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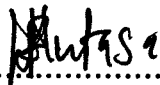
MASTER OF SCIENCE IN COMMUNITY ECONOMIC DEVELOPMENT
(2005)

**ORGANIZATIONAL CAPACITY BUILDING OF
COMMUNITY INITIATIVE SUPPORT
ORGANIZATION (CISO) IN TANDALE WARD,
DAR ES SALAAM CITY**

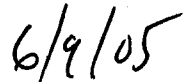
SEBASTIAN FRANCIS KITIKU

SUPERVISOR CERTIFICATION

This is to certify that I have gone through the project for Kitiku, Sebastian Francis and found it in a form acceptable for the partial fulfilment of the requirement for the Master's of Science in Community Economic Development of the Southern New Hampshire University and Open University of Tanzania.



.....
Mr Mutasa Felician



.....
Date

STATEMENT OF COPYRIGHT

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Many thanks also conveyed to all my class mates on the course, particularly Mbelwa Gabagambi, Godfrey Tweve and Caroline Muthoni for moral and material support during the course.

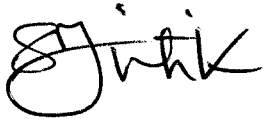
More over, the author acknowledges the efforts and support provided by CISO executive members particularly Executive Secretary and the chairperson and Concern Worldwide for partially funding my course and part of the normal working hours to attend classes.

I wish also to thank my family particularly my wife Catherine, my brothers and my parents who shared many uncertainties and sacrifices during my studies, without those supports it could not have been possible.

I lastly, acknowledge the sincere support provided to me by my close friends particularly Anthony Mwendamaka, Peres Boniface and Zablon Kengera

DECLARATION STATEMENT

I *Sebastian Kitiku* declaring that this work is my own original work, and that it has not been submitted for the similar degree in any other university



Student

DEDICATION

This work is dedicated to my parents Mr and Mrs Dominic and my wife Catherine and my sons Teddy and Frank.

LIST OF ABBREVIATION

CBAP	Capacity Building Action Plan
CBO	Community Based Organization
CED	Community Development Programme
CISO	Community Initiative Support Organization
EASUN	East Africa Support Unit for NGOs
OSA	Organizational Self Assessment

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ABSTRACT

This paper assesses the organizational capacity building gaps of the Local NGO (CISO) for the purpose of identifying the organizational strengths and limitations so as to find possible ways of improving their performance. This in turn would lead to the improvement and strengthening the capacity of local NGO members to effectively deliver services and bring about social change to the community. The study and the findings were used to provide recommendations on organizational capacity building for sustainable organizational growth and development of the organization based in Tandale Ward in Dar es Salaam city.

In the assessment process, the following tools were used together necessarily information for strategic planning; questionnaires, informal interview, focus groups' discussions and direct observation. Relevant literature and theories such as NGOs sector in community development, organizational capacity building, capacity building cycle and the Tanzania Community Development Policy were reviewed.

The study findings revealed that the implemented organizational capacity building project was ideal and was considered helpful by the organizational members. It also showed that inadequate organizational capacity skills of the organizational members hinder the organizational growth and development in most of the Local NGOs in Tanzania. The inadequate organizational skills including strategic visioning skills, project design and management skills; management practices skills, human resources management skills, administrative management skills, financial management skills and external relations and networking skills.

For organizational development and sustainability of the Local NGOs, the respondents and the research findings recommended improvements in the following key areas: Periodically review and strengthening vision, mission, goal and organizational values, Enhance organizational capacity in participatory project design and management, improvement in recruitment procedures and develop the existing staff to cope with the changing world and enhancement of fund raising procedures.

Generally, the study findings recommended the following:

- The organization should have clear, focused, realistic and time-bound written long-range goals, which are consistent with the vision, values and mission of the organization. All staff should be involved in formulating these goals
- New projects should generally be consistent with long-range goals and overall program design, and make some attempt to respond to the problems and needs identified by the defined target group.
- Leaders should demonstrate value of people and staff by listening and being open to ideas and information that is shared with staff in the belief that can assist in making good decisions.
- The organization should develop written personnel policies, which reflect the organization's values and support the organization's purposes.
- Organization should have clear procedures for authorizing procurement of goods and services where by quotations is required from more than one source for purchases over a specified amount and these procedures should be consistently followed.
- Written financial policies and procedures should be developed and are consistently used to ensure the security and proper use of funds, and accurate and timely reporting to donors and other relevant entities.

- Organization should develop strategy to initiate contacts and meet with potential donors on a regular basis and demonstrates knowledge of donors and trends in funding as well as maintain up to date information base on potential donors

In trying to address some of these recommendations, facilitator used different approaches including offering advice, facilitate training workshops, providing on-the-job training and mentoring; and facilitating linkages with other organisations. The outcome realized during capacity building support including reviewing of organizational vision, mission, values and goal following training workshop organized for them. CISO was also supported in the formulation of monitoring and evaluation tool; organizational by-laws were also formulated during this reporting period.

It is hoped that part of recommendations which were implemented and the outstanding ones in this study and during the whole process of organizational capacity building will improve the capacity of the organizational members and eventually serve the target community to improve their living standard.

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CHAPTER ONE

1.0 ORGANIZATIONAL BACKGROUND

Community Initiative Support Organization (CISO) is a Local Non-Government Organization that I have selected to work with by providing technical support on organizational capacity building.

The idea of working with CISO came as an initial assessment to identify a small non-governmental organization that I could provide my technical support throughout my CED program period. The selection of this organization was influenced by the curiosity of its members to learn

The initial contact with CISO was made in October 2003 through a formal letter requesting an opportunity to work with the organization by providing technical support. CISO management team accepted my request and made an arrangement to meet for further discussions, which was held end of November 2003

(Correspondence letter appendix1).

Following the discussion with the executive committee on the type of support they were in need of, it was generally agreed that *organizational capacity building* is highly needed with much emphasis on Project Cycle Management (PCM). The technical support will in turn result to strengthened capacity of the organization members to deliver quality services to the community. Organization Capacity Assessment (OCA) was organized involving organizational members and some community members to identify the capacity building gaps for capacity building intervention.

2.0 THE GENERAL OVER VIEW OF CISO

Community Initiative Support Organization (CISO) is a newly formed and emergent organization founded July 2003 and is currently registered under the United Republic of Tanzania, Ministry of Home Affairs, and Rules 5 of 1954. Certificate of registration: SO. No 12478. The organization is run by the group of volunteers under the supervision of the executive committee. It is located in Tandale ward, Kinondoni District in Dar es Salaam, along Tandale Uzuri road on the way to and from Sinza.

2.1 The philosophy of CISO states that if individuals and communities are empowered, they are capable of driving their own development agenda. CISO is concerned with empowering the poor and disadvantaged groups in order to improve their quality of life.

The main focus of CISO is therefore:

- Facilitating and enhancing the participation of the community and most vulnerable groups in the improvement of health status and environmental management initiatives for promotion of the standard living.
- Creating, supporting and sustaining increased awareness of HIV/AIDS through advocacy, information sharing, education and communication for behaviour change among the youths and the school children.

2.2 Vision of the organization

CISO would like to see a community with improved health status and environmental condition lead to a prolonged and fulfilled life.

2.3 Mission of the organization

CISO's mission is to strive to diversify opportunities for the disadvantaged individuals, their families and communities in order to access basic health services for sustainable improved health status and environmental care. This will be achieved through:

- Promotion of innovative technologies on health related issues that recognize communities' potentialities including HIV/AIDS pandemic.
- Promoting the spirit of conserving the surrounding environment including tree planting and removal of the solid waste materials.

2.4 Goal of the Organization

The organizational goal is to improve standard living of the community by improving the environmental condition and health and reduce poverty among the most vulnerable groups in Tandale ward.

2.5 Specific objectives of the Organization are:

- To raise awareness on the negative effect of HIV/ AIDS to youths and the school children
- To provide home based care and support to HIV/AIDS victims or clients.
- To promote community fund raising to help the HIV/AIDS victims.
- To build capacity of the environmental committees to oversee the environmental related issues to the community.
- To encourage and promote net working among NGOs and CBOs in order to increase synergy among them on health and environment issues.

2.6 Organizational structure

The organizational and management structure for CISO looks simple to read and understand. Looking at the structure, one can easily see the line of responsibilities, relationship and the reporting system within the organization. (The organization structure is clarified in appendix 2).

3.0 PROBLEM STATEMENT

It's believed that community initiatives with adequate capacity in development are important to bring about a sustainable community development programme. Community efforts when properly facilitated and mobilized, and when community members fully participate in identification and solving their own problems, sustainable development can be achieved. The Tanzanian Community Development Policy (1996) emphasizes on this need for community initiative in development as the main objective of the policy is to enable Tanzanians as individuals or in their families and groups or associations to contribute more to the government objectives of self reliance and therefore bring about development at all levels and finally the nation as a whole.

Local Non Governmental Organizations in Tanzania are facing a variety of problems ranging from limited financial capacity to lack of clear plans. (Meshack 2000) observed that LNGOs in Dar es Salaam have poor funding mechanisms and excessively depend on donors. Also there exist weak link between LNGOs and local government. LNGOs have low capacity due to lack of adequate skills of members as most of them have low or no training.

LNGOs also experience lack of commitment by members, as only few members are usually actively fully involved. Conflicts among leaders and other interest groups occur, and these constrain and affect implementation of LNGO projects. Maira (1998) shows that LNGOs in Dar es Salaam lack transparency leading to misunderstanding.

(UN, 2002) shows that local NGOs are community based and are continuously affected by problems of poor leadership and lack of financial resources. Donor dependence has also affected the functioning of most NGOs.

Further to that, it is principally accepted that NGOs have a big role of supplementing and complimenting government efforts in service provision as well as to bring about social change in the community. A study conducted by World Bank (2001) showed the general strengths and weaknesses of the Local NGOs.

Because the nature and quality of individual Local NGOs varies greatly, it is extremely difficult to make generalizations about the sector as a whole. Despite this diversity, some specific most commonly identified weaknesses associated with the Local NGO sector include the following:

- Limited financial and management expertise;
- Limited institutional capacity;
- Low levels of self-sustainability;
- Isolation/lack of inter-organizational communication and/or coordination;
- Small scale interventions;
- Lack of understanding of the broader social or economic context.

The initial assessment done by the author in collaboration with the organizational members revealed that CISO is facing similar weaknesses that need organizational capacity building. CISO as a newly formed organization is currently facing a critical financial problem; CISOs' staffs work on a voluntary basis; they have contributed funds to support the organisation's formation and take off. They have been supporting organisational development through their own member contributions and work on voluntary basis in executing daily organisation works.

Despite of acute financial difficulties, it was principally agreed that organizational capacity building should be given first priority believing that with adequate skills and knowledge they can fund raise and settle their financial problems; which in turn will address the priority problems and needs of the community. CISO members strongly believe that "*knowledge is power*", hence with adequate knowledge and skills they can collectively sort out their problems and find ways to address them.

4.0 PURPOSE OF THE PROJECT (*Organizational Capacity Building*)

4.1 General objective

To facilitate organizational capacity building of the local NGO to effectively deliver services and bring about social change to the community.

4.2 Specific objectives of the study were:

- To examine the organizational capacity building gaps of the Local NGO that hinders organizational capacity development.

- To strengthen the capacity of local NGO members so as to effectively deliver services and bring about social change to the community.
- To provide recommendations on organizational capacity building for sustainable organizational growth and development

As facilitator, my role was *to help guide the process, not to influence its outcome*. I was as neutral and non judgemental as possible, particularly about the motivation for people's involvement in the organisation.

A facilitator had to empower the organization members to be open and honest about their motives, and hence successfully ensured capacity building process on smoothly throughout the project life.

CHAPTER TWO

5.0 LITERATURE REVIEW.

5.1 Theoretical review.

5.1.1 Definition of an NGO

The World Bank defines NGOs as "private organizations that pursue activities to relieve suffering, promote the interests of the poor, protect the environment, provide basic social services, or undertake community development" (Operational Directive 14.70). In wider usage, the term NGO can be applied to any non-profit organization, which is independent from government. NGOs are typically value-based organizations, which depend in whole or in part, on charitable donations and voluntary service. Although the NGO sector has become increasingly professionalized over the last two decades, principles of altruism and voluntarism remain key defining characteristics.

5.1.2 Categories of NGOs

The term NGO is very broad and encompasses many different types of organizations. In the field of development, NGOs range from large, northern-based charities such as CARE, Oxfam and World Vision to community-based self-help groups in the South. They also include research institutes, churches, professional associations and lobby groups. The World Bank tends to interact with two main categories of NGOs:

- (i) ***Operational*** NGOs - whose primary purpose is the design and implementation of development-related projects, and;

- (ii) **Advocacy** NGOs - whose primary purpose is to defend or promote a specific cause and who seek to influence the policies and practices of the policy makers.

The focus of this paper is operational collaboration, as opposed to policy dialogue with NGOs. As a result, the emphasis here will be on the first of these groups. It should be noted, however, that these two categories are not mutually exclusive. A growing number of NGOs engage in both operational and advocacy activities, and some advocacy groups, while not directly involved in designing and implementing projects, focus on specific project-related concerns.

Under the operational NGOs the World Bank classifies operational NGOs into three main groups:

- (i) **Community-based** organizations (CBOs) - which serve a specific population in a narrow geographic area;
- (ii) **National** organizations - which operate in individual developing countries, and;
- (iii) **International** organizations - which are typically headquartered in developed countries and carry out operations in more than one developing country. Throughout the 1970s and 1980s, most examples of World Bank-NGO collaboration involved international NGOs. In recent years, however, this trend has been reversed. Among projects involving NGO collaboration recorded in FY94, 40% involved CBOs, 70% involved national organizations and 10% involved international organizations.

CBOs (also referred to as grassroots organizations or peoples' organizations) are distinct in nature and purpose from other NGOs. While national and international organizations are "intermediary" NGOs which are formed to serve others; CBOs are normally "membership" organizations made up of a group of individuals who have joined together to further their own interests (e.g.: women's groups, credit circles, youth clubs, cooperatives and farmer associations). In the context of Bank-financed activities, national or international NGOs are normally contracted to deliver services, design projects or conduct research. CBOs are more likely to be the recipients of project goods and services.

In projects, which promote participatory development, grassroots organizations play the key function of providing an institutional framework for beneficiary participation. CBOs might, for example: be consulted during design to ensure that project goals reflect beneficiary interests; undertake the implementation of community-level project components; or receive funds to design and implement sub-projects. Many national and international NGOs work in partnership with CBOs - either channelling development resources to them or providing them with services or technical assistance. Such NGOs can play a particularly important role as "intermediaries" between CBOs and institutions such as the World Bank or government.

5.1.2 Capacity building

Capacity building is understood as an approach aimed at creating the conditions in which change can take place from within an organisation. Within its programmes, it is a process by which some one can facilitate the growth of the organisation's

capacity 'to self-reflect, to self-regulate and to take control of its own processes of improvement and learning' (Kaplan, 1996).

The overall purpose of the capacity building programme is to help the organisation to become strong, autonomous, sustainable, legitimate in the eyes of their communities and effective in their anti-poverty activities. In so doing, it aims to strengthen the capabilities of like-minded development agents to play a meaningful role in poverty alleviation.

To carry out capacity building activities one needs to appreciate that each organization has its own, unique organisational development needs and that in each case an individually tailored capacity building strategy must be collaboratively drawn up based on the mission, vision and ethos of the partner.

To build an effective capacity building with an organization means taking organization where they are at, working at the pace that suits them and promoting ways of working appropriate to their scale, status and level of organisation. Capacity building is seen as a process that continues throughout the life of an organisation. It is understood that there is not, and cannot be, a generic blueprint for capacity building, and that it is the fundamental right of every organisation to determine the nature and direction of its own development.

Capacity building is primarily concerned with improving the effectiveness of the structured way in which the people in an organisation work together so as to help them fulfil their purpose. It is an ongoing process aimed at improving the functional

capacity of an organisation to meet the needs of its members and stakeholders. Throughout the process of capacity building, an organisation should serve the needs of the members not vice versa.

The capacity building cycle

The basic steps involved in the process of capacity building (Concern Worldwide capacity building manual 2002) are:

- Analysis of the organisation's current situation.
- Deciding upon a desired new situation for the organisation.
- Mapping the way from the current situation to the desired new one.
- Managing the transition.
- Repeating the process

For this process to be effective, it must be understood to be internal to the organisation itself. If it is thought to be for any other donor or partner, the process will almost inevitably be, consciously or subconsciously, biased by preconceived notions of what we want to hear. Ideally, external facilitator should help the organisation to understand the process and to develop a plan for implementing it, and then step back and allow them to do it on their own and for themselves.

The steps involved are similar to those of strategic planning, but the two processes should not be confused. The CBAP is much narrower and more introverted in its scope and function. Whereas a strategic plan may be very ambitious in its vision and mission and may centrally involve a broad range of stakeholders in its development, a CBAP is focused primarily on the internal environment of the organisation. The

development of the CBAP involves only the members of the organisation, and the plan, when finished, is first and foremost a tool for the internal use of the organisation's management. Capacity building encompasses a process of collaborative diagnosis based on action research. Other exercises such as (external) stakeholder analysis or a peer review of the organisation can assist the process by helping ensure informed decision making by the membership.

Each of the steps mentioned above is now looked at in more depth.

➤ *Analysis of the organisation's current state.*

The first step to any controlled transition is to get an understanding of the present. The members of the organisation should undertake a comprehensive review of its current state, identifying, in particular, the prevailing strengths and weakness of the organisation *in relation to its ability to deliver what the members want from it*. It is important to clarify what exactly the organisation wants to achieve for its intended beneficiaries, as well as, in the case of an NGO, clearly identifying the common interest that motivates its membership.

Obviously this is only possible if the members know and agree on the purpose of their organisation. As a first step of the analysis, there must therefore be consensus on the purpose of the organisation and on the values that should underpin its work. In this part of the process, every one needs to be as open and honest as possible about their motivation. Each member needs to answer some key questions, such as:

- 'What are your motivation for involvement in the organisation?'
- 'What are your expectations of it?'

- ‘Are your expectations of the organisation being met?’
- ‘If so, in what ways?’
- ‘If not, why not?’
- ‘What do you want the organisation to achieve?’
- ‘What are you prepared to contribute?’

The actual questions to be posed should be developed by representatives of the organisation, with facilitation by external facilitator. Based on these types of questions, an overall unity of purpose among the membership should be discerned and articulated. With this purpose in mind, the members should then analyse the effectiveness of such aspects of the organisation including its structure, programme strategy, management practices, operating systems, external relations and the sustainability of the organization.

It is vital that participants understand this as an internal process. If it is viewed as a chance to impress other partners or donors, the whole process of capacity building will be skewed from the start. This must therefore be understood to be the organisation’s own process, for the benefit of the organisation itself.

As a facilitator, your role is to help guide the process, not to influence its outcome.

You must be as neutral and non judgemental as possible, particular about the motivation for people’s involvement in the organisation.

If, at this stage, people are not prepared to be *open and honest about their motives*, the whole subsequent process may be a waste of time.

➤ *Deciding upon a desired new situation for the organisation.*

Once the members understand the strengths and weaknesses of the organisation in relation to what they want from it, they should be able to envisage a changed organisation that is able to satisfy their needs. They should develop a shared, agreed vision for the future of the organisation. This vision should be reached by consensus among the membership, so as to create a unity of purpose, and should be based on members' and stakeholders' desired outputs of the organisation. The vision must fulfil what the stakeholders' want from the organisation, not what they think other people eg. donors might want from it. If a vision statement is developed that does not reflect the true will of the membership, there is little chance of meaningful support for change, and a good chance of resistance to it. Generally, the following guidelines should apply:

- The vision should be of a changed organisation, not of a changed world. It may be of an organisation that can change the world, but for this process the changes required to fulfil the vision should be within the capabilities of the members.
- The vision should be of an improved organisation that meets the needs of members and other stakeholders. The results of stakeholder / peer analysis should inform the process of developing a vision.
- The vision must be realistic and achievable by the members.
- Making the vision time-bound helps to create a sense of urgency.

You must do all you can to ensure that the vision honestly reflects the desires of the membership. If the prime need of the membership is self-benefit, the vision should reflect that. For it to be worthwhile it must be based on their needs, not what they think of you (as representative of a potential donor) or any other outsider would like

it to be. If the vision does not represent the fulfilment of the true desires of the members, it will not be strived for. There is little point then in planning for its fulfilment.

➤ *Mapping the way from the current situation to the desired new one.*

By now the membership is aware of the prevailing strengths and weaknesses of the organisation, and it has a vision of how it wants the organisation to be in the future. Based on this knowledge, the organisation's members should be able to formulate a Capacity Building Action Plan (CBAP) that will help them to bring about the desired overall change, through a whole series of incremental changes within the organisation and in its relations with the outside world. The nature of the changes depends upon the judgement and priorities of the members. In drawing up the plan, members should take into account the risks identified during the OSA, and should draw up contingency plans to counter them. They should also devise ways to capitalise on the opportunities that have been identified.

In developing the plan, participants should start with the Vision Statement and, always asking 'how can this be achieved?' work backwards to formulate goals, objectives, and actions and finally tasks that can make it happen.

Table 1 Sample of organizational matrix

Vision:	The future situation that is being aimed for.
Goals:	Expresses what needs to be achieved to fulfil the vision. The goals must be clearly understood and reachable. Indicators should be assigned to measure success.
Objectives:	Operational statements detailing how the goals can be achieved. The objectives should be clearly defined, realistic and achievable. Indicators should be assigned to measure success.
Actions:	Tangible things that must be done to realise the objectives. Indicators should be assigned to measure success.
Tasks:	Day to day operations that are assigned to an individual. The tasks must be comprehensive, to ensure the completion of each action. Indicators should be assigned to measure success.

Source: Concern Capacity Building guideline 2001

As a facilitator your role is to guide the process to ensure that the members devise a comprehensive plan. The contents of the plan should reflect the will of the members, not your opinion of what they need to do. You are free to offer advice, if asked, but the onus should be kept on the members to develop a strategy appropriate to their needs of the organisation.

➤ ***Managing the transition***

In formulating the CBAP, the members started with the vision statement and worked backwards to arrive at the necessary tasks. In implementing the plan the order is reversed, with the basic tasks being undertaken in order to complete the actions,

which in turn meet the objectives, which eventually fulfil the goals, leading to the achievement of the vision. It sounds very easy, but in reality its not. The success of the process depends to a large extent on the ability of management of the organisation to ensure that all of the individual tasks are completed as planned, and that they collectively get into a coherent, managed transition. While doing this, they also have to maintain consensus and enthusiasm within the membership about the desirability of change. The ongoing changes in the organisation should be monitored in relation to the CBAP.

It is likely that implementing the CBAP will involve the organisation acquiring new skills, and being exposed to new ideas and new ways of working. It will also involve building upon existing skills and resources. However, the transition should not just be about moving from one point to another, but about improving the ability of the organisation to embrace and manage change. The organisation as a whole should grow in confidence and competence.

Within the capacity building relationship, external technical support should be available, upon request, to assist in the implementation of any aspects of the plan.

This may involve such things as;

- Offering advice
- Facilitate training workshops
- Providing on-the-job training and mentoring
- Facilitate attendance at training courses
- Facilitate study tours
- Provision of grants (linked to CBAP)

- Facilitating linkages with other organisations

As a facilitator it is important that each supported activity is located within the overall process of implementing the CBAP. The activity, whether training exercise, exchange visit or provision of grant funding, should represent one of a logical sequence of steps along the path towards fulfilment of its vision. External support for the process of change should be *demand driven*.

➤ ***Repeating the process***

Capacity building is not just a linear exercise, with a beginning, middle and end. It is a process that continues, formally and informally, throughout the life of an organisation. However, it is important that change continues to be based on consensus within the organisation and effectively managed by leaders. The process does not end with the completion of CBAP implementation - it begins again, with an evaluation of the new, prevailing situation, the conception of a new vision and the formulation of a new plan.

5.3 Empirical review.

5.3.1 Capacity building of local NGOs in Tanzania (Pact Tanzania 2002)

Pact Tanzania is an International NGO that is involved in capacity building of local NGOs dealing with several sectors, providing services as well as advocating for change. This is done through training workshops and mentoring support in variety of issues affecting communities and society in general such as HIV/AIDS, education, land rights, children's rights, agriculture, the environment as well as rights and needs of marginalized groups- people with disabilities, pastoralists and women.

Organizational Capacity Assessment

For any capacity building intervention to be effective, organizational capacity assessment should be done in order to identify organizational capacity building gaps for support. Pact Tanzania (International organization focus on capacity building of the local NGOs) designed an assessment tool known as OCAT (Organizational Capacity Assessment for CSOs in Tanzania)

The OCAT has been developed in response to a need to examine the impact of Civil Society Organisations' (CSO) capacity building activities. It is based on existing knowledge of organisational development and Pact's experience in working with civil society organizations around the globe. At present, the OCAT is being developed, field-tested or implemented in more than nine countries throughout the region.

Under OCAT, the following key components of the organization guide the process:

Governance

Governance refers to the leadership and direction of the CSO/CBO. Leadership involves articulating and maintaining the CSO/CBO's vision and mission, which is shared by the governing body (board/executive committee/ directors/trustees) or other oversight bodies. The governing body provides direction, maintains independent oversight of the management, and ensures that effective strategic planning takes place. The governing body can help to identify and procure resources for activities, carry out public relations, and lobby government for effective policy development or reform. It can bring additional professional and ethical expertise specialists to join it.

The role and responsibilities of the governing body include:

- Review of vision and mission
- Defining, formulating and approving policies for the organization
- Motivating and supporting management
- Protecting resources of the organization
- Initiating fundraising
- Forging linkages with donors
- Proving oversight

Management Practices

Refers to mechanism used to coordinate operations within the organization, which include:

- Clear organizational constitution
- Clear organizational structure, indicating power and relations amongst members

- Clear organizational culture that reflects how those who work to achieve its mission perceive, think, feel about and respond to situations affecting the CSO/CBO's purpose, program and operations. A common organizational culture contributes meaning and stability to the organization and ensures high performance from the staff
- Clear job description
- Clear communication channels
- Clear organizational policies
- Good record keeping
- Transparency
- Clear delegation
- Effective planning implementation, monitoring, evaluation and reporting systems. Programme or project plans are best implemented when supported by a management plan that identifies requirements for technical assistance, financial, logistical and human resources and budgets and schedules.

Human Resources

Human resources are all the people involved at different levels and with different capacities of the organization. Among these are management, staff members, volunteers, communities, funders and governing body members. These stakeholders should have the motivation, the opportunity and the skills required to contribute in meaningful ways to the organization.

Mechanisms for decision making, human resources development, conflict resolution, communication, and meeting protocol are as important as job organization and work allocation. Staff and communities will be asked to perform tasks that fill their skills

and expertise. Opportunities to upgrade skills or develop new ones will be provided, as these are needed to do the work of the CSO/CBO. Staff should be able to use all their skills and experience, if they are to contribute to the organization in a meaningful way and find satisfaction in their work. They should be encouraged to take initiatives to improve the ways in which the work is done.

Financial Management

Financial resources capacity is one of the key elements in strengthening the organizational development process. Planned activities need to have budgets. CSO/CBOs should also have to define how they are going to secure funding for the activities. Fundraising strategies should be clearly understood and shared among stakeholders

There should be clear financial policy and regulations developed in a participatory way, shared and adhered to by both management and the governing body. There should be an action plan attached to strategic plans to act as guidelines for effective financial planning.

The management of a CSO/CBO needs to ensure that it complies with the legal, fiduciary and labour regulations of its country in a cost-effective manner. These are some of the organizational capacities that each CSO/CBO should be assisting its target community to acquire to ensure long-term sustainability of programme services and more independence for the community. The CSO/CBO needs to comply with donor regulations.

There is a need for assured accountability, transparency and integrity

Donor funds need to comply with the CSO/CBO's activities that are in line with its mission and goals. Funds with restrictions serving the donor's interest should be avoided as they jeopardize the performance of the CSO/CBOs.

Service Delivery

CSO/CBOs are initiated with an aim to benefit a target population, to serve a particular purpose. Thus, beneficiaries need to be actively involved in the initiating, planning, management, monitoring and evaluating programs and projects. The CSO/CBO's services need to be available, accessible and affordable by intended beneficiaries

Development of monitoring tools and methods should form part of planned activities. There should be continued feedback, reporting on progress and information sharing among the stakeholders. Focus should be on the sustainability of planned activities for more effective political and socio-economic development. The amount of service (quantity) and the quality of services must be carefully considered.

CSO/CBOs operational environment should be kept in a continuous motivating manner and staff rewarded accordingly. Service delivery should go along with staff development for better quality (improved quality, efficiency and efficacy)

External Relations

An effective CSO/CBO recognizes and responds appropriately to the larger context within which it operates, including the social, political, ecological, and economic and other forces that surround it. In order to build collaborative supportive relationships within the larger context, a CSO/CBO should become known within appropriate groups within a community, establish a track record of achievements, and widen its impact through partnerships with government, funder networks and other agencies

and CSO/CBOs active in the same sectors and geographic areas. A successful CSO/CBO should strengthen its relationship with government without compromising its integrity and independence. It should ensure that its activities relate to the sectoral coalitions and other bodies or development agencies and the national CSO/CBO coalition, and it should respect CSO/CBO legislation. In addition, CSO/CBOs should participate in lobbying and advocacy networks to influence legislation, national, regional and district planning for the benefit of the larger community.

Recognizing that effective CSO/CBOs cannot work in isolation, they need to engage with stakeholders such as government, other CSO/CBOs, media, influential individuals, beneficiaries, donors, institutions, competitors and opponents.

Sustainability

Sustainability involves time, commitment, planning and vision that cut across the seven components of organizational effectiveness identified for TZ CSO/CBOs that enables continuity of the organization. For the CSO/CBO to be sustainable, the following are essential:

- Good governance;
- Clear policies;
- Voluntarism;
- Good CSO/CBO-government-donor relations;
- Financial accountability; transparency and integrity;
- Good participatory programs and projects;
- Ability to raise funds;
- Physical base for accessibility (contact and communication);
- Collaboration / networking / coalition;

- Participatory in the formulation of vision and mission between implementers and beneficiaries;
- Preparation of strategic plan – assessment, analysis, action (implementers using SMART process);
- Review of implementation activities (lessons learned);
- Effective resource mobilisation management;
- Proactive in adapting to change in seeking resources;
- Proper documentation of activities and dissemination;

5.3.2 Capacity building of local NGOs in Tanzania (EASUN 2000)

East African Support Unit for NGOs (EASUN) is a regional non-governmental development organisation, which strengthens Civil Society Organisations (CSOs) in East Africa to become confident and sustainable institutions, through which the poor and other marginalized people can voice and meet their needs. EASUN does this through training workshops of CSOs to become learning organisations that are able to manage change towards greater effectiveness for social and economic development.

What Organisation Development (OD) brings to capacity building?

The EASUN' s capacity building work with NGOs is guided by the principles of Organisation Development (OD) as a unique approach to capacity building. A discussion in groups then reflected on what OD uniquely brings to capacity building as added value in terms of values, approaches, assumptions and methods. The following are the responses as presented:

- A comprehensive understanding of organisations, as dynamic, living organisms with various levels, which influences what, is brought into capacity building.
- Strategy making that builds capabilities in relation to an organisation's identity and sense of purpose.
- Building consciousness about organisational learning as a key aspect in change management.
- Creating awareness of organisational culture and how it can be managed thus building dynamic capacity in organisations.
- Balancing the need for structure and flexibility for innovation, learning and development.
- Building a facilitative posture that enables ownership of learning and development.
- Facilitating understanding of own situation i.e. identification of own problems and how to solve them.
- Leaving specific capacities behind which the organisation can further build on for its effectiveness and sustainability.

In essence, OD brings "development", i.e. the ability of organisations to learn and manage change; thus being able to respond effectively in a complex and changing environment for greater effectiveness in social and economic development.

Organisational challenges and needs of local NGOs

EASUNs' experience in supporting Local NGOs in Tanzania has drawn a number of organizational challenges and needs for local NGOs:

i) Unclear identity, which undermines local NGOs stability and legitimacy

Charismatic founders in local communities often form local NGOs. More often than not, at the founding of the local NGO, there is no articulation of the vision and sense of purpose of the NGO. This lack of a clear identity makes local NGOs prone to manipulations and distortions of their development vision by powerful individuals and institutions. Lack of a clear identity also raises questions about the rootedness and legitimacy of NGOs in local communities, their articulation and addressing of community needs and aspirations; and their claim as being part and parcel of the communities they serve. In fact, while NGOs are borne out of local communities, their greatest challenge is legitimacy and acceptability in communities where they are located. Quite often, communities find it easier and "more fashionable" to legitimise "foreign" organisations as opposed to NGOs in their midst.

ii) Personalised leadership among local NGOs

A number of local NGOs revolve around the leadership of one or a few founding individuals. These founding individuals have tended to limit the vision of the NGO to their personal interests and have not built a credible leadership in the NGO beyond them. This situation has made NGOs unable to take up and manage challenges in their internal and external environment effectively. This poses a big threat to the continuity and sustainability of NGOs.

iii) Membership expectations that varies widely, making local NGOs a place of on-going conflict

Upon founding of local NGOs, membership is not mobilised and recruited around a clear sense of purpose and identity as noted earlier. Consequently, there are a lot of expectations many of which the local NGOs are not able to address. The varied expectations threaten to tear apart local NGOs and negatively affect membership commitment.

iv) A poor resource base and financial instability

Local NGOs often lack sufficient resources i.e. financial, human and material to effectively carry out their activities. Local NGOs rely mainly on funds raised internally from membership contributions, which are normally inadequate to run local NGO activities and programmes. Local NGOs find it difficult to access donor funding due to their remote locations, difficulties in writing good proposals and complex funding conditionalities imposed by external donors. It is difficult for local NGOs to attract and retain competent staffs, which prefers seeking lucrative employment in urban centres.

v) Lack of confidence limiting local NGOs' ability to collaborate and claim their rights

Local NGOs lack confidence and skills to claim their rights and advance their cause. Local NGOs also lack the capacity and confidence to analyse and interpret their needs and aspirations in order to influence their local situation and policies at national and international levels. This is due to a number of reasons

- 1) Lack of exposure and access to information due to isolation
- 2) Low levels of formal education and limited skills
- 3) Patronages by third parties who undermine the ability of local NGOs to make independent decisions and voice their needs. This situation undermines the crucial role of local NGOs as advocates of community needs and aspirations.

vi) Unfavourable government policies

Local NGOs are not well recognised by government and this makes it difficult for Local NGOs to mobilise the necessary support from government for their work. Government bureaucracy and non-responsiveness makes local NGOs shy away from collaboration with government in order to benefit from support services. Corrupt government officials do little to help the situation. Local politicians manipulate self-help activities for generating political capital and popularity. When local NGOs engage in income generating activities, they are subjected to unreasonably high taxes and other conditionalities that limit their profits and sometimes kick them completely out of business.

The situation described above reveals the fragility and vulnerability of local NGOs as they interface with various actors like donors, intermediary NGOs, politicians and local government structures.

5.3.3 Capacity building of local NGOs in Tanzania (a case study of TRACE)

TRACE (Training and Facilitation Centre), is a Tanzanian Non-Profit making NGO dedicated to providing training and facilitation services to NGOs, CBOs, government

institutions and other local and International organisations involved in development work.

TRACE grew out of the practice of providing training and consultancy services to NGOs in Tanzania, in the framework of a program pursued by the international NGO, VECO (previously called COOPIBO).

The motivate behind the inception of TRACE lies on deeply felt need for Organisational Development services in Tanzania and vast experience of its pioneers in working with organisations in Tanzania and their strong commitment to contributing in the creation of a vibrant civil society in the country

TRACE pursues four strategic objectives:

1. Organisations have the required capacity to be effective and efficient in their work

TRACE contributes to building capacity for organisational development (OD) within civil society in Tanzania through training and facilitation processes, so as to strengthen organisational capacity to be able to address a number of challenges in the community e.g. poverty, gender, HIV/AIDS, human rights, etc.

2. OD practice is more appreciated by CSOs.

Through training (formation) networking and collaborating with OD service providers in and outside the country OD practice will be more appreciated and more information will be shared, disseminated and published with the interest of benefiting more organisations to appreciate the usefulness of OD.

3. Practices and Policies that enhance good governance in CSOs and local government are promoted

Use of participatory development approaches in research, training, planning, monitoring and evaluation is one approach to enable CSOs to work effectively with the resource constrained, marginalised communities and enhance good governance.

4. Institutional and organisation capacity of TRACE is enhanced

TRACE is built and developed as a learning organization (action/reflection, learning from mistakes, risks). Its practitioners are encouraged to maintain an appropriate development attitude; always willing to learn and listen to the target group and respecting its knowledge. TRACE strives to have a good understanding of the environment and the fast evolving socio-economic context of Tanzania, thus it has developed appropriate systems for learning, monitoring and evaluation.

TRACE's activities fall under the following categories;

- OD interventions/ facilitative processes and tailor made training.
- Mainstreaming HIV/AIDS in organisations
- Organizes training programmes
- Public Debates
- Documentation and dissemination of good practices
- Networking

Principles guiding TRACE in working with organisations:

TRACE, as a development NGO, facilitates from certain values and from a consciousness of itself.

TRACE's work with organisations, be it in facilitating tailor made courses or other interventions is guided by the following principles:

- Organizations are living systems that interact with other internal and external systems. This means change in one part of the system invariably will have effect on the other parts of the system. Organizations exist for a specific purpose. The members who make up these organizations are crucial to the success of their own organization.
- Participation of members in problem identification, needs and opportunities assessment is vital for better understanding of their situation. The members know themselves much better than outsiders and can give a clear analysis of their own situation (problems, opportunities, existing conflicts and challenges, perceptions etc).
- We see our work as facilitating change and transformation, but the decision to change, and how, is the responsibility of each organization individually. We view facilitation mainly as an enabling process, more than a set of techniques and methods.
- Participants come to learn. Learning is continuous and never-ending process. There is a need to learn and develop for change. Such learning and development involves all people.
- People (or organizations) are diverse. Diversity means fun, development and growth. We regard each participant (organization) as a unique individual in a unique process of growth and development and we strive to honour this in each person or organization.

- We are working with adults. Adults learn best by doing, reflecting, and having fun, applying and testing new learning techniques.
- During our facilitation work we strive to create a peaceful workplace with its own unique atmosphere where people can reflect, share, listen, grow, renew, laugh, play and learn – so that they can discover and rediscover the power from within.

5.4 Policy review

5.4.1 The Tanzanian Community Development Policy (1996) emphasizes on the need for community initiative and empowerment in development as the main objective of the policy; this will enable Tanzanians as individuals or in their families and groups or associations to contribute more to the government objectives of self reliance and therefore bring about development at all levels and finally the nation as a whole. As part of empowering people to own their own development process, the first president of United Republic of Tanzania Mwalimu Nyerere emphasized that, *“True development is development of people, not of things”*. The emphasis here was to empower people with adequate skills to identify their own problems, plan, implement and evaluate their own programmes for their own betterments.

The Tanzanian Community Development Policy has prepared a framework for making fundamental changes that are needed to make NGOs supplement and compliment government efforts to deliver services to the community and bring about social change. One of the key issues highlighted by the policy is building peoples’ capabilities to manage their own development process for their own benefit

If the Community Development Policy is to be implemented successfully, it is imperative that the profession and professionals of the Community Development sector are strengthened. These professionals are development catalysts. In carrying out their roles and responsibilities they are guided by the following;

- They go where the people are
- They live with them
- They learn from them
- They identify development priorities with them
- They plan together with them
- They look together for resources to implement the plans
- They collaborate with experts from other sectors to implement the plans
- The people manage their projects themselves.
- They evaluate together with the people.

In line with the above, strengthening this profession will aim at building professional ethics as follows;

- To sharpen their skills in the identification of community problems and necessary resources for making community development a success.
- Professionals will be given refresher and up grading courses in colleges and other institutions of learning.
- Their experience will be widened through study tours inside and outside their areas of work.
- Incentives will be improved so as to increase their commitment to their work.
- They will be advised to form their own community Development Professional Association so as to strengthen their profession, set professional

Association so as to strengthen their profession, set professional standards and ethics and communicate with sister associations inside and outside the country.

Together with all the above, a system will be devised which will enable community development professionals at all levels to meet at least once a year in order to evaluate their performance in line with this Community Development Policy. The Ministry will arrange internship for newly recruited professionals before they are officially employed so as to assess their commitment to the profession. Similarly, technical services, education and counselling will be improved by strengthening Construction and Technical Training Units, the Unit for Education, Information and Communication and establishing counselling services for community development workers in order to sharpen their professionalism.

With this policy, government will have to create a conducive environment for the people and other concerned parties such as NGO's and Religious Organization for the render and sustain delivery of the services. In such an environment, communities are given the responsibility of identifying their problems, formulating plans to solve them and implementing their plans by utilizing to a large extent their own resources on a self- reliance basis.

This policy gives guidelines on how communities will be helped to build their capacity to implement their responsibilities. The policy also states clearly the responsibilities of different concerned parties in speeding up community development in the country.

It is the community responsibility to recognize and value people with special potentials, because such people are important in the process of developing this country. This can be found within the government, various institutions, NGO's and individuals. In this respect, retired officers should realize that one of the major constraints to development is lack of organization skills to which they can make a significant contribution. It is their responsibility to contribute to development by giving their neighbours the necessary knowledge and participating in promoting community development. Communities should encourage such people and if necessary they should make use of their expertise in pursuit of community development objectives.

5.4.2 The national policy on Non- Governmental Organizations (NGOs)

Current there are about 3,000 local and international NGO's in Tanzania. Some of these deal with gender, human rights, environment, advocacy, participatory development etc. All of them have been assisting in strengthening the civil society through informing and educating the public on various issues, for example, their legal rights or entitlements to services or by helping attune to Government policies.

The activities of NGO's have increased since 1985 when major political, social and economic reforms were introduced. However, due to various factors such as lack of information on who should register, inadequate definition of what is an NGOs and to some extent cumbersome processes of registration, there are organizations which are not registered, but with quality to be identified as NGOs. There exist Umbrella Organizations, which have been formed in response to the need for NGOs coordination, networking and information exchange, ect.

These factors call for a comprehensive policy, which will not only solve the immediate problems of NGOs, but also assist in the promotion and development of the NGOs in Tanzania. However, this policy reiterates and retains all the fundamental principles of NGOs, that is, they are formed, run development or terminated only through free and voluntary acts of individuals and voluntary only through free and voluntary acts of individuals and associations; are managed and controlled by members, trustees or directors independent of the Government but within the framework of liberties and constraints provided for in the laws.

Objectives of the NGOs policy

The overall objective of the Policy is to create an enabling environment for the NGOs to operate effectively and efficiently in the social and economic transformation of the country. Specific objectives of the NGOs Policy are;

- To provide an operational definition of NGOs.
- To provide a broad framework for legal and institutional arrangements to facilitate the operations of NGO's in Tanzania.
- To put in place registration procedures, which are transparent, decentralized and which will facilitate better coordination of NGOs while safeguarding the freedom of association.
- To strengthen the relationship between the Government and the Civil Society
- To enhance mechanisms for collaborative relations between NGOs, the Government, Funding agencies and other stakeholders.
- To facilitate mechanisms for Government support to NGOs.
- To promote transparency, accountability and awareness among NGOs themselves, the Government and other stakeholders.

- To facilitate exchange and flow of information on NGOs activities in order to maximize utilization of resources and also share experiences or research findings.

Policy issues

To avoid the pitfalls of complexity and exclusion it is necessary to set out a basis in which, within the NGOs Policy framework, there can be some common understanding of the term “NGOs “

i. Definition of NGOs

Policy Statement;

‘NGOs shall have specific characteristics which distinguish them from government organizations or other registered private groupings’

“An **NGO** is a voluntary grouping of individuals or organizations which is autonomous and not – for profit sharing; organized locally at the grassroots level, nationally or internationally for the purpose of enhancing the legitimate economic, social and/or cultural development or lobbying or advocating on issues of public interest or interest of a group of individuals or organizations”

ii. Institutional framework

Policy Statement;

“At national, regional and district levels appropriate frameworks and mechanisms be established to facilitate communication and consultations between the Government and NGOs”

iii. Legal framework.

Policy statement;

“Registration mechanism for NGOs shall be put in place to enable the streamlining of NGOs registration”

A new law shall be enacted to cater for the current deficiencies in NGOs registration, deregistration, appeals and termination

iv. Exchange of information and reporting

Policy statement;

“To facilitate exchange of information and regular dialogue among all parties involves in or with NGOs in Tanzania”. To maximize utilization of resources, minimize loss of understanding and general lack of information there is need for exchange of information and reporting:

- The NGO National Bodies and the ministry responsible for NGOs coordination shall take initiatives to publish and update NGO directories in order to facilitate networking and exchange of information. The Government shall provide information relevant to NGO activities so as to promote a fair information exchange between the Government and NGOs. The National NGO Bodies, NGOs Umbrellas, individual NGOs, networks as well as NGOs Resource Centres shall equally be liberty to publish directories and produce publications of their Constituent clients and members.
- All Local and International NGOs shall be required to produce activity reports. These reports shall be made available to the public, National Bodies of NGOs, the Government and other stakeholders for use on request.

- All NGOs, Local and International, shall be required to make available annual financial and/or audited reports to the Registrar's Office and other stakeholders.
- Each NGO shall have a physical address, a sign post and whenever possible, and a notice board displaying its activities.

v. NGOs accountability and transparency

Policy statement;

Each NGO shall maintain its own code of conduct for the purpose of accountability and transparency.”

The Constitution and other instruments issued other than the authority of the Constitution of an NGO will be the government document.

In carrying out their operations and in communicating information about their work, International NGOs operating in Tanzania will be required to;

- Respect the Tanzania laws government their operations
- Respect the culture and traditions of the people and communities in which they operate.
- At all times act to foster and promote the capacities and abilities of local NGOs including participating in relevant NGO Umbrellas and Networks and avoiding actions which may cause rivalry or competitions among local NGOs.

NGOs shall be allowed to engage in all legally and acceptable fund raising activities.

vi. Government – NGO partnership

Policy Statement;

“The Government recognizes the significant role and contributions of NGOs in the society and considers them as important partners in the development process. It is, therefore, in the interest of the Government to create a conducive and enabling environment to ensure that NGOs potentials are fully utilized”

- Partnership in Delivery of Services the Government shall work in partnership with NGOs in the delivery of public services and programmes. That is the Government shall be free to subcontract NGOs to undertake programmes, where NGOs have expressed interest.

- Government/ NGO partnership

In order to further the development work the Government shall develop partnership with NGOs in all sectors.

- Tax exemptions

The Government will continue to exempt NGOs from tax laws.

CHAPTER THREE

6.0 RESEARCH METHODOLOGY

During this assessment process, the most common tools, which were used for data collections, were; Questionnaires, informal interview, focus group discussions and direct observation.

6.1 Research design

A research design is a plan, which shows how the problem of investigation will be solved. Research design therefore includes things such as methods to be used to answer the research questions and solve the research problems; also on how the findings can be presented. The research on capacity building was designed in terms of a case study Community Initiative Support organization (CISO) a Local NGO based in Tandale, Kinondoni District in Dar es Salaam City.

6.2 Study Unit

The units of inquiry were: The specific community based organization members in the studied organizations; Community members in the areas where these organizations operate, both beneficiaries and non-beneficiaries from the organizations activities. Other people for interviews included community leaders and some key informants, which deemed important as far as my study was concerned.

6.3 Sampling techniques

The Local Organization members involved Board members, executive committee, volunteers and ordinary members who fully participated by providing information through questionnaires, interviews and group discussions.

The selection of these people was based on fact that they are true representation of the organization and the population under study and can easily express their

experiences. Their experience in the organization includes their interest, awareness, perception, benefit, importance and problems encountered in the capacity building process and realizing positive impact to the organization and eventually deliver quality services to the beneficiaries. Therefore the study constituted respondents in four groups.

6.4 Data collection methods

6.4.1 Primary data

Primary data was collected through interviews schedule, questionnaires, direct observation and focus group discussions. These methods were important as they proved to have the following advantages.

- Interview schedules allowed the researcher to obtain in depth information and ideas expressed by community leaders and key informants that may not have been possible to capture in questionnaires.
- Questionnaires are cheap to monitor to respondents scattered over a large area and information can be quickly collected within a short period of time. Further to that, respondents feel free to give answers to sensitive questions and respondents can answer the questions in their own time.
- Under the observation, general observation is done in order to study and record information regarding various aspects as they are directly observed. This method gives the observer the first hand information in the area under study.
- Under the focus groups discussions a large number of people can be reached within a short time; one can get a variety of opinions, also bring together

those who have a common problem of interest and those who are shy to speak in general groups find it easier in these kinds of groups.

6.4.2 Secondary data

During the study secondary data were also reviewed and analysed as part of literature review. The long experienced organization on capacity building of the local NGOs; Concern Worldwide was also consulted for information on the NGOs capacity building manual (2002).

Relevant documents about NGOs capacity building including capacity building researches were consulted. More over, various policies related to NGOs operations in Tanzania were also consulted.

6.5 Data analysis methods:

The following were the methods used in the data analysis of both primary and secondary data:

- Qualitative and Quantitative data analysis was done.
- Descriptive statistics; Measures like mean, median, mode, frequency and percentages were also used.
- Coding will be done in the data analysis.
- Statistical Package for Social Sciences (SPSS) was also used in the data analysis.

CHAPTER FOUR

7.0 FINDINGS

7.1 Analysis and discussion of the findings

➤ Gender of respondents

Gender analyses carried out as part of the needs assessment process where by 53.8% of the total respondent were male and 46.2% were female. Both respondents accepted in principle that program activities seriously attempt to address gender issues with some success.

Table 2 What is the gender of respondents?

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Male	7	53.8	53.8	53.8
	Female	6	46.2	46.2	100.0
	Total	13	100.0	100.0	

Source: Capacity Building research 2004

➤ Involvement in the organization project / target group.

The poorest are the people who cannot afford three meals per day with very poor shelter and their daily income to buy food is not guaranteed. The middle class can afford at least three meals per day with a reasonable shelter and they at least sure of getting minimum income to sustain their life.

69.2% accepted that the organization is trying to address the needs of the poor, however 30.8% mentioned that organization is addressing the needs of the middle class. The research noticed that some of the organizational members could not clearly draw demarcation between the middle and the poor whom they are

supporting. Further to that the author revealed that organization has criteria and procedures in place for identifying target group and the needs of the defined target group are clearly defined. Activities of the organization are clearly designed to address the identified needs.

The majority of the actual beneficiaries match the stated target group

Table3. Who is involved in the organization?

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Poorest	9	69.2	69.2	69.2
	Middle class	4	30.8	30.8	100.0
	Total	13	100.0	100.0	

Source: Capacity Building research 2004

➤ **Organization formation**

69.2% of the total respondents knew when the organization was formed and hence demonstrated the understanding of their organization. However, 30.8% did not know when the organization was formed; in this case they were not active members of the organization.

Table 4. When the organization was formed?

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	I know	9	69.2	69.2	69.2
	I do not know	4	30.8	30.8	100.0
	Total	13	100.0	100.0	

Source: Capacity Building research 2004

➤ **The formation process of the membership Organization**

A membership organization like CISO needs to be formed by a group of people in order to ensure ownership; this was proved by the author where by 84.6% of the responded accepted that the organization was formed by a group of people.

Table 5 How was the organization formed?

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	By one person	2	15.4	15.4	15.4
	By a group of people	11	84.6	84.6	100.0
	Total	13	100.0	100.0	

Source: *Capacity Building research 2004*

➤ **The organization structure**

The organization structure in any organization is very important since it tries to give the true picture of the management relationship within the organization and the reporting relationship. The research proved that organization members seem not clear of the organization structure as well as its importance to the organization.

Table 6 Is the organization structure clear and important to organization members?

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	6	46.2	46.2	46.2
	No	7	53.8	53.8	100.0
	Total	13	100.0	100.0	

Source: *Capacity Building research 2004*

➤ **Organization constitution**

Constitution should be clear as it is treated as a guideline for the day today operation of the organization. The study revealed that 76.9% of the organizational members are aware and clear of the organization constitution; 23.1% are not clear of the organization constitution.

Table 7 Does the organization have a constitution and is it clear?

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	10	76.9	76.9	76.9
	No	3	23.1	23.1	100.0
	Total	13	100.0	100.0	

Source: Capacity Building research 2004

➤ **Recruitment procedures of staff**

The recruitment procedure of the organization should be open to allow qualified candidates to compete. The research revealed that 53.8% of the organization members know that the vacant posts in the organization are open for competition and 46.2% believe that, they are being appointed by the management team.

Table 8 How are staff being recruited?

		Frequency	Percent	Valid Percent	Cumulative Percent
	Appointed	6	46.2	46.2	46.2
	Competed	7	53.8	53.8	100.0
	Total	13	100.0	100.0	

Source: Capacity Building research 2004

➤ **Gender focus within the organization**

All 13 organizational members accepted the reality that organization is sensitive to the involvement of both men and women in the organization and the organization address the needs of both men and women. 7 male and 6 female formed the organization.

Table 9 Do both men and women participate fully in the organization?

		Frequency	Percent	Valid Percent	Cumulative Percent
		13	100.0	100.0	100.0

Source: Capacity Building research 2004

➤ **Financial management**

The research revealed that the financial management capacity of the organization was neither poor nor good but rather was fair amounting to 53.8% of the organization

members. 21.1% of the organization members said it was fair as well as 21.1% of the same also said that financial capacity of the organization was good.

Table 10 What is the financial management capacity of the organization?

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Poor	3	23.1	23.1	23.1
	Fair	7	53.8	53.8	76.9
	Good	3	23.1	23.1	100.0
	Total	13	100.0	100.0	

Source: Capacity Building research 2004

➤ **Organizational assets**

All the organizational members accepted the reality that there is no inventory of fixed asset in the organization. Though CISO have very little assets in the office, but could have been registered as office assets.

Table 11 Does the organization hold the list of organizational assets?

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	No	13	100.0	100.0	100.0

Source: Capacity Building research 2004

➤ **Funding sources of the organization.**

The organizational members in totality rejected that they do not have funding sources to run their organization. How ever, research realized that the funding sources they

were talking about are the donor funding but in reality they have fund raised through their membership fees that made them to set office as well as register the organization and meet other office running costs.

Table 12 Does the organization have funding sources?

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	No	13	100.0	100.0	100.0

Source: Capacity Building research 2004

➤ Relationship with the local government

The research revealed that there is fair relationship with the local government. This has been due to the fact that CISO is a newly formed organization and it has done very little on the ground. The relationship with the local government needs to be strengthened since CISO is there to supplement and or compliment local government efforts on service delivery and eventually bring about social change in the community.

Table 13 How is the relationship with local government?

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Fair	9	69.2	69.2	69.2
	Good	4	30.8	30.8	100.0
	Total	13	100.0	100.0	

Source: Capacity Building research 2004

➤ **General Organizational objective**

General objective of an NGO is to serve community / target beneficiaries and not for the benefit of the organizational members. The research confirmed that 61.5% of the organizational members accept that organization is there to serve community focusing on the target beneficiaries. However some of the organizational members amounting to 38.5% maintained that CISO is there to meet the needs of the organizational members.

Table 14 Why does the organization do what it does?

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Address the needs of beneficiaries	8	61.5	61.5	61.5
	Address the needs of organization members	5	38.5	38.5	100.0
	Total	13	100.0	100.0	

Source: *Capacity Building research 2004*

➤ **Credible and accountable leadership**

The research revealed that 69.2% of the organizational members maintained that CISO leaders are credible and accountable to the organization and to the community the organization aimed to serve. However, 30.8% of the organizational members believe that CISO leadership is not credible and accountable to both organization and the target community.

Table 15 Does the organization have credible and accountable leadership?

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	9	69.2	69.2	69.2
	No	4	30.8	30.8	100.0
	Total	13	100.0	100.0	

Source: Capacity Building research 2004

➤ **Transparency in running the organization**

69.2% of the organizational members accepted the reality that organization is run in a transparent manner. And the remaining 30.8% believe that there is no transparency in running the organization. It was generally accepted that transparency in running the organization should be maintained to the highest standard in order to reduce the possibility of conflict and hence ensure the organizational sustainability.

Table 16.Is the organization run in a transparent manner?

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	9	69.2	69.2	69.2
	No	4	30.8	30.8	100.0
	Total	13	100.0	100.0	

Source: Capacity Building research 2004

8.0 CAPACITY BUILDING SUPPORT AND RECOMMENDATIONS

Analysis and discussion of the findings have noted the strengths and weaknesses of the organization in which organizational capacity building support were provided throughout the project period. The organizational capacity building support was implemented using one and or in combination of the following approaches:

- Offering advice
- Facilitate training workshops
- Providing on-the-job training and mentoring; and
- Facilitating linkages with other organisations

With these in turn, the project will ensure a sustainable growth and development.

8.1 Strategic visioning

It was revealed that organizations have a clear vision and mission statement, which are reviewed periodically. The organization has general long-range goals, normally set by leaders with little input from other members of the organization. More over, activities of the organization are clearly designed to address the identified needs of the target group.

The capacity building gap

It was revealed that beneficiaries are not properly involved in project design and development.

Capacity building support

Strategic vision training workshop was conducted and the research findings suggested that there must be a clear vision and values of the organization that all staff are able to clearly and consistently articulate the values of the organization consistent with basic NGO principles. The design of project activities and the daily work of the staff consistently reflect these values. A clear written mission statement exists which all staff participated in writing, agrees on, and is able to explain. The statement is displayed in a place that all staff and visitors can easily see. The mission statement is periodically reviewed and revised as necessary.

Actual beneficiaries consistently match the stated target group; all new programs are consistent with the organization's vision, values, mission and stated long-range goals. Program development and design are clearly directed at addressing the needs of the defined target group.

Recommendations

The organization should have clear, focused, realistic and time-bound written long-range goals, which are consistent with the vision, values and mission of the organization. All staff should be involved in formulating these goals. All staff should be able to clearly articulate these goals. Clear criteria and procedures in place for identifying target group members; organization constantly monitors target group selection. Beneficiaries should be active partners in program development and design

8.2 Project design and management

Projects need assessment and planning is based on a few informal contacts with potential beneficiaries. Beneficiaries were involved or participated in project implementation. Project monitoring system is done by management as well as reporting. The management team largely does evaluation of project.

The capacity building gaps

There is no formal monitoring system in place using to collect information and indicators are not set and there is no clearly formal strategies set to ensure project sustainability

Capacity building support

The author organized and facilitated mentoring support and provided advice; the outcome of the capacity building support and research findings was generally suggested that problem identification and needs assessment should be based on both formal and informal communication with beneficiary group and there should be a fair understanding of needs and attempt at mobilizing participation of all key stakeholders.

More over, the organization supported to form a simple monitoring tool using to collect information for the organization. Project staffs were actively involved in defining monitoring indicators and target group. Staff took initiative to address problems encountered in implementing the activities for which they are responsible

Recommendations

New projects should generally be consistent with long-range goals and overall program design, and make some attempt to respond to the problems and needs identified by the defined target group.

Clear objectives should be defined which realistically reflect available staff and financial resources. Specific tasks for carrying out activities clearly defined, and developed with and understood by all project staff however plans are often overly ambitious and difficult to implement. Plans are reviewed only infrequently, if at all project staff implement work plans to achieve quality and timely progress towards meeting objectives. There must be procedures in place for routinely collecting basic monitoring information on all project activities.

Attempts to address questions of project sustainability should be reflected in project design, execution and follow-up. Community management should be incorporated into sustainability strategies. Environmental issues should be part of all project designs.

8.3 Management practices

During research it was discovered that organization is formerly registered by the government under the society ordinance act of 1954, it has by-laws and the governing board.

Organization structure is clearly defined to show responsibility of each line and its relationship. Leaders value participatory decision-making and delegation of authority and responsibility. Projects and management practices reflect gender issues.

The capacity building gap

Executive committee and the board of directors are in place but they are not active and reports are written but not timely.

Capacity building support

The author organized and facilitated mentoring support and provided advice; the outcome of the capacity building support made the organization to have appropriate written by-laws that were consistently applied to run the organization.

The organization was advised to have a functioning governing body (i.e., Board of Directors) with an appropriate balance of skills and experience to be able to assist the organization (e.g., finance, personnel, fund-raising, and program).

The organization supported to develop a clear structure showing clear lines of responsibility and communication, which reflects the needs and major activities of the organization. Clear lines of responsibility and communication facilitate the smooth functioning of the organization.

Recommendations

Leaders should demonstrate value of people and staff by listening and being open to ideas and information that is shared with staff in the belief that can assist in making good decisions. Leader/supervisors clearly delegate appropriate levels of responsibility and authority to staff, and staff decisions are supported.

Regular meetings, clear purpose and agenda, issues are raised and discussed freely and openly. Decisions are made and documented; plans developed and followed up

on. Organizational policies and management practices reflect serious attempt to address gender issues with some success.

Further to that, differences of opinion do not become conflict and the organization should be aware of a variety of conflict resolution methods. Time spent coming to agreements and promoting the team should be seen as promoting the work of the organization. Finally, there must be comprehensive systems for collecting; analysing and disseminating appropriate information from both internal and external sources and information routinely used in making decisions.

8.4 Human resources management

It was revealed that staff employed has necessary skills to effectively perform their job and staff demonstrates an active interest in developing their skills. Further to that supervisors provide advice and support to their subordinates to improve performance. Maintenance of office and equipment is the responsibility of all members of the organization.

The capacity building gap

There are no formal job descriptions, though jobs are implemented and accomplished. And procurement procedures are not clearly stipulated by the organization.

Capacity building support

The author organized and facilitated mentoring support and advice was provided; the outcome of the capacity building support and research findings suggested that if staff

are recruited should have high level of skills to do their jobs effectively, and should be regularly reviewed and adjusted as necessary to reflect changes in organizational needs; they should also devote personal time and effort to developing their skills.

On the organization side should place a high value and priority on continuing staff development by having staff development plans and strategies, which are clearly linked to organizational plans and the training needs of individual staff members.

There should be also written job descriptions that are periodically reviewed and updated to reflect changes in roles and responsibilities.

It was also advised that, work should be monitored on a regular basis through meetings, direct observation in the field and reports; and supervisors consistently provide appropriate guidance, advice, and support.

Recommendations

The organization should develop written personnel policies, which reflect the organization's values and support the organization's purposes. Procedures should also be in place for regular review and revisions. Policies should be consistently applied.

8.5 Administrative management

The capacity building gaps

The finding of the study showed that, the organization has no formal general office systems and internal control procedures; there are informal systems and procedures within the organization.

Capacity building support

The author organized and facilitated mentoring support and also some advice were provided; systematic central filing system developed and routinely maintained and reviewed regularly. Also critical or sensitive documents were properly stored and necessary files were easily accessible to staff of which information was readily available, easy and quick to get to.

Recommendations

Organization should have clear procedures for authorizing procurement of goods and services where by quotations is required from more than one source for purchases over a specified amount and these procedures should be consistently followed. More over, all items listed with appropriate identifying information and current location. Inventory list routinely updated and verified. Stock control system runs smoothly and all staff understands and respects these policies.

8.6 Financial management

The research revelled that there are simple books of accounts that are correct recorded with its supporting documents and reported. Cash is bundled at Bank with small cash box.

The capacity building gap

The organization lacks essential skills on financial management particularly on systems and procedures

Capacity building support

The author organized in house training workshop on financial management. The outcome of the capacity building support made the transactions to be recorded in each register accurately and on a current basis with transactions supported by vouchers with appropriate supporting documentation attached. The organization has bank account with cash box in the office. There is one person designated to handle bookkeeping.

Recommendations

Written financial policies and procedures should be developed and are consistently used to ensure the security and proper use of funds, and accurate and timely reporting to donors and other relevant entities.

8.7 External relation

The research revealed that the organization has demonstrated clear understanding of the importance of making contacts with other NGOs. It participates in regular meetings or makes regular contact with other NGO representatives on issues of common concern. The organization also cooperates with other NGOs working in their region or sector.

More over, the organization demonstrated clear understanding of the importance of building contacts with local, district and national government. The organization has demonstrated ability to fundraising but largely depend on external fund raising (donors).

The capacity building gaps

Very little has been demonstrated by the organization on lobbying and advocacy. More over the organization does not regularly participate in meetings or makes regular contact with government on issues affecting both parties.

Capacity building support

The author organized and facilitated mentoring support and also advice was provided; the outcome of the capacity building support revelled that the organization has demonstrates clear understanding of the importance of building and maintaining good relationships with donors, local government and the target beneficiaries.

Recommendations

Organization should develop strategy to initiate contacts and meet with potential donors on a regular basis and demonstrates knowledge of donors and trends in funding as well as maintain up to date information base on potential donors. Further to that, Organization should maintain effective working relationship with donors and consistently complies with donor reporting requirements in a timely manner.

Organization should have a clear strategy for raising funds from sources other than donors and the beneficiaries should not only make substantial contributions of resources, they should also take active part in making decisions on how local resources are raised and used.

9.0 CONCLUSIONS

The findings and the discussion of the study highlight what happened and how it happened in the process of implementing organizational capacity building. It was not intended in this study to detail every aspect; however the information collected was sufficient to clearly show the organizational capacity building gaps and the organizational support provided. Further to that, gaps identified could not be filled within a short period of time, capacity building is a process that takes time and requires a lot of material resources to accomplish. The role of the external facilitator was to facilitate the organizational members to collectively identify the organizational capacity building gaps, develop a participatory Capacity Building Action Plan and finally contribute to organizational capacity building process of the organization.

CHAPTER FIVE

10.0 IMPLEMENTATION OF THE RECOMENDATIONS

In implementing capacity building programme, it should always be borne in mind that *Capacity building is not just a linear exercise, with a beginning, middle and end. It is a process that continues, formally and informally, throughout the life of an organisation (Concern Worldwide 2002)*. However, it is important that change continues to be based on consensus within the organisation and effectively managed by organizational members. The process does not end with the completion of CBAP implementation - it begins again, with an evaluation of the new, prevailing situation, the conception of a new vision and the formulation of a new plan.

The outcome of the study made the organizational members to identify the organizational capacity building gaps that paved the way for the organizational capacity building to take place.

In collaboration with the organizational members, a small proposal was prepared and submitted to Concern Worldwide (NGO) – supporting local NGOs on capacity building. The project was funded early January 2005 for HIV/AIDS and malaria projects (Project proposal funded appendix vii)

CISO expressed a need to the facilitator of this capacity building program to support them in developing strategic planning. Due to time constraints of this project period, organizational members in collaboration with the capacity building facilitator agreed to prepare the strategic planning training manual to enable the organizational members themselves to develop their strategic planning. The decision to prepare the

training manual reached considering the capacity of the organization members as to whether they can manage to develop a strategic planning by using this manual or not. The capacity building facilitator involving executive committee members who provided their inputs including office documents for references finally developed the training manual. After the training manual has been prepared, the final draft was also shared by the executive committee and hence produced the final document. With this training manual, the organization will produce a five years strategic planning which in turn will lead to effectively address their capacity building gaps identified during the study. The facilitation process will be done by the executive secretary of the organization that proved to have adequate capacity to facilitate the process. However, the executive committee declared that if need arises they would seek external support to assist the executive secretary.

11.0 STRATEGIC PLANNING TRAINING MANUAL DEVELOPED FOR CISO

Strategic Planning: Issue identification, design and implementation.

1.1 Introduction to strategic planning

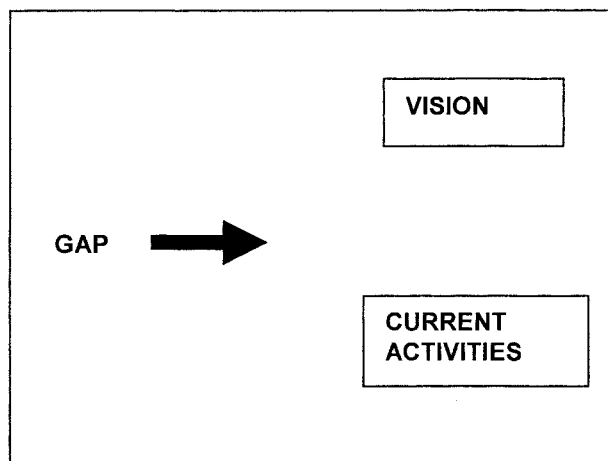
A strategic planning is a written document that serves as a medium or long term between three to five years guide for an organization's programmes, projects, activities and/ or operations. It should aspire a high development level within the medium of long-term time horizon where the organization might have the ability to forecast.

It is a result of planning process designed to answer the following questions:

- Why does the organization exist?

- What does it do?
- Where does it go?
- How is it going to get there?

In other words it is a process of identifying the gaps between the desired state and the current realities.



1.2 Origin and historical development

An American war strategist in the Second World War started strategic planning. The word strategy which can be translated as tactics is the art of war management of an army in a campaign, of moving or disposing a troops or ships or air crafts in order to impose upon the enemy the place and conditions for fighting desired by one.

Such planning techniques were later adapted by organizations in an endeavor to become healthy, that is formulated or organized methods of which things are to be done.

Strategic planning for local non-profit making NGOs in Tanzania is only recent phenomenon from profit sharing enterprises. Many of the NGOs have no such plans

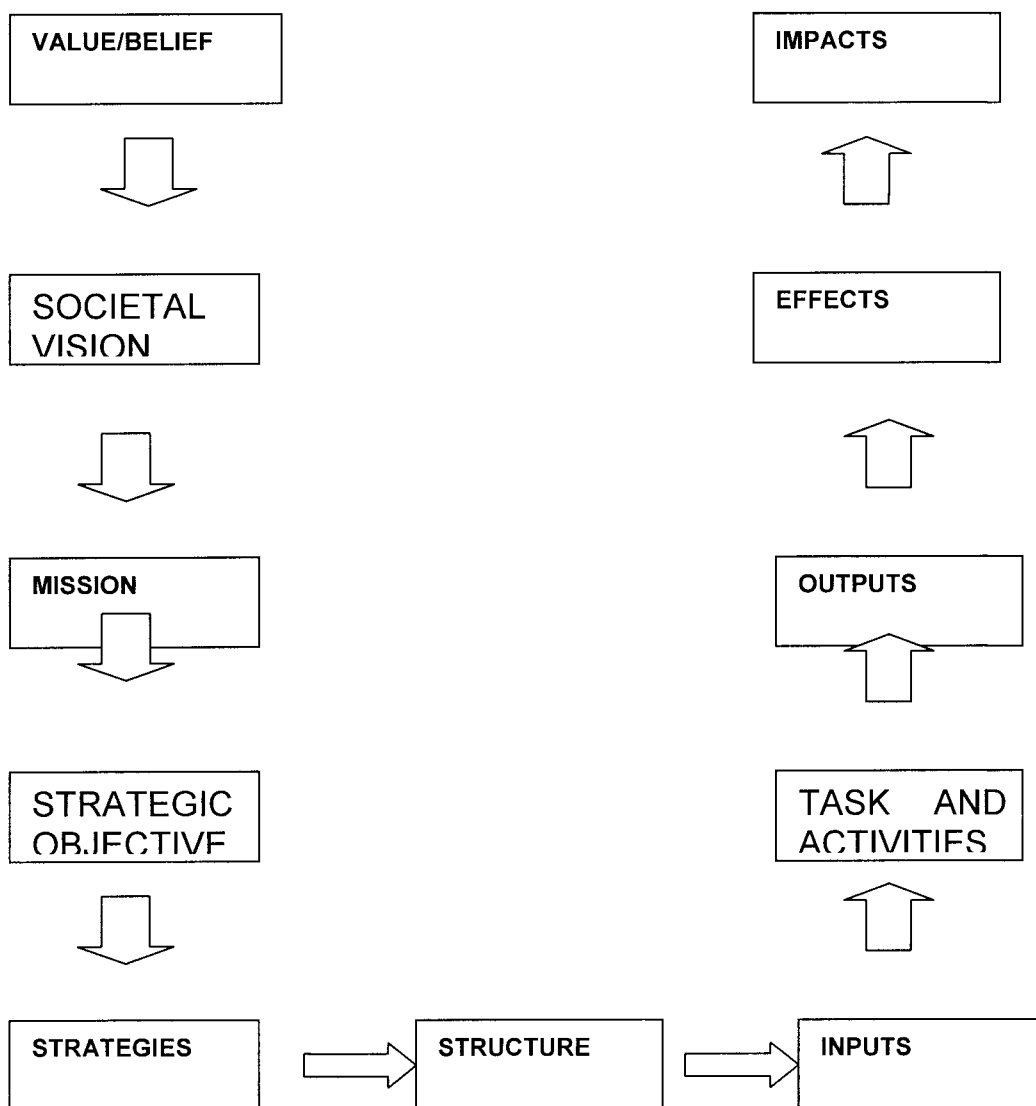
because many of them are short-term programs and they lack skills in developing such plans.

1.3 What does strategic planning look like?

A well-designed strategic plan usually entails the following:

- The vision, mission and values of the organization
- The organizational analysis, which identifies its stakeholders, its strengths and weaknesses (captivity) and its accomplishments.
- The goals and objectives which the organization would like to accomplish over the plan period.
-
-
-
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-
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Figure 1: Elements in strategic plan



Source: ESAURP training manual 2000

1.4 Issue identification and designing

Project idea

Project identification is one of the stages in the project lifestyle. It is the stage when the idea is born. It has to be analyzed and discussed with other people and partners.

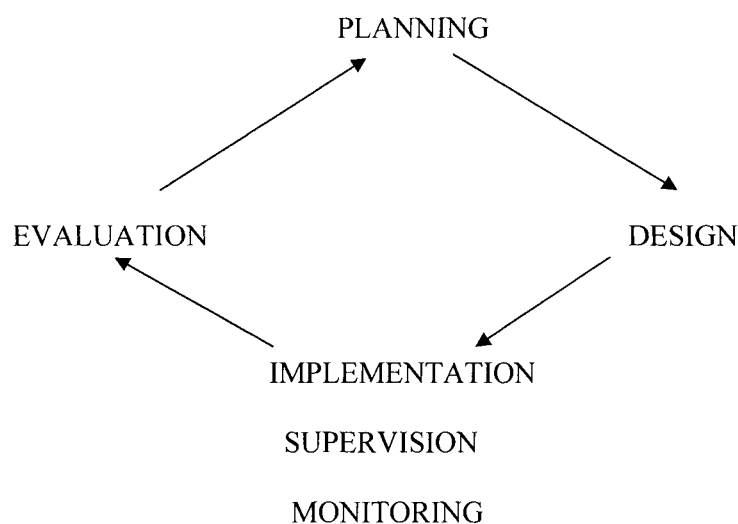
The feasibility has to be checked with both the target groups and experts, where a clear indication emerges of what should and what can be done.

Usually requires a thorough research survey on:

- What needs improvements in the areas among target group
- What are the needs i.e. assessment of the problem.
- What will be the outcome i.e. assessing the potential outcome of the intervention activity
- The background of the idea
- The nature of the problem perceived
- The requirements needed to improve the situation
- The proposed activities
- The expected results

This initial rough design function is the starting point and reference for identification and designing a project/program

Figure 2: the project / program cycle



Source: ESAURP training manual 2000

1.5 Strategic planning process

Planning is a continuous process and failing to plan leads to failure of an organization to achieve its targets.

In planning process three analyses might help a strategic planner to gather information and consolidate ideas about organization being analyzed, which includes:

- Participation analysis (identification of stakeholders)
- Capacity assessment
- Portfolio analysis

1.5.1 Participation analysis

This involves the analysis of stakeholders as follows:

Reasons why they support you (your survival depend on people and institutions interested in its activities.) it is important to consider their views when planning for the future of the organization

1.5.2 Capacity assessment.

Examine the internal and external environment of the organization under analysis.

The tool used is SWOT analysis- strength weakness, Opportunities and Threats.

Usually strength and weaknesses are internal factors, which are controllable by the management, while opportunities and threats are external factors.

Steps to follow

- Define the problem
- Gather information
- Develop various solutions

- Make a choice (decide)

- Strengths

- Weaknesses

Under each function pick the first three strengths/weaknesses (rank) to come up with the greatest management strength and weaknesses.

1.5.3 Portfolio analysis

This refers to project analysis, which tries to answer the questions like:

- What do we do now?
- Are we moving in the right direction?

The portfolio analysis help you work at your organization's existing programme according specific criteria as referred to the over all goal and future of the NGO. In the following four categories:

Star projects: Project that contributes highly to the achievement of mission has potential for growth and is dynamic, popular, and creative.

Questioned project: Projects having potential of becoming star but are not yet proven

Cash Cow Project: Projects that are reliable, well funded safe to run and very useful

Dead Duck Projects: Projects that consume a lot of financial and managerial resources but have minimum return.

1.6 Prioritising

Prioritising is always a difficult task because it involves abandoning certain aspects that one or other stakeholders may like. However it is important for any organization that wants to have good results to concentrate its scarce resources on a limited

number of areas. This decision can be made based on careful analysis of resources, weaknesses, strengths and the opportunities that exist. But also decision must be based on a thorough look at the individual people and clients on the CSO. Its services have to fit the needs of the clientele being served. That is the most important guideline when prioritizing.

Based on that, one can start looking inside the organization, consider resource constraints (money, competence, and human resources) and make decisions and priorities. These results will help an organization develop or make strategic choices.

1.7 Strategic choices

Based on the above analysis we will see the complexity of strategic choices that an NGO is faced with when developing a strategic plan. An NGO has to ask itself different questions before developing strategic aims and objectives.

- Should we keep growing?
- What are the trends that we can build on?
- Who should be our target group?
- Are we doing what we are supposed to do?
- Should the money we have raised be spent to on educating pre-school children or conduct adult literary classes?
- Should we continue depending on donor support for our activities?
- In case there are other similar organizations in the areas, should we collaborate with them more?
- Should we start outpost offices to run programs to run similar to ours or should we continue to work in this area with new programs?

- Since corporate funders tend to support primary education, should we take this new track to attract new funding?
- Is it time to renew our board and bring in some financial experts?
- Should we employ more paid staff or work more with volunteers?
- Should we give up our down town office for a less expensive one in the suburbs?
- How could we involve our body better in our activities?
-
-
-

Looking at such questions one can see that they can be grouped and discussed under broader categories of:

- NGO governance- Board, mission/goal, constituency, leadership, legal status
- Management practices- structure, system, procedure, development, reporting
- Financial resources- accounting, budgeting, inventory, control, reporting
- Human resources- development, staff roles, work, organizations, supervision and benefits
- Service delivery-sectoral practice, expertise, constituency ownership, impact assessment
- External relations-inter-NGO collaboration, media/donor/govt./public relations
- Sustainability- program organizational, financial and resource base
-
-
-

At this point one is making decision that will influence the direction of the organization for the next three to five years to come. Thus one has to consider properly the strategic choices based on the analysis to make sure that the organization takes the right route to reach the desired destination.

a) Strategic aims / goals

Based on the vision and mission of the organization and the results of an organizational analysis, one is now ready to develop strategic aims and goals. There is no right or wrong strategic aim. What is appropriate to one organization may be inappropriate to another even if their mission is the same.

Strategic aims are based on internal and external evaluation i. e. SWOT analysis. Thus they will differ for every NGO. They are overall goals of the organization. Based on the available alternatives there is a limited number of priorities. They describe the route the NGO is taking.

Ideally, strategic aims show clear direction, are realistic and are concentrated on outcomes.

b) Objectives

These are detailed and timed actions plan to each strategic aim. They are usually detailed in an operational plan, and there are often several objectives attached to a strategic aim.

Usually objectives come up after deciding the strategic aims. Some organizations start their planning with objectives, but soon they realize that this brings only short-term success. Objectives must match with the strategic aims of the organization, as the strategic aims have to match with the mission

A good objective must possess **SMART** properties where:

S.....

M.....

A.....

R.....

T.....

Some colleges may have negative feelings towards clear measurable objectives for fear of:

Accountability, change, realizing that some activities may not match with NGO's mission but are maintained because the person running them is so nice, clear responsibilities (it is easy to say we are responsible), not meeting deadlines, realizing that some projects are out of NGO's scope of work but are taken to attract funding, etc.

The biggest advantage of setting objectives is that a planner will be focused and will know what is expected from him/her and that her/his input contributes to the overall picture.

The feeling of success keeps the organization working and the planner needs short term success to be able to continue to work towards the long-term benefits.

Once the planner has well defined/measurable objectives he must designate tasks to carry them out and consider in advance how to evaluate the work

There are also other issues, which the planner may wish to include in the schedule such as communication i.e. to whom the planner wants to report, or who may be essential for endorsement or support. Also evaluation where the planners ask themselves where do

they have to see results? The planner should try to be impatient. But he/she must be able to see whether he/she is on course when results come in.

1.8 Evaluating Results

It is important to monitor project related investments throughout the year of the project's life-period. At the end of each project, an evaluation is usually carried out to see if the organization has accomplished the desired outputs, outcomes and effects.

The least expensive way is to carry out an in-house evaluation where a group of people compare end results with original plan. For the sake of objectivity and professionalism/expertise, it is advisable to hire an external evaluator.

In an evaluation exercise one should aim at finding objectively verifiable indicators for each activity, objectives and goals, which will allow appraisal, and judging of the level of achievement. With the evaluation one should check whether he/she is using the right objectives to achieve the desired aims and the right aims to achieve the desired mission. From time to time the organization has to review its vision and mission and evaluate its work, and plan accordingly, bearing in mind the changes that occur over time.

1.9 Financial planning

Financial planning is process through which NGO management converts its physical plan into financial resources. The formulated plan is passed on objectives, targets and performance indicators, and seeks to ensure continuity of service delivery or operation.

Financial planning is not independent from strategic planning. However, we do not intend to look into the process of financial planning here. It suffices to say that the role of finance in implementing strategic plans for the survival of the organization is crucial. A physical strategic plan requires the solicitation and mobilization of financial resources to ensure its implementation.

A financial plan therefore to include:

- A budget-details of much the physical strategic plan will cost;
- A financing plan- a strategy outlining how the organizations is going to raise money a /or get the funding to complete the plan.

2.0 Essence of strategic planning

Although the end of a strategic planning process is a process is a written strategic plan document the planning process in it self is very important. Planning the planning process can be a lesson in itself. The process is a good opportunity for participatory decision-making. In brings out many unforeseen strengths of the organization and can encourage high performance at work.

In planning the planning process, if one decides to go ahead with strategic planning do not forget to do the following:

- Make sure that the NGO is ready for it and has accepted the process at all levels;
- Try to consider the time it requires from different people and minimize it as much as possible;
- Appreciate the energy that people bring to the process;
- Consider who will lead the process and who will make final decisions;

- Make it clear whose involvement you want at every stage of the planning process;
- Choose the time of planning according to other engagements on activities of the NGO;
- Final techniques to challenge the NGO; and
- Develop monitoring and evaluation systems well in advance

The organization has to ask itself some questions, and based on the results, it will decide whether to go ahead with the planning process or not.

Summary of the strategic planning process

- 1
- 2
- 3
- 4
- 5
- 6
- 7
- 8
- 9
- 10
- 11

Decide which of the following strategic statements true to the organization;

	STATEMENT	TRUE	FALSE
1	The organization is full independent and able to make its own decisions		
2	The key people (ie board, staff, and clients) are committed to planning.		
3	There are a lot of problems which take much of our time/ resources to solve		
4	We have no problem with our day to day management		
5	We have grown too fast, only the CEO knows what is going on		
6	We all know why we work here and why this organization exists		
7	The need for our services is growing fast but we do not have enough resources to carry out everything that should done		
8	The top management has split over		
9	Most of us believe that strategic planning is rational while the world is irrational		
10	I do not know whether my work will be needed here in the coming years because the future of this organization is so uncertain.		
11	There is a climate of enthusiasm towards future planning in the organization.		

If nine at the above statements are true for the organization, it seems that it is ready to start strategic planning. I recommend that the organization go ahead, using the lessons learned from this course module. If nine of the above statements are false for

the organization, it is most likely that the organization may find it difficult to do strategic planning now. It should wait until the time ready or else be prepared to encounter a lot of planning obstacles in the process.

STRATEGIC PLANNING TRAINING PROCESS

Key learning points

1. The meaning and importance of strategic planning
2. Different approaches to strategic planning
3. Preparing to develop strategic plans
4. The process of developing a strategic plan
5. The challenges of developing

PROCESS GUIDE

DAY 1

- Key concepts
- Why strategic planning?
- What makes a plan strategic?
- Different approaches to strategic planning
- Preparing for the strategic planning process
 - Agreeing on a framework
 - TOR and identification of a consultant
 - Agreeing on the workshop process

DAY 2

Developing strategic foundations

- Vision
- Mission
- Values
- Strategic goals

Contextual analysis

DAY 3

- Strategy development (linking contextual analysis to internal analysis)
- Geographical focus & Cross- cutting issues

DAY 4

- Programme development or review of existing programmes
- Financial strategy
- Action Plan & prioritisation
- Monitoring and evaluation
- Post workshop
 - Report
 - Plan document
 - Finalizing the process
- Challenges of strategic planning processes

TRAINING SCHEDULE FOR STRATEGIC PLANNING

Topic	Method	Time
DAY 1		
<p>8.00 – 10.00</p> <p>1) The meaning and importance of Strategic planning</p> <ul style="list-style-type: none"> • Introductions & ice-breaking • Program overview • Key concepts • Why strategic planning? • What makes a plan strategic? • Different approaches to strategic planning 		
<p>10.30- 12.30</p> <p>The process of developing a strategic plan</p> <p>2) Preparing for the strategic planning process</p> <ul style="list-style-type: none"> • Agreeing on a framework • TOR and identification of a consultant (agreeing on the 		

Topic	Method	Time
workshop process) <ul style="list-style-type: none"> • Other steps 		
2.00 – 4.00 3) Developing the strategic foundations <ul style="list-style-type: none"> • Vision • Mission • Values • Goals • Cross – cutting Issues 		
DAY 2		
8.00 – 10.00 Foundations continued		
DAY 3		
8.00 – 12.30 4) Internal analysis <ul style="list-style-type: none"> • Seven S or weisboard model • Learning ability • Strengths & Weaknesses 		
2.00 – 4.00 6) Developing strategies		

Topic	Method	Time
DAY 4		
8.00 – 10.00 Developing strategies continued		
10.30 – 12.30 Evaluating strategies		
2.00 – 4.00 <i>Challenges</i> <ul style="list-style-type: none"> • Pre-conditions for effective strategic planning • Challenges for facilitating workshops and how to overcome them 		