

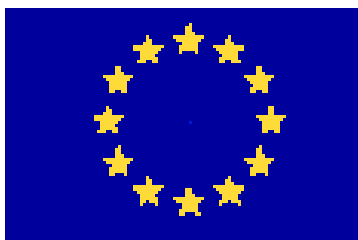


## ***Azerbaijan Civil Society Strengthening Programme Training Courses***

Strengthening Civil Society and Understanding CSOs

**April 2010**

May 2010



**This project is funded by the European Union**

This document has been produced with the financial assistance of the European Union. The contents of this document are the sole responsibility of Management Centre and Centre for Economic and Social Development and can under no circumstances be regarded as reflecting the position of the European Union."

# CSO Training Course

## Strengthening Civil Society and Understanding CSOs

### Course Objectives

The aim of the course is to help participants develop greater conceptual clarity around the questions “what is civil society?”, “what is the purpose of strengthening it?”, “how do organisations of civil society develop?” and “what is their role in building a strong civic sector”? The intention is that individual organisations can increase their confidence and capacity to act within the civic sphere.

At the end of the course participants should:

- Have an understanding of their own organisation’s stage of development
- Be aware of their organisations’ existing and potential roles in strengthening the civic sector
- Appreciate how the different sectors of society relate to each other and to what purpose
- Identify organisational strengths and weaknesses in relation to other actors in society

### Course Content

#### Understanding and Strengthening Civil Society

- Main debates on civil society: its purpose and composition
- The choices available to CSOs to engage as civic actors
- The options for civic expression at different levels
- Role and relationship models for strengthening the civic sector

#### Understanding CSOs and Building Effective Organisations

- What is an organisation? Models for understanding organisations
- How organisations evolve over time: the organisational life-cycle
- How organisations identify other relevant organisational actors in society: stakeholder mapping
- How organisations link with civil society

## PARTICIPANTS' TIMETABLE

<b>SESSION</b>	<b>DAY: 1</b>	<b>DAY:2</b>	<b>DAY: 3</b>	<b>DAY: 4</b>	<b>DAY: 5</b>
	<b>Strengthening Civil Society</b>		<b>Understanding Civil Society Organisations</b>		
<b>10.00-11.30</b>		<b>Session 4 and 5</b> Civil Society Development Models And The Goals of Civil Society Strengthening			
<b>11.30-11.45</b>		<i>Break</i>			
<b>11.45-13.15</b>		<b>Session 6</b> Levels of Civil Society Engagement			
<b>13.15-14.15</b>		<i>Lunch</i>			
<b>14.15-15.45</b>		<i>Session 7</i> Civil Society, State & Market			
<b>15.45-16.00</b>		<i>Break</i>			
<b>16.00-17.20</b>		<b>Session 8</b> Cooperation Frameworks			
<b>17.30-19.00</b>	<b>Session 1 and 2</b> Introductions and Defining Civil Society	<i>Home Groups</i>	<b>Session 9</b> Understanding CSOs Giving feedback	<b>Session 11</b> Organisational Life Cycle Models	<b>Session 13</b> Stakeholder Mapping
<b>19.10-19.20</b>	<i>Break</i>		<i>Break</i>	<i>Break</i>	<i>Break</i>
<b>19.20-20.50</b>	<b>Session 3</b> Composition of Civil Society		<b>Session 10</b> Values Vision and Mission	<b>Session 12</b> Organisational Life Cycle Models	<b>Session 14</b> SWOT Analysis
<b>20.50-21.00</b>	<i>Home Groups</i>		<i>Home Groups</i>	<i>Home Groups</i>	<i>Depart</i>

## **Home Group Responsibilities**

You will be a member of a home group for the duration of the workshop

Home group members should agree a name for their group

During each day the Home Group members should check with each other to ensure that no-one is experiencing language or other practical problems. If they are, these should be raised with the facilitator

At the end of each day, each home group should meet for 15 minutes to discuss the following:

- What went well today?
- What could have been better?
- Suggestions for the remainder of the workshop

Each Home Group should select one member to represent the group's views to the facilitators at the End -of- Day Review meeting. This meeting will take approximately 15 minutes. A different representative should be selected each day.

<b>SESSION ONE: INTRODUCTION</b>
<p><b>Objectives:</b></p> <ul style="list-style-type: none"> <li>• Welcome participants</li> <li>• Introduce trainers/facilitators</li> <li>• Introduce participants</li> <li>• Introduce course objectives</li> <li>• Overview of the course (flow chart)</li> <li>• HOMEGROUPS</li> </ul>
<p><b>Method:</b></p> <ul style="list-style-type: none"> <li>• Verbally welcome participants to course</li> <li>• Facilitators introduce themselves and INTRAC</li> <li>• Participants introduce themselves (use ball) with name, organisation, why they chose to attend the course</li> <li>• Polarities</li> <li>• Course objectives on flipchart</li> <li>• Overview of the course</li> <li>• Present a flow chart for the week</li> <li>• Home-groups</li> <li>• Present housekeeping issues</li> </ul>
<b>Key learning points</b>
<b>Timing: 30 mins</b>
<p><b>Materials:</b></p> <ul style="list-style-type: none"> <li>• Juggling ball</li> <li>• Revised course program as handouts</li> <li>• Flip Chart prepared objectives</li> <li>• Flip chart with the flow diagram prepared</li> </ul>

## EXERCISE

Q1 how long has your organisation been in existence?

Q2 how long have you been with your organisation?

Q3 the number of people involved with your organisation (employees, volunteers and trustees)?

Q4 How long have you worked in your organisation?

Q5 how long have you worked in the field of development?

<b>Session Two:</b> Defining Civil Society	
<b>Learning Objectives</b>	1. Develop a conceptual understanding of what is civil society within the Cypriot context
<b>Process</b>	<p><b>Method:</b></p> <p>10 mins Buzz groups: what does the term CS mean to you? + plenary</p> <p>10 mins CIVICUS model overhead: discussion on the “fuzzy boundaries” between the sectors and their relative sizes in Azerbaijann</p> <p>10 mins Dimensions of civil society and discussion</p> <p>30 mins Definitions exercise: in small groups (Stage, Actors, Alternatives and Connectors) look at definitions in the Reader and be ready to explain to colleagues:</p> <ul style="list-style-type: none"> <li>• What each definition means</li> <li>• How it is relevant (or not) to CS in Azerbaijann</li> <li>• What opportunities the definition offers for civic engagement</li> <li>• What roles it points to for civil society actors</li> </ul> <p><u>Output:</u> Flip chart on current CS roles (for example advocate, service provider, innovator) for future reference in the workshop</p> <p>Conclude with Jorgensen quotation</p> <p><u>Learning Point:</u> How organisations contribute to strengthening civil society depends on how they define it.</p>
<b>Timing</b>	60 minutes
Materials	
Handouts	Reading on Civil Society
Power Point	Dimensions of civil society
Flipchart	Roles

## WHAT IS 'CIVIL SOCIETY'?

### Definitions, interpretations and implications for development work.

#### Definitions

A broad general definition of the term is that civil society refers to those organisations that exist between the level of the family and the State but which enjoy a degree of autonomy from the State and the market.

The term itself is not new. It has its roots in early modern European political thought which espoused the virtues of pluralism, founded upon equal & autonomous citizens. However, it is only since the 1990's that this term has been seen to have relevance to the development debate. The following are some of the definitions of Civil Society used by workers in the development field:

**Actors:** "the broad range of organisations in society which fall outside government and which are not primarily motivated by profit. They include voluntary associations, women's groups, trade unions, community groups, chambers of commerce, farming & housing co-operatives, religious & tribal based groups, cultural groups, sports associations, academic & research institutions, consumer groups & so on." DFID 1998

**Connectors:** "Civil Society may be defined as that part of society that connects individuals with the public realm. It has been described as the 'political face' of society...Civil society organisations channel peoples' participation in economic, political, cultural & social activities and organise them in order to influence public policy and gain access to public resources, especially for vulnerable & marginalised populations. In this way, civil society organisations are the mechanisms to represent people's interests and the pipeline for societal dialogue." UNDP

**The stage:** or "the arena in which people come together to advance the interests they hold in common, not for profit or for political power, but because they care enough about something to take collective action." Edwards

**Site of alternatives:** "Civil Society basically refers to associations that exist outside of the state or market, which maintain a degree of autonomy and independence, and have the potential to provide alternative views, policies and actions to those promoted by the state and market". (INTRAC)

A common feature of all views, is that Civil Society is essentially to do with co-operation, voluntary association and the building of trust.

<b>Session Three:</b> Composition of Civil Society	
<b>Learning Objectives</b>	To understand how familiarity with the composition of civil society can enlarge the scope for civic engagement.
<b>Process</b>	
40 mins	<p>Present the Holloway typology. Mixed groups to discuss:</p> <ul style="list-style-type: none"> <li>• What other actors are there in Azerbaijann?</li> <li>• Which ones are most important?</li> <li>• To what degree do they engage in civic life? How?</li> <li>• Which categories are absent?</li> </ul>
20 mins	<p>Presentation: Who is In and who is Out of CS in Azerbaijann?</p>
30 mins	<p>Input on Inclusive and Exclusive Positions followed by Buzz groups:</p> <ul style="list-style-type: none"> <li>• How inclusionary or exclusionary is the approach to CS in Azerbaijann?</li> <li>• What influence does the prevailing approach have on civic engagement?</li> </ul> <p>Participants group themselves according to “type” and describe to each other how they see Cypriot civil society from their position</p>
<b>Timing</b>	90 mins
<b>Materials</b>	
Handouts	Typology of CS actors.
Power Point	Who is in and who is out of CS? Exclusive & Inclusive Positions



## Civil Society Organisations

<b>Mutual Benefit Organisations</b> <i>benefiting their members</i>	<b>Public Benefit Organisations</b> <i>benefiting the public</i>	<b>Private Benefit Organisations</b> <i>pretenders, benefiting themselves</i>
Faith Based Groups Eg. Churches	Private Philanthropic Organisations	*Non-Government Individuals* (My own NGO – MONGO)
Indigenous Community Organisations (CBOs)	Public Philanthropic Organisations	*Brief Case NGOs* (BRINGO)
Induced Community Organisations (CBOs)	Location specific Philanthropic Organisations	*Criminal NGOs* (CRINGO)
Ethnic Organisations/Tribes	Faith Based Groups Eg. Churches	Spurious NGOs - *Politician's (PONGO) NGOs* *Government Organised NGOs* (GONGO) *Business Organised NGOs* (Commercial NGOs - CONGO) *Donor Organised NGOs* (DONGO)
Political Organisations	NGOs Implementing devpt projects	
Employment-related Associations	Service delivery Civic education Solidarity building Research Advocacy	
Professional Trade Unions Chambers Trade Assocs. Farmers, fishers etc.	Service Delivery "Umbrella" Federations	
Cooperatives		
National/Provincial Membership Organisations (e.g. Disability, Youth, women etc.)	Non-Profit Companies	
Recreational/Cultural Orgs		

Adapted from Richard Holloway

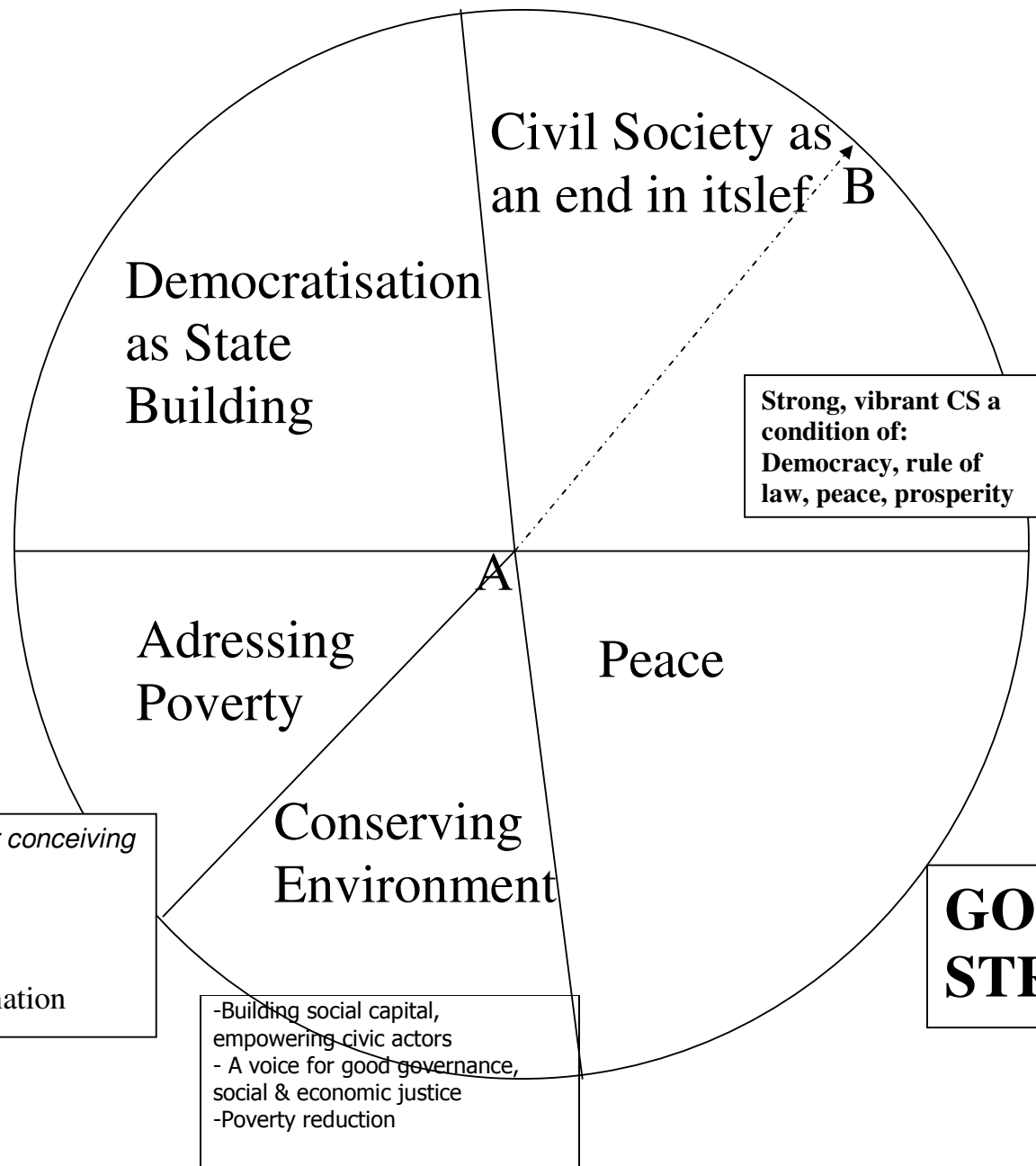
<b>Session Four:</b> <i>Civil Society Development Models</i>	
<b>Objectives:</b>	1. To present the ways Civil Societies elsewhere conceptualise change 2. To explore the relevance of the model to Azerbaijann
<b>Process</b>  15 mins        15 mins        15 mins	<p>Introduction. There are several models for understanding the evolution of CSOs over time . We will focus on Korten's 4 generation model of NGOs.</p> <p>PowerPoint presentation</p> <ul style="list-style-type: none"> <li>- Divide into 4 groups:</li> <li>- each group to read through the whole table</li> <li>- assess the generation assigned to the group and identify examples, challenges and enabling conditions for each in the Cypriot context:</li> <li>- Brief report back from each group</li> </ul> <p>In Plenary explore:</p> <ul style="list-style-type: none"> <li>- Are your CSOs defined in such generations, or can you identify different roles within individual organisations that run across the generations?</li> <li>- What would the evolution of NGOs look like in Azerbaijann?</li> </ul> <p><b>Key learning point</b>          CS is a highly contextualised phenomenon, but it is always changing. NGOs can combine different roles from each generation at any one time. They can for example combine community development with global advocacy.</p>
<b>Timing</b>	45 minutes
Materials   Handouts   Power Point  Flipcharts	Table: strategies of development NGOs   4 Generations

Strategies of Development Oriented NGOs: Four Generations

David Korten, Getting to the 21<sup>st</sup> Century, Voluntary Action and the Global Agenda, 1990

GENERATION				
	<b>FIRST</b> Relief & Welfare	<b>SECOND</b> Community Development	<b>THIRD</b> Sustainable Systems Development	<b>FOURTH</b> People's Movements
<b><i>Problem Definition</i></b>	Shortage	Local inertia	Institutional and policy constraints	Inadequate mobilising vision
<b>Time Frame</b>	Immediate	Project life	10-20 years	Indefinite future
<b>Scope</b>	Individual or family	Neighbourhood or village	Region or Nation	National or global
<b>Chief Actors</b>	NGO	NGO plus community	All relevant public and private institutions	Loosely defined networks of people and organisations
<b>NGO Role</b>	Doer	Mobiliser	Catalyst	Activist/Educator
<b>Management Orientation</b>	Logistics management	Project management	Strategic management	Self-managing networks
<b>Development Education</b>	Starving children	Community self-help	Constraining policies and institutions	Save the planet

<b>Session Five: The Goals of Strengthening Civil Society</b>	
<b>Learning Objectives</b>	Understand the Means and Ends debate: should we strengthen civil society in its own right, or as a means to another end?
<b>Process</b>  20 Mins          20 Mins	<p>Introduction to the goals of CS strengthening: A Strong CS For What?</p> <p>Discussion in Plenary around the typology of civil society interventions in the context of Azerbaijann.</p> <p>Short presentation of the means and ends debate, followed by open discussion on the prevailing approach to CS in Azerbaijann:</p> <ul style="list-style-type: none"> <li>• How do you answer the For What question?</li> </ul> <p>Group work on the contribution that CSOs in Azerbaijann make individually and collectively on civil society.</p> <ul style="list-style-type: none"> <li>• Refer back to the roles developed in session 1</li> </ul> <p>Plenary discussion</p> <p>Conclusion</p>
<b>Timing</b>	45 Mins
Materials	
Handouts	Goals of CSS; A Typology of CS Interventions.
Power Point	A Strong CS For What?



**A** = Starting Point for conceiving the Civil Society Strengthening Intervention

**B** = Intended Destination

## GOALS OF CS STRENGTHENING

# TYPOLOGY OF CIVIL SOCIETY INTERVENTIONS

CIVIL SOCIETY AS A MEANS TO AN END				CIVIL SOCIETY AS AN END IN ITSELF	
STATE BUILDING	PEACE BUILDING	REDUCING POVERTY	SOCIAL INEQUALITY	STATE MONITORING	PROVIDING CIVIC SPACE
<b>Democratisation</b> -Dislodging authoritarian regimes -Support for dissenting groups & coalitions - Promoting multi-party elections <b>Representation</b> -Support for Electoral Commissions -Getting out & checking the vote <b>Equality Before the Law</b> -Lobby for independent judiciary, rule of law -Protection of individual liberties <b>Public Information</b> -Support for independent media	<b>Stability &amp; Security</b> <u>Conflict prevention</u> -Respect for minorities -Anti-discrimination measures -Peace campaigns <u>Conflict resolution</u> -Strengthen local civil society -Promote non-partisan support services -Refugee/asylum rights <u>Peace Building</u> -Increased participation in political processes -Rehabilitate justice system -Leadership training	Service Delivery, as provision of health, education, welfare services where states & markets are weak  Community Development  Income generation  Social capital formation  Participation in PRSPs  Promoting fair trade  Advocacy, Development Education on trade	Pursuit of collective rights  Monitoring and reporting human rights abuses  Challenging discrimination in all its forms  HR education and awareness raising  Empowerment of vulnerable groups, marginalised communities  Emancipation of women	Support for ombudsman office  Support for public opinion polls, surveys  Strengthening good governance by: <ul style="list-style-type: none"> <li>- Exposing corruption</li> <li>- Promoting transparency</li> <li>- Encouraging the exercise of accountability</li> </ul>	For social movements (CS networks that join forces to force through fundamental change)  For global networks challenging IFIs <sup>1</sup>  For active citizenship as part of civic-driven development (as a counter-weight to state & corporate power)  For global civil society aimed at: <ul style="list-style-type: none"> <li>-Universal HR</li> <li>-International cooperation</li> <li>-Peaceful resolution of conflicts</li> </ul>

<sup>1</sup> International Financial Institutions such as the World Bank

<b>Session Six: Levels of Civil Society Strengthening</b>	
<b>Learning Objectives</b>	<p>The levels at which Civil Society can be strengthened, from the individual to the international, and the structures and processes at each level.</p> <p>The distinction between organisational and institutional development (ID), with ID occurring mainly at the sector and cross-sector levels</p>
<b>Process</b>          30 mins          20 mins          20 mins          20 mins	<p><u>Exercise to clarify the levels of CSS</u></p> <p>Draw 6 concentric ovals on a flipchart and mark them as follows from the centre: individual, organisational, inter-organisational/sub-sector, Civil Sector, cross sector and international.</p> <p>Participants in groups to identify different actors that are involved at each level, write them on post-its and place them on the flip chart.</p> <p>Using another coloured post-it, participants will repeat the exercise, this time identifying CS strengthening interventions at each level.</p> <p>Presentation and discussion: 2 handouts on levels and processes of CSS</p> <p>Discussion of cases, where Cypriot and other CSOs operate effectively at various levels</p>
<b>Timing</b>	90 mins
Materials          Handouts          Power Point          Flipcharts	CS Strengthening; Some examples of interventions.

Handout

## Civil Society Strengthening

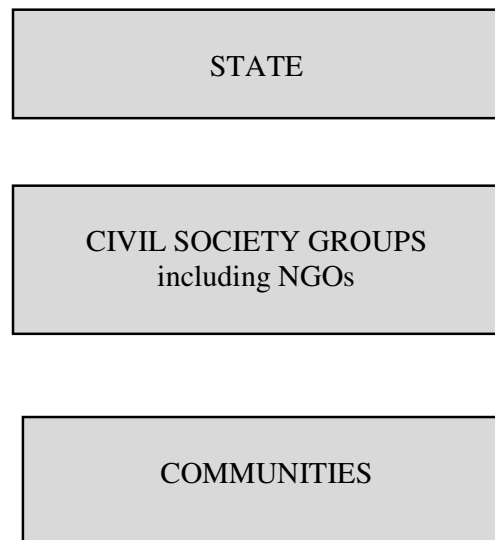
Most NGO interventions under the name of civil society strengthening programmes are operating to a model like the one below.

Intervention can be at any of these levels – at the organisational level it may be to do with strengthening individual organisations.

At the state level, it could be to do with creating an 'enabling environment' to allow civil society groups to operate.

It can also focus on the need to build relationships between different levels, eg work at the grass roots level should, at the same time, look to building links with/ strengthening the second level - by developing federations of grass roots organisations, facilitating the creation of networks, etc.

## **Levels of organisations typically operating within civil society**





## Handout

Some Examples of Interventions which strengthen cooperation at different levels of Civil Society

LEVEL	INTERVENTION (examples)
<b>Cross-Sector</b> (CSOs, Public Sector, Private Sector, International Aid sector etc).	Facilitating forums, conferences, round tables etc Joint training in advocacy, lobbying Facilitating joint planning Building capacity for dialogue
<b>Sector</b> (Civil Society Organisations as a whole)	Institutional Development Enabling environment of CS laws CSO Forums Codes of practice Support for NGO Support Organisations Building media awareness of the sector
<b>Sub-sector/networks</b> (groups of types of CSOs focused around thematic interests, geography, identity etc.)	Strengthening internal network functioning Building capacity for communications Constituency building/resource mobilisation Facilitating platforms e.g Poverty/HIV-AIDS Federations of CBOs Building capacity for local government reform and participation
<b>Organisational</b> (individual organisations, largely of the Intermediate NGO or CSO type)	Organisational Capacity Building e.g. internal governance and leadership development; programme management; systems development; constituency building etc.
<b>Grassroots CBOs</b> (as a sub-group of the above Organisational level)	As above but also: Empowerment, rights awareness training Capacity for community services provision
<b>Individual</b>	Literacy training Civics education Rights awareness raising Voter registration

<b>Session Seven: Civil Society, State and Market</b>	
<b>Learning Objectives</b>	To understand the roles of civic actors in improving their societies and the relationships they develop with the other sectors in order to achieve positive change.
<b>Process</b>	
5 mins	Introduction
15 mins	Brainstorm examples of the 4 options for CS to take in its relationship with the state (supplement, complement, antagonise, isolate). Present the two basic options of conflict or cooperation
20 mins	Group work on the roles, responsibilities and motivations of the 3 sectors. Using the Holloway handout as a guide, each group explains, with examples, the functions of "their" sector to the other 2 groups.
15 mins	Each group discusses on the strengths and weaknesses of each sector in formulating and implementing agenda for social change.
20 mins	Present international experience on factors influencing cooperation and the options available to state and civic actors.
10 mins	
<b>Timing</b>	85 mins
<b>Materials</b>	
Handouts	Table: 3 sectors of society; Table: relations with the state under various governance conditions
Power Point	Civil Society relationships

**THREE SECTORS OF SOCIETY: MOTIVATION, ROLES AND RESPONSIBILITY, RESOURCES AND RESOURCE MOBILISATION**

**HANDOUT**

Source: Holloway, PACT

SECTOR	TYPE OF INSTITUTION	MOTIVATION, ROLE and RESPONSIBILITY	RESOURCES AVAILABLE	MOBILISATION: MEANS OF ACCESSING RESOURCES
Public Sector	Central and local government:  Administration  Armed forces  Police	To rule and to govern	State property  Laws  Power  Tax revenue	Law enforcement  Command  Coercion
Business Sector	Businesses	To make profits	Private property	Trade and exchange
Civil Sector	Civil Society  <u>Membership Organisations:</u> Cooperatives, Trade unions, faith based groups (eg. Churches), professional associations...  Non – membership organizations: NGOs	To hold the other two sectors accountable to the citizens  To enable citizens to associate  To improve the lives of the citizens	Citizens' own time, energy and personal resources  Donations of time and other resources (from the other two sectors nationally or internationally)	Values shared with other citizens

# **CIVIL SOCIETY RELATIONS WITH GOVERNMENT UNDER VARIOUS GOVERNANCE CONDITIONS**

<div> <div>QUALITY OF GOVERNANCE</div> <div>NATURE OF RELATIONSHIP</div> </div>	<b>ABSENT</b>	<b>BAD</b>	<b>WEAK</b>	<b>GOOD</b>
<b>CS REPLACES ABSENT GOVERNMENT</b>	SOMALIA – NO CENTRAL STATE			
<b>CS CONFRONTS GOVERNMENT</b>		KENYA - CORRUPTION		
<b>CS CAMPAIGNS FOR GOVERNMENT IMPLEMENTATION OF RIGHTS</b>			INDIA –  SLAVERY ILLEGAL BUT PREVALENT	
<b>CS CO-OPERATES WITH GOVERNMENT</b>				?

<b>Session Eight:</b> Cooperation Frameworks	
<b>Learning Objectives</b>	Relationships between Civil Society and the State should be formal, predictable, structured and respectful of sector autonomy.
<b>Process</b>  30 mins	<p><b>Exercise: Working in Formal and Informal Partnerships.</b></p> <p>In many countries there is intensive pressure to establish various forms of co-operation for development between sectors for two main reasons:</p> <ul style="list-style-type: none"> <li>• The decentralisation of the State</li> <li>• The increased responsibilities of local authorities and their inability to meet these responsibilities without in turn empowering and involving citizens and communities directly.</li> </ul> <p>But the pace of decentralisation is so fast that the legal provisions for co-operation are often not in place. This gives rise to the question whether informal partnerships between municipal authorities and NGOs are better than formal partnerships.</p> <p>Divide the participants into mixed groups. Explain that they will undertake an exercise to identify and analyse two forms of partnership in their community.</p> <p>Half the groups will address the question: "Where is a formal approach to partnership better than an informal approach?"</p> <p>The other groups will address the question the other way around: "Where is an informal approach to partnership better than a formal approach?"</p>
15 mins	Plenary discussion on key issues arising from the relationship at local level between civic actors and local authorities.
15 mins	Presentation: Why Have Compacts Between Government and the Voluntary Sector? Followed by discussion on the relevance for Azerbaijan.
15 mins	Framework Agreements Presentation plus discussion.
15 mins	Revisit the outputs: <ul style="list-style-type: none"> <li>• Roles developed in Sessions 1, 4</li> <li>• organisational/collective strengths and weaknesses developed in Session 6</li> <li>• Interventions at different levels developed in Session 5</li> </ul> <p>Workshop conclusion and evaluation</p>

<b>Timing</b>	90 mins
Materials	
Handouts	Government-NGO Relations – a Framework
Power Point	<ul style="list-style-type: none"> <li>• Why Have Compacts?</li> <li>• Framework Agreements.</li> </ul>
Flipcharts	Roles

## GOVERNMENT – NGO RELATIONS: A FRAMEWORK

Quality of engagement	Policy area	Indicator/example
<b>“Partnership for development”</b>	Joint policy dialogue	<ul style="list-style-type: none"> <li>- explicit/written shared values (Government and NGOs)</li> <li>- existence of “compact” type co-operation agreement</li> <li>- NGO voice evident on key national policy issues</li> </ul>
	Co-operation on external funding	<ul style="list-style-type: none"> <li>- existence of partnership projects (Government/NGO) supported by international funding</li> </ul>
	Widespread state funding of NGOs	<ul style="list-style-type: none"> <li>- for example, throughout Europe, also Lebanon</li> </ul>
	Strengthening of civil society/ NGOs	<ul style="list-style-type: none"> <li>- Government invests in building the capacity of NGOs</li> <li>- enhanced role for NGO umbrella bodies</li> </ul>
<b>“Enabling environment”</b>	Legal	<ul style="list-style-type: none"> <li>- existence of an “enabling” NGO law which offers support and guidance</li> <li>- regulator decisions are subject to independent appeal</li> <li>- regulator encourages role of NGO umbrella bodies</li> </ul>
	Political	<ul style="list-style-type: none"> <li>- independent and accountable NGO regulator</li> <li>- civil and political freedoms respected</li> <li>- fair treatment of human rights NGOs</li> </ul>
	Economic	<ul style="list-style-type: none"> <li>- tax breaks available for NGOs</li> <li>- availability of Government funding</li> <li>- NGOs able to access international funding</li> </ul>
	Social	<ul style="list-style-type: none"> <li>- NGO access to media</li> <li>- positive image of NGOs/civil society prevalent</li> </ul>

<b>“Effective regulation”</b>	Legal framework	<ul style="list-style-type: none"> <li>- basic NGO laws in place and enforceable</li> <li>- law/regulation is risk based, targeted and proportionate</li> </ul>
	Institutional framework	<ul style="list-style-type: none"> <li>- competent central regulatory body (with sufficient powers and well trained staff)</li> <li>- effective co-ordination and co-operation among relevant government institutions</li> <li>- regulator provides high quality advice and guidance to sector</li> </ul>
	Publicly available information	<ul style="list-style-type: none"> <li>- existence of effective public NGO register which is accessible by public, funders etc.</li> </ul>
	Self regulation by NGOs	<ul style="list-style-type: none"> <li>- existence of NGO capacity building organisations and/or umbrella bodies</li> <li>- access to training and development</li> <li>- sectoral codes of conduct etc.</li> </ul>



## SESSION NINE

### **Theme**

## **Understanding organisations**

### **Objectives:**

1. Introduce 3-circles and onion models of understanding what an organisation is.
2. Help Participants to understand their organisations by using metaphors

### **Method**

#### **3 CIRCLES:**

- Draw 3 circles in a box:
- What do you see/strikes you?
- Describe overlapping nature of 3 dimensions
- Show OHP/handout of complex 3 circles
- Describe content of each circle and the box
- In 4 groups : each group take one circle/box and identify examples of content. Write these in a circle/box on a flipchart. (15 mins)
- Feedback to plenary

#### **ONION:**

- Distribute onions and ask groups of 4 to discuss:
- What are the characteristics of an onion?
- Why might we want to say that an organisation is like an onion? (10 mins)
- Plenary: Flipchart the replies (one flipchart for each question) (10 mins)
- Share image of organisational 'onion' and describe (15 mins)

#### **Metaphors:**

Use photos of possible metaphors to promote participants using metaphors for describing CSOs. Ask participants which metaphors they would use to describe their own organizations.

### **Timing:**

1 hour 30 mins

### **Materials:**

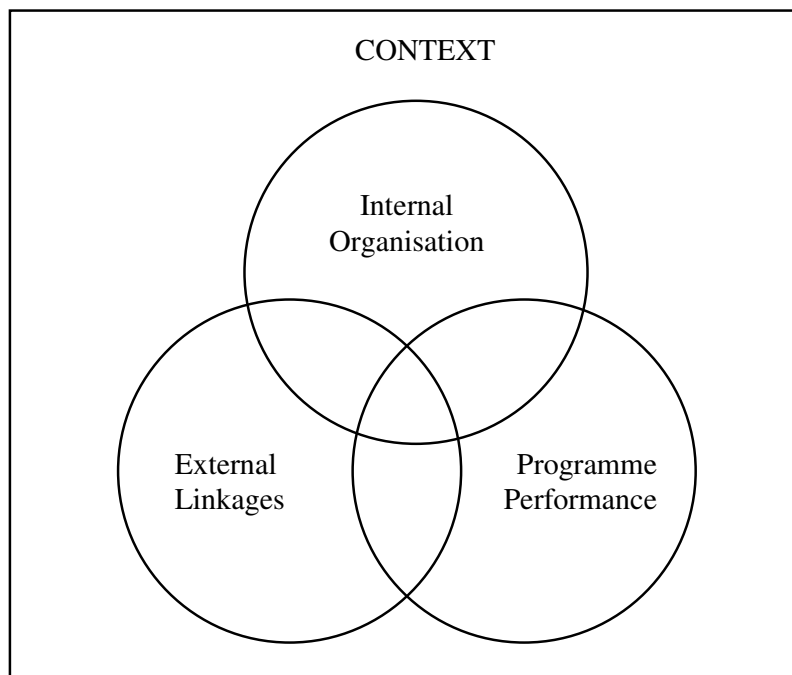
6 onions; Flipchart: 3 circles empty;  
handouts of onion and circles texts  
PPT of onion

### **Resource person notes:**

## OTURUM

### 3 CIRCLES MODEL FOR UNDERSTANDING NON-PROFIT ORGANISATIONS

One way which we in INTRAC have found useful when talking about models for understanding organisations is what we call the 3-circles framework. This takes a broad view, saying that the organisation is made up of three interrelated parts: its internal organisation, its programmes/projects and its links to other organisations and that all three parts are located within a specific external environment.



INTRAC

NGOs are seen to be made up of three main elements. Firstly there is the **programme** element. NGOs are set up to **do** something for other people (often the poor and marginalised) or the environment. They have projects and programmes in communities, such as water programmes, primary health care programmes or agricultural extension projects. In the last 30 years much of the emphasis in development management and thinking has concentrated on the programme area of NGOs. Donors have made funding decisions on the basis of technical appraisal of projects, outside assistance to NGOs has been mainly in the form of technical transfer of skills in this area.

It has become very apparent in recent a year that merely concentrating on technical programmes and ignoring the critical importance of the organisation that manages these programmes is very short-sighted and superficial. We have seen that many NGO programmes fail to deliver, not because of poorly conceived projects, but because there was not the leadership or staffing to make things happen, or the poor organisational systems and structures undermined the work. Effective management of NGOs is now seen as one of the critical factors in development. As well as being able “**to do**” an NGO needs “**to be**”.

However, it also needs to be able “**to relate**” that is, to have **positive external linkages** with other actors in the development process. NGOs cannot bring development in isolation. They are just one actor amongst a wide array of different stakeholders. For NGO programmes to be effective in fostering development, they need to relate effectively with these other actors. They may need to influence government and local government decisions; they may need to gain from the experience of other civil society organisations and to work with other NGOs to achieve common objectives, sometimes called “networking”.

The final element in this picture is the box – the **environment** in which the NGO is operating. The contexts within which NGOs are operating have a considerable impact on management issues. Henry Mintzberg<sup>2</sup> identifies four criteria that are commonly used to assess the general nature and character of environments:

1. *Stability* - an organization’s environment can range from *stable* to *dynamic*. What is important is not the variability of the environment but its unpredictability – the extent to which you can plan with any certainty.
2. *Complexity* – ranging from *simple* to *complex*. A complex environment is one where the organisation needs to make use of knowledge and other inputs from a host of different fields to provide a complex range of services.
3. *Service diversity* – from *integrated* to *diversified*. Responding to an identified community or a broad range of social milieu.
4. *Hostility* – a range from *supportive* to *hostile*. When considering this element, it is important not to assume that differences of value and purpose, or disparities in resources and influence necessarily indicate environmental hostility. The environment only really becomes extremely hostile when the operations and the purposes of your organisation and your organisation alone are actively threatened.

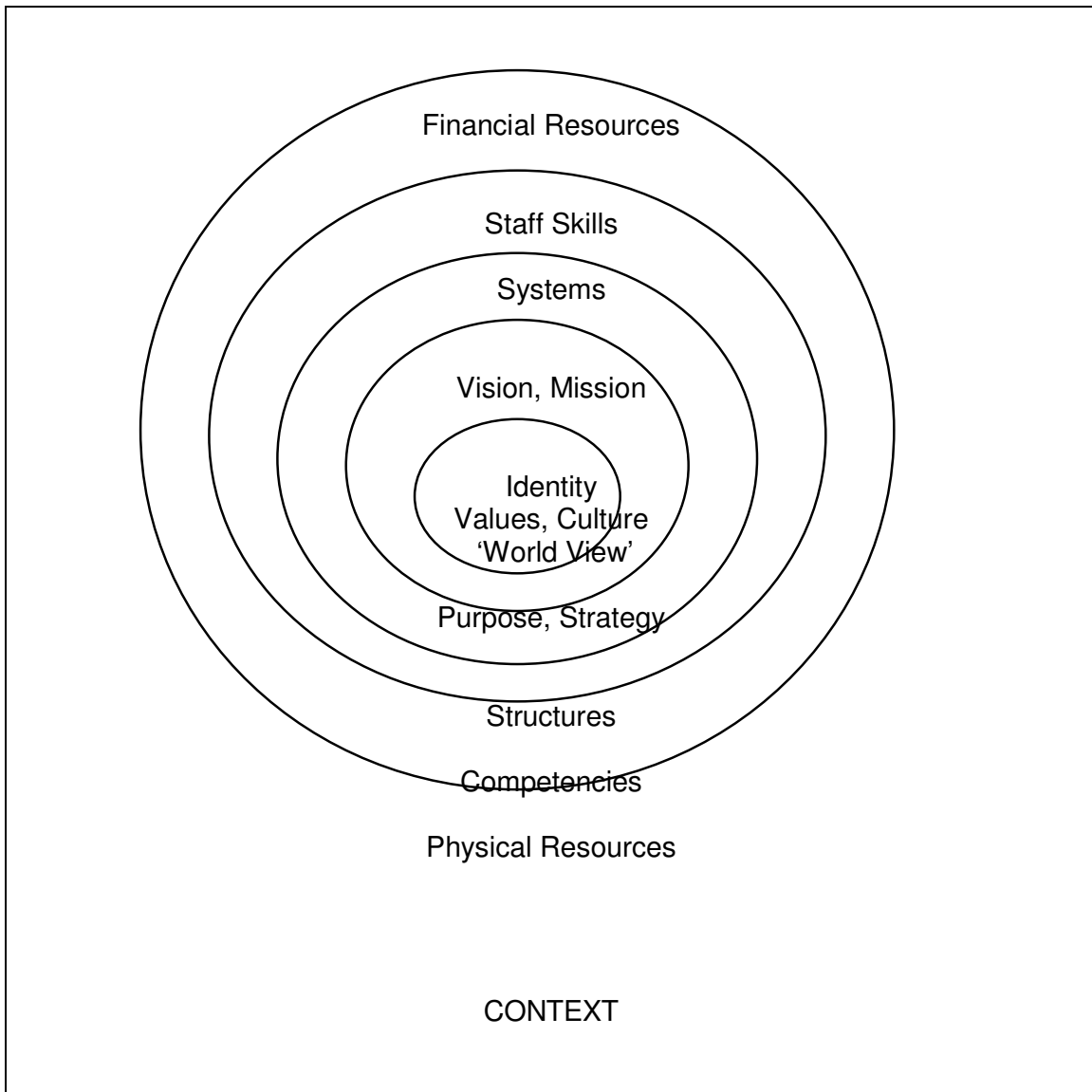
This sort of classification can help in thinking through how your organization might cope with its various environments – how it might establish some control, deal with their diversity and respond quickly and appropriately.

---

<sup>2</sup> Mintzberg,H (1983) Structure in Fives: Designing Effective Organizations , Collegeville,PA.PH Enterprises

## THE ONION MODEL OF THE INNER ORGANISATION

We can explore in more depth one of the three aspects of organisations - the internal aspect or the “To Be” circle. We can consider this aspect as an onion, with multiple layers structured around an inner core.



INTRAC/CDRA 1995

Here we can identify five principle layers of organisational life :

- the resources, financial and physical, which are most obvious to the onlooker and which are located in the 'outer layer' of the onion diagram below.
- the people-related factors such as the skills, competencies and abilities which are located in the workforce of the organisation.
- the organisation's systems and structures are located at a deeper level and are close to the next layer down which is
- the vision, mission, purpose and strategy of the organisation. This itself is informed and shaped by
- the world view held by the organisation - its values, its culture, its very identity.

The benefits of this model are that it shows clearly how **inter-related** are all these different components of an NGO are. There is a need for **coherence and consistency** between these different components and an understanding that if you work on one component, it will have ramifications for the rest of the organisation. The "fit" between the different components has to be good.

The onion-skin model also clearly demonstrates that **the heart of the organisation is key**. There is almost a **hierarchy of capacities**. Unless the inside layers are adequate, there is little point in trying to address problems in outer layers. Merely raising funds for or giving money to organisations if they do not have the right motivation from within is at best a waste of money and at worst destructive.

Improving the resource base without having integrity and honesty in an organisation may also prove counter-productive. NGO staff need a sense of ownership and commitment to development as otherwise the NGO will be ineffective however wonderful its goals and systems.

As well as such "heart" issues, there are other core capacities needed by NGOs. For example, while many NGOs are strong on their vision for a better world, less are able to integrate these with a focused purpose and realistic strategy for making a difference. NGOs constantly fall into the trap of being unable to say no in the face of a bottomless pit of need. While they try and do more and raise more resources, they actually spread themselves too thinly to have any impact. NGOs need a clear sense of where they want to be in the future, but many tend to operate with a very short-term perspective which sometimes fails to see beyond their own immediate survival leaving them in a strategic vacuum and reducing their development effectiveness. It is obvious that unless the core of the organisation is in shape there is little point in generating more financial resources or simply training staff, and yet this is all to often what we try and do.

The model also serves to show that the **complexity of NGO capacities increases as you move towards the centre of the onion**. It is often easier to solve the problem of a lack of financial resources than of self-serving values or an unclear purpose. Indeed, NGOs themselves often struggle to analyse their needs beyond their immediate resource deficiencies, and yet their most serious and long-term problems are much more deep-rooted than that and not easily solved just through the outside injection of funds.

## USING METAPHORS

We all have different ways of looking at and thinking about organisations. Often we use metaphors to describe organisations. A metaphor represents something in terms of something else that it resembles, for example when we call a ferocious person a tiger or a meek person a lamb. Metaphors offer a way of making the strange more familiar, representing related ideas and generating insights.

The metaphors we use tell us a lot about our values and beliefs and reflect our technological, social and spiritual development as well as our culture.

Gareth Morgan<sup>3</sup> uses eight metaphors to describe organisations. He describes organisations in terms of a:

Machine	Political System
Organism	Psychic Prison
Brain	Flux and Transformation
Culture	Instrument of Domination

Each metaphor challenges us into a different way of thinking and thereby generates different insights.

Metaphors are also used to describe the work of managers in organisations. Some examples are:

**Warlike metaphors:** beat the opponent; be right on target; demolish an argument; programme officers; cutting edge technology.

**Sporting metaphors:** team up with one another; develop coaching skills; a team player.

**Musical metaphors:** orchestrate the change; singing from the same song sheet.

Sometimes ways of thinking develop into a fixed world view or paradigm which contains assumptions that we never even think to question. Changing metaphors helps us ask the questions.

---

<sup>3</sup> Morgan, Gareth (1986) Images of Organization, London, Sage.

## SESSION TEN

<b>Theme</b>
<b>Values, vision &amp; mission</b>
<b>Objectives:</b> <ul style="list-style-type: none"><li>• Develop an understanding of the vision and mission of an organisation.</li><li>• Link that understanding to an exploration of personal values and how they influence the vision and mission.</li></ul>
<b>Method:</b> <ul style="list-style-type: none"><li>• Individual mapping of personal values:</li><li>• Discussion: What are the common values and where do you differ- explore why the differences in particular what gives rise to the differences</li><li>• Mapping our organisational values</li><li>• Discussion: what the similarities/ differences do we have a basis for shared value systems among civil society organisations?</li><li>• Visioning: presentation on what is a Vision (10 mins)</li><li>• 10 mins individual exercise: "Drawing on your values map, imagine you were writing the Vision statement for a new organisation you were starting. What would it say?"</li><li>• Share it with your neighbour: 5 mins</li><li>• Plenary : sharing some examples &amp; discussion (15 min)</li> <li>• Mission: presentation on what is a Mission Statement (10 mins)</li><li>• Buzz groups: how relevant our visions and missions to the challenges being faced by civil society organisations in Azerbaijan? (10 mins)</li><li>• Plenary feedback</li></ul>
<b>Key learning points</b> <ul style="list-style-type: none"><li>• values are very diverse in nature</li><li>• values are at the core of organisational identity, purpose etc.</li><li>• clarity of vision &amp; mission is key to helping people engage with and support your efforts</li><li>• a clear mission will help focus your efforts</li></ul>
<b>Timing:</b> 90 minutes
<b>Materials:</b> <ul style="list-style-type: none"><li>• Handouts : Values Mapping exercise; OHP on Values, Vision &amp; Mission</li><li>• OHP on Values, Vision &amp; Mission;</li></ul>
<b>Resource Person Notes:</b>

# VALUES, VISION & MISSION

## VALUES

Something of value is something that is important to us. It can be a material object, but equally it can be an idea, a belief, an aspiration, a way of behaving etc. Each of us holds our own individual set of values – a mix of these non-material things of importance that guide us as we make our way through life. We make choices on the basis of these values and we take action informed by our understanding of how these matters of importance will be affected.

As it is for individual human beings, so it is also for the organisations that we establish. The founders often express these in a statement of values, principles or philosophy which underpins the whole work of an organisation. This may be because it is felt that if you hold a view publicly, it is more likely to result in behaviour which is consistent with that view, than if there is no public statement of the view.

### Typical Values in the Not for Profit Sector

<b>Accountability / probity / efficiency</b>	<b>Learning</b>
<b>Challenging discrimination</b>	<b>Openness</b>
<b>Compassion</b>	<b>Partnership</b>
<b>Confidentiality</b>	<b>Putting the needs of the users first</b>
<b>Diversity</b>	<b>Quality / excellence</b>
<b>Dynamism / innovation</b>	<b>Respect</b>
<b>Effectiveness</b>	<b>Sustainable development / self-reliance</b>
<b>Empowerment</b>	<b>Teamwork / working together / partnerships</b>
<b>Equal opportunities / equality</b>	<b>Trust</b>
<b>Equal right to achieve potential</b>	<b>Valuing People</b>
<b>Inclusion</b>	
<b>Integrity</b>	



## VISION

An NGO's vision is a verbal picture describing the **future situation** which the organisation is aiming to help create. Visions are expressions of ideals, and may not be attainable in one lifetime or even in many lifetimes. A shared vision is often the initial force that brings people together for collective action. It can provide energy, momentum and strength to individuals and can hold an organisation together in times of crises.

A vision statement should be expressed in a realistic, simple and clear manner which reflects the values of the organisation.

<u>Vision Statements</u>
<p>'A world in which I make decisions about my life and get the help I need I do the things I want with everyone else in the community I am safe from prejudice and fear I have the opportunity to reach my potential with the support which enables me to do this'. (Mencap, through the eyes of someone with a learning disability)</p>
<p>'That that the right of all children to develop to their full potential be honoured, as an essential contribution to world development, world peace and a civilised society'. (UNICEF)</p>
<p>'A world where people who are blind or partially sighted enjoy the same rights, responsibilities and quality of life as people who are sighted'. (RNIB)</p>
<p>'Our vision for children is a society where all children are loved, valued, and able to fulfil their potential'. (NSPCC)</p>
<p>"CADER seeks to become a leading Civil Society Organisation in the sustainable development of Azerbaijan by combining the social, cultural, and environmental assets of the region with the participation of the local community." (CADER- Catalkoy Development and Culture Organisation)</p>
<p>A sustainable, pioneering and effective institution that is trusted and sought globally to provide management and development services at international standards (MC)</p>

## MISSION

The mission statement should be a clear, concise and motivating statement of **purpose** which covers all aspects of the organisation's work. It should say why it exists and what 'drives' it in working towards its vision of the future. The mission should also make clear:

- Who the beneficiaries are
- Where it will work
- What is special (or even unique) about the organisation

### Mission Statements

*'To promote the values of the Universal Declaration of Human Rights and to work world-wide for the release of prisoners of conscience, fair trials for political prisoners and an end to torture, extrajudicial executions, disappearances and the death penalty'. (Amnesty International Mandate)*

'To represent UNICEF in the United Kingdom, to support it's work for the promotion of children's rights world-wide and to help meet children's needs by building awareness, implementing programmes and raising funds'. (UNICEF)

'To provide counselling and advice for children and young people in trouble, need or danger by means of free confidential help-line services'. (Childline)

'To make optimum use of its material, financial, intellectual, and human resources for attempting to provide better life situations for socio-economically disadvantaged rural and urban communities in Nepal' (Search, Nepal)

'To excel as an enabling institution for the development of the deprived so as to improve the quality of their life through participatory action, research initiatives, training programmes, and to enhance the capacities of the intermediary and people's organisations ensuring sustainability' (The Centre for Youth and Social Development, India)

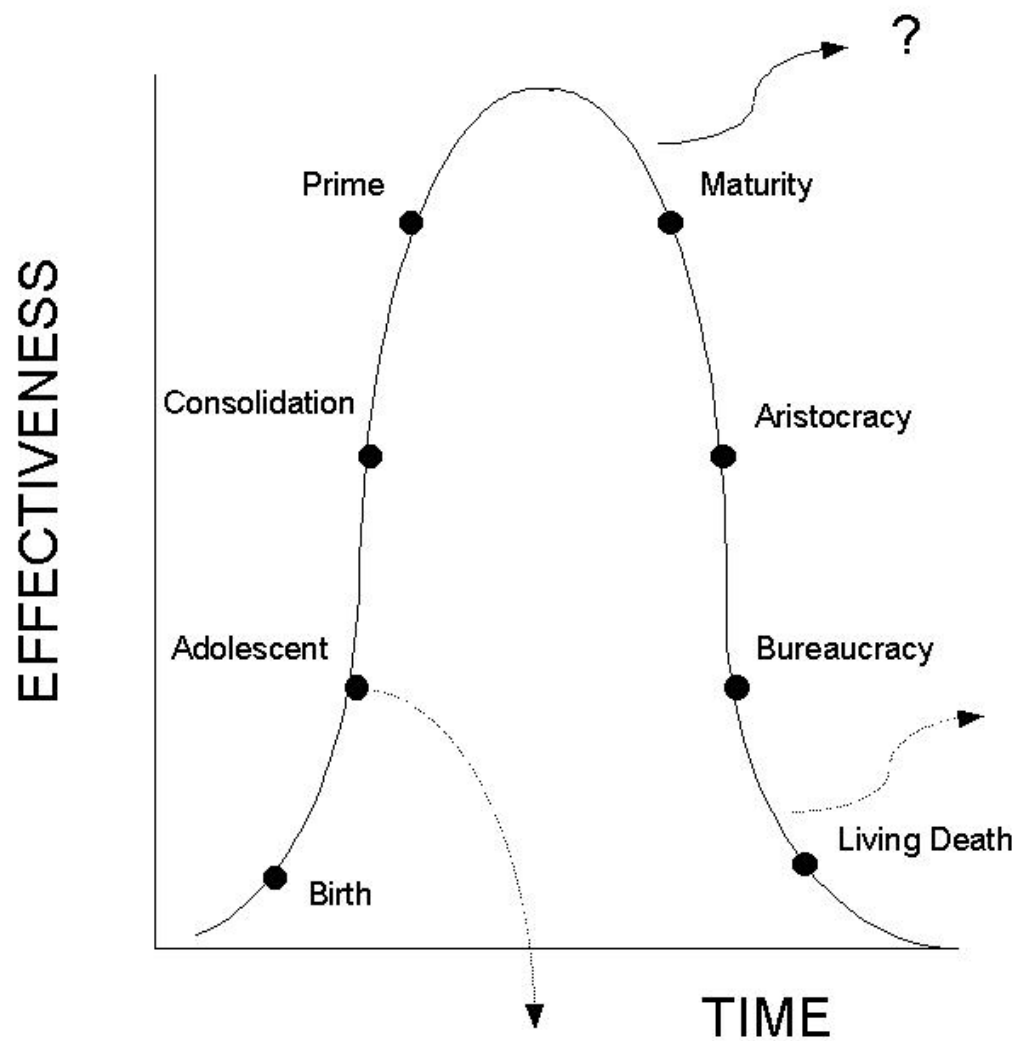
Providing impact-driven training, consultancy, and research services for the productive working of public, private and civil society organizations  
Teaching and applying innovative management know-how  
Establishing and improving systems to effectively utilize international and local projects for development  
Contributing to organizational and social reconciliation activities  
Pursuing and supporting sustainable development activities (MC)

The value of an effective mission statement is that it gives a clear indication of what the organisation should be doing and, equally important, what it should **not** be doing. If broadly understood and shared, the mission helps channel collective action in a common direction, so that people's energy and organisational resources serve a common purpose. It allows the NGO to **focus** its activities and can be used as an important decision-making tool for determining priorities and enabling the organisation to say 'No' to inappropriate requests. It also provides a shorthand way of communicating clearly what the organisation does.

## ***SESSION ELEVEN and TWELVE***

<b>Organisational life cycle models</b>	
<b>Objectives:</b>	<ol style="list-style-type: none"><li>1. Introduce models of viewing organisational evolution</li><li>2. reflect on the implications of the life cycle model for civil society organisations action</li></ol>
<b>Method</b>	<ul style="list-style-type: none"><li>• Review understanding of organisational life cycles</li><li>• Plenary – different ways of seeing how organisations evolve over time: (Manitoba) – introduce (15 mins)</li><li>• String exercise – individuals locate the card where they think their organisation sits (5 mins)</li><li>• Plenary – discuss: pattern? Implications for CSOs (10 mins)</li><li>• Participants can be asked to study the case study on the life cycle model and prepare a similar study for their own organisation (30 mins)</li><li>• Other models (PACT, Sigmoid curve)</li><li>• Introduce the Sigmoid curve (5 mins)</li><li>• In plenary discuss how to bring about changes to rejuvenate the organisation (10 mins)</li><li>• Participants study the PACT in groups and give brief information (15 dak)</li></ul>
<b>Timing:</b>	1 and half hours
<b>Materials:</b>	Handouts: Manitoba description; PACT; OHPs: Coloured cards String
<b>Resource person notes:</b>	

# THE LIFE CYCLE



# **Organisational Life Cycle**

<b>Stage in Life Cycle</b>	<b>Potential Danger</b>	<b>Solution</b>
<b>Birth</b> The organisation has been born! Only very basic policies/systems are developed at this stage. The NGDO lacks experience (no track record). It is opportunity driven. Very vulnerable to changes in the external environment.	<b>'Infant Mortality'</b>	Funding. Inexpensive support from other NGDOs.
<b>Adolescence</b> Finds many more opportunities for diversification but has little experience of prioritising. Everybody knows what everybody else is doing - good communication. Each person shares responsibilities with the others - very participatory.	<b>Founder's Trap:</b> smothering the newly emerging organisation with 'love' and preventing it from developing its own independent life. Danger of diversifying too soon and becoming over-stretched. May start unrealistic ventures which the organisation is not able to implement.	Sharing Responsibility with Other Members. Learning to prioritise.
<b>Prime</b> Strong 'results orientation'. A balance of self-control, flexibility and responsibility has been reached. Institutionalised vision and creativity in all its work. Strategic approach is strong: knows what it is doing, where it is going and how to get there.	Inward focus may develop. Internal Conflict. Reduced commitment. Interest declines. Some doubt may arise about whether the organisation's priorities are right.	Decentralise decision-Making. Diversify activities if necessary. Focus on human development.

---

## **Maturity**

Still strong but losing flexibility and creativity.  
Takes fewer risks and becomes unwilling to change.  
Provides fewer incentives to visionary thinking.  
New ideas are received without enthusiasm.  
Lower expectations for growth.  
Starts focusing on past achievement instead of future visions  
End of growth period and start of decline (watch for signs to take corrective measures).

Lack of Vision

Renewal of Vision

---

## **Aristocracy**

Greater proportion of budget spent on administrative control systems.  
Emphasis on how things are done rather than what and why things are done.  
Low internal innovation.  
Decline of performance.  
Formality at the expense of functionality.

Stagnation

External Shake-up

## **Early Bureaucracy**

Much conflict: focus on internal battles.  
Emphasis on who caused the problem rather than what to do with problem.  
Members do not feel responsible for what is happening.  
Performance declines.  
Concerns are not directed for growth of organisation but survival or self-interest of individuals in the organisation

Lack of Credibility with constituency.  
Search for 'scapegoats' (people on whom to blame the organisation's problems whether or not they are responsible).

External consultant may be required to take a major look at almost all aspects of organisation.  
Shedding Senior Staff may be necessary.

---

## **Bureaucracy**

Nothing of any importance gets done. Dissociates itself from its environment and focuses mostly on itself. Makes it difficult for outsiders (especially constituents) to gain access. Only remaining systems are administrative rules and regulations. Members know the rules but do not remember why they exist - they only answer "it is a policy". Unless revived death is imminent.

Lack of Activity  
Red Tape.

By this time death may be the best solution.

---

## **Living Death**

Organisation expires (either quietly in its sleep or painfully if the members are not prepared to move on).

May not accept that death is near. The earlier lessons from the organisation may be lost.

Someone to provide a fitting funeral and mourn the organisation's demise.

---

## The Sigmoid Curve

Charles Handy uses the idea of the 'sigmoid curve' to explain what is also called the organisational life cycle. The sigmoid curve is the simple S-shaped curve which could be said to sum up life itself as well as the life story of empires and organisations. Handy argues that the challenge for organisations (and individuals) in a time of considerable



change is to "start a new Sigmoid Curve before the first peters out." By starting the process of 'reinventing itself' as the organisation is still on the upward slope of its first curve, there is time as well as energy and resources to get the new curve through its initial difficulties before the first curve begins its descent into ineffectiveness or crisis.

*Strategy development involves what Handy calls the "discipline of the second curve". The organisation has to make an honest assessment of where it sits*

*on the first curve and then, making the assumption that it will soon be nearing the peak, must begin the process of preparing for the second curve. This is easier said than done because the organisation may well seem to be doing extremely well - achieving its objectives and serving its constituency to a high degree. Many of the organisation's people may argue that it would be foolish to change things which are working so well. However, if the organisation waits until it is on the downward slope, things may already be too late to change and the organisation may slip into demise. The leadership who, at one time would have been expected to rescue the organisation, may now be discredited for allowing things to deteriorate.*

It is far better to start the process of change too early than too late, Handy argues. He suggests that the process of challenging the assumptions underpinning the way the organisation currently works and exploring alternatives is valuable in itself. It is this process that both requires and develops strategic thinking or, as Handy puts it, "... [being] sceptical, curious and inventive - attitudes essential at a time of change ...". Handy explains that the process of assessing the organisation's current position and exploring alternatives starts with posing questions. "The questions spark off ideas, possibilities, hypotheses. The best of these must then be tested out, tentatively and experimentally. Finally, the results of the experiments are reviewed."

One paradox of the second curve is that, no matter how successful it was or is, it is essential for the organisation to acknowledge and build on but ultimately let go of its past. Ironically, it is easier for organisations which have been less successful to deal with change than those which have excelled. But even successful organisations should be constantly aiming to improve. The Japanese word for this is Kaizen and it is what has made Japanese businesses spectacularly successful worldwide.

Another paradox of the sigmoid curve is that the new ideas and even new people associated with the second curve, have to co-exist with those responsible for the first curve until the second curve is established and is on its upward trajectory. The overlap period is one of confusion and can be a time of conflict.

Source: Handy, Charles (1991) *The Age of Unreason*, London: Hutchinson.



## **CASE STUDY**

### **In the beginning**

During World War Two, Greece was occupied by the German army. In 1941, the allies imposed a naval blockade and scarcely any food or medical supplies could get through, even to civilians. Famine quickly took hold, and by the end of January 1942 more than 2,000 people were dying of starvation every day in Athens and Piraeus alone. In the United Kingdom, a national Famine Relief Committee was set up in May 1942 and support groups were formed throughout the country. They tried to persuade the British government to allow essential supplies through the blockade, and raised funds for war refugees and displaced people across Europe. The X Committee for Famine Relief ('Xfare') met for the first time on 5 October 1942.

Many of the relief committees were wound down after the war, but Xfare saw a continuing need and enlarged its objectives to include 'the relief of suffering in consequence of the war'. Activity then centred on the provision of food parcels and clothing to Europe. From 1948, grants were made to projects in Europe and elsewhere, and in 1949 the Committee's objectives were again broadened to 'the relief of suffering arising as a result of wars or of other causes in any part of the world'.

During the 1950's Xfare responded to famine in Bihar, India, by raising £3,500 for its first response to a natural disaster in what would later be known as a 'developing country'. The organisation then turned its attention to those left homeless, hungry or orphaned at the end of the Korean war, and had raised £60,000 by the end of 1956. Over this period, Xfare's fund-raising and publicity work transformed it from a small local charity into one with national and international status.

### **Growing and developing: the 1960's**

At the beginning of the 1960's Xfare took a lead role in the international Freedom from Hunger campaign. Launched by the United Nations Food and Agriculture Organisation, in collaboration with other organisations it aimed to combat food shortages by enabling people to grow enough to feed themselves, rather than by food aid.

The 1960's brought great changes. Concern for the world's poor grew among the general public and the charity's income trebled over the course of the decade. The organisation worked to present a different picture of poor people in the Third World: one in which they were portrayed as human beings with dignity, not as passive victims. Education and information materials explained the root causes of poverty, and suffering, the connections between North and South, and the role of people in the North in creating, and potentially solving, poverty in the developing world. The major focus of Xfare's overseas operations, managed by a growing network of Field Representatives, became support for self-help schemes whereby communities improved their own water supplies, farming practices and health provision. As well as providing aid, Xfare began marketing handcrafts from the South, giving small-scale producers faire prices, training, advice and funding. The famine in Bihar, India, recurred and Xfare sent volunteers to help run a major feeding programme, the first time it became directly involved in a long-term emergency rather than sending funds and supplies. During the 1960's the first Xfare outside the UK was formed, in Canada.

## **Expansion: the 1970's**

As Xfare continued to expand its work through the 1970's, many new ideas and theories were put forward about development and poverty, including the decision to employ local people to run and work on projects. Xfare's relief work in the African Sahel in the late 1970's looked at the traditional ways in which communities survived – helping them to improve and refine their survival techniques, and making sure that the local people kept control of the schemes they were involved in. By 1971 Xfare was working with 800 community projects in nineteen countries.

The Bangladesh war of Independence drove millions of refugees into India. Xfare responded by employing local people and the refugees themselves rather than outsiders. In 1979 Xfare hit the headlines for its work in Cambodia, where Pol Pot's brutal regime had laid waste to the country and left more than one million people dead. Xfare led a group of agencies which mounted the largest voluntary relief effort at that time, importing supplies of rice, seeds, tools, water pumps and fertilisers for cities and rural areas alike.

## **Lobbying**

During this period, it became clear that many of the problems associated with poverty required government and international action. Xfare started – within the bounds set by charity law – to campaign on behalf of the people it worked with overseas and to talk to decision-makers who shaped policy on relevant issues. Its Public Affairs Unit (PAU) was set up to provide research into and analysis of the causes of poverty. By the mid-1980's the PAU was lobbying on a range of issues, including pesticides, food aid and Third World debt.

## **Retail Success**

Xfare's network of shops run by volunteer groups around the country became one of the main sources of income in the late 1960's, selling donated items and handcrafts from overseas. They are now a familiar sight on most high streets, with over 22,000 volunteers work in more than 830 shops in the UK, making it one of the largest retailers in the UK. A recycling centre was established in 1974, which today processes around 80 tonnes of used clothing every week. Xfare Trading rapidly expanded its fair trade programme, during the 1970's and 1980's. A mail-order catalogue was also started, which boosted annual sales above £1million by the early 1980's.

## **Responding to change: the 1980's**

In October 1984, TV footage of famine in Ethiopia prompted unprecedented public generosity. High-profile initiatives like Band Aid and Comic Relief followed, and contributed to Xfare's income, which more than doubled in one year to £51 million.

The Xfare 'Hungry for Change' campaign was launched. It captured public indignation at the obscenity of famine in the Third World set against the food mountains of the First World. The campaign raised £1m to send a shipment – the 'Grain of Hope' – to feed 350,000 people in Ethiopia and Sudan for a month.

## **Tackling Conflict: the 1990's**

With the escalating number of conflicts following the collapse of the Soviet Union and the Eastern Bloc, Xfare began emergency and rehabilitation work in this region. During the 1990's, it supplied humanitarian aid to affected civilians on all sides of the wars in the former Yugoslavia.

Xfare responded to the humanitarian disaster in the Great Lakes region of Central Africa in the mid-1990's, although aid alone could not provide solutions to the political, economic and social problems of the region. The work on the ground was matched by international lobbying and campaigning aimed at the UN, the Organisation of African Unity, and powerful governments, in an effort to build a lasting peace.

In 1994, Xfare joined with relief and development agencies based in 8 other countries to form Xfare International. This was followed by the first international launch of a Rights Awareness campaign to be run simultaneously in 7 countries. An international advocacy office opened in Washington DC to lobby international bodies like the World Bank, the International Monetary Fund, and the United Nations.

In 1996, for the first time Xfare began to address poverty issues in the UK, with a £500,000 award from lottery funds.

## **Collaboration**

The importance of working together with other world development organisations was particularly highlighted in the 1990's with the setting up of the Fairtrade Foundation by a number of different agencies to tackle exploitation of workers in the Third World. Xfare was also involved in the Disasters Emergency Committee (DEC) which, in its first year alone, launched four separate appeals – for people whose lives were devastated by floods in Bangladesh, Hurricane Mitch in the Caribbean, and wars in South Sudan and Kosovo. Xfare also participated actively in the Jubilee 2000 Campaign, a coalition of organisations campaigning for debt relief at demonstrations in London, Edinburgh and Cardiff, and at the G7 (world leaders') meeting in Cologne.

	Nascent Organisations	Emerging Organisations	Expanding Organisations	Mature Organisations
GOVERNANCE				
Board	<ul style="list-style-type: none"> <li>No Board or independent body is providing oversight.</li> <li>The Board does not differentiate between oversight and management roles.</li> <li>If the board is beginning to provide oversight, it may not represent the interests of the constituency.</li> <li>The Board is not assisting management to identify legislators, influence public opinion or raise funds.</li> </ul>	<ul style="list-style-type: none"> <li>Members of the Board or independent body have been identified but have not yet assumed a leadership role.</li> <li>The Board is attempting to micro-manage rather than provide oversight.</li> <li>The Board is not influencing public opinion or legislators.</li> <li>The Board is not aware of the needs of constituency or role it could play.</li> </ul>	<ul style="list-style-type: none"> <li>The Board's membership is stable and functioning.</li> <li>The Board is able to differentiate between its role and that of management.</li> <li>The Board has some members who are leaders in relevant fields but it lacks broader representation.</li> <li>The Board is aware of its responsibility to provide oversight and represent the interests of constituents but is not consistently doing so.</li> </ul>	<ul style="list-style-type: none"> <li>The Board's composition includes leaders in the field of NGO's mission as well as those capable of carrying out such roles as policy direction, fund-raising, public relations, or lobbying.</li> <li>Mechanisms are in place to obtain appropriate input from constituency and to assure that organisational planning reflects Board policy.</li> </ul>
Mission/Goal	<ul style="list-style-type: none"> <li>The NGO has a vague idea of its mission and the contribution it is attempting to make</li> <li>The mission is understood by only one or a few members of the Board or senior management.</li> <li>The activities carried out by members of the NGO may have little relationship to the mission.</li> </ul>	<ul style="list-style-type: none"> <li>The mission may be clarified internally, but it is not widely understood by the public.</li> <li>The mission is not reflected in planning or job functions.</li> </ul>	<ul style="list-style-type: none"> <li>The vision and mission are clear to staff, constituents and outsiders; strategies and objectives are in alignment with the mission.</li> <li>Operational planning may be conducted by senior management and linked to the budgeting process but with little input from staff and constituents.</li> </ul>	<ul style="list-style-type: none"> <li>The NGO's vision of the future and specific mission are clear to staff, constituents and outsiders.</li> <li>The NGO's strategies are aligned with the mission and state how it will be achieved.</li> <li>Strategies are realistic in the context of the NGO's activities and can be translated into clear programme objectives.</li> </ul>
Constituency	<ul style="list-style-type: none"> <li>The NGO's links to its constituency are weak.</li> <li>The NGO views its constituency as passive beneficiaries rather than as potential partners.</li> <li>The NGO does not serve as an advocate for its constituency.</li> </ul>	<ul style="list-style-type: none"> <li>The NGO's outreach to its constituency is improving.</li> <li>Certain influential members of the constituency may be consulted or invited to participate in some decisions because they are seen to have a stake in the outcome.</li> <li>Some awareness exists of the possible role of the NGO as an advocate for the constituency.</li> </ul>	<ul style="list-style-type: none"> <li>The NGO's constituency is well defined and its needs and views are considered in planning and decision-making.</li> <li>The NGO is involved in lobbying and other advocacy functions on behalf of the constituency.</li> <li>NGO support to build self-help capacities among constituents are still sporadic.</li> </ul>	<ul style="list-style-type: none"> <li>The NGO's constituency is well-defined and regularly involved in planning process.</li> <li>The NGO recognises constituents as partners.</li> <li>The NGO supports the creation of community structures and develops constituents' capacity in planning and decision-making.</li> <li>The NGO engages in advocacy and lobbying activities on behalf of constituents.</li> </ul>

## NGO ORGANISATIONAL DEVELOPMENT - STAGES AND CHARACTERISTICS

	Nascent Organisations	Emerging Organisations	Expanding Organisations	Mature Organisations
<b>Leadership</b>	<ul style="list-style-type: none"> <li>There is an individual or a few individuals in the NGO who control most functions.</li> <li>Management style is directive and staff members provide primarily technical input.</li> <li>Management does not articulate clearly to staff the NGO's purpose or individual staff members' contribution to the purpose.</li> </ul>	<ul style="list-style-type: none"> <li>Most decisions are made by the Board, sometimes with input from one or two staff members.</li> <li>Staff has little understanding of how management makes decisions.</li> <li>Leadership is still seen primarily as directive and controlling, rather than providing meaning and enabling self-direction to employees and monitoring their performance.</li> </ul>	<ul style="list-style-type: none"> <li>Senior management's relationship to staff is more consultative and management decisions are delegated.</li> <li>Staff increasingly understands, but are not systematically involved in, decision-making.</li> <li>Leadership understands that its primary role is to provide overall direction and monitor performance, but it is still concerned with control.</li> </ul>	<ul style="list-style-type: none"> <li>The Board and senior management have a clear understanding of its roles and responsibilities, which include articulating a clear vision of the NGO's mission and interpreting it to staff.</li> <li>Delegation and transparency characterise decision-making by senior management.</li> <li>Staff are appropriately involved in direction and policy development.</li> </ul>
<b>Legal Status</b>	<ul style="list-style-type: none"> <li>The NGO may or not be legally registered and nor have obtained whatever fiduciary and taxation is required by local law.</li> <li>Management has yet to identify sources of legal, financial and labor management advice.</li> </ul>	<ul style="list-style-type: none"> <li>The NGO is registered but has not yet integrated financial and legal advice into planning and management decisions.</li> <li>The NGO is not in compliance with some local reporting and labor requirements.</li> </ul>	<ul style="list-style-type: none"> <li>Appropriate expert advice is integrated into planning and management systems.</li> <li>The NGO is generally in compliance with local reporting, tax and labor requirements.</li> </ul>	<ul style="list-style-type: none"> <li>Appropriate expert advice is fully integrated into management decisions.</li> <li>The NGO is in full compliance with local reporting, tax and labor requirements.</li> <li>The NGO assists constituency organisations to obtain the same legal status and compliance capacity.</li> </ul>
<b>MANAGEMENT PRACTICES</b>				
<b>Organisational Structure</b>	<ul style="list-style-type: none"> <li>The NGO has no clearly defined organisational structure and lines of authority and responsibility are not clearly defined.</li> </ul>	<ul style="list-style-type: none"> <li>The NGO has a defined organisational structure but lines of authority remain unclear and authority tends to be exercised by an individual or a few individuals.</li> </ul>	<ul style="list-style-type: none"> <li>The NGO has a defined organisational structure with clear lines of authority and responsibility.</li> <li>The administration of the NGO places emphasis on the areas of responsibility but does not confer the necessary authority on individuals to permit them to operate efficiently.</li> <li>The NGO is not effectively incorporating the organisational structure into assigned tasks nor using it to evaluate staff performance.</li> </ul>	<ul style="list-style-type: none"> <li>The NGO has a defined organisational structure with clear lines of authority and responsibility.</li> <li>The NGO's organisational structure has been implemented and is incorporated into job descriptions and work assignments.</li> <li>The NGO's organisational structure is used in supervisory sessions and performance evaluations.</li> </ul>
<b>Information Systems</b>	<ul style="list-style-type: none"> <li>No system exists within the NGO to collect, analyse or disseminate data.</li> <li>Information is collected randomly and manually.</li> </ul>	<ul style="list-style-type: none"> <li>A rudimentary electronic Management Information System (MIS) is in place but it is not accessible to all staff.</li> <li>Data utilisation potential is not understood.</li> <li>Computers are used primarily for word-processing and book-keeping.</li> </ul>	<ul style="list-style-type: none"> <li>A MIS is operational and most staff have access to it.</li> <li>The MIS is still primarily used for word-processing and book-keeping but individual staff understand and use data on an ad hoc basis.</li> <li>There is no mechanism for integrating MIS information into the NGO's planning process.</li> </ul>	<ul style="list-style-type: none"> <li>The MIS has the capacity to store and process baseline and survey data.</li> <li>Data analysis capability is relatively sophisticated.</li> <li>There is improved project planning based on analysis of data provided by the MIS.</li> <li>MIS data has been integrated into operational planning and decision-making.</li> </ul>

	Nascent Organisations	Emerging Organisations	Expanding Organisations	Mature Organisations
Administrative Procedures	<ul style="list-style-type: none"> <li>Administrative procedures are informal and NGO staff lack a common understanding of them.</li> </ul>	<ul style="list-style-type: none"> <li>Administrative procedures are increasingly formalised.</li> <li>Filing and recording systems are not being fully utilised.</li> <li>No administrative manual exists.</li> </ul>	<ul style="list-style-type: none"> <li>Administrative systems are formalised and functioning.</li> <li>An administrative manual exists but it is not referred to regularly.</li> </ul>	<ul style="list-style-type: none"> <li>Administrative procedures are well defined, flexible and used to clarify situations.</li> <li>The Administrative manual is included in the strategic review process and updated as needed.</li> </ul>
Personnel	<ul style="list-style-type: none"> <li>There are no formal personnel procedures to administer salaries and benefits or to record personnel data.</li> <li>Formal employment procedures do not exist.</li> </ul>	<ul style="list-style-type: none"> <li>Basic personnel administration systems exist but informal employment practices continue.</li> <li>Positions are not advertised externally and there are no common NGO-wide procedures for determining qualifications for employment, recruitment, hiring, and termination.</li> </ul>	<ul style="list-style-type: none"> <li>All necessary personnel systems are formalised and implemented.</li> <li>Occasionally informal mechanisms are used.</li> <li>The strategic value of human resources and the need to integrate personnel practices into the strategic planning process are not fully understood.</li> </ul>	<ul style="list-style-type: none"> <li>Personnel systems are understood by all staff.</li> <li>Staff opinion of human resource policies and procedures is regularly sought.</li> <li>Formal employment practices are uniformly followed and regularly reviewed to ensure consistency with the mission and policies of the NGO.</li> </ul>
Planning	<ul style="list-style-type: none"> <li>Some planning is carried out but with limited input from staff and constituents.</li> <li>Decisions are made and activities planned without reference to the agreed-upon strategies to achieve the mission.</li> <li>There is little assessment of the resources required to undertake activities.</li> <li>One or a few people may make decisions and plan activities, giving little explanation to those responsible for implementation.</li> </ul>	<ul style="list-style-type: none"> <li>Annual operating plans are developed and reviewed primarily by senior staff without reference to the previous year's planning, analysis of resource availability, or other factors which could affect implementation.</li> <li>Annual plans are developed with little or no input from constituents or staff.</li> </ul>	<ul style="list-style-type: none"> <li>Strategic and short-term planning is conducted primarily by senior management.</li> <li>Staff and constituents may have some input in the planning but they are not involved in the decision-making.</li> <li>There is occasional review of workplans.</li> </ul>	<ul style="list-style-type: none"> <li>There is an annual review of the NGO's achievements and an analysis of resource availability.</li> <li>All parts of the organisation develop annual operating plans aligned with the NGO's mission and strategies.</li> <li>There is a regular review of long-term plans.</li> </ul>

	Nascent Organisations	Emerging Organisations	Expanding Organisations	Mature Organisations
Programme Development	<ul style="list-style-type: none"> <li>• Programme development is largely donor or staff-driven and funded and it is managed on a project-by-project basis.</li> <li>• Programme design, implementation, and monitoring and evaluation, if done, are carried out based on the donor's requirements.</li> <li>• Often the donor's system is not well understood, is poorly implemented and badly managed.</li> </ul>	<ul style="list-style-type: none"> <li>• Individual projects are developed within an overall programmatic framework.</li> <li>• Occasional evaluations are conducted at the request of donors and undertaken by outsiders.</li> <li>• Constituents are involved only as recipients of a programme.</li> <li>• No comprehensive system exists for determining the purpose and objectives of programmes/projects or for monitoring and evaluation.</li> </ul>	<ul style="list-style-type: none"> <li>• A comprehensive system exists for programme development and implementation.</li> <li>• This system is sometimes one imposed by the donor or one that has been developed by the NGO itself.</li> <li>• Either system can provide the information required by the donor and allows for monitoring and evaluation to be carried out by the staff.</li> <li>• Constituents are consulted on programme design and involved in implementation and evaluation.</li> </ul>	<ul style="list-style-type: none"> <li>• Constituents serve as partners in programme design, implementation and evaluation.</li> <li>• Key indicators have been identified for monitoring and evaluation.</li> <li>• Lessons learned from M&amp;E are applied to future activities.</li> </ul>
Programme Reporting	<ul style="list-style-type: none"> <li>• The NGO does not report on the results of activities or evaluations to constituents.</li> <li>• The NGO is not sharing information based on lessons learned from activities and evaluations.</li> </ul>	<ul style="list-style-type: none"> <li>• The NGO provides information on activities and evaluations only when requested or required by a donor.</li> <li>• The NGO shares information on lessons learned only as required.</li> </ul>	<ul style="list-style-type: none"> <li>• The NGO occasionally publishes the results of its activities and evaluations but it does not have a system for distribution.</li> <li>• The NGO does not yet have an effective system through which to share information on lessons learned from its experience.</li> </ul>	<ul style="list-style-type: none"> <li>• The NGO has a system in place to regularly publish and distribute information to donors, constituents, government and other interested NGOs on the results of its activities and other relevant issues.</li> </ul>
<b>HUMAN RESOURCES</b>				
Human Resources Development	<ul style="list-style-type: none"> <li>• The NGO conducts no systematic assessment of staff performance on which to plan for changes or improvements.</li> <li>• The NGO is unable to plan for change to improve the performance of individuals through better work planning, training, development and promotion.</li> <li>• There is little or no understanding of the relationship between staff performance and the achievement of NGO objectives.</li> </ul>	<ul style="list-style-type: none"> <li>• There is a better match between staff responsibilities and skill requirements.</li> <li>• A staff evaluation system may exist but it is not necessarily based on job performance.</li> <li>• The NGO has identified resources with which to conduct ad hoc training of staff.</li> </ul>	<ul style="list-style-type: none"> <li>• The NGO has a performance-based appraisal system in place.</li> <li>• Staff are assigned and promoted according to their job performance.</li> <li>• Staff development needs are assessed and used to develop a training plan.</li> </ul>	<ul style="list-style-type: none"> <li>• A performance-based management system exists to meet the needs of the NGO's human resource development.</li> <li>• Training plans are regularly updated according to the performance improvement and career development needs of the staff, and a human resource development plan exists.</li> <li>• The human resource development plan is integrated with the NGO's strategic plan.</li> </ul>

## LESSION THIRTEEN

<b>Theme</b>
<b>Stakeholder mapping</b>
<b>Objectives:</b> <ul style="list-style-type: none"> <li>• Develop an understanding of how organisations relate to each other</li> <li>• To determine which factors influence relationships between organisations</li> <li>•</li> </ul>
<b>Method:</b> <ul style="list-style-type: none"> <li>• Identify organisations that you work with and their contributions. Ask yourselves why the relationship exists, why has the relationship lasted that long if not why not</li> <li>• Plenary explore the different experiences and on flipchart write common experiences, is there a common understanding of what shapes relationships.</li> <li>• Explain stakeholder mapping</li> <li>• Exercise - In groups develop a stakeholder map around an agreed theme for civil society organisations</li> <li>• Plenary feedback</li> <li>• What are the lessons for civil society organisations</li> </ul>
<b>Key learning points</b> <ul style="list-style-type: none"> <li>• Recognition of the different interests of stakeholders that might have influence over you</li> <li>• Complexity of reconciling different interests and the impact of power dynamics</li> </ul>
<b>Timing:</b> 90 minutes
<b>Materials:</b> <ul style="list-style-type: none"> <li>• Handouts : Stakeholder Concept; Stakeholder</li> <li>• PPT on stakeholder mapping;</li> </ul>
<b>Resource Person Notes:</b>

### The Stakeholder Concept

This notion that NGOs are intermediaries between different primary stakeholders, the donors and the beneficiaries, and influenced by a number of other types of stakeholder has recently gained much influence in the NGO sector. In fact, some even define NGO management as being the ability to satisfy diverse stakeholders and Fowler defines the NGO "bottom-line" as being the capacity to satisfy or influence their priority stakeholders.

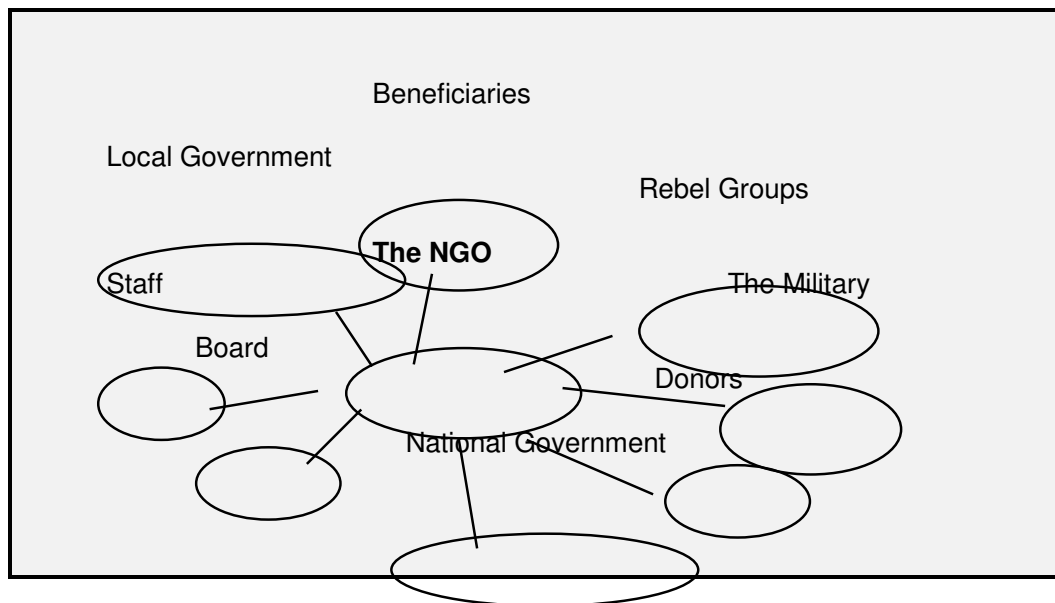


But what are stakeholders and where did this idea come from?

During the 1970's the term stakeholder was introduced into management thinking. The concept was developed as a bridge between the organisation and environment to deal with concerns about strategic analysis. Stakeholders can be defined as **“all parties who affect or are affected by the organisation”** - those with an interest in the organisation.

Stakeholder analysis is increasingly used by NGOs because, as intermediary bodies, NGOs are subject to the influences of many stakeholders. Stakeholder analysis helps NGOs identify and define all the parties who have an interest in their work in a more systematic way than merely responding to the different and conflicting demands they make. It can also help identify any previously unrecognised influences. This information is vital in many different aspects of NGO management (such as strategic assessment, monitoring and evaluation, external relationships).

Stakeholders are often shown in a "spider diagram" showing those parties with an interest in the NGO. An example of one such spider diagram is given below.



# Stakeholder Analysis

Stakeholder analysis involves two stages:

1. Identifying the stakeholders
2. Assessing the stakeholders according to two dimensions
  - The power the stakeholder has to influence the NGO
  - The power the NGO has to influence the stakeholder.

The stakeholders can then be plotted using the matrix below and decisions can be made about which stakeholders to involve more in the process of gathering data using interviews, questionnaires, focus groups and so on.

NGO's ability to influence stakeholder	High	Essential to Involve	Essential to involve	Essential to involve
	Medium	Desirable to Involve	Desirable to involve	Essential to involve
	Low	Involve if possible	Desirable to Involve	Essential to involve
		Low	Medium	High
		Stakeholder's power to influence the NGO		

## SESSION FOURTEEN

<b>Theme</b>
<b>SWOT ANALYSIS</b>
<b>Objectives:</b> <ul style="list-style-type: none"> <li>Identify constraints and opportunities for effective civic action</li> </ul>
<b>Method:</b> <ul style="list-style-type: none"> <li>Individual identification of own organisational strengths, weaknesses, constraints and opportunities:</li> <li>Plenary – share individual analysis and look for common factors or differences, project this to civil society organisations</li> <li>Buzz groups: what opportunities exist for civil society organisations in Azerbaijan? Give examples. (10 mins)</li> <li>Plenary feedback</li> </ul>
<b>Key learning points</b>
<b>Timing:</b> 90 minutes
<b>Materials:</b> <ul style="list-style-type: none"> <li>Handouts : SWOT Analysis;</li> </ul>

*SWOT analysis is used to identify an organisation's strengths and weaknesses and the opportunities and constraints it faces in the external world.*

- ***Strengths and Weaknesses** are internal to the organisation.*
- ***Opportunities** are attractive arenas for action which the organisation can respond to because it has some special advantage or contribution to make.*
- ***Threats** are unfavourable trends or specific changes in the external environment that could lead to stagnation, decline or the demise of the organisation or part of it.*
- ***Opportunities** increase the chance of an organisation achieving its mission, threats prevent it (or at least make it difficult for) the organisation to achieve its mission.*

*The analysis is typically displayed in a 2 x 2 matrix. Research or brainstorming can be used to generate the factors, which should be listed as bulletin points in each box.*

	POSITIVE	NEGATIVE
INTERNAL	Strengths	Weaknesses
EXTERNAL	Opportunities	Threats/Constraints

Source: 'Strategies for Success' by Hilary Barnard and Perry Walker, NCVO, 1994

