this grant, or that funding can be clearly traced at all times. Are you willing to open such an account? _____ (yes/no). If not, please explain your traceable financial system. (attach explanation)

Do you currently maintain a bank account? _____ (yes/no)

Please attach latest bank statement

Prospective grant recipients must agree to be audited and to give copies of all financial records related to the grant to (donor) to hold for three years after the termination of funding.

Do you agree to these terms? (yes/no) _____ Date: _____

Name/Title: _____ Signature: _____

Proposed Activities:

Target Beneficiaries:
(number & type: OVC, PLWHA, etc.)

Timeframe:
(start and end date for activity)

Budget:

1.

2.

3.

4.

5.

6.

7.

**PLEASE ATTACH DETAILED BUDGET. IE FOR TRAININGS, LIST ALL COSTS INVOLVED

Proposal Format #2

1. Organisational Information

Fill in the names of the organisation's leaders and their functions

Name	Function	Sex (M/F)	Signature or fingerprint
1.			
2.			
3.			
4.			
5.			

Is the organisation registered?   *Mark with an X*   Yes _____   No _____

This organisation was formed to do what?

_____

_____

2. Project Information

Fill in the table below with information regarding project Objectives and expected Results.

What are the Project Objectives?	What Results does the project expect to achieve?

Attach additional page if more space is required

Fill in the table below with information regarding Project Activities and how these activities will be carried out:

List the Project Activities	How will these activities be carried out?

Why did the organisation select this geographic location for project activities?

_____

_____

Fill in the tables below providing budget detail for each of the project activities:

Activity _____ *planned to begin in month* _____

What will be paid for/purchased?	Quantity	Unit Cost	Total Cost
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

Activity _____ *planned to begin in month* _____

What will be paid for/purchased?	Quantity	Unit Cost	Total Cost
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

Activity _____ *planned to begin in month* _____

What will be paid for/purchased?	Quantity	Unit Cost	Total Cost
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

Activity _____ *planned to begin in month* _____

What will be paid for/purchased?	Quantity	Unit Cost	Total Cost
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

Add additional pages if more space is needed

The **total** amount necessary to carry out all activities _____

Name / Title: _____   *Date:* _____

Signature: _____

Handout 22.1: Example:
CBO *Understanding Youth*'s New Objectives

If CBO *Understanding Youth* receives the funding that they are competing for, they will *add* vocational training to their current activities. In addition to this, they will also *expand* their current activities to reach more beneficiaries. Review the CBO's **current objectives** (without funding), and their **proposed objectives** if they receive funding.

Current Objectives

Objective 1 (Current)

To provide life skills training and basic HIV information to **1,000** youth in schools, churches and youth clubs by the end of 12 months.

Objective 2 (Current)

To hold **one** 'community conversation' per month with parents and leaders to discuss the primary issues surrounding HIV risk.

Proposed Objectives

Objective 1 (Proposed)

To provide life skills training and basic HIV information to **2,000** youth in schools, churches and youth clubs by the end of 12 months.

Objective 2 (Proposed)

To hold one 'community conversation' per month with parents and leaders **in two communities** to discuss the primary issues surrounding HIV risk.

Objective 3 (Proposed)

To select and sponsor **300** youth to receive two years of vocational training

Handout 22.2:

Sample Gantt Chart for Annual Action Plan

Objective 1: _____

Activities	Who	When (Month)											
		J	F	M	A	M	J	J	A	S	O	N	D
Example: Meet with local Administrator to discuss educational needs of OVC	OVC Chairperson												
Example: Make regular visits to the homes of OVC	CBO Home Visitors												

Coordinating CBOs: Proposal Writing

- There is not much difference in the way you will carry out this module if you are working with a Coordinating CBO in place of an Implementing CBO.

- It is true, however, that a Coordinating CBO may write a proposal for *a different kind of program* than would an Implementing CBO. You will need to help the CBO to think through the types of activities it would like to carry out with external resources and to draft its program and the corresponding proposal accordingly.

Mentoring: Capacity Area 6: Resource Writing

Module 22: Local Resource Mobilisation

Module 23: Proposal Writing

The two modules are additional examples of when training is only a *first step* and where you will want to be supporting the group in various ways as they begin to raise funds locally and to write proposals to compete for outside sources of funding.

Follow Up (after trainings)

1. Following training in Module 22, you may want to **go out together with the group** as they **approach individuals/organizations** to solicit resources.

2. You can **help to link the CBO to the community radio**, and to **prepare a message** to deliver over the radio to promote the CBO and to solicit support.

3. You can **assist the group in developing a message** to present in churches for resource mobilization.

4. The group might need assistance to organize and carry out some of the more unfamiliar forms of resource mobilization, such as holding a **football match**, a **concert** or a **walk**, where the proceeds go to the CBO. You can **help the CBO with the preparations and be present at the event**.

5. Encourage the group to write **'thank you' letters** to their supporters. You may need to **help them the first time they write such a letter**.

6. You will have an important role to play in helping the group to identify outside sources of funding and of **linking the group** to these outside funders. This assistance may be in the form of contact information, transport, or accompanying the group to their first meetings with the potential donor(s).

7. You will certainly want to **assist the CBO in writing proposals** when the group reaches this stage. While you *should not write the proposal for the group*, it is likely that the group will have a lot of questions and will need a lot of your assistance as they undertake this sophisticated activity for the first time. You may need to help the group to go through two or three drafts before they produce a version that is suitable for presentation to the donor. This will be a valuable learning experience for them.

8. If the CBO is successful in raising funds through a competitive process, it will be extremely important that they manage these funds correctly. You should **provide mentoring support to the group as they control and record their money movements**, and as they prepare financial summaries for the donor.

Resources: Module 23

1. *Proposal Writing for HIV/AIDS Prevention Grants*, The United States Conference of Mayors.

2. Shapiro, Janet, *Writing a Funding Proposal*, Civicus: Civil Alliance for Citizen Participation.

3. *Staff Handbook for the RAPIDS Small Grant Programme*, RAPIDS: 'Reaching HIV/AIDS Affected People with Integrated Development and Support', Lusaka, Zambia, 2005.
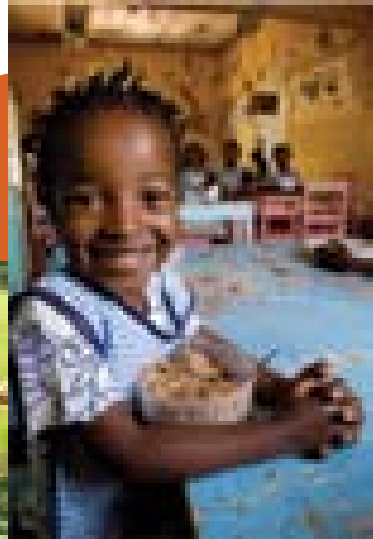
Capacity Area 6: Resource Mobilisation

Module 22: Local Resource Mobilisation

Module 23: Proposal Writing

This capacity area seeks to expand the resources that CBOs have available to carry out their work in order that more beneficiaries may be reached and / or more activities added to the CBO's services. The CBO will learn how to mobilise resources – cash and other types – within its own community by identifying and soliciting the help of key stakeholders. The CBO will explore ways to involve these stakeholders in its work, will learn 'good practice' in resource mobilisation and will develop a plan to solicit support and assistance. For more advanced CBOs ready to access grant funding, the Facilitator will work with the CBO to develop a project proposal. This training will include identifying potential funders, carrying out an internal workshop to determine how to present the CBO's work to these funders and, building on the results of the workshop, writing and submitting a competitive proposal.

World Vision®

*Part II: Facilitator's Manual for **OCB** Training*

ORGANISATIONAL
CAPACITY
BUILDING

Capacity Area 7:

*External
Relations*

World Vision is a Christian relief, development and advocacy organisation dedicated to working with children, families and communities to overcome poverty and injustice.

As followers of Jesus, World Vision is dedicated to working with the world's most vulnerable people. World Vision serves all people regardless of religion, race, ethnicity or gender.

author: **Michele Gaudrault**

Capacity Area 7:

External Relations

Contents

Introduction

All 25 training modules to this point have focused on building the capacity of the CBO as a stand-alone organisation, to ensure that it becomes sufficiently strong to carry out its work in the long term. Nevertheless, no matter how strong and healthy the CBO is, there will always be a limit to how much it can accomplish by itself, working alone. This is especially true in the context of HIV and AIDS, where the magnitude of the crisis requires as wide-ranging a response as possible. The HIV and AIDS pandemic and the related issues of orphans

and vulnerable children, individuals infected with HIV needing care and support, and all those uninfected who require accurate prevention information, are not challenges that organisations can meet by themselves. The only way that communities can respond at the scale required is by *linking* and ***joining together with others***.

It is likely that the CBO you are working with has received a great deal of training from you and your organisation (World Vision or other) to date. In the long term, however, the CBO must look beyond you and World Vision for the support and assistance that it might require in the future. The CBO should try to identify other organisations and individuals who can provide information, technical assistance, material or financial resources, solidarity, and other forms of support. At the same time, the CBO should realise that it has information and skills to offer to others as well! As the CBO begins to explore potential linkages with others, it should think both about what it can receive from, and what it can contribute to such relationships.

Module 26, aimed at beginner-level organisations, will take the CBO through a process of identifying, categorising, prioritising, and taking steps to approach and link with, other stakeholders involved in similar work. In a sense, this brings us back to the very first module, when the CBO recognised that its Vision can be achieved not by working alone but, rather, only through the efforts of many! The more the CBO can link and work together with others, the closer it will come to realising its guiding Vision!

Module 27, aimed at intermediate organisations, seeks a yet more powerful outcome in terms of the work that the CBO is doing. In Module 26 the CBO learned how to link and join with other organisations and individuals in order to expand the scope of its work and provide services to more beneficiaries. In Module 27, the CBO will move beyond *addressing the problems in the community to exploring and engaging with the root causes of these problems*. You will first introduce the concept of advocacy to the CBO and will then assist the group to develop critical awareness, to consider root causes of problems and to analyse power relations (to include the group's own power). By the end of the training, the group will have come up with a plan to address one or more pressing issues through action of an advocacy nature.

Module 26:   Networking

Contents

Introduction

Activities

Facilitator Reference Sheets

Special Sections

Introduction

In this module you will help the CBO to identify the many organisations and individuals operating at local, district and national levels with which it may want to link in order to carry out its work more effectively and/or on a wider scale. You will help the CBO to recognise the *benefits* of establishing such relationships, and the *contributions* that it can make to a partnership or a network. After identifying and prioritising the potential organisations with which the CBO can establish fruitful linkages, the group will come up with an Action Plan for approaching and working together with these stakeholders.

Training Objectives

- To recognise the **importance** of linking with external partners for a more effective HIV and AIDS response.
- To **identify**, **categorise** and **prioritise** among the many stakeholders operating at local, district and national level with whom the CBO can link.
- To produce an **Action Plan** with steps for moving forward in establishing linkages with external stakeholders

Training Output

- The CBO produces a **Diagram** identifying external organisations/individuals, and the current degree of contact that the CBO has with each one.
- The CBO produces a **Matrix of Stakeholders** that identifies, categorises and prioritises external organisations and individuals.
- The CBO produces a written **Action Plan** for contacting external stakeholders with a view to establishing linking, networking or partnering relationships

Suggested Indicators

- The CBO can identify all relevant stakeholders working in its area
- The CBO has regular contact with other CBOs and/or government entities in the area
- The CBO sends at least one representative to the relevant community/district/zone coordinating meetings.

Materials

- A flip chart, paper and markers
- Heavy paper, coloured if possible
- Scissors
- Glue stick

Time: 4 hours

Activity One: Brainstorm and Discussion: Definition and Benefits of Networking

Introduction

If you have carried out any or all of the previous training modules with the CBO then the CBO by now should be showing strong organisational characteristics and strong capacity! This of course is wonderful, for the stronger the CBO is, the more the members will feel fulfilled by the work they are doing, and the more the community members they are serving will benefit.

Nevertheless, as strong as the CBO may be, any organisational will always become stronger and more effective if it is able to *reach out to* and *link with* other organisations and individuals doing similar work. The purpose of this module is to assist the CBO to identify the external linkages that it would benefit from forging, and to begin the process of establishing these linkages. As such, in this module the CBO will no longer be focusing on *internal* organisational factors or elements but, rather, looking *outward* in order to establish ties with others.

Step 1: Definition of Networking

Ask the CBO members to explain in their own words what is meant by 'networking' . You should come up with a definition together with the group. You may use the definition provided in *Facilitator Reference 26.1* found at the back of this module, or you may alter the wording if the CBO comes up with something more complete, more exact, or more meaningful to them.

Step 2: Benefits of Networking

Now ask the group to explain why it is important to network with others involved in work similar to that which they are carrying out. Write the answers on a flip chart and contribute additional ideas from Facilitator Reference 26.1 as appropriate. The group's answers will likely fall into the following categories:

- Information
- Technical assistance
- Resource mobilisation
- Coordination

- Coverage (more target beneficiaries reached)
- Referrals
- Solidarity (mutual support)
- Advocacy

NB: It will be useful to work with the group to come up with a **symbol** for each of the categories listed above. For example, you could use a drawing of a **document** to represent **information**, a drawing of an **expert talking** to represent **technical assistance**, a drawing of **money** to represent **resource mobilisation**, and so forth. The group will be working with these categories in a subsequent activity and the use of symbols will help them to remember.

Activity Two: | Identifying Potential Linkages: Diagramming

NB: Before beginning this activity you should make sure that you have the necessary material. You will need to cut circles (from heavy paper, if possible) in small, medium and large sizes.

Step 1: Brainstorm

Ask the group to think of **all** the possible organisations and individuals in their local area with whom they could establish ties. List the group's responses on a flip chart. As each name is listed ask the group, 'Why?' or 'For what?', and have them explain the benefits of establishing a link with the person or organisation in question. When the group has exhausted its ideas, check the list provided in *Facilitator Reference 26.2* **for additional suggestions and ask the group if any of these suggestions are relevant to their local context.**

Step 2: Producing a Diagram

NB: See the example Diagram provided in Facilitator Reference 26.3.

a)   Place a large sheet of flip chart paper on a table or on the floor. Tell the group to place a large circle in the center of the paper, and to write the name of the CBO on it.

b)   The group should then refer to the list that they brainstormed in Step 1. For each organisation / individual on the list the group will select a **small**, **medium**, or **large** circle. They should select the size of the circle based on the **importance** of that organisation or individual in terms of a potential linkage. For example, if the CBO feels that linking with the Health Post would be *very important*, **then they will use a** *large* circle for the Health Post. On the other hand, if the CBO believes that a link with the Commercial Cotton Company would be *minimally important*, **then they will use a** *small* circle for the Cotton Company. The group should select small, medium and large circles for all the organisations and individuals that they have identified on the list.

c)   The participants should then either write the name of the organisation / individual on the selected circles, or **draw** a representation instead. (For example, a drawing of a building with a cross can represent the Health Post, while a drawing of a cotton pod can represent the Cotton Company.)

d) Now tell the group to arrange the circles on the paper around the circle representing the CBO. The participants should place the circles on the paper based on **the current relationship** that the CBO has with the organisation / individual. For example, if the CBO already works very closely with the Health Post, then they will place the circle **close to (or touching)** the CBO. Or, for example, perhaps the CBO feels that although a link with the Police would be very important (large circle), they in fact have very little contact with the Police right now. In this case, the large circle will be placed **further away** from the CBO.

Remember:

- The **size** of the circle (small, medium, large) represents the **importance** of the organisation / individual to the CBO.

- The **distance** of the circle from the CBO (close or further away) represents the **current relationship** that the CBO has with the organisation / individual

e) When the group has finished arranging all the circles on the paper, they should glue the diagram to the paper so that it can serve as a permanent record.

f) Ask one volunteer to present the diagram in plenary.

g) Facilitate a group discussion, talking about what the diagram can imply for the CBO. You may use the following questions as a discussion guide:

- How many circles are arranged close to the CBO and how many are at a distance? What can you conclude from this diagram about the linkages that you have been able to establish? Do you have many close linkages, or few?

- Do you have many large circles (important organisations / individuals) that are arranged at a distance from the CBO? If these organisations / individuals are important, why do you think that the CBO has so far not been able to establish a closer relationship with them?

- How should the CBO prioritise the linkages it will make with the identified organisations / individuals? Which organisation should the CBO contact first? Second? Third? Why?

h) Post the diagram on the wall so that the CBO can continue to refer to it in the next activity.

Activity Three: Categorising and Prioritising Linkages: Stakeholder Matrix

Copy the format for the Stakeholder Matrix provided in *Facilitator Reference 26.4* onto a flip chart, or make photocopies to distribute to the participants if most of the members can read and write.

NB: If you agreed on symbols for the types/purposes of linkages with the group in Activity One, you should use these symbols for the column headings instead of writing.

Have the group refer to the diagram posted on the wall and transfer the information to the Stakeholder Matrix. They should write the names of the organisations/individuals that they consider *most important* (represented by large circles) first – as these will be given highest priority – followed by the *more important* (medium circles) and *less important* (small circles) organisations/individuals.

The participants should then think about *the purpose* of establishing a link with the organisation or individual in question and tick the corresponding box or boxes accordingly. The group will have already given this some thought in Activity Two when you asked them the questions, *'Why?'* or *'What for?'* as they were brainstorming potential stakeholders to link with. You can help to stimulate their thinking by probing with the following questions:

• Are there any organisations or individuals who we can approach for financial and/or material support apart from traditional donors? For example, are there any private businessmen or commercial farming enterprises who the CBO could approach for food or material donations?

• How can we engage creatively with local government representatives? For example, can we convince government agricultural extension workers to target our beneficiary households with specialised trainings? Can we partner with community health workers to ensure that the most vulnerable children are included in immunisation and growth monitoring campaigns, perhaps by visiting their households if the caretakers do not bring them to the public events?

• How can we benefit from establishing relationships with other CBOs in nearby areas? What would such relationships entail? (For example, information sharing, mutual support, etc.)

Activity Four: Action Plan

Introduction

The CBO is now ready to consider how to approach potential partners. It is clear that the CBO will not be able to establish linkages with all potential stakeholders at once, so you should help them to prioritise. (The CBO will have already thought through their priorities in the way that they assigned large, medium and small circles to the various organisations and individuals, and in the sequence in which they listed these potential stakeholders on the matrix.)

The CBO should decide on the best way to make an initial contact in order to create a good first impression. This involves choosing the appropriate team, which may be comprised of a mix of CBO Leaders and Home Visitors and/or Home-Based Caregivers and, perhaps, members of the community and/or selected children, youth or PLWHA. The team selected should be appropriate to the position and interests of the potential partner being approached. The CBO should find effective ways to communicate what it seeks to achieve and what it can contribute to the relationship.

Step 1

Photocopy the example Action Plan provided in *Facilitator Reference 26.5* and distribute it to the literate members. This Action Plan includes a number of examples to help the CBO think of the various possibilities for action. Review the format and the examples with the participants.

Step 2

Assist the CBO to come up with its own Action Plan for approaching the priority potential partners. The CBO should focus on two or three priority organisations and/or individuals in an initial phase in order to gain experience in reaching out to, and working effectively with others. Some considerations that the CBO will want to keep in mind as it decides whom to contact first include:

• Which organisations/individuals share the CBO's values?
• Which organisations/individuals are already working on the same issues that the CBO is addressing?
• Which organisations/individuals can provide the CBO with something it needs?
• Which organisations/individuals would be most willing to cooperate with the CBO?
• Which organisations/individuals have the capacity to act?
• Would things be worse if the CBO did not work together with the organisation/individual?

Activity Five:

Final Considerations:
Dealing with Challenges to Networking

Introduction

CBOs may face a variety of challenges when networking with other organisations in their HIV and AIDS-related work. These include:

- Different attitudes and beliefs among stakeholders
- Different institutional policies and practices
- Difficulties of maintaining confidentiality
- Competing priorities: partners may be more interested in addressing issues other than those that are HIV and AIDS-related
- Negative image or reputation of one or more partners that affects all partners
- Resentment about different levels of resources among partners
- Competition among organisations in the community.

Step 1: Identifying challenges

Ask the CBO to discuss the problems that they might encounter when trying to work with other organisations. Write the answers on a flip chart, and add additional ideas from the above list as appropriate.

Step 2: Measures to overcome challenges

These challenges can be overcome to some extent if the CBO gets to know and understand its partners. Ask the CBO to brainstorm some of the actions they can take to overcome the potential challenges or difficulties. Write the participants' ideas on a flip chart. Some possibilities include:

- Carrying out a partner analysis to understand how the CBO and each partner view each other
- Identifying any differences between the CBO and each partner
- Finding ways of reducing misunderstandings and accepting difficulties
- Finding a basis for mutual respect for each other.

Facilitator Reference 26.1: Definition and Benefits of Networking

Definition of Networking[1]

> Networking is a process by which two or more organisations and/or individuals collaborate to achieve common goals.

Benefits/Types of Networking

- **Information:** Promoting exchange of information, ideas, insight, experience, skills and lessons learnt

- **Technical assistance:** Accessing technical assistance from individuals and/or organisations with expertise in areas or sectors of interest to the CBO

- **Resource mobilisation:** Identifying and securing financial/material resources to expand the CBO's work

- **Coordination:** Coordinating efforts and approaches to enhance quality and ensure efficient and effective service delivery. Reducing duplication and wasting of resources

- **Increased Coverage:** Achieving effective wider coverage of area of operation

- **Referrals:** Creating effective referral systems for the benefit of target groups (OVC, PLWHA, etc.)

- **Solidarity:** Providing CBO members with a sense of solidarity with others, and mutual psychosocial support

- **Advocacy:** Joining with others to engage influential "power-holders" in addressing structural or root causes of problems

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[1] *HIV/AIDS Networking Guide*, International Council of AIDS Service Organisations

Facilitator Reference 26.2:
Who can the CBO network with?

Local Level

Depending on needs, opportunities and priorities the CBO may choose to network with:

- Community leaders
- NGOs (involved in similar work)
- Churches and other FBOs
- Government departments
- Extension workers
- Social workers
- Health facilities and health workers
- Educational institutions
- Teachers and headmasters
- Traditional healers and birth attendants
- Politicians

- Media organisations (community radio, local newspaper, etc.)
- Women's groups
- Youth groups
- PLWHA groups
- Sports clubs
- Police
- Businessmen
- Farmer cooperatives
- Commercial farmers
- Other CBOs!

District Level

If possible, the CBO should also try to engage (i.e. send representatives to meetings, etc.) at the district level. This can help the CBO to learn about other activities taking place in their district and about funds that may be available to support their work, and can help district committees, task forces and/or authorities to become better informed about the work that the CBO is doing.
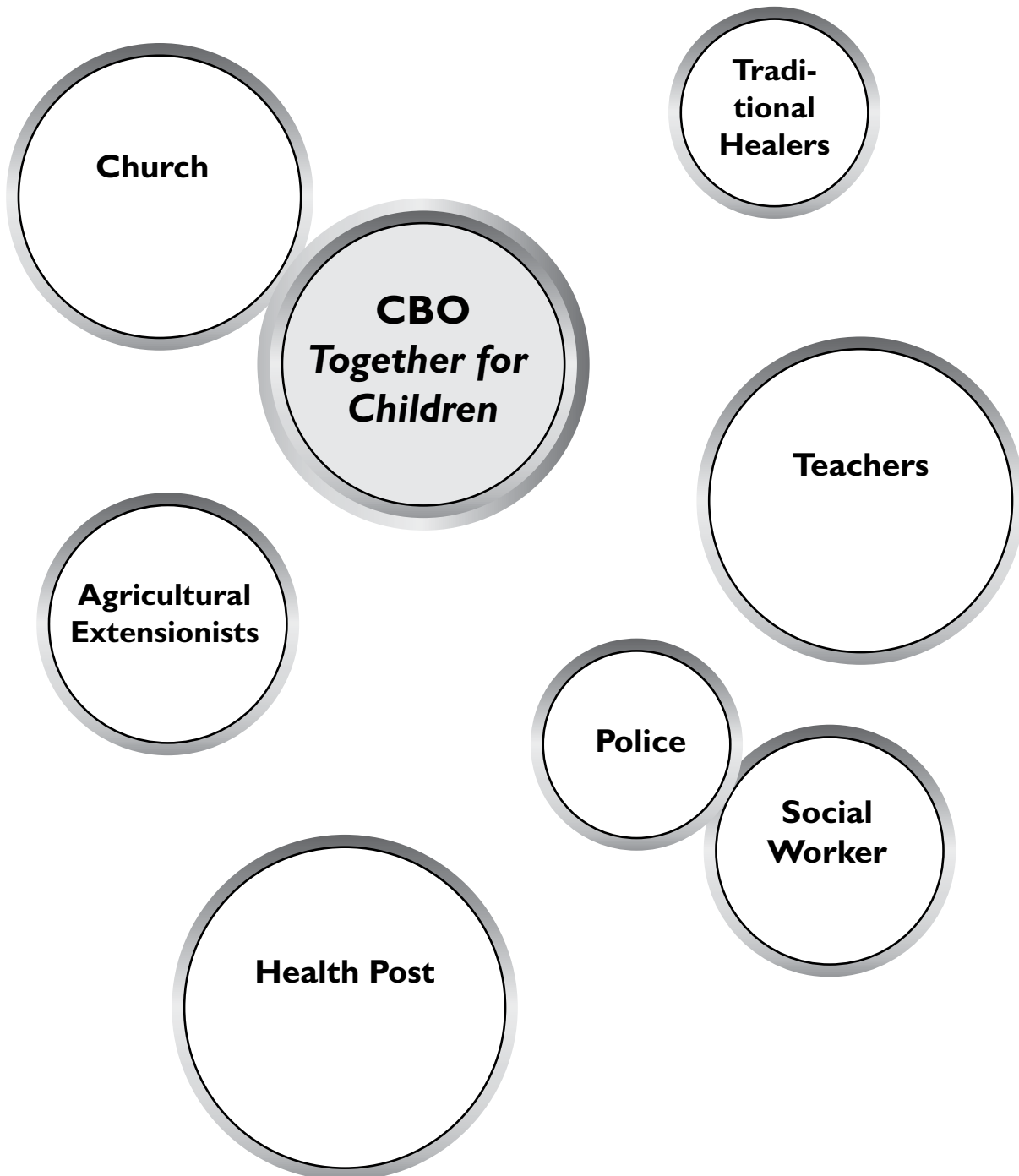
- District HIV and AIDS task forces or special committees (i.e. OVC committees, youth committees, committees of PLWHA, etc.)
- District authorities
- District-level donors/grant providers

National Level

Other NGOs and coalitions working on HIV and AIDS issues at the national level can be important sources of ideas and information. Linkages at national level can also help the CBO to access funds to expand its work. If possible, you, the facilitator, should try to help the CBO to establish contacts at national level.

Facilitator Reference 26.3: Example Diagram

You will help the group to produce a diagram in Activity Two.
An example diagram is provided to you here.

Church

Tradi-tional Healers

CBO
Together for Children

Teachers

Agricultural Extensionists

Police

Social Worker

Health Post

Facilitator Reference 26.4: Format for Stakeholder Matrix

Name of Organisation/Individual	Type/Purpose of Linkage						
	Information	Technical Assistance	Resources	Coordination	Increased Coverage	Referrals	Solidarity/Support	Advocacy
Most Important (Large Circles)								
More Important (Medium Circles)								

Name of Organisation/Individual	Type/Purpose of Linkage							
	Information	Technical Assistance	Resources	Coordination	Increased Coverage	Referrals	Solidarity/ Support	Advocacy
More Important (Medium Circles) *(Continued)*								
Less Important (Small Circles)								

Facilitator Reference 26.5: Format for Action Plan

Name of Organisation or Individual	Type of Linkage	Action	When	Who
Example: District Department of Social Welfare	Resource Mobilisation	Receive training in *Proposal Writing* from Facilitator	February	All CBO members
Example: District Department of Social Welfare	Resource Mobilisation	Submit proposal for funding to Mr. Clark at District office	April	Chairperson and Vice-Chairperson
Example: CBO *Understanding Youth*	Information/Mutual Support	Two exchange visits: CBO *Understanding Youth* visits us; we visit them	May	All CBO members
Example: Agricultural Extension workers	Technical Assistance	Meeting to discuss possibility of special trainings for older OVC and PLWHA	May	CBO Leaders

Coordinating CBOs: Networking

- There is not much difference in the way you will carry out this module if you are working with a Coordinating CBO in place of an Implementing CBO. The only difference is that a Coordinating CBO is *already* taking part in networking of sorts, by virtue of the fact that its structure is, indeed, a **network** of various other organisations! You should make this point to the CBO, explaining to them that they already have a good head-start in the area of networking. You should then carry out this module with a view to identifying *other useful linkages* with other types of organisations that the CBO can be forging.

- All activities may be carried out as they are written in the module.

Resources: Module 26

1.   *ADP Toolkit for HIV/AIDS Programming*, **World Vision, 2004.**

2.   *Advocacy Toolkit: Practical Action in Advocacy*, **Tearfund, 2002.**

Module 27:   Advocacy

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Special Sections

Introduction

Training Objectives

- To understand advocacy, and the potential that advocacy activities have to bring about lasting change
- To help to raise the critical awareness of participants such that they believe that they can become effective agents of change
- To understand the nature of power relations and the underlying causes of identified problems.
- To situate potential advocacy efforts within a framework of child rights.
- To identify and prioritise one or more issues for advocacy action
- To identify and situate the key stakeholders and decision makers with regards to the advocacy issue.
- To produce an advocacy goal, objectives and action plan with steps for moving forward with advocacy activities.

Training Outputs

- The CBO identifies one or more Advocacy Issues for action.
- The CBO produces a Diagram identifying key stakeholders and decision makers with regards to the advocacy issue.
- The CBO produces a written Goal, Objectives and Action Plan for moving forward with advocacy activities.

Suggested Indicators

- Number of advocacy issues identified by the CBO
- Number of action plans developed to address advocacy-related issues
- Number of advocacy-related action plans carried out by the CBO
- Number of *significant changes* recorded by the CBO as a result of advocacy action

Materials

- A flip chart, paper and markers

Time: 2 days

Part 1: What is Advocacy?

Activity One: The Example of the Fish[1]

Most people are familiar with the following example:

Giving someone a fish versus teaching that person how to fish

Review this example with the participants and ask them to explain what they think it means. They can give examples from their own experience; perhaps remembering the times when NGOs used to distribute food and seeds for free, versus the way that NGOs today spend more time teaching communities and CBOs how to do many things on their own.

You may ask the participants for some examples of some of the ways they think they have been taught by your organisation. Ask them to explain the advantages of this in comparison to receiving material distributions (i.e. to "receiving a fish"). You may also talk about this with reference to home visits to children – the difference between giving a child some food versus teaching the child that it is important for his / her future to go to school.

Now move on to the following point:

• It is not enough to teach someone how to fish, however, if that person *cannot reach the river!*

Ask the participants to think about this statement and to explain what they think it means. The point that you will be trying to make is:

There are often **obstructions** that prevent people from being able to fully achieve what they are trying to achieve *even if they have all the necessary knowledge and have been taught all the necessary information.*

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[1] Taken from Myrada: *A Manual for Capacity Building of Self-Help Groups*

Part 1: What is Advocacy?

Activity Two: Drawings

Begin this activity by showing the group a drawing that you have prepared yourself. This should be a simple drawing that depicts a person with a fishing pole trying to walk to the river. The person should be on the left hand side of your drawing and the river on the right. In the middle you should draw an **obstruction** of some sort – perhaps a thick forest, or perhaps a mountain, or perhaps the homes of the wealthy who will not allow others to pass.

Now divide the participants into three groups and give each group one of the following examples (or you may come up with examples of your own). Each group should create a drawing representing the scenario you have given them. They should draw the outcome that the person *wants* (i.e to cultivate the improved seed variety; to send the child to school), and show the **obstruction** that is preventing the desired outcome.

- **Scenario 1:** A farmer understands how to plant a new, improved seed variety but does not have enough land to plant on.

- **Scenario 2:** The child's family understands that it is important for the child to go to school, but the family does not have enough money to buy a school uniform and notebooks

- **Scenario 3:** The CCC understands that the chronically ill deserve to be treated with love and compassion, but many people in the community still shun those they suspect to be HIV positive.

Part 1: What is Advocacy?

Activity Three:

Discussing the Issues

Once the groups have presented their drawings, ask the participants to identify the **central issue** that is causing the obstruction in each of the scenarios.

- **Scenario 1:** Unequal land holding patterns in the community

- **Scenario 2:** The "hidden costs" of education

- **Scenario 3:** Stigma and discrimination

Now explain to the group that **advocacy** is involved with these central issues or, in other words, with the **root causes** of problems. Explain that advocacy attempts to **change** such situations to make them fairer and more equal for everyone.

Explain also that, in order to **change** unfair or unequal situations, it is necessary to change the minds, opinions and behaviors of **important** and **influential** people, or, in other words, to work with the people who have the **power** to change the situation.

Distribute **Handout 27.1** to participants and review with them the basic elements of advocacy.

Activity Four:	Part 1: What is Advocacy?
	The Difference between Programs and Advocacy

Explain to participants the difference between **programs** and **advocacy**

- **Programs:** The normal day-to-day work of the CBO, that addresses problems in the community and with children but that *might not* address the root causes of these problems

- **Advocacy:** Efforts that CBOs make *in addition* to normal day-to-day work, that attempt to address the root causes of problems and bring about lasting change.

Distribute **Handout 27.2**. to participants. In groups, have the participants decide if each of the examples is an example of a **program activity** or an **advocacy activity**. Participants should be prepared to explain their answers in plenary.

Finally, wrap up this activity with a discussion of the importance of advocacy, asking the group if they feel that it would be useful to them to add some elements of advocacy to the work that they are doing. Why or why not? Explain that in the remaining activities you will be helping the group to identify issues that might require advocacy efforts, and to learn how to go about advocacy actions.

Part 2: Raising Critical Awareness

Note to Facilitator: The purpose of this advocacy module is to help community members to begin to speak out on issues and problems that they are experiencing, and to work to bring about lasting change. Instead of World Vision (or your organisation) doing advocacy *for* the people, the idea of this module is that you, as a facilitator, can be helping to advocate *with* the people, as well as building their capacity for their own advocacy (*by* the people).

Nevertheless, it is often the case that communities have a restricted or limited understanding of the processes that affect their situation, and are not always able to recognise the root causes of their problems. Because they are *immersed* in their own situation, they may not be able to see the situation as easily as an outsider with an outside perspective can.

It can be useful, therefore, to take an ordinary, everyday situation and present it to the participants in the form of a **drama** or a **drawing**. This gives the participants the opportunity to "stand outside" the situation and look at it from without. By doing so, they may sometimes be able to see and realise things that they would not have been able to when they were "standing inside".

As participants become more **aware** of their situations and of the root causes of the problems or limits that they find in their situations, they become much better prepared to take action. The purpose of this Activity is to begin to **raise the critical awareness** of the participants you are working with.

Part 2: Raising Critical Awareness

Activity One: > **Using Role Plays as a "Critical Awareness Development Tool"**

Work with the participants to carry out any or all of the following role plays. You may want to divide the participants into three groups and have each group rehearse and present one of the role plays. You may also come up with your own examples of role plays based on issues that you believe to be important and relevant to the situation of the community and CBO you are working with.

After each role play, **follow the steps on the next page**, carrying out a discussion that will help the participants to think critically about the situation dramatised in the role play, to analyze the root causes of the situation, and to make links with their own lives.

- **Role Play 1:** Rosa is a fifteen year old orphan living with her auntie and uncle, both of whom are farmers. Rosa is completing level 6 in school and is earning good grades. She believes that she will pass without difficulty, until one day her teacher keeps her after class. The teacher tells Rosa that unless she either pays him money or goes to bed with him, she will not pass. Rosa tries to collect money from her friends and her uncle, but she is unsuccessful. Rather than sleeping with the teacher, she decides to drop out of school.

- **Role Play 2:** CCC *Together for Children* has just learned that government grants are now available for double orphans and that these can be obtained by providing the necessary documentation to the district administration. The home visitors go house to house completing the documents for all the double orphans in the community. When they present the documents to the administration, however, they are told that the money never arrived. Meanwhile, the Administrator is riding a new motorcycle and has recently completed an addition to his house.

- **Role Play 3:** Luisa and Thomas are caring for seven children; four of their own and three orphans. A Home Visitor comes to the home twice a month and talks about the importance of sending all the children to school. At the same time, a mobilisation campaign has been taking place in the village and there are posters everywhere proclaiming "Education for All!" Luisa and Thomas know how important education is for the children and they wish that all seven children could go to school. But the cost of uniforms, notebooks and pens is too much for Luisa and Thomas and they simply do not have the money to buy these items for all the children.

Activity Two:	Part 2: Raising Critical Awareness
	Discussing the Role Plays[2]

1. After each role play, ask the participants to **describe** the situation. What was happening?

   (The purpose of this step is to ensure that the participants have understood the main facts that the role play portrayed.)

2. Now ask the participants to **analyse** the situation. You may ask the following questions: Why did they think certain things happened? What was the problem? What were the causes of the problem? Why did certain people react as they did?

   (The purpose of this step is to help the participants come to an understanding of why the situation unfolded the way it did, primarily in terms of power relations and relationships.)

3. Ask the participants to **reflect** personally on the situation. You may ask the following questions: Do they think this type of situation happens in their community? What are the similarities between this situation and situations they have experienced?

   (This step helps the participants to apply what they have seen to their own lives and communities and increases understanding of the dynamics of power in their local area.)

4. Help the participants to **make links**. You may ask the following questions: Does the problem portrayed lead to other problems or concerns?

   (This step enables people to place the events they have seen in the context of their wider situation and start to see how decisions, relationships, structures, etc. affect many aspects of their daily lives. It helps them to go beyond a linear analysis that sees problems in terms of lack of money, for example, to one that understands some of the structural and power reasons for problems.)

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[2] From Tearfund, *Advocacy Toolkit*

5. Help the participants to **search for solutions** to the problem that has been portrayed. What can be done about it? Suggest solutions or actions.

(This encourages thinking among participants about what needs to be done in the example that has been used. It helps them to think creatively about how to bring about change.)

At the end of the exercise participants should have:

• Learned various tools for analysis through the questions you have asked them

• Understood some of the political causes of events and have a correct analysis of why problems have arisen

• Thought about certain issues in their own communities or countries

• Thought creatively about solutions and start to see that solutions are possible, and that they can do something to bring them about

Part 2: Raising Critical Awareness

Activity Three:

Applying the Tool to Real Situations

You may now ask the participants to think of situations in their own lives of problems that have seemed too large to be solved. Help the participants to go through the same process of questioning and analysis. If this tool is then applied to real situations that participants find themselves in, it will enable them to start to find some solutions for their own problems.

Part 3: Understanding Power

Activity One: **Review of Previous Activity with a View to Power**

While you might not have talked about it in so many words, the three role plays that the participants carried out in the previous step all demonstrated various forms of **power**.

In the first two role plays we saw examples of **abuse of power**. Ask the participants **who** was abusing power in those two role plays and **how**, exactly, they were abusing it.

- In the first role play the *teacher* was abusing his power over Rosa by forcing her to provide him with favors in order to pass.
- In the second role play the *administrator* was abusing his power by diverting money meant for orphans for his own personal use.

In the third role play, the issue raised was not so much an issue of abuse of power, but rather the issue of an educational system that, while proclaiming education for all, nevertheless excludes some children because of the "hidden costs" of the system. The **power** issue in this example refers to the *power that influential people have to change this system*. **Ask the participants to think about who might have the power to enable all children to study.** Some examples might include:

- The school Headmaster could arrange financial support for orphans unable to purchase uniforms and notebooks.
- The school Headmaster, or the District Department of Education, could waive the obligation to wear school uniforms.
- The Ministry of Education, at District and / or National level, could provide scholarships for needy children to cover their education costs.

Explain to the participants that almost all advocacy work involves understanding the forms of power that are operating in the situation, and engaging with those who hold this power.

Activity Two:	Part 3: Understanding Power
	Types of Power: Introduction[3]

There are many different types of power. Nonetheless, the three types that we usually think of when we think of someone with power are:

- **Money** (having power over someone because of having more money)
- **Authority** (having power over someone because of social or legal position)
- **Force** (having power over someone because stronger or having weapons)

Ask the participants to think of examples of these three forms of power. Some examples might include:

- A teacher has **authority** over his/her students

- A violent husband exerts **force** over his wife

- An oppressive political regime exerts military **force** over the country's citizens

- An expatriate has more **money** than most of the people in the country he/she is working in

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[4] From Tearfund, *Advocacy Toolkit*

Part 3: Understanding Power

Activity Three:

Types of Power: Role Plays[4]

Divide the participants into three groups and have them once again rehearse and perform the following role plays. You may substitute these examples with examples of your own if you wish.

Role Play 1: Family scene

The daughter who is now in standard 5 would like to continue with education. The father would like her to get married to a well-to-do man as a second wife. The mother is caught in between, sometimes siding with her daughter and sometimes with her husband.

The young girl pleads with her father…

Role Play 2: Husband and Wife

The wife wants to go on a training program but the husband is not in favor. He controls the money and he also threatens her with violence.

The wife tries to convince the husband…

Role Play 3: Traditional leader and farmers

A local politician wants to build a road that will cut through part of the village's cemetery. The traditional leader has agreed to the road because he wants the support of the politician. He tries to convince the farmers in the village that the road will be good for the community, bringing wealth. The farmers are opposed, however, because the cemetery is sacred to them.

The farmers respond to the traditional leader…

After each performance ask the following questions:

- Who held the most power in the role play you just saw?
- What type of power was it (i.e. money, authority, force)?
- What was the demand being made by the person in power?
- Did the other person/people in the role play try to resist the demand of the person in power? If so, how?
- Did the other people in the role plays have any power of their own?
- Is it possible to resist those in power? What are the risks and what are the benefits of doing so?

[4] From Tearfund, *Advocacy Toolkit*

Part 3: Understanding Power

Activity Four:

Understanding Your Own Power[5]

Explain to the participants that although **money**, **authority** and **force** are the most commonly recognised forms of power, there are other, less obvious types of power as well. These include:

- **Connections** (having some power because of who you know; being connected to powerful people)

- **Information** (having power because of information and knowledge that you possess; i.e. a traditional healer or a CBO member trained in nutrition and hygiene)

- **Organisation** (having power because you are organised together with others and have strength in numbers)

- **Resources** (having power because you have something someone wants)

Now ask the group to think about whether they feel that they, too, as a group or as individuals, have some power. If so, they should try to identify the type or types of power that they have.

You may also ask each member of the group to give himself/herself a score from 1-5 to represent how much power and influence each person thinks he/she has. The group may also give a score to the CBO, in terms of its power as an organisation.

Explain to the participants that **identifying what type of power we have** and don't have is an important early step when deciding what advocacy issue we might work on. What power do we have? For example, information, connections, money, authority, and what don't we have that we need?

Main Message:

Advocacy is about using power and influence to persuade others, who usually have greater power and influence in terms of money, force and/or authority, to do what you want them to do. It involves understanding and making the most of the power you already have, and using your power in a legitimate way.

Advocacy involves:
- Holding people to account for their use of power
- Trying to change the use of power
- Gaining access to power for those who are excluded
- Helping people to see what forms of power they have

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[5] From Tearfund, *Advocacy Toolkit*

Part 3: Understanding Power

Activity Five   **Power Map**[6]

Introduction: Explain to the participants that in order to effectively carry out advocacy work it is necessary to understand who holds the power in their situation(s), both formally (i.e. who *officially* holds the power) and informally (who *actually* has the power). One method of identifying these power holders is to create a **power map**.

Step 1

Ask the participants to brainstorm the main important groups and individuals in the community and, perhaps, up to district level. The group should try to limit the list to a maximum of 12 so that the activity does not become too complicated. Some examples might include:

- Teachers / headmasters

- Traditional leaders

- District administration

- Churches / pastors

- Government structures (education / health / social welfare, etc.)

- Police

- Agri-businesses

- Health workers / traditional birth attendants

- NGOs

- Political parties

NB: You should not provide these examples to the group unless they are having difficulty thinking of their own examples. It is most interesting to hear from the group what their ideas of who the powerful are.

---

[6] From Tearfund, *Advocacy Toolkit*

Step 2

The participants should now cut circles of paper for each of the groups / individuals.

The **size** of the circle represents the amount of **power** that the participants feel the group or individual has.

- A *very powerful* group or individual should be allocated to a *large* circle

- A *somewhat powerful* group or individual should be allocated to a *medium* circle

- A *less powerful* group or individual should be allocated to a *small* circle

Step 3

Now tell the group to arrange the circles on the paper around a circle representing the CBO. The participants should place the circles on the paper based on **the current relationship** that the CBO has with the organisation / individual. For example, if the CBO already works very closely with the Health Post, then they will place the circle **close to (or touching)** the CBO. Or, for example, perhaps the CBO feels that although the Police hold a lot of power (large circle), they in fact have a poor relationship with the Police right now. In this case, the large circle will be placed **further away** from the CBO.

NB: This exercise is very similar to the diagram found in Module 26: Networking. In that module the purpose of the exercise was to identify organisations / individuals for possible links and partnering. The purpose of the exercise in this module is to identify power-holders.

Example Power Map
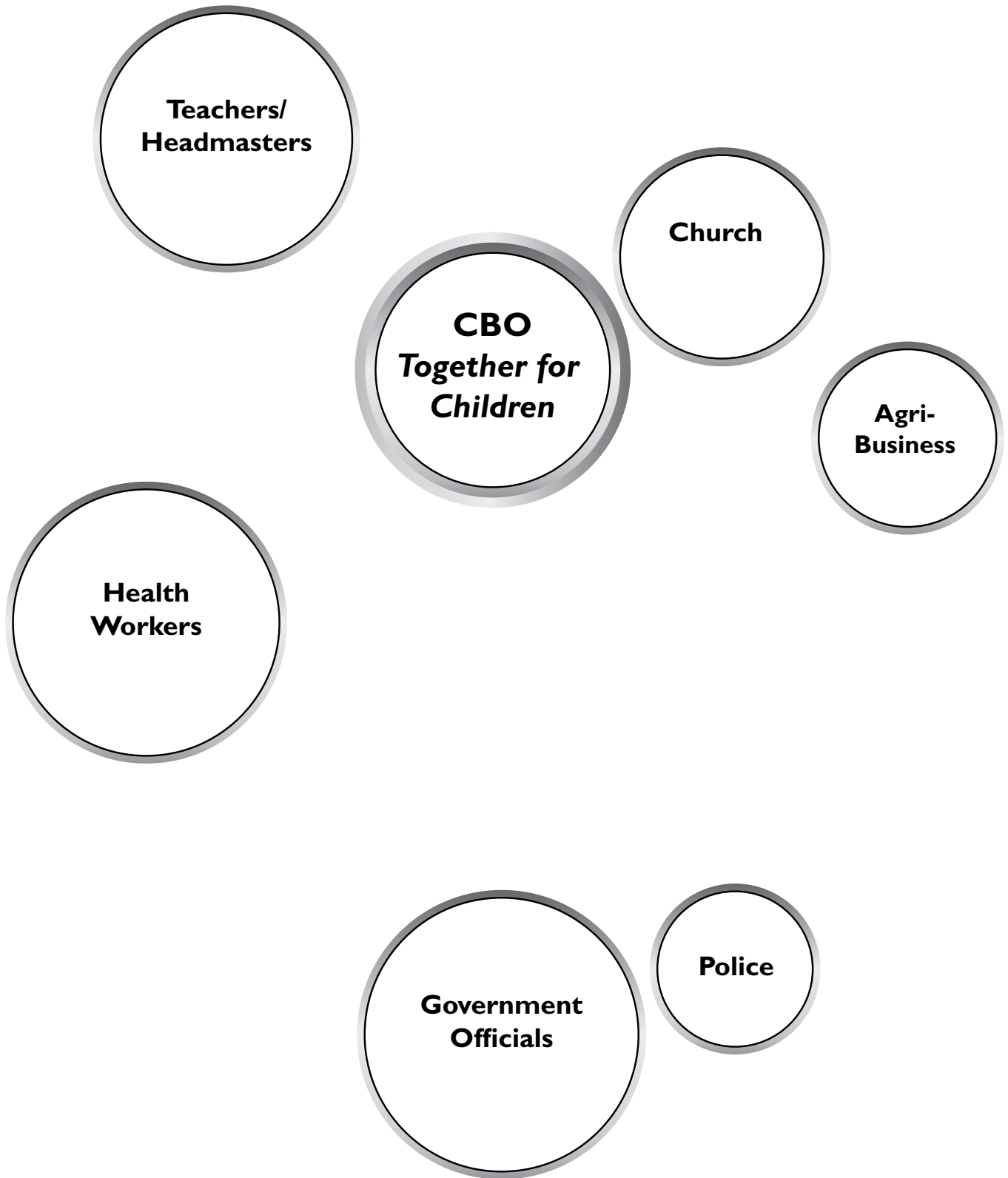
Part 4: Understanding Child Rights[7]

Activity One: Introduction to Child Rights

Introduction: If you are working with a CBO involved with the care and support of orphans and vulnerable children, it is likely that much of the advocacy work they will be doing will relate to the needs of these children. As such, it will be useful for the CBO to have a complete understanding of the **rights of children**.

Review the **explanation of rights**, provided below, with the participants. Distribute **Handout 27.3** and review the **list of child rights**. It may be necessary to spend some time explaining this list of the child rights to the participants. Spend as much time as needed with the group until you are convinced that they thoroughly understand each of the rights of children.

Explanation of Rights

A right is what any person – child or adult – is entitled to.

The rights of children are enshrined in law and must not be violated. When there is violation of the rights of children, appropriate recourse should be taken.

Nobody, not even parents, can violate the rights of a child.

Child Rights

Survival Rights

1. The right to a name and nationality
2. The right to grow peacefully in a caring and secure environment
3. The right to the basic necessities of life; e.g. food, shelter and clothing
4. The child's right to his/her parents

Protection Rights

5. The child's right to have his/her health protected through immunisation and health care
6. The right to protection from abuse and exploitation

7. The right to be treated fairly and humanely
8. The right not to be employed/engaged in activities that harm one's health, education, mental, physical and functional development

Development Rights

9. The right to a basic education
10. The right to play

Participation Rights

11. The child's right to express his/her opinion
12. The child's right to be listened to
13. The child's right to be consulted according to his/her understanding

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[7] From World Vision, *Mobilizing and Strengthening Community-Led Care for Orphans and Vulnerable Children*

Part 4: Understanding Child Rights

Activity Two:

An Example 'Scoring'
of One of the Rights of a Child[8]

Introduction: Explain to the group that, in a little while, they will be working to select one or more issues for advocacy-related action. Before making this selection, however, it is useful for the group to "practice" analysing the current situation with regards to the rights of children. To do this, you will assist the group to come up with a "score" for **one** of the child rights from the list.

Step 1: Introducing the Exercise

Copy the table below onto a large sheet of flip chart paper. Make sure that the participants are clear as to the meaning of the faces.

You will carry out this exercise using the example of the first child right:

- The right to a name and nationality

It is very rare to find situations where this right is being abused. That is to say, almost all children have a name and a nationality. As such, this is an easy example to start with since there will not likely be very much debate.

Child Right	1 Very bad	2 Bad	3 Ok	4 Good	5 Very Good
All children in our community have a name and a nationality					

Step 2: Voting

All participants should *decide for themselves* what score he/she will give *prior to the voting*. This is to help ensure that participants are not influenced by the ideas of other members. Once all the participants have understood the exercise and decided on their vote, you may hand out markers. All the participants will then step forward together and each will place one mark in the column that matches the score that he/she has decided in advance. See the example below.

Child Right	1 Very bad	2 Bad	3 Ok	4 Good	5 Very Good
All children in our community have a name and a nationality				√	√ √ √ √ √ √ √ √ √ √ √ √ √ √

[8] From World Vision, *Operational Manual for Community Based Performance Monitoring*

Part 4: Understanding Child Rights

Activity Three: **Understanding the Role of Others in Fulfilling Child Rights**

ntroduction: As the group becomes more familiar with the issue of child rights, it is important that they begin to think about *who has the responsibility* for ensuring that these rights are met.

Distribute **Handout 27.3** to the participants. Explain to the participants that the **Government** holds a large part of the responsibility for ensuring that child rights are met. Review the examples of the ways that Governments do this.

Now explain to the participants that sometimes child rights are not fulfilled for other reasons. The Government may have good laws and policies but people and organisations at other levels might not be following them.

Facilitate a discussion with the group regarding the situation in their country and their village. You may use the following questions as a discussion guide:

- Has the Government in your country carried out the examples given in the Handout?
- Are there any things that the Government should be doing that it is not doing?
- Do the people and organisations with power in your community follow the laws and policies of the government? Are there any who do not?
- What more do you think can be done to ensure that the rights of children are met?

Part 5: Identifying One or More Issues for Advocacy

Activity One: **Brainstorm Possible Issues for Advocacy**

Activity 1: Brainstorm possible issues for advocacy

Now that the group has some understanding about advocacy, power, and rights, they may begin to think about one or more issues that they might want to take action on. The list of child rights is a good place to begin. Many, if not most, child rights may be already being met and the group may rule out many of them as not being urgent for action. You can help the group to decide which of the child rights are most problematic in their context. At the same time, the group does not need to *limit itself* to these issues alone. There may be other issues that are equally, or more, important and urgent from the group's perspective.

Ask the group to brainstorm a list of important issues that they might wish to focus attention on. Possibilities include:

- Waiving school fees for orphans
- Seeking financial assistance for orphans to cover the costs of education
- Ensuring that government grants meant for OVC are reaching these children
- Improving health service in the community
- Eliminating the worst forms of child labor
- Promoting children's participation in the decisions that affect their lives
- Reducing the vulnerability of girls
- Preventing discrimination against people living with HIV and AIDS
- Ensuring correct property inheritance after the death of a caretaker

Part 5: Identifying One or More Issues for Advocacy

Activity Two: Prioritising and Selecting Issues for Advocacy[9]

Help the group to prioritise among the issues they have come up with in the previous exercise.

One way to do this is the following:

Variation 1:

- List all the possibilities on a piece of paper, as in the example below
- Have each participant rank the issues from 1-5 in order of priority.
- The participants should then get together in small groups and discuss each other's answers in order to arrive at a final group consensus.

Activity	Individual Ranking (1-5)	Group Ranking (1-5)
School fees		
Financial assistance for education		
Government grants for OVC		
Health service		
Stigma and discrimination		
Vulnerability of girls		
Child participation		
Property inheritance		

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[9] From Tearfund, *Advocacy Toolkit*

Variation 2:

Another way to carry out this activity is to give all the participants cards; one card for each issue. The participants should either **write** or **draw** the various issues on the cards. Each participant should then line the cards up in order of priority, according to his/her own point of view. Sometimes moving cards around like this helps the participants to think more freely.

Once individuals have made their own decisions as to the order of priority of the issues, the group should try to come up with a collective ranking, eventually agreeing on the one or two issues of most importance and urgency that they want to focus their advocacy efforts on.

Important: The final decision should ideally be an issue that the community members are most concerned about and that the participants feel can be addressed effectively. It is sometimes best to begin with **smaller** issues to gain small victories. These successes can form the basis for more ambitious efforts later.

You may write the group's decision here:

Selected Advocacy Issue: _____

Part 6: Researching the Issue

Activity One: The "Why" Exercise and
                                        the Problem Tree [10]

The "why" exercise is a method that keeps asking "why" until it gets to the root of the problem. This may or may not work well with your group – you will have to try it and see!

Write the issue for advocacy that the group has chosen on a large piece of paper. You should state the issue as a problem. Then keep asking "Why?" until the group can go no further with their explanation of the causes behind the problem.

Example:

- Many orphans do not go to school. **Why?**
- Their guardians do not have money to pay for notebooks and uniforms. **Why?**
- They are caring for many children and the money is not enough for all. **Why?**
- The District Department of Education said that financial assistance would be given for orphans but this has not happened. **Why?**
- Nobody has pushed the DDE to give this money to the children. **Why?**
- **Etc.**

By asking "Why?" in this way the group will be able to identify the underlying causes of the problem they are seeking to address. In this example, instead of wasting their effort trying to sensitise guardians, who do not have money, to send the children to school, the group can rather focus their efforts on advocating with the DDE to make the grants available.

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[10] From Tearfund, *Advocacy Toolkit*

	Part 6: Researching the Issue
Activity Two:	**The Problem and Solution Trees**

You may now help the group to put their analysis in the form of a Problem Tree, if you think that this will be helpful. The "Tree" has a trunk that represents the core problem, roots that represent the causes of the problem, and branches that represent the effects.

Problem Tree

```
┌───────────┐      ┌───────────┐      ┌───────────┐
│ Secondary │      │ Secondary │      │ Secondary │
└───────────┘      └───────────┘      └───────────┘
      ↑                  ↖        ↗
┌──────────────┐      ┌──────────────┐
│ Primary effect│      │ Primary effect│
└──────────────┘      └──────────────┘
        ↖              ↗
           ┌───────────┐
           │  OVC no   │
           └───────────┘
        ↗       ↑       ↖
┌─────────────┐ ┌─────────────┐ ┌─────────────┐
│Primary cause│ │Primary cause│ │Primary cause│
└─────────────┘ └─────────────┘ └─────────────┘
      ↑               ↑               ↑
┌───────────┐   ┌───────────┐   ┌───────────┐
│ Secondary │   │ Secondary │   │ Secondary │
└───────────┘   └───────────┘   └───────────┘
```
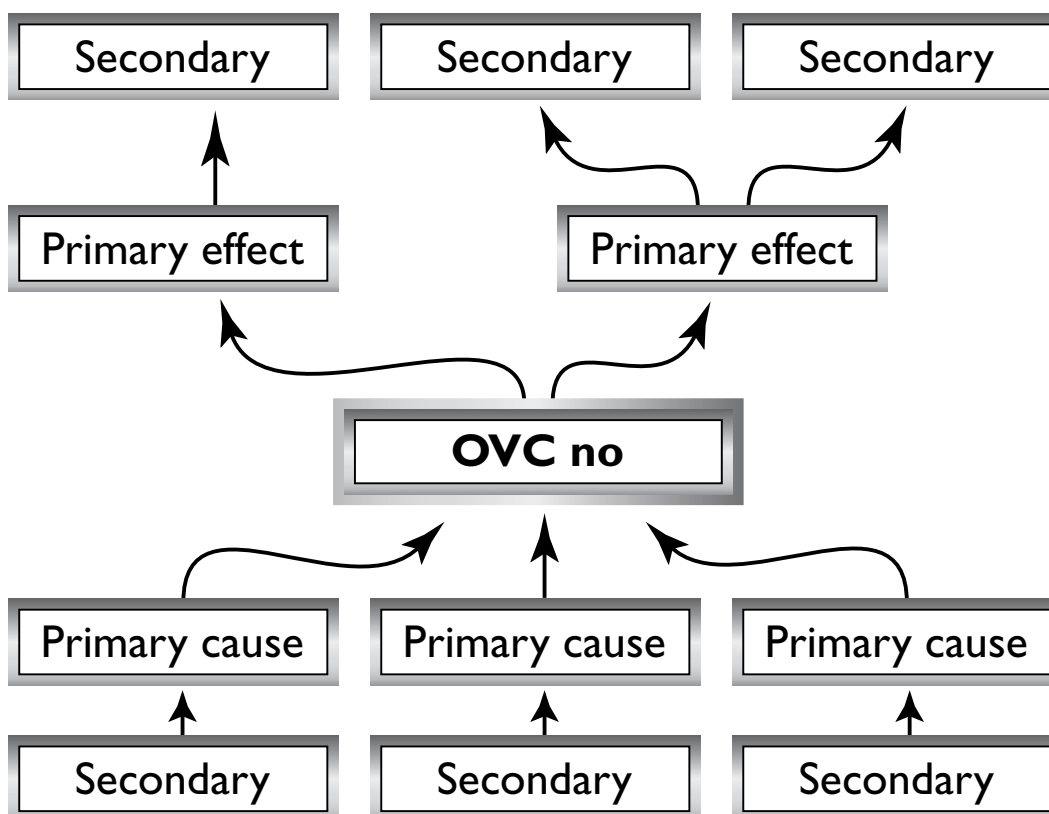
To start the tree, place the **central problem** in the middle of a large sheet of paper. Review the **causes** of the problem that the group identified in the "Why" exercise. The group should write these causes on cards or Post-it notes and attach them to the paper beneath the problem, in whatever arrangement seems most logical to them. The participants may also try to think about the **effects** of the problem and write these on cards too, arranging them above the central problem, as illustrated in the diagram.

The group can then use the Problem Tree to produce a Solution Tree, shown on the next page, where the trunk is their main aim, the roots are sub-objectives, and the branches are the benefits that will arise from their aim being met.

Solution Tree

```
  ┌───────────┐        ┌───────────┐        ┌───────────┐
  │ Secondary │        │ Secondary │        │ Secondary │
  └───────────┘        └───────────┘        └───────────┘
        ↑                    ↑                    ↑
  ┌───────────────┐      ┌───────────────┐
  │ Primary benefit│      │ Primary benefit│
  └───────────────┘      └───────────────┘
             ↖              ↗
                 ┌─────────┐
                 │  Goal   │
                 └─────────┘
             ↗       ↑       ↖
  ┌───────────┐ ┌───────────┐ ┌───────────┐
  │ Objective │ │ Objective │ │ Objective │
  └───────────┘ └───────────┘ └───────────┘
        ↑             ↑             ↑
 ┌──────────────┐┌──────────────┐┌──────────────┐
 │ Sub-objective││ Sub-objective││ Sub-objective│
 └──────────────┘└──────────────┘└──────────────┘
```
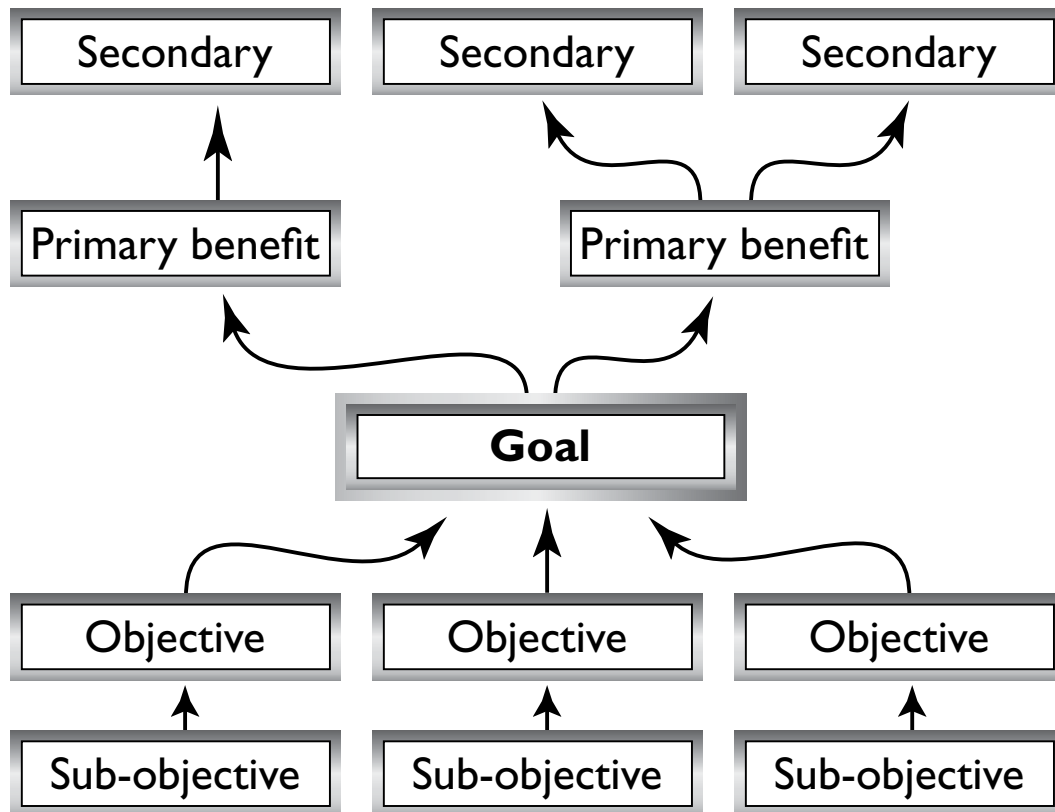
Working from the Problem Tree, reverse the core problem to create a goal (cover the card with a new one with the goal written on it). Similarly convert the 'effects' to 'benefits', and 'causes' to 'objectives'.

NB: The objectives do not all have to be advocacy objectives. They can also be objectives that are best met through other types of development interventions. Using this technique enables groups to devise an integrated strategy of projects and advocacy.

Main Message: The idea with the problem and solution trees is to explore the underlying causes of the problem the group wants to address. The challenge is then to decide which of the many causes can best be addressed. These causes can then be turned into **objectives** for the group's work. This comes directly out of the "Why?" activity above.

Important Points:
- Advocacy work can happen at any location on the tree diagram. The group should decide where they think they can work with the most chance of success.
- The group will not be able to address all of the causes of the problem at once, and they may not be able to get to the **root** causes from the very beginning. However, they can make a difference wherever they start.

Activity Three:	Part 6: Researching the Issue
	Collecting Information and Statistics

Note to Facilitator: You will have an important role to play in helping the CBO to gather the information and statistics it needs to carry out its advocacy work effectively. You can help the CBO to access relevant documents and provide links to key stakeholders.

Introduction: In order to carry out its advocacy work effectively, the group will need to be well-informed about the basic information regarding the issue they want to address. It will be much easier for them to approach important decision-makers if they are confident about their understanding of the issues involved.

Step 1: Brainstorm information needed

Now that the group has decided on the problem or issue that they want to address, you should help them to think of the basic information that they will need in order to carry out their advocacy work effectively. Examples are provided below, and in **Handout 27.5**, which you should distribute to the group.

Example 1: Advocating with district authorities to make educational grants available to orphans

Information needed:
- The policy documents that outline the cash grants
- Information on the budget that the district **should** have for this purpose
- Information on the number of OVC the district has budgeted for
- Information on the number of OVC who have actually received grants
- Names and contacts of key individuals responsible for disbursing the grants

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Example 2: Advocating for correct property inheritance

Information needed:
- The official documents that describe the country's property inheritance laws / policies
- Case studies of widows who have been illegally disinherited
- Examples of how to write a proper will
- Names and contacts of key individuals responsible for ensuring compliance with inheritance laws

---

Review these examples with the group, making sure that they understand what each item means, and understand the importance of obtaining this information.

Now help the group to brainstorm the information that will be useful for them to collect with respect **to their chosen issue**. They can write a list on the handout provided.

Step 2: Assist group to collect the information

As already indicated, *the group will need your help* to collect much of the information that they need. Work with your colleagues and supervisors to obtain the relevant policy documents, as appropriate. Work with the group to develop relevant case studies (true stories from the village), as appropriate. Ask your supervisor for help if you are uncertain about any of the steps involved.

Part 7: Mapping the Key Stakeholders

Activity One: Identifying Key Stakeholders

Introduction:

Before undertaking advocacy work, it is important that the group identifies who it should be speaking to and with whom it needs to be working. These people are known as "stakeholders" because they have an interest or "stake" in the issue.

There are various types of stakeholders, as follows:

- **People Directly Affected** by the issue (i.e. children needing education grants, disinherited widows, community guardians, etc.)
- **People Responsible** for creating the situation or for finding a solution (i.e. teachers, government, local authorities, etc.)
- **People Concerned** about the issue (i.e. the CCC, NGOs, the church, etc.)

Step 1: Brainstorm Key Stakeholders

Post three large sheets of flip chart paper on the wall (or place these on the floor or on the ground). Use one sheet for each of the categories of stakeholders; i.e., one sheet for **people directly affected**, one sheet for **people responsible**, and one sheet for **people concerned**.

Help the group to brainstorm lists under each of the three categories.

Step 2: Determine degree of power of key stakeholders

Note that this exercise is similar to the one you helped the group to carry out in Part 3, Activity 5 (the Power Map). The difference is that now the group must think in **concrete terms** about the stakeholders who will influence their issue.

For each of the stakeholders identified in the brainstorm above (limit to no more than 12), have the participants cut out circles of various sizes; i.e. small, medium, and large. The size of the circle represents the **power** that the stakeholder has to influence the situation. For example, **children** might be allocated to a **small** circle because, unfortunately, they do not usually have very much power to influence their own situations. In contrast, the **district government** would be allocated to a **large** circle, as they are usually very influential in many situations.

Help the group to place the 12 or so stakeholders on small, medium or large circles.

Activity Two:	Part 7: Mapping the Key Stakeholders
	Creating a Stakeholder 'Position Map' (Option 1) [11]

Step 1: Creating the Stakeholder Position Map

Copy the "position map" (provided on the next page) onto a large sheet of flip chart paper.

Now ask the group to place the circles on the position map according to each stakeholder's stance regarding the group's advocacy issue. Does the stakeholder **support** the group's advocacy issue, or is he/she **against** the issue, or is he/she **neutral or undecided** about the issue?

- If the stakeholder is **strongly against** the issue, the circle should be placed at the extreme end of the "oppose" side of the position map.

- If the stakeholder is **somewhat against** the issue, the circle should be placed somewhere inside the "oppose" side of the position map.

- If the stakeholder is **neutral or undecided**, the circle should be placed on the middle line.

- If the stakeholder is **strongly supportive** of the issue, the circle should be placed at the extreme end of the "support" side of the position map.

- If the stakeholder is **somewhat supportive** of the issue, the circle should be placed somewhere inside the "support" side of the position map.

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[11] From CEDPA, *Advocacy: Building Skills for NGO Leaders*

Step 2: Discussing the Stakeholder Position Map

See the example on the next page. This is a fictitious example and the power relationships shown in the example will not be the same in every community, but you can give the example to the group for their consideration, with the following explanations:

- **OVC** strongly support the advocacy issue (education grants for OVC), but they do not have much power.

- **OVC guardians** also strongly support the advocacy issue, but they also do not have much power.

- The **CCC** *Together for Children* strongly supports the issue. They have some power.

- **World Vision** also strongly supports the issue. They are perceived to have quite a lot of power.

- The **School Headmaster** more or less supports the issue. He has a reasonable level of power.

- The **Teachers** are neutral on the issue. They understand that education grants would be good for the OVC, but they are worried about having more students in their classes.

- The **District Department of Education** is somewhat opposed to the issue. They are very powerful, but they do not want the administrative burden of disbursing these grants. They do not have enough staff or resources and they are not in favor of the extra workload.

- The **District Administrator** is strongly opposed to the issue, and very powerful. The group suspects that he does not want to make the money available to the orphans because he has, in fact, been using the funds for his own personal purposes.

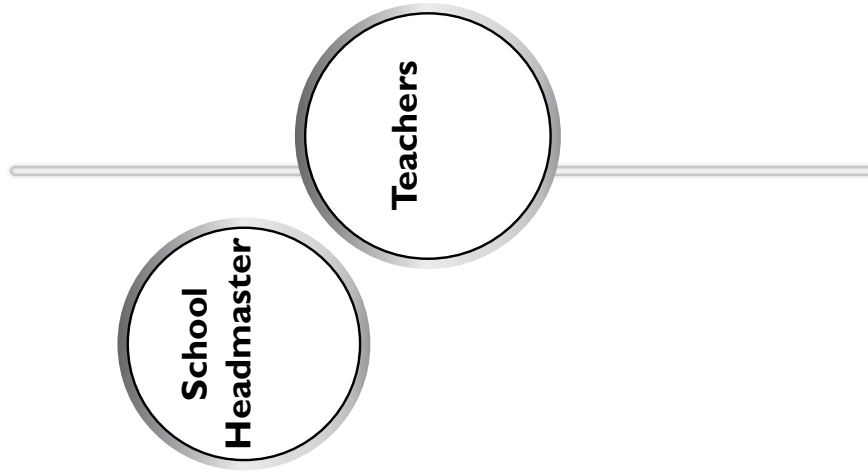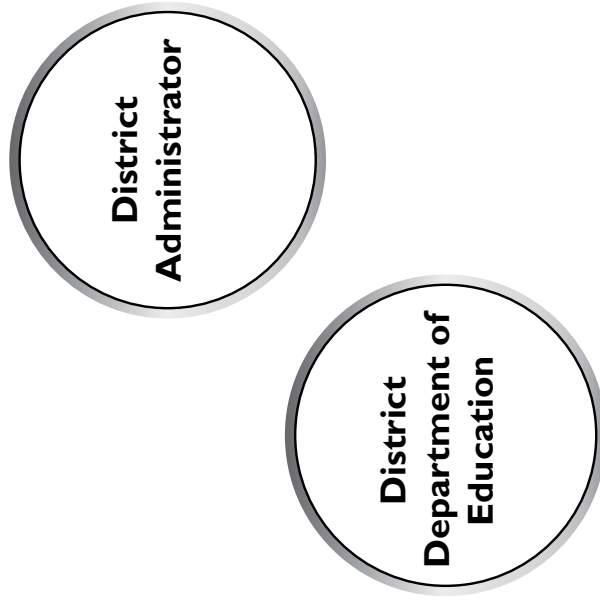# Stakeholder Position Map

Advocacy Issue: _Education Grants for OVC_

Support

Neutral

Oppose

District Administrator

District Department of Education

Teachers

School Headmaster

Guardians

OVC

CCC Together for Children

World Vision

Part 7: Mapping the Key Stakeholders

Activity Three: **Creating a 'Force Field Analysis' (Option 2)** [12]

Note to Facilitator: You should work with the group to create **either** a Stakeholder Position Map **or** a Force Field Analysis, but not both. These are very similar activities that will appear repetitive to the group if you do both with them. Instead, try the activities with different groups and decide which one you prefer!

Step 1: Creating the Force Field Analysis

The arrows in the Force Field Analysis replace the circles in the Position Map.

- The **length** of the arrow represents the **degree** of support or opposition. A **long** arrow will mean **a lot of** support or opposition, and a **shorter** arrow will mean **less** support or opposition.

- The **thickness** of the arrow represents the **power** of the stakeholder. A **thick** arrow represents a stakeholder with **a lot of** power, and a **thinner** arrow represents a stakeholder with **less** power.

Step 2: Discussing the Force Field Analysis

Share the example on the next page with the participants. This example is **exactly the same** as the example provided in the Position Map. The only difference is that it is shown (visualised) in a different way.

As such, you can make the same observations to the group, as follows:

- **OVC** strongly support the advocacy issue (education grants for OVC), but they do not have much power.

- **OVC guardians** also strongly support the advocacy issue, but they also do not have much power.

- The **CCC** *Together for Children* strongly supports the issue. They have some power.

- **World Vision** also strongly supports the issue. They are perceived to have quite a lot of power.

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[12] From Tearfund, *Advocacy Toolkit*

- The **School Headmaster** more or less supports the issue. He has a reasonable level of power.

- The **Teachers** are neutral on the issue. They understand that education grants would be good for the OVC, but they are worried about having more students in their classes.

- The **District Department of Education** is somewhat opposed to the issue. They are very powerful, but they do not want the administrative burden of disbursing these grants. They do not have enough staff or resources and they are not in favor of the extra workload.

- The **District Administrator** is strongly opposed to the issue, and very powerful. The group suspects that he does not want to make the money available to the orphans because he has, in fact, been using the funds for his own personal purposes.

Force Field Analysis

Advocacy Issue: _____ Education Grants for OVC _____

Support

Oppose

OVC

Guardians

CCC

Headmaster

World Vision

DDE

Administrator

Teachers

Part 7: Mapping the Key Stakeholders

Activity Four: > **Discussing the Implication of the Stakeholder Analysis**

Now that the group has a picture of who its "supporters" and "opponents" are, you may help the group to think about how it wants to proceed.

Distribute **Handout 27.6** to the participants and review the key points with them. They may begin to come up with lists of possible actions that they can take to:

- Work with their supporters
- Try to persuade the "neutrals" to the value of the issue
- Try to gain access to non-supporters, either directly or through others
- Help the poorest and those directly affected by the issue to gain greater influence

You can help the group to write a preliminary list of some actions they think that they can take, as follows:

- **How to work with supporters**

- **How to "persuade the neutrals"**

- **How to gain access to, and persuade, non-supporters**

- **How to help those affected by the issue to gain greater influence**

Part 8: Planning and Implementing Advocacy Activities

Activity One: > **Ready for Advocacy? The Advocacy Goal**

Step 1: Ready for Advocacy?

Distribute Handout 27.7 to the participants and go through the questions with them. This process will help them to decide whether or not they should move forward with their advocacy activities.

You may divide the participants into small groups so that they can spend some time discussing the questions, and then return to plenary for a summary and final decision as to the group's readiness to begin advocacy activities.

Step 2: The Advocacy Goal

Once the group has decided that they are ready to move forward with their advocacy efforts, it is useful if they can summarise the **Goal** of their advocacy – what it is that they want to achieve – in a simple sentence. Some examples might be:

• To ensure that OVC in our community receive the educational grants from the DDE that they are entitled to.

• To ensure that no family is disinherited from their property upon the death of the head of household.

• To eliminate stigma and discrimination towards those infected with HIV and AIDS in our community.

Part 8: Planning and Implementing Advocacy Activities

Activity Two: The Advocacy Objectives

Since the advocacy goal is likely to be a long-term one, it will be helpful to the CCC if they can come up with some shorter-term objectives. These can be seen as intermediate steps on the way to achieving the goal.

Step 1: Example

Review the example below with the group:

Goal: To ensure that OVC in our community receive the educational grants from the DDE that they are entitled to.

Objective 1: To pressure the DDE to fulfill their responsibility for providing grants.
Objective 2: To inform the community about the rights of OVC to educational grants
Objective 3: To assist OVC guardians in completing the documentation for the grants

Step 2: The CBO's Advocacy Objectives

Now assist the group to develop their own advocacy objectives. Once the group has come up with two or more objectives, distribute **Handout 27.8** to the participants. This handout provides a checklist of questions to help the group to decide if their objectives are practical.

Review the questions with the group and help them to make any changes to their objectives, if necessary.

When the group has come up with a final version, they should write their objectives on a large sheet of flip chart paper, under the Goal. You may copy the Goal and Objectives in the space below:

Goal: _____

Objective 1: _____

Objective 2: _____

Objective 3: _____

Part 8: Planning and Implementing Advocacy Activities

Activity Three: > The Advocacy Action Plan[13]

Finally, the group should now come up with a concrete plan of action to move forward with each of their objectives. You may use the format below; one for each objective. The table has been partially filled in as an example.

Advocacy Objective 1: To pressure the DDE to fulfill their responsibility for providing educational grants for OVC			
Activity	**Resources Needed**	**Person(s) Responsible**	**Time Frame**
Prepare the message/statement to present to DDE, with all relevant supporting information	• Data and information • Paper • Computer or typewriter	• All members of advocacy group (CCC and other supporters)	• 1 month (April)
World Vision Facilitator to assist in requesting a meeting with DDE	• World Vision transport	• CCC leader with World Vision facilitator	• End of April
Meet with DDE representatives. Present message/statement and "fact sheet"	• World Vision transport • Provision for lunch • Printed statements for DDE	• 5 advocacy group representatives and World Vision facilitator	• Pend DDE response

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[13] From CEDPA, *Advocacy: Building Skills for NGO Leaders*

Part 9: Advocacy Case Studies

Activity One: Child Parliament Zambezia

Distribute photocopies of Handout 27.9 to participants, describing the true story of a Child Parliament in Mozambique. The point of this case study is to show participants a true, successful example of advocacy in action, whereby children themselves have been organised to speak out for their own rights. This should encourage the group to believe that successful advocacy work is possible, and to help them to come up with ideas of the types of advocacy-related activities that they may be able to carry out themselves.

Give the participants time to read this case study quietly, or ask for a volunteer to read it aloud. Answer any questions that the group may have about the structure and functioning of the Child Parliament.

After this, lead a discussion with the group regarding the ways that this case study may serve as an example for them. You may ask the following questions:

- Is there anything similar to a Child Parliament in your country or your community? Describe and discuss.

- If no such Parliament exists, what do the group members think about the idea of organising children in the community to form such a "Parliament", or a more informal type of structure, in order to give these children an opportunity to discuss issues of interest and concern? What would the CBO need to do to make that happen?

- Review the main activities of the Child Parliament in Mozambique. Is the CBO currently carrying out any of these types of activities? Does the list of activities give the participants ideas for additional things they may be doing to help to advocate for the rights of children?

- Review the things that the Child Parliamentarians were recorded as saying in the "snapshots" section of the case study. Do the CBO members find any of these quotes to be surprising? Explain.

- Even if the idea of a Child Parliament and related activities is not of interest or not relevant to the CBO you are working with, ask the members if the story inspires them to take on other types of advocacy work. If so, discuss.

Part 9: Advocacy Case Studies

Activity Two:

Advocacy Councils vs. Community Led Advocacy

Distribute Handout 27.10 which describes the success that local Advocacy Councils in Mozambique have had in organising child birth registrations. Give the participants time to read this case study quietly, or ask for a volunteer to read it aloud. Answer any questions that the group may have about the work of the Advocacy Councils.

Now ask the group to imagine that *they are the Advocacy Council*. They should imagine that they have *just identified* birth registration as a serious issue that they want to address through advocacy work. In preparation for this work, they have decided to draw either a Stakeholder Position Map (see Part 7, Activity Two) or a Force Field Analysis (see Part 7, Activity Three) to assist in understanding the opinions of the various stakeholders regarding this issue of birth registration.

NB: As the group has already produced either a Stakeholder Position Map or a Force Field Analysis in Part 7 of this module, you should encourage the members to try the diagram that they **have not yet produced**. If the group produced a Stakeholder Position Map in Part 7 then they should practice with a Force Field Analysis here, or vice versa.

When the group has completed the diagram, discuss the results with them. It may be the case that, with this example of birth registration, *there may not be many stakeholders opposed to the issue*. Birth registration is normally an issue that most stakeholders agree with, and there are not normally powerful individuals or organisations who will be trying to block progress in this area (although there may be exceptions). This, in fact, is an important point to make with the group! Advocacy does not always mean working in the face of opposition! Rather, barriers to change may have more to do with bureaucratic inertia or lack of organised action, than to opposition as such. Discuss this with the group.

Finally, the CBO may want to discuss the extent to which this particular issue – birth registration – is an important one in their communities too! That is to say, the case study from Mozambique is not only an example, but may also be relevant to work that the CBO is doing or may choose to do in the future.

Handout 27.1: What is Advocacy?

- First understand the difference between:
    - Giving someone a fish
    - Teaching someone to fish
    - **Being unable to reach the river**

- Advocacy looks at the **obstacles** to reaching the river, or the **root causes** of problems

- Advocacy attempts to **change** or **remove** these obstacles

- Advocacy attempts to make situations **fairer** and **more equal** for everybody

- Advocacy must work with **important** and **influential** people; that is to say, with the people who have the **power** to change the situation.

Handout 27.2: Program Activities vs. Advocacy

Instructions

Work in small groups and decide which of the examples below are examples of **Program activities** and which are examples of **Advocacy-related actions**. Be prepared to explain your answers in plenary.

1. Visiting orphans and vulnerable children and providing them with psychosocial support

2. Meeting with the school headmaster to ask for the school's assistance with uniforms and notebooks for orphans.

3. Meeting with the church pastor to ask him to give a sermon about caring compassionately for the chronically ill.

4. Taking a schoolteacher who violated a 14 year old girl to the police.

5. Explaining to a child's guardian that children should not only work, but that they also have the right to play.

6. Sending a representative of the CBO to the district-level OVC coordination meeting.

7. The CBO representative explains in the district-level OVC coordination meeting that the civil registry has not yet sent anyone to the community to register children, and asks for assistance with this.

8. Taking a chronically ill individual to the PTV for testing and anti-retroviral treatment.

Handout 27.3: The Rights of Children [14]

1. The right to a name and nationality

2. The right to grow peacefully in a caring and secure environment

3. The right to the basic necessities of life; e.g. food, shelter and clothing

4. The child's right to his / her parents

5. The right to have one's health protected through immunisation and appropriate health care

6. The right to protection from abuse and exploitation

7. The right to be treated fairly and humanely

8. The right not to be employed / engaged in activities that harm the child's health, education, mental, physical and functional development

9. The right to a basic education

10. The right to play

11. The right for the child to express his or her opinion

12. The right for the child to be listened to

13. The right for the child to be consulted according to his / her understanding

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[14] From World Vision, *Mobilizing and Strengthening Community-Led Care for Orphans and Vulnerable Children*

Handout 27.4: Government Responsibilities for Child Rights [15]

Examples of ways that Governments help to ensure the rights of children:

- The rights of the child are put in the country's constitution

- Immunisation of children against the six killer diseases

- Free primary education to ensure that more children are able to go to school

- Laws to protect children from sexual abuse

- Laws to protect children from harmful work

Important:

- Sometimes child rights are not fulfilled because the Government does not have good policies and laws.

- But sometimes child rights are not fulfilled for other reasons. Maybe the Government has good policies and laws but people and organisations at lower levels do not follow them.

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[15] From World Vision, *Mobilizing and Strengthening Community-Led Care for Orphans and Vulnerable Children*

Handout 27.5: Examples of Information for Advocacy

The following are examples of some of the types of information that your group should try to collect before beginning advocacy activities. The examples refer to two separate possible advocacy issues.

There is space at the bottom of the page for your group to write its ideas for the information you will need for **your** advocacy issue.

Example 1:   Advocating with district authorities to make educational grants available to orphans

Information needed:

• The policy documents that outline the educational grants
• Information on the budget that the district **should** have for this purpose
• Information on the number of OVC the district has budgeted for
• Information on the number of OVC who have actually received grants
• Names and contacts of key individuals responsible for disbursing the grants

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Example 2:   Advocating for correct property inheritance

Information needed:

• The official documents that describe the country's property inheritance laws / policies
• Case studies of widows who have been illegally disinherited
• Examples of how to write a proper will
• Names and contacts of key individuals responsible for ensuring compliance with inheritance laws

---

Our Group's Issue: _____

Information Needed:

• _____

• _____

• _____

• _____

Handout 27.6: Thinking About "Supporters" and "Non-Supporters" [16]

Now that you have completed your Stakeholder Position Map or Force Field Analysis, you can think about what this means for your advocacy work.

Discuss the following points in small groups:

- "Supporters" and "Non-Supporters" are not fixed positions. Individuals and organisations can and do change their minds.

- You need to continue to work with your supporters so they do not change their minds and become non-supporters!

- It is easier to begin working with stakeholders who are "neutral", before beginning to work with stakeholders who are non-supporters. Try to persuade the "neutral" stakeholders of the value of your issue.

- There may be situations where you will not have direct access to some stakeholders. In these cases, you may decide to work *through* other stakeholders who *do* have access. For example, sometimes World Vision can help you with contacts at the district level, as shown in the diagram below.

CCC *Together for Children* → **World Vision** → **District Department of Education**

- You can also try to help the poorest and those most directly affected by the issue – for example children and guardians – to have greater influence themselves.

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[16] From Tearfund, *Advocacy Toolkit*

Handout 27.7: Ready for Advocacy? Checklist [17]

Discuss these questions in small groups and with your facilitator.

☐ **Issue/Problem:** Is it serious? Is it urgent? Is it a priority? Do all CBO members agree on the issue?

☐ **Effects:** Can you identify the effects of the problem and support this with reliable information?

☐ **Causes:** Do you have a good understanding of the causes of the problem and how the causes can be addressed?

☐ **Potential Solutions:** Is advocacy the best way to address this problem? What are some of your ideas for solutions? What are their advantages and disadvantages? Can you defend your position? Are your proposed solutions realistic?

☐ **Target Stakeholders:** Are you clear about who is responsible for this problem and who has the power to bring about change? Do you have access to them and a chance of influencing them?

☐ **Supporters:** Are you clear about who will support you and what help they will give?

☐ **"Neutrals":** Are there other people or organisations who could potentially become supporters? Do you have ideas about how to persuade them to help you?

☐ **Risks:** What are the risks in becoming involved in this advocacy issue? Are there ways that you can reduce these risks?

☐ **Methods/Activities:** Do you have some ideas about some of the activities you will carry out to meet your advocacy objective?

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[17] From Tearfund, *Advocacy Toolkit*

Handout 27.8: Objectives Checklist [18]

Discuss these questions in small groups with reference to the advocacy objectives that your organisation has developed.

☐ Does the data show that the objective will improve the situation?

☐ Is the objective achievable? Even with opposition?

☐ Will the objective gain the support of many people? Do people care about the objective deeply enough to take action?

☐ Can your group obtain whatever resources are necessary to support your work on the objective?

☐ Can you clearly identify the target decision-makers? What are their names and positions?

☐ Is the objective easy to understand?

☐ Does the advocacy objective have a clear time frame that is realistic?

☐ Do you have the necessary alliances with key individuals or organisations to reach your advocacy objective?

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[18] From CEDPA, *Advocacy: Building Skills for NGO Leaders*

Handout 27.9: Advocacy Case Study 1: Child Parliament Zambezia [19]

Brief Background

In Mozambique the first Child Parliament started in 2000 as a civil society movement in Quelimane, the capital of Zambezia Province, during the arrangements for the Women's World Summit in which one of the topics to be discussed was children's issues. Mrs. Manuela Dallas was leading a group of women who were carrying out children's focus group discussions to collect children's inputs and capture the children's voices for the summit. After the summit Mrs. Dallas, who is still called the "Mother of the Child Parliament" and is still supporting it to date, has continued to work with this same group of children, carrying out regular discussions with them. This eventually became the Child Parliament, which still meets on a weekly basis to discuss and debate child-related issues.

In 2001 the Government of Mozambique organised the first national Child Parliament session. While children representing each of Mozambique's eleven provinces participated in this national session, Zambezia was the only province with its own formalised Child Parliament at that time. Because of this, Ms. Suzete Loureiro, the child president of the Zambezia Child Parliament, was elected to be the president of the national Child Parliament and represented Mozambique in the 2002 UN World Summit for Children. The Zambezia Child Parliament continues to be the most active in the country and World Vision is supporting its efforts in three districts in the Province.

Main Activities of the Child Parliament:

- Awareness raising sessions with communities in general and children in particular about children's rights
- Advocacy and lobbying
- Educate and advocate for the availability of child friendly spaces
- Capacity building sessions of children on relevant issues related to children
- Engage in public campaigns such as:
  - Awareness raising on HIV and AIDS
  - The 'Education for All' movement
  - Against the sexual abuse of children and other violations of children's rights
- Support OVC by collecting donations, distributing kits of food, school materials, clothes, etc. , and interacting and playing with the children
- Visit and interact with children in schools, communities, hospitals, etc.
- Visit government and NGO programmes
- Child Parliament sessions: regular sessions and thematic sessions

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[19] This case study was prepared by Jaime Chivite, World Vision Mozambique.

Child Parliament Moments and "Snapshots"

- *Education is key for child empowerment as it enables children to face and overcome challenges and engage in the process of building a better future* – said a young Child Parliamentarian when asked to identify priority issues for children

- *I recommend that each Government Provincial Department takes into account one concern or request of these young Members of Parliament* – said the Governor of Zambezia Province in a meeting with the Child Parliament in the presence of the directors of all Provincial Departments

- *What is the difference between England, United Kingdom and Wales?* – asked one of the young Child Parliamentarians, speaking to two British Members of Parliament who came to Zambezia and had a meeting with the Child Parliament.
  – I didn't expect such a question here and I confess that it is not an easy one. I will need to do some homework and come back to you if my colleagues can't help me – answered one of the British MPs.

- In 2006 a photographer working on photo stories of children related to HIV and AIDS and OVC had a meeting with 51 children representatives of the Zambezia Child Parliament. He asked if the children could show him a case of a child related to HIV and AIDS. The young Child Parliamentarians took him to visit a double orphan young girl whose age was unknown, who did not have a birth certificate and who was not going to school. What he saw shocked the photographer. The young girl was living with her grandmother, an octogenarian who was usually drunk. The young girl must look after her grandmother when she is drunk; a typical example of children whose needs are not met.

- In a provincial session of the Zambezia Child Parliament the Provincial Health Department was invited to brief the young Child Parliamentarians about the availability of health services for children. After the briefing, questions were addressed to the representative.
  You said that the medicines for malaria were free but two weeks ago I got sick with malaria and I went to the hospital and bought malaria medicine in a public pharmacy. How do you explain this? – Asked one young Child Parliamentarian.

Handout 27.10: Advocacy Case Study 2: Advocacy Councils vs. Community Led Advocacy[20]

World Vision has been active in helping communities in Zambezia Province in Mozambique to set up Advocacy Councils as a means of addressing child-related issues. Advocacy Councils are made up of local leaders and other key community members. The receive training from World Vision and then identify advocacy issues for action. One of the key issues that many Advocacy Councils have decided to take up is the problem of birth registration for children.

Through a process of community-led situational analysis, two Advocacy Councils in two separate districts of Zambezia Province identified birth registration as one of the top three advocacy issues affecting children in general and OVC in particular. Lack of birth registration was preventing children from accessing basic services, and was often exposing children to property grabbing. The Advocacy Councils interviewed children in their areas and found that the majority of children had not had their births registered and, as a result, did not possess birth certificates; a vital piece of documentation. The Councils then met with staff from the District Civil Registry Departments and, using their findings, presented (a) a problem tree to illustrate the range of causes contributing to this problem and (b) a solution tree with suggestions for increasing numbers of registered births. These diagrams were shared both at community level and with the Zambezia OVC Network at the provincial level. This network took the issue forward by inviting the Provincial Birth Registration Department to discuss potential solutions.

A birth registration campaign was the immediate outcome, while a sustainable solution required prompt follow up at national level. Many partners eventually agreed to conduct birth registration campaigns. In the case of World Vision, a campaign was carried out in 2006 in which more than 79,000 children and their parents were registered free of charge!

This is a success story showing how an advocacy process *beginning in the community* led to very large and wide-ranging results!

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[20] ibid.

Coordinating CBOs: Advocacy

- There is not much difference in the way you will carry out this module if you are working with a Coordinating CBO in place of an Implementing CBO.

- One of the points you will want to make to the Coordinating CBO, however, is that it already has a good head-start in preparing for advocacy work in that, as a Coordinating CBO, it represents a number of other organisations. Advocacy is best carried out *in collaboration with others* rather than alone, as the group's argument and position is strengthened through numbers. The more organisations and individuals support a chosen issue, the greater the momentum that can be achieved in bringing the issue forward with the influential stakeholders who have the power to make the desired changes. The fact that the Coordinating CBO already represents a coalition of interested groups represents a head-start in terms of preparing for advocacy!

- All activities may be carried out as they are written in the module.

Mentoring: Capacity Area 7: External Relations

Module 26: Networking
Module 27: Advocacy

Follow Up (after trainings)

1. Although the group may understand the importance of forming networking links following the training in Module 26, they may still require **assistance in approaching potential partners**. You can help the group to link up with external stakeholders.

2. **Advocacy** is one area where it is perfectly appropriate for WV (or your organization) to be working in partnership with the CBO. This does not in any way undermine the CBO's independence or create dependency on you; rather, advocacy efforts are often most successful when broad coalitions of groups come together with a common message and voice. As the CBO begins to identify advocacy issues for action, you should **look for ways that you and your organization can join in the effort**. (This is known as "advocacy *with* the people, as you will read in Module 27.)

3. In order for the CBO to be most effective in its advocacy activities, it will need good **information and statistics** to support its case. You will have an important role to play in **helping the CBO to gather this information**. It may be easier for you to access health statistics, for example, than it is for the CBO. You will want to build the group's capacity, over time to know where to look for relevant supporting information and how to gain access to it.

Resources: Module 27

1. *A Manual for the Capacity Building of Self-Help Groups*, **Myrada.**

2. *ADP Toolkit for HIV/AIDS Programming*, **World Vision International, 2004.**

3. *Advocacy: Building Skills for NGO Leaders*, **CEDPA, 1999.**

4. *Advocacy in Action: A Toolkit to Support NGOs and CBOs Responding to HIV/AIDS*, **The International HIV/AIDS Alliance, 2002.**

5. *Advocacy Toolkit: Practical Action in Advocacy*, **Tearfund, 2002.**

6. *Art of Advocacy*, **World Vision International, 2006.**

7. **Cohen, David, Rosa de la Vega and Gabrielle Watson,** *Advocacy for Social Justice: A Global Action and Reflection Guide*, **Kumarian Press, Inc., 2001.**

8. *Operations Manual for Community Based Performance Monitoring*, **World Vision International, 2005.**

9. **Sharma, Ritu A.,** *An Introduction to Advocacy: Training Guide, Support for Analysis and Research in Africa* **(SARA).**

10. *World Vision Resource Guide for HIV/AIDS Programming in the Asia-Pacific Region*, **World Vision International, 2006.**

Capacity Area 7: External Relations

Module 26: Networking

Module 27: Advocacy

While the first six capacity areas work to build the capacity of the CBO as a stand-alone organisation, this section prepares the CBO to develop the types of external linkages that will amplify the impact of its work. In Module 26 the CBO will learn the importance of connecting with community leaders and other community stakeholders, with government entities, and with other CBOs and institutions as a way of bringing additional skills, resources and "voice" to the work it is doing. Module 27 seeks a yet more powerful, transformation outcome of the work the CBO is doing through introducing CBOs to the concepts and methods of advocacy-related action. The Facilitator will assist CBO members in developing 'critical awareness', in analysing the root causes of the problems their communities are facing as well as the 'power relations' that might be contributing to these, and in developing a plan to address one or more pressing issues through action of an advocacy nature.