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## Introduction

Development is realized through the subjects of development. Mercy Corps values the participation of all communities in any activity designed to for them. Therefore development can be realized by empowering the community to take part in solving their own problems by identifying and proposing solutions for their priority needs. Communities have the potentials and resources in which they can fulfill their demands or needs. Outsiders need to work as facilitators and help communities to take control of their life.

Every community has the necessary knowledge about their social, historical and other issues that affect their life. We only need to facilitate to surface these experiences and that the community owns the decisions and the activities. With this understanding Mercy Corps, in partnership with the communities and line ministries is implementing the Community Development Program that is aimed at building the capacity of the community to deal with their own issues.

To increase capacity of a community is to increase its ability to do things for itself. It is more than just adding some communal services. It means increased ability and strength. It means more skills, more confidence, and more effective organization. It can not come about by charity or donation of resources from outside. It can be facilitated through action such as community projects, but only when all community members become involved from the beginning, to decide upon a community action, to identify hidden resources from within the community, and by developing a sense of ownership and responsibility of communal facilities from the start to the finish.

The intent of this manual is to provide community development facilitators with the basic concept of community mobilization and empowering strategies. This manual is not complete and the community development facilitators will need to explore and employ the basic principles of community development, participation, empowerment and others flexibly.

The manual has the following seven sections:

1. **Community mobilization:** engages the whole communities to identify their priorities, needs, resources and solutions in a way that promote representative participation, good governance, accountability and peaceful change.
2. **Empowerment:** is the capacity that roads communities, individuals and organizations to use their skills and resources in collective efforts to meet their needs.
3. **Capacity building:** strengthening people's capacity to determine their own values and priorities, and to organize themselves to solve their own problems. The capacity building approach to development involves identifying the constraints that men and women experience in realizing their basic rights and finding the

appropriate vehicle through which to strengthen their ability to overcome the causes of their exclusion

4. **Participation:** a mechanism that enhances community to take part of developmental activities, by identifying priority needs, solutions; and promotes community to take decisions and implement projects.
5. **Development:** is a step when community's capacity is increased to solve problems, intended to apply learning principles, emanate new skills and capabilities, and release human potentials by involving community to solve their own problems.
6. **Community Action Group/ Community Based Organizations Capacity Index:** an index used to measure the capacity and growth of the Community Based Organization/ Community Action Groups.
7. **Facilitating community mobilization activities:** facilitation tools and attributes that promotes staff interaction with the community.
8. **Conducting training:** captures some steps that are considered for preparing any kind of training.

# Unit 1

## Community Mobilization

### Community mobilization

#### **Community Mobilization:**

Community mobilization is a process of engaging communities to identify community priorities, resources, needs and solutions in a way that promotes representative participation, good governance, accountability and peaceful change. Community mobilization steps far beyond active participation of citizens in implementing projects, which is the foundation of community development. Mobilization process promotes accountability and transparency, develops and strengthens mechanisms for participatory and inclusive decision making, and aims to leave behind changed behaviors in addition to improvements in living conditions or infrastructures<sup>1</sup>.

It is about bringing people together to pursue common interests by creating a sense of unity, ownership and self-control. It is the process of getting people to overcome their difference, to begin a dialogue on an equal basis to determine issues that affect their community.

### Importance of Community Mobilization

Community mobilization is a point where individuals and community organizations interact, discuss and pass decisions. Community mobilization is therefore a process whereby a group of people have transcended their differences to meet on equal terms in order to facilitate a participatory decision-making process. In other words it can be viewed as a process which begins a dialogue among members of the community to determine who, what, and how issues are decided, and also to provide an opportunity for everyone to participate in decisions that affect their lives.

We say a community is mobilized when people engage themselves in identifying their needs and initiate and complete activities to address them and when they fully found to be actors of the program; transforming their community and their lives. Community mobilization brings the past experience and future dreams to stimulate the new activities to address communities.

Community mobilization helps people in the community to:

- Identify needs and address community interests;
- Promote good leadership and participatory decision making;

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<sup>1</sup> Mercy Corps Community Mobilization summit Tashkent, Uzbekistan December 2-4,2003

- Identify specific groups for undertaking specific problems;
- Identify local resources;
- Plan for the best use of the available resources;
- Enable the community to better govern itself;
- Ensures the participation of the minority group and creates an atmosphere for the women participation;
- Enables the community to envision their future direction

## **Involving Community in Mobilization Activities**

In community mobilization activities, the community development facilitator need to ensure that appropriate methods are followed and that communities and their cultures are respected and trust is built. Moreover the community needs to understand that we are there as facilitators but not to solve every individual problem they have. To reach into this end Mercy Corps community development facilitators need to:

- Work with community
- Aware with the community
- Learn with the community
- Facilitate the sharing of information

Community can only be mobilized through local groups. For this reason the formation of Community Based Organizations and Community Action Groups is essential for mobilizing the community. External agencies can only facilitate the process of mobilization through the community groups. Through the community groups external agencies can help provide inspiration, stimulation, information, encouragement, training and organizing to achieve the desired goal.

## **Training**

Training is not only transfer of skills from a trainer to trainees. Training also includes the sharing of experiences and information to and from community members so that they control their situation: identify their problems, resources and increase their capacity to solve their problems.

The essential elements of training in this special sense include:

- Awareness raising: Training is used as a method to raise public awareness about issues, e.g. gender awareness in participating community projects and in CBOs/ CAGs, environmental appropriateness
- Information transfer: When awareness raising results in a better understanding of problems (e.g. that there is gender imbalance which hinders development in their early community institutions), training then complements the result by providing information that there are solutions to problems
- Transferring skills and experiences: The orthodox meaning of training, often assumed only the skill transfer element. That means the trainer imparts skills to the trainees. The special meaning of community training does not exclude skill transfer; it merely makes other elements more explicit.

- Stimulation or encouragement: The encouragement of people to act on their own behalf, not to simply hope and wait for outside assistance, is done by letting the target groups know that they have the right (even the duty) and the ability to change things for the better.
- Organizing: An important element of a community becoming more empowered is to engage in action. Simply forming structures (such as a Chair, Vice, Treasurer and Secretary, for example) is not action in itself, such structures are means towards organizing the community to act. Mobilizing means moving; getting something done. Organizing to get something done effectively is important in training. The output of the training/seminar is not only more informed and skilled trainees, but participants who are organized and mobilized for action. Thus foundation for establishing excellent and strong CBOs.

### **Ojah's Tips on Community Mobilization**

**M**aintain a sense of humor, and be patient, you might have a deadline to keep, but others may have other priorities.

**O**pen your mind and heart and you will receive an open warm welcome; a mutually beneficial relationship will develop.

**B**uild upon the positive aspects of the local culture, religion, knowledge, and tradition; brick by brick, work with the people to build up their lives with dignity and honor.

**I**nitiate but do not lead. You are a catalyst of inspiring development activities; and not the boss.

**L**isten, listen and listen again. Learn from the men and women: the whats, the whys, the whens and the hows of their situation and poverty.

**I**dentify the people's needs; or rather facilitate them to identify their need. Remember awareness raising is the first step towards mobilization.

**S**it together, share ideas and experiences – this is a two way process.

**A**void talking in terms of money: rather talk in terms of working together. Don't be authoritative, and don't talk big.

**T**alk simply- do not use complex language; your task is to communicate effectively.

**I**nvolve the community from the very beginning; don't start a project, and then start to bring in community participation mid-way through.

**O**rganize the people to draw up their own plans for their development; simple activities which can easily be understood and realistically carried out.

**N**ever assume that you are right and they are wrong; in most cases you will discover that they are in fact right but you had failed to listen!

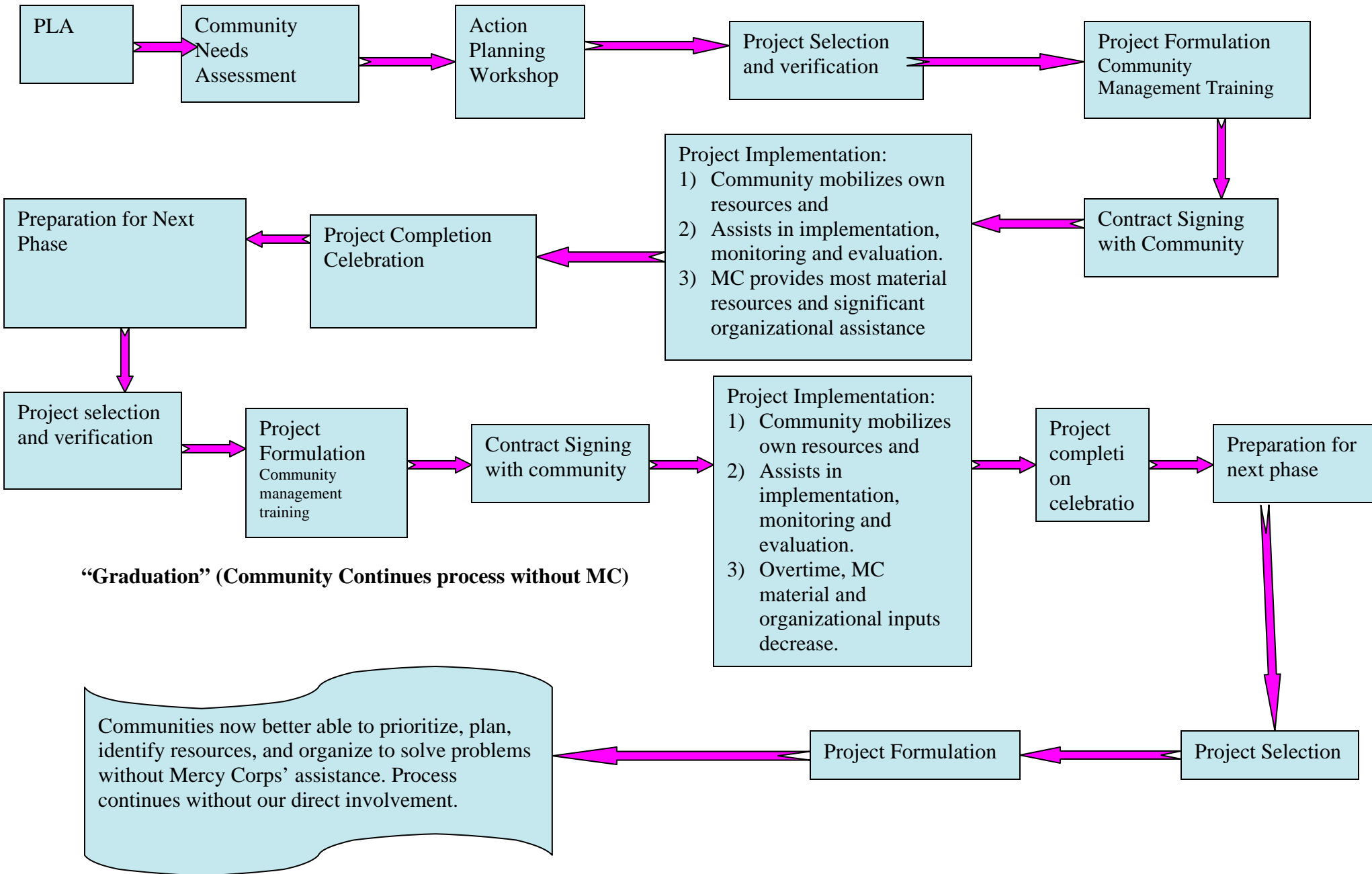
## Role of the Community Development Facilitator

The community development facilitator is a person who works with the community to help develop the community and increase their awareness at different aspects including the mobilization of local resources to address community needs.

Among others the role of Community Development Facilitator includes:

- Organize CBOs/CAGs and calls community meetings to:
  - Explain to all members on information related to community self reliance; and
  - Organize and direct the community to utilize the possible local resources (human and material) needed for community actions;
- Stimulate community members to participate in their own community's desired development actions;
- Engage in activities that promotes increased community participation, self reliance, and empowerment;
- Ensure that all information is accurate and correctly interpreted;
- Encourage and praise community members, confirming that they have the ability to develop themselves;
- Ensure that every decision about what activities the community will undertake is the choice of the whole community, not just a few (influential) community members;
- Ensure that all members are heard in community decisions: including women, minorities other **disadvantaged groups**;
- Promote and encourage unity in the community, unity of purpose, of goal and of action;

## COMMUNITY MOBILIZATION PHASES





## Unit 2

# Community Empowerment

### Community Empowerment

Community empowerment is enabling communities, especially the poor and other marginalized groups to address problems/issues for themselves. They learn better by doing than by watching and they become stronger by the exercise. Projects need to be a learning ground for communities and need to be owned by the community themselves. Community based projects are far more than just adding communal services. It means increased ability/ capacity to deal with their daily lives and solve problems collectively. It means more skills, confidence, and effective organization. It can be facilitated through action such as community projects.

**Empowered communities** are those in which individuals and organizations use their skills and resources in collective efforts to meet their needs. Through such participation, individuals and groups within the community provide support for each other, address conflicts within the community and gain increased influence and control over their quality of life (Israel, 1994).<sup>2</sup>

#### Community can be called empowered when

- All community groups have a voice in decision-making
- Concern for the common goal prevails over personal ambition
- The community recognizes and prioritizes needs of all members
- Community can take action locally to solve problems, change behaviors, or access services
- Community is able to plan, implement, and evaluate activities or projects on their own

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<sup>2</sup> Community Empowerment, Care

## **Domains of community empowerment**

Community empowerment has two domains: with the inside world (community) and the outside world.

### **Within the Community**

Empowerment within the community implies a control of problems and issues internal to the community. An empowered community is:

- Capable of identifying its own needs,
- Capable of involving community members in decision making and extolling suggestions of each other,
- Capable of coming to a consensus while passing decisions and generates feasible solutions through local resources
- Empowered community makes sure everybody's input is considered.

### **With outside institution and the wider environment**

Empowerment implies increased power or control of communities in relation to their broader environment. This means developing the ability to:

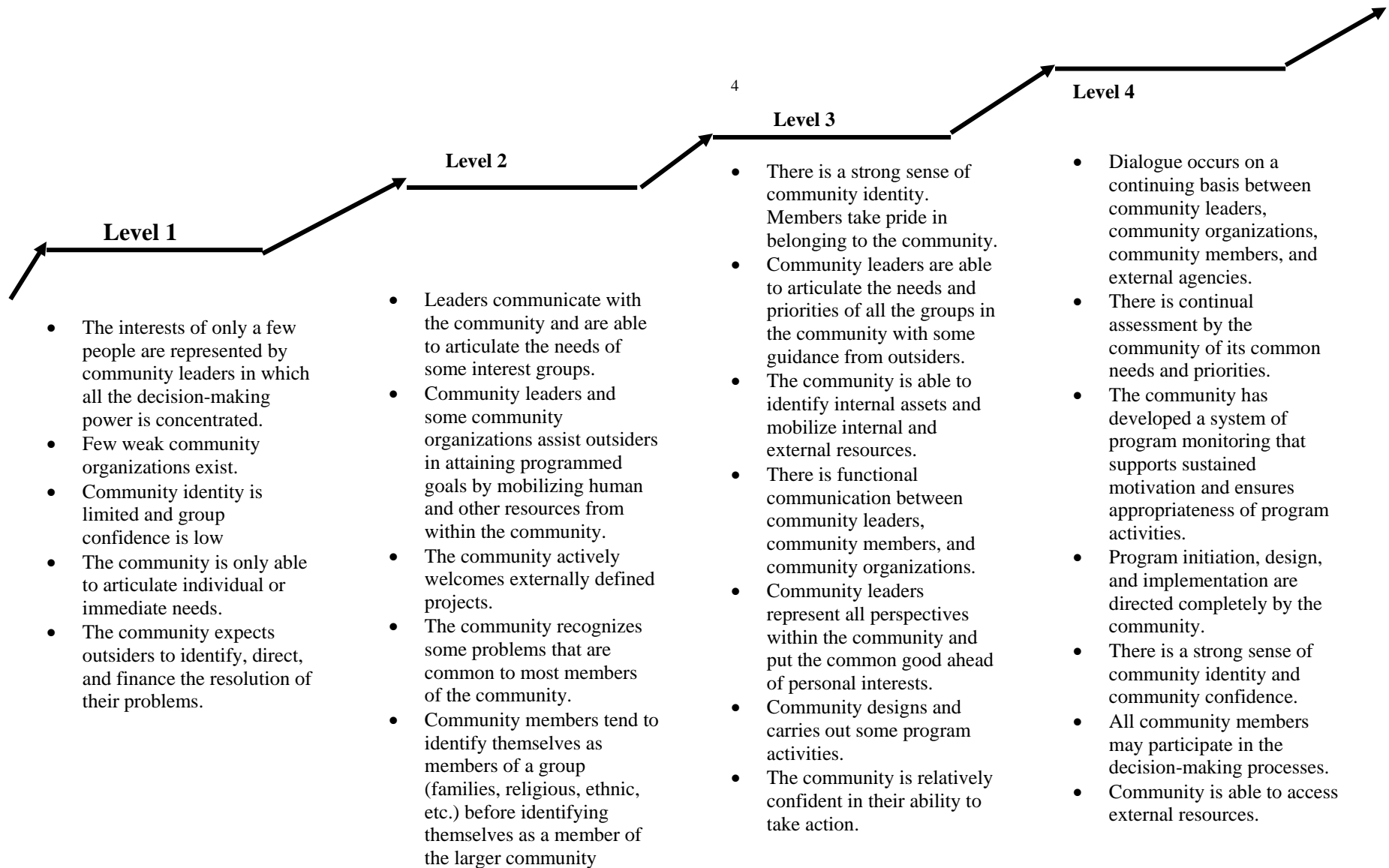
- Create links with government bodies,
- Create links with other nongovernmental organization,
- Organize their community members who are outside their community and
- Obtain external resources.
- React with the outside world.<sup>3</sup>

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<sup>3</sup> Community empowerment, Care

<b>Examples of Community Empowerment</b>	
<b>Characteristics of empowered communities</b>	<b>Results of WARMI Maternal and Neonatal health project illustrating each dimension *</b>
<p><b>Empowerment characteristics:</b></p> <ul style="list-style-type: none"> <li>• Strong community organizations exist which are concerned about community well-being</li> <li>• Solidarity and commitment to common goals between community members and/or group</li> <li>• Community members have confidence to openly express their ideas when problems arise</li> <li>• Community members have skills to critically analyze problems and decide what action to take to solve them</li> <li>• Awareness of women's issues and needs</li> <li>• Active involvement of women in community organizations and activities</li> </ul>	<p><b>Empowerment Process</b></p> <ul style="list-style-type: none"> <li>• 50 women's organizations were organized and/or strengthened</li> <li>• Women meet frequently without project staff to discuss their problems and how to solve them. Decreased isolation of women and their problems.</li> <li>• Increased self-esteem on the part of women and ability to express their ideas in group sessions</li> <li>• Women's group members have skills in collecting information, prioritizing needs and planning what actions to take to improve women's health.</li> <li>• Increased awareness of specific maternal and neonatal health problems on the part of women and men.</li> <li>• Increased involvement of women in general community meetings and in community decision-making process</li> </ul>
<p><b>Development Outcomes:</b></p> <p><b>WITHIN THE COMMUNITY:</b></p> <ul style="list-style-type: none"> <li>• Ability to take action or make changes in the community environment which improve the quality of life</li> </ul> <p><b>WITH INSTITUTIONS OUTSIDE THE COMMUNITY</b></p> <ul style="list-style-type: none"> <li>• Ability to communicate with and make demands on resource agencies and individuals outside the community and to obtain support or changes for the benefit of community members</li> </ul>	<p><b>Development Outcomes:</b></p> <p><b>WITHIN THE COMMUNITY:</b></p> <ul style="list-style-type: none"> <li>• Some groups developed income-generating activities to establish an emergency fund for obstetric emergencies.</li> <li>• Women increased their use of trained birth attendants during delivery</li> </ul> <p><b>WITH INSTITUTIONS OUTSIDE THE COMMUNITY:</b></p> <ul style="list-style-type: none"> <li>• Women's groups convinced SC/B to establish literacy classes (to enable them to access information) and credit programs (to enable them to pay for health services)</li> <li>• Women's groups convinced the MOH to allow a local NGO to provide FP services at community level.</li> </ul>

**Section 1.01 Step 2: Ladder of Community Empowerment**



<sup>4</sup> Empowerment manual, Care

## Unit 3

### Capacity Building

#### Capacity Building

The ability of any group to participate fully in its own development process depends on a wide range of interrelated capacities at the personal and group level. Among the most important are the capacities to take initiative in a creative and disciplined manner; to think systematically in understanding problems and searching for solutions; to use methods of decision making that are non-adversarial and inclusive to deal efficiently and accurately with information<sup>5</sup>. Developed capacity results to:

- Manifestation of innate potentials
- Harmony and solidarity among community members
- Fosters individual involvement

#### Types of Capacity Building

##### *Section 1.01 1. Individual Capacity Building*

Individual capacity is an empowerment of individuals to participate and take part in any activities in their community. This creates human resources development process that is required to create the future leadership of the community.

It is in *individual capacity* that the commitment and personal qualities of people are tested, that their decision-making, planning and implementation skills are developed, and that experience, confidence and wisdom are acquired. It is through this process that they and especially the women involved in the process become visible to the community and that they can be appreciated by the community.

##### *Section 1.02 2. Institutional capacity building*

Institutional capacity building is the process of developing the capacity of local governing bodies as organizations. It starts with helping them define or clarify their *mandate, terms of reference, membership, structure and electoral procedures* and includes various other aspects, in increasing levels of complexity, which may include the following:

- Clarify the responsibility of officers: all members of the institutes must have a clearly defined responsibility; and this has to be understood and practiced by every member.
- Procedures and mechanics of meetings: frequency, timing, agenda, decision-making process, writing and approval of minutes, etc;
- Procedures of keeping financial and other records: defined policies of financial procedures

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<sup>5</sup> PRI ACT manual

- Process of collective decision-making: how to chair a meeting, encourage participation of all members, reach a decision, clarify the decision reached, etc;
- Implementation of decisions: how to assign responsibilities for carrying out decisions, procedures for follow-up, review of previous decisions to ascertain state of implementation, corrective actions to be taken, etc;
- Problem solving procedures: how to clarify and agree on facts, identify possible causes of a problem, agree on the main cause(s), identify possible solutions, select the best solution and make a plan accordingly;
- Project planning and implementation: steps in project planning including evaluation of the project.
- Conducting general assemblies, reporting to the membership and eliciting their suggestions and participation
- Delegation of responsibilities: how to form task forces or committees for various activities, clarify their tasks, supervise their work, coordinate their activities, improve their performance, etc.
- Accessing resources: how to increase the resources available to the organization, generate income, source outside funds, etc;
- Linking with other organizations: how to establish relationships with other organizations in their or other communities, higher level organizations, etc;
- The structural governance, (representation of community groups, minority groups and especially gender representation)

### **Steps for formation/establishment of Community Based Organizations**

Community Based Organizations (CBO): are organizations or institutions that are from and within the community. These groups are volunteers that take care of some issues or sectors in the community. They may be formed by the government and found almost in every villages like the Parent Teacher Associations, Village Health Committees, Water Committees; some of them are ad hoc committees formed either by the government, the community themselves or agencies in which case are mostly referred us the Community Action Groups (CAG).

Whatsoever is done with these groups they must be elected/selected by the community and they must have the majority of the community's recognition and approval. Most often agencies directly go and create CAGs by contacting the local administrators. CBOs/CAGs are facilitators and coordinators of community development projects and they must be recognized and trusted by the community and the criteria for electing/selecting these groups must come from the community themselves. The following points may be helpful (but not detrimental) to electing/selecting CBOs/CAGs

#### **Some points to consider in establishing community based organization**

1. Respected and has proven organizing and mobilizing skills
2. Honest to the community with feelings of responsibility and accountability
3. Involves community members in decision making

4. Proven ability to learn and share experience with others
5. Encourages and values opinions of community members
6. Gender representation
7. Committed person
8. Gives priority for the community needs
9. Capacity to mobilize and organize the community
10. Consider different peoples' view
11. Willing to work as a volunteer for his/her community
12. Not convicted of any corruption

## Role of CBOs/CAGs in Community Development



One of the indicators of success in developing projects is the capacity of the CAGs/CBOs to run community based projects and pursuing mobilization activities in the absence of the external agency. Thus the existence of CBOs/CAGs with defined roles and responsibilities in community development is essential in the following main activities

- Mentor the ongoing community projects and report the progress and achievement to the community and the partner agencies,
- Work as a link between the community and supporting/partner agencies
- Nurtures skills and experience that sustains beyond the life of the project
- Mobilize and empower the community
- Implement and monitor the community based projects, and takes decisions, and prepares reports



## Unit 4

# Participation

**Participation** is where communities take an active role in determining their own destiny. This may be through decision-making, participatory priority identification, planning, implementing, managing projects, monitoring and controlling a community project or program.

**Participation is** when communities themselves identify their need/priorities; and take the lead role in seeking resources, action planning, implementation, monitoring and evaluation with a technical and other support for their program from partner agencies as demanded?

It is now well accepted by development thinkers and practitioners that development efforts will not be successful or sustainable if the intended beneficiaries do not participate directly and fully in efforts to improve their own well-being. They must become the principal actors in the promotion of their well-being. However, participation can take many forms within development programs, and some types of participation are more “participatory” than others.

### **Why Participation:**

Participation ensures sustainability. Without local participation there is no local support or ownership and the interventions never live beyond the life of the project. Efficiency and effectiveness can be attained by accountability and responsibility of the community’s full participation to programs. The poor rural communities are fighting with different problems of social service, and others.

Participation can range from passive participation, where people are involved merely by being told what is to happen, to self-mobilization, where people take initiatives independent of external institutions. Various classifications of the different levels of participation have been undertaken. The following are seven typology of participation.

### **Typology of participation<sup>6</sup>**

1. **Passive participation:** is telling people what has already happened or will happen in their community. It is unilateral promulgation of project management without any listening to people’s responses. It is a one way reaction from the outsider to the community.
2. **Participation in information giving:** it is participation by responding questions posed by extractive researches using questionnaire surveys or similar approaches. The findings of the research are neither shared with the community nor checked for accuracy.

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<sup>6</sup> PRI ACT PPD manual

3. **Participation by consultation:** people participate by being consulted, and external agents listen to views. These external agents define both problems and solutions and may modify these in the light of people's responses. But this doesn't take to decision making.
4. **Participation for Material Incentive:** this is participation for reward. E.g. Labor in return for food cash, or other material incentives. This participation doesn't take people in the learning process and yet it is considered as participation, it doesn't take people in prolonging activities when the incentives end.
5. **Functional Participation:** people participate by forming groups to meet predetermined objectives related to the project, which can involve the development or promotion of externally initiated social organization. In this participation major decisions are already determined by an outsider.
6. **Interactive Participation:** people participate in joint analysis, which leads to action plans and the formation of new local institutions or the strengthening of existing ones. This participation takes people in the process of learning, local decision making. These groups take control over local decisions, and so people have a stake in maintaining structures or practices.
7. **Self Mobilization:** This is a point where no external body is expected to mobilize and initiate the community. They develop contacts with external institutions for resources and technical advice they need, but retain control over how resources are used.

Participation therefore should define ways of shifting from the more common passive and incentive-driven participation towards the interactive and self mobilization end of the spectrum. The best way to do this is to ensure the appropriate use of interactive and participatory methods.

## Community Contribution and Participation in Development



Community participation and involvement in self-mobilized programs are very crucial. Strong ownership and belongingness towards the program is achieved through maximum community participation in every activity of the project. The role of community development facilitator is to provide inspiration, stimulation, information, encouragement, training

and organizing, and experience.

If a project is to be community based it must be owned, designed, implemented, monitored and evaluated by the community. External agencies should only serve as facilitators and provide support/ resources if only communities are short of.

A project that is merely located at the community or implemented in consultation with the community leaders or influential members of the community can not be community based.

Community participation is, therefore, far more than the contribution of labor or supplies; it is participating in:

- Decision,
- Planning,
- Implementing,
- Managing,
- Monitoring, and
- Evaluating the community project

## Unit 5 Development

### **What is Development<sup>7</sup>**

Development is a broad concept and there is no a single definition that comprehensively addresses it. As a result development is explained differently by different people. This manual touches five points:

#### ***Development as:***

- (1) Increasing capacity to solve problems
- (2) Learning to apply principles
- (3) Generating new knowledge
- (4) Releasing human potentials
- (5) Social Transformation

### **1. Development as Capacity to solve problems**

Increased capacity of a community to solve problems is appreciated and accredited in many directions and leads toward social and economic development. In many ways communities instead look and expect someone to address their problems. The point with this regard however is helping the community to discover that they have the ability to address their own problems. Development in one aspect is the capacity to solve problem Nevertheless, this definitions has his own drawbacks for two reasons

- It focus only on problems (what is wrong, what doesn't work) where the weaknesses are, and not necessarily on what is good, where the strengths and desired futures are. Challenged much by the adherents of the appreciative inquiry which supports visualizing desired futures, strengths, what works and brining out the potential in people.
- Definition of problem depends on what is perceived as a problem and who defines the problem. ***A problem is a difference between what I have and what I want***, unless I don't want something, its absence is not a problem to me, as far as it is not a problem to me I will not have any motivation to solve the problem. Thus a problem perceived by an outsider is not necessarily a problem to me. Rather what constitutes a problem is therefore a value laden issue and is highly dependent on the beliefs, perceptions of life, sense of purpose, culture, aspirations, vision, and dreams of the protagonists of development.

### **2. Development as learning to apply principles**

As described above, it is increasingly being recognized that development is not value free. Most successful development projects have a clear ideology and mobilize people around this ideology. The issue here is one of deciding whose ideology or which ideology is going to drive the development process. While this is still a complex issue

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<sup>7</sup> Adapted from the PRI ACT manual

that requires much more learning and debate and an ideology based approach may be fraught with dangers, recognizing that development cannot be neutral and ideology free two clear advantages:

- a) It forces critical self-examination and clarification of the ideology, perceptions, assumptions and hidden mental models from which we operate and encourages a dialogue at the level of fundamental assumptions
- b) It fosters a search for a common set of understandings, values and principles that can help guide the development process. Principles are universal truths that can be accepted by all. They can be ethical or moral principles (like justice, unity, honesty, oneness, equity, service, human rights and responsibilities, equality of men and women, integrity, altruism), social principles (like cooperation, consultation, education, transparency), economic principles (like work, creation of wealth), or physical and scientific principles (like energy conservation, environmental friendliness, cleanliness, organic growth).

Viewed from this perspective, development can be therefore be redefined as *“learning to apply principles to our daily lives”*. Principle centered development is then a process of identifying key principles that must guide our action, visualizing the application of such principles in daily life and learning how to apply these principles in practice. Our actions and perceptions can be in harmony with and guided by with and guided by clear fundamental common universal principles, but the specific application of these principles to any particular situation will differ. This puts learning at the heart of the development process. It also improves upon the problem-solving approach described earlier by providing a universal frame of reference, as "problems" can now be defined in terms of the application of these principles.

### **3. Development as Generation of Knowledge**

True development cannot be the blind imitation of knowledge generated elsewhere. It is not sufficient for the world's inhabitants to be engaged in projects as mere beneficiaries of the products of knowledge, even if they have a voice in certain decisions. Developing populations must therefore, through their understanding of principles, be able to generate new knowledge appropriate to their conditions and contribute in significant ways to human progress. If, in fact, a community controls the means of knowledge, and is guided by a set of clear principles, it will be able to develop resources and technologies that serve and match its real needs. The generation of new knowledge in the light of universal principles by individuals who are subjects of their own development is at the heart of the development process. Another, emerging, definition of development can therefore be taken as to *"increase the capacity of communities to apply, generate and diffuse knowledge"*

### **4. Development as Releasing Potentials**

The adherents of the Appreciative Inquiry school of thought defines development is about releasing the innate capacities of people. From this prospective, all human beings have innate qualities and talents that must be brought out through education and training, and

encouragement. Development can therefore define as the process of helping people fulfill their potential.

### **5. Development as Social Transformation**

development as a social transformation is a stage in which the ones of mankind has been recognized, in which all human aspects, religion and science, seen as two complementary forces for the progress of mankind, in which resources and wealth distributed equitably, in which all individuals get equal voices and decisions, in which the equality of men and women has been recognized and women participate fully and equally in the life of the community.

Achieving this requires a profound change in the nature of the relationships that exist between individuals, between individuals and institutions, among institutions and between individuals, institutions and nature. From this perspective development can therefore also be defined as *the process of bringing about social transformation.*

### **Process of Development<sup>8</sup>**

In order for development projects to achieve the visions of development presented above, they must have certain features. These include the following:

- They must become systematic learning processes
- They must got from simple to complex
- They must be integrated
- They must be designed to ensure sustainability

Each of these aspects is briefly described below

#### **Systematic Learning**

Learning is the operating mode of the development process. However, learning does not happen in a vacuum: it must be embedded in action and it occurs in cycles of consultation, action and reflection. Individuals, groups, institutions, communities must learn to:

- Identify principles,
- Make decisions based on these principles,
- Take action on these decisions,
- Evaluate the results of their action in light of these principles,
- Extract lessons learned from this experience and repeat the cycle.

Each stage of this process requires the development of certain generic capacities:

- The capacity to identify and understand relevant principles,

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<sup>8</sup> PRI ACT manual

- The capacity to analyze a situation in light of these principles,
- The capacity to make a collective decision,
- The capacity to make a coherent plan,
- The capacity to implement and manage plan and make required adjustments,
- The capacity to evaluate the action (collect, compile, analyze and use information),
- The capacity to extract lessons learned from experience,
- The capacity to access resources, etc

What is important about a development project is not so much what concrete result the project achieves, but the amount of learning that takes place during the course of the project. It is therefore essential that development projects be seen as systematic learning processes and those they are designed to create opportunities for learning.

### **From Simple to Complex**

Each time the above cycle of consultation-action-reflection is repeated, it is repeated at a higher level of complexity.

#### **Complexity increases in three ways:**

- Size of the intervention (geographic spread, number of people involved),
- Number of sectors involved, and
- Level of skills and organization required to manage it.

A community development process will therefore progressively expand in three directions, but this expansion must be natural and follow the normal process of organic growth.

Even if the process starts with a single simple intervention with a small group of people, it will eventually include many sectors of activity with larger numbers of people and must eventually become an integrated process. While this integration may be accelerated to some extent, it cannot be forced artificially or it will result in stunted growth. A tree cannot develop too many branches before the trunk and roots are sufficiently strong.

### **Integration**

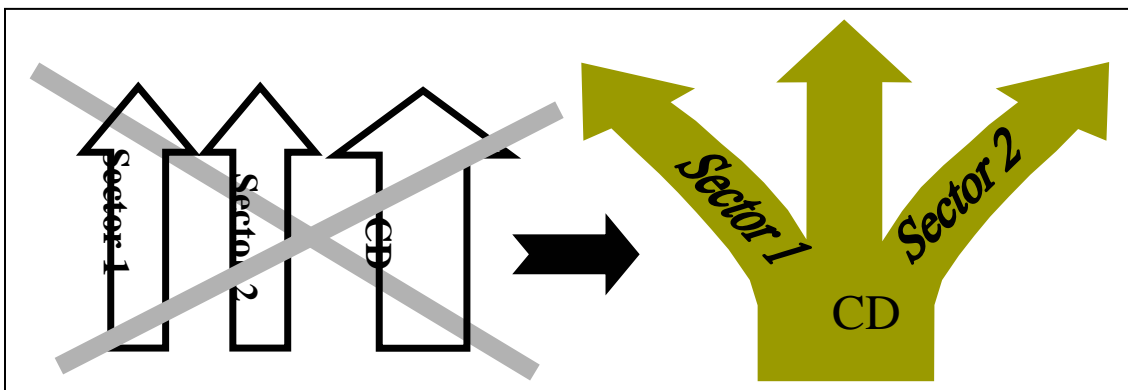
Life is integrated: so any community development process which addresses only one aspect of life will eventually fail. Its very success in the one direction will become the greatest obstacle for its further development. It is useful in this context to visualize progress in each dimension of development as a wagon on one rail, as illustrated below.

There are many parallel rails, each with its own wagon. But all of these wagons are tied together by strong elastic bands. If too much progress is done in one direction without corresponding progress in other directions, this will create too much tension in the elastic and that wagon will eventually be pulled back. Progress must therefore

be balanced and include small steps in all the directions in a natural, organic process of growth.

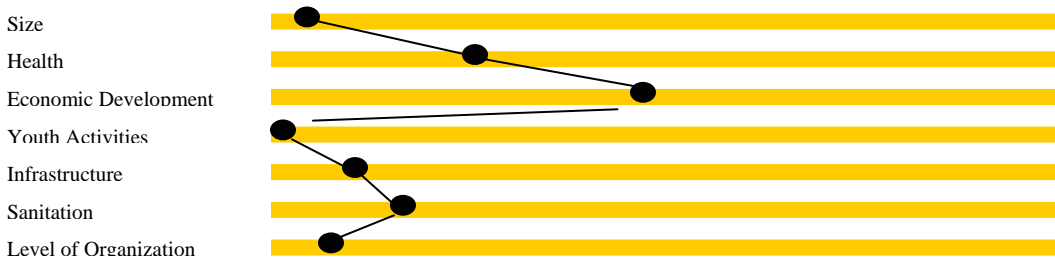
It is also useful in this context to remember, as stated earlier, that “level of organization” or “capacity” is a major determinant in the community development process. ***Individual and organizational capacity building cannot be done in isolation from a sectoral activity and it cannot be considered a “sector” of intervention.*** In this context, all sectoral interventions should consider that, while they are designed to meet a sectoral need, their real purpose is to increase the community’s capacity to address that need. So even if they are sectoral in funding and in expertise, they are essentially community development processes and they cannot be divorced from these processes.

If they aim at being sustainable, sectoral interventions will start with ***a consciousness-raising, mobilization and organization activities*** before the actual sectoral need can be addressed, except that they perform these three types of intervention from their sectoral perspective. Integration requires distinguishing what is generic community development or specifically individual and organizational capacity building in the process and what is purely technical or sectoral and then putting the community development process at the core of the intervention, recognizing that it must initially be centered around a simple identified sectoral need but that it will soon branch out into multiple sectoral activities. This shift in perspective about the place and role of community development is illustrated in the following diagram.



## Sustainability

Development intervention follows a rough sequence of activities: ***consciousness-raising, mobilization, organization, training, consolidation and linkage.***

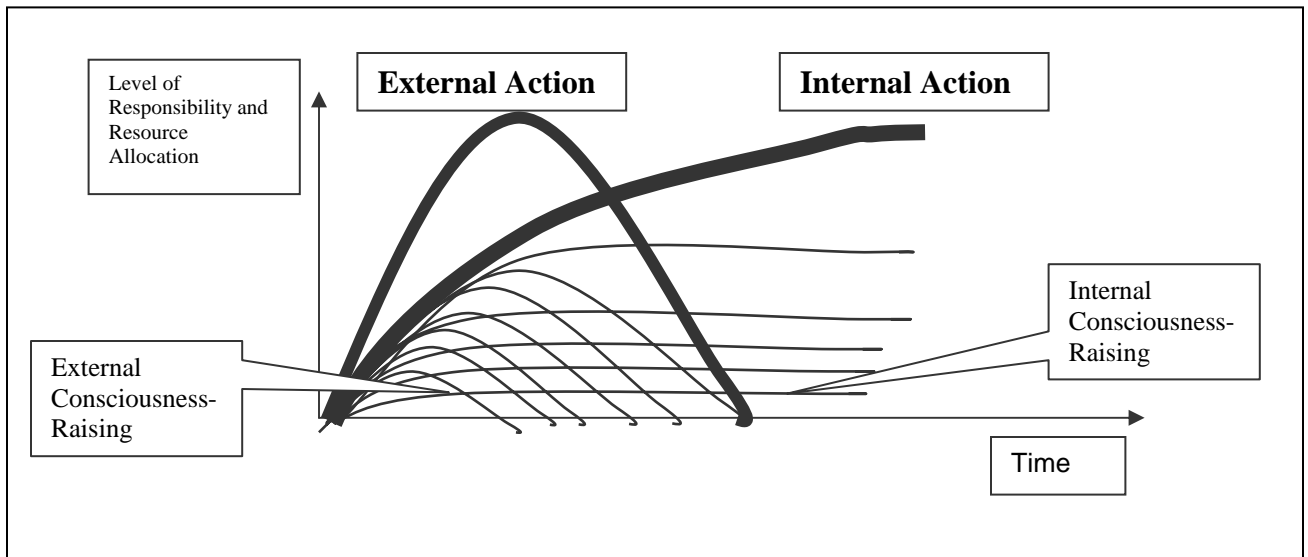




**Consciousness-raising** involves promoting new ideas and engaging the population in a reflection about its situation and the direction of its development and what is needed to get it there. It usually emphasizes the need to unite and work together. It is initially offered to all. Those that show receptivity to these new ideas may then be mobilized to engage action and they are organized for action along that direction. In the process, leadership qualities and organizational and technical capabilities are enhanced through training and facilitation, as required. As experience is gathered, successes are achieved, lessons are learned and capacity is increased, the size of the activities undertaken and their sectoral complexity is increased and regional community processes are linked to each other, to technical resource providers and to financial resources.

Sustainability of development intervention requires that responsibility for each of the main types of generic external intervention activities (consciousness-raising, mobilization, organization, training, consolidation and linkage) be progressively assumed internally by local leaders and institutions. The external intervention should progressively move away from the primary local intervention activities (conscious-raising, mobilization, organization, and training) to the secondary regional intervention activities (consolidation, linkage) and increasingly focus on the development or regional institutions capable of serving the population of the cluster and directing its development.

This is illustrated in the diagram below.



## Clustering

For a development process to become sustained, sufficient vision, organizational capacity, integration, skill, resources and size are required. Experience has shown that

even integrated development processes at a local level often are not sustainable because they lack the necessary critical mass and resources to support higher level organizational structures.

Experience in development intervention all over the world, as well as the successful development models in “developed” countries has shown that community development processes are not sustainable if they are limited to local interventions. Sooner or later these process face and may be blocked by size, resource and capacity constraints.

Not all needs can be met at the local level. Some needs are best addressed at the regional level. For example while it may not be possible to provide quality health services and training to every community, it may be possible to make these accessible to clusters of communities. While it may not be possible to bring credit and business advice and training to every community, these can be made available to a cluster of communities. Some undertakings can only be achieved by pooling resources from several communities. Irrigation and marketing problems can often be solved at the cluster level. Leadership capacity sufficient for administration of complex projects may not exist in each community. Cost recovery schemes from a health center may require a population much larger than one community to become sustainable, etc...

## Unit 6

### Action Planning: Principles of Participatory Planning

Action Planning is helping communities define the implementation processes of community projects. This is a stage where communities define their responsibilities and division of labor to perform activities for the benefits of the whole community. The following should be given genuine consideration during action planning:

- a) Inclusion of marginalized groups in the planning process and promote gender equity
- b) Plans need to be realistic and the planning process must prioritize the utilization of local resources.

Four essential questions should be answered during the planning process

1. What do we want?	<ul style="list-style-type: none"> <li>• Problem: defines the problem</li> <li>• Vision: defines the goal, specific objectives and expected outputs;</li> </ul>
2. What do we have?	<p>Resources:</p> <ul style="list-style-type: none"> <li>• Available labor and expertise;</li> <li>• Land or space on which to carry out the activity;</li> <li>• Cash through charges, sales, donations and other sources;</li> <li>• Capital (reusable equipment or tools) needed to carry out the activity, and human mental resources (wisdom, information, skills, experience, analytic capacity, creativity)</li> </ul>
3. How do we get what we want with what we have?	<ul style="list-style-type: none"> <li>• Strategy to be used</li> </ul>
4. What will happen when we get it?	<ul style="list-style-type: none"> <li>• Prediction of the impact of the activity; define the benefits before involving into an activity. People participate and commit to an activity when there are expected benefits.</li> </ul>

#### Planning Tips

- c) Planning should not be a one-off exercise, but a continuous process
- d) Planning should be people focused and empowering
- e) Planning should start from vision and strength/opportunities not problems
- f) Planning should be comprehensive, covering all sectors (holistic) and integrated
- g) Planning should promote mutual accountability between community and public officers
- h) Plans should be flexible, simple and learning oriented

The scheduling of planning activities at the local level should put into consideration the recommended timeframe of the overall Community Action Group's planning and budgeting cycle. The community must acknowledge the importance of planning and managing their own initiatives. In order for the community to effectively plan for itself, it needs to have a vision that clearly shows where the community wants to go. The role of the community development facilitator is to ensure that the community understands the current situation and what needs to be improved in order to reach the envisioned life.

### **Who Plans**

The community plans. We have seen the different levels of participation and the involvement of communities at each of the types of planning. The fact that our agency's mandate is to empower the community to own and take part in their daily life, the community themselves should design, plan, implement, monitor and evaluate their projects. Our role is to support and facilitate the process and ensure that all members or a good representative of the community are doing it. The fact that it is difficult to get all the community members to get together and agree on a single Action Plan, it is advisable and to form an Action Plan Committee (elected by the community) to do the planning. Usually this done at the end Participatory Learning and Action (PLA) workshop with the community; after problems are collectively identified by the community.

### **Forming an Action Plan Committee**

At the end of the PLA workshop, the community members need to choose or elect an action plan committee (APC), which will be in charge of developing and monitoring the implementation of the Community Action Plan (CAP). This committee can be called by another name that is more appropriate for the community such as Community Action Group, Community Based Organization; this being the general name for the group, there are sector specific institutions like the Parent Teacher Associations, Village Health Committee, Water Committee, Farmers Associations etc. For ease of reference all these groups are collectively referred in this manual as Community Based Organizations (CBO) or Community Action Groups (CAG).

The APC/CBO/CAG also monitors the progress of the CAP on a regular basis by examining the indicators collectively set by the community. It is up to the community to decide how this team will be selected; some communities may choose to elect the members, while others may choose to have them appointed by community leaders. It is possible that there is already an existing community group or committee that can take on the role of the APC.

While the Community Development Facilitators are not directly involved in choosing the APC, it can suggest the types of people who should belong to the committee. Ideally, an APC is representative of the entire community, and is not composed exclusively of community leaders. The APC typically has representatives of the following groups:

- Men and women
- Youth and elderly

- Special community groups (e.g., the disabled)

At least one person should be able to read and write, and all of the members should be well-respected and trusted by the community. The PLA team should work with the community to make sure that groups that are traditionally excluded from positions of power are included in the APC.

The PLA team should also emphasize that although the community will select an APC to coordinate the implementation of the CAP, doing so does not relieve other community members of the responsibility for implementing the activities--the success of their project will depend on the participation and hard work of EVERYONE!

### **Creating a Community Action Plan**

For a community to promote its own social development, it must have a well-defined strategy and a concrete implementation plan. A CAP is a summary of the priority problems, the proposed solutions to those problems, the strategies for implementing the solutions and the monitoring and evaluation plan. The CAP is created by the community members after the Community Development Facilitators (PLA team) have facilitated the ranking and scoring of problems and solutions. (Details see the PLA manual)

It is important for the CDFs (PLA team) to recognize the community's ability to create the CAP without outside assistance. The team members should make an effort to remove themselves from the process as much as possible and give input only when requested to do so by the community.

### **Guidelines for Developing a CAP**

The CAP contains the following elements for each project that the community decides to undertake:

- Name of the project
- Persons or groups in charge of the project
- Project objectives
- Project outputs
- Activities to be undertaken to produce the outputs
- Resources needed (both community resources and external resources)
- Time line
- A monitoring and evaluation plan; that is, indicators and techniques that will be used on a regular basis to track the progress and outcomes of the project.

The format for the CAP can either be a narrative or a table, or a combination of both. What matters most is that it can be understood easily by all members of the APC. Once the APC has finished the CAP, a public meeting is scheduled so that it can be presented to the rest of the community. The CDFs moderate the meeting and ensures that all community members are given a chance to voice their opinions and concerns. The CDFs also provides its own feedback, especially regarding the technical feasibility of activities and available resources.

### Sample CAP Format

Activity	Resources Needed	From Where	Responsible Person	Date of implementation		Comment
				Date start	Date end	

## Unit 7

### Project Management

A project is an integrated activity designed to solve a problem. A project implemented by community has a dual advantage of solving community problem while giving communities the opportunity to learn from the process of the implementation.

The role of CDFs is to help provide technical training that empowers CBOs to implement the project and develop their skills. This training creates confidence for the CBOs and increases the trust of the community upon these groups.

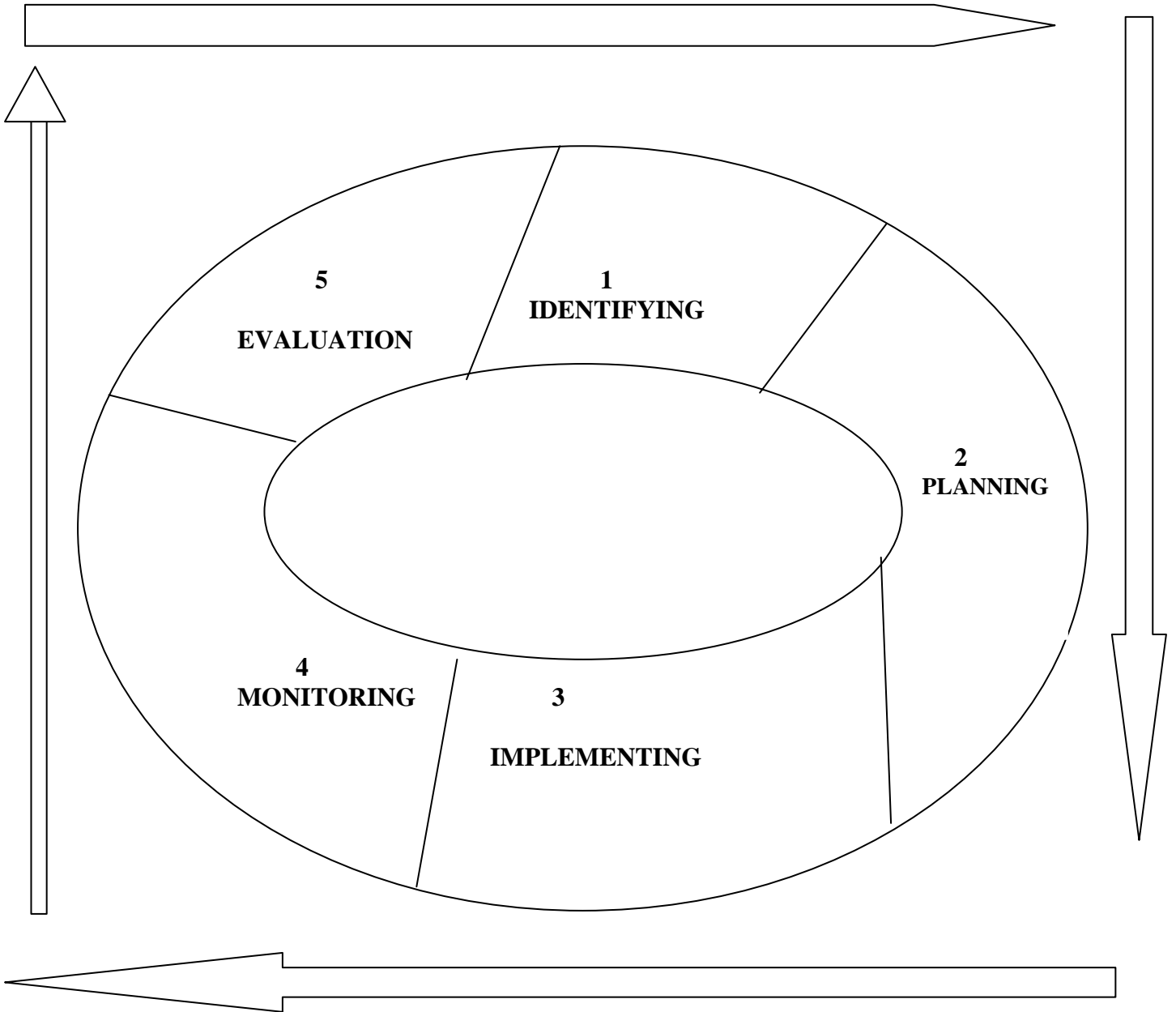
#### **Project Management**

Project management is a set of principles, practices, and techniques applied to design, implement, and monitor and evaluate projects based on project schedule, cost, and performance risks to result in a better impact. Project management training is a tool and a guide that helps the CAGs to be able to manage project design and management, financial recording and reporting, project monitoring and reporting, resource acquisition. It is recommended to conduct project management training to CBOs to help them implement project properly and that they have the capacity to implement other projects by raising funds from the community and agencies.

Therefore CBOs/CAGs has to be trained and empowered on:

- Project design
- Project implementation
- Project monitoring and evaluation
- Community mobilization and organization
- Record keeping
- Procedures of procurement
- Methods of collecting community contribution

**Project Cycle**





## **Problem Identification**



As is explained in the previous sections, community problems are identified through the participatory assessment of Participatory Learning and Action. This is a tool that helps communities learn about their local resources and community problems.

## **Planning**

Planning is a proposed or intended method of

getting from one set of circumstances to another. They are often used to move from the present situation, towards the achievement of one or more objectives or goals. Planning sets time for different activities, facilitates allocation of responsibilities and ensures maximum utilization and budgeting/ allocation of available resources

Planning helps to define

- What has to be done?
- When will it be done?
- How will it be done?
- What is needed?
- Who will do it?
- How long will it take?
- How much will it cost?
- Etc?

## **Project Implementation**

Project Implementation is the execution of plans into action. A good design and plan leads to a successful implementation. Project plans therefore needs to be designed properly and appraised by the community. Unless the community participates in the planning of the project, it is difficult to get them involved in its implementation.

## **Monitoring and Evaluation**

Monitoring and Evaluations are two important steps in the project implementations and management. As in any other step, the community must also be involved in the project monitoring and evaluations. (Refer unit eight for participatory monitoring and evaluation.)

## Unit 8

### Participatory Monitoring and Evaluation (PM & E)

Participatory monitoring and evaluation is the final stage of a participatory program. Participatory monitoring and evaluation increases project ownership by the community and helps them to learn from the process of the project implementation while keeping them informed about project deviations which can be corrected before it is too late. The confidence of the communities can also increase because projects are implemented according to the Communities Action Plan. During participatory monitoring and evaluations, the monitoring and evaluation group should also look at the CAP and compare what happened at different times.

**Participatory Monitoring and Evaluation:** This activity is carried out in teams that comprises of the community and the sponsoring agency's members. For this reason plan of implementation should incorporate a plan for monitoring and evaluation.

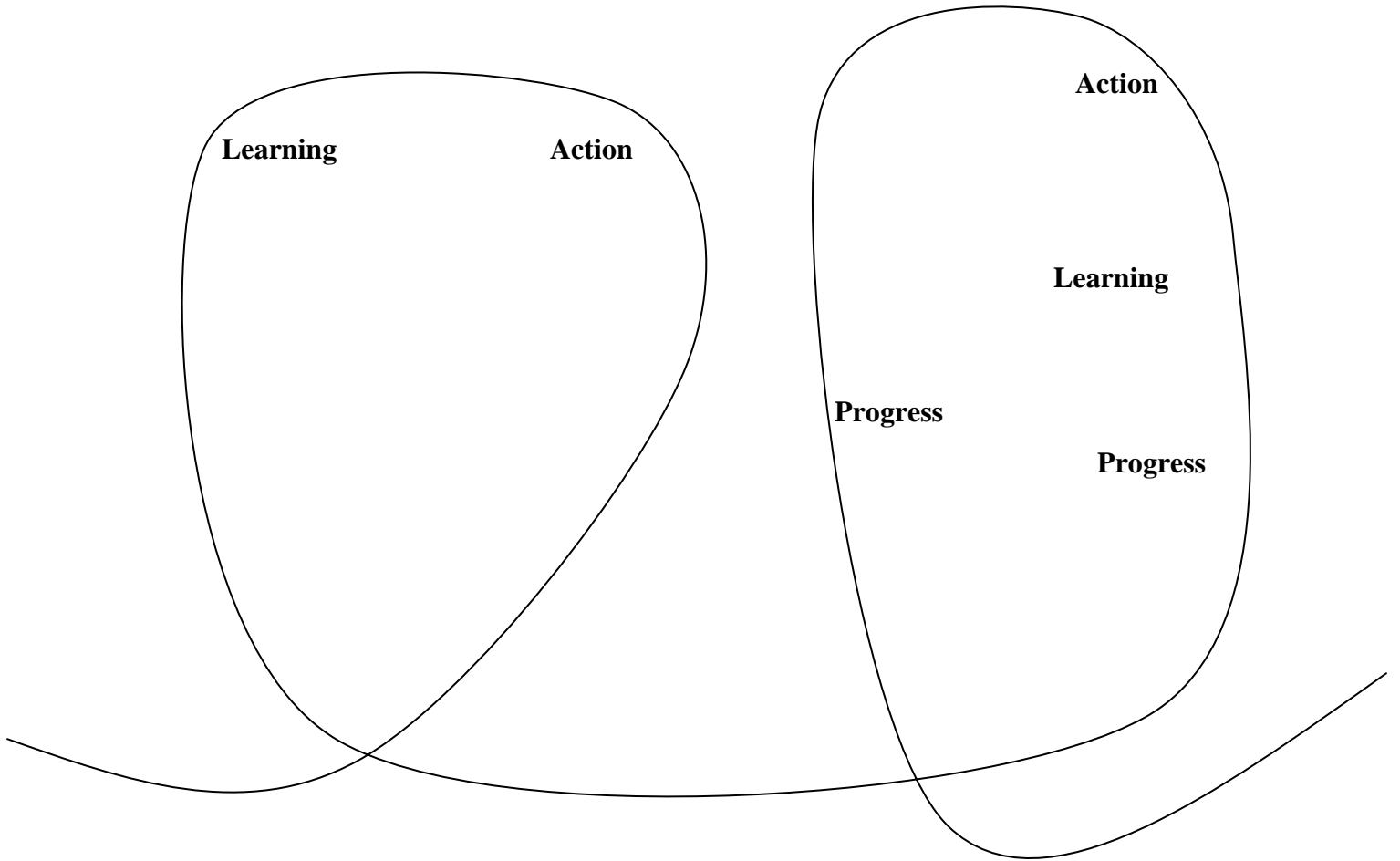
**Participatory monitoring team:** this team is composed of community members and implementing agency. They will be responsible for recording useful information about the project to keep track of activities and progress towards attaining the objectives on a regular basis as planned. And they are responsible for giving the community constant feedback for the achievements gained and areas that need improvements. This team must be separate from the implementing committee, for the reason that it would be difficult for an implementing team to monitor itself when it works for their own project.

Some advantages of monitoring

- It helps to identify the constraints and suggests possible improvements
- Determines whether project activities coincide with project objectives and plans
- Identifies training needs
- Provide information for progress report
- Assesses what is working and what is not working
- Compare actual versus desired effects
- Ensure quality control
- Monitoring helps to decide what action is necessary if feedback shows implementation plans are not attaining the intended goals

**Participatory evaluation: usually the evaluation team is also the monitoring team** composed of the community and sponsoring agency. The purpose of the committee is to ensure that projects receive unbiased and non-hurried evaluations. The monitoring and evaluation team is expected to produce reports, based on the agreed schedule of activities, and keep the community well informed about their findings so that, where necessary, approaches and activities are modified and re-targeted to meet the objectives. When conducting evaluation, the community should know the indicators prior to the evaluation. Indicators should be developed with the community so that they feel responsible towards

achieving them. This process ensures and maximizes the learning process that involves community into a continuous “action-learning-action” process.



## Unit 9

# Community Training

### **Training**

**TRAINING:** Training is the process of imparting specific knowledge to people with skills for performing certain activities in a better way.

There are eight stages that a trainer will follow during planning trainings. Facilitators may need to add some more details during the trainings but the following are general guides during planning.

#### **1. Why/Purpose**

Trainer must have a clear understanding of why he/she is conducting the training, why the training is designed. Without defining why you are doing the training it is difficult to develop the content that reflects the audience's needs and that serves the purpose of the training

#### **2. Who/Participants**

It is very important to know your audience before designing training. You must ask yourself what do the trainees expect. What do I want them to do after the training? How do I want them to react? What will be the best approach to gain participation during and after the training? It is preferable that your group of trainees are homogenous; of the same background and status if possible.

#### **3. When/Time:**

The time for the training should be compatible to the trainees and the training situation. This is affected by the different work schedules and the daily and seasonal routines of the trainees. It is difficult to provide training during harvesting or cultivation season to farmers for example.

#### **4. Where/Access**

Venues should be arranged at the closest site to the trainees. This is good for two reasons: it helps remain in contact with their families and saves time and resources. The training should also balance the convenience of the trainees and the content of the training. If, for example, the training is about nursery it is better to take the trainees to the place where there is a place they can observe nurseries even if it is far from the trainees' locality.

#### **5. Content/What**

Obviously the content of the training should be relevant and accessible to the trainees. This may include changes in awareness, knowledge, skills and behavior. Training sessions should also include time for introductions and group-building, as well as forward planning, action planning support, monitoring, and evaluation

## 6. What For/ Achievement based objective

- Articulate clearly what you want by the end of your training and make sure whether you achieved it.
- Must be clear and explicit
- Monitoring and evaluation should be part of the objectives

## 7. Methods/how

Develop your delivery methods in the workshop; explain the steps...one by one allotting time for each step.

- Meet learners specific needs
- Participatory methods based on learners own experience is best for adult learners and is more enjoyable

## Trainers/ Who

For any training to be productive and meet its objectives, trainers must have the knowledge (and the skills to transfer the subject matter) of the sessions. Moreover trainers must have excellent facilitation skills and a good sense of humor.

## Conducting Community Seminars

Community gatherings are occasions where people discuss about different village issues and concerns. Each community does its seminars to discuss village matters. Therefore it is good to study where, when, and how does the community conduct their meetings as well as what are the matters that are discussed in these meetings.

Community seminars can be put under three categorizations:

- 1. Information/Introduction/Awareness Seminar:** As stated in the community mobilization cycle, the first step in mobilization is getting a clearance from local leaders and partner government officers, and reaching a mutual understanding with the government bodies. Having done the clearance, the CDF begins his/her activity with awareness raising of the target beneficiary through seminars. Information seminars are seminars intended in sharing project goals, objectives and activities. It is also the time to listen and ensure communities' readiness to the program. First impressions are last impressions; therefore it is imperative that you build a very good first impression with the community and make it clear that you are not there to solve all the problems of the community but you are there to help address their issues. This stage is critical and a good communicator who is familiar with the culture and language of the community should take the lead in the information seminar.

Information seminars focus on the following three important points:

- Define the purpose
- Build good relationship with the community
- Raises awareness

2. **Organizing Seminar:** This is a stage where communities begin to realize their problems and organize to take action. In this stage communities organize people to lead activities and implement projects. Community action groups are the role takers of the mobilization activities during and after the program. In this spot, the seminars are conducted by the CBOs/CAGs. The role of the sponsoring agency is to facilitate the process and provide technical support whenever necessary and make sure that the process is participatory and everybody has the chance to voice his/her ideas.
3. **Follow up Seminar:** This kind of seminar is conducted to follow up on activities and ensure that CBOs/ CAGs are doing the seminars. Several seminars can be organized at this stage.
4. **Achievement/Graduation Seminars:** This is the seminar where communities come together to celebrate their achievement and recognize their ability to implement projects and the role of the CBOs. This will create confidence and trust among the community and the CBOs. Such seminars also create a feeling of unity and cooperation among the community. It also stimulates the community to address other needs.

The CBOs reports to the community on:

- Implemented projects
- Local resources used
- Contributions collected
- Experiences gained
- Recognizes extraordinary people who have participated in the project
- Challenges faced
- And more importantly the next steps (includes follow up of the implemented project and defines what to address next)

## **Qualities of Community Development Facilitator in Seminars and Training Sessions**

### **(a) Knowledge of Self (personal qualities)**

- Tolerance for ambiguity
- Accepting of others, hold others with unconditional regard
- Conceptual and systemic thinking (able to put it all together)
- Concern for quality (and able to describe it)
- Flexibility, versatility, (ability to switch gears at the last moment)
- Inspirational
- Open to self-growth
- Self knowledge and awareness (strengths, weaknesses, ego, impact on others)
- Sense of when to stay quiet

**(b) Knowledge Base (knows/skilled in...)**

- Adopting adult learning principles
- Adopting adult communication styles
- Learning styles
- Cultural competency
- Group and interpersonal dynamics
- Group facilitation
- Knowledge/assessment of audience

**(c) Facilitation Skills**

- Active, effective listener
- Encourage open communication
- Feedback skills
- Attentive to when participants give response
- Questioning (as opposed to telling) skills
  - asking questions that will lead to insight
  - asking provocative questions
  - using problems, questions, tools and other means to stir the mind and body to learn
  - not providing all answers to the participants
- Clarify experiences for additional insights
- Focus -- keeping the discussion on track
- Listen from a non-judgmental place
- Listen for understanding and context
- Maximize gaining of knowledge and skill in the time available
- Observation skills
  - Notices patterns in group interaction and brings it up to the group for exploration.
  - Notices what is NOT said as well as what is said
  - Organization skills
  - Observes and listens for opportunities and actualities of learning
- Pacing skills --change the level of the discussion at the appropriate time (from brainstorming to evaluation to decision to action planning, or from thinking to feeling)
- Presentation skills
- Problem solving right on the spot
- Ability to extract positive outcomes from difficult situations
- Read not only individuals, but also interaction between individuals, and the subtleties of group
- Steer the group in a positive direction
- Summarization skills (succinct, accurate, non-judgmental)
- Use out-going participants to get the discussion rolling *and* make room for the quiet ones
- Writing skills

## Unit 10

### Community Based Organizations' Capacity Index

#### Index

Mercy Corps Eritrea uses capacity indexes for its programs around the world. The true quality of CBOs work performance measured in terms of their ability to represent and organize the community. Mercy Corps Eritrea uses six broad concepts to define capacity building and measure capacity. These are:

1. Structure
2. Operation
3. Responsibility
4. Project management
5. Leadership
6. Linkage and transfer of skills

These are explained below. Depending on the sectors and activities, each program may use all of them; add some other concepts or different measures.

#### **Community organization as a spider web**

A spider spins its web with strand (silk thread). There are several main strands or threads which hold the web together. These strands can be compared to the main pillars of a house or the main characteristics of an organization.

Similarly, a spider web can symbolize an organization. An organization also has main strands or pillars which are essential for its smooth functioning. These pillars include: Structure, Operation, Responsibility, Project Management, Leadership, Linkage and transfer of skills. If some pillars are lacking or are very weak, the organization may not sustain or function effectively. The pillars need to be strengthened to make the overall organization stronger and more self-reliant.

**Structure:** Refers to the formation and terms of assignment; membership, gender balance and representation; knowledge of mission and duties; existence of officers and sub committees and existence and use of internal policies. Other concepts can be added as necessary.

**Operation:** Operation in the CBO capacity building index refers to the frequency and attendance at meetings; capacity of passing decisions; capacity of planning; capacity of record keeping and reporting plus others. The following are also some of the operational capacities of CBOs:

- a) Planning for funds, community contributions and human resources
- b) Developing weekly, monthly and annual plans
- c) Preparing reports for the community and program partners
- d) Keeping proper documentations and records
- e) Opening bank accounts and using them properly



**Responsibility:** Includes CBO's vision of role; awareness on their sector issues; initiatives taken towards their sectors etc.

**Project Management:** Knowledge of project implementation steps (like planning, implementation, monitoring and evaluation etc); capacity to implement projects; knowledge and use of procurement procedures; capacity of problem solving, divisions of labor, monitoring and evaluations; etc.

Project management also includes the following:

- Capacity to identify community needs
- Capacity to organize and mobilize community for project implementation
- Readiness to involve and participate community members to make project decisions
- Capacity to write community project applications
- Capacity to allocate tasks and responsibilities to individuals
- Capacity to utilize local resources
- Capacity to follow partner project procedures
- Capacity to follow procurement procedures

**Leadership:** The leadership component of the index measures the extent to which the CBOs are able to mobilize and communicate with the community; the level of community participation in meetings called by the CBO; and in contributing to its activities and the level of community awareness of CBO members and activities. The following are also good measures for leadership capacity of CBOs.

- Increased capacity of mobilizing and organizing community
- Increased capacity in raising community contributions, in either way
- Increased capacity in involving private sectors
- Existence of plan and system for generating funds
- Transparency

**Linkages/ Transfer of skills and resources:** The extent to which the CBO is connected to other organization, both in and out of the community, is able to access resources and is able to transfer its learning.

## Procedures for Monitoring Community-Based Organization Capacity

The RSRDP's objective is striving to achieve broad community involvement and participation for the realization of the communities' mutual benefit and to increase communities' initiatives to take similar actions to the recurrent problems after the life of the program. The different activities under this effort therefore, need to ensure and add up to the enhancement and improvement of the community development index. Monitoring and evaluation activities are more vital to ensure better outcomes of the program. Otherwise, monitoring and evaluations are not worth doing them, if they are not contributing for the end of communities' interests.

Monitoring and evaluation activities are more reliable and resourceful when they:

- Are conducted on a regular basis;
- Have broader community involvement and participation;
- Are documented and communicated within the community and outside;
- Served as lessons learned;
- Are served as a basis for amendments/changes or responses;

The RSRDP to realize the aforementioned points will adopt the Spider model procedures with some modifications to monitor Community-Based Organizations' capacity.

### **Procedures of the Spider Model:**

Spider model is an effective methodology for measuring the capacity of Community-Based Organization through the communities own participation. It assures and enhances CBO performance to different activities; at the same time it facilitates the growth of institutional capacity through a continuous and regular provision of feedback that betters their capacity. There are a number of steps to follow while pursuing the approach.

1. Prepare **semi-structured interview (SSI)** questions based on the **core factors** for each of the six components of the community development capacity index (Structure, Operation, Responsibility, Leadership, Project Management And Linkage/Transfer)
2. Invite 10-15 individuals consisting of the CAG/CBO members and the non-members.
3. Discuss the core factors with these individuals. Start the discussion with easy and reminding questions. Like for example what they consider important factors of a strong organization?
4. When all the four stages have been presented and discussed upon divide participants into groups and ask the groups (CBO) is? Like what stage is matching the situation of your group/organization? Stimulate the group to discuss by asking verifying questions like: How, When, What, Why, Who.
5. Develop the scoring of each core factor and calculate the score.

6. Reach into consensus with the two groups to merge the final result.
7. Discuss the result with the group openly.
8. Record the findings.

## **KEY IDEAS IN THIS PROCEDURE**

### **SSI**

Semi structured interviews (SSI) are the major tool in participatory monitoring and evaluation. They are based on predetermined set of topics, which can be added and modified as needed. The interviewers prepare a list of questions to use as a general guide rather than reading questions from a fixed questionnaire. It gives full area of flexibility for the facilitator and allows initiating various discussions. Hence, foster the procedures of scoring in the monitoring and evaluation techniques.

### **Strands (threads)**

Spider spins its web with strand; there are six strands (threads) which hold the web together. In our case these strands can be compared to the main characteristics of an organizations' capacity index. The pillars or strands need to be strengthened to make the over all organization stronger and more self reliant.

### **Scoring**

To facilitate scoring the indicators (core factors) have been broken down into four stages, from one to four. The one column represents low capacity while the fourth column represents high capacity. Each step has been described clearly to enable the staff and the participants to make valid scoring as well as avoid guess work and too much subjectivity in the scoring.

### **Core factors**

Core factors are the indicators by which we measure and characterized the major components of the community development capacity index. Core factors are usually derived from the indicators and are written in the form of questions. They are kept reasonably constant for measurement purposes. That is to compare the initial result against the subsequent results along the life span of the project and after. Major components of the community development capacity index are Structure, Operation, Responsibility, Leadership, Project Management and Linkage/Transfer

\* In this pilot project it is very important to keep the number of the core value at minimum yet representative.

**This model has the following advantages**

- It is too easy and feasible for monitoring the CBO/CAG's capacities.
- It gives the qualitative data in quantitative terms and conclusions.
- It is more appropriate for illiterate people. Since it is represented visually.
- It helps to initiate discussion based on the results of the scoring since it visualizes the actual field situation.
- It aims at building the CBO/CAGs' self-awareness and discussion about the indicators by way of high participation.
- It provides easy way to identify the weaknesses and strengths of the CBO/CAG and aims at action planning with the COB/CAGs to strength their capacities.

**Be alert .... ?**

- ❖ M&E can stimulate unrealistic expectations
- ❖ Subjectivity
- ❖ Time consuming
- ❖ Scoring numbers are vague
- ❖ How to maintain the balance between the community capacity index components
- ❖ Facilitators skill Vs Scoring results

## MONTHLY MONITORING FORM

Area of capacity development	Core factor	1	2	3	4	The score multiplied by 4	Total score
Structure	Gender representation and participation	No women participation at all	Women participate only because of RSRDP or demand	Women tend to be active in implementation not in decision making	Participate both in decision making and implementation	2 x 4	8
	Cluster representation from the major village	No representation	> 25% and < 50% are represented	> 50% and < 75% are represented	> 75% and < 95% representation		
	Internal policies	No	Yes, not known to the members	Yes, known to the members	Known and are effectively implemented by the members		
Responsibility	What are the duties and roles of the CBO's members?	Members have no idea of the role of each member	Few members have unclear idea about the role of each member	Majority of the members have vague idea about the role of each member	Almost of all the members have a clear idea about the role of each member		
	Initiative to carryout the stated/defined roles and responsibilities	No initiatives was taken	Half of the members have known their roles and acted accordingly	$\frac{3}{4}$ of the members have known their roles and duties and acted accordingly	all members known his roles and duties and acts accordingly		

Area of capacity development	Core factor	1	2	3	4	The score multiplied by 4	Total score
Operation	Meeting at institutional level	No meeting	Irregular meeting	Regular but less participation	Regular with full participation		
	Does your meeting have agendas	No agendas are considered	Only urgent meetings have agendas	¾ of the meetings have agendas	All meetings have agendas		
	Issues that need any decisions	No decisions were taken for the issues	Half of the issues were discussed and decided	¾ of the issues were discussed and decided	All of the issues were discussed and decided		
	# of decisions implemented last month	Non of the decisions implemented	Half of the decisions completed. (Management of the activity was weak)	¾ of the decisions implemented. (Yet, management and maintenance some times weak)	All decisions implemented efficiently.		
	Who makes decision	Administrator alone	Administrator and chairman	Majority of the CBO members only	village administrator and all the CBO members		
	Reporting activities	No reports are provided for any	Half of the activities are reported to the community only	¾ of the activities reported to the community and other bodies progressively	All of the activities reported to the respective bodies regularly		

				(Gov't, agencies)			
	Keeping record and usage	No record kept	Taking minutes is irregular and minimal (signatories only)	Taking regular minutes for main decision.	All activities recorded and past minutes are referred again		
	How are activities planned and implemented	All activities are done spontaneously as they come	Plans are in place By the help of sponsoring program and weak implementation.	Activities are planned by CBOs but weak in implementation.	Activities are planned by CBOs and effectively implemented.		
<b>Area of capacity development</b>	<b>Core factor</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>The score multiplied by 4</b>	<b>Total score</b>
	How the CBO/CAG communicate with the community	No communication	Orally during village administrator driven meetings	Through meetings after the accomplishments of certain project	Through progressive regular meetings accompanied with documents		
	Degree of community participation	No	Participated in collecting cash contributions	Participated in cash, kind and labor	Participated in decision-making, cash, in-kind and providing feedbacks		

Leadership	Visibility	Not known to every body	Few members of the community have some idea about the roles and duties of the CBO	Most members of the community have idea about the roles and duties of the CBO	Roles and duties of the CBO Visible to the whole community and the government		
	Transparency	Not transparent	Give answer to key persons when asked	Open but with no documentation	Transparent (provide activities report regularly to the community)		
	Meeting at community level	No participation at meeting	Low participation at meetings	High participation but low involvement in implementation	High participation and high involvement in implementation		
<b>Area of capacity development</b>	<b>Core factor</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>The score multiplied by 4</b>	<b>Total score</b>
	Identification of problems, plan and implementation	Problems was not correctly identified	It was sensed but was not correctly planned	Sensed, correctly planed but not implemented correctly	Sensed, correctly planed and implemented correctly		
	Identifying the human and material resources	resources were not identified initially	Identify outward resources	Identified human and material resources only within the community	Identified human and material resources within and outside the community		



Project Management	Time planning	Don't care	Few activities went on according to the plan	Major of the planned activities have been completed according to the timeline.	All activities implemented on time.		
	Implementation	Failed to implement the plan	Late to start and to complete	Late to start but completed efficiently	Implemented as scheduled		
	How did you allocate project responsibility to the CBO members	No allocation of responsibilities	Responsibilities was allocated on volunteer basis	¾ of the members have got responsibility and acted accordingly	All the members have defined responsibility		
	Monitoring and evaluation	No monitoring and evaluation carried out.	Irregular monitoring and evaluation	Regularly monitored and evaluated the project	Regularly monitored and evaluated the project and decision tanking based on the M&E results		

Area of capacity development	Core factor	1	2	3	4	The score multiplied by 4	Total score
Linkage/Transfer	Relationship with internal partners/groups	We don't have any relations	Irregular contact, but no coordination of activities	We have regular contact but not coordinated activities	Has regular contact to different groups with a good work coordination		
	Skill transfer	No media for transferring skills	¼ of the members belong to other community groups	2/4 of members belong to other community groups too	¾ of the members belong to other community groups too.		
	Relationship with external agencies except MC and other Source of income.	No, not aware of such opportunities.	Aware of the opportunities but did not yet have any access to the external resources.	Yes, some times we get external support (government agencies and NGOs)	Yes, we do have regular contact and have solved some of our community problems		
	Generating fund/ resources	No activities were made	planned to carry out fund generating activity but not implemented	Generated funds from the community only	Generated funds within the community and the outside world		



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**Decisions Passed**

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

**Pending Issues**

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

**Action Plan**

S.n	Action Items	Due Date	Responsible person

**Remarks**

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**Meeting Attendees**

S.n	Name	Title	Date	Signature

## Annex: B

### Financial Record Keeping Form

**Village Name:** \_\_\_\_\_

**Project Name:** \_\_\_\_\_

**Sector CAGs/CBOs:** \_\_\_\_\_

Date	Description	In	Out	Balance

## Annex: C

### CAG/CBO's Annual/Monthly Plan

Village Name: \_\_\_\_\_

Project Cycle: \_\_\_\_\_

Sector CAGs/CBOs: \_\_\_\_\_

Month: \_\_\_\_\_

S#	Description of activities	Jan	Feb.	Mar	April	May	June	July	Aug	Sept	Oct.	No	Dec.	Responsible Person

Annex: D

**CBO Monthly**

**Village Name:** \_\_\_\_\_

**Project Cycle:** \_\_\_\_\_

**Sector CBOs**

**Month** \_\_\_\_\_

S.N.	Description of activities	Week 1	Week 2	Week 3	Week 4	Responsible person	Resources required

**Annex: E**  
**CAG Weekly**

**Village Name:** \_\_\_\_\_  
**Month** \_\_\_\_\_

S.N.	Description of Activities	Day 1	Day 2	Day 3	Day 4	Day 5	Day 6	Responsible person	Resources Required



**Annex F: Community Participation Promotion Cycle**

