Partnership Approach Guidance and Tools

For developing and sustaining partnerships in conflict-affected settings

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FORWARD

Partnering with national organizations is easy to talk about but much harder to undertake. It requires respect, trust, courage, patience and determination to enhance ownership and sustainability and to contribute to more effective programming, which is particularly true in crisis settings. Increasingly, partnering with national organizations in conflict affected or displaced settings occurs as many international agencies struggle with transitioning from disaster relief through recovery, rehabilitation and into a development context. There are not, however, many partnership tools, guidance documents, materials, or lessons available that include the unique aspects of working with partners in these complex and ever-changing environments.

Promotion of participatory ways of working and a focus on capacity building – key elements of partnership – are intrinsic to the overall mission and approach of the American Refugee Committee (ARC)[1]. ARC has a long history of partnering with local actors through its international health, economic opportunities and disaster response work.

Two specific ARC projects, plus additional work that has been occurring in all ARC project sites, informed this work. Both projects use a capacity assessment tool that determines the type of capacity building efforts undertaken with various partners. First, the multi-country Gender *Based Violence* (*GBV) Local Partnership Project* which was initiated in 2007 with funding support from the U.S. State Department's Bureau of Population Refugees and Migration (BPRM). ARC initiated this project in six country GBV programs serving diverse populations and cultures. The first year of the project (2007-2008) was a pilot and field testing period with a view toward shifting programming to encourage and support more local initiatives to prevent and respond to GBV.

Second, in 2008, implementation of the PEPFAR (U.S. Presidents Emergency Plan for AIDS Relief) funded NU APROACH (Northern Uganda Access, Prevention, Referrals and Organizational Assistance to Combat HIV/AIDS) project in Northern Uganda was initiated. This project works in partnership with local organizations to deliver essential HIV services to IDPs and returnees in the north. The first year of the project focused on one principle partner, HIDO.

Drawing on the lessons learned from these two projects, this guide provides a summary of tools, guidance, and promising practices for working with, and building the capacity of, local partners. The intention was to produce a guide that will be immediately useful to ARC to help ARC country programs to effectively partner with local organizations to design and deliver appropriate, good quality, and sustainable interventions in conflict- or disaster-affected populations.

This initial draft of this guide was compiled by Beth Vann, consultant, and was based on examples from ARC's GBV programming and discussed and reviewed with the ARC field based GBV program managers and some of their partner organizations at a Global GBV Conference (held in September 2008). The current guide, with lead author being Tegan Molony, consultant, incorporates a more holistic view of partnership, reflects lessons learned from all of ARC partnerships, and complements the draft ARC Sub-grant Manual. A draft version was presented at a follow up Global GBV Partnership conference, held in June 2009, where there was a final opportunity for field-based input from ARC Country Directors, GBV program staff and partners. It is this experience and wisdom from the field – from both ARC and partner organizations – which contributes to making this guide relevant

[1] ARC Subgrants Manual, March 2009; ARC International Programs Health Team 2009 Plan.

and practical for all ARC staff and programs to build original, robust and successful partnerships leading to sustainable and strong national leadership.

We would like to acknowledge the valuable contributions of a few individuals and ARC country offices to the development of this guide. First, we want to thank the local organizations and staff who have inspired and provided indirect input and important contributions to the field testing and application of the guide, with a particular mention to FIND/Liberia, WOPHA/Southern Sudan, KWO/Thailand, SEHER/Pakistan, GWED-G/Uganda, Condifa/Rwanda, CSAGs/Uganda, Male Family Network/Uganda, Thailand SGBV Committees, and HIDO/Uganda. Furthermore, we are grateful for all ARC country offices that took part in the Local Partnership Project (Liberia, Rwanda, Pakistan, Southern Sudan, Thailand and Uganda) for their application of the tools and for their guidance on revisions of the tool to make it as user friendly and applicable as possible for field programs.

Additionally key individuals provided insight and guidance into the development of this guide. Connie Kamara and Beth Vann provided critical programmatic input and support for the guide's conceptualization and advancement. ARC would like to thank and acknowledge John Kelleher for donating his considerable graphic design talent to produce an easy-to-read format. Finally, we are grateful to the RHRC Consortium Astarte Project (formerly the Capacity Building/Small Grant Program) led by JSI Research and Training Institute, for providing many of the key tools shared here.

ACRONYMS

AIDS	Auto Immune Deficiency Syndrome
ARC	American Refugee Committee
BCC	Behavior Change Communication
BPRM	Bureau of Population, Refugees and Migration
CBO	Community Based Organization
CSO	Civil Society Organization
GBV	Gender Based Violence
HIDO	Health Integrated Development Organization
HIV	Human Immunodeficiency Virus
HQ	Head Quarters
HR	Human Resources
IDP	Internally Displaced Persons
IEC	Information, Education, Communication
JSI	John Snow Inc
M&E	Monitoring and Evaluation
MED	Microenterprise Development
MSC	Most Significant Change
NGO	Non Government Organization
NUAPROACH	Northern Uganda Access Prevention Referrals and Organizational Assistance to Combat HIVAIDS
OCA	Organizational Capacity Assessment
PEPFAR	US President's Emergency Plan for AIDS Relief
RHRC	Reproductive Health for Refugees Consortium
SCORE	Strengthening Capacity of Organizations to use Resources Effectively
TBA	Traditional Birth Attendant
USAID	United States Agency for International Development
VCT	Voluntary Counseling and Testing

SECTION ONE - Introduction

ARC Definition of Partnership:

Partnership is a complementary relationship with mutual advantages for two parties.

The relationship depends on context and changes over time. Partnerships are guided by mutual respect, mutual accountability and equity and should emphasize openness and learning.[1]

Problem Statement

Delivering effective services in humanitarian settings requires careful planning to achieve high quality, integrated action by a variety of multi-sectoral actors including international humanitarian organizations (NGOs and UN), host government ministries, national organizations, and the affected community. There must be collaboration, coordination, communication, technical training, and high-level support, commitment and accountability among and between *all* actors.

However, in busy humanitarian settings the international presence often excludes national NGOs and local groups, citing a lack of capacity and technical skills as hindrances to achieving results in a fast paced environment. The opportunity to benefit from local expertise is thus lost and programs may be weaker as a result, ultimately meaning that beneficiaries may receive reduced quality and unsustainable services.

Supporting national organizations through partnerships and addressing their capacity development needs is an important way to ultimately ensure effective programs – programs that are rooted in local knowledge and networks but also benefit from the technical and organizational strengths of international organizations.

1 This definition draws from ARC experience and 'The Partnering Toolbook', Tennyson, 2003, p. 6, 7; 'Building Partnership for Health in Conflict Affected Settings', CARE, May 2007, p.8; Lauten, B. 'Time to Reassess Capacity Building Partnerships' in Forced Migration Review, p.p.4-6 July 2007; Oxfam Australia Program Management Manual, Version 3, May 2007, p.62; 'Partnership and Local Capacity Building: Foundations for CRS Strategy', CRS, January 1999, p.p.12-14; and Concern Partnership Policy, October 2007. Field staff at the GBV Partnership Conference (24-26 June 2009) also reviewed it.

ARC and Partnership

ARC's Mission:

The American Refugee Committee (ARC) works with its partners and constituencies to provide opportunities and expertise to refugees, displaced people and host communities.

ARC helps people survive conflict and crisis and rebuild lives of dignity, health, security and self-sufficiency. ARC is committed to the delivery of programs that ensure measurable quality and lasting impact for the people we serve.

ARC is an international nonprofit, nonsectarian organization originally founded in 1979 to provide aid to Cambodians on the Thai-Cambodian border. Today ARC works in countries around the world helping communities affected by armed conflict and disasters to rebuild their lives. Annually, ARC programs in Africa and Asia[2] provide health care, clean water, shelter repair, legal aid, trauma counseling, micro credit, community development services, and repatriation assistance to millions of people. ARC is also engaged in HIV and GBV programming in these communities.

The foundation of ARC's relationship with uprooted people is one of mutual respect and a compassionate exchange of knowledge and values. ARC recognizes that national organizations often know best how to address issues in their communities – they understand their local context and what will, or will not work. ARC also acknowledges that national organizations sometimes require assistance with aspects of their organizational and technical capacity to enhance/strengthen their work with affected communities. To address this, ARC has a long history of partnering with local actors on programs and services in field sites in all its areas of work; however, this has often been in an ad-hoc manner without strategic HQ and field support and guidance.

Two recent ARC projects are attempting to more formally address the issue of partnerships and are providing valuable lessons for ARC. The Gender *Based Violence* (*GBV) Local Partnership Project*, is a cross regional project initiated in 2007 and funded by U.S. State Department's Bureau of Population Refugees and Migration (BPRM). The project, operational in six countries, serves diverse populations and cultures: Liberia (returnees), Rwanda (DRC refugees), Pakistan (Afghan refugees), Southern Sudan (returnees and IDPs), Thailand (Burmese refugees), and Northern Uganda (returnees and IDPs). The NU APROACH project (Northern Uganda Access, Prevention, Referrals and Organizational Assistance to Combat HIV/AIDS) is a country specific project based in Uganda, initiated in 2008 and funded by PEPFAR (The U.S. Presidents Emergency Plan for AIDS Relief). Both programs are informed by the Reproductive Health Response in Conflict Consortium Astarte Project (formerly known as the Capacity Building/Small Grant program), which has been working with local partners since 1996. ARC has a significant amount of experience and knowledge on capacity building via their membership with the RHRC Consortium. ARC utilizes the capacity building

[2] Darfur, South Sudan, Rwanda, Uganda, Liberia, Sierra Leone, Thailand and Pakistan.

process, tools and resources developed by the RHRC Astarte Project to guide current partnership and the capacity building process.

ARC learning from the partnership experiences of these different projects - one with a broad multi-country, multi-partner focus and the other concentrating on one country site and initially one partner – can inform, scale up and strengthen ARC's partnership and capacity building work in other sectors and program areas, in addition to the ongoing work in the GBV and HIV programs. ARC has also had experiences in other country programs and contexts that have informed the guide and helped to refine the tools included here.

GBV Local Partnership Project

Project Goal: To establish sustainable, good quality, and comprehensive GBV interventions at the local level in Liberia, Uganda, Southern Sudan, Rwanda, Pakistan, and Thailand, by building capacity of local organizations and strengthening local, national, and regional networks of organizations involved in GBV programming in refugee/conflict/emergency settings.

In order to meet this goal, there are two over-arching objectives that guide the implementation of strategies and activities:

- Increase organizational and technical capacity of selected local/national organizations to design, manage, deliver, evaluate, and sustain GBV services through capacity building, training, and follow-up technical assistance;
- Develop and/or strengthen south-to-south GBV networks in humanitarian/ emergency/ conflict settings, optimizing learning, information sharing, coordination, and building sustainability.

This project uses RHRC Consortium adapted tools to assess and measure partner's strengths and weaknesses over time, and to develop specific plans for targeted strengthening of organizational and technical capacity. Technical experts in GBV and partnership/capacity building at ARC headquarters provide overall global coordination, management, and technical support for the project. Implementation and national level coordination and management occur at the field level and are integrated into regular GBV programming. With this broad approach, every context is different and ARC is engaged with, and developing, partnerships with local Civil Society Organizations (CSOs[3]).

The project also supports local, regional, and global networking for professional development, networking, information sharing and cross-learning. Through local network meetings, regional networking, and linking people involved in GBV prevention and response in humanitarian settings, the project has promoted sharing of good practices, challenges, and lessons learned.

[3] In this guide CSO refers to Non Government Organizations (NGOs) and Community Based Organizations (CBOs).

NU APROACH Project

Project Goal: To contribute to reduced incidence of HIV/AIDS in Northern Uganda.

In order to meet this goal, there are three objectives, of which the third directly relates to ARC's work with partners:

1) Increase basic HIV knowledge and encourage positive behavior change among displaced and returnee populations in Northern Uganda;
2) Increase access to and utilization of quality HIV/AIDS prevention, care and support services to displaced and returnee populations in Northern Uganda;
3) Improve coordination and capacity of national HIV/AIDS responses/organizations by facilitating local ownership and direction to hand-over all objective one and two activities in year three.

This focused single country project uses a key tool to monitor the organizational development of ARC partners. The Organizational Capacity Assessment (OCA) tool, produced by JSI, is a guided self-assessment exercise from which an action plan can be developed serving as the basis for the capacity building efforts with partners. ARC is currently working with the Ugandan NGO Health Integrated Development Organization (HIDO) as a principal partner, and is identifying other partners via a competitive process and will develop tailored capacity-building plans with those agencies.

What Is This Guide?

This guide is a first step at attempting to document the valuable lessons learnt from in-depth partnership efforts. It has been developed with input from ARC HQ technical staff and draws on experience from field staff and partners based in six sites who work on the two projects.

This document contains guidance and tools on partnership for ARC staff which have been developed from the lessons learned. It discusses the philosophical and conceptual foundations of partnership in the ARC approach and includes step-by-step actions for working with partners from selection and engagement, through to monitoring and evaluation.

Who Should Use This Guide?

The guide is for Program Managers/Coordinators and any other staff in field offices who are involved in ARC's partnership work. The guide will also be useful for Country Directors, Program Officers, and headquarters personnel as a way of learning more about the partnership and capacity building work being done in ARC's programs.

How To Use This Guide

This guide has been designed to assist ARC staff to develop, manage and sustain partnerships. It outlines key elements of the process, while acknowledging that every setting will be different. It should be adapted as appropriate, taking into account what already exists and the unique political, social and cultural context of different field sites. The layout of the guide is as follows:

Section One: Introduction

Introduction to the background and context of the guide.

Section Two: Conceptual Issues

This section outlines the conceptual/theoretical foundation of ARC's work with partners including key principles and ways of working, and also highlights some of the challenges.

Section Three: Practical Guidelines

This section offers a step-by-step guide and also tools for developing, managing and sustaining partnerships. It is organized to follow the *ideal* stages of establishing a partnership but there is recognition that every situation will be different. It covers eleven activities:

1) Partner Selection and Engagement
2) Capacity Assessment (including Document Review and Debrief)
3) Capacity Planning
4) Capacity Reporting
5) Establishing a Memorandum of Understanding (MOU).
6) Coordination/Advisory Committees
7) Small Grants
8) Establishing Supportive Networks
9) Sustainability of Partnerships
10) Managing Conflict
11) Monitoring and Evaluation

This guide is not an all-inclusive guide to building organizational and programmatic capacity or to managing partnerships. There are other well-established resource materials that provide further information and skill building in these areas. In the appendices there is a list of useful Key Resources and Internet sites for further exploration.

Although the tools and methodology included in this guide have been useful for ARC staff, they are not fully proven within every context and situation. Therefore, this guide is meant as a starting point and should be adapted to every situation. As ARC learns more about this work, the guide will also be updated and adapted to reflect new ideas and lessons learned from the field.

This guide can be used in conjunction with the ARC Sub-Grants Manual (2009) which serves as an implementation and compliance guide for local capacity building work when providing sub grants to local, non-US organizations. The Sub Grant Manual was designed to meet the rigorous standards of the US Agency for International Development (USAID) but can provide guidance to better implement sub grant programs regardless of the donor.

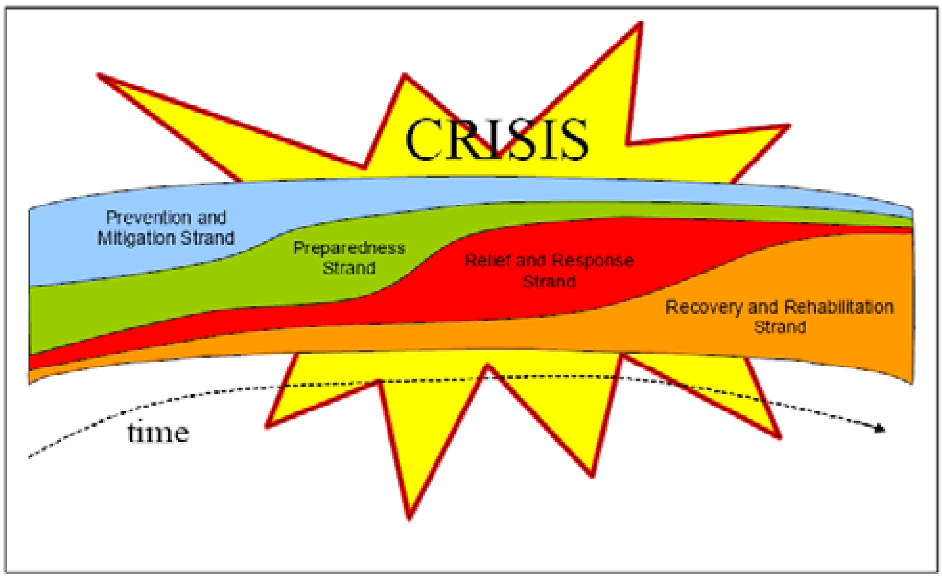
SECTION TWO - Key Concepts

CRISIS SETTINGS

Before examining partnerships in more detail, it is important to consider the context. ARC works in what are commonly described as crisis or 'conflict affected settings'[4]. In these settings, there are a number of recognized stages and response must be adapted to each of these[5].

A good model for understanding the fluidity in crisis settings and how responses must change is the Stretch/Expand Model[6].

Stretch/Expand Model of Crisis and Phases of Conflict



This model highlights that emergencies are often not short, discrete events, but can be complex and long.

Partnerships have a place in all stages of crisis and are important for effective response. For example, partnerships developed during the relief and response strand could become crucial to the

4 'Regions of the world experiencing protracted conflict evidenced by prolonger stated crisis, widespread violence and insecurity, asset depletion and chronic displacement, rendering the pursuit of livelihoods difficult and dangerous.' Feinstein International Famine Centre, Tufts University, 2003, in CARE, 'Building Partnership for Health in Conflict Affected Settings', May 2007, p. 8

5 ARC has also worked in natural disaster settings (e.g. in Pakistan the 2005 (Kashmir) earthquake, and 2007 (Baluchistan) floods, and in Thailand responding to the 2004 Indian Ocean Tsunami) - these contexts can move through comparable stages to conflict affected settings when there is large scale displacement (apart from Phase 1). Phase 2 corresponds to the acute emergency; Phase 3 to the period immediately following the acute emergency; and Phase 4 to return, reconstruction and recovery.

6 From CARE, 'Building Partnership for Health in Conflict Affected Settings', May 2007, p.p. 9,10.

transition to development in the recovery and rehabilitation phase. Conversely, partnerships formed during the prevention and mitigation strand may be quickly mobilized for the relief and response.

Partnerships can facilitate a timelier and appropriate response (i.e. more effective response to the shifting needs of a crisis affected population[7].) Of course the type of partners that are engaged will depend on the stage of crisis. For example, in a camp based setting, pre-existing formal CSOs may not be functioning (the members may have been split up, their resources destroyed etc.) but a loose organization of motivated individuals may have formed, providing an ideal opportunity for partnership.

PARTNERSHIP

Overview

There are many contexts for partnership and it is difficult to provide one standard definition to cover all situations. In the humanitarian relief and development setting, 'partnership' can describe an array of relationships between two agencies or organizations such as joint ventures, sub-contracts, implementing partnerships, referral networks, or collaborative relationships to share information and support.[8] These relationships can be short or long term; and they can be official or informal. One key characteristic is that both parties aim to 'capitalize on the complementary capacities'[9] of the other to achieve something they could not do alone. Importantly, it is the *process* of partnering that is key to sustainable programming rather than the partnership being an end in itself. A partnership developed badly - without adherence to key principles of mutual respect, mutual accountability and equity - will negatively affect the outcomes of capacity building interventions and therefore negatively impact on the desired outcome in the target population.

ARC works in a variety of different humanitarian settings – in vastly different cultural and political contexts with people who are living in various situations from acute emergency, through relief and rehabilitation to post emergency development. ARC thus works with people who are in recently established refugee and IDP camps (e.g. Darfur and South Sudan), long term refugee settings (e.g. Pakistan and Thailand) and in communities of return (e.g. Liberia). In these different contexts are different realities for partnerships. ARC's current partnerships – developed under the GBV Partnership project and the NU APROACH project - reflect these differences, engaging with a variety of Civil Society Organizations (CSOs) including NGOs and CBOs.

Although ARC partnerships are mainly with CSOs, it is also possible to develop partnerships with government actors, other international organizations, or United Nations agencies within a certain context.

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[7] ibid.

[8] CARE, 'Building Partnership for Health in Conflict Affected Settings', May 2007; p.8, Lauten, B. 'Time to Reassess Capacity Building Partnerships' in Forced Migration Review, p.p. 4-6 July 2007.

[9] 'Partnership and Local Capacity Building: Foundations for CRS Strategy', CRS, January 1999, p.13

Definition

ARC defines partnership as a complementary relationship with mutual advantages for two parties. The relationship depends on context and changes over time. Partnerships are guided by mutual respect, mutual accountability and equity, and should emphasize openness and learning. Partners share a vision, values, objectives, and risks and jointly contribute financial, human or logistical resources.

Benefits[10]

Why do organizations engage in partnerships in crisis settings?

Partnerships can achieve more than one institution working on its own. Partnerships 'capitalize on complementary capacities'[11] giving each partner new resources, information, skills, ideas, support, perspective, networks and opportunities. For example, national organizations can offer local knowledge, local networks, and improved/increased access to communities, including the most vulnerable. International organizations can offer access to best practice methodologies, networking and funding opportunities, options for organizational management and governance, and strategies for advocacy, government relations and public outreach[12].

This means that:

- Partnerships enhance impact. Sharing and learning between partners allows for innovation and a stronger approach and therefore more effective programming.
- Partnerships can increase the credibility and legitimacy of activities in the eyes of the local and the international community. This improved reputation of both partners can mean more donor support and also can facilitate access to key stakeholders so as to influence policy.
- Partnerships are cost effective. They reduce duplication, leverage resources and fill service delivery gaps.
- Partnerships are important for sustainability. Partnerships increase the confidence, capacity and control of local actors so they can continue to assist communities beyond ARC's continued presence.
- Partnerships develop local institutions and can strengthen civil society. The promotion of governance, democracy, and rights based approaches can contribute to an overall goal for peace and stability.
- Partnerships increase the reach of services. A key benefit of partnership is to enhance the reach of both services and networking capabilities of both partners. Many times national partners can access areas that are unsafe for ARC, or ARC is unable to access. On the other side, ARC can offer many national players a stronger voice in policy development and more funding opportunities with international donors.

CAN YOU THINK OF ANYMORE?

[10] Adapted from CARE, 'Building Partnership for Health in Conflict Affected Settings', May 2007, p.9 and 'The Partnering Toolbook', Tennyson, 2003, p.10

[11] 'Partnership and Local Capacity Building: Foundations for CRS Strategy', CRS, January 1999, p.13

[12] Adapted from Counterpart International, an international NGO based in Washington DC and engaged in partnership and capacity building with national NGOs in many countries.

Challenges[13]

The benefits of working with partners in crisis settings are clear but it is important to recognize that there are many challenges!

What are some of the challenges?	How can we overcome these?
The idea of an equitable and mutually beneficial relationship between partners is an ideal and difficult to achieve in the context of international development where unequal power relations are normative.	First we need to recognize the unequal power relations inherent in international development and relief. Second, we need to analyze these relations and the risks and benefits for the partner and ARC. Third, we need to monitor ARC actions and ensure the partners voice is heard in all stages of the process. This is why we have guiding principles for partnership (outlined in section below) – to help us strive for the ideal.
Do potential partners actually exist? In camps, there are often no obvious partners.	Yes! Be flexible in your definition of partners – not just established NGOs, also community groups, youth groups, savings and loans groups, community leaders etc.
Are organizations legitimate in crisis settings? There is often a 'mushrooming' of CSOs in the post emergency phase with little regulation.	This is something that needs to be assessed. This guide includes tools to guide ARC through a thorough and standardized selection process for partners. It is also important to consult with other organizations through coordination forums as 'referees' for potential partners.

[13] Adapted from ARC experience and also CARE, Building Partnership for Health in Conflict Affected Settings, May 2007, p.10

What are some of the challenges?	How can we overcome these?
The negative consequences of choosing the wrong partner can be magnified in an emergency setting (e.g. working with a particular ethnic or religious group can have security implications for an agency or population).	Aside from using the thorough and standardized selection process for partners and checking with other organizations and community members, it is vital to have a good understanding of the political/cultural/conflict context. If you are unsure, you could also check with national counterparts and/or ARC colleagues who have been working/living in the context for longer than you.
Building trust takes time. Is there enough time in an emergency setting?	The activities in this manual are designed to help with establishing trust. It is also important to ensure clear communication and respect from the very first interaction with a potential partner. This will set the stage for your future relationship.
Joint decision making can be more difficult in a conflict setting due to problems with communication (no phones, internet, post, fixed addresses etc)	Be creative in how you communicate with people and ensure sufficient time. Go OUT OF YOUR WAY to ensure that your partner is consulted on decisions, even if this means driving around the camp/village to find members of the partner organization. Partnerships can often take a lot of time, but also have many benefits.
The needs of partners change over time, especially in the fluid and dynamic crisis setting. For example there may be high staff turnover and subsequent loss of 'corporate' memory as people move around. There also may be a high turnover of international ARC staff due to the nature of working in a stressful environment.	The dynamism of crisis settings must be recognized and there should be some flexibility in your approach to manage this. You may need to repeat key trainings or hold meetings to brief new staff. Make sure you keep very clear records of all interactions with partners and file them centrally.
Measuring the impact of engaging in partnerships maybe difficult in crisis settings. It requires the time of both parties. E.g. to conduct capacity assessments, develop capacity plans and monitor and evaluate them.	Measuring the impact of partnerships is vital. Otherwise we will not be able to justify why we are working with partners. You must ensure sufficient time for the activities outlined in this guide.

CAN YOU THINK OF ANYMORE?

Good to Know:

No partner (including ARC) is perfect. What we seek is a partner organization that will provide as good a match as you can find to enable the partnership to achieve its objectives.

Principles of Partnership

Key to effective partnerships is the capacity of the international partner for self-awareness, self-criticism and modesty[14]. If we acknowledge that there are power inequalities from the outset, and are aware of the limitations and imperfections, we can try to follow a number of key principles to help ensure we are doing our best. These key principles are outlined below:

1. Mutual Respect

If you want respect, you must give respect.

It is imperative to acknowledge the experience of your potential partner or partners, whether they are informal community groups or more formal organizations. You want to establish a partnership with them for a reason – because they have something that you do not, and together you can achieve your objectives more effectively. Remember that and respect it. When you are talking about capacity, remember that your own organization is not perfect. There will undoubtedly be many things you can learn from your partner. You should also respect them, and acknowledge learning will go both ways.

Some national organizations may have negative experiences of working with international partners so may be wary of developing relationships, with no clear gain on their part[15]. Respecting them is an important step in changing their mind about the one-way nature of partnerships with international organizations.

If there is mutual respect there will be confidence in the relationship. This is important because you will be working together on change, an often sensitive and prickly issue that requires both partners to feel comfortable enough working together to be able to accommodate constructive criticism, advice and learning.

2. Mutual Accountability

Accountability will inspire trust – an essential ingredient for effective partnerships.

There must be accountability between partners as well as to beneficiaries and donors. Accountability implies that there should be transparency, participation, evaluation & learning and complaint & response mechanisms[16].

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[14] Eade, D. 'Capacity Building: Who Build Whose Capacity', in Development in Practice, Volume 17, Numbers 4 – 5, August 2007, p.634

[15] Kelly, L et. al. 'Guidance on ME for Civil Society Programs,' Demand for Better Governance Unit, AusAID, December 2008, p. 7

[16] One World Trust, 2008 Global Accountability Report, p.5.
http://www.oneworldtrust.org/index.php?option=com_docman&task=doc_view&gid=226&tmpl=component&format=raw&Itemid=55

Transparency:
Partners must be transparent about the nature of their organizations, nature of the partnership, reasons for it, perceived benefits and risks, the process (what it will involve) and roles and responsibilities of each party. These things should be clear and understood by both parties. Partners, on both sides, should also be transparent about the way they use resources (e.g. small grants).

Participation:
Both partners should be active participants in the partnership at all stages including decision-making.

Evaluation and Learning:

'If you can't learn, you can't teach either[17]*'*

There needs to be an ongoing and constructive process of self-reflection and mutual learning between partners. This process should be documented.

Complaints and Response Mechanisms:

This is tied in with the willingness to learn. There needs to be safe channels for each partner to make complaints or provide feedback and to receive response. Both parties need to consider how they will handle feedback, address issues, and use it to learn/improve.

3. Equity

Equality is often promoted as the ideal in a partnership, but in the reality of the international humanitarian and development context, inequalities are vast and deep. Wilcox[18] talks about power as a 'spray on word' where people or organizations may be called a partner but may not actually have a voice in planning and activities. Rather than use the term 'equality', ARC prefers to use 'equity' which implies an equal right to be 'at the table' of the partnership and validates contributions made that may not be easily measureable in terms of cash value[19], such as networks, access to populations and cultural insight.

Acknowledging the power differentials between partners is important at the start. From there, partnerships can aim to increase the national partners' power to engage in a more equitable manner to deliver effective programming while being mindful of the danger of overt abuses of power by the international partner. Power should be shared through ensuring equitable opportunities for participation at all levels of the relationship including negotiating and making decisions, including about the use of resources.

Key Lessons

The implementation of the GBV Local Partnership project and the NU APROACH project have raised a number of key lessons, recommendations and questions concerning partnerships for ARC staff to consider.

- √ Partnership *is* possible in crisis settings! While challenging, these projects have been able to engage with a range of partners.

[17] Eade, D. 'Capacity Building: Who Build Whose Capacity', in Development in Practice, Volume 17, Numbers 4 – 5, August 2007, p.636
[18] 'A Short Guide to Partnerships' by David Wilcox This document downloaded 17 Oct 2007 from: http://www.partnerships.org.uk/part/partguide1.doc
[19] 'The Partnering Toolbook', Tennyson, 2003, p.6

Case Study - Example of a Successful Partnership.

ARC GBV staff partnered with a grassroots organization in Southern Sudan that was volunteering within the community. Over time and with investment from both sides, this group is now a reputable organization that is accessing funds and resources from many different international actors and provides good quality, and much needed support within their local community.

√ ARC's definition of partnership historically has been weak and needs strengthening to include the concept of mutuality. Mutuality needs to be stressed and power issues need to be acknowledged. This document is the first step in an attempt to address this.

√ If a partnership is to be equitable, fair and transparent, then ARC should also submit to a capacity assessment exercise if it expects the same from its partners (see Tool 1.1, p.35). ARC has gone through a capacity assessment at HQ level and the summary report from this assessment can be made available to field offices for their reference and discussions with partners. The need to conduct additional assessments at field level may be discussed by field teams. The NU APROACH project has requested this already.

√ Are there any limits on transparency? For example, should ARC provide information on its finances? This may be a discussion to have at country program level. It could be decided to share budgets, excluding budget lines for salaries. Salaries are a sensitive issue in many cultures, including Western ones, and staff may not want partners to know how much money they earn, especially if partners are volunteers.

√ Things *can* get really rough and partnerships can be extremely challenging. It is helpful to remember three 'Golden Rules'[20] which can keep a partnership going through hard times:

1) Build on shared values – because all successful partnerships are values driven
2) Be creative/innovative – because every partnership is unique
3) Be courageous – because all partnerships involve risk

√ Finally – remember that partnerships are all about change – change for the individuals involved in the partnership, change for the organizations involved in the partnership and change for the target communities of any projects coming out of the partnership. While the change may not always feel positive, it will definitely inspire learning and growth!

Good to Know: 'Human beings are blessed with the necessity of transformation' (Nigerian author Ben Okri).[21]

[20] From 'The Partnering Toolbook', Tennyson, 2003, p.36

CAPACITY BUILDING

Overview

As outlined in the partnerships section, one of the benefits of partnership is that it *builds the capacity of both partners* – giving each access to new resources, information, skills, ideas, support, perspective, networks and opportunities. This is important because it ultimately improves the efficacy and effectiveness of programs in order to have a positive impact for clients.

Definition

Even though there is much debate about the definition of 'capacity building', it is used frequently without being defined, and is often simply defined ambiguously as 'training,[22]' suggesting a one-way flow of capacity.

Much of the debate centers around the implication that to 'build' capacity implies that there is nothing there to start with, that organizations or individuals start from nothing and are passive in a process where someone else builds their capacity for them. This debate is located in the context of the unequal power relations between national and international organizations working in the humanitarian sector. Carrying these assumptions leads to a danger that existing capacities will be ignored or even undermined[23], which could:

- Decrease the effectiveness of programs because they will not benefit from the many advantages that national organizations have.
- Have a negative impact on partnerships – a lack of respect could lead to ill feeling.

ARC recognizes that capacity building does not imply starting from nothing, but rather that it is a process to enhance/develop/improve existing capacity.

ARC also recognizes that capacity building in partnerships is a two-way flow and each partner learns from the other. This guide specifically focuses on the capacity building of organizations that partner with ARC, however ARC does recognize many of the lessons and tools in this guide would also be applicable to ARC at both head and country office level. To focus on building ARC's capacity specifically would be beyond the scope of this toolkit.

[21] ibid.

[22] From Melissa Sharer, 'Organizational Development, Capacity Building and Partnership in Conflict Settings', Draft Workshop Curriculum, RHRC, October 2006

[23] Eade, D. 'Capacity Building: Who Build Whose Capacity', in Development in Practice, Volume 17, Numbers 4 – 5, August 2007, p.633

ARC therefore defines capacity building using a specific framework and methodical step-by-step process. This approach looks at both:

1) Organizational Capacity Building: A strong, effective, efficient and ultimately sustainable organization has certain desired/critical organizational components (e.g. Governance, Program Management, Admin/Finance, Human Resources, and External Relations).

Organizational capacity building leads to more efficient and sustainable organizations.

2) Technical Capacity Building: For effective service provision, it is often necessary to strengthen key capacities to implement technically competent programs that adhere to international standards and guidelines.

Technical capacity building leads to more effective programming.

1) Organizational capacity

There are many different ways to break down organizational capacity and it depends on the type of organization you are dealing with. The two types of CSOs most commonly considered a potential partner, (based on the experiences from the GBV and HIV projects) are considered here – NGOs and CBOs.

NGOs tend to be more formal organizations with established systems and structures in place. CBOs can be more informal, 'grassroots' organizations and may comprise a loose collection of people with similar aims/activities. To assist those in the field, separate assessment tools have been developed for both NGOs and CBOs. Of course, many organizations fall somewhere in-between and in such cases, field staff may need to modify the tools.

The different categories of capacity used in the tools are outlined below: categories for NGOs followed by simplified categories for CBOs[24]. Questions in the SCORE capacity assessment tool (Tool 2.1, p.52) will include those appropriate for NGOs and CBOs guided by the key determinants below. It is envisioned the program manager will select a range of questions relevant together with the organization to create a tool that is better tailored and useful for the context.

[24] Based on Spider Scoring tool from CARE International Nepal.

Key Organizational Capacity Building Determinants include:

1) Governance
Vision, mission and value statement Board/Governing Body Organizational structure Strategic Plan
2) Program Management
Stages of the Project Cycle and participation of beneficiaries at all stages Regular staff meetings Monitoring and evaluation Ensuring timely and quality programs and services Decision making Communication lines
3) Admin/Finance[25]
Functional and transparent financial systems Financial controls Budget use Financial reporting procedures Procedure for making purchases Procedures for managing assets
4) Human resources
Personnel policies Policy on SEA Policy on HIV Women in decision making Job descriptions Staff performance appraisals Training and development
5) External relations
Organization’s reputation in the community Collaboration with other service providers or orgs Interaction with media Recognition by local government Funds from external sources Relationship with ARC Advocacy activities conducted

[25] This partnership guide generally covers finance for the purposes of assessing capacity and plan ning capacity development activities. The ARC Sub Grant manual contains further details and a specific pre award assessment worksheet on finance (Appendix 2 of ARC Sub Grant manual).

2) Program and Technical Development

In response to suggestions from the field and lessons learned from the first year of the GBV Partnership project, this manual includes an additional Key Technical Determinant on the SCORE tool, developed to look at technical capacity. This will vary with the type of work that the partner is focusing on. As an example, this guide will focus on the technical areas of GBV and HIV. Others areas relevant to ARC's scope could include Microenterprise Development (MED), Reproductive Health Care, or Emergency Response. In general this Key Technical Determinant can be used for both NGOs and CBOs.

Example: GBV Technical Capacity

There are many different ways to break down technical GBV capacity. The following categories are used by ARC and will form the basis of the capacity assessment using the SCORE tool[26]:

- GBV knowledge and technical skills
- Understanding of multi-sectoral coordination
- Support for learning and development of technical knowledge
- Systems/procedures and protocols in place for doing case management (can apply to medical, psychosocial, legal and security sectors) in accordance with guiding principles and best practice
- Process of developing awareness raising materials
- Process of engaging with the community
- Understanding of the need and importance of monitoring and evaluation

Any organization working on GBV must have a good understanding of the issues and technical skills in the area of their expertise. Knowledge of GBV can be broken down into understanding the definition, types, causes/contributing factors, consequences, guiding principles, legal context, etc. Technical skills will vary between sectors but could include for example: dealing sensitively with survivors for medical personnel; counseling, management of vicarious trauma and case management by social workers; GBV and international/ national law, and interviewing survivors for legal/justice personnel. There must also be support within an organization for learning and development of this knowledge and skill base.

It is also vital for all agencies working on GBV issues to understand the importance of multi-sectoral coordination. Agencies must see themselves as part of a larger picture working together to prevent and respond to GBV.

There should also be procedures, systems and protocols in place for working with or engaging with GBV clients. This applies to all sectors and should be guided by a number of principles including respect, safety, confidentiality and non-discrimination, and in line with international best practice.

For those engaged in prevention activities, active participation of all the main groups of the community should be paramount in assessment, design of activities and tools (including Information, Education, Communication (IEC) and Behavior Change Communication (BCC) materials), implementation and monitoring and evaluation. This will ensure that work carried out is appropriate to the local context.

Example: HIV Technical Capacity

[26] Further assessment of technical capacity may be conducted; the need for this will depend on the context. More information about this is included in Section 3.

There are many different ways to break down technical HIV capacity. The following categories are used by ARC and will form the basis of the capacity assessment using the SCORE tool[27]:

- Experience working in HIV/AIDS
- HIV/AIDS knowledge and technical skills
- Prevention/BCC materials and strategy development and utilization
- Care and support protocols and procedures (if applicable)
- Treatment protocols and procedures (if applicable)
- Referrals protocols, systems and procedures
- Access to new HIV/AIDS information

Possible Capacity Building Activities

Now we have a clearer idea of the different types of organizational and technical (in the case of GBV and HIV prevention and response) capacity, we can look specifically at what building, developing or enhancing capacity can refer to.

In terms of organizational capacity it may include support for:

- Strategic planning
- Improving systems e.g. administration, finance, HR, M&E
- Strengthening governance or management systems
- Program assessment, design, and implementation
- Developing networks and coordination mechanisms

In terms of GBV technical capacity, it may include:

- Trainings on particular topics e.g. GBV and the law, guiding principles/working sensitively with survivors.
- Improvement in systems e.g. case management, referral
- Sharing of tools/methods e.g. developing IEC/BCC materials

In terms of HIV technical capacity, it may include:

- Trainings on particular topics e.g. effects of stigma, treatment availability
- Improvement in systems e.g. treatment protocols, referrals and procedures
- Sharing of tools/methods e.g. developing IEC/BCC materials

Capacity building activities could be achieved through different actions, including trainings, mentoring, one-on-one technical advice and support, provision of resources, and information sharing.

ARC may engage in some of these activities directly with partners. Alternatively, a key strategy is that ARC *facilitates and advocates for linkages* between partners and other organizations. In short, instead of being a direct service provider of all capacity building, ARC encourages local and regional organizations to use each *other's* strengths instead of relying on outsiders. This enables the partner to access a range of capacity development opportunities from a diverse group of providers and experts. In turn, this approach raises the profile of the partner among other organizations in the setting, which helps to build confidence, visibility, relationships and long-term sustainability

[27] Further assessment of technical capacity may be conducted; the need for this will depend on the context. More information about this is included in Section 3.

Challenges

The benefit of capacity building in crisis settings is clear – to enhance the existing capacities of partner organizations in terms of access to resources, information, skills, ideas, support, perspective, networks and opportunities. This is important because it ultimately improves the efficacy, effectiveness and sustainability of programs in order to have a positive impact for clients.

What then are some of the main challenges and how can these be overcome?

What are some of the challenges? [28]	How can we overcome these?
Capacity Building is political Capacity building involves an outsider looking deep inside an organization and this can be perceived as intrusive. Resentment can build as national organizations may feel picked on or judged by standards that are foreign or perceived as irrelevant to the context. Power dynamics between the international organization and the national organization can impact on the process, as national organizations may censor or exaggerate particular aspects of their capacity in order to secure support. In conflict affected settings, there may be deep rooted mistrust and suspicions based on ethnic or religious lines that make it particularly difficult to build the trust required for capacity building.	It is vital to ensure that many voices are heard when assessing capacity and planning for its development. Use participatory methods to attempt to overcome power plays. Be aware of the social context including the nature of the conflict and social cleavages. Develop strategies for their management (e.g. team building exercises, counseling services for staff members etc).

[28] Adapted from ARC experience and 'A Guide to Monitoring and Evaluation of NGO Capacity in Conflict Affected Settings', JSI, 2009. p.p 14 - 16

What are some of the challenges? [29]	How can we overcome these?
Capacity Building is gradual. Capacity building is 'not a box to be ticked,' it is a long-term process that requires significant time and resources[30].	It is important to be realistic about what can be achieved in the lifetime of a project, especially in fast paced conflict environments, and to be honest with donors about this. Often, the best relationships are those that are built of mutual trust and established over a period of time.
Capacity Building is complex. It can be difficult to identify a direct causal link between capacity building interventions, indications that a partner's capacity has been strengthened and communities benefiting from the intervention. How can the effect of external factors be discounted such as the renewal of conflict, high staff turnover etc?	It is vital to acknowledge the complexity when monitoring and evaluating capacity building interventions and to consider the role of contextual factors. Think about 'plausible association' rather than the precise measurement of direct cause and effect when considering the link between interventions and outcomes.

Key Lessons

ARC's experiences have raised a number of key lessons, recommendations and questions concerning capacity building for ARC staff to consider.

√ Both the GBV Local Partnership Project and the NU APROACH were originally designed with an emphasis on organizational development and much less so on building capacity around technical programming and program development for the partner. One assumption going into these projects was that there was much less need for a program development framework. This has proven to be inaccurate. ARC's field programs need tools and resources for both technical and organizational assessments and capacity building activities with partners. This revised guide addresses this. It should be noted that the balance between technical and organizational focus would vary within each setting and with each individual partner. This balance is often difficult to gauge, and may be something that needs to be addressed over a period of time hand in hand with partners.

√ The capacity of ARC staff should also be considered. Essential to the success of a partnership will be the capacity of ARC staff to manage it. Staff development should be an integrated part of all ARC country programs and it should be discussed as part of staff performance reviews. Further, it may be appropriate to support ARC staff with

[29] Adapted from ARC experience and 'A Guide to Monitoring and Evaluation of NGO Capacity in Conflict Affected Settings', JSI, 2009. p.p 14 - 16

[30] Abirafeh, L. 'Building Capacity in Sierra Leone', in Forced Migration Review, Enhanced Southern Capacity: Rhetoric or Reality, Issue 28, July 2007.

specific and targeted positions to assist with partnerships e.g. small grant managers.

√ There should also be an emphasis on ARC's capacity. What can ARC learn from their partners so that they can improve and meet their objectives to perform better? This guide attempts to address the need to include reflection on ARC's capacity development needs and what it can learn from its partners.

√ The capacity of partner organizations may be dependent on a few key people. Therefore any turnover in staff can have a huge impact on the organization. It is important to be inclusive and aim to maximize the participation of staff/members from all levels of the organization – with regard to all aspects of the partnership and in particular capacity building efforts. This may include both technical (programmatic) and other support staff such as finance, human resources, and operations.

SECTION THREE - Activities

ACTIVITY ONE: Partner Selection and Engagement

Overview

Are you ready?

All organizations have strengths and weaknesses. It is a good idea to look at your own organization/country program before looking to partner with anyone else[31].

As mentioned in Section Two, whether or not your field office conducts their own capacity self-assessment will be up to the individual teams. One of the prime challenges we face in making a smooth transition from a traditional direct implementation approach to one of capacity building and working with local organizations is that of developing our staff capacity. This relates to a wide range of staff, from senior managers in headquarters to frontline staff in communities. We need therefore to consider building our own staff capacity, and then exploring ways to nurture the required competence to be able to manage capacity building or partnership type programs. The long accepted challenge of scaling-up participatory approaches while ensuring a certain level of quality is at the centre of this discussion. The harsh reality is that the quality of ARC's work using these approaches is hugely dependent on the abilities of our frontline staff[32]. The ARC Partner Readiness self-assessment tool, adapted for use by ARC and used by country teams at the June 2009 workshop, is included in the tools section below. This takes 30 minutes to complete, and may be a good tool for country offices to gauge readiness in conjunction with key members of the country team.

Who could be partners?

The availability of organizations to partner with will depend on the setting – camp based, refugee or IDP, or in communities of return. ARC's current partners include a wide range of local actors, such as grass roots community volunteer groups, national NGOs, and refugee-led community groups. Other potential partners in camps and communities could include but are not limited to:

Potential Partners	
NGOs	Media organizations
Universities/academic institutions	Religious organizations
Alliances/networks	Microfinance institutions
Trade unions	Training organizations
Para-Professional associations e.g. TBAs, midwives, artisans	CBOs e.g. women's groups, youth groups

[31] Adapted from CARE, 'Building Partnerships for Health in Conflict Affected Settings: A Practical Guide to Beginning and Sustaining Interagency Partnerships', May 2007, Section 2.
[32] Adapted from Concern, Partnership Guidance Note 5, 'Developing Staff for Partnership'

Possible partners can be identified at any stage in the project cycle, the more familiar you are with the local context, the more you will get to know the local players.

ARC may seek out partnerships, often on the basis of third party recommendations, or potential partners can contact ARC directly on their own initiative.

Where there are no partners[33]

In some contexts it may seem there are no potential partners on the ground. Keep in mind that low capacity is not a reason to overlook organizations, but rather it may be the very reason to work with them. However, it is vital to allocate sufficient resources and time to low capacity organizations. Further, it is important to look ahead and consider how the partner may be supported longer term without ARC support. Could they be linked with a federation or government department? Could they become a registered NGO? Thoughts on this could be included in the 'Future Plans' section of the Organizational Profile and Self Assessment (Tool 1.3, p.37) and discussed in more detail in the capacity assessment exercises.

Often, where there are no visible partners, there are informal linkages and groups of women or youth who would like to form more visible collaborative but just need some outside technical and organizational support and assistance.

A note on risk

Partnership brings risk to both parties. Risks include, but are not limited to, risks to reputation, misuse of resources, increasing the length of time to achieve project impact, danger of creating unsustainable structures, and the danger of creating dependency of partners on ARC. It is therefore vital to conduct a mutual risk assessment as part of the initial partnership process (Tool 1.4, p.42).

A carefully planned, well-considered, well-documented and transparent process must be used to identify potential partners in the setting. A step-by-step guide is covered in the How To section below.

Tools

1.1 ARC Partner Readiness

1.2 Checklist for Partner Assessment

1.3 Organizational Profile and Self-Assessment

1.4 Risks/Challenges and Opportunities/Benefits

1.5 Resource Mapping

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[33] Adapted from Concern, Partnership Guidance Note 3: Where there is no Viable Partner.

How to

1) Conduct a self-assessment of ARC capacity (recommended – to be determined by field offices) using either the SCORE tool and/or the ARC Partner Readiness tool.

2) Identify existing and potential partnering and/or mentoring relationships between ARC and local or national groups.

   a) Consider what you know about the setting and what the needs and gaps are.

   b) Consult with international and national colleagues to learn about groups and organizations you may not know about, to discuss potential partners, and hear others' ideas about recommended partners.

   c) Consult with members of the community about the groups that have worked with them. You may learn a lot through discrete enquiries.

   d) As partners may receive funding through the small grants component of the project, they should be considered 'sub grantees' as per the ARC Sub Grant Manual. Therefore, in accordance with the eligibility requirements for 'sub grantees' (p.p.4-5) they must be:

      i) Local non-profit non-government organizations (NGOs). CBOs (less formal and unregistered groups in country) may not be eligible to receive small grants, as per requirements in ARC's sub-grant manual, but money managed by ARC can be spent on activities to support them such as trainings, cross visits or equipment).

      ii) Local non-profit non-government organizations (NGOs). CBOs may not receive small grants but money managed by ARC can be spent on activities to support them such as trainings, cross visits or equipment).

      iii) Must be legally registered with the host country.

      iv) Demonstrate commitment, integrity and basic capacity to carry out the terms of the program.

3) Hold an initial meeting with potential partners to introduce ARC and the idea of partnership.

   a) In settings where a large number of potential partners were identified, it has worked well to invite these potential partners to a presentation/meeting[34].

   b) Where there are only a small number of potential partners, it may be more appropriate to meet with them on an individual basis.

   c) Whatever the forum, it is important to provide written information on ARC including vision and mission, organizational history, history in country, types of projects to date, locations of work, number of staff sources of funding, and future plans. If possible and appropriate, this should be in the working language of your setting.

[34] In the group setting, it may be appropriate to also invite local media to enhance transparency.

Good to Know:

Before meeting with potential partners, ARC should complete their organizational profile to share with potential partners.

d) Include time for questions and answers.

e) Introduce the Organizational Profile and Self Assessment Tool

   i) In a one-to one meeting, ask for information about the vision and values, strategic focus and ways of working of the potential partner. You want to make sure that these are in line with ARC's before you proceed. This would be difficult to do in a group setting. You can then ask the potential partner to fill in the Organizational Profile and Self-Assessment in their own time and submit it to ARC for consideration. If possible and appropriate, this should be in the working language of your setting.

   ii) In a group meeting, ask interested organizations/groups to complete the Organizational Profile and Self-Assessment and submit it to ARC for consideration. If possible and appropriate, this should be in the working language of your setting.

f) Be sure to have these blank forms copied and ready to hand out at the end of the information meeting.

g) Be sure to give a specific due date for returning the completed forms.

h) Don't forget to offer assistance to fill in the form; organizations can contact ARC to arrange a specific meeting for this. Part of the role of ARC is to assist with capacity development. Assistance with filling in a form is part of this.

i) Make sure to provide clear information about the next stage of the process; the forms will be reviewed and potential partners will be contacted with feedback on their application.

4) Once forms have been submitted, set aside some time to review and assess them. It is preferable to have a team of people doing this together. This could include the relevant Program Manager and other program staff, Country Director or other senior ARC staff member (and even other actors in a humanitarian setting). A Checklist for Partner Assessment is included in the tools section. This can be used to assist you with the assessment. This list can also be used to assist you with framing your questions for a potential partner in any preliminary discussion you may wish to have (see next step).

5) Arrange an individual meeting with organizations who look like promising partners (your short list).

a) Take the opportunity to clarify any information in the Organizational Profile and Self Assessment form.

b) Learn about the group's interests, priorities, and future plans (you can use the Checklist for Partner Assessment to guide you, Tool 1.2, p.36).

c) Engage in a short mutual exercise – Risks/Challenges and Opportunities/Benefits (Tool 1.4, p.42).

d) Discuss the feasibility of the next step – a Capacity Assessment workshop. Explain that this assessment will identify the key areas of capacity that will be the focus of the partnership.

e) Raise the importance of an agreement (MOU) – as the cornerstone of the partnership. Encourage potential partners to start thinking about an MOU and what they would like to see included. This will be negotiated at a later stage after the Capacity Assessment and Planning exercises when the outcomes of those processes can form the substantive content of the agreement.

Key Lessons

√ Transparency is essential. Make sure you explain the process and make sure you document it (all meetings and discussions) – this will form the history of your relationship.

√ Remember - this is the start of your interaction with a possible partner and will therefore set the tone for your ongoing relationship and have far reaching implications. Remember the mutuality of the relationship and keep in mind the principles outlined in Section 2.

√ Seek groups that are enthusiastic about this opportunity, willing to learn more, and seem open to revealing and discussing their weaknesses and gaps. You don't need a defensive and resistant partner. You should select groups you think you can actually work with.

√ Find partners that are committed to the kind of work you are doing, want to do it well, and are in for the long term.

√ Be aware of partners that are overcommitted – that because of their successes are juggling donors and their requirements so may not be able to devote the necessary time to work with ARC.

> Case Study: GBV partnership project
>
> In some countries, ARC works with well-known local NGOs that are committed to many different projects and donors. This has been difficult to manage since many times the partner NGO staff and/or ARC staff are overloaded and unable to devote sufficient time to partnership.

√ It is vital to identify and work with local and existing structures. Do not assume that there is low capacity in a displaced setting and you need to develop something new. This may undermine organizations that are already working and are accepted by the community.

√ Note that political sensitivities may make it more difficult to partner with certain groups, however these groups may be available to discuss best ways to collaborate to support women with GBV services.

Case Study: GBV in Thailand

ARC Thailand works with SGBV committees set up by UNHCR in each refugee camp setting. However, women do not widely use these committees to report GBV cases. A participatory assessment was conducted to try to better understand the local mechanisms that exist and found that women were mostly reporting to and receiving support from a Burmese organization and viewed the committees as external structures set up by the international community. ARC is now exploring and trying to identify a way of working with the local organizations in the camps, but has learned much from the process and is working to strengthen these relationships.

√ Be creative in defining your partner – there may be a grouping you are already working with who, at first glance, would not appear to be your idea of a partner. Partnership can take many different forms.

Case Study: GBV in Pakistan

ARC Pakistan works with local artisans and also TBAs in Afghan refugee camps. These groups are very loosely organized and would not necessarily come to mind when thinking about possible partner organizations. However, they may already be recognized in the community as having some role in supporting local women and could be the perfect entry point for developing a partnership to strengthen their work.

Tool 1.1 : ARC Readiness Tool[35]

SIX ASPECTS OF RECEPTIVITY	*Strongly Disagree*	*Somewhat Disagree*	*Neutral*	*Somewhat Agree*	*Strongly Agree*
Leadership					
1. Are key members (senior management) of the country program expressing support and commitment for incorporation of local partnerships in the organizations work?					
Vision/Strategy					
2. Is there a vision or clear strategy of how to initiate and manage partnerships, (including opportunities and challenges that arise throughout that process)?					
Resources					
3. Are there qualified people (trained in community/ partnership work, or a specialist on staff) prepared, able, and willing to support partnership work, programs, and activities (including organizational and technical capacity building)?					
4. In your opinion, is the organization prepared to commit and find resources (financial and human) for implementing partnership initiatives?					
Resistance/Openness to Change					
5.Within your country program, does the organization/country program have a successful history of working in partnerships?					
Motivation					
6. Do you feel motivated/ interested in prioritizing partnership work within your country program?					
7. Are others are also motivated/ interested?					

[35] This tool (organizational readiness form) was adapted from Interaction's Gender Audit workshop, which was held in Washington, DC on April 29, 2009

Tool 1.2 : Checklist for Partner Assessments[36]

Name of Organization:

Key Questions/Areas	Comments	Rating of Interest[37]
Geographical Coverage Locations (Camps, Communities etc) Distance to travel (e.g.7 hours from capital)		
Vision/Mission/Values What are they? In line with ARC?		
Management Capacity Staff (number, capacity) Structure (management) Finance/Admin Logistics		
Nature of work Focus of activities?		
Community Trust/Perception Reputation in the community?		
History of success Current/past donors? Types of projects?		
Future Plans?		
Recommendations and Comments		
TOTAL		

[36] Adapted from CARE, 'Building Partnerships for Health in Conflict Affected Settings: A Practical Guide to Beginning and Sustaining Interagency Partnerships', May 2007, Section 2.
[37] From 1 to 5 with 1 representing NOT INTERESTING and 5 representing VERY INTERESTING in terms of establishing a partnership.

Tool 1.3 : Organizational Profile and Self-Assessment

NB: Not all of these questions will be applicable to all potential partners. Just fill in what you can.

Name of Organization____

Date completed_________ **Completed by (name/title)**___________________________

1. Contact details of the organization (Name and title of primary contact person. Address, office tel, mobile tel, email, Internet site)

2. When was the group/organization established? If this group is a legally registered NGO, when and where (country, district) did the registration occur?

3. Location(s)/sites of the organization's program activities:

4. Vision, mission, objectives, and basic organizational structure.

5. Human resources: number of full/part time staff and volunteers.

	Job Title/Type of Staff	*Total Number of Staff*	*Number Male*	*Number Female*	*Numbers of Full time/ Part time/ Volunteer*
1.					
2.					
3.					
4.					
5.					
TOTAL no. staff & volunteers					

6. Financial resources: approximate annual income/turnover, major donors.

Donor/Organization	*Project*	*Project Dates*	*Type and Amount of Support (Financial and Material)*

7. Technical support: how and from whom does the NGO/group receive technical support?

8. Overview of projects within the past 3 years:

Project Title	*Target Groups*	*Project Dates*	*Brief Summary of Project*

9. Activities of each project, key achievements and successes.

Project Title	*Activities*	*Key Achievements*

10. Main challenges/issues/problems (could be related to projects, funding, staffing, management, skills, political environment, or anything)

11. Lessons learned: For the challenges and issues you described above in #10, what have you learned as an organization and how has this learning changed how you work?

12. Future plans: what are the future directions of the organization?

13. Describe your external relationship and partnerships.

Tool 1.4: Risks/Challenges and Opportunities/Benefits Exercise

Overview:
This is an exercise to conduct between ARC and a potential partner in order to:

1) Determine potential risks/challenges and opportunities/benefits to both organizations should they engage in a partnership.
2) It also contributes to the two organizations building an open/transparent relationship by acknowledging and sharing their concerns and expectations from the outset[38].

Time:
45 mins

Assumptions:
There has been an exchange of basic information by the two organizations covering:

- Vision and values, strategic focus and ways of working
- Interests, priorities, and future plans
- Background, history, past and current activities, geographical location and staffing

How to:

1) After there has been an exchange of basic information by the two organizations, break into organizational groups.
2) In your groups discuss the following and record the main points:
   a. Spend 10 minutes discussing the risks and challenges you think you might encounter working with ARC/potential partner. For each consider mitigation strategies. Risks/challenges could include: loss of autonomy, drain on resources, damage to reputation, conflict of interest[39] etc.
   b. Spend 10 minutes discussing the opportunities/benefits you think you might encounter working with ARC/potential partner. Opportunities/benefits could include: access to information/networks/resources, improved operational efficiency, improved credibility, greater 'reach', professional development of staff[40] etc.
3) The next stage should take about 20 minutes and can be done in a number of different ways and depends on the cultural context you are working in. Whatever the method, the aim is to ensure everyone learns about the work of the other group and that there is an opportunity for discussion.
   a. If you are in a highly literate context, or a context where people prefer writing, you may choose to have the groups write their ideas on flip chart paper and hang them on the wall. Then each group can look at each other's work in their own time. Following this an open discussion can be facilitated with the whole group (ideally with a facilitator from each organization).

[38] Adapted from 'The Partnering Toolbook', Tennyson, 2003, p.10.
[39] ibid.
[40] op.cit.

   b. If you are in a non-literate context or a context where people prefer talking, you may choose to have groups nominate a person or couple to report back to the plenary then take questions. Following this an open discussion can be facilitated with the whole group (ideally with a facilitator from each organization).

4) It is important to note that, as this exercise is taking place very early on in the development of the relationship, there may not be a lot of trust and this could affect the information that is obtained.
5) ARC thanks the potential partner for their time and then uses the following matrix format to record the outcomes of the discussions and will provide a copy to the potential partner.
6) The information forms part of the assessment of potential partners and also becomes a foundation document that can feed into the MOU, in the relationship between the two organizations and can be revisited and repeated at a later date.

Risks/Challenges/Opportunities/Benefits Matrix (example)

Name of Potential Partner:

Date:

Participants: Attach Attendance List

	Risks/Challenges	Mitigation	Opportunities/Benefits
ARC	Partner has little experience with managing grants so could potentially have trouble managing funds in accordance with ARC policy.	Ensure support for financial systems or ARC to manage funds initially.	Partner has excellent relations with local community – would greatly enhance ARC's GBV prevention and response work.
Potential Partner	ARC takes credit for our work.	Ensure transparency Build trust	ARC may be able to assist with accessing new resources on GBV.

Tool 1.5: Resource Mapping[41]

Overview:

When negotiating a partnership, it is important for partners to reflect on what resources will be needed for the agreed program of work. These should not be limited to funding but should also include non-cash resources. This reflection:

1) Offers an opportunity for exploration of each organizations potential for contributing resources
2) Facilitates organizations to make 'tangible commitments' to contribute resources which will help the partnership to progress more quickly and efficiently.
3) Also builds respect, understanding and teamwork between partners

Time:
45 mins

How to:

1) Once risks/challenges and opportunities/benefits have been discussed and identified, partners can reflect on resource contributions. This can be done straight after Tool#1.4 or at a later stage.
2) Break into organizational groups. This stage should stimulate thinking and encourage individuals to share their ideas in a safe context. In your groups discuss the following and record the main points:
    a. Spend 10 minutes discussing what resources you think your organization can bring to the partnership.
    b. Spend 10 minutes discussing what resources you think your potential partner can bring to the partnership.
3) The next stage should take about 20 minutes and can be done in a number of different ways and depends on the cultural context you are working in. Whatever the method, the aim is to ensure everyone learns about the work of the other group and that there is an opportunity for discussion.
    a. If you are in a highly literate context, or a context where people prefer writing, you may choose to ask all those in the room to write each resource contribution they can offer on a separate card or 'post-it' note and then ask them to stick them on a large piece of paper on a wall which everyone can see. The cards can be color coded to record which partner has made which particular offer or placed in different areas of the room. Cards can also be grouped under headings and reviewed by the larger group – with more resources being added as discussion stimulates more ideas. Partners can also comment on the contributions they think the other party may be able to make. You may end up with something like Diagram 1.

[41] Adapted from 'The Partnering Toolbook', Tennyson, 2003, p.11,12

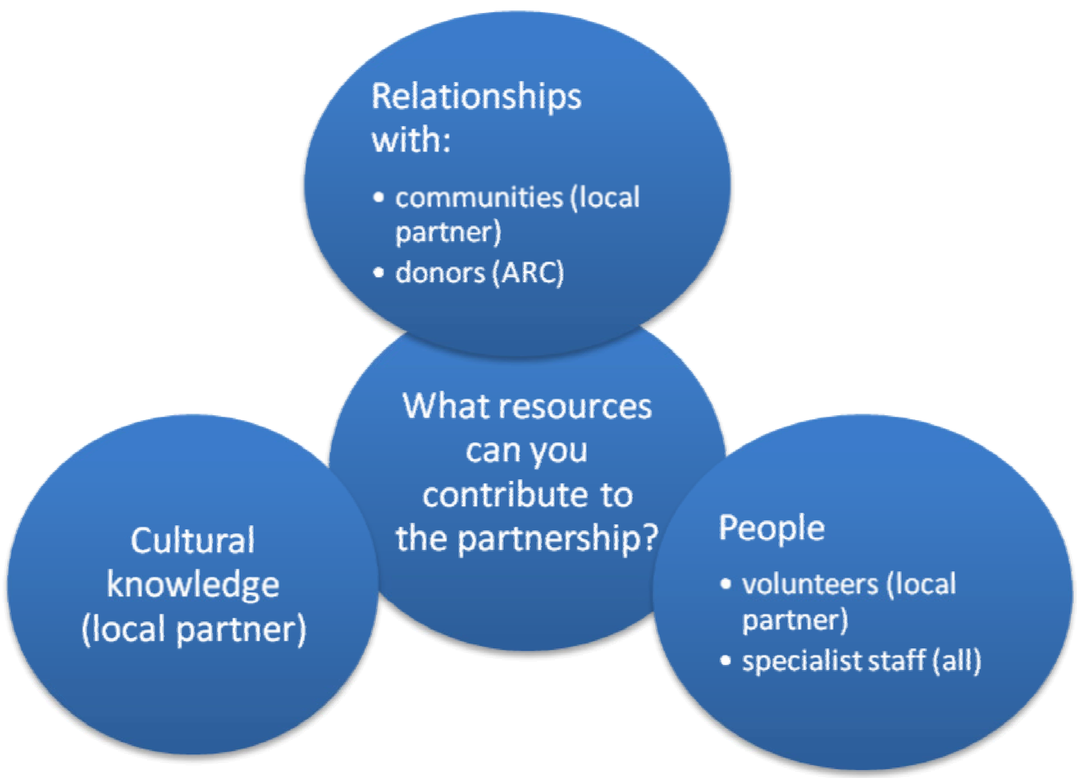
b. If you are in a non-literate context or a context where people prefer talking, you may choose to have groups nominate a person or couple to report back to the plenary then take questions. Following this an open discussion can be facilitated with the whole group (ideally with a facilitator from each organization) and resources contributions can be recorded on a large piece of paper on the wall.

4) It is important to note that, as this exercise is taking place very early on in the development of the relationship, there may not be a lot of trust and this could affect the information that is obtained.

5) ARC thanks the potential partner for their time, records the outcomes of the discussions and should provide a copy to the potential partner.

6) The information forms part of the assessment of potential partners, and also becomes a foundation document that can feed into the MOU; it can be revisited and repeated at a later date.

Diagram 1: Resource Mapping[42]



[42] Op.cit, p. 12

✂ACTIVITY TWO: Capacity Assessment

Overview

The purpose of the capacity assessment is to determine the focus of the capacity building interventions.

ARC uses variations of the SCORE tool (**S**trengthening **C**apacity of **O**rganizations to use **R**esources **E**ffectively) for capacity assessment. This tool was originally developed by JSI Research & Training Institute on behalf of the RHRC Consortium for partnership and capacity building among reproductive health NGOs in conflict settings (now called Astarte Project)[43].

The tool was developed to be simple, straightforward, quick to implement, and applicable for organizations with varying levels of experience. It is intended to gather and report on very basic and essential data that can easily be transferred to an action plan for capacity improvement.

The tool is comprised of two units:

1) The SCORE Tool with specific indicators and measurements for assessing, monitoring and evaluating progress for each of five key determinants of organizational capacity; and
2) The SCORE Spider Matrix depicting the organization's strengths, weaknesses and goals according to the five key determinants.

Strengths:

- Easy-to-use and accessible for initiating the process of capacity building with local NGO partners.
- For some organizations, capacity building involves new concepts, and the SCORE tool and its spider web scoring system offers an engaging way of introducing this material.
- The process of completing the SCORE tool engages a number of key stakeholders from the partner organization thus contributing to relationship building.
- As a self-assessment tool, the SCORE tool stimulates users to think about organizational capacity and define their own strategies for organizational strengthening.
- The SCORE tool can be used to generate a visual history of organizational change over time.
- The tool will be filled out according to the perceptions of the partner organizations, and therefore can be less intimidating for partner organizations that are fearful of criticism.

Weaknesses:

- The tool is too detailed and not relevant for more nascent CBOs.
- Self-assessment almost always reflects bias and over-reporting of competencies, as most organizations wish to be perceived in a positive light.
- The indicators per area used by the SCORE tool may not provide the best measure of organizational capacity, depending on the organization.
- There is no specified strategy for managing differing views among the representatives of the local NGO in determining the scores on each indicator and for each area. Although consensus is ideally reached in a participatory manner, it is likely that the perspectives of staff higher up the organizational hierarchy will dominate.

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[43] SCORE tool adapted from the SCORE Tool originally developed by Peri Sutton at JSI Research and Training Institute on behalf of RHRC Consortium. Spider scoring system is from CARE International reproductive health.

- Not entirely participatory – although the input of the potential partner is actively sought and the SCORE tool is ideally done by the partner with ARC present or not, there is no accounting for the power dynamics within the group. Sometimes, the tool is filled out by one person within the organization and not well shared with others who should be a part of the process.
- People using the SCORE tool may find that they want to score their organization in between two of the 'boxes'. For example, Key Determinant One asks: *Does the organization have a written Vision, Mission, and Values statement that is understood and believed by staff and guides project activities including relating to beneficiaries?* Where participating representatives from an organization disagree about how many of their staff actually know about the V,M and V, they may find it difficult to agree on whether they should choose:
  - Box 1: V,M,V statement does not exist or
  - Box 2: A written V,M,V statement does not exist but most staff can voice the organization's V,M,V and believe in it,
- In these situations, groups can ask for clarification from the facilitator but will have to decide amongst themselves which box ***best*** fits their situation.

ARC has adapted the SCORE tool to fit two different scenarios – more formal NGOs and less structured CBOs.

How does it measure capacity?
The SCORE tool evaluates and measures actual performance against generally accepted standards of organizational performance at the moment in time when the tool is completed. Over time, a repeat capacity assessment can help to analyze the relationship between a targeted capacity building intervention and its outcomes. Capacity assessment provides a useful entry point for capacity building by introducing new concepts and identifying broad areas of capacity that require strengthening. These 'target' areas of capacity form the basis on which to build a capacity building plan (next chapter) and a plan for systematic monitoring and evaluation.

Completion of the SCORE tool can be repeated at regular intervals to monitor and evaluate changes in capacity over time. It is recommended that the SCORE tool be completed at least annually. In some cases, it may be appropriate to complete a full or partial re-assessment at six or nine month intervals, depending on the intensity of capacity building activities.

Capacity Assessment Document Review and Debrief
Once the SCORE has been completed a document review and debrief should be arranged to triangulate and verify information obtained at workshop.

Tools

1. **S**trengthening **C**apacity of **O**rganizations to use **R**esources **E**ffectively (SCORE) tool
2. **I**nformal Discussion and Observation (Document review and debrief)

How to

The ARC partner/capacity building focal point and the partner convene a representative group of staff and managers from the partner organization to participate in the organizational capacity assessment. In some instances, it may be appropriate to undertake this process in a less formal environment with only one or two people from the partner organization.

Note on Power Dynamics and Participation
This workshop will include a variety of people and there will be stark power differences between them. These people will include: managers, staff and/or volunteers from the potential partner organization and those from an international organization (ARC). It is important to acknowledge this and to use facilitation strategies to encourage broad participation and reinforce the feeling that these are two partner organizations working together. The purpose is not to criticize or judge the partner organization, but to merely understand its current strengths and weaknesses. Remember the key concept of mutuality.

- Ideally the partner will be able to nominate a co-facilitator to work with the ARC facilitator. This person would have to be available to meet with ARC prior to the workshop to discuss the material and delegate roles.
- Using small groups is an important method to enhance the feeling of safety of participants. People will act and contribute differently in different environments and with different people. A facilitator can use small groups to encourage participation.

Time:
This process is likely to require an entire day, at the least, although it may depend on the capacity of the partner. It may be more useful to divide the assessment into smaller parts and have a series of half-day meetings instead.

Preparation:

1) Determine which SCORE tool and questions are the most appropriate to use (NGO or CBO) and provide sufficient copies so that each participant in the assessment has a copy to use during the meeting(s).

2) Provide a note-taker, someone who will not participate in the discussions, to take notes from the discussions. This will capture the strengths and weaknesses discussed that are not necessarily indicated on the SCORE form. These will be useful for reflection later, to review and ensure that the assessment is complete and the capacity building plan is on track.

Process:

1) Introduce the workshop. Include objectives and expectations session.
2) Include an icebreaker. This may be the first time that ARC staff are meeting with partner staff. This could set the tone for all future interactions. Ensure a ‘getting to know you’ exercise and a culturally appropriate game or activity with the aim of relaxing people and making them feel more conducive to contributing.
3) Agree on some ground rules for the meeting(s); such as cell phones off, everyone’s input must be respected, everyone must listen to what others have to say, all opinions are welcome and everyone encouraged to contribute etc.
4) Introduction and explanation of the assessment tool.
   - Explain to the group about the organizational and technical capacity areas, using language and words that can be well understood by all. Remember that many of these concepts and definitions will be new to at least some of the participants. Take time to be sure everyone understands why you are doing this, what the outcome will be, and what will happen afterward.
5) Before each category of capacity is scored by the large group, put participants in to small groups and give them one of the exercises from the tools outlined on p. 50 in the ‘tool box’ to encourage discussion and analysis prior to scoring. Ask the small groups to summarize their discussions and reports back to the plenary. The note taker should record the presentations, as these will also provide information about capacity.

   Note on Group Work: Group work is vital prior to the scoring exercise. It is important that participants have the opportunity to discuss in smaller groups before being asked to contribute their opinions in a larger group setting. This is for a number of reasons:

- Participants need time and space to reflect on each area before contributing to a discussion on scoring[44].
- Validation of ideas. Sharing your thoughts in a small group and getting feedback can promote a sense of validation – that your ideas are actually not silly but are ok. The ideas are tested in a smaller, less threatening space. This gives participants confidence to speak out in a larger plenary.
- Ownership of ideas passes from individuals to groups. Some people may be too shy to speak out in a large plenary but they may be willing to share their ideas in smaller groups. These ideas then become ‘owned’ by the group and more confident participants may speak on behalf of the group. For example ‘Our group discussed/thinks/would like to share xyz’.

[44] CBO Capacity Analysis, HIV/AIDs Alliance, 2007, p.2

Tool Box[45]' of small group work activities

1. Story telling: ask people to relate a story about when a certain aspect of the organization was at its best. Focus on a category or sub-category of capacity. For example, ask about the governance aspect of the organization and its various elements, e.g. legal status or board. Based on the flow of the story, the facilitator can ask follow up questions related to a specific aspect of the organization.
2. Organizational Lifeline: Group members reflect on the history of the organization. When it started, why, by whom, and how? They think about what it has achieved in each of the capacity categories. What challenges did it face and how did it overcome them? How has it changed over time?
3. SWOT: In small groups carry out a Strengths, Weaknesses, Opportunities and Threats analysis focusing on a category or sub category of capacity.
4. Playing Boss: In small groups, ask participants to think about the changes they would make if they were the Director, Chairman of the Board etc. focusing on a category or sub category of capacity.

6) After the presentations are complete, bring everyone back to the main group and work together to determine the score for each area of capacity. For each area:
   - Circle the boxes in each row that best indicate the current situation;
   - Note the total score and calculate the average score at the bottom of each page;
   - Before moving on to the next area of capacity, note the total and average scores on the "Total Scores and Notes" page. It is important to also make a few notes on that page, in the Notes column, indicating major strengths and weaknesses identified and any key issues or comments about the partner's functioning in that area of capacity. These summary notes will help you later when you complete the last page of the SCORE tool.
7) When all areas have been discussed, assessed, and scored, map the scores onto the spider web diagram. This provides a visual image of the partner's functioning in the five areas and gives a picture of the comparative strength of each capacity area.
8) Take time to discuss the overall picture of organizational capacity that has emerged on the spider web. What are the strengths? Weaknesses? Why?
9) Wrap up this workshop and inform participants about the next steps:
   a. Document review and debrief with Management – within one week. See below.

[45] Facilitators can choose tools from this toolbox' which best suit their setting. They may also choose to adapt these tools or devise their own tools. What is important is that small groups use tools to encourage discussion and analysis of different areas of capacity PRIOR to scoring.

b. Action Planning workshop –this would ideally be held within one week but could be two weeks if scheduling earlier is impossible, but delays should be avoided. Provide copies of the completed SCORE tool as soon as possible for all participants so they have this in advance of the workshop. See Activity Three.

Key Lessons

- √ Be aware that the results of the capacity assessment, although a thorough process, may still not provide an accurate reflection of the capacity building needs of the organization you want to partner with.

Case Study: NU APROACH Uganda

Despite conducting the capacity assessment exercise with local partner HIDO, ARC Uganda found that the capacity building process took more time and resources than was initially thought were required. This was due to the following:

1) The organizational capacity of HIDO was overestimated at the outset of the partnership, which required an intense capacity building strategy by ARC to assist HIDO in putting in place the minimum basic organizational systems and structures prior to roll out program activities.
2) As HIDO involvement in the HIV sector was marginal, significant technical capacity building was required prior to roll out of activities as well.
3) The low level of involvement of HIDO's Board of Trustees in providing oversight and support to policy and management decision-making also put considerable pressure on HIDO Senior Management to serve as the driving force for organizational change, while their skills were still low in this area. Mentoring by ARC staff on developing strategic decision-making skills among senior management and cultivating a more proactive approach within the Board in spearheading organizational development initiatives for HIDO has been a key priority of the NU APROACH program.

- √ Language and technical content within the SCORE tool may need to be adapted depending on the situation and the type of partner that has been chosen.
- √ It is important to let the partners know that the scores do not determine the amount that ARC is committed or will work with the local partner. It is simply an informal measure of where the partner is at, and will serve as a baseline for the capacity building and technical plan.

√ It is important to fill out the action plan with realistic expectations of the time and resources that both ARC and the partner have. Most people will be tempted to create an action plan that is very intense and detailed. This may not be feasible or possible to carry out, however, and may lead to frustration on both sides. Since partnership takes time, it is important to be realistic about what can be accomplished from the very beginning and not set expectations too high.

Document Review/Debrief:

1) A meeting should be scheduled within the next week for ARC staff to meet with the management (or senior staff/volunteers) of the potential partner. At this meeting ARC will review organizational documents (to verify information gathered in the assessment workshop) e.g. look at the organizational plan, strategic planning documents, HR policies, financial procedures manual, technical documents (e.g. GBV case management system etc).

2) The meeting will also provide a forum for ARC to debrief with the management. What went well at the workshop? What could be improved? What did they think of the information gathered?

3) Any issues raised can be discussed with the complete team at the planning workshop.

4) Depending on the context and whether or not you have adequate time and resources, you may decide to use additional methods to assess the capacity of the potential partner. This can strengthen your analysis and can also supplement information in an area that may be weak. Possible methods include:

5) Interviews with staff using open-ended questions on key areas of capacity.

6) Tests of actual organizational and technical knowledge and skills – for example, a multiple choice test on GBV issues that is more in depth and tailored to work of the partner.

🛠 **Tool 2.1:** SCORE Organizational Capacity Assessment Tool

(next page)

Strengthening Capacity of Organizations to use Resources Effectively:

SCORE Assessment Tool[46]

Please note, SCORE has key determinant questions for more formal NGOs followed by simplified categories for less formal CBOs. It is envisioned the program manager will work with the organization to select a range of questions appropriate to both the organization and the context.

Organization Name:____________________________________

Date SCORE completed:______________________

[46] Adapted from Perri Sutton, SCORE Tool, May 2005

Key Determinant 1: Governance				
NGO	**1**	**2**	**3**	**4**
Does the organization have a written Vision, Mission, and Values statement that is understood and believed by staff and guides project activities including relating to beneficiaries	V,M,V statement does not exist.	A written V,M,V statement does not exist but most staff can voice the organization's V,M,V and believe in it	A written V,M,V statement exists, is known, understood by and believed in by most staff.	A written V,M,V statement exists, is known, understood by and believed in by all staff, and guides all activities.
Does the organization have a board or governing body which supervises management and takes responsibility for the actions of the NGO	The organization has no board	The organization has a board with no representatives from the community and does not include women and meets sporadically	The organization has a board with representatives from the community and includes women and meets sporadically	The organization has a board with representatives from the community and includes women which meets regularly
Does the organization have a documented/formal organizational structure?	The organization has no documented or any other type of organizational structure	The organization has no documented/formal organizational structure but management and some staff generally understand what it is	The organization has a documented organizational structure and some staff are aware of and understand it	The organization has a documented organizational structure and all staff are aware of and understand it.
Does the organization has a strategic planning process and plan?	The organization has no strategic plan or process	The organization has a strategic plan developed by management/board but only some staff know about it	The organization has a strategic plan developed in consultation with some staff and some staff know about it and use it to develop workplans and budgets	The organization has a written and costed strategic plan which was developed in consultation with all staff and beneficiaries and is the basis for workplans and budgets.
	Score:		**Average Score (total score/4)**	

Key Determinant 1: Governance				
CBO	**1**	**2**	**3**	**4**
How often does the group have meetings?	Almost never	Irregular meetings	Regular meetings. Low attendance of members (less than 50%)	Regular meetings. High attendance of members. (More than 50%)
What is the role of the group? (Does it have a concept of being a group?)	No perception of the role of the group	Few members of the executive committee have an idea about the role of the group	Majority of executive members, only a few general members have an idea about the role of the group	Majority of all members have clear idea or perception of the role of the group
How does the group communicate to the general members?	No messages to convey and no contact between the group (eg.exec committee) and general members	Irregular verbal communication to general members. (More than 50% are not informed)	Regular verbal communication to general members (more than 50%)	Good interaction between group (eg.exec committee) and general members. All are informed about group's work.
How does the group take decisions?	No decisions made	Decisions are mainly made by one or two members	Decisions are made by few members, but supported by the majority of members	Decisions are made based on the consensus of the majority of all members -including general members
	Score:		**Average Score (total score/4)**	

Key Determinant 2: Program Management				
NGO	**1**	**2**	**3**	**4**
Do all projects follow all stages of the project cycle? (Assess, Plan, Design, Implement, Monitor and Evaluate) and is there stakeholder participation at all stages?	Not all stages of the project cycle are followed and stakeholders do not participate.	Most stages of the project cycle are followed and there is stakeholder participation at some stages	All stages of the project cycle are followed and there is stakeholder participation at some stages.	All stages of the project cycle are followed and there is stakeholder participation at every stage.
Are there regular staff meetings that are well attended, organized and documented?	The organization almost never formally meets.	The organization meets irregularly with low attendance (less than 50% of staff), often with no meeting agenda or minutes recorded.	The organization has regular meetings with fair attendance (50% to 75% of staff members); an agenda is followed and meeting minutes recorded.	The organization has regular meetings with high attendance (more than 75% of staff); an agenda allows for discussion of all key issues, and complete minutes are recorded and disseminated to all staff.
How does the organization monitor and evaluate program progress?	The organization hopes to achieve goals by the end of the program, and has no system for monitoring progress.	The organization monitors and reports progress at the mid-term and final evaluation of the program.	The organization monitors progress and evaluates results on a monthly basis; reports are written and shared with all staff.	The organization systematically monitors and evaluates program progress; monthly reports are used by all staff to ensure program goals are achieved and to improve future activities.
How does the organization ensure timely and quality programs and services?	Implementation of program activities is done with little regard to timeliness and quality.	Program activities are compared to the org's action plan at mid-term and final eval to ensure completion; one member of the organization performs random observation of program activities to assess quality.	Program activities are compared to the action plan on a monthly basis to ensure completion; the organization has quality standards that staff members strive to achieve.	Program activities are continually monitored and adjusted to ensure they are on schedule to meet monthly action plan goals; the org has quality standards and performs routine quality assessment with input from staff, beneficiaries, and partner orgs.
How does the organization make decisions?	All important decisions are made privately by the organization founders.	Founders may decide without the input of staff, or decisions may go against staff input.	Decisions are made by the organization during staff meetings; sometimes staff members disagree with decisions made.	Decisions are made following discussions with maximum staff participation. All needs and concerns are heard and consensus is reached.
Does the organization have open communication?	Important communication only takes place between top leaders, and information is not shared with organization staff.	Occasionally important communication is shared with select staff members.	Most communication is openly shared, and most staff feel informed and involved in important communication.	Open communication is encouraged, and all staff contribute to a free flow of information and feedback within the organization.
	Score:		**Average Score (total score/6)**	

Key Determinant 2: Program Management				
CBO	**1**	**2**	**3**	**4**
How does the CBO identify its needs and prioritize activities?	No identification of needs in the community	Needs are identified by leaders of the CBO. Priorities often decided by few key people or leaders and conflict sometimes arises.	Needs are identified and priorities made in mass meetings. Not all agree with the priorities made.	Needs are identified and priorities made with maximum participation in meetings. All needs are heard and discussed. Priorities are made based on consensus of all members. Minimal conflicts arise.
To what extent does the CBO achieve its plans?	The CBO has no set plans. The CBO requires everything from outside to implement its activities	The CBO sets some plans but money, materials, technical support and motivation are required from outside.	The CBO has planned most of their activities. Members are aware of the plans but some do not get implemented due to the need for assistance for some of the activities	Most activities are planned and implemented effectively and without outside support.
How does the CBO resolve conflicts?	No conflict resolution	Mainly outsiders take initiatives to resolve conflicts	The CBO leader (or other respected leader) takes initiative to resolve conflicts. Conflicts mostly solved but not by consensus	Conflicts are always resolved based on consensus of the involved parties or by all the CBO members.
Are minutes taken and used?	No minutes taken	Minutes taken irregularly , and/or often taken incorrectly. Or minimal minutes taken (eg. signatures of attendance only) but discussion takes place.	Regular minutes but only main decisions	Regular minutes of all discussions. Minutes used in future meetings to discuss actions/progress and future decisions are taken accordingly.
	Score:		**Average Score (total score/4)**	

Key Determinant 3: Admin/Finances				
NGO	**1**	**2**	**3**	**4**
Are accounting and financial systems functional and transparent?	The organization has no system for recording and reporting financial status.	The organization periodically updates its financial tracking system, and the information is known only to the accountants or founders.	The organization regularly and accurately tracks its financial status, and shares this information with select staff members.	The organization's financial information is accurate, consistently up to date, openly shared and utilized by all staff for planning and decision making.
Are there financial controls in place?	There are no financial controls in place	There are some financial controls in place	There are financial controls in place such as documented approval process for spending funds, regular audits, requirement for two signatures on bank accounts, safe storage of cash and cheque books, regular reporting.	There are financial controls in place such as documented approval process for spending funds, regular audits, requirement for two signatures on bank accounts, safe storage of cash and cheque books, regular reporting. These are documented in a manual and form part of staff induction.
How does the organization use its budget?	Budget was created solely for the grant application, and is not used for other purposes. Funds are spent as they are received.	Budget is a rough estimate of available funds, and line items are often over or under spent.	Budget is accurate, linked to program activities, updated quarterly, and line items are rarely over spent.	Budget is accurate, consistent with program plan, balanced on a monthly basis, and reviewed by finance and program staff.
What are the organization's financial reporting procedures?	Financial reports are not accurate or produced in a timely manner.	Basic financial reporting is irregularly carried out and often incomplete and of poor quality.	Financial reports are periodic, easily understood, accurate, and used for planning.	Financial reporting is regular, systematic, high quality, computerized and used for decision making.
What is the organization's procedure for making purchases?	No consistent purchasing procedure is used.	One staff member is responsible for ensuring sufficient funds are available, and that person selects supplier without comparison.	Most purchases are approved by at least two managing staff members, and supplier is usually selected based on a cost comparison.	Purchases are systematically approved by at least two managing staff members, and supplier is consistently selected based on a comparison of three quotations.
What are the organizations procedures for managing assets?	There is no procedure for asset management	There is an asset register	There is an asset register that is updated sporadically.	There is a verifiable asset register that is regular updated and the source of donor noted for each item. Regular stocktakes are conducted.
	Score:		**Average Score (total score/6)**	

Key Determinant 3: Admin/Finances				
CBO	**1**	**2**	**3**	**4**
Are accounting and financial systems transparent	No recording system	Incorrect recording status. System and financial status known to only a few members	Recording good, exec members generally aware but general members unaware of systems and financial status.	Regular updating of records which are known to all members
Are benefits generated by CBO activities?	No benefits perceived by members	Members have non-financial benefits but benefits are low compared to costs	Members have non financial benefits and these are perceived positively in relation to work, money and materials invested.	Members see financial as well as non financial benefits for group activities
From what sources are funds collected?	No funds collected	Funds collected from project (CBO) subsidies	Funds collected from project subsidies and sometimes independently	Regular funds collected from project subsidies as well as independently from other sources
How are funds used?	Not used	Used for loans or payments to members only	Funds are used but often there are no plans for collection and use of funds	Used for planned activities or ad hoc needs that arise in the community that are agreed upon by member
	Score:		**Average Score: (total score/ 4)**	

Key Determinant 4: Human Resources				
NGO	**1**	**2**	**3**	**4**
Does the organization have personnel policies?	No personnel policies have been developed or used.	The organization has basic personnel policies written, but they are not often referenced or used.	Most personnel policies such as hiring procedures, legal requirements, and emergency protocols are written and followed.	Organization adheres to a comprehensive personnel policy manual that is distributed and signed by all personnel.
Is there a clear policy on Sexual Exploitation and Abuse (SEA)?	There is no policy on SEA	There is no policy on SEA but the issue has been discussed	There is a policy on SEA, including compliance and reporting procedures but not all staff are aware of it.	There is a policy on SEA including compliance and reporting procedures. that is implemented and effective.
Is there a clear policy on HIV/AIDS in the workplace?[47]	No policy on HIV/AIDS in the workplace is in place	An HIV/AIDS in the workplace policy does not exist, but the issue has been discussed	There is a policy on HIV/AIDS in the workplace, but not all staff are aware of the policy.	There is a policy of HIV/AIDS in the workplace which includes: universal precautions, including PEP; condom distribution; HIV/AIDS peer education program; policy on non-discrimination based on HIV status; policy on how employees and clients living with HIV/AIDS are to be treated. All staff are aware of the policy and it is implemented correctly/consistently.
How active are women in the planning and implementation of activities?	The organization has no female employees.	Women are represented but not in management or leadership positions. Female employees are only active in the implementation of some activities.	More than one woman is active in management, decision making and activity implementation.	Women form at least 50% of the organization staff, and are active in management, decision making, and activity implementation.
Are staff roles and job responsibilities clearly defined?	Staff roles and job responsibilities are not written and/or established.	Staff members have a general understanding of their roles and job responsibilities, but nothing is written and/or formally agreed upon.	Staff roles and job responsibilities are written and agreed upon at the time of hire and/or project initiation.	Staff roles and job responsibilities are developed and agreed upon by the organization as a whole, and every staff member has a clear, valid written understanding of their own role and responsibilities.

47 Adapted from MSH document. (http://erc.msh.org/newpages/english/toolkit/hr_hiv_assessment_tool.pdf)

Does the organization assess staff performance ?	No procedures for staff performance assessment have been developed or practiced.	Staff performance is only assessed when there is concern over poor performance.	The organization fairly assesses staff performance from time to time, and provides staff members with constructive feedback.	Staff performance assessments are developed, based on job descriptions and done regularly. Performance assessments are useful for constructive feedback, promotion, and salary adjustments.
Does the organization have a policy for training and development?	No policy for training and development exists	Some staff have received training but there is no policy	There has been an assessment of training needs and sourcing of providers but there no budget for this.	There is a clear policy on training and development including identification of training needs, identification of training providers and this is budgeted for.
	Score:		**Average Score (Total score / 7)**	

Key Determinant 4: Human Resources				
CBO	**1**	**2**	**3**	**4**
Are women represented?	No women represented	Women are represented but are not members of the exec and are only active in the implementation of some activities	A few women are active in both decision making and implementation	Women form at least 40% of membership and are active in decision making and implementation
How are tasks delegated and conducted?	No tasks are delegated	Individuals are randomly assigned tasks by senior members	Most members have an informal understanding of their tasks	All members have a clear description and understanding of their tasks
How is member performance monitored?	Not monitored	Informally and infrequently	Informally but at frequent intervals (eg at regular meetings)	Formally (eg discussions with senior members) and frequently (eg at regular meetings).
	Score:		**Average Score (total score/3)**	

Key Determinant 5: External Relations				
NGO	**1**	**2**	**3**	**4**
Is the organization known and trusted by the communities it serves?	Community relations have not yet been established.	A few community leaders and approximately 20% of the local population are familiar with the organization and the services it provides.	The organization and its services are trusted and supported by local leaders, and familiar to more than half of the community.	The organization is highly visible, trusted and respected by the majority of the community members and leaders it serves.
Does the organization collaborate with other local organizations or service providers?	The organization prefers to work in isolation and there is no contact or coordination with other local organizations or service providers.	The organization is known by other local organizations and service providers, but formal collaboration is rare.	The organization is in contact with other local organizations, and exchanges information and ideas whenever doing so is mutually beneficial.	Regular collaboration and good relations with other local organizations and service providers is a priority and practiced with success. Areas of collaboration may include sharing resources, joint training and other activities, sharing ideas and strategies for problem solving
Does the organization interact with local media (e.g. newspaper or radio)?	The organization has had no interaction with the local media.	The organization has made contact with local media, but no publicity or informational campaigns have been carried out.	The organization has once used local media for publicity and/or an informational campaign.	The organization frequently uses various local media sources to promote and implement project activities.
Is the organization recognized by the local government?	The organization has had no contact with local government officials.	The organization has contacted local government officials only to obtain NGO registration.	The organization consistently contacts local government to gain their cooperation with project activities.	The organization is highly respected by the local government, and frequently works in collaboration with officials to achieve project goals.
Has the organization succeeded in raising funds from donors?	The organization has not identified other potential donors or applied for alternative funding.	The organization has identified potential donors, and has received non-financial support.	To date, the organization has received financial support from one other funding organization.	The organization actively pursues and receives financial and non-financial support from other donor organizations.

Does the organization carry out advocacy activities to influence those in power to change conditions or policies that form barriers to your work?[48]	The organization has not thought of local policies or conditions. Little or no targeted advocacy work has been done.	The organization has only mobilized general public for support or awareness raising, but nothing targeted at key people or institutions in power	The organization has developed targeted activities toward certain groups or policies, but have lacked evidence, community voice, or strength in numbers	The organization has done evidence- or consultation-based advocacy, mobilizing allies and using many different communication methods
	Score:		**Average Score (total score/6)**	

[48] Twinning Resource (http://www.twinningagainstaids.org/twinningtoolkit/forms/Assessment_Tool.pdf)

Key Determinant 5: External Relations				
CBO	**1**	**2**	**3**	**4**
Does the group coordinate with other groups in the area?	No contact or coordination with other CSOs	Irregular contact with other CSOs	Regular contact with other CSOs including sharing resources, joint training and other activities, sharing ideas and strategies for problem solving	CSO plays an essential, key role in the coordination between CSOs including sharing resources, joint training and other activities, sharing ideas and strategies for problem solving
Is the organization known and trusted by the community?	No	Known by some	Known by many	Widely known and trusted by range of groups in the community including men, women, elders and youth
Has the group succeeded in external fund raising	No access to external resources	Access to non-financial support	Has succeeded in raising funds form one source	Has regular financial and non-financial support
How is the relationship with ARC?	No relationship	Some minimal contact	Irregular but frequent contact	Regular and frequent contact
	Score:		**Average Score (Total score / 4)**	

Key Determinant 6a[49]: GBV Technical Capacity				
NGO & CBO	**1**	**2**	**3**	**4**
GENERAL **Do all staff and/or volunteers have the necessary GBV knowledge and technical skills, according to international standards and guidelines, to do their duties well?[50]**	A few staff and volunteers know some basic information about GBV	Staff and volunteers generally know the skills and information needed to carry out their tasks	Staff and volunteers know the skills and information well needed to carry out their tasks but they get no training	Staff and volunteers know the skills and information well needed to carry out their tasks, they use internationally accepted resources, and they get training
Do all staff/volunteers have a good understanding of the different organizations working on GBV issues and how they can work together?	A few staff and volunteers have some basic understanding of the different organizations working on GBV issues but do not really know how they can work together	Staff and volunteers have some general understanding of the different organizations working on GBV issues and how they can work together and some members sometimes attend coordination forums	Staff and volunteers have a good understanding of the different organizations working on GBV issues and how they can work together and some members regularly attend coordination forums	Staff and volunteers have a thorough understanding of the different organizations working on GBV issues and how they can work together and some members regularly attend coordination forums and share relevant information with their colleagues.
How do you encourage and enable staff/volunteers to learn and develop their knowledge about GBV?	No mechanisms for improving GBV knowledge	Some leaflets and information is made available. Sometimes informal discussions	Information regularly accessed through a variety of sources and actively distributed among members	Regular internal discussions to learn and share knowledge, information regular accessed from a variety of sources and access to an internet/email connection
RESPONSE **Are there specific systems/procedures and protocols in place for working with survivors? (can apply to medical, psychosocial, legal and security sectors)**	No formal systems/procedures or protocols in place.	Some systems/procedures and protocols in place but not formal and not widely or well understood by staff	Formal system including written documentation, case management protocols and referral procedures are in place, and are generally understood by staff but training/discussion is not provided on them	Formal system including written documentation, case management protocols and referral procedures are in place, are well understood by staff and training/discussion is regularly provided on them

49 Adapted from HIV Alliance CBO Capacity Analysis and NGO Capacity Analysis Tools. Not all questions will be relevant to all organizations. Select those that are appropriate e.g. – if an organization does not engage in awareness raising/advocacy then Q2 will not be relevant.

50 A general rating – will be different for each organization depending on their focus and activities.

PREVENTION **How do you create messages to raise awareness or change people's thinking?**	Do not use any materials, toolkits or activities.	Use some printed pictures or posters to illustrate messages and keep the attention of a group.	Use range of materials or activities (could include printed materials, radio, video etc) aimed at specific groups with specific messages sometimes developed within the organization	Develop or adapt own range of materials (could include printed materials, radio, video) and ensure their effectiveness by pre testing or involving targeted groups in the development and production process.
How do you engage with the community?	Do not hold any specific forums in the community	Hold general forums in the community on general topics	Hold forums with different groups in the community including men, women, boys, girls, community/religious leaders	Hold culturally appropriate forums using peer or appropriate facilitators with different groups in the community including men, women, boys, girls, community/religious leaders, and target discussions and trainings to their needs
REFERRALS: **Are there specific referral systems/procedures and protocols in place for referring clients for support services?**	The organization has no system or links for referring clients for support services.	The organization has a system, but has not made linkages to government, private or NGO service providers to ensure that clients requiring support services have access to them.	The organization has a clear referral system in place and has made linkages with government, private or NGO service providers to ensure that clients requiring services have access to them, but clients are not always appropriately referred or encounter problems at referral sites related to the referral process.	The organization has a clear referral system in place and has strong linkages with government, private or NGO service providers to ensure that clients requiring services have access to them. Clients are consistently referred to the right locations when needed and do not encounter problems accessing services at referral sites.
	Score:		**Average Score (total score/7)**	

Key Determinant 6b[51]: HIV Technical Capacity				
NGO & CBO	**1**	**2**	**3**	**4**
Does the organization have experience working in HIV/AIDS?	The organization has no previous experience. This will be the first HIV/AIDS project the organization will be implementing.	The organization has some experience; has provided some HIV/AIDS services or implemented activities, but not continuously.	The organization has considerable experience; has provided some very specific HIV/AIDS services for several years but not covering a wide spectrum of interventions.	The organization has extensive experience; has been providing HIV/AIDS services for many years covering a wide spectrum of interventions
Do all staff/volunteers have HIV/AIDS knowledge, and technical skills necessary to do their jobs?	A few staff/volunteers know basic HIV/AIDS facts such as methods of transmission, prevention, care and support, but do not have technical skills to correctly do their jobs.	Staff/volunteers know basic skills needed to do their jobs.	Deeper knowledge of HIV/AIDS issues are well understood (causes of vulnerability, effects of stigma, treatment availability), but staff/volunteers have not received regular training/refreshers.	HIV/AIDS issues well understood and staff/volunteers have been consistently trained for the work they do and often provide training and support to others.
PREVENTION: **Does the organization have a Behavior Change Communication (BCC) strategy and materials?**	The organization does not have or use any BCC materials, tools, and or activities.	The organization has some printed images or posters to illustrate messages and keep the attention of the group.	The organization uses materials and activities aimed at specific groups with specific messages, sometimes developed within the organization.	The organization has developed or adapted own materials and has ensured their effectiveness by pre-testing or involving target groups in the production process.
CARE and SUPPORT: (if applicable) **Are there specific systems/procedures and protocols in place for provision of care and support to PLHAs?**	No formal systems/procedures or protocols in place.	Some systems/procedures and protocols in place but not formal and not widely or well understood by staff	Formal system including written documentation, case management protocols and referral procedures are in place, and are generally understood by staff but training/discussion is not provided on them	Formal system including written documentation, case management protocols and referral procedures are in place, are well understood by staff and training/discussion is regularly provided on them

51 Indicators adapted from JSI Organizational Capacity Assessment done in Uganda and Twinning toolkit (http://www.twinningagainstaids.org/twinningtoolkit/forms/Assessment_Tool.pdf)

TREATMENT: (if applicable) Are there specific systems/procedures and protocols in place for provision of treatment for PLHAs	No formal systems/procedures or protocols in place.	Some systems/procedures and protocols in place but not formal and not widely or well understood by staff	Formal system including written documentation, case management protocols and referral procedures are in place, and are generally understood by staff but training/discussion is not provided on them	Formal system including written documentation, case management protocols and referral procedures are in place, are well understood by staff and training/discussion is regularly provided on them
REFERRALS: **Are there specific referral systems/procedures and protocols in place for referring clients for HIV and AIDS treatment and/or other health or support services?**	The organization has no system or links for referring clients for HIV and AIDS treatment or other health or support services.	The organization has a system, but has not made linkages to government, private or NGO health service providers to ensure that clients requiring HIV and AIDS treatment or other health or support services have access to them.	The organization has a clear referral system in place and has made linkages with government, private or NGO health service providers to ensure that clients requiring HIV and AIDS treatment or the health services have access to them, but clients are not always appropriately referred or encounter problems at referral sites related to the referral process.	The organization has a clear referral system in place and has strong linkages with government, private or NGO health service providers to ensure that clients requiring HIV and AIDS treatment or the health services have access to them. Clients are consistently referred to the right locations when needed and do not encounter problems accessing services at referral sites.
How do you encourage and enable members to learn and develop their knowledge about HIV/AIDS?	The organization has no mechanism for improving HIV/AIDS knowledge	The organization has some leaflets and information is made available, with some occasional informal discussions.	The organization regularly disseminates information through a variety of sources and actively distributes among members.	The organization has regular internal discussions to learn and share knowledge; information is regularly accessed from a variety of sources, including access to internet/email.
	Score:		**Average Score (total score/7)**	

TOTAL SCORES AND NOTES

Key Determinant	Raw (Total) Score	Average Score	Notes/Comments
Governance			
Program Management			
Admin/Finances			
Human Resources			
External Relations			
Technical			

SCORING DIAGRAM (spider's web)

ACTION PLANNING

Aspect of Capacity	What gaps/ weaknesses have you identified?	Which of these will you address in the next 12 months?	What strategies will you use?
Key Determinant 1: *Governance*			
Key Determinant 2: *Program Management*			
Key Determinant 3: *Admin/Finances*			
Key Determinant 4: *Human Resources*			
Key Determinant 5: *External Relations*			
Key Determinant 6: *Technical*			

ACTIVITY THREE: Capacity Building Planning

Overview

The aim of this activity is to look at the way forward from the assessment and identify capacity development priorities and then develop a capacity building plan.

The capacity building plan is a concrete set of tasks and activities aimed to strengthen the organizational weaknesses and fill gaps in capacity. The plan is based on the outcomes from the SCORE assessment, additional comments in the notes pages, plus consideration of community needs and the organization's interests and priorities. The plan includes concrete actions to be taken to build capacity, and timelines for each action.

Tools

3.1 Capacity Building Plan

How to

1. Refer back to the SCORE tool (Tool 2.1, p.53), direct participants to the last page, 'Action Planning'. For each capacity area ('key determinant'), discuss and then fill each column:

   - **What gaps or weaknesses have you identified?**
     - List all
     - This is a good opportunity to review with fresh eyes and discuss any changes in perspective since the previous discussions.
   - **Which of these will you address in the next 12 months?**
     - Remind participants that capacity building is a process that occurs over time. Actions must be prioritized and carefully planned.
     - Encourage selection of gaps that have the greatest affect on delivery of services and minimum organizational functioning.
   - **What strategies will you use?**
     - This is to briefly note types of strategies that the partner will engage in to strengthen the selected gaps or weaknesses. Some examples: Management Training; Staff Training; Staff Mentoring; Develop Systems; Draft Documents; TA from other organizations in the setting
     - A detailed plan is the next step after completing this last page of the SCORE tool. Try to steer the discussion away from specific planning and focus more on general strategies to be used with resources that can be accessed from this setting.
2. Also take this opportunity to look at what sort of capacity building the partner may be able to offer ARC or to other partners. This could be in the area of technical program skills, training on cultural sensitivity, ways of working in the context, political and security briefing. REMEMBER MUTUALITY!
3. Refer to the Capacity Building Plan. This plan is a specific and concrete set of activities, and will be built directly from the content in the Action Planning page of the SCORE tool.
4. For each capacity area, ARC and the partner group will identify key gaps to be addressed and the specific methods and activities that will be undertaken to address those gaps.

5. It can be useful to begin with a complete list (left column) of the capacity needs the partner would like to address, as identified in the last page of the SCORE tool (Action Planning). Starting with Governance work through each capacity area and finish with GBV Technical Capacity.
6. Then, before discussing actions and methods (who, where, how), go back through the entire list and review it to determine whether all of the areas listed can be addressed in a 12-month period. If it seems unrealistic, work on prioritizing and move lower priority issues off the list. It is a good idea to keep a list of the removed items; this may help you in the future for your next capacity building planning session.
7. When the group agrees on a list of capacity needs that can and must be addressed as first priority, the next step is to determine how those capacity needs can best be addressed and by whom. ARC should NOT be the provider of all capacity building, training, technical support, mentoring, and other capacity building activities. It may be important to inform the partner of this fact, before detailing the capacity building plan and raising expectations.
8. It is the partner's responsibility to identify trainers, mentors, and technical advisors – with help and advice from ARC. ARC's role is to provide these services when appropriate, feasible and necessary.

Key Lessons

√ The plan must be realistic. Can these things be done in this way in this time period?

√ Priorities and preferences of the partner should be respected. It is appropriate for ARC to offer suggestions, opinions, and guidance about priorities.

√ Identifying others to help with capacity building efforts may take some time, so the last two columns of the Capacity Building Plan might not be completed by the end of this planning session although ARC and the partner should be thinking about this during the entire exercise. If that is the case, do not let the plan sit unattended for longer than two weeks. Work with the partner to facilitate creative thinking about what kinds of resources can be accessed, where, and by when.

√ Promote participation of any coordination committees you may be involved with (as per Activity 6). Draw from these resources and encourage committee members to provide information and link the partner with other relevant resources they are aware of. These coordination mechanisms will also offer the opportunity to coordinate training and capacity building, so that the partner organization is not inundated by donors and international organizations in an uncoordinated and disrespectful manner and so other organizations (international or local) may also be able to benefit from the training.

√ Seek help, support, and referrals for training, mentoring, and other capacity building support from relevant experts, such as your Finance, Administration, and Logistics departments.

🛠 Tool 3.1 Capacity Building Plan

Organization Name:____________________________________

Date this plan was developed:____________

Names of persons who developed this plan:

For the organization	*For ARC*
___________________________	___________________________
___________________________	___________________________
___________________________	___________________________
___________________________	___________________________
___________________________	___________________________
___________________________	___________________________

The activities in this plan are based on the analysis and scoring from ARC's *SCORE Tool,* which should be attached to this plan.

The plan was developed and agreed upon through collaborative discussions between the organization and ARC representatives listed above.

Signatures

_______________________________ _______________________________

_______________________________ _______________________________

Capacity Building Needs (information, training, technical support, systems to be put into place etc.)	Action to be Taken (who, where, how)	Timeline
Governance		
Program Management		
Admin/Finance		
Human Resources		
External Relations		
Technical (GBV, HIV or other)		

ACTIVITY FOUR – Capacity Report

Overview

For transparency and as required by the ARC Sub Grants Manual, a written report must be produced of both the capacity assessment and the capacity plan and should be provided to the partner/potential partner organization[52]. This should include information on the process as well as the products.

Make sure that ARC obtains permission to document the process from the potential partners/partners. Explain what will be documented, what will happen to the information, and who will get to see it.

Tools

None.

How to

1) Ensure ARC obtains permission before the Capacity Assessment and Capacity Planning workshops.
2) Ensure there is a person assigned to take notes at both workshops.
3) Using the notes of the note taker as well as this document and the completed Assessment and Planning forms, complete a clear but comprehensive report on the workshops.
4) Ensure to document process and outcomes.
5) Keep the final report simple and clear.

Key Lessons

√ The final report is merely a summary of the process and outcomes that came out of the SCORE and capacity building plan exercises. It does not need to be formal or intimidating for the partner. It simply allows ARC and the partner to document the work that was done.

√ In some cases, the partner may want to be the one taking notes and creating the final report. This is an important capacity building exercise and should be encouraged. It also eliminates the worry that may come with having an outside note taker in the room.

√ The whole assessment and planning process until now, can be very labor-intensive and tiresome for both ARC and the local partner. It may be important to assure the partner that this planning will result in more tailored and appropriate capacity building later on. It also helps to establish the ARC-partner relationship that will be the basic of future partnerships. It does require a commitment, however, and at times it might be necessary to break the exercises up into smaller sections and/or modify the exercises as needed.

[52] ARC Sub Grant Manual, p.9

✂ACTIVITY FIVE – Establish MOU with Partner

Overview

After the capacity assessment and planning workshops have been conducted, negotiations are complete and both parties have reached an agreement as to what the partnership looks like, it must be formalized and documented. This documentation is in the form of a Memorandum of Understanding (MOU) and should be developed, discussed, agreed, and signed by both ARC and the partner. This is the cornerstone of the partnership that will document the overall intention.

The MOU should outline the terms and conditions of the partnership. If the partner applies and is successful in obtaining small grant funding from ARC, then a separate contract (a sub grant agreement) must be completed. Details of this are found in the Small Grants section.

In some cases, it may be more appropriate for an MOU to be signed before the assessment and planning process. This will be up to the discretion of the ARC field staff.

Elements of the MOU and why it is important[53]

Elements	Why Important
Descriptions of roles, responsibilities and timeframes; expectations and requirements of each organization	• Determines benchmarks for monitoring and evaluation of joint activities • Ensure organizations do what they say they are going to do.
Clarity that purpose of the agreement and the activities is to build the partner's capacity to provide good quality and sustainable GBV programs and services that meet the needs of the population.	• Ensures clear purpose understood by both parties
Establish routine meeting times	• Create formal times for partners to communicate away from distraction of day-to-day activities. • Creates space for sharing/discussion/ and giving and receiving feedback
How organizations will share resources	• Resources get fought over. Critical to negotiate and establish early on who is responsible for what resources.

[53] Adapted from CARE, 'Building Partnerships for Health in Conflict Affected Settings: A Practical Guide to Beginning and Sustaining Intergency Partnerships', May 2007

Elements	Why Important
Define financial and activity reporting requirements of each organization	• Establish a common way of reporting on finances which is feasible for both organizations
Establish focal contact point in each organization	• This is an important component that can help with both accountability and communication.
Define how conflict will be resolved between parties	• Conflict can occur over resources and also over philosophical differences (in ways of working for example) or over how organizations treat each other's staff in the partnership. It is very important to acknowledge the possibility of conflict and how it will be addressed *before* it happens. (e.g. May state that partner can request a meeting between leaders of both parties to resolve a conflict).

Tools

5.1 MOU Template
5.2 Sample MOU
5.3 Sub Grant agreement

How To

1) Arrange a meeting with the partner organization.
2) Discuss the idea of an MOU, why it is important and what it could look like.
3) Go through the key elements to be included (table above) and discuss each.
4) After a thorough discussion, use the template tool and refer to the sample MOU tool, to draft an MOU together.
5) Remember to use clear and uncomplicated language.
6) Once a final draft is outlined, ARC may volunteer to type it up on a computer or assist the partner to do so.
7) The final typed draft should then be reviewed by both parties and signed.

Key Lessons

√ It may be unclear to the partner what they are getting from the relationship at this point, therefore it is important to use the capacity building plan to decide on what immediate steps can and should be taken by ARC and the partner.

√ The MOU may seem very formal to some partners, but it is also a capacity building exercise. Explain that MOUs are often established between partners and it allows for a professional, mutual, and respectful relationship to develop between both partners.

√ The MOU should clearly detail how information will be shared and with language and terms that the partner can understand, since in the context of GBV, sharing information can be dangerous and very sensitive. This is where ARC should also stress the importance of confidentiality.

√ The level of formality of the partnership will depend on the context and also the stage of the relationship. Partnerships can range from an informal collection of individuals to a legally registered organization. Most start informally but become increasingly formal as programs grow in complexity. However informal an arrangement however, some form of agreement, like an MOU, is important to avoid misunderstanding and conflict. The following table is provided as a guide to the advantages and disadvantages of different levels of formality[54].

[54] Adapted from 'The Partnering Toolbook', Tennyson, 2003, p.14

TYPE OF STRUCTURE	*ADVANTAGES*	*DISADVANTAGES*
	INFORMAL	
WORKING GROUP A small number of people who agree to explore a partnership initiative on behalf of a wider group	Greater freedom to explore ideas / intentions and to build new relationships	Not being taken seriously enough by external agencies or other key players
FOCUS GROUP A small number of people who agree to take forward one specific aspect of a partnership's development	Cheaper - the major resource demand is time rather than cash	Too easily neglected when those involved are diverted by their other priorities
NETWORK A communications arrangement linking people who are engaged in similar activities	Develops a greater profile	Needs greater co-ordination
FORUM A meeting place for open debate and new ideas	Provides an 'umbrella' for a wide range of loosely linked activities	Requires more agreement on policies and operational principles
	FORMAL	
ASSOCIATION A more formal, registered version of a society	Increased authority and capacity to exert influence	Subject to legislative restrictions on action
FOUNDATION An association that mobilizes and disseminates resources	More focused activities and greater likelihood of sustainability	Tendency to become over-bureaucratic and impersonal
AGENCY An independent organization	Enhanced ability to mobilize and manage large-scale resources	Increasingly high administrative (as opposed to project) costs

🛠 **Tool 5.1** Partnership MOU Template (tool)

1) **Parties:** The MOU should identify the names and addresses of the partners and anyone that they may be representing.
2) **Duration of the Agreement:** The MOU should describe the length of the agreement between ARC and the local partner with modification, extension, and termination procedures described in a separate section.
3) **Overview:** This section should describe the current situation and plans for partnership. Any mission statement or principles of operation between the partners can be included. A short summary of the organizational assessment and action plan, basically.
4) **Performance Requirements and Goals:** Assurances such as reporting, meeting program goals, and submitting performance data should be included here.
5) **Services Offered:** Each of the support services to be provided should be identified, along with the funding available (if any) and how that service will be made available. Be specific about whether ARC will be providing the service or will be using other agencies to provide access to the service.
6) **Referral Arrangements:** Describe how ARC will facilitate relationships and communication between the partner and any other actors. This should include methods of referral such as the point of contact within ARC, how the process will be handled, and how the referral process and procedures work.
7) **Information Sharing:** Protocols for information sharing and confidentiality assurances should be included so that each party is open to sharing information in a transparent and supportive manner.
8) **Cost Allocation and Resource Sharing:** Identify costs that will be needed and provided by each party, where and when necessary. Also, determine how these costs will be allocated so that issues involving money are transparent. Cost sharing is always a productive way to ensure that both partners are committed and involved in the project.
9) **Dispute Resolution:** Any problems that arise should be solved between the parties informally, before a formal meeting is called. If necessary, ARC senior staff shall mediate the dispute and have final authority to resolve the issue.
10) **Modification/Termination:** The MOU can be modified, altered, revised, extended or renewed by written consent of all parties. Any party to the MOU can terminate their participation by giving advance written notice of intent.
11) **Signatures:** The signatures of all participating parties should be included to confirm their acceptance of these terms. Include names, job titles, and dates.

Tool 5.2 Sample MOU

MEMORANDUM OF UNDERSTANDING

Between ARC [*country*] and [*name of partner*]
[*location/town, country*]

1. Parties: ARC [*country*] and [*name of partner*] in [*location/town, country*] both acting through their duly authorized representatives, hereby agree to the terms and conditions of this MOU as follows:

2. Duration of Agreement: This agreement will be effective from [*day/month/year*] through to [*day/month/year*]**.**

3. Overview: The goal of this partnership between ARC [*country*] and [*name of partner*] is to actively address identified gaps in GBV prevention and response interventions and enhance sustainability at the local level. Based on the capacity assessment and action plan developed jointly by the two parties, this will be achieved through the following:

- ARC [*country*] will be responsible for:
  - The provision of technical trainings on GBV to [*name of partner*];
  - The provision of trainings on M&E tools, reporting formats and report writing to [*name of partner*];
  - Regular supervision for counselors from [*name of partner*] (at least once every two weeks);
  - Provision of supplies for the Safe Space Centre (including necessary furniture, resource tools and IEC materials).
- [*name of partner*] will be responsible for:
  - The provision of the following services at the Safe Space Centre:
    - Group discussions on themes related to the participants experiences;
    - One to one psychosocial counseling;
    - Awareness workshops on GBV, HIV/AIDS and other life skills and;
    - Referral to services such as legal counseling, police and peer support groups.
  - The provision of a venue, basic furniture and volunteers to run the Safe Space three days a week - Monday, Wednesday, and Saturday from 09.00 to 16.00. During the stated times it is the sole responsibility of [*name of partner*] to make the proper arrangements necessary in order for the Safe Space Centre to be operational.

4. Performance Requirements and Goals: ARC [*country*] will work with [*name of partner*] to select and develop monitoring and evaluation tools. Reports from [*name of partner*] will be provided to ARC [*country*] by the first of every month in a format that will be jointly developed.

5. Services Offered: ARC [*country*] will hold individual and group sessions with [*name of partner*] on topics identified in the capacity building plan. Whenever it is not feasible for ARC to provide support services ARC will assist in drawing from local expertise from among the advisory committee members and other organizations to tap for further training, technical assistance and/or organizational support whenever possible to achieve all priority action points set forth.

6. Referral Arrangements: The main point of contact within ARC [*country*] for [*name of partner*] and any other actors is the GBV Program Manager. In the case of a referral, this person should be contacted first and they will delegate an appropriate staff person to a case.

7. Information Sharing: Both parties understand and agree to the guiding principles of respect, safety and confidentiality and endeavor to share all information in accordance with these. Further, there will be collaborative decision making throughout the partnership so lines of communications will be open and activities will be transparent in nature and design.

8. Cost Allocation and Resource Sharing: The following costs will be needed and will be provided as follows:
a) Training

- ARC [country] will cover costs of training programs in terms of technical expertise, stationary, and refreshments.
- [name of partner] will cover costs of training program in terms of venue and will organize invitations.

b) Safe Space

- ARC [country] will cover costs for supplies (basic stationery, basic furniture, resources and IEC materials)
- [name of partner] will cover costs of volunteer time to provide individual and group sessions, awareness workshops and referrals and to ensure the day to day running of the Safe space.

9. Dispute Resolution: Any problems that arise should be solved between the parties informally, before a formal meeting is called. If necessary, ARC senior staff shall mediate the dispute and have final authority to resolve the issue.

10. Modification/Termination: The MOU can be modified, altered, revised, extended or renewed by written consent of all parties. Any party to the MOU can terminate their participation by giving advance written notice of intent.

11. Signatures: IN WITNESS WHEREOF the Parties hereby agree on the terms and conditions of the present Agreement on this _____________ day of __________________(date)

ARC (country)	**(Name of partner)**
Signature: ____________________	Signature: ____________________
Print name: ___________________	Print name: ___________________
Title: _______________________	Title: _______________________
Date: _______________________	Date: _______________________

🛠 Tool 5.3 Sub Grant Agreement

Appendix Six of the Sub Grant Manual (currently in draft form)

ACTIVITY SIX: Coordination/Advisory Committees

Overview

A key part of working with local partners is raising the profile of local actors among the humanitarian community to ensure local voices are being heard. This is done through an existing Coordination/Advisory Committees (C/A Committee)

It is recognized that every context is different – some will already have strong existing C/A Committees, others will have different coordination mechanisms in place, such as informal networks, and some will have nothing in place at all. If nothing already exists in your setting – you can follow the steps in the How To section.

If there are already coordination mechanisms in your setting then you can adapt the guidance. For example, if there is a strong coordination group, you could ask to add an agenda item to talk about local partners, trainings, etc and could also work to increase the number of national CSOs attending.

Ideally C/A Committees are comprised of national and international stakeholder organizations (e.g., UNHCR, UNICEF, UNFPA, WHO, relevant government ministry when appropriate, international NGOs). The work of this group includes:

- To give information and raise awareness about the activities of national and local CSOs – including the strengths and needs of these local actors;
- To discuss, plan, implement, and coordinate strategies for training, networking, support, confidence-building, coordination, and other linkages with local and national actors;
- To avoid duplication of programming efforts by sharing information about work with national organizations and make recommendations to each other about partner selection for various projects and activities as they occur;
- Using established (and transparent) criteria, to review small grant proposal(s), and receive regular monitoring reports about the small grant projects.

Tools

6.1 Coordination/Advisory Committees Terms of Reference template (with example)
6.2 Principles of Partnership

How to

1) Ask yourself – do I need to set up a C/A Committee or can I work through existing structures?

   a. Before setting up a C/A Committee, think about what forums already exist. Assess your context. Consider how many existing forums or meetings there are for coordination and networking. How effective are they? What makes them or doesn't make them effective? Do local organizations attend these meetings? Do they hold their own meetings? Do they duplicate local meetings that were already happening before the international community arrived? The group must be useful to all participants, and not simply another meeting to clutter everyone's busy schedules.

b. Consider natural links with existing coordination groups or other regularly occurring meetings (for example, think about holding a C/A Committee meeting right after another meeting if most members of the C/A Committee will already be there).

c. If there is already a strong coordination group, you could ask to add an agenda item to talk about local partners, trainings, etc and could also invite local partners to attend.

d. Review/reaffirm all members of the group are familiar with the 'Principles of Partnership'[55] that all UN bodies and partners have signed onto (see Tool 6.2 p. 88 below).

2) If you need to set up your own C/A Committee:

a. If you decide that you will need to set up your own group, you will need to carefully consider your purpose, the work you will be asking them to do, and what kind of advice, support, and time commitment you will need from others. You need a group of people who will actually attend meetings and be actively involved in the project.

b. Possible members will be different for each setting and program technical focus but generally could include:
- Chairperson of interagency sectoral coordination/working group (GBV, HIV, Protection, Microfinance, Camp Management etc)
- Relevant staff from UNHCR, UNFPA, UNICEF, or other UN agency
- 2-3 key international NGOs actively engaged in technically relevant areas and/or capacity building with local partners in the setting
- Representative from CSOs. NOTE: This might be inappropriate in contexts where there is heavy competition among civil society actors
- Government actors may be invited to attend, or relevant, in some situations. However, this should be carefully thought through depending on the political situation and context.
- Key community leader(s) actively engaged in community efforts on technical areas (GBV, HIV, RH etc); ideally, this would be one man and one woman who are not part of existing CSOs that are considered potential ARC partners.
- Ensure members are aware of and understand the 'Principles of Partnership' (Tool 6.2, p. 88).

c. Number of members
- Try to balance inclusiveness with the need to keep the group small enough to be effective.
- Suggest 5 – 7 total members.

d. Frequency of Meetings
- This will vary in each setting. At minimum, there must be one meeting every two months. You may find that you need monthly meetings initially and again when reviewing the small grant proposal(s) and overseeing the small grant project.

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[55] In July 2007, the Global Humanitarian Platform (GHP) – created by UN agencies, the Red Cross/Red Crescent Movement and NGOs – adopted these Principles of Partnership, designed to put humanitarian actors on a more equal footing.

Sample agenda items

First meeting

1) Introductions
2) Discuss purposes and tasks of this group
3) Discuss identification of potential partners for the capacity building and small grant activities
4) Discuss technical networks, how to form (or strengthen existing networks)
5) Frequency of meetings; time and day preferences; set next meeting

Regular meetings

1) Updates on capacity building with local partners (information sharing among members)
2) Discussion, planning, coordination of training, networking, support, and other linkages with local and national actors.

Key Lessons

√ If there is already a similar group existing – **do not attempt to create a new one but try to fit in.** In the first year of the GBV Partnership project,[56] staff reported that the committee was sometimes seen as a 'parallel structure' i.e. 'an extra working group to attend' so members with busy schedules didn't attend consistently.

√ ALWAYS prepare an agenda and announce the meeting in advance, stay on track during the meeting, start on time, and end on time. This will help you to keep members interested, participating, and attending the meetings.

√ In some settings, it might be possible to combine resources with another agency to support a small project (e.g., to supplement the small grants component so that a larger activity or additional local/national NGOs can be included). This can be a useful first step toward building future sustainability of the activities.

[56] Based on input from the field obtained at the Global GBV Conference, Sept 2008, revisions of this draft document and informal discussions.

Tool 6.1

Coordination/Advisory Committees Terms of Reference template (with example)[57]

[specify location; country and field site name]

Mission Statement[58]

The participation of national organizations in the sensitive work of preventing and responding to GBV is vital to ensure culturally appropriate activities and sustainable results in conflict-affected settings. The important work of national organizations must be recognized and supported by international agencies to ensure survivors are receiving the best possible care.

In this spirit, ARC's GBV Local Partnership project aims to:

- Strengthen partnerships with national and local organizations in order to actively address identified gaps in GBV prevention and response interventions.
- Build sustainable GBV interventions at the local level while simultaneously raising the profile and credibility of these local and national groups.
- Strengthen local, national, and regional networks of people involved in GBV prevention and response in humanitarian settings.

In order to fulfill these aims, and in the absence of any similar forum, ARC would like to establish a Local Advisory Committee. Establishing and working with this committee will facilitate the sharing of information and expertise to discuss, plan, implement, and coordinate strategies for capacity building, training, networking, supporting, and strengthening linkages with local/national GBV actors.

Problem Statement

National (and/or refugee) organizations such as NGOs, CBOs, and even informal women's groups, often have direct experience with GBV interventions within the local context. They have insight into the unique history and cultural nuances of their setting, and strong links with different groups in the community. They are therefore uniquely positioned, and often best suited, to most effectively and sustainably address the complex problem of GBV.

However, in busy humanitarian settings the international presence often excludes national NGOs and local groups, citing a lack of capacity and technical skills as hindrances to achieving results in a fast paced environment. The opportunity to benefit from local expertise is thus lost and programs may be weaker as a result, ultimately meaning that clients and other beneficiaries receive reduced quality services.

Supporting national organizations through partnerships and addressing their capacity development needs is an important way to ultimately ensure clients benefit from effective programs – programs that are rooted in local knowledge and networks but also benefit from the technical and organizational strengths of international organizations.

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[57] Draft for Review and Revision by Advisory Group

[58] Information included will be program specific. Example here is for GBV Local Partnership project

Specific Issues to be Addressed

- Maintain increased awareness of GBV activities of national and local NGOs/CBOs – including the strengths and needs of these local actors.
- Discuss, plan, implement, and coordinate strategies for training, networking, support, confidence-building, coordination, and other linkages with local and national GBV actors.
- Discuss and make recommendations to each other about partner selection for various projects and activities as they occur.
- Using established (and transparent) criteria, the local advisory committees will review small grant proposal(s), advise ARC about awarding small grant(s), and receive regular monitoring reports about the small grant projects.
- Make recommendations to ARC on selection of local partner organizations to receive ARC's targeted capacity building support.
- Using the criteria established by ARC and its donor, review small grant proposal(s), advise ARC about awarding small grant(s), and participate in monitoring implementation of small grants.

Persons Involved

Individual advisory group members are invited, based on their interests and expertise. Members represent their organization. To maximize continuity and effectiveness, every effort will be made to ensure consistent participation by the same individuals over time.

[list members – names, job titles, organizations]

Organization

1) **Timeframes:** The Advisory Group will form in *[month, year]* and continue its work for one calendar year (12 months). In month 10, continuation of the Advisory Group will be discussed among group members. The group may choose to disband or continue in some form, depending on local needs.

2) **Meetings:** *[Specify when and where – must meet at least every 2 months].* Meetings will generally run for one hour, chaired by ARC staff. ARC will distribute the agenda in advance, with input from members. ARC is responsible for compiling meeting minutes, indicating any action points, and distributing to all members within one week after each meeting.

3) **Meeting agenda items:** Regular meetings will generally include the following agenda items. In addition to these regular discussions, there will be one special (and longer) meeting to discuss small grant proposals.
    - Discussion and planning for technical and other support to GBV Network
    - Updates on capacity building with local partners; this involves information sharing among members, determining areas of collaboration, avoiding duplications, and striving to meet the capacity building and support needs of local/national GBV groups
    - Discussion, planning, coordination of capacity building and training, networking, support, and other linkages with local and national GBV actors
    - Small grant project monitoring/reporting

4) **Resources:** [Determine what resources might be needed – materials, etc. Who will provide? Shared among members? ARC provides?]

5) **Reporting Guidelines:** Each year, ARC will draft a report of activities and outcomes for discussion and review by the committee. The final report will be submitted to ARC headquarters for reporting to the donor.

Tool 6.2

Principles of Partnership[59] (*Endorsed by the Global Humanitarian Platform, 12 July 2007)*

The *Global Humanitarian Platform*, created in July 2006, brings together UN and non-UN humanitarian organizations on an equal footing.

- → Striving to enhance the effectiveness of humanitarian action, based on an ethical obligation and accountability to the populations we serve,
- → Acknowledging diversity as an asset of the humanitarian community and recognizing the interdependence among humanitarian organizations,
- → Committed to building and nurturing an effective partnership,

… the organizations participating in the **Global Humanitarian Platform** agree to base their partnership on the following principles:

Equality

Equality requires mutual respect between members of the partnership irrespective of size and power. The participants must respect each other's mandates, obligations and independence and recognize each other's constraints and commitments. Mutual respect must not preclude organizations from engaging in constructive dissent.

Transparency

Transparency is achieved through dialogue (on equal footing), with an emphasis on early consultations and early sharing of information. Communications and transparency, including financial transparency, increase the level of trust among organizations.

Result-oriented approach

Effective humanitarian action must be reality-based and action-oriented. This requires result-oriented coordination based on effective capabilities and concrete operational capacities.

Responsibility

Humanitarian organizations have an ethical obligation to each other to accomplish their tasks responsibly, with integrity and in a relevant and appropriate way. They must make sure they commit to activities only when they have the means, competencies, skills, and capacity to deliver on their commitments. Decisive and robust prevention of abuses committed by humanitarians must also be a constant effort.

Complementarity

The diversity of the humanitarian community is an asset if we build on our comparative advantages and complement each other’s contributions. Local capacity is one of the main assets to enhance and on which to build. Whenever possible, humanitarian organizations should strive to make it an integral part in emergency response. Language and cultural barriers must be overcome.

[59] http://www.icva.ch/pop.html#tools

✂ACTIVITY SEVEN: Small Grants

Overview

The intention of small grants is to strengthen the ability of local partners to carry out their activities. The small grants funding amounts and timelines will vary year-to-year depending on ARC's available funding.

Depending on the amount of funding and time available in the grant cycle small grants can be short or long term. Some examples of short-term projects might be:

- Adapt IEC/BCC materials from another setting to the local context/ local languages, or facilitate a workshop with partner and representatives from the community to develop and produce their own IEC/BCC materials;
- Trip to the capital to establish more formal links with established national groups (e.g., women's organizations, lawyer's groups, advocacy groups); this might be to arrange for technical training or networking;
- Pay for a local expert from the capital or a nearby country to come and do some type of training that is needed and unavailable in the setting;
- A planning workshop with local/national groups to discuss and plan for increasing the capacity of local/national groups and/or forming a public advocacy campaign.

Some examples of long-term projects might be:

- Undertake a specific aspect of programmatic response (e.g. peer education, community security networks, counseling survivors, providing mediation services, counseling and testing for HIV etc);
- Provide training with regular follow-up and monitoring.

Tools

1.1 ARC Grant Applications Review Form
1.2 Proposal for Small Grant
1.3 Sample Contract for Small Grant

How to

It should be well understood that working with your partner to complete the proposal is, in itself, capacity building – and will take some time. It is important that you set aside time in your busy schedule to allow for consultation with your partner and any training or technical advising they may need. The ultimate goal will be for the partner to link with other donors, so this is an important and timely opportunity to share information with the partner about program development and donor liaison, if they don't already have some experience in this area.

1) ARC explains the idea of the small grant to the partner and encourages the partner to discuss it internally and come up with ideas and information about general costs for each idea. The focus should be on the technical and organizational needs and gaps, not on the cost or amount of money needed for each activity.

2) The partner identifies a small and short-term project that it can develop, implement, and complete before the deadline (to be determined each year, dependent on funding).

3) The partner discusses this idea with the ARC and with any other partners that will be involved in its implementation.

4) With ARC's consultation, assistance, training, and support, the partner completes a proposal, using the template for Small Grant Proposal[60], and submits it to ARC.

5) ARC conducts an initial review of the proposal to be sure it is clear and complete. If not, meet with the partner and ask for revisions.

6) The advisory/coordination committee or equivalent, reviews small grant proposal(s)[61], provides any feedback and makes recommendations. The primary purpose of this group review is to gain buy-in and support for the small grant project.

7) The advisory/coordination committee or equivalent uses the ARC Grant Applications Review Form[62] to appraise the eligibility of a proposal for a subgrant. This provides written documentation of the review process [63].

8) If needed, ARC discusses the advisory committee feedback and recommendations with the partner. At this point, there might be one final revision of the proposal.

9) ARC will make the final decision and award small grant(s).

10) ARC and the partner enter into a written contract for the funds. This contract or Sub Grant Agreement is from the ARC Sub Grant Manual[64] and is additional to the MOU.

11) ARC, with support from the advisory/coordination committee or equivalent, monitors small grant implementation and provides mentoring and support where necessary. It is most important at this point that if the partner is doing GBV work, that they can do so in a safe and ethical manner.

12) Partner provides periodic and final reports as described in their proposal.

13) ARC and the advisory/coordination committee or equivalent, review the final project report and provide any feedback to the partner.

Key Lessons

√ ARC staff must understand the proposal format and how to fill it ***before*** presenting it to the partner. The assumption is that the ARC program coordinators/managers already know how to write proposals and are familiar with the sections and requirements in this small grants proposal format. If this assumption is incorrect, you should first seek information and guidance from the program officers in your country program and/or other staff who are familiar with proposal writing.

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60 This format is in line with Appendix One of the ARC Sub Grant Manual 'Sample Request for Application'

61 This process of review and evaluation is required by the ARC Sub Grant Manual (pp.5-9) however, depending on the size and scope of the grant it can be modified..

62 From the ARC Sub Grant Manual (p. 5)

63 This fulfills the requirements outlined in the ARC Sub Grant Manual (p.9) to document any deficiencies identified in the application for funding as well as an action plan with steps to overcome them for the potential subgrantee in writing.

64 The ARC Sub Grant Agreement (Appendix 5-6) of the ARC Sub Grant Manual refers to extra compliance issues such as procurement, reporting, accounting and records and communications products.

- √ Each ARC country team will need to make their own assessment about the partner's abilities – and it may be that the partner lacks any capacity to manage funds. In this case, it is acceptable for the partner to develop and implement the project while ARC manages the funds. This means that ARC would not give funds directly to the partner, but instead will pay the bills or make purchases based on the partner's budget and requests. This type of arrangement is an excellent opportunity to teach the partner about financial and budget management with small funds. In the GBV Partnership project, grants have been very small scale and largely managed by ARC.

- √ It may be necessary to adapt the small grants application according to the capacity of the partner and local context. If more than one small grant will be awarded to one partner, over a period of time, it may be useful to first simplify the application and then add detail and additional sections each time the partner applies. This will encourage their learning and ability to write proposals, since this is such an important part of humanitarian/non-profit work.

Tool 7.1 ARC Grant Applications Review Form[65]

To ensure transparency, it is recommended that ARC Country Offices use a clear guide to appraise the eligibility of an application for a sub-grant. It will be necessary to weigh the criteria, in order to make awards in a competitive environment. ARC recommends suggested general weightings for each criterion below, and is willing to advise each focus country on appropriate weightings.

RANK	Comments	Unsatisfactory (2 points)	Satisfactory (3 point)	Exemplary (4 points)
Complements ARC Mission Statement:				
1. Organization has demonstrated commitment to participation: have clients and other stakeholders participated in the development of the project proposal?				
2. Have mechanisms been developed for participation of the beneficiaries in program implementation and evaluation?				
3. Organization highlights connections with ARC in proposal				
Quality of Project Design:				
4. Does the proposal clearly describe the background and experience of NGO in relation to the proposed activity?				
5. Proposal clearly describes feasible technical goals and objectives.				
6. How well are outputs, inputs and activities linked to objectives?				
7. Are the beneficiaries, both direct and indirect, identified and divided by sex and target population?				
8. How well do activities use existing community structures and encourage community self-reliance through local participation?				
9. The time frame for implementation is feasible based on the proposed activities.				

65 ARC Sub Grant manual, p.p.5 -8

RANK	Comments	Unsatisfactory (2 points)	Satisfactory (3 point)	Exemplary (4 points)
10. Have local beliefs and practices been considered in the design of the project?				
11. Does the project encourage better use of local knowledge, skills and resources?				
12. Does the proposal make clear how needs were identified and by whom?				
Likelihood benefits are realized:				
13. Is monitoring/evaluation of proposed activities adequately addressed?				
14. Is the project impact measurable?				
15. Does the proposal identify potential risks and critical constraints to activities being realized?				
16. Does the implementing organization have a service delivery capability track record?				
17. Are the objectives technically possible to achieve given the capacity of the potential sub-grantee?				
18. Is there appropriate technical infrastructure to support the project?				
19. Does the potential sub-grantee have the technical skills and staff to carry out the activities?				
20. Has a monitoring plan with all relevant data been identified and responsibilities for collection been included?				
21. Has the proposal considered the external forces on the beneficiaries, such as pressures for economically active people to migrate to urban areas, and internal conflicts (e.g. among different social groups) within the community which may determine the success or failure of the project?				

RANK	Comments	Unsatisfactory (2 points)	Satisfactory (3 point)	Exemplary (4 points)
Value for Money:				
22. Is the budget well designed and realistic?				
23. Is the budget appropriate for the objectives?				
24. Are the costs necessary and appropriate for the outcomes being delivered?				
25. Is this applicant able to provide cost share?				
Overall Ranking:				
26. From your understanding of the situation in the proposed project site/geographic region, the proposed project is timely and appropriate.				
Total Points:				

______ No, I do not recommend this proposal for funding.

______ Yes, I recommend this proposal for funding as it is.

______ I recommend this proposal for funding with the following recommendations or conditions. (For example: changes in the project plan or budget--describe fully.)

Recommendations for strengthening the project:

Conditions:

Additional Comments:

Reviewer: ____

Date: __________________

Tool 7.2 Proposal for Small Grant[66]

1) SUMMARY

Only one page for this section

Contact Information

Name of primary contact person
Name of organization
Address
Email
Telephone

Date this proposal is submitted

Project time frame *(number of months)*

Submitted to *(Contact person at ARC)*

Name of proposed project

Country and location of project (field site/camp/town/area)

Target group(s) for the project
(These are the intended "beneficiaries" of the project. Include the types of individuals/groups, estimated numbers, age groups, and/or other information).

Total Funds Requested *(in US Dollars)*

Partners
List here any partners (CBOs, NGOs, UN agencies, government ministries, etc.) you will work with to implement this project (this is not a list of all partners for all projects you have).

[66] This is a simplified version of Appendix One of ARC Sub Grant Manual, Sample Request for Application

Brief summary description of the project

1 paragraph description of the project without a lot of details; an overview or summary and be clear if this is a new or existing project

2) PROBLEM STATEMENT (Rationale)

No more than ½ page

This should be a short description of the problem that this project will seek to address. This section should justify the need for your proposed project. The reader should be able to read this section and understand why you are making this proposal, why the project is needed.

3) BACKGROUND

This section should include:

- *An explanation of how the project relates to your other activities.*
- *A description of your organization's ability to carry out this project, including whether it has undertaken projects of these kinds before. Please describe them.*
- *Evidence that this project supplements or complements but does not duplicate existing projects*
- *A description of the involvement of relevant district level authorities and other relevant NGOs or public sector stakeholders.*

4) IMPLEMENTATION PLAN

Describe in detail how the project will be implemented. Include a schedule of projected monthly activities and state who will be responsible for carrying them out.

If additional staff and/or commodities will be needed, state how and when they will be provided.

5) GOAL AND OBJECTIVES

Goal

(One sentence. The goal describes the *Change in the health, social, economic status of the population of interest, identifying the desired long term impact)*

Objectives

Objectives describe the change(s) you expect to see in the knowledge, attitudes, skills, and behavior of the population of interest. Objectives should be Specific, Measurable, Attainable, Relevant, and Time-bound. You should have at least one and no more than two objectives for this short project.

6) Activities and Outputs

Activities	Timeline	Expected Outputs	Output Indicator	Means of Verification
Objective 1. *(write your objective here)*				
1.	*When you will carry out the activity – (from and to)*	*Definition: Products and services that must be in place for the objectives and goal to occur, the deliverables*	*Consult with your ARC partner to develop indicators for the project*	*List/describe record keeping, reports, and other documents/tools you will use to monitor and verify your outputs*
2.				
3.				
4.				
5.				
(add more rows for more activities if needed)				

Objective 2 (if you have a second objective, put it here)				
1.				
2.				
3.				
4.				
5.				

7) RESULTS AND IMPACT

½ page at most

Describe the results – or "impact" – you expect to see by the end of this project. Give at least one indicator for this impact and explain how you will measure that indicator.

8) PROJECT MANAGEMENT

1 page at most

Describe how your organization will manage the project, from start to finish. Include information about which staff will implement the activities, supervise, monitor, oversee, and manage the project, including financial management (if ARC will be giving funds directly to your organization). Attach an organizational chart to show reporting relationships among staff and leadership. Also attach copies of job descriptions for all staff who will be involved in the project.

9) MONITORING AND EVALUATION

1 page at most

Describe how you monitor implementation of the project and how you will monitor outputs and impact/results (what kinds of records and reports, who will fill them, who will receives and review them, etc.).

10) BUDGET

Detailed Budget

*In table format, show your budget – **in US Dollars** - for the activities you are proposing. The following is a sample format you can use. The Bold headings in blue highlight are line items. The rows under each line item are for listing each specific type of cost)*

Budget Line Items	Type of Unit	Unit Cost	Number of Units	TOTAL AMOUNT	Amount Requested from ARC	Funds and in-kind from other sources
Staff						
List each staff person involved						
Travel						
Any transportation costs						
Training						
Materials, supplies, venue, tea breaks, honorarium for trainer, etc						
Supplies and Materials						
Office supplies, awareness raising materials, translation of materials, etc.						
GRAND TOTAL						

Budget narrative

List each item in the detailed budget above and give a one sentence description of the item. Include information about any items/costs that will be funded through other sources (and specify the source of the funds) and any volunteer or in-kind contributions from your organization.

🛠 Tool 7.3 Sample Contract for Small Grant

Please see Appendix 6 of the ARC Sub Grant Manual, ‘Sub Grant Agreement’.

ACTIVITY EIGHT: Strengthening Networks

Overview

Networks serve a number of purposes including uniting groups with common aims, strengthening their advocacy efforts to promote policy change, and coordinating their activities to improve service delivery. ARC views the establishment of local, regional and national networks as a key strategy for building capacity and sustainability

In ARC's view of partnership, networks must be pursued in tandem with foundational capacity building activities that strengthen organizational and technical capacity. Networks are built on common vision and common experience. Mechanisms to support networks can take many forms and this will depend on the setting and the level of network. Mechanisms could include informal regular meetings, formal meetings, or web based virtual meetings/forums.

There are different types of networks. Some of these, their main characteristics and strengths are outlined in the table[67] below:

TYPE	CHARACTERISTIC	STRENGTHS
Local Alliance	Partners from all main sectors given equity of involvement and decision-making responsibility within an independent formal structure operating locally	• Strong sense of local ownership and self-determination • Builds and institutionalizes local collaboration
Global Alliance	As above but operating internationally	• Economies of scale • Builds strategic links between players who together bring power, resources and influence
Dispersed	Partners have agreed a common aim but they rarely meet face-to-face. Instead they operate by different partners (or sub-groups of partners) being mandated to complete tasks on behalf of the partnership to which they are ultimately accountable	• Maximum flexibility • Freedom of operation and self-determination for partners

[67] Adapted from 'The Partnering Toolbook', 2003, p.30

TYPE	CHARACTERISTIC	STRENGTHS
Temporary	The partnership structure is designed for obsolescence. It is time-specific and therefore dispensed with once the agreed program of work is completed	• Intensity of involvement • Focus on immediate and visible results
Consultative	The 'task' of the partnership institution is to provide advice and / or a sounding board for new ideas rather than to develop and implement a project	• Built into the political process • Authority drawn from consensus rather than power base
Intermediary	An organization operating between and on behalf of partners and many other players. Essentially it supports the development of a number of independent partnership initiatives rather than being a partnership itself	• A highly 'empowering' model • Helps to build a 'culture' of collaboration • Creates appropriate and flexible support structures
Learning	The partnership is established with the primary goal of learning and sharing information arising from partnership experiences	• Flexible • Building knowledge and capacity as a primary aim

Tools

There are no specific or standard ARC tools for building local networks, however there are a number of resources that may be useful:

- HIV/AIDS Alliance
  - http://www.aidsalliance.org
- Raising Voices GBV Prevention Network
  - http://www.raisingvoices.org/women/gbv_prevention.php

How to

Local Networks:

1) Assess your context. Consider how many existing forums or meetings there are for coordination and networking. How effective are they? What makes them or doesn't make them effective? Do local organizations attend these meetings? Do they hold their own meetings? Are they capital based? Or field-site based? National? Regional? International?

2) Only after you have considered your context will you be able to see where you can best strengthen or develop local network (always prioritizing working with what exists and not creating new structures!)

3) ARC's role may be to facilitate an opportunity for local organizations to come together and consider the possibility of a network. ARC may need to remain involved in organizing and facilitating meetings until the local network becomes locally led and managed. Key things to discuss include:

- What are the common aims of the potential members?
- What, if any benefits would a network bring to them?
- What commitments would be required from them?
- What would the network look like? Format, frequency etc.
- Who would steer the network?
- How would network members communicate?

4) ARC can highlight the possible benefits of a network including coordinating activities, joint trainings, sharing of resources, and sharing lessons, case studies, ideas for constructive and creative problem solving. Networks are often useful for mutual support within technical areas, such as GBV. Since GBV is such a difficult and emotionally draining area to work, support networks between field staff and people in the same field can often help reduce burnout, promote self-care, increase technical knowledge and confidence, and promote best practices and learning.

5) ARC can also assist with linkages between local networks and global networks.

Global Networks:

1) If a local network is established and functioning, members may be interested in also being involved in a global network. Global networks may also be important for ARC staff who are working on similar issues in very different contexts.

2) If this is the case, research the existence of global networks that may be relevant. ARC HQ staff will be able to assist with this.

3) Global networks can also be used for ARC program managers/coordinators for their own professional development and support.

Key Lessons

√ Locally, the network should complement and enhance the work of similar - but different - groups that may already exist in these settings. One example of such groups is the GBV coordinating body (e.g., GBV working group or GBV coordination group). The network meetings should be separate from the coordination meetings, to avoid confusion and to allow different members to participate (i.e., coordination meetings may be small and targeted; network meetings might be larger and more inclusive).

√ In the first year of the project the local GBV network has played out differently in each country. Informal and social networks were seen as the best model. In Thailand, organizations came together over an informal dinner and shared knowledge, skills, and provided each of mutual support through this avenue.

√ CSO members may not have access to computers or be computer literate. In order to access global networks which may be computer based, ARC should be facilitating their access and building their capacity in this regard. This is important, because global networks can also greatly benefit from the participation of local actors.

√ CSO members may be shy or insecure about their language skills, writing skills or their knowledge, and may be reluctant to submit articles or stories to web based networks. ARC should be supporting them to write and edit their submissions.

✂ACTIVITY NINE: Sustainability of partnerships[68]

Overview

The dynamic nature of conflict-affected settings is challenging for the sustainability of partnerships. Conflict affected settings are characterized by high turn over of staff and subsequent changes in human resource capacity; a rapidly shifting humanitarian playing field where CSOs mushroom and new actors arrive with often competing interests; poor infrastructure and/or security concerns affecting access to beneficiaries; and short funding cycles, usually around 12 months in duration with the possibility, although not guarantee, of extension.

These challenges make the issue of sustainability or, 'moving on'[69], important for partners to consider from the very outset of the partnership. Possible future scenarios should be discussed between partners in the negotiation stage, referred to in the initial partnership agreement (MOU), and kept on the agenda. The availability of capacity and resources must be frequently monitored, as should the actual benefits of the partnership.

The 'moving on' options will depend on the context and nature of the arrangement. Three possible 'moving on' scenarios are outlined below[70]:

Scenario	Description
1. Individual Partner Organizations Leave The Partnership	One organization leaves a partnership, creating a need to replace, or to '*handover*' the contributions of that organization. This could mean that a new organization comes in to replace it or the remaining organizations are realigned to take over the responsibilities. This could happen when an INGO works with a local partner on an initial program of work and then wraps up their operations, often due to a lack of available funding, handing over to a more permanent actor e.g. a government department or local association. It could also happen for other reasons, e.g. the dissolution of one of the partner organizations for internal political reasons, or a change in focus of one of the partner organizations. For this process to be successful, there should be a long lead up time and sufficient resources allocated to support the process (especially time). It is therefore essential that: a) Possible handovers are discussed at the start of a partnership b) There is strong and frequent communication between partners to flag any potential reasons why one partner organization may leave and to plan sufficiently for the departure.
Scenario	**Description**

[68] This section is adapted from 'The Partnering Toolbook', Tennyson, 2003, p. 27

[69] ibid.

[70] Adapted from 'The Partnering Toolbook', Tennyson, 2003, p. 27 and 'Sustainability' module from the Sub-grant Management and Monitoring Workshop, Nairobi, Kenya, April 21-24th 2009, USAID

2. Partnership Disbands	a) Both partners may decide that one of the partner organizations is now best placed to work independently. In this case, the partners will agree to *hand over* the partnership's activities and assets to this partner. Key individuals from the departing organizations may stay involved as trustees or in an advisory capacity. OR b) Both partners decide to create a completely new institution e.g. a local alliance, to take over the management and development of the partnership. As above, individuals from the partnership may take on trustee or advisory roles - at least during the handover phase.
3. Partnership Concludes	a) Objectives of the partnership are successfully achieved. In these cases the end or termination of the partnership is a sign of achievement, not failure. OR b) A partnership is terminated because it is unable to achieve its goals for whatever reason or one of the partners acts in a way that is unacceptable to the other, e.g. commits fraud. More information on handling these kinds of situation is included in Activity 11: Managing Conflict

Tools

There are no specific or standard ARC tools.

How to

1) Raise the issue of sustainability in initial discussions with partners. Remember that the nature of the partnership and the needs of the partners can change over time Discuss options from the outset with your partner. An MOU could even define an end point in the partnership that can be re- assessed. This may be at the end of a funding cycle or another clear point[71].

2) Keep the issue of sustainability on the agenda and maintain communications about changing situations that might impact on the current status quo. Ask the following key questions about the partnership[72]:

a. Is the partnership producing mutual benefits that are valued by partners, beneficiaries and external stakeholders (e.g. donors, government departments)?
b. Does the partnership have sufficient capacity to be maintained and to continue delivering valued services?
c. Can the partnership generate and maintain access to an ongoing flow of resources?
d. Is the partnership, in its current configuration the best, the right or the only option for sustaining the benefits and services initiated through the partnership?

3) If sustainability has been openly discussed from the very beginning of the partnership and at regular points along the way, then both parties are in a good position to plan for the most appropriate 'moving on' strategy, maximizing the chance of a successful transition.

[71] From 'CARE Building Partnerships in Conflict Affected Settings', May 2007, p.19, 20

[72] From 'Sustainability' module from the Sub-grant Management and Monitoring Workshop, Nairobi, Kenya, April 21-24th 2009, USAID.

Key Lessons

- √ Be clear about expectations for transition, handover, or ending the partnership from the beginning.
- √ Stay in communication over the life of the project about intentions and ideas for handover or transition.
- √ Promote the partnership to outside donors and organizations. Often partnerships can be sustained and re-invigorated with outside ideas, assistance, and support.
- √ Be realistic about the needs, capacities, and technical expertise of partners. Transitioning programs too fast can do more harm than good.
- √ Keep in mind the importance of sustainability during the initiation of the project. This will help you to design a program that is more effective in the long term.

ACTIVITY TEN: Managing Conflict

Overview

Conflict is an inevitable part of any relationship and is one of the challenges of partnership. Conflict can arise over issues where there is misunderstanding, or disagreement and is especially common over procurement or financial management issues. By facing the reality that conflict is likely, you can develop strategies for:

1) Avoiding conflict
2) Managing it when it arises

There are a number of strategies to adopt in a partnership to avoid conflict including holding joint trainings on conflict management; ensuring clearly understood policies for financial and procurement processes; maintaining clear and open lines of communication; and regular monitoring of the partnership.

Despite the best intentions to avoid conflict, it can still occur. Conflict does not always have to end in termination of a partnership. Conflict can trigger an 'unexpected and original response' and can actually transform a partnership into something 'better and stronger'[73]. In order to manage conflict it is necessary to identify the stage of conflict, assess the situation, and apply an appropriate negotiation strategy.

Tools

10.1 Training session – 'Understanding conflict'
10.2 Training session - 'Managing conflict'
10.3 Negotiation Check list

How to

Avoiding Conflict:

1) Acknowledge the possibility of conflict in the partnership from the very beginning and raise the issue early in a partnership by conducting a joint training on 'understanding conflict' (see Tool 10.1). This can also be a forum for raising some non-negotiables e.g. corruption, fraud etc.

2) Ensure that there are clear initial agreements on policies covering procurement and finance/admin including clear written policies and also training on these policies. These should also include systems for asset distribution and disposal[74]. It is vital that these policies are not merely disseminated but also clearly understood by partners. Where possible, these could be discussed and jointly developed by partners, emphasizing transparency from the outset[75].

3) If the overall aim of a partnership is capacity building, then 'the ability to self regulate is key'[76]. There should be assistance to help partners develop mechanisms for transparency that ensures accountability. Dedicating time and resources for this in the initial stages of a partnership is much preferable than trying to work backwards once something has happened.

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[73] From 'Sustainability' module from the Sub-grant Management and Monitoring Workshop, Nairobi, Kenya, April 21-24th 2009, USAID

[74] CARE Building Partnerships in Conflict Affected Settings, May 2007, p.19

[75] ibid

[76] Concern Guidance Note, 'Accountability and Governance', September 2004

Once corruption has occurred, it is 'difficult to avoid a witch-hunt'[77] which can ultimately corrode the trust between partners.

4) Roles and responsibilities of partners should be determined jointly and included in the MOU. This should include deciding which organization is responsible for which outputs and this should be included in the M&E system[78].
5) The lines of communication should be kept open by ensuring ongoing dialogue through regular meetings/conversations[79] where expectations are checked, especially when circumstances change e.g. access to resources[80]
6) Keep records of meetings, agreements, and decisions made.
7) Build the partnership on strong principles like the 'cement that holds the partnership together over time'[81]:
    - Mutual respect
    - Mutual accountability
    - Equity

Managing conflict:

1) Despite the best intentions to avoid conflict, it can and will still occur. In order to manage conflict it is necessary to address it early, identify the stage of conflict, decide on a mode for handling conflict, and apply a strategy of negotiation which is appropriate to the situation.

2) Equip both partners with the skills to manage conflict by holding a joint training on managing conflict (see Tool 10.2, p.119). This will introduce the philosophy of a 'win win' approach and provide a number of models to handle conflict depending on the different situation.

3) Negotiate a conflict in a principled way[82]. This involves:
   a. Separating the people from the problem – 'hard on the issue, easy on the person'[83].
      i. Be careful that a situation does not become an accusation
      ii. Try and see both sides of the story – recognize both your and the other party's perceptions
      iii. Recognize that emotions are involved. Don't react to outbursts and allow those involved to let off steam.
      iv. Remember the importance of communication – listen actively and acknowledge what has been said. Speak clearly and with purpose. Speak about yourself not about 'them'.
      v. Try and work together to solve the problem rather than become adversaries.
   b. Focus on Interests not Position
      i. Behind a given position are likely to be compatible as well as divergent interests. Find out what these are and consider the impact of the problem at the root of the conflict on these interests. Acknowledge the interests of both parties.

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[77] ibid
[78] CARE Building Partnerships in Conflict Affected Settings, May 2007, p.19
[79] 'The Partnering Toolbook', Tennyson, 2003, p.21
[80] CARE Building Partnerships in Conflict Affected Settings, May 2007, p.21
[81] 'The Partnering Toolbook', Tennyson, 2003, p.6
[82] This section from 'Principles Negotiation' modules from the Sub-grant Management and Monitoring Workshop, Nairobi, Kenya, April 21-24th 2009, USAID
[83] from 'Win Win Approach', a module from The Conflict Resolution Network, Chatswood, NSW, Australia. http://www.crnhq.org

c. Invent Options for Mutual Gain
    i. Try not to judge prematurely, search for a single answer or assume that one party's gain is another's loss.
    ii. Look for mutual gain – identify shared interests and dovetail differing interests.
d. Use Objective Criteria
    i. Standards of fairness, efficiency, empirical evidence increase the chance of a wise agreement
    ii. Use fair standards (eg professional standards, market value), choose criteria that apply to both sides, use fair procedures ('taking turns', drawing lots').
e. Negotiation will be easier if:
    i. There is already a good working relationship
    ii. There is already a good mutual understanding of interests
    iii. There is already good and frequent communication
    iv. There have been clear commitments made as to what you will do, will not do and want the other party to commit to.

8) Use the negotiation checklist (Tool 10.3, p.124) to assist you with negotiations.
9) If the conflict is unable to be managed between the two partners, it may be necessary to bring in an external and independent mediator. For example in the case of a labor dispute – this could be someone from the national labor tribunal.
10) Where there is conflict, it may help to discuss the issue with your supervisor (Country Director, Program Manager) or contact at headquarters. Merely discussing the matter with someone removed from the problem may be enough to give you some clarity and assist with a rational rather than emotional approach.
11) If there is no possible means of working through the conflict. Termination may be the only possibility. Sometimes a Win Win outcome is not possible. This is most likely to be in the case of blatant disregard for the partnership rules/conditions/principles as in the case of fraud or corruption. Applying all the conflict prevention strategies outlined in the section above will make it easier to justify any decision taken to terminate.
12) Termination = Last resort – but it is an option!

Key Lessons

√ Brainstorm the positive and negatives aspects of partnership, and ways in which each partner can learn from each other. This will create transparency from the outset and help to develop a trusting relationship between the two partners.

√ Ensure that a clear MOU is developed at the outset that clearly defines the partnership and spells out roles and responsibilities. It may, however, need to be reviewed and updated periodically.

√ Language and culture can be an obstacle to quality communication, so summarizing something your partner has just communicated can help ensure that the correct messages are being received and interpreted.

√ Create space and time for debriefing about the partnership and reflecting on lessons learned and challenges.

√ See challenges as an opportunity to improve the partnership and recognize that partnerships are difficult and not always a fast or convenient process.

🛠Tool 10.1 Understanding Conflict'[84]

Overview:

This is an exercise to conduct between ARC and a partner organization in order to:

1) Begin to understand conflict and acknowledge that conflict is a normal part of relationships.

2) It also contributes to the two organizations building an open/transparent relationship.

3) May provide insight to participants which can also be applied in their personal lives.

Time:

60 mins

Assumptions:

The partners have already conducted a number of mutual exercises and there is a level of comfort and safety already established.

How to:

1) Introduce the session explaining that the aim is to better understand conflict.

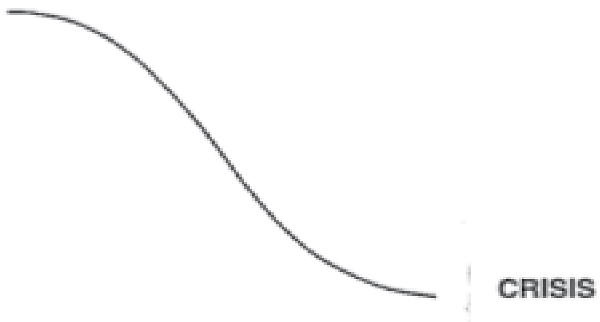
2) Ask participants to indicate with a show of hands who has experienced conflict, who hasn't and who would have liked to handle the conflict in a different way.

3) Explain that conflict is all around us, it's not something we can choose to have or not to have, it just is. We can't avoid it. What is important is developing ways to handle conflict.

4) Ask the participants to break into small groups (facilitator could assign random groups) and to reflect on their experiences of conflict. What does conflict mean to them? Ask them to think of a conflict that has been handled badly – what were the outcomes? Examples might include tension, stress, unresolved problems, resentment etc. Ask them to think of a conflict that has been handled constructively – what were the outcomes? Answers might include empowerment, achievement, openness and relaxation etc.

5) Bring participants back to the larger group. Ask them how they know when there is a conflict. Brainstorm (if the group is largely literate it may be appropriate to record the answers on a flip chart). Tell them that we are going to explore the range of signs, from those we can easily recognize to those that are more subtle. Draw a curve on the board and at the bottom write crisis.

[84] Adapted from 'Understanding Conflict', a module from The Conflict Resolution Network, Chatswood, NSW, Australia. http://www.crnhq.org

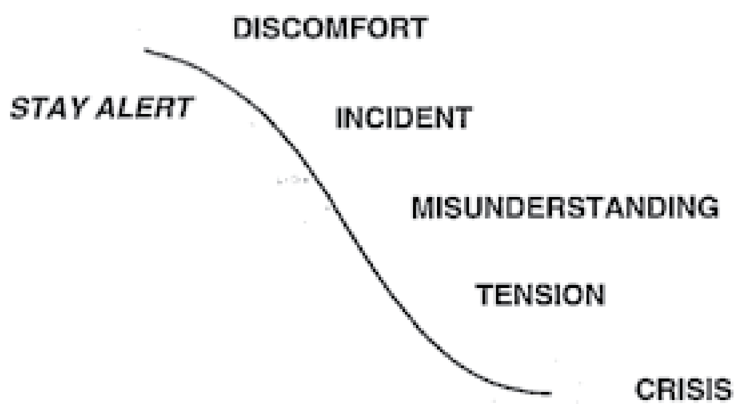


13) Ask participants what crisis is like – answers may include: not talking, physical attack, leaving a job etc.

14) Explain that there are obvious clues of unresolved conflict. If we stay alert for signs of conflict we can manage it before it gets to this stage.

- At the opposite end of the curve could be a feeling that things are not right. A discomfort. Write ***discomfort*** at the top of the curve.
- A little further down the curve could be something that has happened that has left you upset, or irritated. Write ***incident*** on the curve.
- Still further down may have been some confusion, lack of clarity about motives or intent. Write ***misunderstanding*** on the curve.
- Just before crisis may be the point where you think you'll explode if one more negative thing happens – a comment, a look, an event. There is a high level of tension in the relationship. Write ***tension*** on the curve.

15) Explain that it is important to look for the clues that there is conflict at the earlier stages – the discomfort or incident level. This gives a greater chance of a constructive rather than destructive outcome. It is important to 'stay alert' and choose an appropriate time and opportunity to handle the issue. Write ***stay alert*** beside the curve.



16) Tell participants that they are going to complete an exercise – 'The levels of conflict'. Ask them to think about a conflict they have experienced in their working life. If they are unable to do this for their working life, they may draw on an experience from their personal life. Can they identify which level it reached? Ask them to work individually to complete the exercise. If there

is a low level of literacy you can read out each question and give participants time to think about their answers.

Levels of conflict	
Discomfort	Are you thinking about a situation that is not sitting right with you? What are your thoughts and feelings about it? So far have you said very little about it?
Incident	Can you point to one or a few occasions where you have clashed over something? What was said that was upsetting?
Misunderstanding	Do you believe that the other person has misinterpreted your feelings/motives? How? Could you be misinterpreting the other persons? How?
Tension	Do you now hold a negative stance towards this person? Does each new interaction confirm your poor opinion of him/her? In what ways?
Crisis	Has a major explosion occurred? Were extreme measures threatened/executed? What? Was the outcome constructive or destructive? In what ways?

17) Ask participants if they can trace the development of the conflict by identifying clues at earlier levels. Ask them to work in pairs and discuss anything significant in the process.

18) Bring the group back together and wrap up emphasizing that:

- It is important to look for early clues to conflict. Stay alert.
- Greet conflict in a positive way, ready to learn something new or improve the relationship
- Identify the level of conflict – this may help in choosing an appropriate strategy.

Tool 10.2 'Handling Conflict'[85]

Overview:

This is an exercise to conduct between ARC and a partner organization in order to:

1) Discuss the types of conflict that may arise in the partnership
2) Consider strategies to these potential conflicts
3) It also contributes to the two organizations building an open/transparent relationship

Time:

60 mins

Assumptions:

The partners have already completed 'Understanding Conflict'

How to:

1) Introduce the session explaining that the aim is to examine ways of handling conflict.

2) Start with a short exercise, the 'Handshake exercise[86]' to stimulate thinking about how we tend to approach conflict.

   a. Put the participants in pairs (in some cultural contexts it may be more appropriate to put people in same sex pairs). Tell them that the aim of the exercise is to score as many points as **you** can and **you** score a point each time **you** bring the other persons hand to your hip.
   b. Ask for a volunteer and demonstrate the exercise for the group. Do not engage in a struggle but conduct the exercise in a neutral way so that people will project onto the instructions their natural inclination.
   c. Remind the participants to count their points and tell them they will have 30 seconds to complete the exercise.
   d. Tell them when to begin 'Ready, set go!' and when 30 seconds is up tell them to 'Stop!'.
   e. Ask participants to return to their seats for discussion. Ask the following questions:
      i. Who scored more than 50 points?
      ii. Who scored less than 10?
      iii. How did you do it?
      iv. Ask how they interpreted 'you' in the exercise? As an individual? A pair? A group?
      v. Did the idea of winning imply losing too? For someone to win did someone have to lose?
      vi. Who discussed it with their partner? What was discussed? Who changed strategy during the exercise? Why?
   f. After a hopefully lively discussion, conclude with the following points:

[85] Adapted from 'Handling Conflict'; 'Principles of Negotiation' modules from the Sub-grant Management and Monitoring Workshop, Nairobi, Kenya, April 21-24th 2009, USAID and 'The Win Win Approach', a module from The Conflict Resolution Network, Chatswood, NSW, Australia. http://www.crnhq.org

[86] from The Win Win Approach', a module from The Conflict Resolution Network, Chatswood, NSW, Australia. http://www.crnhq.org

i. When we are in a conflict, we frequently approach it thinking that one person/group will win and the other will lose. But in reality, it is possible to interpret win in a number of ways and behave accordingly.
ii. Viewing conflict as 'winning over' rather than 'wining with' is problematic and much less constructive to achieving larger goals.

3) With this 'win win' approach in mind, introduce the Thomas Kilman[87] five modes of handling conflict. Explain that these five modes may be useful in different situations.

a. Competing:
   i. Assertive and uncooperative
   ii. Pursue own concerns at expense of others
   iii. Using whatever power seems appropriate to win his/her position
   iv. May be standing up for rights, defending a deeply held belief, or trying to win
b. Collaborating
   i. Assertive and cooperative
   ii. Working with the other person to find a solution that satisfies both
   iii. Seeking and addressing underlying concerns of both parties
   iv. Might include exploring a disagreement to learn from other; resolving a situation that might lead them to compete for resources; solving an interpersonal problem
c. Compromising
   i. Intermediate assertiveness and cooperation
   ii. Seeks expedient, mutually acceptable solution
   iii. Might mean splitting the difference, exchanging concessions or seeking a quick middle ground
d. Avoiding
   i. Unassertive and uncooperative
   ii. Does not pursue concerns of either party
   iii. Does not address the conflict
   iv. May be sidestepping, postponing or withdrawing
e. Accommodating
   i. Unassertive and cooperative
   ii. Neglects one's concerns for concerns of other
   iii. Self sacrifice
   iv. May be generosity or charity; obeying or yielding to another's view

4) Once you have outlined the modes of handling conflict. Ask participants to think about their usual mode of conflict handling? Remind them of the previous session on understanding conflict and the scenarios they referred to. Ask them to think about when it has been most effective and when it has been less effective. For example, they may have adopted an avoiding mode at the incident level.

[87] This section from 'Handling Conflict' module from the Sub-grant Management and Monitoring Workshop, Nairobi, Kenya, April 21-24th 2009, USAID

5) Break the participants into five smaller groups. Each group will be assigned one mode and will discuss:

- Benefits and potential pitfalls
- Situations in which it may be effective
- Whether they think it would be a good mode to use throughout the partnership. Why/why not? In what sort of situations?

Give them 10 minutes then bring the larger group together to share their responses.

6) Summarize the responses of the groups and highlight the modes the group considers most effective and when. Answers could those outlined in Table One below.

7) Conclude by drawing out the modes that have been identified as most useful for the partnership and the sorts of situations to which these may apply. E.g. competing mode when there is a case of fraud committed by a partner; collaborating when there is a conflict over the future direction of the program.

TABLE ONE

Mode	Benefits	Pitfalls
Competing	Useful when: • A quick decision is vital, e.g., an emergency; • Important and unpopular courses of action are needed, e.g., cost cutting or **disciplinary action;** • Non-competitive behavior may be taken advantage of	Be careful that you don't cut yourself off from important information, opinions and other learning.
Collaborating	Useful when: • The concerns of both parties are too important to be compromised and there's a need for an integrative solution. • Your objective is to learn, test assumptions and understand others' views • You want the collective insights of people with differing perspectives on a problem • You want to gain commitment by shaping a consensual decision • You need to work through hard feelings that interfere with a relationship	Be careful to invest the time and energy required for a collaborative solution in a problem that warrants the investment; make sure that collaboration does not become a justification for risk avoidance, indecisiveness, postponing action. Collaboration can bring positive results from conflict. Commitment is often the product of having ones concerns reflected in decisions or policies.
Compromising	Useful when: • Goals are moderately important but not so important to justify the effort or potential disruption involved in being more assertive • There are two sides with equal power, each strongly committed to mutually exclusive goals • You need a temporary settlement of a complex issues • You need an expedient solution under time pressure • Backup to collaboration or competition	Be careful to keep in mind how a compromise affects principles, values, long term objectives as well as taking care of an immediate issue in a way that is immediately practical. Take care that an emphasis on give and take does not create a culture of gamesmanship, score keeping, undermining a focus on issues and/or interpersonal trust.

Mode	Benefits	Pitfalls
Avoiding	Useful when: • An issue is unimportant or there are more important priorities • There is no chance of satisfying your concern • Costs of confronting a conflict outweigh the benefits of its resolution • People need to cool down to regain perspective and composure and to get to a productive level • Gathering more information outweighs the advantages of an immediate decision • Others can resolve the conflict more effectively • The issue seems tangential or is symptomatic of a more basic issue	Be careful that coordination does not suffer because issues are not being addressed. Make sure that important decisions don't get made by default. Ensure that your intentions are clear: delegate decisions that need to be made, but not by you. Make sure that you understand and accept the impact on staff of not deciding.
Accommodating	Useful when: • You're wrong and there's a better position • The issue is more important to the other person than to you; to satisfy a need of others, build goodwill and maintain a cooperative relationship • You want to build social credits for more important issues • You are outmatched and persisting would damage your case • Preserving harmony and avoiding disruption are especially important • You can allow people to experiment and learn from their success/failure	Be careful that your ideas and concerns are heard; don't deprive the organization of your potential contributions and don't deprive yourself of your influence, respect and recognition. Pay attention to the consequences of accommodating to yourself, your organization or the partnership.

Tool 10.3 Negotiation Planning Worksheet[88]

1) Describe the issue in the partnership that you would like to negotiate

a. What is the situation?

b. Why does it need to be resolved?

2) Separate the People from the Problem

a. What are the relationship issues that need to be considered? (Perceptions (ours and theirs); emotions; power differences, communication styles and history)

b. What are the substantive issues that need to be considered?

3) Focus on Interests not Positions

a. What positions have we each taken on this issue in the past?

b. What positions are we each likely to take now?

c. What are the major interests underneath the stated positions? (why do we hold one position; why not another?)

d. What are our common interests?

e. What are our diverging interests?

[88] from 'Negotiation' module from the Sub-grant Management and Monitoring Workshop, Nairobi, Kenya, April 21-24th 2009, USAID

f. What interests can be dovetailed?

4) What options can we generate that address mutual interests?

a. How can we begin to consider options rather than single solutions?

b. What are some options that might be considered?

c. How can we assess these options?

5) What standards can we use to ensure a wise and durable solution?

a. What is a reasonable process?

b. What is a reasonable solution?

6) What specific steps should now be followed to complete the negotiation?

7) Who should be involved in each step?

SECTION FOUR - Monitoring & Evaluation

✂ Activity ELEVEN

Overview

Monitoring and Evaluation (M&E) is an essential part of the project management cycle in aid and development work. The purpose of M&E in your capacity building activities is to identify and understand changes in capacity over time. Are we accomplishing what we intended? Is the organization getting stronger?

An M&E framework should be developed as part of the project design. It should be clear from the beginning:

1) What you want to know about?
   - The IMPACT
     - The changes that are happening in the lives of people as a result of a project. Includes positive, negative, intended and unintended.
   - The PROCESS:
     - Progress against indicators, problems or issues that have arisen and what could be done to address them
     - Any problems faced by partners. It is also essential to provide an opportunity to discuss how they could be solved. This is part of the capacity building process[89].
2) How you will find out about these things?
   - Methods/Tools used
3) Who is responsible for finding out (collecting and analyzing) and when?

1) What do you want to know about?

In order to be clear about what we want to know about, it is helpful to refer to a conceptual framework. Systematic M&E of capacity building interventions for local organizations in conflict-affected settings is rare and there are no widely recognized standard tools or methods[90]. In order to think about M&E of capacity building, ARC suggests the use of a 'ripple model'[91]. This model is based on the premise that a capacity building intervention is like a drop of rain landing in a pool of water: it causes a series of ripples that flow outwards, creating change[92]. There are three main ripples:

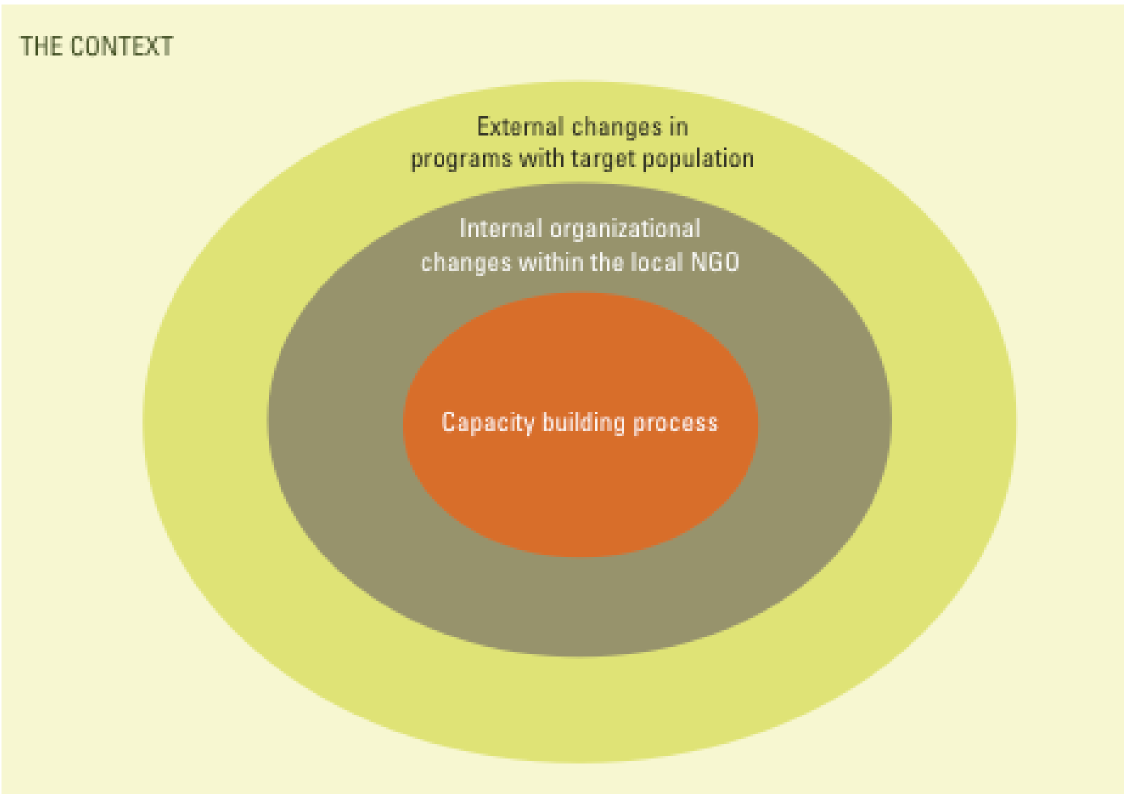
1) Capacity building process
2) Internal organizational change within the local organization
3) External changes in programs at the level of the target population.

[89] Adapted from Oxfam Australia Program Management Manual (PMM) Version 3, May 2007, p.69
[90] 'Monitoring and Evaluation of NGO Capacity Building Interventions in Conflict Settings', JSI, 2009
[91] James (2001) in Monitoring and Evaluation of NGO Capacity Building Interventions in Conflict Settings', JSI, 2009
[92] ibid.

A full evaluation should examine all three ripples as well as the impact of context, which will determine the shape, and size of each ripple.

The Ripple Model[93]

Demonstrates the three ripples caused by a capacity building intervention.



Partnerships can be 'broken down' with reference to the Ripple model – the different activities or aspects of the project can be aligned with a particular ripple.

It is then easier to imagine the kinds of monitoring and evaluation questions which could be asked to obtain information on the impact and process.

This will help when developing a monitoring and evaluation plan – particularly with the selection of indicators and tools.

[93] Adapted from Monitoring and Evaluation of NGO Capacity Building Interventions in Conflict Settings', JSI, 2009

Table Two: How Ripple Model relates to Partnership

Ripple	Description of Ripple[94]	What aspects/activities of Project to look at	Qs to ask for M&E
RIPPLE 1 Capacity Building Process	Focuses on the *process* of building capacity: • The quality of the capacity building activities. How was the process for both parties? Refer back to the principles of partnership in Section One – was the process respectful? Accountable? Were power inequalities acknowledged and was there an attempt to overcome them? This is important to monitor because it will affect the outcomes of capacity building interventions and therefore impacts on the desired outcome in the target population. • The quantity of the capacity building activities. How many were conducted? What types of activities were they? • Indicators should be developed together – INGO and partner. While there should be a focus on participatory methods, this may be challenging in an emergency phase, however, this is important to strive for as it will set the stage and lay a good foundation of trust for the relationship in the post conflict phase.	• Selection and Engagement process • CB assessment and planning process • Advisory Committee • Small Grants component • Networks • Specific capacity building activities	Were the activities conducted in accordance with the logframe? What was the quality of the process like? *How it was established, conducted, managed etc.*

[94] ibid.

Ripple	Description of Ripple[95]	What aspects/activities of Project to look at	Qs to ask for M&E
RIPPLE 2 Internal Change within the Local Organization	This should be the main focus of M&E. Focuses on the SCORE tool key determinants. Indicators should be developed jointly with the partner.	Organizational and technical capacity of the partner.	What changes have taken place within the organization in terms of organizational & technical capacity (knowledge, attitudes and practices
RIPPLE 3 Changes in Programs with Target Population	Focuses on ultimate impact of the capacity building intervention on the target population. Timeframe for carrying out this kind of evaluation is longer and more challenging. May need to make 'plausible associations' taking a 'leap of faith' in tracing an assumed pathway between changes in capacity of an organization and then ultimately impact on the target population. It should be understood that capacity is a long term and sometimes indirect approach to achieving change in target populations – especially challenging in an emergency setting.	Consider which aspects are most likely to be affected by the capacity building intervention and focus there. Remember that changes at target population level can take a long time and difficult to demonstrate a direct link due to many contextual factors.	What changes in terms of the technical focus of the project (e.g. GBV prevention and response) have taken place within the target population?
CONTEXT	Focuses on the influence of context on CB intervention. There are particular critical factors in a conflict affected setting including: resurgence of conflict, rapid funding cycles, unstable government etc. These factors may thwart capacity development regardless of how good the intervention is.	All aspects	Where there any contextual factors which may have affected the project?

[95] ibid.

2) How will you find out?

There are many M&E tools and methods to choose from. Which ever you choose, it is important to remember:

a. Power dynamics – The power relations between stakeholders can impact on what sort of information can be obtained. Need to find tools and combine tools that can counter the muting effect of unequal power relations.

b. Multiple sources/multiple methods[96] - Every single method has strengths and weaknesses – you will need to use more than one method to cross check the information you receive.

c. Self monitoring – It is important to ensure that partners and beneficiaries feel able to monitor the process and also ARC. There should be established feedback and response mechanisms. It is important that people know ARC is listening and responding

d. Relevant and useful data - Keep it simple, practical and focused. It is good to ask - how will the information collected be used?

ARC field staff will have varied experience with methods and tools used for M&E. This is not a prescriptive section and you are more than welcome (and encouraged) to contribute your own ideas and experience to developing your monitoring and evaluation plan.

3) Who is responsible for finding out (collecting and analyzing) and when?

It is essential to establish an M&E plan. This should include your selection of indicators and tools but in addition, you will need to think about who is going to collect and analyze the information, when they are going to do it and what they are going to do with it.

Tools

11.1 M&E Tool Box
11.2 List of sample indicators
11.3 M&E Plan template

How to

1) Involve your partner in the process of developing a monitoring and evaluation plan. This will involve selecting indicators for each ripple of change, the tools you wish to use to measure these indicators and a plan for measuring and monitoring those indicators over time.

2) Think about what you want to know about in terms of IMPACT and PROCESS. Think about the Ripple Model and its three levels:

- Capacity building process
- Internal organizational change within the local organization
- External changes in programs at the level of the target population.

[96] Kelly, L et. al. 'Guidance on ME for Civil Society Programs,' Demand for Better Governance Unit, AusAID, December 2008, p. 16

3) Select indicators for each ripple: See Tool # 2 (p.p.) below for examples.

- Ripple One
- Ripple Two

Develop at least two capacity building indicators (one for organizational development and one for program/technical development) that you will monitor throughout the period covered in the Capacity Building Plans. Usually, this will be a 12-month period.

- Ripple Three

4) Determine how you will measure and monitor your selected indicators (which tools?). Establish the systems you will need for this measurement and monitoring including who is responsible for finding out (collecting and analyzing) and when? Establish an M&E plan (sample format below) that is realistic and will give you the information you need to appropriately monitor and evaluate the impact of your capacity building work.

5) Changes in organizational capacity – and partner's perceptions of organizational capacity - can be easily measured by repeating the SCORE assessment process at regular intervals—perhaps quarterly, every six months, or annually, depending on the intensity and length of the capacity building intervention. It may not be necessary to complete all capacity areas/key determinants; if capacity building if focused only on a few areas, then only those should be re-assessed.

6) Monitor in accordance with your plan and remember to be systematic in all of your M&E activities

Key Lessons

√ Monitoring and evaluation can be an overwhelming process so it is important to keep it simple and ensure that both you and your partner understand the reason for it and the methods to undertake it.

√ Continuous monitoring can help you know whether the partnership is working and whether changes can be made to help improve the daily interaction between partners.

√ Monitoring and evaluation can include both qualitative and quantitative information. Remember that every day exchanges and observations can be a part of the monitoring and evaluation process, if documented appropriately.

TOOL 11.1

M&E 'Tool Box'

This table provides a brief breakdown of some of the main tools that may be useful for monitoring and evaluating partnerships. The table describes briefly what each tool is, how to use it, what the strengths and weaknesses of each are and when it may be most suitable to use (with reference to the ripple model).

1) Informal Discussion/Listening Survey

What	Informal discussions are unstructured and focus on a particular topic with various groups of stakeholders. This type of interaction can generate useful information, which should be recorded and fed back into the program.
How	1. In the course of regular program activities, staff may engage in informal discussions with a variety of stakeholders (government officials, community members, partners etc.). For example, staff may start talking with community members at market places, water collection points, in clinics etc. 2. Useful information can be recorded (or remembered) and raised at staff meetings or in regular progress reports. This can then be discussed and action steps decided. E.g. A staff member may be in a community and start talking with a group of women at a water point. They may informally begin discussing the work of a partner organization and how it has really helped them to understand where they stand legally in terms of violence in the home. The staff member can share this information with other program staff/partners at a meeting or in a report. The program team may then decide to investigate more formally, using another method, the impact of the partner's awareness raising activities.
Strengths	No preparation required and can do it in the course of regular work (just keep your ears open!). Easy to do in emergency context.
Weaknesses	Need local language skills. Need sensitivity to cultural and social norms. Must adhere to guiding principle of confidentiality.
Suitability	All three ripples; Ongoing monitoring & evaluation

2) Reflections[97]

What	Reflections provide space and time to reflect on and analyze data obtained from monitoring. Reflections focus on three main questions: • What has been done? • What has changed as a result? • How should the learning from this influence future work?
How	1. Program team prepares process 2. Planning of reflection process with different stakeholder groups (e.g. government, partner organizations, clients) 3. Participatory process with different stakeholder groups asking: a. What has been done? b. What has changed as a result and for whom? 4. Discussion with stakeholders on how learning should influence program 5. 'Sense Making' process – discussion by Program Team of the learning and implications 6. Review of the reflection process
Strengths	Invites reflective and dynamic feedback from stakeholders
Weaknesses	Takes time
Suitability	All three ripples Ongoing monitoring and final evaluation

[97] Adapted from Kelly et al (2008) 'Guidance on M&E for Civil Society Programs: Prepared for AusAID Program Managers', AusAID Demand for Better Governance Unit

3) Focus Group Discussions

What	Facilitated group discussions using a series of open questions as a guide and can be applied to any topic of enquiry for assessment, monitoring, and/or evaluation.
How	1. Program team decides on topic for discussion and develops list of open ended questions 2. Planning with stakeholder group e.g. partner, community members 3. Meeting with stakeholder group using FGD guide. One facilitator and one note taker for each group 4. Information collated under topic headings and analyzed 5. Information generated should be fed back to respondents. E.g. Networking may be identified in the capacity assessment as an area that needs support. A FGD could be held initially to establish the current situation with networking. A follow up FGD after supporting the partner to participate/set up the LAC and engage in the GBV local and global network may generate useful information on the way a partner organization feels about the process and their progress.
Strengths	Encourages open discussion among group members May generate useful information you were not expecting
Weaknesses	Normative processes – the presence of an individuals peers may lead them to say what should be said rather than to describe the real situation Power relations – one or a few individuals may dominate
Suitability	All three ripples Ongoing monitoring and final evaluation

4) Case Studies [98]

What	A qualitative tool that captures a 'case', which is then analyzed (studied) and learned from.
How	1. Identify key informants who will be able to provide information about the partnership you want to look at. Ask them if they would like to be involved and tell them the purpose of your questions. 2. Use open questions (rather than closed questions which invite a yes or no response) 3. Ask for information on the following categories: a. INFORMATION i. Name of initiative ii. Partner details iii. Key dates iv. Location b. HISTORY i. What key issues led to the partnership initiative? Who started it? What were the agreed core principles / values underpinning it? What were its aims and objectives? What were the first steps? c. ACTIVITIES i. What has the partnership undertaken? How were activities managed? What have been the outcomes and outputs to date? What more is anticipated? d. ROLES i. Who were the key individuals involved and what were their roles? How did they change over time? e. ACCOUNTABILITY i. In what ways is the initiative accountable? How is its impact / effectiveness measures assessed? How is the partnership reviewed? What is the process for making key decisions – including changes? f. CHALLENGES i. What have been the main challenges encountered during the partnership's lifetime? How have they been dealt with? What challenges remain? g. RESOURCES i. How is the initiative resourced (cash and non-cash in-puts)? Is there funding from any external source(s)? If so,

[98] from The Partnering Toolbook', Tennyson, 2003, Tool 7, Case Study Template.

	from where and what proportion of the budget does this represent? To what extent are resources renewable and / or is the initiative sustainable? Now? At some stage in the future? h. THE FUTURE i. What are the immediate development plans? Are there longer-term plans in place? Do partners have a 'moving on' strategy? Does the initiative have a finite term of operation? What time-scale is envisaged for moving on or termination strategies? i. ACHIEVEMENTS i. What are the main achievements? j. CONTACT DETAILS i. Who can be contacted for further details and how? 4. Be an active listener – concentrate on what the speaker is saying at the time. Take your notes in a break. 5. Repeat back to the interviewee what you have heard to make sure you have heard correctly and to give the interviewee an opportunity to add anything they may have forgotten.
Strengths	Can handle complex situations Provides a lot of information
Weaknesses	Inherently subjective therefore difficult to generalize Provides a lot of information
Suitability	All three ripples

5) Observation

What	Direct observation of a process or activity
How	1. Chose the process or activity to be observed (e.g. a training session, an interaction between service providers, a board meeting, a procurement process etc) 2. Observe! 3. Record your observations
Strengths	Directly observe an activity or process rather than rely on a report or second hand account. Good for verification of information
Weaknesses	Can be time consuming Your presence will impact the event or activity i.e. those being observed may alter their behavior just because you are watching/present
Suitability	All three ripples Ongoing monitoring and final evaluation

6) Questionnaire or Survey

What	A series of questions used to gather information from respondents.
How	1. Program team decide on topic of focus and develops questionnaire. These may include open or closed questions and may even be multiple choice. 2. Decide on respondents and other details (location, time etc) 3. Conduct survey using the forms. May distribute forms to be filled in by respondents and collected later or may use enumerators to directly ask respondent s the questions and fill in the forms themselves. 4. Collect and or collate survey forms and conduct analysis 5. Information generated should be fed back to respondents. E.g. Could conduct a survey on the quality of services provided by a partner organization
Strengths	Good for gathering quantifiable information
Weaknesses	No room for discussion so may limit the kind of information obtained
Suitability	All three ripples; Ongoing monitoring and final evaluation

7) Test/Exam

What	A series of questions to test the knowledge/skill of an individual
How	1. Decide on the area of knowledge or skill to be tested 2. Develop the test/exam 3. Provide the test/exam to the target individuals in a set time period 4. Collect test/exam papers and mark them 5. Calculate results E.g. Pre/post tests could be given to participants before and after a training and results compared to measure progress. Results provide an indication of the impact of capacity building activities. Could also be used to develop future capacity building activities.
Strengths	Good for gathering quantifiable information
Weaknesses	Do not consider application of skills/knowledge in practical settings
Suitability	Ripple 2 Ongoing monitoring and final evaluation

8) Organizational Timeline[99]

What	A retrospective exercise useful for identifying key organizational changes that have taken place before, during, and following a capacity building intervention.
How	1. Invites a representative group of staff from the partner organization to come together in a workshop setting. 2. Partner works through the following steps with support from the external facilitators. 3. Determine the period for which the timeline should be created. This will depend on the length of the intervention itself and the time that has passed since its completion. It is usually valuable to include the period of time leading up to the capacity building intervention (at least a year) in order to identify trends in the organization's development before the intervention took place. 4. Thinking about each year chronologically, brainstorm a list of all the significant changes that have taken place in the organization and write them on a flipchart. Group these changes into positive and negative changes. Note down the approximate dates when each change occurred. Prompt not only explicitly internal changes, but changes that occurred in the organization's environment and/or context if such changes could have affected organizational change. 5. Brainstorm a list of key capacity building activities that have taken place during the intervention and the dates when they occurred. 6. Create an organizational timeline that documents these key activities and organizational changes in chronological order on your flipchart.
Strengths	Accessible to organizations of all levels. Can be used to establish 'plausible association' between the intervention and increased organizational capacity by determining whether any of the positive changes have obvious linkages to the intervention activities. Provides a powerful narrative overview of key stages in the organization's development. All organizational representatives can make a meaningful contribution by identifying events they consider to be significant.

[99] Adapted from JSI 'A Guide to Monitoring and Evaluation of NGO Capacity Building Interventions in Conflict Affected Settings', 2009

Weaknesses	Self-assessment can introduce bias if the local NGO wishes to be perceived in a particular light. Conflicts may arise between staff over which organizational changes are most significant and whether changes are positive or negative. The facilitator can play a role in mediating tensions. Requires a knowledgeable and skilled facilitator. Does not address how to deal with an event that some view as positive and some view as negative.
Suitability	Ripple 2 Periodic evaluations – mid term and final

9) Spider SCORE tool[100]

What	Self-assessment tool that enables organizations to generate scores for selected areas of organizational capacity and visually represent their capacity by mapping capacity scores onto a diagram of a spider web. Can be used as an entry-point to capacity building, as well as a monitoring tool that can be used to track the organizations changing perceptions of its capacity over time.
How	As per steps outlined in Capacity Assessment section.
Strengths	Accessible to organizations of all levels. It provides a helpful introduction to key concepts in capacity building for those new to the field. Stimulates users to think about organizational capacity and to define their own strategies for organizational strengthening. Can be used to generate a visual history of organizational change over time.
Weaknesses	Self-assessment can introduce bias if the local NGO wishes to be perceived in a particular light. The indicators used in the SCORE tool may not provide the best measure of organizational capacity depending on the organization. There is no specified strategy for managing differing views among the representatives of the local NGO in determining the scores on each indicator and for each area. It is likely that the perspectives of staff higher up in the organizational hierarchy will dominate.
Suitability	Ripple 2; Entry point/ongoing monitoring/final evaluation

[100] Adapted from 'JSI A Guide to Monitoring and Evaluation of NGO Capacity Building Interventions in Conflict Affected Settings', 2009

10) Most Significant Change[101]

What	A qualitative and participatory tool based on ‘stories’ of significant change and used to identify impact (intended and unintended)
How	1. Select ‘domains of change’ – should be linked to your objectives and will determine the type of stories you want to assess. Could consider the different areas of capacity within Ripple 2 (as in SCORE tool) or consider the different ripples of a capacity building intervention *e.g. Change in Organizational Capacity.* 2. Decide who is going to collect the stories, when, how and who from (linked to the domain of change you select). *e.g. if the domain of change is ‘change in organizational capacity’ then it would be interesting to get many perspectives on this – from CSO staff, from ARC staff, from target populations, and from donors. Both CSO staff and ARC staff could be tasked with collecting the stories from a gender-balanced sample from the fore mentioned sources.* 3. Decide the question referring to timeframe and domain of change *e.g. ‘During the last month in your opinion, what do you think has been the most significant change in the organizations capacity?’* 4. The story, or answer must include a description of the change (who for, what was it, where was it) and an explanation of why it is significant. *e.g. During the last month I have noticed that the management are asking me more for my input and ideas. There are now regular weekly staff meetings at the office and all staff attend. Everyone is encouraged to contribute and share their ideas on how we can improve our work. I think this is significant because all staff have different areas of expertise and also different experiences and access to information in the camps. If everyone contributes their information and experience then the programs will get stronger. I shared a story last week about a group of TBAs I know who are very worried about the raping that is going on and now we are going to approach them and ask if they would like to do some training on GBV and the referral system.* 5. Determine how many levels of story selection are needed and form a selection committee at each level. *e.g. field workers could do the first selection, then program managers then board members.* 6. Decide on a time period for story selection (every month, quarter etc) 7. Each committee selects stories for forwarding onto the next level. The process for this is as follows: a. Everyone in the group reads all the stories together (can be read aloud) b. For each a facilitator summaries specifying the change and significance of each story c. The group discusses which they think are the most significant and why. Can vote. d. Group selects the story that for them represents the Most Significant Change

[101] Adapted from ‘JSI A Guide to Monitoring and Evaluation of NGO Capacity Building Interventions in Conflict Affected Settings’, 2009

	e. Story plus documentation of the process is forwarded to the next level. 8. Continues up to the final level 9. Feedback – report back on why a particular story was selected to the previous level (could be stakeholders in the project who wrote original stories or could be the level down in the organization) 10. At the end of each year (or specified period) the selected stories can be collated with the description of why they were selected 11. These can be used to: a. Analyze progress b. Provide history of work c. Provide a point of discussion for what is going well and what needs to be improved d. Provide 'evidence' about the impact of your work
Strengths	In many cultures, people like to tell stories Stories can handle complexity and context People easily remember stories Stories can convey messages which may be difficult to discuss directly You can integrate collecting stories with your regular work
Weaknesses	Stories may not be accurate or truthful Takes time and resources Difficult to standardize and inherently biased (due to the nature of storytelling) Required skilled facilitator to train staff
Suitability	Ripple 1 & 3; Ongoing monitoring/Final evaluation

11) Outcome Mapping (OM)[102]

What	A (still developing) methodology for planning, evaluating and monitoring development programs developed in 2001 by the International Development Research Centre (IDRC) in Canada. It is based on principles of participation and iterative learning through reflection and was designed as an alternative/compliment to the Logical Framework Approach. There are a number of key principles: 1. Local actors control change while external actors facilitate change. • Local actors or, *boundary partners,* are individuals, groups, or organizations with whom the program directly interacts and whose actions influence beneficiaries. • External actors, such as development agencies, facilitate the process by providing access to new resources, ideas or opportunities. 2. Impacts (desired changes in the lives of beneficiaries) are not caused by a single intervention. Rather there are different spheres of influence. • Sphere of control: Development agencies have direct control over the inputs in working with boundary partners but cannot control change at the level of boundary partners or beneficiaries. • Sphere of influence: Development agencies can hope to have direct influence to, or contribute to changes at the level of its boundary partners, • Sphere of interest: Development agencies can only indirectly influence change at the level of ultimate beneficiaries (impact). *3.* OM focuses on outcomes as *changes in the behavior*, relationships, activities, and actions of people, groups, and organizations with whom the program works directly. 4. OM recognizes that multiple, non-linear events lead to change and that a program will change during the course of an initiative. Therefore organizations need to be dynamic and their goals, methods and relationships with partners need to be regularly reconsidered and adjusted.
How	There are three stages of outcome mapping. The steps to take in order to complete these three stages will be briefly outlined however, this is a complex process so it is highly recommended that if you are interested in trying outcome mapping, please go to the International

[102] This section adapted from 'Chapter Two, Outcome Mapping, The Workshop Approach', The International Development Research Centre, http://www.idrc.ca/en/ev-28381-201-1-DO_TOPIC.html; 'Outcome Mapping: A method for tracking behavioural changes in development programs', T. Smutylo, ILAC Brief 7, August 2005; "Outcome Mapping', Serrat, O. Knowledge Solutions, November 2008/17, Asian Development Bank. http://www.adb.org/Documents/Information/Knowledge-Solutions/Outcome-Mapping.pdf and; 'Development Of A Planning, Learning & Accountability System For Sustainable Agriculture Chain Development In Eastern Indonesia, *Outcome Mapping In Action',* Stef Depres, VECO Indonesia, http://www.wu.ac.at/inst/fsnu/vienna/papers/deprez.pdf

Development Research Centre website (http://www.idrc.ca/en/ev-28375-201-1-DO_TOPIC.html) and read through the online facilitator guide which contains much more detailed information. All these stages should be conducted in a participatory manner with your stakeholders – ideally a workshop facilitated by someone experienced in OM. You may have an ARC colleague who has this knowledge and experience or there may be someone working in your context from another agency that could assist.

1.The Planning Stage - Intentional Design:

A participatory workshop is held with your stakeholders[103] to help clarify and establish consensus regarding the macro-level changes the program would like to support (e.g. a reduction in HIV incidence in xyz population). Intentional design is carried out only once a program has chosen its strategic directions and wants to chart its goals, partners, activities, and progress towards anticipated results. After clarifying the changes the program intends to help bring about, activities are chosen that maximize the likelihood of success. The Intentional Design stage helps answer four questions:

Why?

- Vision statement – A description of the large-scale development changes (economic, political, social, or environmental) to which the program hopes to contribute. For example: *To contribute to a reduction in the vulnerability to HIV/AIDS of people in xyz community and to help reduce the social, environmental and economic impacts of HIV/AIDS.*

Who?

- Boundary partners – Those individuals, groups, or organizations with whom the program interacts directly and with whom the program can anticipate some opportunities for influence. For example, Ministry of Health, CSOs working on HIV, target community etc.

What?

- Outcome challenges - Description of the ideal changes in the behavior, relationships, activities, and/or actions of a boundary partner. It is the program's challenge to help bring about the changes. For example: *to reduce the prevalence of multiple partners among the target population*
- Progress markers - A set of graduated indicators of changed behaviors for a boundary partner that focus on the depth or quality of change. For example, for the boundary partner target community, and focusing on the outcome challenge of reducing multiple partners, the progress markers may be:
  - Expect to see – *willingness to listen to awareness sessions and discuss with peers about the risks of having multiple partners;*
  - Would like to see – *reduction in number of partners;*
  - Would love to see –*reduction in number of partners and outreach to peers to encourage the same.*

[103] Who actually participates will depend on your program and availability. It could be program staff, partner's staff, counterpart agencies (e.g. government departments) and representatives from the community.

How?

- Mission – An ideal description of how the program intends to support the achievement of the vision. It states with whom the program will work and the areas in which it will work, but does not list all the activities in which the program will engage.
- Strategy Maps - A matrix that categorizes six strategy types (causal, persuasive, and supportive), which a program employs to influence its boundary partner. Strategies are aimed at either the boundary partner or the environment in which the boundary partner operates.
- Organizational Practices - Eight separate practices by which a program remains relevant, innovative, sustainable, and connected to its environment.

2. Outcome and Performance Monitoring

During the Outcome and Performance Monitoring stage of an Outcome Mapping design workshop, the participants develop a framework to monitor:

- The progress of boundary partners towards the achievement of outcomes;
- The program's strategies to support outcomes;
- And the organizational practices used.

There are three data and information collection tools:

- An outcome journal to monitor boundary partner actions and relationships,
- A strategy journal to monitor strategies and activities,
- A performance journal to monitor the organizational practices that keep the project or program relevant and viable.

These tools will provide workspace and processes and help the design team reflect on the data and information that it has collected and how these can be used to improve performance.

3. Evaluation Planning.

At the Evaluation Planning stage, Outcome Mapping provides a method for the program to identify its evaluation priorities and develop an evaluation plan. Planning will ensure that resources are allocated wisely and the evaluation findings are useful.

Strengths	OM is a robust methodology that can be adapted to a wide range of contexts. Can be used in conjunction with other tools such as MSC
Weaknesses	Takes time and resources, which could mean that support is needed from higher levels within an organization. Requires skilled and experienced facilitator OM also often requires a “mind shift” of personal and organizational paradigms or theories of social change.
Suitability	All three ripples

Additional Tools:

Key resource: *A Guide to Monitoring and Evaluation of NGO Capacity Building Interventions in Conflict affected Settings*, JSI (draft 2008). Available on ARC Intranet.

ARC Health Team Monitoring & Evaluation Tips (Word doc, 2008). Available on ARC Intranet.

ARC M&E Indicators (PDF, 2008). Available on ARC Intranet.

Tool 11.2

Sample Indicators[104]

The following sample indicators are largely taken from *A Guide to Monitoring and Evaluation of NGO Capacity Building Interventions in Conflict affected Settings*, JSI (2009). This publication should be considered a companion guide to this manual and essential resource for ARC managers and staff engaged in partnership and capacity building with local NGOs/CBOs.

This list of sample indicators is:

- Not comprehensive
- Broad and should be adapted to you program
- Remember to include mix of qualitative and quantitative

NB: Ripple Two – indicators are divided into categories reflecting areas of organisational change (as in the SCORE card in this guide). Separate indicators are provided for NGOs and CBOs. There are many indicators from which to choose. Choose appropriate indicators based on desired outcomes and in collaboration with partners as much as possible. For example, if in the assessment it is revealed that financial issues are particularly weak in an organization, then this may be the focus on the CB intervention and indictors chosen should reflect this.

[104] Adapted from JSI 'A Guide to Monitoring and Evaluation of NGO Capacity Building Interventions in Conflict Affected Settings', 2009, p.41

RIPPLE ONE

- Percent of staff who report that the capacity building plan is appropriately targeted to the needs required to carry out daily tasks essential for the effective functioning of the program
- Percent of planned capacity building activities completed or underway in a specified time period
- Percent of participants who participated in a capacity building activity and considered the activity to be of high quality
- Percent of staff who perceive a sense of ownership over the capacity building process
- Process of engagement with ARC has been respectful, and adhered to principles of mutual accountability and control

RIPPLE TWO – NGOs and CBOs[105]

Governance

NGO appropriate

- The organization has a well developed mission/vision statement
- Percent of programs whose stated goals are aligned with the organization's mission statement
- Percent of staff who can accurately describe the organization's stated mission and think it is clearly reflected in its work
- Percent of beneficiaries who are aware of the organization's mission
- The organization has a board of directors which meets regularly
- Percent of staff who believe that the organization's leaders are moving the organization in the right direction
- Degree to which the organization is guided by a multi-year strategic plan that establishes organizational goals, program objectives, key activities, and financial implications
- Organization has a well documented/formal organizational structure which is well understood by staff

CBO appropriate

- Regular meetings were attended by 75% of members in the last three months
- The organization has regular meetings
- Majority of all members have clear idea or perception of the role of the group in their community There is a communication strategy in place and records kept
- Percent of members who say they are consulted on group decisions in the last three months
- Percent of key decisions made in the last three months where leadership consulted members in the decision making process

105 Please note you can use a mix of indicators, it is broken up by NGO and CBO for ease of use, but the two groups are not exclusive.

Program Management

NGO Appropriate

- Staff are familiar with all stages of the project cycle
- Beneficiaries are engaged at each stage of the project cycle
- Regular staff meetings are attended by 75% of staff
- Minutes are recorded at all staff meetings and shared with staff
- Staff submit monthly reports on their activities to their manager
- Percentage of programs with a written M&E plan that is used to guide implementation of M&E activities
- Percent of programs for which basic information systems are in place to collect and store data
- There are clear feedback mechanisms in place for beneficiaries
- There are clear feedback mechanisms in place for staff
- Percent of key decisions made in the last year where leadership consulted staff in the decision making process
- Percent of staff who feel adequately consulted on organizational decisions

CBO Appropriate

- 75% of members who say they have been involved in identifying needs and priorities in the last three months
- Number of plans made and realized in the last three months
- Members are aware of ways to resolve conflict
- Members believe that conflict resolution mechanisms are fair
- 75% of meetings held in the last three months have been recorded

Financial management

NGO Appropriate

- An annual budgeting exercise takes place to identify full costs of running the organization
- Number of revenue sources which support organizational operation
- The organization has a written policy outlining expense procedures that includes the following: who, how, and with what documentation staff can authorize expenditures
- Percent of months where the balance in the cashbook is reconciled with the balance on the bank statement for every bank account
- Percent of major financial transactions that have the necessary supporting documentation
- Annual internal audits are conducted
- Percent of months during which program managers receive budget reports within two weeks of the end of the month

CBO Appropriate

- Regular updating of records which are known to all members
- Funding is sourced from outside the community
- Percent of members who say they were consulted about how to spend group in the last three months funds
- Percent of members who feel that group funds have been spent well

Human resources

NGO Appropriate

- Written personnel policies are in place and distributed to all employees
- Percent of staff who have a specific and tailored job description
- Percent of staff who have the appropriate training to perform their jobs adequately
- Percent of staff who feel that annual reviews of performance are conducted in timely and fair manner
- The organization has clear guidelines to guide job promotion so that it is based on merit
- A staff development plan is in place to meet future needs of employees and the organization
- Percent of staff who have left in the past year
- Clear efforts (plan, incentives, and/or a policy) are in place to address staff retention
- The organization has clear guidelines to guide job promotion so that it is based on merit
- There is a clear policy on SEA including complaint and reporting procedures.
- 100% of staff have attended a briefing on and signed the SEA policy
- Percent of staff who have attended training in the past year
- Staff who have attended trainings have found them useful for their work

CBO Appropriate

- Percent of members who are defined as women
- Women actively participate in planning and implementing of activities.
- Percent of members who have a clear understanding and description of their tasks

External relations

NGO Appropriate
- Percent of beneficiaries who find the organization to be reliable
- Number of partnerships with organizations working in the same field
- Organization is recognized by local or national government
- The organization has a clear, written plan to communicate its mission to target audiences
- Staff are viewed as responsive to feedback from donor and other collaborating agencies
- Number of donors supporting the organization

CBO Appropriate
- Number of meetings held with other groups in the area in the last three months
- Community members know and trust the organization
- Number of times the group has succeed in obtaining external resources in the last three months
- Members believe that the relationship with ARC is good

Technical

The indicators chosen will depend on the particular focus of the organization you are working with.
For example, if the organization provides case management and counseling to survivors of GBV indicators could include:
- Total number of cases managed by partner social workers each month
- % of client and case management files using appropriate forms and documentation (Target: 100%)
- Monthly supervision sessions (including debriefing) held for social worker by Head Social Worker
- # referrals made by Social Workers each month
- Clients are satisfied with the services and support received from the organization

For example, if the organization you are working with provides Voluntary Counseling and testing (VCT)
- **Number of individuals who received counseling and testing for HIV and received their test results**
- **% client files managed using appropriate forms and documentation (Target 100%)**
- Clients are satisfied with the services and support received from the organization

RIPPLE THREE

Indicators for Ripple Three will be specific to the particular interventions, not to the capacity intervention itself. For example, if the intervention is GBV prevention and response and the goal of the project is to build sustainable GBV interventions through local capacity building, then sustainable GBV interventions could be measured by:

Quantitative

- Increased number of GBV clients served
- Increased number of cases prosecuted
- Increased number of rape cases managed according to WHO and other protocols

Qualitative

- Clients report they felt respected, safe and that everything was handled in a confidential manner in their interaction with service providers

Tool 11.3 M&E Plan

Every project needs an M&E Plan (capacity building or other). This should include:

- Approximate date for each activity
- Tools to be used
- Person responsible
- Outcome – how information will be used

It is important to develop the plan with all key parties present (partner and ARC). This will help carry out the plan as projected. A simple table can be used for the plan, something like this:

Date/Stage	***M&E Activity***	***Tool/s***	***Responsible***	***Outcome***
Date/ Stage of project	Monitor capacity development of partner	SCORE MSC	ARC GBV PM Partner Manager	Capacity report

Appendix 1. Key Resources

ARC Resources

ARC Subgrants Manual, American Refugee Committee, March 2009

Global GBV Conference Report: Conference Two 9 – 12 September, American Refugee Committee, 2008

Manuals/Guides/Reports

Many of these manuals are available from the health team, can be sent electronically by email or copied onto a CD-ROM and mailed to you. Or, you can download them from the ARC Intranet or from the public web sites as indicated below. Copies have also been provided to ARC health and GBV staff at conferences.

'A Short Guide to Partnerships' Wilcox, D. Downloaded 17 Oct 2007.

http://www.partnerships.org.uk/part/partguide1.doc

CARE International (2007). *Building Partnerships for Health in Conflict Affected Settings: A Practical Guide to Beginning and Sustaining Inter-Agency Partnerships* (revised ed.). Atlanta: Bartel, D., Igras, S., Chamberlain, J.

Center for Development & Population Activities (CEDPA, 1994). *Project design for Program Managers: Conducting a Workshop on Planning Community-based Projects*. Washington DC: CEDPA training manual series (vol. II).

Conflict Resolution Network, 'Understanding Conflict and 'The Win Win Approach', Chatswood, NSW, Australia. Downloaded 10 August 2009. http://www.crnhq.org

'Development Of A Planning, Learning & Accountability System For Sustainable Agriculture Chain Development In Eastern Indonesia', *Outcome Mapping In Action',* Stef Depres, VECO Indonesia. Downloaded 2 August 2009. http://www.wu.ac.at/inst/fsnu/vienna/papers/deprez.pdf

International HIV/AIDS Alliance, '*CBO Capacity Analysis: A Toolkit for Assessing and Building Capacities for High Quality Responses to HIV'*, December 2007,

International HIV/AIDS Alliance, '*NGO Capacity Analysis: A Toolkit for Assessing and Building Capacities for High Quality Responses to HIV'*, 2004

JSI (2008). '*A Guide to Monitoring and Evaluation of NGO Capacity Building Interventions in Conflict affected Settings'* (2009). Washington DC: Fitzgerald, Molly.

Moynihan, Maeve (ed.) '*How to Build a Good Small NGO'*. Downloaded 30 August 2008. http://www.networklearning.org/library/task,doc_details/gid,10/

One World Trust, 2008 Global Accountability Report. Downloaded 19th July 2009
http://www.oneworldtrust.org/index.php?option=com_docman&task=doc_view&gid=226&tmpl=component&format=raw&Itemid=55

'Outcome Mapping: The Workshop Approach', The International Development Research Centre,

Downloaded 3 August 2009. http://www.idrc.ca/en/ev-28381-201-1-DO_TOPIC.html

'Outcome Mapping: A method for tracking behavioural changes in development programs', T. Smutylo, ILAC Brief 7, August 2005. Downloaded 3 August, 2009.

http://www.thaihealth.or.th/files/11235064481Brief-FINAL.pdf

'Outcome Mapping', Serrat, O. Knowledge Solutions, November 2008/17, Asian Development Bank. Downloaded 3 August 2009. http://www.adb.org/Documents/Information/Knowledge-Solutions/Outcome-Mapping.pdf

Principles of Partnership: A Statement of Commitment, International Council of Voluntary Agencies (ICVA), Downloaded 31 August 2009. http://www.icva.ch/pop.html#pop

Tennyson, R, (2003) The Partnering Toolbook, The International Business Leaders Forum (IBLF)

and the Global Alliance for Improved Nutrition (GAIN)

USAID, 'Handling Conflict', 'Negotiation' and 'Sustainability' modules from the Sub-grant Management and Monitoring Workshop, Nairobi, Kenya, April 21-24th 2009.

Articles

Eade, D. 'Capacity Building: Who Build Whose Capacity', in *Development in Practice*, Volume 17,

Numbers 4 – 5, August 2007, p.634

Lauten, B. 'Time to Reassess Capacity Building Partnerships' in *Forced Migration Review,* July 2007,

p.p.4-6

Internet Sites to Visit and Know About

CIVICUS, World Alliance for Citizen Participation. http://www.civicus.org/home

Excellent resource for information, resources, toolkits, networking, and other activities and issues related to civil society, organizational development, capacity building. You can sign up to their list serve for regular updates, or check the site regularly. Click on Resources/Toolkits for free downloads: CIVICUS has compiled a large collection of Civil Society capacity building toolkits and resources. All toolkits are available free of charge unless otherwise noted.

Gender based Violence Network http://www.gbvnetwork.org/

An informal network of national and international staff and leaders committed to stopping gender-based violence in humanitarian emergency situations. Site contains information about new publications, resource materials, relevant events, upcoming training opportunities, and job openings.

International HIV AIDS Alliance http://www.aidsalliance.org/sw7157.asp?

The Alliance is a network of independent, locally governed and managed linking organizations. The Alliance provides linking organizations with technical and financial assistance. In turn, the linking organizations support and develop thousands more non-governmental and community-based organizations in more than 25 countries.

Network Learning. http://www.networklearning.org/

Web site with free tools, how-to guides, information sheets, and other easy to use resources targeted for small national NGOs in development or humanitarian settings.

Outcome Mapping Learning Community http://www.outcomemapping.ca/

An online community to share experiences of Outcome Mapping. Great resource to learn more about this method.

Raising Voices GBV Prevention Network www.preventgbvafrica.org

The GBV Prevention Network is an affiliation of activists and practitioners committed to preventing gender based violence in the Horn, East & Southern Africa. Membership is composed of more than 130 organizations and individuals from more than 18 countries. The network's site hosts resources, publications, communication materials, research, evaluation reports and more. The network has four objectives:

- To provide member organizations with relevant information about and access to resources on violence prevention;
- To build solidarity between organizations working on violence;
- To strengthen capacity of members on critical issues and methodologies; and,
- To advocate for increased interest and investment for gender-based violence prevention in the regions.

Additional Resources

A wide range of relevant resources are available on the ARC Intranet. More are added as they become available.

If you do not know how to access the ARC Intranet, ask your program manager, country director, or any headquarters health team or human resource staff for further information and login guidance.

Appendix 2. Sample SCORE and Capacity Building Plan

EXAMPLE[106]

Strengthening Capacity of Organizations to use Resources Effectively:

SCORE Assessment Tool

Organization Name: NGO XYZ

Date SCORE completed: June 2009

[106] NB: This example uses the original SCORE tool

Key Determinant 1: Vision, Mission, Values	1	2	3	4
Does the organization have a written V,M,V statement?	V,M,V statement does not exist.	A written V,M,V statement does not exist but most staff can voice the organization's V,M,V.	A written V,M,V statement exists, is known by most staff, and guides most activities.	A written V,M,V statement exists, is familiar to all staff, and guides all activities.
Is the V,M,V statement connected to project activities?	Project activities are often unrelated to V,M,V.	Some activities connected to V,M,V, but others are not.	Most activities are connected to V,M,V.	The V,M,V are the basis of all project activities.
Do staff understand and believe in the organization's V,M,V?	V,M,V is not understood by any organization members.	V,M,V understood only by organization founders.	Most organization members understand and believe in the V,M,V.	All organization staff understand and believe in the V,M,V.
Does the organization's V,M,V statement reflect the community's expressed needs?	Community needs were not known or not considered when the organization created its V,M,V statement.	The community's needs were assumed by the organization when the V,M,V statement was created.	The organization's V,M,V statement was developed with the community's input.	The organization collaborated with community to develop a V,M,V statement that reflects their expressed needs.
Is the organization familiar with the human rights of people it serves?	The organization members have neither identified nor discussed human rights.	The organization members have discussed human rights, but program activities do not intentionally protect, respect, and fulfill these rights.	The organization as a whole has identified specific human rights the project can work to respect protect and fulfill through program activities.	The protection and fulfillment of human rights are recognized as the overarching goals of all program activities.
	Vision, Mission, Values Score:	15	**Average VMV Score (total score/5)**	3

Key Determinant 2: Management	1	2	3	4
Are staff meetings well attended, organized and documented?	The organization almost never formally meets.	The organization meets irregularly with low attendance (less than 50% of staff), often with no meeting agenda or minutes recorded.	The organization has regular meetings with fair attendance (50% to 75% of staff members); an agenda is followed and meeting minutes recorded.	The organization has regular meetings with high attendance (more than 75% of staff); an agenda allows for discussion of all key issues, and complete minutes are recorded and disseminated to all staff.
How does the organization monitor and evaluate program progress?	The organization hopes to achieve goals by the end of the program, and has no system for monitoring progress.	The organization monitors and reports progress at the mid-term and final evaluation of the program.	The organization monitors progress and evaluates results on a monthly basis; reports are written and shared with all staff.	The organization systematically monitors and evaluates program progress; monthly reports are used by all staff to ensure program goals are achieved and to improve future activities.
How does the organization ensure timely and quality programs and services?	Implementation of program activities is done with little regard to timeliness and quality.	Program activities are compared to the org's action plan at mid-term and final eval to ensure completion; one member of the organization performs random observation of program activities to assess quality.	Program activities are compared to the action plan on a monthly basis to ensure completion; the organization has quality standards that staff members strive to achieve.	Program activities are continually monitored and adjusted to ensure they are on schedule to meet monthly action plan goals; the org has quality standards and performs routine quality assessment with input from staff, beneficiaries, and partner orgs.
How does the organization make decisions?	All important decisions are made privately by the organization founders.	Founders may decide without the input of staff, or decisions may go against staff input.	Decisions are made by the organization during staff meetings; sometimes staff members disagree with decisions made.	Decisions are made following discussions with maximum staff participation. All needs and concerns are heard and consensus is reached.
Does the organization have open communication?	Important communication only takes place between top leaders, and information is not shared with organization staff.	Occasionally important communication is shared with select staff members.	Most communication is openly shared, and most staff feel informed and involved in important communication.	Open communication is encouraged, and all staff contribute to a free flow of information and feedback within the organization.
	Management Score:	10	**Average Management Score (total score/5)**	2

Key Determinant 3: Finances	1	2	3	4
Are accounting and financial systems functional and transparent?	The organization has no system for recording and reporting financial status.	The organization periodically updates its financial tracking system, and the information is known only to the accountants or founders.	The organization regularly and accurately tracks its financial status, and shares this information with select staff members.	The organization's financial information is accurate, consistently up to date, openly shared and utilized by all staff for planning and decision making.
How does the organization use its budget?	Budget was created solely for the grant application, and is not used for other purposes. Funds are spent as they are received.	Budget is a rough estimate of available funds, and line items are often over or under spent.	Budget is accurate, linked to program activities, updated quarterly, and line items are rarely over spent.	Budget is accurate, consistent with program plan, balanced on a monthly basis, and reviewed by finance and program staff.
What are the organization's financial reporting procedures?	Financial reports are not accurate or produced in a timely manner.	Basic financial reporting is irregularly carried out and often incomplete and of poor quality.	Financial reports are periodic, easily understood, accurate, and used for planning.	Financial reporting is regular, systematic, high quality, computerized and used for decision making.
What is the organization's procedure for making purchases?	No consistent purchasing procedure is used.	One staff member is responsible for ensuring sufficient funds are available, and that person selects supplier without comparison.	Most purchases are approved by at least two managing staff members, and supplier is usually selected based on a cost comparison.	Purchases are systematically approved by at least two managing staff members, and supplier is consistently selected based on a comparison of three quotations.
	Finances Score:	12	**Average Finance Score: (total score divided by 4)**	3

Key Determinant 4: Human Resources	1	2	3	4
Does the organization have personnel policies?	No personnel policies have been developed or used.	The organization has basic personnel policies written, but they are not often referenced or used.	Most personnel policies such as hiring procedures, legal requirements, and emergency protocols are written and followed.	Organization adheres to a comprehensive personnel policy manual that is distributed and signed by all personnel.
Are organization leaders and staff committed to providing program services regardless of the ethnicity, nationality, religion, language ability, and/or financial status of the beneficiary?	The program does not extend full services to all community members.	The organization aims to provide services to all community members regardless of ethnicity, nationality, religion, language ability, and financial status, but has difficulty achieving this goal.	The organization is capable to extend full program services to all community members regardless of ethnicity, nationality, religion, language ability, and financial status.	The organization staff have diverse backgrounds and abilities. The program was designed to provide full services to all community members regardless of ethnicity, nationality, religion, language ability, and/or financial status.
How active are women in the planning and implementation of activities?	The organization has no female employees.	Women are represented but not in management or leadership positions. Female employees are only active in the implementation of some activities.	More than one woman is active in management, decision making and activity implementation.	Women form at least 50% of the organization staff, and are active in management, decision making, and activity implementation.
Are staff roles and job responsibilities clearly defined?	Staff roles and job responsibilities are not written and/or established.	Staff members have a general understanding of their roles and job responsibilities, but nothing is written and/or formally agreed upon.	Staff roles and job responsibilities are written and agreed upon at the time of hire and/or project initiation.	Staff roles and job responsibilities are developed and agreed upon by the organization as a whole, and every staff member has a clear, valid written understanding of their own role and responsibilities.
Does the organization assess staff performance?	No procedures for staff performance assessment have been developed or practiced.	Staff performance is only assessed when there is concern over poor performance.	The organization fairly assesses staff performance from time to time, and provides staff members with constructive feedback.	Staff performance assessments are developed, based on job descriptions and done regularly. Performance assessments are useful for constructive feedback, promotion, and salary adjustments.
	Human Resources Score:	15	**Average HR Score (Total score / 5)**	3

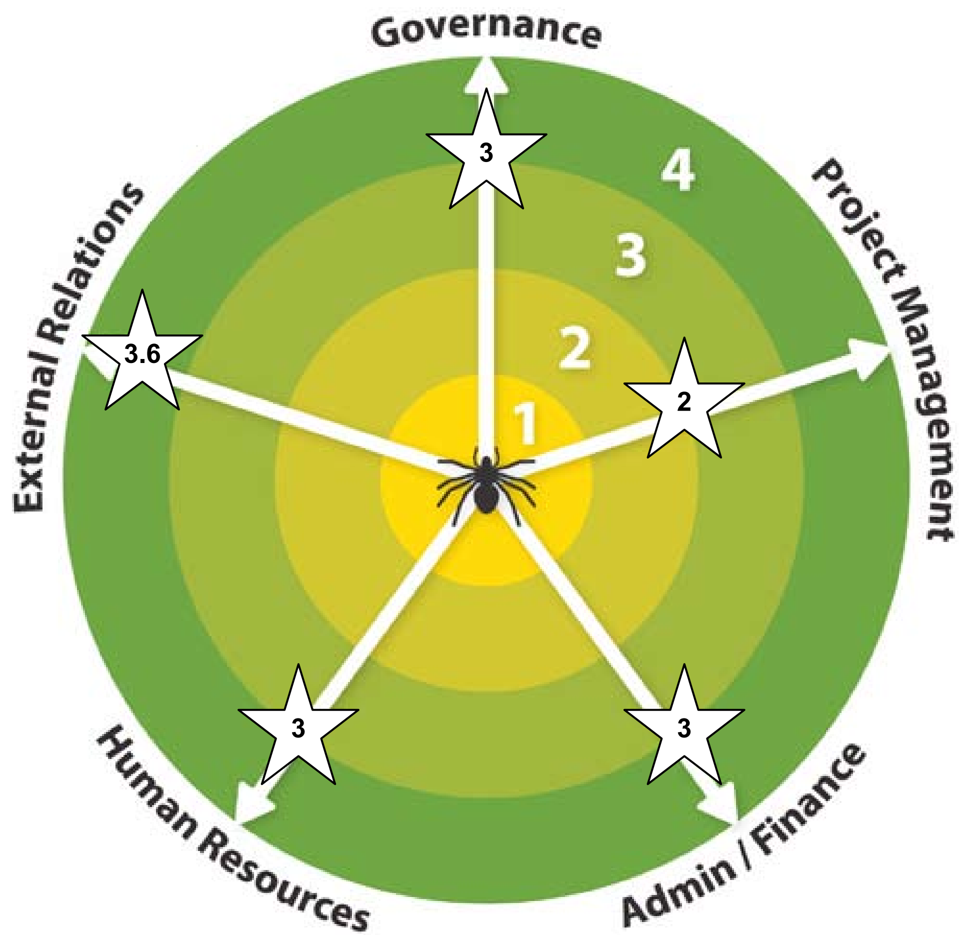
Key Determinant 5: External Relations	1	2	3	4
Is the organization known and trusted by the communities it serves?	Community relations have not yet been established.	A few community leaders and approximately 20% of the local population are familiar with the organization and the services it provides.	The organization and its services are trusted and supported by local leaders, and familiar to more than half of the community.	The organization is highly visible, trusted and respected by the majority of the community members and leaders it serves.
Does the organization collaborate with other local organizations or service providers?	The organization prefers to work in isolation and there is no contact or coordination with other local organizations or service providers.	The organization is known by other local organizations and service providers, but formal collaboration is rare.	The organization is in contact with other local organizations, and exchanges information and ideas whenever doing so is mutually beneficial.	Regular collaboration and good relations with other local organizations and service providers is a priority and practiced with success.
Does the organization interact with local media (e.g.. newspaper or radio)?	The organization has had no interaction with the local media.	The organization has made contact with local media, but no publicity or informational campaigns have been carried out.	The organization has once used local media for publicity and/or an informational campaign.	The organization frequently uses various local media sources to promote and implement project activities.
Is the organization recognized by the local government?	The organization has had no contact with local government officials.	The organization has contacted local government officials only to obtain NGO registration.	The organization consistently contacts local government to gain their cooperation with project activities.	The organization is highly respected by the local government, and frequently works in collaboration with officials to achieve project goals.
Has the organization succeeded in raising funds from donors other than the RHRC Consortium?	The organization has not identified other potential donors or applied for alternative funding.	The organization has identified potential donors, and has received non-financial support.	To date, the organization has received financial support from one other funding organization.	The organization actively pursues and receives financial and non-financial support from other donor organizations.
	External Relations Score:	18	**Average External Relations Score (total score/5)**	3.6

TOTAL SCORES AND NOTES

Key Determinant	Raw (Total) Score	Average Score	Notes/Comments
Vision, Mission, Values	**15**	**3**	This organization has several mission statements which need to be clarified into one clear mission statement which is displayed in the office and with which all members are familiar. Despite the lack of a clear written mission statement, members are united by a commitment to the betterment of members' welfare, to end gender based violence women and discrimination against people living with HIV/AIDS.
Management	**10**	**2**	The overall management of the organization traditionally falls to one person. Several new members of the Board have been recently appointed. There is no clear outline of how this took place. Roles and responsibilities of Board, Committee and Staff members are unclear and urgently need to be defined.
Finances	**12**	**3**	ARC held a finance training for key members but it is unclear how these skills are being used within the organization. Some projects have no funding to manage, however some projects have funding and must provide financial reports to their donors. ARC has requested copies of the financial reports for 2008 to help identify gaps for future trainings, however this is something that needs to be determined as useful by NGO XYZ. However in communication with NGO XYZ both ARC and NGO XYZ recognize ongoing documentation of this project's finances is essential to its success.

Human Resources	**15**	**3**	Staff positions have recently been changed in the organization, and the criteria for changes in the org chart are not clear. There is no real clarity between who is paid and who is not, and no standard pay system. People tend to get paid when there is a project funded by a donor. No policy here. Some board members are paid staff, which reduces transparency within the organization. The project needs to strengthen the quality of the volunteers who are providing counseling for VCT and peer educators who raise awareness in the community. Of the 100 volunteers who have been trained this year 53 have only received 1 training, 20 members 2 trainings, 5 members 3 trainings and 2 members all 4 trainings. This shows the need for more consistency in 2010 to create a core group of skilled counselors who regularly attend trainings, supervision and produce reports and benefit from support by ARC.
External Relations	**18**	**3.6**	This organization has a strong reputation in the local community and with local government and INGOs. NGO XYZ has received a lot of attention recently from other INGOs such as UNHCR and others. These relationships have benefits; UNHCR has provided a sewing machines and another organization has carried out trainings on PEP and the importance of immediate medical attention. An international organization has also arranged with to supply PEP drugs to the local hospital and NGO XYZ has incorporated this service into their referral protocol.

SCORING DIAGRAM **(spider's web)**



ACTION PLANNING

Aspect of OD	What gaps or weaknesses have you identified?	Which of these will you address in the next 12 months?	What strategies will you use?
Key Determinant 1: ***Vision, Mission, Values***	Several versions of the mission exists, a mission needs to be clarified, written down and displayed	Yes	The Board should bring together existing missions written in different proposals and reports and create a clarified version and promote to all members.
Key Determinant 2: ***Management***	The roles and responsibilities of Board, Committee and Staff members are unclear. The process of appointing new board, committee and staff members and approving proposals and reports is unclear.	Yes	The roles and responsibilities of members of the Board, Committee and Staff should be defined and all members made aware of them. A flow chart of decision making responsibilities should be defined and all members made aware of responsibilities
Key Determinant 3: ***Finances***	Desperate need for funding	Yes	Need to identify funders likely to be interested in funding a small CBO. Need to identify expertise to advise on this and prepare new proposals for forthcoming year.
Key Determinant 4: ***Human Resources***	Within the Sector, there is need for more support and a core team of skilled and committed GBV and HIV members needs to be identified and trained	Yes	Identify key people to train up and to take on more responsibility. Define roles and responsibilities for a focal point for each of the main areas within GBV and HIV Sector: Case Management, Playbacks, Drama, Outreach
Key Determinant 5: ***External Relations***	Competing interests between ARC and others leading to confusion and overburdening the organization	Yes	Continue to work with international organizations in the networks existing and organize meetings with everyone to talk through this tension

Capacity Building Plan

Organization Name:

Date this plan was developed:

Names of persons who developed this plan:

For the organization *For ARC*

The activities in this plan are based on the analysis and scoring from ARC's *SCORE Tool,* which should be attached to this plan.

The plan was developed and agreed upon through collaborative discussions between the organization and ARC representatives listed above.

Signatures

______________________________ ______________________________

______________________________ ______________________________

Capacity Building Needs (information, training, technical support, systems to be put into place etc.)	**Action to be Taken (who, where, how)**	**Timeline**
Vision, Mission, Values		
Board brings together existing value, mission, vision statements written in different proposals and reports and creates a clarified version		Feb 09
Display new mission and objectives in office and promote to members		Mar 09
Management		
Define roles and responsibilities of Board, Committee and Staff members, including appointment and assessment of staff, proposal and report approval, financial responsibilities and oversight.		Mar 09
Promote and explain roles and responsibilities of Board, Committee and Staff members to all members		Apr 09
Finances		
Need to identify funders likely to be interested in funding a small CBO. Need to identify expertise to advise on this.		Ongoing
Human Resources		
Identify key people to train up and to take on more responsibility in the project		Feb 09
Define roles and responsibilities for a focal point for each of the main areas within GBV Sector: Case Management, Playbacks, Drama, Outreach		Mar 09
Develop a specific capacity building plan for key staff technical capacities		Mar 09
Write up, hand out and display key staff roles and responsibilities and plan to develop core competencies		March 09
General meeting of members to support new positions and give feedback		Apr 09
Monthly meetings held between ARC and the organization include focal persons for each GBV area.		Ongoing
External Relations		
ARC continues to work with others in the network meetings to coordinate work		Ongoing
Organize specific meeting to talk through the tension and to coordinate activities and strategize for 2009		Jan/Feb 09

Appendix 3: Glossary

Capacity Building	An ongoing process between partners that improves the ability of each party, to meet objectives to perform better[107].
Conflict Affected	Regions of the world experiencing protracted conflict evidenced by prolonger stated crisis, widespread violence and insecurity, asset depletion and chronic displacement, rendering the pursuit of livelihoods difficult and dangerous[108].
Gender	The socially constructed roles, behaviors, activities, and attributes that a given society considers appropriate for men and women. Gender definitions can change.
Gender Based Violence	*…any act that results in, or is likely to result in, physical, sexual or psychological harm or suffering to women because of being women and men because of being men, including threats of such acts, coercion or arbitrary deprivation of liberty, whether occurring* ***in public or in private life****.* *…shall be understood to encompass, but not be limited to the following:* *1. Physical, sexual and psychological violence occurring* ***in the family****, including battering, sexual exploitation, sexual abuse of children in the household, dowry-related violence, marital rape, female genital mutilation and other traditional practices harmful to women, non-spousal violence and violence related to exploitation* *2. Physical, sexual and psychological violence occurring* ***within the general community****, including rape, sexual abuse, sexual harassment and intimidation at work, in educational institutions and elsewhere, trafficking in women and forced prostitution* *3. Physical, sexual and psychological violence* ***perpetrated or condoned by the State and institutions****, wherever it occurs*[109]*.*
Partnership	A complementary relationship with mutual advantages for two parties. The relationship depends on context and changes over time. Partnerships are guided by mutual respect, mutual accountability and equity, and should emphasize openness and learning.
Sex	The biological and physiological characteristics that define men and women. These do not change (without surgical intervention).

107 Adapted from CARE 'Building Partnerships for Health in Conflict Affected Settings', May 2007

108 Feinstein International Famine Centre, Tufts University, 2003, in CARE, Building Partnership for Health in Conflict Affected Settings, May 2007, p. 8

109 Expanded Definition of Sexual and Gender-based Violence used by UNHCR and implementing partners, based on Articles 1 and 2 of the United Nations General Assembly Declaration on the Elimination of Violence against Women (1993)