



CAPACITY STRENGTHENING AND SHARING COURSE

A Manual



For Refugee-Led Organisations

Written and Developed by:
Xavier Project and Community Partners

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Capacity Strengthening and Sharing Course for Refugee-Led Organisations

TABLE OF CONTENTS

Acknowledgements	6
Introduction	7
The Role of the Facilitator	7
Target Audience	9
Introduction to the course for participants	10
Module 1: Understanding and Describing Your Community	12
Introduction to Module One	12
Session One – Understanding Your Community	12
Session Two – Describing Your Community	17
Session Three – Describing Your Community 2 (optional)	19
Module Summary	20
Module 2: Analysing Community Problems Together	21
Introduction to Module Two	21
Session One – Why are you here?	21
Session Two – Identifying Problems in your Community	23
Session Three – Root Causes	26
Module Summary	28
Module 3: Forming and Communicating a Vision	29
Introduction to Module Three	29
Session One – Use Your Imagination!	29
Session Two – Believe in your vision	33
Session Three – Communicating Your Vision Part I	38
Session Four – Communicating Your Vision part II	41

Module Summary	43
Module 4: Strategic Planning	44
Introduction to Module Four	44
Session One – Traditional Strategic Planning	44
Session Two – Design Thinking	47
Session Three – Blending approaches and choosing a way forward	52
Session Four – Strategic Planning Workshop (optional)	55
Module 5: Resource Mapping	56
Introduction to Module Five	56
Session One – Resources Existing in the Group	56
Session Two – Existing Resources in the Community	60
Session Three – Exploiting Existing Resources	63
Module 6: Leadership	66
Introduction to the module	66
Session One: Community Leadership – Why Lead?	66
Session Two: Feedback and Leading Peers	70
Session Three – Drilling Down on Day-to-Day Leadership Attributes	72
Modules 7: Governance	75
Introduction to the module	75
Session One – Understanding Governance	75
Session Two – Common Board Governance Models that Can Be Used by an RLO	81
Session Three – Governance - Bringing It All Together	89
Session Four – Governance and Sustainability	95
Module 8: Proving Impact	101
Introduction to the Module	101
Session 1: Why Do We Need to Prove Impact?	101
Session 2: Quantitative Methods	105
Session 3: Qualitative Methods	112
Session 4: Developing Your Own M&E System	116

Module 9: Financial Accounting for Our Community Projects and Organisations	119
Introduction	119
Session One - Understanding Basic Bookkeeping	120
Session Two - Financial Records 1 - The Cash Book	128
Session Three - Financial Records 2	137
Session Five - Financial Statements	150
Session Six - Internal Controls	163
Session Seven - Creating a Finance Policy Your RLO (Optional)	170
Module Summary	171
Module 10 : Fraud	172
Introduction	172
Session One – What is Fraud?	172
Session Two – Prevention of Fraud	177
Session Three – Developing of Fraud Response Plan	183
Session Four – Creating Fraud Policy for Your RLO (Optional)	187
Module 11 : Proposal Writing for Community Projects	188
Introduction	188
Session One – Understanding Your Funding Needs and Your Potential Donors	189
Session Two – What Does My Community Need?	195
Session Three – Project Planning for Our Communities	200
Session Four – Drafting a Concept Note	206
Session Five – Project Budgeting and Project Reporting	211
Session Six – Drafting a Full Funding Proposal (Optional)	215
Module Summary	225
Module 12: Managing Community Projects for Donors	226
Introduction	226
Session One – Managing Donor Expectations	227
Session Two – Understanding the Basics of Project Management	231
Session Three – Project Management in Action (Work Plans)	236

Module 13: Gender and Inclusivity	239
Introduction	239
Session One - Gender and Sex	239
Session Two – Understanding the Value of Gender and Inclusivity	246
Session Three – Gender and Inclusivity in Our Organisations	251
Session Four – Gender and Inclusivity in Our Community Projects	255
Module 14: Building and Sustaining Partnerships	260
Introduction	260
Session One – Understanding the Value of Partnerships	260
Session Two – Managing Expectations for Successful Partnerships 1	266
Session Three – Managing Expectations for Successful Partnerships 2	271
Module 15: Risk Management	275
Introduction	275
Session One – Understanding Risk Management 1	275
Session Two – Understanding Risk Management 2	280
Session Three – Creating Risk Management Response Plan	285
Session Four – Managing Hazards	290
Module 16: Safeguarding	295
Introduction	295
Session One – Introduction to Safeguarding	295
Session Two – Identifying Abuse and Safeguarding Concerns	300
Session Three – Prevention is Key	307
Session Four – How to Undertake a Risk Assessment, Respond and Report Safeguarding Concerns	314
Session Five – Putting What We Have Learnt Into Practice	322
Module Summary	328
Module 17:	329
Child Protection	329
Introduction	329

Session One – Understanding Child Protection	329
Session Two – What is the Child Protection Framework?	336
Session Three – Advocating for Child Protection Within Our Communities	342
Session Four – Creating Child Protection Policies and Procedures in Your RLO (Optional)	346
Changelog	347
Version 2021.1	347
Version 2019.1	347
Publishing Information	348

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Introduction

Xavier Project and its Community Partners have developed this training manual with the aim of **strengthening the skills of the leaders, managers and staff of Refugee-Led Organisations** all over the world.

In these modules, RLOs will evaluate their visions, define their goals, and **acquire and refine the skills to implement their community projects successfully and independently**. Learning is achieved through **knowledge exchange in participatory sessions that encourage the sharing of experiences and in participant-led discussions that catalyse organisational improvements**. This course does not impose solutions or dictate the decisions taken by a RLO, however, it aims to guide RLOs to thoroughly assess their operations in support of their desired goals.

This manual has detailed lesson plans for the facilitator to follow. The first 5 modules are designed to be followed sequentially, while modules 6 to 8 can be delivered standalone if necessary. Within the modules, each lesson has a similar structure. Guideline timings are provided.

Xavier Project would like to thank UNHCR for the funding to create this manual as part of the UNHCR Innovation Award 2019. We would also like to extend our greatest gratitude to our Community Partners for our years of working together as well as their input on the topics covered. These are L'Afrikana Community Organisation, URISE for Africa, Solidarity Initiative for Refugees (SIR), Resilience Action International (RAI), Turkana Christian Development Mission (TCDM), Tomorrow Vijana, Bondeko, Tenda Wema, and Community Alliance for Youth Empowerment (CAYE).

The Role of the Facilitator

As a facilitator, it is important to have a deep understanding of the community group you wish to take through the course. There can be no “one size fits all” mode of delivery -- yet one can tailor-make the course to suit the needs and requirements of the specific group participating. To this end, as the course progresses, the facilitator should develop a relationship with the group in order to understand their work better, and should aim to make the discussions and activities in the course more relevant to their needs.

This RLO Capacity strengthening Program is facilitated, not taught. It is an approach that **provides the participants with active, positive and encouraging learning opportunities to generate critical, positive thinking, and to envision opportunity**. To ensure that this occurs, you must also ensure that you leave room for new ideas, thought processes, and only offer nonjudgmental guidance.

We advise that you should read through the entire manual before you deliver it. This will enable you to familiarise yourself with the content, make notes on aspects that you think need more elaboration, and then develop hand-outs that best suit your method of delivery.

For this course, there are notes that guide the facilitator that are written in normal prose handwriting while the text in italics is a narrative of what you can choose to say. Please note that you should not have to say everything as it appears in the manual, but only use this as a guide to help you come up with your own talking points. This manual is a guide that you should custom make to your own 'voice'.

There are also supplementary learning materials -- slideshows and handouts -- that go with this course and are hosted on Xavier Project's website along with this document. If you see reference to a hand-out or powerpoint that you are not able to access please email Ruth, r.njiri@xavierproject.org and it will be shared.

Here are a few guiding principles for facilitation:

- Guide the group- do not share your personal opinions/values/beliefs instead let the group guide those and remain open minded
- Keep confidentiality- assure participants that everything that is shared in the sessions is confidential (and mean it!) Do not discuss anything that happened in the room outside of it
- Time management – keeping time is important to build trust and security in the sessions- please be sure to keep time.
- Listen to active participants- listening sensitively and openly to response is so important – do not cut participants off, rush them. Nod to show you are listening, and show encouragement. If someone is way off, be kind and guide them in the correct direction by asking the other participants if they agree with what the participant is being said, or if there is another way to look at it, or if anyone has anything else to add
- Answer questions- take all questions seriously and try to answer them. If you do not know the answer, tell them you don't know and will seek an answer. If you don't understand the question- be sure to ask for clarification
- Give time for all participants to speak- make sure no one is dominating the conversation and everyone has time to share and people respect each other's time. If someone is taking too much time you can say "I am sorry to cut you off, but we need to move on" or "I think it is time we heard from other participants"
- Adapt activities- if you think an activity is not going well but have a better way to do it- adapt it to meet the needs of the participants
- Offer time out- tell participants if they need to leave the room or find an activity too difficult or emotional, that they can always opt for a timeout and observe or leave for a bit
- Make sure group work is understood by all members
- Give positive and encouraging feedback, not critical feedback – being a facilitator means supporting the learning in positive ways

- During activities, asking important questions may be very useful to go deeper into the thoughts, beliefs and values of the participants. The following questions may be very helpful in many activities:
 - Does that situation relate to you or your community?
 - Do you feel like that can constitute a change in your community?
 - What sort of change do you think you can make?
 - What are you taking out of this session; will you apply it to your organisation? How?
 - What would you do differently next time?
 - Is this something realistic that you and your community members can do?

For the sake of simplicity, this training manual will refer to your trainees as either participants or RLOs throughout this manual.

Target Audience

We have compiled this training manual for *implementers* wishing to train members of Refugee-Led organisations (RLOs), locally run and founded NGOs, or any groups willing to develop their communities collaboratively. As an implementer or course facilitator we assume that you have prior experience in working in community development, that you have prior experience in running training, and that you have some experience working in the context that your participants are working in.

This manual is designed to help you deliver the capacity strengthening course, however the manual does not replace the need to plan your sessions. You may find from this manual that there are ways you need to adapt your content or add additional activities – this is encouraged. If you try to use this manual in a session without reading it through in advance and without planning you will find yourself ill-prepared to deliver the course.

Introduction to the course for participants

00.00 Welcome the participants and introduce yourself as the facilitator of the course

00.03 Ask to the participants to introduce themselves and take notes of their names and their roles in the RLO

00.10 Explain the objectives and structure of this course

With this course we aim to strengthen the skills of Refugee-Led organisations to re-evaluate their vision, re-define their goals, function effectively and work towards sustainability.

Module 1 - Understanding and Describing Your Community: You will learn how to understand, examine and describe your community

Module 2 - Analysing Community Problems Together: You will learn how to identify, analyse and address community problems

Module 3 - Forming and Communicating a Vision: You will learn how to collectively formulate and communicate the RLO's vision

Module 4 - Strategic Planning: You will learn about strategic planning and know how to incorporate it to RLO's plans

Module 5 - Resource Mapping: You will learn how to identify and exploit existing resources in your RLO and community.

Module 6 - Leadership

Module 7 - Governance

Module 8 - Proving Impact

Module 9 - Financial Accounting and Management

Module 10 - Dealing with Fraud in our Organisations

Module 11 - Proposal Writing for Our Community Projects

Module 12 - Managing Community Projects for Donors

Module 13 - Gender and Inclusivity

Module 14 - Building and Sustaining Partnerships

Module 15 - Safeguarding with a bonus module on Child Protection

Module 16 - Risk Management

00.30 Explain the dynamics and guidelines of the course

Explain your role as a facilitator

Explain to the participants that the person who is directing the course must not be seen as a teacher. This is because the role of the facilitator is to stimulate discussions and among the RLO members

00.35 Set up a schedule with the participants

Module 1: Understanding and Describing Your Community

Introduction to Module One

It is important for RLOs to understand their community -- what a community is, and the specific nature of the communities they work in. Anything we do in a community requires us to be familiar with its people, its issues, and its history. Carrying out an intervention or building a coalition are far more likely to be successful if they are informed by the culture of the community and an understanding of the relationships among individuals and groups within it.

Taking the time and effort to understand the local community well before embarking on a community effort will pay off in the long term. A good way to accomplish that is to create a community description -- a record of exploration and findings. It's a good way to gain a comprehensive overview of the community -- what it is now, what it's been in the past, and what it could be in the future.

In this module, the RLOs will examine the community in some detail and set down their findings in a community description.

Session One – Understanding Your Community

Resources: Display the **PowerPoint** entitled “Module 1 – Understanding and Describing Your Community” to your participants. If you do not have a projector you can create print-outs or run the session verbally.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn how to understand your community

You will learn which tools you can use to examine your community

You will learn to describe your community

- **00.05 Introduce some of the aspects that define a community, using the next slide**

A community is any group sharing something in common:

Locale, Experience, Interest

- Instruct participants to discuss in pairs for three minutes. *What are some other aspects to consider in your community?*
- **00.10 Request feedback and have an open discussion based on their responses**
- **00.15 Go to the next slide and discuss the various bullet points.**

Try to launch an open discussion. Here are a few pointers to help you discuss the individual bullet points. Look out for context specific contributions from the participants. This is an introduction

Physical aspects. Most communities have a geographic area or areas they are either defined by or attached to. It's important to know the community's size and the look and feel of its buildings, its topography (the lay of the land -- the hills, valleys, rivers, roads, and other features you'd find on a map), and each of its neighbourhoods. Also important are how various areas of the community differ from one another, and whether your impression is one of clean, well-maintained houses and streets, or one of shabbiness, dirt, and neglect.

If the community is one defined by its population, then its physical properties are also defined by the population: where they live, where they gather, the places that are important to them. The characteristics of those places can tell you a great deal about the people who make up the community. Their self-image, many of their attitudes, and their aspirations are often reflected in the places where they choose -- or are forced by circumstance or discrimination -- to live, work, gather, and play.

Infrastructure. Roads, bridges, transportation (public or private transportation) electricity, landline and mobile telephone service, wifi services, and similar aspects, or lack thereof, make up the infrastructure of the community.

Patterns of settlement, commerce, and industry. For example, where are the poorer areas? Which areas are closer to business centres, or industrial activity? Are some parts of the community dangerous, either because of high crime and violence or because of unsafe conditions in the built or natural environment?

Demographics. It's vital to understand who makes up the community. Age, gender, race and ethnicity, marital status, education, number of people in household, first language --

these and other statistics make up the demographic profile of the population. When you put them together (e.g., the education level of black women ages 18-24), it gives you a clear picture of who community residents are.

History. The long-term history of the community can tell you about community traditions, what the community is, or has been, proud of, and what residents would prefer not to talk about. Recent history can afford valuable information about conflicts and factions within the community, important issues, past and current relationships among key people and groups -- many of the factors that can trip up any effort before it starts if you don't know about and address them.

Community leaders, formal and informal. Some community leaders are elected or appointed. Others are considered leaders because of their activities or their positions in the community -- community activists, RLO founders, teachers, pastors, health care workers, NGO workers (for example). Still others are recognized as leaders because they are trusted for their proven integrity, courage, and/or care for others and the good of the community.

Community culture, formal and informal. This covers the spoken and unspoken rules and traditions by which the community lives. It can include everything from community events to norms of behavior -- turning a blind eye to alcohol abuse or domestic violence -- to patterns of discrimination and exercise of power. Understanding the culture and how it developed can be crucial, especially if that's what you're attempting to change.

Existing groups. Most communities have an array of groups and organisations of different kinds -- NGOs, RLOs, faith groups, youth organisations, sports teams and clubs, groups formed around shared interests, as well as groups devoted to self-help, advocacy, and activism. Knowing of the existence and importance of each of these groups can pave the way for alliances or for understanding opposition.

Existing institutions. Every community has institutions that are important to it, and that have more or less credibility with residents. Schools, libraries, religious institutions, hospitals -- all of these and many others can occupy important places in the community. It's important to know what they are, who represents them, and what influence they wield.

Economics. Who are the major employers in the community? What, if any, business or industry is the community's base? Who, if anyone, exercises economic power? How is wealth distributed? What are the economic prospects of the population in general and/or the population you're concerned with?

Government/Politics. Understanding the structure of community government is obviously important. What is the role of local government? Which parallel structures exist, such as responsibilities of UN organisations or community elected entities? Whatever the government structure, where does political power lie? Understanding where the real power is can be the difference between a successful effort and a vain one.

- **00.35 Discuss with participants *Why Understand and Describe your Community?***

*What is the impact of **not understanding** your community? Have you ever seen examples of this happening?*

Explain the image of Marie Antoinette and the Mosquito Net misuse. Marie Antoinette is “supposed” to have said “let them eat cake” when starving peasants were thronging around her palace in Paris in the 1770s begging for food. It is often highlighted as an example of ignorance and arrogance, of not understanding the desperation of the starvation facing normal people, who didn’t even have bread let alone cake. A few years later there was a revolution and she was executed by the same peasants. Misunderstanding her community had dire consequences for her!

The other example shows the handing out mosquito nets to fishing communities is often not going to achieve the intended objective – again because of a lack of understanding. Fishing communities are more likely to focus on getting food for survival than avoiding disease, even if malaria still poses a big threat to them.

- **00.55 Discuss how the community description can be used and explain these basic principles for understanding the community:**

View the community as the teacher and yourself as the student.

There are not always simple explanations for everything you find in your community

Question the accuracy of all information.

- **01.00 Explain the exercise they must complete before the next session.**

They should divide into five groups and divide between the groups the aspects discussed above at 00.15. Each group should go out and learn about that aspect of the community and be prepared to share what they learn with the rest of the group. Give the team the option of feeding back the information in the form of a verbal presentation, an artistic/graphic layout, a short documentary made on a smartphone, or a newspaper article.

- **01.10 Ask each group to think about target audiences for their research, what methods they want to use to get the information they are looking for.**

Observation will be the key method and possibly some informal interviews. NB this is not an academic exercise, but more carried out out of interest. They should not feel the need to set-up long interviews or focus group discussions at this stage as this will come later.

Give the group at least a full day to complete this exercise. This activity therefore works best when the training is being held at the RLO's location.

Session Two – Describing Your Community

Resources: You may need large manila papers with coloured pans and sticky notes. You may need a collection of smart phones for making a documentary. Or paper and pens for writing up a newspaper article. You do not need a projector unless you want to recap session one.

- 00.00: Introduction

In this session you will give feedback to the team on what you have understood about your community. You will learn from others in your group about the aspects they were researching.

This session can be loosely structured, or you can let the RLO select a participant to chair the session. Encourage the participants to engage in lively discussions about their findings. You can use the opportunity to observe and learn about this community – by now they should know more about it than you do.

- 00.01 *Understanding Continuum.*

In this exercise the participants form themselves in a line that displays a continuum of understanding of their community. Line up the chairs in a straight line. Fix the extremes of the continuum in the following way: go to one end of the line and explain that this end represents full understanding of the community the other end represents complete ignorance of the community. The participants should place themselves along the line according to how well they feel they understand the community.

At the far right end the statement could be *“I fully understand the community I live in. I am well acquainted with all its features, demographics and trends.”*

At the far left end the statement could be *“I have no understanding of this community, its people and its trends.”*

Ideally most participants will place themselves at a point along the continuum and not at either of the ends. This is because even after researching the community in recent days there is no way they can understand everything about it.

Ask some of them to explain a few reasons why they placed themselves where they did. Was it based on their own research, or on the presentations of their peers or both? What more do they still feel they need to research to understand the community better?

It could also be interesting to ask the participants to now place themselves on the line according to where they believe they were before session one. This way you can visually see the impact of these two sessions. With their permission you could take two photos to demonstrate the change over the two sessions.

ASSESSMENT FOR LEARNING (AFL): This exercise will give you insight into how much the participants have learnt in the last two sessions. You may identify some participants who have not found the sessions helpful enough in understanding their community, or perhaps even the whole group have not increased their understanding as much as you would like. In this case you need to be ready to adapt. Perhaps they need more time to research, perhaps they need to revisit some of the concepts in session one. Perhaps some of them need a one-on-one session. As the facilitator, use your judgement to take the best course of action. If they are seriously struggling at this stage it will make your job more difficult in later sessions so don't rush on to the next session.

Session Three – Describing Your Community 2 (optional)

In this session the participants write up their findings in a more academic way. This exercise would be useful if the RLO would like to publish their findings for their community members to read, or if they want to use their findings as part of funding proposals in the future. Ways you can run this exercise include:

- Each group write up a paragraph for each of the features they were looking at in session one
- A volunteer from the group with good literacy could write up two sides of A4 based on the presentations he or she observed
- As the facilitator you could offer to write up the two sides of A4 and present it back to the group
- You could set this exercise as homework to be done between your visits and perhaps sent to you to review by email.

Some guidelines: If possible you can display these guidelines on the powerpoint (see PPT) or print them off for the participants.

- *If you want to use data to back up your argument, make sure it is specific and ideally backed up by a source.*
- *Give a balanced account, with equal weight to each feature you are studying. For example, don't write one side of A4 on the geographic layout of your community, leaving only one page for everything else you have studied.*
- *Talk about positives in your community as well as challenges you may observe.*
- *Try to base your points on observations that were included in your research rather than on a whimsical opinion.*
- *Be careful with the statements you make. For example, don't say, "most of the time most teachers don't turn up to school," unless you are sure that a majority of teachers fail to turn up to school the majority of the time. "Most" is a very loaded word because it assumes a majority without giving much specificity.*
- *Think about your audience and be sensitive. Avoid stereotyping and be careful about pointing fingers at a particular demographic for an issue you have identified in your community. If you must highlight demographic differences, make sure your point includes input from that demographic group, that it is backed up with evidence and gives an unbiased representation of what you believe to be the truth about your community.*
- *Keep sentences simple and short like this one. Avoid subordinate clauses, by which I mean phrases, inserted haphazardly within larger sentence constructs such as this one, which add little value to what you, as the writer, are trying to say.*

- *End your community description with a message of hope! Your community is already great, it's just that you want to make it a bit greater.*

Module Summary

By the end of this module, the RLO should have a clearer idea of what community they are a part of. They will have subconsciously or consciously referred to problems in their community and how they could be addressed, setting you up well for the next module. Have a reflection on how well you think this module went. Write a short paragraph summarizing your reflection and think of how the module could be delivered better and send that summary to the Xavier Project Team Lead. Xavier Project is always keen to improve the content of this course and your feedback is appreciated. Please attach in the email examples of your assessment for learning and links to on-line resources that include references of the RLOs feedback and examples too.

Module 2: Analysing Community Problems Together

Introduction to Module Two

In this module the RLO will get closer to defining the problems they witness in their community and choosing the problems they want to address as a team. The phrase “as a team” is vital for this module as it is in these sessions that they will start to think about how their vision as a group has to be a shared vision. This will take compromises from everyone because not everyone’s interests and priorities can take centre stage when working as a group.

Session One – Why are you here?

Resources: Display the **Powerpoint** entitled “Module 2 – Analysing Community Problems Together” to your participants. If you do not have a projector you can create print-outs or run the session verbally.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will think about why you are here and start identifying a shared vision as a team

You will learn how to identify and analyse community problems

You will select which problems you want to address as a group

- 00.05 Discuss the objectives of session one with them and introduce the activity.

Divide the participants into groups of four, ideally with two pairs facing each other. Participants should spend five minutes discussing with the person opposite them why they are here in this room. When the five minutes are up the participants should turn to the person next to them and spend a further five minutes telling each other what the colleagues opposite them have told them. This way they are relaying second hand what someone else has told them about motives. They should then spend five minutes openly

discussing their motives as a group of four. They should try to make a rough list of all the various motivations in their groups.

- **00.30 Display the first slide about internal and external motivations.**

Ask the group what they believe is meant by internal or external motivations. An internal motivation is a motivation that comes from within you to try and achieve a goal. An external motivation is a motivation from outside of you, a motivation that is outside of your control.

- **00.35 Before showing the next slide**

Ask the group to divide up their various motives into internal and external motives. Perhaps they have additional motives now that they are reflecting on internal and external.

- **00.40 Show the next slide that gives some examples of internal and external motives.**

Get feedback to see whether there are any similarities or overlaps with what the groups have in their list.

- **00.45 Show the next slide on positive and negative motivations and discuss the differences**

Ask the groups to consider whether they have both positive and negative motivations

- **00.50 Divide the room into four corners that represent the four boxes of the motivations matrix in the slide**

Ask the participants to put themselves into the box that best represents their motivations for joining and being part of this group. Hopefully the majority of the participants stand in the positive internal motivations box. Ask participants to justify why they selected that corner. It is great if participants are open. It is likely that participants do have positive internal motivations and they may need to take time to consider these. However, don't force the discussion too much. This is a topic which you will come back to in later modules. The idea is that having shared motives deep down will be good for the team and they need to be happy to discuss these motives openly.

- **01.00 Discussing Motives**

Explain that having shared motives deep down will be good for the team and they need to be happy to discuss these motives openly. Congratulate them on being open about their motives. Give a brief explanation about how this session will have been relevant for the next session (see below).

Session Two – Identifying Problems in your Community

Resources: For this activity you need pens, sticky notes and large sheets of manila paper. Display the **Powerpoint** entitled “Module 2 – Analysing Community Problems Together”

- 00.00 Introduction

Some of the participants may have mentioned addressing social problems in their motives, whether in their internal motives in terms of being an agent for change, or in their external motives because this social problem may be affecting them directly and causing them to act as a way of protecting themselves or their families.

In this session, the group will start to cluster these community problems and analyse whether their desires to address them are internal or external. They will see how many overlaps there are in the community problems they have identified. This will enable the group to start focusing their attention on key problems they want to address as a RLO. First let's look in more detail at what a Community Problem is.

In this session you will more fully understand what is meant by a Community Problem

You will start grouping problems and looking at our motivations for addressing them

Link this session to the last session by asking the group to recall community problems that came up in the discussion about motivations.

- 00.15 Community Problems

The next 20 minutes is heavy on chalk and talk so try to keep the conversation as interactive as possible.

Share the list of example community problems. Prompt a discussion as to whether these problems are present in their community. Don't allow the conversation to get carried away.

- 00.20 Why do we analyse community problems?

To better identify what the problem or issue is.

For example, youth might gather on a street. Sometimes they drink; sometimes they get rowdy. What is the problem here? The drinking? The rowdiness? The gathering itself? Or, the possible fact that youth have nowhere else to go and few positive alternatives for

engagement? Before looking for solutions, you would want to clarify just what is the problem (or problems) here. Unless you are clear, it's hard to move forwards.

To understand what is at the heart of a problem.

A problem is usually caused by something; what is that something? We should find out. And often the problem we see is a symptom of something else.

To determine the barriers and resources associated with addressing the problem.

It's good practice and planning to anticipate barriers and obstacles before they might rise up. By doing so, you can get around them. Analysing community problems can also help you understand the resources you need. And the better equipped you are with the right resources, the greater your chances of success.

To develop the best action steps for addressing the problem.

Having a plan of action is always better than taking a few random shots at the problem. If you know where you are going, you are more likely to get there.

In general, when you tackle a problem, it's better to analyse it before you begin. That way, you've got a deeper understanding of the problem; and you've covered your bases. There's nothing worse for member involvement and morale than starting to work on a problem, and running up against lots of obstacles -- especially when they are avoidable.

When you take a little time to examine a problem first, you can anticipate some of these obstacles before they come up, and give yourself and your members better chances of coming up with a successful solution.

- 00.30 Criteria for Addressing Community Problems

When identifying and prioritising problems in your community, you may want to consider some criteria:

- The problem occurs too frequently (frequency)
- The problem has lasted for a while (duration)
- The problem affects many people (scope, or range)
- The problem is disrupting to personal or community life, and possibly intense (severity)
- The issue is perceived as a problem (perception). A problem often becomes a more invasive problem when it is also perceived as a problem by the community at large, but just this perception is disruptive.

The problems that really need to be addressed more urgently are problems that display several of these criteria.

- 00.40 Problem Spamming.

- Depending on the size of the group, either divide them up into manageable groups of six or fewer or ask them to work as one group. Ideally for this activity you need sticky notes and large sheets of manila paper.

Ask the group to make a collection of problems faced by their community on sticky notes. The title of the problem should be underlined at the top of the sticky note. Under the title, the group should list criteria that the problem meets, such as frequency, duration, scope, severity and perception. You may notice some groups only coming up with very broad problems such as “poverty” or “displacement”, and other groups might be overly specific such as “the fallen tree in zone C blocking the road”. Try to nudge them towards more of a middle ground. If this doesn’t work, use a model example and demonstrate to the group as a whole.

- 00.50 Problem Clustering and Complex Problem Mapping

Having the problems listed on sticky notes enables the group to move them around on the manila paper. Ask them to cluster or bunch the problems together into categories. They may find at this point that there are different “levels” of problems. For example, one sticky note might say “lack of road markings”, whereas another sticky note might say “poor infrastructure”. Road markings are a feature of roads, which are a feature of infrastructure, so eventually the roads markings would go under “poor infrastructure”. See if the group notices this themselves. Either way, encourage them to cluster these types of problems together and acknowledge the differing layers.

It is very likely at this point that complex or wicked problems will emerge – or vicious cycles of problems. An example would be, “the population is unproductive because of malnutrition. There is malnutrition because the population is unproductive.” Show the slides of possible ways they can cluster or map their problems. This section will take initiative from you as a facilitator as it is difficult to predict what problems will emerge and how the group will choose to visually present them.

- 01.10 Example: Nile Perch

When this conversation has gone to its logical conclusion, prepare to pause the session for a break. As a plenary you could show them the complex problem associated with the introduction of Nile Perch to Lake Victoria, see slide.

Nile Perch were introduced to Lake Victoria 40 years ago and preyed on all other species with profound effect, disturbing the natural ecosystem and the health of the lake as a whole. Originally they were introduced to improve food security.

Session Three – Root Causes

This session is a continuation of the previous problem spamming and clustering session. You will try to bring to order some of the thoughts about the problems faced by this community. This will not be straightforward – don't worry if everyone's thoughts, including your own, continue to seem entangled. The key thing is that there is some consensus on a collection of root cause problems.

- 00.00 Discuss the objectives of this session

In this session you will look at the root causes of the problems you have identified in the previous session

You will start to decide as a group on which root problems you would like to address

- 00.05 – Recap on the complex problem of Nile Perch being introduced to Lake Victoria.

This is an example of how trying to fix one problem leads to more problems. Trying to address the ecological imbalance that Nile Perch has caused will cost significant resources that could also affect the original problem of food security. On a related issue, certain types of fishing in Lake Victoria have been banned, ostensibly for environmental reasons. This might have long term positive consequences on the ecology of the Lake and subsequently food security, but in the short term fishing communities around Lake Victoria are starved of income and an array of economic and social issues, such as alcoholism, HIV infections and domestic violence may get worse in the process. In a situation like this it is hard to look at the root cause of the problem.

- 00.15 Introduction to root causes of problems

Root causes are the basic reasons behind the problem or issue you are seeing in the community. Trying to figure out why the problem has developed is an essential part of the "problem solving process" in order to guarantee the right responses and also to help citizens "own" the problems.

- 00.20 Explain that not all problems have one root cause.

Give the two examples of corruption and business productivity, as well as high skills and education from the PowerPoint.

- **00.25 Show that while problems might be cyclical, each problem also has multiple root causes.**

For example, corruption might exist because government salaries are not high enough, and also because the state or the system does not do enough to prevent corruption.

- **00.30 Show that cycles of problems have themes that overlap.**

For example, the reduced productivity of business leads to reduced government revenue, as well as fewer jobs. Reduced productivity might affect the cycle of problems related to education, as well as the cycle of problems related to corruption in government.

- **00.35 In the next slide, show that by overlapping these problem cycles and looking at various themes you can start identifying prominent root causes.**

Activity – Arrange your problems in a way that enables you to identify overlapping themes or root causes.

If the groups are struggling with this exercise you could introduce to them the “But Why?” concept. For example, if they say that too many people in their communities have problems with alcoholism, they should ask “but why?” Once they come up with an answer to that question, probe the answer with another “but why?” question, until they reach something closer to the root cause.

- **00.55 Ask the groups to either present their root cause problem trees or if they are in one group, have an open discussion about the way they have presented it.**

ASSESSMENT FOR LEARNING (AFL): Try to encourage all group members to contribute to the discussion. Take a note of the participants who have engaged with the exercise and contributed to the problem tree. For those who seem not to be fully understanding the process, arrange a way to talk to them in a smaller group or one on one.

- **01.10 – Interventions and focus areas.**

Start a discussion as to how best the RLO could intervene. This is an introductory discussion which you will come back to in later modules. Hopefully the group will have come up with a number of root causes or overlapping problems. It can be possible to think of interventions that the problem cycles. In this activity you should think about which of these root causes the group might be best placed to address.

For example, three root causes given might be: LACK OF EDUCATION OPPORTUNITIES, LACK OF A FREE MEDIA, and ENVIRONMENTAL DEGRADATION. If the group is made up of participants with a teaching background they may choose to think about improving

education opportunities. The answer could be very different if they are a group of exiled journalists, or environmental scientists.

(As a facilitator at this point, you could note that the **Community Enterprise Cycle** currently has good resources available for root causes related to education, business, social and emotional aspects. There are increasing resources for peace building, environmental and cultural aspects. On root causes related to public health, child protection, SGVB, democracy, media and many others the CEC is still lacking content. This may not affect the group's decisions as to which problems they wish to address, but they should be aware.)

Module Summary

By the end of this module, the RLO should have a clearer idea of the problems in their community, how they interrelate, and what some of the root causes to these problems are. Have a reflection on how well you think this module went. Write a short paragraph summarizing your reflection and think of how the module could be delivered better and send that summary to the Xavier Project Team Lead. Xavier Project is always keen to improve the content of this course and your feedback is appreciated. Please attach in the email examples of your assessment for learning and feedback from the RLOs too.

Module 3: Forming and Communicating a Vision

Introduction to Module Three

In this module the RLO will focus on the problems they want to address. They will visualise a future in which this problem or set of problems are solved. It is important that the imagination of the participants is triggered so that they can picture a future with different realities to the problems they see today. It is important that they believe that this future is possible. The final step is articulating this vision in a way that other people can start to also believe it is possible. At this point, and only at this point, a vision statement can start to be defined.

Session One – Use Your Imagination!

Resources: Display the **PowerPoint** entitled “Module 3 – Forming and Communicating a Vision.” If you do not have a projector you can create print-outs or run the session verbally.

- 00.00 Give a brief introduction to the session.

Go through the objectives of the module, linking the objectives to previous sessions on understanding the community and identifying community problems.

In this module you will imagine a different future

You will agree as a group on what kind of better future is possible

You will find a way of describing this better future (vision) and communicating it

- 00.05 Revisiting some questions from Module 1 and 2

Giving a brief review about some sessions from Module 1 and Module 2 will induce the participants to rethink about the RLO's current state. Having previously identified and analyzed the characteristics and problems of the RLO, the facilitator may ask the participants to answer this questions again to assess the newer perceptions towards the community and start formulating a shared vision:

What is the community now? What could it be in the future?

Why are you here? Why are we all here as a group?

- 00.10 Ask the class

Why is having an imagination important?

Here are some ideas you could discuss in response, or you can use your own examples.

Having an imagination is vital. It is one major thing that makes humans different from animals – we can imagine what life might be like in five minutes, in one hour, tomorrow or when we are old. We can imagine millions of possible future outcomes and select which outcomes we want to aim for. This helps us to make plans and making plans helps us to live more productively and in a more fulfilling way. For example, if we see big clouds we can imagine that it might rain soon. If we don't have a house we can imagine having a house and how it would be better to be in a house when it rains rather than out in the open air getting cold. This imagination enables us to build a house *before* it rains.

Another example would be planting crops. When we see a small seed, we have the power to imagine this seed turning into a huge maize stalk. We are imagining this huge maize stalk whenever we go and water our seeds, waiting for weeks or months for it to grow. Without the power of imagination what would we do with that seed?

There are no limits to the human imagination, just the limitations that we ourselves put on it.

- 00.20 Activity - Lead the group through a reflection writing piece

Dream Big. It doesn't cost you anything. Using your imagination, visualize a parallel world, or an alternative future in which your community did not experience the problems you identified in recent modules.

Imagine your community the way you would like it to be. Write out your ideas and don't worry about how they sound. The wilder and seemingly unrealistic the better, as long as it is what you would like to see.

Here are some prompts to help you think:

What does your community look like physically? What kinds of buildings are there? What kind of public spaces? Is it safe to walk around it during the day and at night?

What kind of work do people do? Who has what kind of jobs? Do people like their work? How do people exchange goods, services and money? What possibilities are there for young people, old people, and everybody in between?

How do people get along with each other? Do people from different groups communicate and get along? Do younger and older people have contact and good relationships with each other?

How do decisions get made? Are things fair for different groups? Does every group have a fair say? Are many people involved in sharing their ideas and solving problems?

- **00.45 Direct participants into pairs and request they share their vision for a better future with their partner.**

They should be prepared to challenge their partner on the vision they present to see if it is really the ideal. As a facilitator you can listen to these conversations and challenge them as well. Often participants will not be ambitious enough in their dreams. In other words their imaginations are being reined in for one reason or another. To give an example, their ideal world might see 100% enrollment of children at primary school. However, surely an ideal world would also see secondary and even post-secondary educational opportunities for everyone for free? What is more, the class sizes would be no bigger than 30, and classrooms would be very well equipped with resources.

If the group resists this on the ground that it is unrealistic, remind them that there are parts of the world where all these things exist. In Germany, for example, there are no tuition fees at university. Lithuania has an average class size of 16 students per class at primary level. Even South Korea, which not long ago was a country with the same GDP per capita as most Africa countries, now has an average class size of 34 students per class.

ASSESSMENT FOR LEARNING (AFL): Request the participants to share their written visions. You can look through these after the session to get an idea of the types of vision each participant envisions. Take note of persuasive written work, innovative ideas, and clarity of thinking.

- **01.00 Group Discussion**

How do these idealistic visions relate to the root cause problem you wanted to address as a group?

If the root cause problem you identified in the last module didn't exist, which part of your ideal future would this affect?

This discussion is important because at the end of the last session the group identified a root cause problem they wanted to address, partly because of the severity of the problem and partly because they feel best placed to address it as a group due to the talents of the team. In this activity they reflect on what the best case implications could be of addressing this problem. This is useful because it adds motivation to creating social change – they are not just avoiding negativity, they are aiming higher.

- 01.10 Is this possible?

In this activity you assess how confident the team feels about the best case implications ever being achieved in their community. You are not discussing WHY NOT? It is just to see how positive they feel about their vision ever coming about.

Either: make four statements based on the problem and the vision they are focusing on. These statements could be in increasing levels of positivity. For example – “I feel confident we will see free quality education to the age of 18” followed by “free secondary education may be possible but not in my lifetime” followed by “secondary schools in our community will always have fees” followed by “we are unlikely to even have universal access to primary school in this community”. Put one statement in each corner and ask participants to stand in the corner with the phrase that best represents their beliefs.

OR: Request participants to collaboratively make a line with the most positive person at one end and the least positive at the other end. Having “joint” positive group members is allowed but they should try and find out the order of positivity by asking each other questions about how possible the imagined future is. Another way to distinguish comparative positivity is for them to state how long they think it will take for their vision to be achieved and create the order that way.

This is a plenary activity which you will come back to in the next sessions. There is no need to spark an extensive group discussion based on the layout of the room.

ASSESSMENT FOR LEARNING (AFL): Both of these activities would give you insights into how positive the group members are that the vision they are starting to form will ever possibly be achieved. You can take a record of the layout in the room, and with their permission even take a photo (which you will show them in a decade when their vision has been achieved!!). It is likely that many of them will feel daunted by the realities of life and the scope of the problems they face. It is fine to recognise this and in future sessions you will look at how to address these problems in bite-size chunks, with a view to getting a tiny bit closer to the vision. However, in future sessions (and you could introduce this way of thinking gently now) you will want to encourage the group to believe that their vision is possible. As community leaders they have to be the ones to believe in a different future, as if they don't it is unlikely the people they lead will believe it.

Session Two – Believe in your vision

Resources: Display the **Powerpoint** entitled “Module 3 – Forming and Communicating a Vision.” If you do not have a projector you can create print-outs or run the session verbally.

By this point in the course there should be a consensus forming as to the root problems in the community that the group wants to address, the reasons why they want to address that particular problem or set of problems (maybe based on their skills) and a consensus forming on what the ideal world could look like if that problem was solved.

In this session the group will have a chance to find a compromise between the ideal world they envisaged in the last session and a vision that they all feel is realistic.

In this session you need to be flexible as a facilitator because different groups will have made varied amounts of progress by this stage. For example:

- The group may still have differing views on the root problems they want to address. Their visions will also therefore be quite different. At this point, they can either find a way to merge these competing ideas into something broader or settle on one. For instance, one vision might be for universal free healthcare, while the other is for a reduction in drug addiction. Do they prefer to choose one or could they come up with a broader vision around general well-being or public health?

For this see activity A – merging or selecting

- There may be unanimity on the theme of work, but a lack of consensus on what is feasible or possible. In this scenario you may need to help them find a compromise, encouraging the more cautious members to think big, while encouraging the more ambitious members to understand why other members in the group may have concerns

For this see activity B – is it possible, YES why, can this be accepted by the community?

- There may be unanimity on the theme of work and what is feasible, but a lack of clarity on what kind of a role the group wants to play. For example, one RLO might want to have a holistic spectrum of priorities, acting as a conduit for smaller groups of community members to address more specific problems. This is fine. Another type of RLO may feel they have a niche answer to a specific problem, such as bringing on-line work to a refugee settlement to address the problem of unemployment (for example). This is also fine. It is possible that varied group members may have differing views on what kind of a role their RLO can play. This

debate will come up again in the next module, but if it is causing a rift at this stage it needs to be discussed.

For this see activity C

However, it is also possible that the group has a consensus on what problems they want to address, the vision of a better future they want to bring about and the general role the group would like to play in achieving that. If you are sure this is the case, skip to **00.40**

For other cases, identify which of the activities you need to run between **00.10 – 00.40**

Activity A – merging or selecting.

Go back to the exercise in session two of module one called “clustering and complex problem mapping”. The group should have their maps graphically arranged. Try to see where the division in opinion comes in as to the best problem to address. You can start to ask the group some of the following questions:

Can more than one problem be addressed with similar ideas?

Are there other actors better placed to address one of the problems identified? If so, can an initial step made by the RLO be to engage these actors?

Can the RLO play a more overarching role in addressing multiple problems? Would the group members want to play this role?

Now that these questions have been answered, is there a clearer vision as to how the future could look better and the role the group would play in getting there?

Activity B – Is it possible?

During this activity you are helping the group find a compromise. On the one hand, it is possible to be unrealistically optimistic. Some group members may have a vision for a future that is almost certainly not possible within our life-times. “The end of employment”, “universal peace (and end to war)”, “Nakivale Aeronautics and Space Association”, “Uganda is renamed the Republic of Wakanda”, “Kakuma to host the Winter Olympics”, “invent artificial rain and control weather systems”. E.g. such visions. It might be nice to have such visions on an individual level, but remember we need to communicate this vision to a population who are currently focused on achieving basic living standards. It will not be possible to sell this vision wholesale to such a group and it would not be sensitive to try to do so.

A more common problem will be for group members to lack faith in bringing about even far more achievable visions. This is natural and is a feeling we all share. It is especially understandable in people who have experienced extreme hardship, living conditions that have deteriorated over time and/or an increased suppression of rights. The challenge of the next few modules will be to lay out a credible plan as to how reasonable visions are in fact achievable. Today though, you need to try and show that it is possible by giving examples

in history when collective efforts have overcome incredible odds and adversity. It is up to you to choose a suitable narrative. Take time to research the story and involve other team members in its telling.

- *The end of Apartheid*
- *The civil rights movement*
- *The end of the widespread global slave trade*
- *The collapse of expansionist colonialism (maybe including the story of Gandhi)*
- *The transformation of Singapore*

More localised examples to East Africa would be:

- *Wangari Mathai and the Greenbelt Movement*
- *Peter Tabichi and Keriko School Science Students*
- *Phiona Mutesi (the Queen of Katwe)*
- *Denis Mukwege and the Fistula Foundation*
- *Stephen Kiprotich (Olympic Marathon Runner from Uganda)*
- *Michael Werikhe the Rhino Man*

All these stories show that things can improve and visions can be achieved with targeted and sustained actions. In all the locations where the RLOs you are working with are based, it is possible for life to improve and for a better future to come about. It will be important for the RLO to really believe this so that when they start communicating their vision to the rest of the community they can spread their vision credibly.

Activity C

Have an open discussion and see if you can encourage a consensus. If you feel there are polarised views on this it might make sense at this stage to divide the group into two, with one group forming a technical task force on a specific issue, and another group forming a RLO that will have a more holistic approach.

- 00.30 Defining what is vision and mission

By this point the group must have consensus over three aspects: root problems, feasibility of the imagined future and the role that the RLO wants to take. It is important to explain the differences between vision and mission and provide examples. Having a mission will allow the RLO to make use of the previously discussed information and express their intended actions to achieve their vision.

1. **Vision Statement:** describes WHERE the organisation wants to be upon achieving its mission. This statement reveals the WHERE of an organisation, also considering the future state of its community or the world as a result of the organisation's service.

Examples of Vision:

- Alzheimer Association: A world without alzheimer
- Teach for America: One day, all children in this Nation will have the opportunity to attain excellent education
- Microsoft (at its founding): A computer on every desk and in every home

2. **Mission Statement:** It can be seen as an action-oriented vision statement, declaring the purpose of the organisation serves to its audience. It can also be seen as the roadmap to achieve the vision in which you intend to clarify the “what”, “who” and “why” of an organisation.

Examples of Mission:

- Doctors without Borders: To work in nearly 70 countries providing medical aid to those most in need regardless of their race, religion, or political affiliation.
- Teach for America: Growing the movement of leaders who work to ensure that kids growing up in poverty get an excellent education
- Invisible Children (NGO working against violence in Africa): To end violence and exploitation faced by our world’s most isolated and vulnerable communities

- 00.35 Writing the Vision and Mission

Now that we have a clear idea about the Vision and Mission , spend 5 minutes discussing and writing the Vision and Mission for the RLO.

- 00.40 How Long?

In this section you will be discussing how long it will take for this vision to be achieved. Have a five minutes discussion in which you give a rough estimate as to when it could come about.

- 00.45 Ten Years

It is likely that the date set in that activity will be in the remote future, say 25 years or a lifetime. If so, try to work out how things will look in ten years. For example, if the lifetime vision is to see free tertiary education for all, a ten year vision might have university places to affordably accommodate secondary school graduates looking to go on to further study. A ten-year vision is suitable in terms of making strategic plans, and it is easier to communicate to the rest of the community. Beyond ten years it is not even clear whether the same individual RLO group members will still live in the vicinity, let alone be willing to commit their efforts to this cause.

- 00.50 Newspaper article

Guide the group through the following exercise, which is designed to enable them to articulate their vision in an imaginative and detailed way. The main objective of this exercise is to demonstrate the progression and feasibility of the community's vision and build up trust and motivation among the participants. The activity is structured in two parts.

Part one: Writing an article

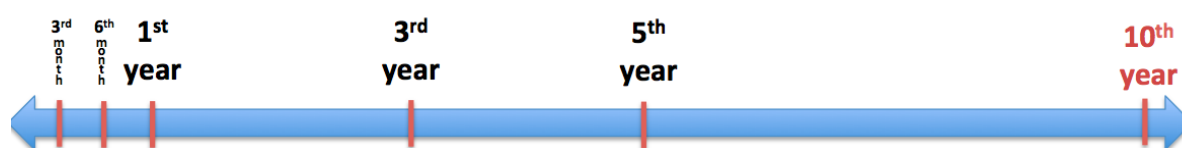
The participants can start an exercise that would train their communication skills and capacitate them to transmit and discuss their future plans with other members of the community.

Divide the participants into 6 groups. Every group will be asked to imagine themselves as reporters who are visiting their community in different time periods. The groups will have to choose between 6 different time spans (10 years, 5 years, 2 years, 1 year, 6 months, 3 months) and write a newspaper article about the current state of the RLO and the challenges that the community has gone through until that time.

Part two: The 10-year vision timeline

Guide the participants through the following steps in an open discussion to build the 10-year vision timeline and make sure to be taking notes to document the exercise:

1. You will ask the groups to read their newspaper article starting with the group "10th year" group and finishing with the "3rd month" group.
2. Discuss which goals should be accomplished by then in order to reach the vision written in the top of the board. We will call these "transitional goals".
3. Ask the participants to place the previously identified root problems in the timeline depending on the time in which they think they would be resolved.



ASSESSMENT FOR LEARNING (AFL): Collect the newspaper articles at the end of the session. Read them and assess the achievements of the group so far based on how realistic vs ambitious the visions are, how clear the visions are, how well articulated and detailed they are, and how much consensus there is as a group. These could be interesting documents to look at again in ten years time, and hopefully by then a real reporter from a national newspaper might be able to make similar headlines.

Session Three – Communicating Your Vision Part I

Resources: Display the **PowerPoint** entitled “Module 3 – Forming and Communicating a Vision.” If you do not have a projector you can create print-outs or run the session verbally.

You will also need print-outs of HOW TO COMMUNICATE YOUR VISION TO OTHERS taken from the Community Tool Box of Kansas University (see resources library)

- 00.00 Give a brief introduction to the session.

Go through the objectives of the session, linking the objectives to the previous sessions.

In this session you will consider why it is important to communicate your vision to others

You will think about when and how to communicate your vision

You will then make a plan for how you will communicate your vision with your community and get feedback

- 00.05 Explain why it is important to communicate your vision to others

Why communicate your vision to others? Because no one can decide to follow you until they know what direction you're headed in.

If your vision is one that touches a chord with many people and if you can communicate it well, people will join you in reaching your goals.

Sharing a vision is a central role of a leader--a vision gives people a bigger picture of what things can be like. It helps people raise their hopes and expectations; it inspires them. When people are inspired, they are more likely to work on something.

- 00.10 How to communicate your vision to others

Hand around a two page print-out called HOW TO COMMUNICATE YOUR VISION TO OTHERS taken from the Community Tool Box of Kansas University. Request the team members spend ten minutes reading this document.

- 00.20 Facilitate the conversation on the print-out

What ideas and suggestions stood out for you while reading this?

Hopefully the group will mention some of the following and more. If they don't you could prompt them:

- Talk about your vision a lot
- Enable others to take ownership of the vision
- Don't talk too much – listen
- The “balancing act” section mirrors the compromise activities the group carried out in the last session

- 00.30 Making plans to start communicating the vision

Over the next 30 minutes, the group should make plans as to how they intend to communicate the vision with the community and get feedback. They need to decide on the format, the key principles, the feedback tools, and ideas for iteration.

Format – the following formats could be used to communicate the vision in the community

- One on one conversations with a variety of community members
- Conversations in pairs or small groups
- A larger focus group discussion
- A mobile survey
- Others? / all of the above

Key principles to bear in mind

- A format should be chosen that encourages the community to talk, rather than just listen
- Clearly let people know you are looking for their feedback
- Make clear what you're going to use the feedback for
- Guarantee anonymity
- Group members should remember to create a balancing act in terms of what is going to be credible
- Group members should be sensitive to the challenges and hierarchy of needs faced by community members. For example, someone struggling with grief or hunger may not want to talk about a future ten years from now

The group need to decide how they will record this feedback

- By making notes after the conversations
- By making notes during conversations or group discussions
- By recording or filming conversations
- Asking participants to write their own comments, or even a journal

- A combination of above

The group needs to think about what they will do with this feedback

- Plan a group debrief session to examine the feedback and see how it affects the way the group formulates the vision
- Work in the feedback into the next modules in terms of strategic planning
- Write up the feedback and design additional documents that outline the shared vision in multiple forms of media

- 01.00 Community Feedback

Based on these decisions, send out the RLO into the community to start communicating their vision and getting feedback. Plan a time or date for the next session.

Session Four – Communicating Your Vision part II

- 00.00 Give a brief introduction to the session.

Go through the objectives of the session, linking the objectives to the previous sessions.

In this session, you will examine the feedback from the community and see how it affects the way your group formulates its vision

You will use multiple forms of media to communicate your vision

- 00.05 Spend 10 minutes discussing the feedback from the community on the vision.

Has the feedback encouraged the group to reformulate their vision? If so, try to analyse why with them and see whether their reasons for editing ideas are justified. Spend a further fifteen minutes in this discussion if this is the case.

- 00.30 Communicating a vision on multimedia

It is crucial that the group can articulate the vision in a few sentences. This is sometimes known as the “elevator pitch” which refers to the amount of time it takes to ride in an elevator (1 to 2 minutes) – that should be how long it takes you to communicate your vision.

The elevator pitch for the group's vision should describe what the vision for a better future looks like.

It should explain why the group feels it is important to reach this better future.

It should explain why they feel it is possible.

This will be using content derived from all of the previous sessions as well as the feedback from the community.

In order to deliver an effective elevator pitch, there are some steps that must be followed:

- Step 1: Start with a question or an impressive fact that catches the attention of the audience
- Step 2: Present yourself and say what is your role in the community
- Step 3: Go over the main problems and needs that were discussed in Module 2
- Step 4: Talk about the solutions that were proposed to tackle the problems
- Step 5: Talk about the main benefits that the community will have and specifically to the person who is listening to you
- Step 6: Give arguments about why your project is the ideal one for the community

- Step 7: End the elevator pitch with a call for action. (Ask for a telephone or e-mail address to send more information, ask for feedback or ideas, and invite to further meetings.)

- 00.45: Elevator Pitches

Spend 10 minutes practicing to perform the elevator pitch in small groups.

One of the group members could volunteer to perform the elevator pitch on camera, perhaps using a smartphone video function. This can be used later on a website or social media.

The group may feel ready to communicate their vision in one “soundbite” sentence. This is not vital at this stage. A few examples to help prompt the group, though, in case:

“A world without Alzheimer’s disease.” – Alzheimer’s Association

Oxfam: “A just world without poverty”

Save the Children: “A world in which every child attains the right to survival, protection, development, and participation.”

Kiva: “We envision a world where all people – even in the most remote areas of the globe – hold the power to create opportunity for themselves and others”

Habitat for Humanity: “A world where everyone has a decent place to live.”

Disney: “To make people happy”

If the group is able to come up with their soundbite vision statement then that is great. Come up with ways in which it can be recorded, perhaps:

- On a flyer
- On a website
- On social media
- On a governing document

ASSESSMENT FOR LEARNING (AFL): Hopefully you now have a recording of one of the group members performing the elevator pitch describing the group's vision. As the group leaves the session, encourage them to communicate their vision on one of the other formats just discussed, be it on-line or in written form, or any other formats. This does not need to be done immediately, and there are later modules on “branding”, but one of the take-away activities could be to get started on that.

Module Summary

By the end of this module, the RLO should have a vision for a better future and be able to communicate that vision in an interactive way. Write a short paragraph summarizing your reflection and think of how the module could be delivered better and send that summary to the Xavier Project Team Lead. Xavier Project is always keen to improve the content of this course and your feedback is appreciated. Please attach in the email examples of your assessment for learning, such as newspaper articles describing a better future, recordings of the vision elevator pitch, and links to on-line resources that include reference to the RLOs examples too.

Module 4: Strategic Planning

Introduction to Module Four

In module one the RLO studied and described their community, in module two they identified problems in their community, and selected problems they wanted to address. In module three they imagined what a different future would look like if those problems did not exist (and better) and found a way to communicate that vision. However, there are still big gaps in thinking between recognising problems today, imagining an ideal future, and coming up with ways to bring that vision about. This is where strategy comes in and this module concerns this topic.

There are (at least) two schools of thought as to how you should plan strategically. The traditional school of thought envisions a specific future and makes a step by step plan as to how to bring that about. Session one will cover this approach. Another school of thought accepts that you don't know what the future will look like, it is the way of planning and continually readjusting that is important. This approach is known as Design Thinking and will be the topic of session two. In session three this course proposes a blend of these approaches and gives the group the opportunity to choose which approach best suits the way they will make plans.

An optional session four can enable the group to make more detailed strategic plans, although it should be noted that strategic planning should be an on-going process that the RLO continually engages in – this course is designed to give them the skills to do that.

Session One – Traditional Strategic Planning

Resources: Display the **Powerpoint** entitled “Module 3 – Forming and Communicating a Vision.” If you do not have a projector you can create print-outs or run the session verbally. You will need post-it notes, pens and ideally manilla paper

- 00.00 Give an introduction to the module.

Go through the objectives of the session, linking the objectives to the previous sessions.

By the end of this module you should know how to plan strategically

You will know which form of strategic planning you would like to employ as a group

You will learn about traditional strategic planning, design thinking and blended approaches

- 00.05 Discuss the objectives of this session

This session you will learn about traditional strategic planning

For this process it is important to have a precise picture of what success looks like. Targets to be reached at the end of the strategic planning period should be specific, measurable, achievable, relevant and time bound. Most people plan strategically this way and it is a very effective way of working, especially when you know exactly where you want to get to.

To demonstrate this process, you will strategically plan how to make ugali (this assumes all your groups are familiar with ugali / posho).

- 00.10 Strategic Planning

To understand this form of strategy, you will strategically plan how to make ugali. Making ugali is a good example of this type of strategic planning because you know exactly what result you want at the end of the strategy.

Everyone should have a flat working area, ideally a large piece of white paper, and as many “post-it” notes as they like. Ask each individual group member to write out a plan for making ugali. Each process in the plan should have its own sticky note and the sticky notes should be placed in the correct order in terms of the step by step instructions for making Ugali. For example, “add water to the sufria” should have its own sticky note / step, and so should “add flour to the sufria”.

Do not give too many instructions, just see how the individuals logically make their plans. It is common when doing this for the first time for participants to use around six steps. For example,

- Boil water in a sufria
- Add flour to the boiling water
- Stir the flour until you reach the right consistency
- Allow the ugali to sit for a few minutes
- Serve the ugali

- 00.20 Sharing our Plans

Make groups of three or four and share the steps you have taken. Make one unified “make ugali” plan, with as many steps as you like.

When the individuals collaborate in larger groups, they soon realise that others have included steps that they missed out, but that none of them are incorrect. This leads them to decide that the process should actually have many more steps if the instructions are to go into a deeper level of detail. Instruct the group to make new instructions that incorporate all the necessary steps. This will typically lead to chains of steps numbering 12 + eg:

- Prepare the stove
- Light the charcoal on the stove

- Put your sufria on the stove
- Go to the water basin and fetch water
- Add water to the sufria
- Go to the flour store and open the flour container
- Fetch flour

And so on...

- 00.35 Merging Plans

When smaller groups have made these strategic plans of 12+ it is possible to merge into one large group and make an even bigger logical chain of plans number 20 or 30+. This can be done on a huge sheet of paper at the front of the room, or on a whiteboard, still using sticky post-it notes. Typically the steps will go down to minute details such as “open the match box” followed by “select a match”. At this stage there can occasionally be debate as to what steps come first. Eg, should you light the stove first or fetch water first. Interestingly, it has been found that the plan will be more comprehensive if you ensure that this part of the exercise is done *in silence*.

It can be preferable to put a time limit on this exercise. Aside from the strategic benefits of this exercise, this activity is also an interesting team building exercise!

Often, the end result is also more specific after this exercise. Instead of simply “serve ugali” the last steps might concern what the ugali is served with, how hot to serve it, whether or not it is enjoyed, swallowed and digested. In other words, the process of strategic planning also makes the vision more vivid.

- 01.00 Feedback

When this exercise is over, have a feedback session inviting the participants to share their experiences of strategic planning. Ask them how well their plan to make ugali fits into the metrics of being specific, measurable, achievable, relevant and time bound. Ask them to loosely explain how this way of planning could be employed in the case of their own vision as an organisation. Would it be possible to start laying out these steps in a similar way? This is a question that will be more fully answered in session four.

ASSESSMENT FOR LEARNING (AFL): Take photos of the “make ugali” processes, comparing the individual, small group, and large group representations. Analyse how incrementally the participants increased their level of detail in making strategic plans. Compare this with their responses in the plenary session.

Session Two – Design Thinking

Resources: Display the **Powerpoint** entitled “Module 4 – Session 2 – Strategic Planning Using Design Thinking.”

If you do not have a projector you can create print-outs or run the session verbally.

- 00.00 Give a brief introduction to the session.

Go through the objectives of the module, linking the objectives to previous sessions on traditional strategic planning. It is important to remind the participants that this is a different approach to strategic planning.

By the end of this module, you should be able to:

- *Define Design Thinking*
- *Illustrate exactly what it involves*
- *What Design Thinking Matters or Its Value*
- *How Design Thinking Works*
- *Describe the Benefits of Design Thinking*

Go to the next slide

- 00.05 Introduce the concept of Design Thinking

Design thinking is a systematic approach to handling problems and generating new opportunities. It is an approach that is used for practical and creative problem solving. It focuses on the humans, or the people first, seeking to understand what they need and come up with effective solutions to meet those needs. Simply put, it is a solution-based approach to problem solving.

Ask the class –

What is the difference between solution based and problem based approaches?

Give the class 5 minutes to discuss with each other before you discuss with them the answer below. Go to the next slide, discuss the chart and determine whether it can be a tool used for solution-based approaches.

As the name suggests, solution-based thinking focuses on finding solutions; coming up with something constructive to effectively tackle a certain problem. This is the opposite of problem-based thinking, which tends to fixate on obstacles and limitations.

Go to the next slide.

- 00.10 The Design Thinking Process

Now that you understand what design thinking is, let us discuss the process of design thinking. The design thinking process can be described as very progressive and user-centric.

The Four Principles of Design Thinking

- **The human rule:** No matter what the context, all the strategic design activity is social in nature, and any social innovation should be focused on the people.
- **The ambiguity rule:** Ambiguity is inevitable, and it cannot be removed or oversimplified. When trying to design a strategy one must think outside and beyond the 'box'
- **The redesign rule:** All design is redesign. While technology and social circumstances may change and evolve, basic human needs remain unchanged. We essentially only redesign the means of fulfilling these needs or reaching desired outcomes.
- **The tangibility rule:** Making ideas tangible in the form of prototypes shall enable you to communicate those ideas more effectively.

- 00.20 The Five Phases of Design Thinking

Based on these four principles, the Design Thinking process can be broken down into five steps or phases, they are: Empathise, Define, Ideate, Prototype and Test. Let's explore each of these in more detail.

Phase 1: Empathise

Empathy provides the critical starting point for strategic planning using Design Thinking. The first stage of the process is spent getting to know your audience or beneficiary and understanding their wants, needs and objectives. This means observing and engaging with people in order to understand them on a psychological and emotional level.

Ask the class – *Can you give examples of who you think your beneficiary is and what they want in your community?*

Allow ten minutes for discussions in groups and with the class as a whole.

Phase 2: Define

The second stage in the Design Thinking process is dedicated to defining the problem. You'll gather all of your findings from the empathise phase and start to make sense of them: what difficulties and barriers are your beneficiaries coming up against? What patterns do you observe? What is the big user problem that your community or team needs to solve? By the end of the define phase, you should have a clear problem statement. The key here is to frame the problem from the "people's or the beneficiaries" perspective. Once you've formulated the problem into words, you can start to come up with solutions and ideas.

Ask the class – *In those same groups, please discuss what you think are the problems that are affecting your community?*

Allow ten minutes for discussions in groups and with the class as a whole.

Phase 3: Ideate

With a solid understanding of your beneficiaries and a clear problem statement in mind, it's time to start working on potential solutions. The third phase in the Design Thinking process is where creativity happens. Here you should hold brainstorming sessions with your stakeholders, beneficiaries and the community at large in order to come up with as many new angles and ideas as possible. Towards the end of the ideation phase, you'll narrow it down to a few ideas with which to move forward.

Allow ten minutes for discussions in groups and with the class as a whole.

Ask the class – *Can some of the groups share some of the ideas they have come up with?*

Take home assignment: Get the class to get actual feedback from a couple of beneficiaries in their home area and present the feedback during the next session. See if the feedback aligns with their ideas.

Phase 4: Prototype

The fourth step in the Design Thinking process is all about experimentation and turning ideas into tangible products. A prototype is basically a scaled-down version of the product which incorporates the potential solutions identified in the previous stages. This step is key in putting each solution to the test and highlighting any constraints and flaws. Throughout this stage, the proposed solutions may be accepted, improved, redesigned or rejected depending on how they are perceived.

Allow ten minutes for discussions in groups and with the class as a whole.

Ask the class – *Can some of the groups share some of the prototypes they have come up with?*

Allow the class to give substantive feedback on this and ask questions or assist to polish the ideas better.

Phase 5: Test

After prototyping comes user testing, but it's important to note that this is rarely the end of the Design Thinking process. In reality, the results of the testing phase will often lead you back to a previous step, providing the insights you need to redefine the original problem statement or to come up with new ideas you hadn't thought of before.

Ask the class - ***Is Design Thinking a linear process?***

Allow the class 5 minutes to discuss this before you move to the next slide and give the answer below, be keen to link it to the images showing the nature of the design thinking process.

No! You might look at these clearly defined steps and see a very logical sequence with a set order. However, the Design Thinking process is not linear; it is flexible and fluid, looping back and around and in on itself! With each new discovery that a certain phase brings, you'll need to rethink and redefine what you've done before — you'll never be moving in a straight line!

- 01.20 What are the benefits of Design Thinking?

As a community leader, you have a pivotal role to play in shaping the projects or ideas that your RLO has in your community. Integrating Design Thinking into your strategic planning process can add huge value, ultimately ensuring that the projects you decide to implement are not only desirable for beneficiaries, but also viable in terms of your available resources.

With that in mind, let us consider some of the main benefits of using Design Thinking at work:

- **Significantly reduces time-to-market:** *With its emphasis on solution based problem-solving, strategic planning using Design Thinking can significantly reduce the amount of time spent on design and development*
- **It saves costs:** *Getting successful projects to implementation faster in the community ultimately saves resources.*
- **Improves beneficiaries' community engagement:** *Design Thinking should ensure community engagement by focusing on the beneficiaries.*
- **Can be innovative:** *Designing your strategy using Design Thinking allows you to be innovative in your projects and allows you to be creative. It will also help you to be creative when thinking about your beneficiary.*

ASSESSMENT FOR LEARNING (AFL): Remind the class of their take home assignment and that they need to get feedback from their beneficiaries. They would need to engage with their actual communities and document the feedback. Also remind them to keep their notes and the feedback they received from their fellow participants so as to enable them to refine their strategies for the sake of having and delivering better projects and services to their respective communities.

Session Three – Blending approaches and choosing a way forward

- 00.00 Give a brief introduction to the session.

Go through the objectives of the session, linking the objectives to the previous sessions.

In this session you will compare traditional strategic planning with design thinking

You will look at how these approaches could be blended

You will settle on a way of working for your RLO

- 00.05 Pros and Cons of Different Ways of Planning

Divide the participants into groups of three or four. Ask them to compile a list of pros and cons for both traditional strategic planning and design thinking. Here are a few non-exhaustive points:

Traditional - pros	Design Thinking – pros
<p>You are able to envisage a very detailed vision</p> <p>It is therefore easier to communicate this vision</p> <p>It is possible to make a plan that starts today and ends in ten years' time with the vision achieved</p>	<p>It is very flexible</p> <p>It makes mistakes an asset because of learning, which is good because there are always mistakes</p> <p>It is very collaborative</p> <p>You might end up with a future that is even better than what you could originally envisage</p>
Traditional – cons	Design thinking -cons
<p>It might not always be possible to identify one version of a better future, or find consensus for one vision</p> <p>Once you have made a plan, it is harder to deviate from it, even if the plan isn't working</p>	<p>It is harder to communicate because you don't really know exactly where you are going</p> <p>It therefore can be harder to get support and "buy-in"</p> <p>You can't plan so far ahead</p>

In reality, the steps rarely go to plan exactly as envisaged	
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- 00.20 Ask the group to feedback their responses.

One way of planning might have more pros and fewer cons than the other. This might give you an idea of which way of planning the group feels more confident with. Maybe you will pick this up from the tone of how they discuss each way of working.

- 00.25 Although different, both approaches do have a lot of similarities as well. Ask the group if they can highlight those similarities?

- *They are both designed to produce measurable changes*
- *They are both designed to be people orientated and make a lasting difference to the community*
- *They are both based on logic, just different processes*

Can it be possible to merge both ways of thinking?

Two ways you could possibly merge the two approaches:

1. You could use the process of traditional strategic planning, while benefiting from some of the principles of design thinking. For example, could you create a range of creative ideas at each step? Could each step of a strategic plan have community feedback built into it?
2. You could make a traditional strategic plan with multiple steps. Then you could switch to the process of design thinking as you try and get to that step. While you are prototyping and testing solutions to get to that step, you could build in mechanisms for redesigning your longer-term plan based on the feedback. For example, instead of moving on to the next step once you feel you have completed one step, use that milestone as an opportunity to redesign your long term plan, and even redefine your vision.

Discuss these ideas with the group and try to get a sense for where they feel most comfortable.

- **00.40 Encourage the group to make a commitment as to how they intend to conduct their strategic planning.**

What does it mean to them to ideate creative ideas? To engage community feedback? To test and prototype? To assess and re-strategise? This conversation could be a warm up to the next session when they start the actual process of strategic planning.

Session Four – Strategic Planning Workshop (optional)

The group should now have the skills necessary to start strategic planning. For their work to be sustainable, they should be able to plan *without* your regular presence. However, they may request you to join them for their first session. While you are away encourage them to continue strategic planning so that their own plan is developing as this course progresses.

ASSESSMENT FOR LEARNING (AFL): During this process, if the group put any of their planning down on paper, ask them to share it with you so that you can assess their capacity to plan strategically, and plan any necessary recap sessions. Later in the course, they may want to put their strategic plan down on paper in a way that can be shared with external supporters but that does not need to happen now.

Module 5: Resource Mapping

Introduction to Module Five

On-going strategic planning will get easier when the group has completed some of the subsequent modules. In this module the group will look at the resources they already have. In the first session they will look at the resources in their group, focusing on the experience, talents and motivations they bring as individuals and as a whole. In session two, the group will look at the resources available in their immediate community. This module is not about fundraising which will come up later. Session three considers how the group can tap into these existing resources to add to their strategy and achieve their vision.

Session One – Resources Existing in the Group

Resources: Display the **Powerpoint** entitled “Module 5 – Session 1 – Resource Mapping – Resources Existing in the Group.”

If you do not have a projector you can create print-outs or run the session verbally.

- 00.00 Give a brief introduction to the session.

Go through the objectives of the module, linking the objectives to the definition of resource mapping.

In this module, we will look at resource mapping. By the end of this module, you should be able to:

- *Define Resource Mapping*
- *Look at the resources available in your group*
- *What resources do you bring in as a group*

Go to the next slide

- 00.05 Introduce the concept of Resource Mapping.

Allow five minutes for each of the discussions below.

Ask the class – *Can anyone define what they think a resource is?*

A resource is a stock of materials, staff, money or other assets that can be used by a person or organisation in order to function effectively.

Ask the class – *Can anyone define what resource mapping is?*

Resource mapping is the process of aligning resources available to a group towards a specific strategy, goal or expected outcome. When you map your resources, you are able to make better decisions about how to achieve your goals. With a resource map, you can have greater insight to what is available for you and your community, effectively decide how to distribute your resources, as well as keep track of their usage.

Ask the class – *What are the benefits of resource mapping?*

Go to the next slide

Some of the benefits of resource mapping can help communities to accomplish a number of goals, including:

- Identifying new resources;
- Insuring that all youth have access to the resources they need;
- Avoiding duplication of services and resources;
- Cultivating new partnerships and relationships;
- Providing information across agencies that work with youth; and
- Encouraging collaboration.

- 00.20 Go to the next slide

How to Look at the Resources Available to Your Group

Step 1: Create a Map

Divide the class into groups of five people and facilitate the following activities. Provide each group with a piece of flip chart paper and a marker pen to illustrate. Allow 15 minutes for each of the discussions and activities.

How can we look at and identify the resources available in our respective group? In groups, construct a map illustrating the main natural and physical resources of the area. You can use a flipchart and/or other materials to represent the different resources available in that area and their distribution in the map.

This exercise encourages effective participation and participants are able to make as many corrections as they need to. After an agreement has been reached on a first sketch as a good representation of the project site, participant representatives can then transfer it on a clean flip chart.

Step 2: Discuss with the Class

In each of the groups, have them discuss the following questions.

1. Who has access to which areas and the resources described on the map?
2. Who does not benefit from rights to access resources in particular areas of the map? why? (Indicate restrictions/barriers).
3. What rights, if any, apply in the area?
4. What resources are managed under a legal contract? By whom?
5. What regulations apply in what areas?
6. Are any resources depleting? Finishing?
7. What livelihoods depend on what resources?
8. What conflicts are there on natural resources?
9. How do we contribute to the resources in the area?
10. What resources are under our control?
11. Can we leverage partnerships to attain more resources?

Step 3: Uses and Benefits Analysis

Working in the same groups, ask the class to discuss how their beneficiaries would use the resources mapped and how they benefit from them. Use the following questions as a guide:

1. What resources in the map are used to satisfy your needs (resources that benefit you)? List the resources and the satisfied needs using a table on a flipchart (Remember needs can be direct and indirect).
2. Describe the resource in terms of abundance, seasonality (if natural resources) and/or functionality (if physical resources).
3. How do you use the resources?

Ask the class to divide up the resources discussed into the table below:

Resources	Abundance	Accessibility	Seasonality	Functionality	Direct and Indirect Benefits

Abundance: 1 very rare, 2 few, 3 some, 4 abundant, 5 very abundant

Accessibility: 1 difficult to access, 2 relatively easy to access, 3 very easy to access

Benefits: The participants list some direct and indirect benefits from the natural resources, such as their use for food, trade, health care, and mobility

- 01:20 Assessment for Learning (AFL)

During this community mapping process, take pictures of the maps created and of the discussions. Get each group to go round the class evaluating each other's maps comparing their understanding of their environment and the resources available to each of them

Session Two – Existing Resources in the Community

Resources: Display the **Powerpoint** entitled “Module 5 – Session 2 – Resource Mapping –Existing Resources in the Community ”

If you do not have a projector you can create print-outs or run the session verbally.

- 00.00 Give a brief introduction to the session.

Go through the objectives of the module, linking the objectives to the definition of resource mapping and the previous session. Also give a recap of Module One, Session one on Understanding your community, it will help to recap the key points from that module as the participants discuss their existing resources.

In this module, we will look at the existing resources in each of your communities. By the end of this module, you should be able to:

- *Identify the Existing Resources in Your Community*

Go to the next slide

- 00.05 Introduce the concept of how to identify existing resources in your community.

Ask the class – *Now if you could all look at your own community, picture your environment, and try to visualise, what do you believe are the resources you can use. Take five minutes to reflect on your own.*

- 00.10 Now get into groups of five and take turns discussing each of your resources.

Make sure to ask why one person chose one thing over the other. What they feel is the most important resource to them and why is that so?

Some of the resources can be:

- It can be a *person* -- Participants can be empowered to realize and use their abilities to build and transform the community. The local community leader who organises a meeting to address a problem they are facing and so on.

- It can be a *physical structure or place* -- a home, school, hospital, church, library, recreation centre, or a field. It might also be an unused building that could house a community space that is ideal for meetings. Or it might be a public place that already belongs to the community.
- It can be a *community or local organisation service* that makes life better for some or all community members - public transportation, shared community facilities, cultural organisation.
- It can be a business opportunity that provides jobs and supports the local economy.

You and everyone else in your community are potential community resources. Everyone has some skills or talents, and everyone can provide knowledge about the community, connections to the people they know, and the kind of support that every effort needs - making phone calls, taking initiatives, giving people information, moving equipment or supplies - whatever needs doing. This suggests that everyone in the community can be a force for community improvement if only we knew what their resources were, and could put them to effective use.

- 01:00 Discuss in your groups why you feel that we as community leaders should identify existing community resources?

Allow ten minutes for discussion and within that time allow some groups to share with the entire class their findings.

Some of the reasons can be:

- They can be used as a foundation for community improvement.
- External resources from NGOs or donors may not be available. Therefore, the resources for change must come from within each community.
- Identifying and mobilizing community assets enables community residents to gain control over their lives.
- Improvement efforts are more effective, and longer-lasting, when community members dedicate their time and talents to changes they desire.
- You can't fully understand the community without identifying its assets. Knowing the community's strengths makes it easier to understand what kinds of programs or initiatives might be possible to address the community's needs.
- When efforts are planned on the strengths of the community, people are likely to feel more positive about them, and to believe they can succeed. It's a lot easier to gain community support for an effort that emphasizes the positive - "We have the resources within our community to deal with this, and we can do it!" - than one that stresses how large a problem is and how difficult it is to solve.

ASSESSMENT FOR LEARNING (AFL): During this process of getting the community leaders to identify their existing resources available to them make sure you encourage each

community group to speak and talk about what resources they have available to them and get the class to give feedback of how realistic they are, take pictures of the discussions.

Session Three – Exploiting Existing Resources

Resources: Display the **Powerpoint** entitled “Module 5 – Session 3 – Resource Mapping – Exploiting Existing Resources ”

If you do not have a projector you can create print-outs or run the session verbally.

- 00.00 Give a brief introduction to the session.

Go through the objectives of the module, linking the objectives to the definition of resource mapping and the previous session. Get the participants to give a short recap on the previous sessions. It would be helpful to also give a short recap session on module four on strategic planning.

In this module, we will look at how exactly we can exploit or fully utilise existing resources in each of your communities. By the end of this module, you should be able to:

- *Identify and align your existing resources to your strategy*
- *Exploit your resources to achieve your goals*

Go to the next slide

- 00.05 Introduce the concept of aligning your resources to your strategy

Now that you’ve established a clear direction and the road map to get there, you and your team are ready to align the strategy to resources, you align resources to the strategy. Accomplishing this task can be simple or complex, depending on how detailed you want to get.

The simple approach is to review your goals and objectives and look for any areas where you need additional resources to successfully accomplish the activity.

Ask the class –

- *Do you have your resources aligned to your goals and objectives?*
- *Do we have the right people to achieve these goals and objectives?*

- *What are your engagement or communication methods with your beneficiaries or community?*

Allow the class to get into groups and discuss the questions above together. Allow ten minutes for discussion and get each group to present their ideas for five minutes each.

- **00.30 Discuss with the class some key tips on how they can best exploit their existing resources by aligning them to their strategies in ways that work.**

Key Tips on How to Align Your Resources to Your Strategies

Set realistic expectations

First, understand that you as the Community leader or Refugee-Led organisation thus far have developed the skills to understand your community, identify its problems and come up with solutions on how best to solve those problems. Sometimes, you may find that some projects you want to accomplish are not aligned with the overall strategy so from the beginning, you need to have a thorough understanding of what that strategy or that goal is.

Consult key stakeholders

This is important because each key stakeholder or beneficiary you intend to work with will have an opinion or an idea for why a project was taken on and why it is important. From this information, you can learn things about how to effectively take on the project you intend to achieve, which will help you better understand where or why the project fits into the strategy at the current moment.

Remember: change happens

A community is a living entity. A famous boxer once said something to the effect of “everyone has a strategy until they get punched in the mouth.” The same idea applies to your organisation’s strategy. It is great and perfect until its first engagement with the real world. So you have to be prepared and understand that your community development projects and strategy are living entities that will grow and change as they engage with the world. This can be either a positive event or a negative event; you must be able to adapt and to adjust to fit into this.

It’s okay to stop and start again

Finally, the most important thing to remember maybe, it is okay to stop projects. The idea of trying to save a sunk cost can really trip up an organisation. No matter how rational it is to stop throwing good money after bad on a project that is misaligned or so far off track that there is never anyway that value will be captured from the project, many organisations become so stuck on a single idea that they continue to make every effort to recoup something from the project but end up going on heavy losses that seriously affect them. To more effectively align your resources to your strategy you have to come to the realization

pretty quickly that it is not just okay, but required that in case something is not working, you can stop, start again and this time align your resources in the right place.

Activity

Divide the class into groups and get them to discuss the following questions:

How can resource mapping help with strategic planning?

Are strategies to be formed and resources available related?

How can one make a sustainable strategy using the tools discussed in the resource mapping sessions?

Finally, get the class to share ideas on the questions above and get their feedback from the group in general.

ASSESSMENT FOR LEARNING (AFL): During these discussions try and make the sessions as interactive as possible, encourage the participants to really think realistically about the strategies they choose in module four and now realistically align what they have and what is available to them for their intended community development projects. Encourage them to talk amongst themselves, their beneficiaries and stakeholders, putting down the feedback where they can on paper so as to document the journey.

Module 6: Leadership

Introduction to the module

In this module, the RLO management will look at different forms of leadership, different attributes of leadership and different motives around leadership. The objective of this module is to promote a form of leadership that is not only the most genuine, but also the most effective and long lasting – leadership through service. By leading through service, inspired by empathy, solidarity and compassion, the RLO leaders will unite the community towards a common vision.

Session one will look at the concept of leading through service, while session two focuses on leading peers. Session three enables the participants to look more closely at leadership attributes needed for day to day leadership.

Session One: Community Leadership – Why Lead?

Resources: Display the **PowerPoint** entitled “Module –Leadership” to your participants. If you do not have a projector you can create print-outs or run the session verbally. You will also need a print-out of the worksheet – “five words most closely associated with leadership”

00.00 What is Leadership?

Ask the participants to circle **only** five words or phrases that they would associate with leadership. There are 14 words/phrases so they need to prioritise. Ask them to write their name on the document as you will be returning to these at the end of session three.

00.05 Discuss the objectives of the module with them (5 mins):

In this module you will learn about different forms of leadership

You will explore deeply the concept of leading through service

You will learn attributes for leading your peers as well as focusing on day to day leadership attributes

00.10 By setting up this group you are taking on the role of community leaders – WHY?

Ask the group to discuss this question

Prompting questions from the slide:

Why are you doing *this*?

Why are **you** doing *this*?

Why are you doing **this**?

Have a 15 minute discussion about why the participants feel they should take on this challenge of leadership. Your responses may revolve around:

- We are committed to our community members, to bringing about positive change for them
- We have a clear vision for the community that we have been able to define and communicate
- We believe in our vision, others do not yet believe in it
- The vision is there, but we need people to kickstart it, someone has to take action, catalyse
- We have the skills, the good faith and the confidence to bring the community with us.

If they don't, try to use these bullet points to provoke discussion.

00.25 - Show the slide with the following prompts

People Centred Leadership

Otherwise known as Leading to Serve

Who are you leading?

Ask the group whether they know the people they are leading?

Let the group stop and think for a few minutes.

You are leading people with unique lives who all have a story to tell. Think of two people in this community with unique stories. Be prepared to share the stories (maybe anonymising the individuals).

Allow the group to share the stories. There do not need to be any themes drawn from the stories, they exist purely to show the humanity of the people in their community.

00.35 The next slide shares the following insights which you can reflect on.

Leadership through service is the most effective and the most natural form of leadership.

Service Leadership Depends on Empathy.

Empathy, Solidarity, Compassion.

The next slide is designed to be informative, so you can read through the three short paragraphs with the group.

Cognitive empathy is the ability to understand how a person feels and what they might be thinking. Cognitive empathy makes us better communicators, because it helps us relay information in a way that best reaches the other person.

Emotional empathy is the ability to share the feelings of another person. Some have described it as "your pain in my heart." This type of empathy helps you build emotional connections with others. This can also be described as solidarity.

Compassionate empathy goes beyond simply understanding others and sharing their feelings: it actually moves us to take action, to help however we can.

This level of empathy will spur a leader who wants to serve into action.

00.40 In this section, go into more detail on each of the three aspects of empathy.

Cognitive Empathy – Discuss with the group

What is needed to understand how a person feels and what they are experiencing?

- *Ability to listen*
- *Check your biases and prejudices*
- *Take time to engage with others*

Emotional Empathy – Solidarity

This level of empathy goes beyond understanding how someone feels to sharing how they feel. Can you think of any examples where you have felt something in solidarity with someone in your community? Share examples.

Solidarity is not just about sharing emotions with others, but also being accessible to them. To be accessible you need to open up to the possibility of learning from them, or being guided, even led, by them.

Compassion

Compassion harnesses empathy and solidarity and moves us to take action.

Compassion is an emotional response that is only possible if you are present to another person, or people and their situation.

Compassion can come with a price – it can be disturbing to really feel what others feel and involve yourself in their lives

Compassion may not only be triggered by experiencing someone's suffering, but compassion is also a part of sharing other people's hopes and dreams.

01:00 Take-away task:

Instruct the group on the following activity:

Go out into the community and listen to people. Meet a minimum of two people before the next session and let them open up to you about what they would like to see differently. Allow yourself to feel empathy and compassion for their situation. A few prompts to help you listen mindfully:

- *Don't tell them why you are doing this exercise, other than that you just want to listen to them*
- *Put aside distractions*
- *Ask open ended questions (not leading questions)*
- *Be conscious of what they are saying and do not interrupt.*
- *Give them time to speak openly without feeling awkward*
- *Encourage your respondent to tell you more*
- *Pay attention to the other person's tone and body language*
- *Notice your emotional responses to what is said as they arise*

After you have had these discussions, think about how you empathise with the person you were talking to. Do you feel solidarity with them? Do you think they are aware, or believe that you feel solidarity or compassion for them and their life situation?

Session Two: Feedback and Leading Peers

Resources: Display the **PowerPoint** entitled “Module –Leadership” to your participants. If you do not have a projector you can create print-outs or run the session verbally. You will also need a large manilla paper and pens.

00.00 Ask the group to give feedback on their discussions.

Did listening mindfully to people in their community help them to feel empathy, solidarity and compassion for the people in their community? Does that compassion spur them into action to make changes? To what extent does this provide the motivation for them to lead? Did the people they spoke to feel in solidarity with *them*? If not, what are some of the barriers to that solidarity? *Answers could include:*

- *Coming from a different community*
- *Coming from a different demographic such as age, gender etc*
- *There is too much of a difference between the challenges the two of you face. For example, the RLO leader might be much better off materially than the community member and this might create a division between them in the conversation.*

00.15 How can these barriers be overcome?

No matter the barriers, it should be possible for most people to believe you care about their lives and the challenges they face. In the end it comes down to their trust in you as leaders and your motives for leading. If you show that you are driven by compassion eventually they will believe that. Leading effectively will be easy when there is a mutual sense of solidarity between the community members and the community leaders.

00.30 Leading Peers – Leadership within the management committee

Is leading with empathy, solidarity and compassion relevant when leading your peers?

Yes!

Ask the group to share examples of good leadership attributes they would like to see exemplified within their group. Allow an open discussion. A whole load of examples may come through such as leading by example, leading with compassion, taking responsibility,

visionary leadership, charismatic leadership, values-based, good communication, strategic leadership and others.

Ask the group to share examples of bad leadership that they would like to avoid. Examples might be autocratic leadership, do-what-I-say-not-what-I-do, leadership based on hierarchy and positions, leadership based on fear, absent leaders, risk averse leadership, undemocratic leadership, split leadership, leadership that places too much pressure on one individual.

00.45 The RLO leadership charter

Ask the group to write the leadership attributes they would like to see on one side of a Manila Paper and the attributes they would like to avoid on the other side. This will later be used as a commitment by the management committee that can be attached as an annex to their governing documents.

Session Three – Drilling Down on Day-to-Day Leadership Attributes

Resources: Display the **PowerPoint** entitled “Module –Leadership” to your participants. If you do not have a projector you can create print-outs or run the session verbally. You will also need the print out on “leadership attributes” ideally one copy per participant. You may choose to print out some of the individual paragraphs on leadership attributes as well.

00.00 Discuss the objectives of the session with them:

In this session you will focus on day to day leadership attributes

You will have the chance to reflect on which attributes you would like to improve on

00.05 Hand out the worksheet on leadership attributes.

Ask the group what each attribute means to them and to fill in the boxes for each attribute.

Some resources for this section:

(On Inspiring Better Implementation)

*The way to assess whether the radical changes are due to your intervention is to ask yourself the following question. If your colleagues could pinpoint how you have left your footprint on your department what would they say? If the answers are very mundane then it is likely that you are doing what you think is expected of you rather than **owning** your programme and setting your own targets. For example, if the answer is that you have re-indexed the filing cabinet, or designed some nice business cards for your team, then it is likely that someone else is doing your creative thinking for you. If the answer is that the strategy for your department has been realigned to fit with the long term vision of the organisation and there has been a thorough overhaul of how the strategy is implemented – because of you – then you are on the right track. Every department in an organisation from business development, to communications, finance, HR, logistics, and programme departments can increase its relevance in the strategic plan for the organisation as a whole and there is no one stopping you from bringing that innovation.*

(On taking responsibility)

Taking responsibility is about owning both successes and challenges. This means avoiding blaming other people when things go wrong. When you blame someone for something you are effectively stating that you are not able to lead in the situation and rectify the problem.

Blaming people does not solve the problem and usually the person you are blaming did not mean to make a mistake. But taking responsibility also means you can point to successes when they come and go on to share with others the secrets of those successes. On a practical level, taking responsibility also means going beyond the limits of your “job description” or role and helping out your fellow team members when they need help, without any expectation of being “paid back” for it. Overall you should be willing and ready to put in more than your fair share and do more than you will ever expect to be recognised for. If everyone does this you have a very happy team!

(On establishing a safe, transparent and honest working environment)

It is important as a leader that your organisation complies within the rules and laws that have been made in your area or country. Aside from keeping you out of trouble, this is also a part of leading by example and shows that you fit legitimately within the bigger picture of your state or nation. But to keep your staff and participants safe you may need to go beyond the laws and regulations and set up your own policies designed to protect them in your specific line of work. And feeling safe is not the only aspect of a welcoming working environment. Staff and participants should feel emotionally and socially supported. Again you will have to lead by example on this, because if you are not interested in sustaining a positive working environment, others won't be either. It also means being aware of the dynamics within your team and taking steps to promote good relationships.

00.25 Ask the group to form pairs and discuss each attribute and think about what they could do differently to meet each attribute target.

00.35 After hearing some feedback on the previous session, ask the group to reflect on which leadership attributes they should collectively work on as a management committee.

00.45 Find the leadership charter and ask the group if they would like to add or subtract commitments on the charter based on this session.

00.55 ASSESSMENT FOR LEARNING (AFL):

Return to the first exercise in this module, the print-out asking participants to circle the five words that they most closely associated with leadership. Ask them to carry out the exercise again with a different coloured pen. They should make a ‘key’ that shows which colour they used before and which colour they used after.

01:00 Request that the participants turn the paper over and answer this question on the back.

If your five words have changed, WHY have they changed? Has your view on leadership changed during the course of this module?

01.05 Ask one of the students if you can take a picture of their worksheet, to show the difference between the before and after. Give time for any further discussion or questions.

Modules 7: Governance

Introduction to the module

In this module, the RLO management will pick up from the previous module on Leadership and put it into practice by understanding what governance is and why it is important to have good governance practices in their organisations. The objective of this module is to get the RLOs to evaluate their current governance practices and improve them. They shall also discuss in detail different governance structures they could adopt and how to make them effective. They shall also get to assess their existing constitutions, section by section, understanding and evaluating the importance of each and how they can put the statements into everyday practice. They will also be learning how to ensure their governance contributes to the sustainability of their organisation.

Session One – Understanding Governance

Resources: Display the **PowerPoint** entitled “*Understanding Governance*” to your participants. If you do not have a projector you can create print-outs or run the session verbally.

00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn how to understand the meaning of governance

You will learn the importance of governance for RLOs

You will also learn some basic guidelines for governance and power

You will also learn the importance of having an effective decision making process

00.05 Introduce some of the aspects that define a governance, using the **next slide**

Ask the participants.

What is Governance?

Allow for some responses before aligning them to the definition below.

Governance is a set of rules, values, practices and processes by which an organisation is directed and controlled. Governance is a system by which your RLO can be directed and controlled. It is concerned with the structures around your RLOs day to day activities as well as the processes in place for decision making, accountability, control and the general behaviour of the team at the top. Good governance can be seen through positive outcomes of your organisation.

Better yet, governance can be defined as the combination of your RLOs policies, systems and structures that together with a strategic and operational framework aligns your organisation's leadership to take actions so that they can make effective decisions and be held accountable.

Instruct a participant to read the case study below. Allow five minutes for the reading.

Case study of the 'Community for Change AIDS Project'

Two neighbours who had children who had died of HIV and AIDS related illnesses within the same year decided to do something to help other parents. They felt that if only they as parents had been more involved in their children's lives, things would have been different and now they thought they had an opportunity to impact and hopefully save many lives amongst the youth. They thought one of the main problems African youth face is the cultural barriers that hinder parents from speaking openly to their children about safer sexual practices, or youth who are sexually active being secretive about their sexuality are all factors that are contributing negatively to the spread of HIV and AIDS.

They decided as parents they will come together to create awareness programs that will teach youth safer sexual practices as well as break the stigma around sex, speaking about sex and having healthy sexual habits. One of the two parents had a house that had room for training. They started with the children from their neighbourhood and soon their information sessions attracted a number of youth and parents from the different areas. As their training programs became more frequent, a number of people within the community who were affected by the impact of HIV and AIDS felt they needed to be involved with this project and soon the two parents had eight volunteers.

Their services soon became very popular and they were invited to many other communities, churches and schools to conduct their talks. One day the project volunteers and leaders sat down and discussed the way forward for their project. They realized that the community was demanding more from them and that they had to make some decisions. The costs attached to their training had been money from donations from good Samaritans as well as money from their own pockets. All these sources were now no longer enough. They had heard that if they wanted to get funding to expand their activities, they would have to be registered with the government.

They decided to try and become a formal structure and to call themselves the 'Community for Change AIDS Project'. The two parents who founded the organisation became part of the Board and some of the regular volunteers were also recruited to be part of the Board. This meant that they were no longer workers in their project and had to allow others to take over their day to day work. Creating more structure in the organisation also meant that they needed to have a Manager to take over the running of the organisation while the board became less active in the daily activities of the organisation but more in the strategic direction of the organisation. This was a very difficult time for the organisation as the two founders were very passionate about their work, having started the organisation.

The organisation was nearly divided as the manager came in with her own ideas on running the activities which made the founders often upset and interfering with their work. The board was not always happy as they felt their project was changing unnecessarily. They then decided to come up with clear rules and guidelines that would help facilitate the new direction and although this phase was difficult, at the end of it the organisation became stronger and was able to position itself for more funding to achieve greater impact.

00.10 Request feedback and have an open discussion based on their responses to the story

Try to facilitate an open discussion. Guide the participants to point out the following statements as they also reflect on their own experiences in their own organisations. Some of these are recaps from previous sessions, try and keep the discussions to one example each to save on the time spent.

- How and why the parents came together – their problem
- What they aimed to do – their vision
- How they started and operated
- Why they decided to formalise their activities
- How did they formalize?
- What challenges did they have?

00.20 Go to the **next slide and discuss the following.**

What is the importance of Governance?

Allow a couple of responses from the group before giving the responses in the bullet points.

It is important for organisations to adopt good governance practices because it:

Preserves and strengthens the confidence of members of your organisation: It gives members the trust and enables them to support the efforts of your organisation more.

It is the foundation of a high performing organisation: Just like the example above, good governance is important because it enables an organisation to achieve its goals as achieving that goal requires input and support from various levels of an organisation. A higher level of accountability provides the framework for planning, implementation and monitoring the performance of those goals.

Ensures the organisation is well placed to respond to their growing needs: In order to better be able to handle your community's growing needs, an organisation must adapt a suitable governance structure.

Can you think of why adapting a governance structure is important for your organisation?

Allow a few responses before moving on.

Many RLOs such as the case study above emerge to address a problem in a community and sometimes may operate for many years in an informal and unstructured way. RLOs such as these are important because they come together to fill the gap between the needs of their immediate communities and the services that the government is unable to provide. It is the work of many small, dedicated groups of people such as these who are passionate about their causes that bring about change within various communities.

Many RLOs can sometimes because of how they came about, be very informal in the way they operate and in their structure. By informal we mean the organisations have never fully either operated under defined rules or guidelines that control the way they operate. This however does not mean that it is a must for every RLO to adopt a more formal structure; this is just in the case that that formalisation, such as the case study above, shall go towards their own development. For most RLOs if they are functioning well as they are without any formalisation, they may just choose to remain that way. However, sometimes under-pressure from the growing need in their community and in order to gain more credibility or the desire to get financial support from funders who expect certain structures, then these RLOs may choose to organise themselves in a more formal way.

Like the case study above, if you felt like your structure was limiting your growth, then you decided what kind of organisations you wanted to become (by adopting the legal structure of a RLO), then you developed the rules and procedures for how the 'formal' organisation will be run (by creating a constitution), then you selected a group of people who will oversee and guide the organisation (by electing a governing body), and then ensure that there are people to do the work (by appointing a management team to run the day to day work activities). It is important as a facilitator not to dictate any one structure to these organisations that have often been functioning in an autonomous way for many years, but to suggest options (and why this could be beneficial) and to educate on those areas that are legally required. Many of the suggested structures and approaches covered in the learner's guide can be adapted to suit differing organisations and environments.

0.40 Go to the next slide and ask the following question.

What is power? Do you think that adapting a governance structure makes you lose power?

Allow some answers from the group, direct answers from particular members of the group so as to get different perspectives on the answer such as:

- Founding members
- Members of the organisation
- Management teams
- Day to day workers of the organisation

Give only five minutes for the discussion and move on.

Power is the capacity of an individual to influence the behavior of an organisation. The reason the concept of power is important when discussing governance is to understand that governance serves as a form of decentralising power within an organisation by instituting controls that help make an organisation more efficient and ultimately work better.

It is important to note that some structures can be counterproductive in that they may slow down the effectiveness of an organisation. This is where it is important for your organisation to carefully map out a set of rules and principles that help determine everyone's roles and clearly stipulate what power(s) are acceptable.

0:50 Before going to the next slide and ask the following questions:

Can anyone tell us who makes major decisions in your organisation?

What do you think constitutes a major decision in your company?

Allow for some answers from the session, you can prompt some responses such as:

What is the meaning of a decision? Can a major decision be...?

- *Attending this capacity strengthening session?*
- *Partnering with an organisation?*
- *Allocating financial resources to specific activities?*
- *Making the activity plans for the next year?*

Allow for some answers from the session, before asking the follow up question below:

- *When the person(s) you have mentioned have made a major decision in the organisation, is there anyone who holds them accountable to ensure that the decision gets done?*

- *Is there anyone who holds the entire RLO accountable for any of their activities and how they have managed their resources throughout the year?*
- *Are there times when you have mapped out a specific plan, come up with a budget but did not manage to execute the plans as intended? What happened?*
- *Do you think having such a person(s) will help your organisation?*

Allow for some answers from the session, before going to the next slide.

A decision maker is a person who is responsible for resolving an issue, or responsible for having the final say on a major matter within an organisation. The person(s) are usually in charge of resources, activities and people.

Making good decisions is a skill that must be learned. Some decisions may be easy but others may be hard. Some of the hard decisions in the organisation that require a lot of resources require more evaluation and more transparency.

Like the case study, the decision they made to register their organisation and distribute their organisation into a board, a management team and people who do the day to day activities required a consensus from the entire team, not just the founders. That being said, when the decision was made, the founders were appointed into different roles than their day to day management jobs and they found it very difficult to not get involved with the day to day issues.

Sometimes, just like in the case study, some levels may want to get involved in other levels, this is why it helps to have a document that regulates the different roles such as a constitution. This helps at every level understand their roles and the limitations and scope of those roles. We shall discuss this in another session.

1:10 Go to the next slide and organise the group in the following activity. Divide the group into even groups.

ASSESSMENT FOR LEARNING (AFL): Ask the participants to think about their organisation's governance structure and the distribution of power within their organisations. Have each group discuss every individual in the group's role and what powers are associated with each role. Also, ask them to discuss who is charged with any governance within their organisation, do they know what those roles are, who is to perform them and what is expected of them?

Allow twenty minutes for discussion above. After this, allow one founder or one member to present their answers and allow other members to add on or adjust the presentations. Give ten more minutes for this.

Session Two – Common Board Governance Models that Can Be Used by an RLO

Resources: Display the **PowerPoint** entitled “Common Governance Models that Can Be Used by an RLO” to your participants. If you do not have a projector you can create print-outs or run the session verbally.

00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn how to understand the meaning of a board governance model

You will discuss within a models of governance, a board and the common types of boards and their roles

00.05 Introduce some of the aspects that define a board governance model, using the **next slide**

Ask the participants.

What is a Governance model?

Allow for some responses before aligning them to the definitions below.

A governance model is a framework that describes how the organisation makes decisions, outlines the roles and responsibilities of each entity. It is important for RLOs to agree to work with a specific model that suits your unique characteristics and suits your capabilities and activities well.

From the definition of governance from the previous module, a governance model can also refer to how your RLOs policies, systems and structures interface with each other and where the responsibilities lie.

As a RLO, there are different types of governance models that you can adopt; however, you must make sure that they are suitable for your requirements as an organisation. For instance, one must find a suitable model that allows your RLO policies, systems and structures to interact effectively with each other and with the organisation. Furthermore, it must outline specifically whether the responsibility for that interaction lies with the board as a whole, or with the individual board members.

It is important to note that board governance models for nonprofit and for-profit organisations are different. Many board governance models can be used for either non-profit or for-profit entities, but some of the governance models may have to be amended to suit the needs of your organisation; however, some models are more appropriate for non-profit organisations, while other models are more appropriate for for-profit organisations. It is common for an organisation to form a combination of board governance models that caters to the features of the organisation and the composition of the board. This must be specified in the constitution.

00.10 Before moving to the next slide allow for a discussion on the points above while also asking if anything needs to be clarified further.

Ask the participants.

What is a Board?

Allow for some responses.

00.12 Go to the next slide:

A board is a group of people elected as directors of an organisation to provide oversight functions over various aspects of an organisation. A board member is an elected participant tasked with the roles of providing oversight over certain management functions and leadership for an organisation. They serve as agents of the owners or founders of an organisation and are obligated to look out for the safety and soundness of an organisation. There are several common types of boards each having distinguishing characteristics:

Collective Board: *A collective board is a group of people with a shared focus or purpose. They make decisions collectively and each individual represents themselves and their own interests within the organisation.*

Governing Boards: *This type of board leads the organisation using authority to direct and control policies provided by the owners and the legal act of formation. They set the initial direction and have the full authority to act in the owners' or founders best interests. Governing boards function at arm's length from the day to day operations of the organisation. They focus on the big picture, future-oriented and act as a single entity.*

Working Boards: *This is a board that leads the organisation but are also active day to day staff members of an organisation. These are common in RLOs. Working boards often get caught up in day to day operational project management and sometimes set aside the governing function.*

Advisory Boards: *This type of a board serves to provide insight and perspective to the CEO or leader of the organisation. An advisory board typically does not have authority of its own but works to educate the management team on particular areas of operation.*

Managing Boards/Executive Boards: *This type of Board is formed by a group of people who actually manage the operations as a collective group (instead of a single CEO). They are not the same as a governing board but may work under one. They make the day to day decisions of what gets done and the long term decisions about how to organize operations to achieve the organisation's purpose.*

Fundraising Boards: *This type of board is often only a "board" in its name alone; its real purpose is to use its members' connections and influence to raise funds and resources for the organisation.*

Policy board: *A policy board is any board, typically a governing board, that directs operations by developing policies which guide operational decisions rather than making the actual yes or no decision themselves. The CEO with their management team is then expected to carry out all policies.*

00:40 Before going to the next slide and ask the following questions:

Can anyone tell us which Board they believe is best and why they think it is best?

What type of Board is currently in operation in your RLO?

What do you think are the main roles of your Board? Or What Do you think Should be their Main Roles?

Allow for some answers from the participants then go to the next slide.

A board has nine basic responsibilities:

Hiring

- Senior most executive running the organisation such as a CEO*

Support

- Day to day guidance for the CEO*
- Evaluate performance of the CEO

Vision and Strategy

- Determine and advise strategic direction

Planning

- Ensure effective organisational planning

Resource mapping

- Assure availability of resources and protection of assets.

Management Oversight

- Maintain oversight of programs and services

Public Relations

- Enhance public image

Accountability

- Assure legal and ethical behavior and accountability

Capacity

- Build governance capacity and evaluate the board's own performance

Which of the nine tasks above would you believe are the main or the most important tasks that a board should have?

Give the participants five minutes to discuss amongst themselves, and then allow for some answers from the groups.

00:50 Go to the next slide.

Ideally, over and above the nine tasks above, the board's main tasks should be direct oversight over the management team, ensuring there is proper management of financial resources and finally ensuring the organisation has a sound strategy and is on track to achieving its vision.



A board must ensure they spend enough time on each of the categories above. In the case study in the previous session, we saw the founders of the Community for Change AIDS Project, as Board members get heavily involved in management activities, this can be a huge distraction for a board member and should be immediately resolved. In such a situation having a constitution to regulate the roles of board members can be helpful. Ideally the board should only interact constantly with the senior most members of the team.

The board should be particularly responsible for the careful and prudent use of money within an organisation. In order to do it, the board should determine or approve financial policies that the management team must follow. Most importantly, the board should help develop and approve the annual budget. This is a significant responsibility because approving the annual budget has an effect on all other priorities within the organisation. It is important that the approval is done by no one else—not even the management or finance committees. Furthermore, they should oversee the operating budget, making sure the organisation is running as per its plans. The management team should send them financial and accounting balance sheets and reports. This ensures that everybody is up to date on the financial situation and changes can be made if necessary. Lastly, the board members as a whole should be insistent upon an annual audit for the organisation. If possible, this should be done by an independent auditor.

Additionally, the Board should make efforts towards providing resources for the RLO to run, however, this will be dependent on the individual board members and their ability to interact, attract and influence donations from various partners. They can set fundraising goals with the CEO and formulate strategies to ensure they have the funds and resources necessary to operate effectively.

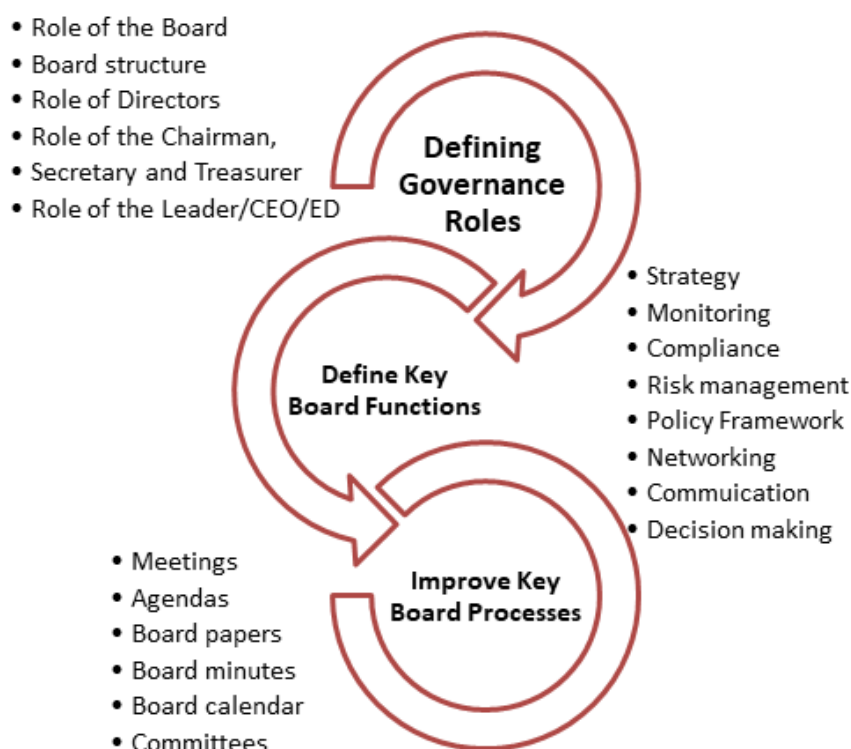
Finally the Board is responsible for ensuring the RLO has enough financial and human resources to achieve its vision. The Board should ideally also help the organisation develop realistic goals and achievable strategies to get to this vision. They are also able to hold the management team accountable to those set goals and strategies and to ensure the entire team is working towards attaining them.

1:00: Ask the participants if they have any questions, and if they are agreeable with the three main tasks above.

Assure them that this capacity strengthening course is a working document and can also be improved and added onto. Go to the next slide

Reviewing the Governance Model

It is not just enough to choose a suitable governance model or a board; an organisation has to ensure that the model is working effectively. Since the Board is responsible for all the major actions and decisions of an organisation, it will need to have specific charters, policies, and similar governance documentation to guide organisational behavior. Such documents should clearly outline the following:



These documents should be developed in consensus with all major stakeholders in the organisation so as to ensure they are inclusive and relevant to the organisations' operations.

01:05 Go to the next slide

What is Effective Governance?

Ask the participants this question above, allow for some few answers of what they think before giving them the definition below.

Good governance is about good leadership. Effective good governance means that your RLO is able to thrive, improves its impact while making sure its assets are protected and funds are used appropriately. An effective governing model must ensure that a RLO has:

- A good mix of skills in their boards and management teams
- An effective Chairperson and CEO/ED
- Committees for specialist tasks such as finance and procurement
- Well-managed meetings that are participatory and decisions can be made effectively
- Forums that allow for different expression of opinions
- Strategic partnerships and alliances that provide perspective or insight on various matters in the industry
- A good system of evaluation and accountability (we shall touch on this in the next module on **Proving Impact**)
- Understand the difference between governance and management

For many RLOs it may be difficult to expect a thorough and clear cut distinction between governance and management. This is because in most cases, most RLOs have a working board. Can anyone remember what a working board means?

Prompt a member of the class to answer and encourage them not to refer to their notes before they answer the question. Have them define it from memory in their own words.

With a working board, it can be a challenge to separate issues of strategic governance from day-to-day management because there might not be many staff or members so people perform multiple roles. However, as your organisation develops and grows, having this distinction will become increasingly important.

The difference is that governance is the role of leading an organisation and management is its day-to-day running or operating. Governance is the job of a governing body, such as a Board, that provides direction, leadership and control. Management is typically the job of a management or executive team, led by a CEO or ED and his/her staff and volunteers. The governing body's role is to oversee management and not to manage.

Can we see how the case study from the previous session had quite a few challenges? That said, during transition, such challenges are expected and provided there are mechanisms to resolve such conflict, with an open mind, and room for flexibility, all will be well.

No one can claim to have a perfect governance system. It is impossible. However, one can aim to promote good governance practices by building an amicable relationship between the governance level and the management level.

01: 10 Go to the next slide and organise the group in the following activity. Divide the group into even groups.

ASSESSMENT FOR LEARNING (AFL): Ask the participants to think about their organisations in depth and determine what type of board they have and what types of boards they desire to have. Get them to determine what roles their boards should have. If they determine that the boards are not doing the roles as desired, help them come up with targets to ensure that they implement the desired changes.

If you have members from different RLOs and organisations in the session, make sure you divide them up so that each group has only the members of one RLO that is their own. This will make their analysis and feedback on the issues more practical and relatable.

Allow the class a break of at least one day to prepare for the next session. Ensure the participants of each group meet within that time period and prepare for the next session. They shall make the presentations during the next session.

For the next session, have the RLOs come with a copy of their constitutions, they shall be reviewed in detail then. You will also need the RLOs to have access to the RLO Sample Constitution handout. Please be sure to inform the RLOs that the next session will be very long, approximately 2 to 3 hours. Make arrangements for them to avail time for it.

Session Three – Governance - Bringing It All Together

Please Note: This entire session can be seen as an **Assessment for Learning Section**, therefore, is a very long session with mini-sessions and presentations. Ensure that your participants are able to dedicate an entire half day (3 hours) for the session or if you break it up into sections that they keep the momentum flowing between sessions by having them follow each other back to back.

Resources: Display the **PowerPoint** entitled “Governance - Bringing it all Together” to your participants. If you do not have a projector you can create print-outs or run the session verbally. You will need all the participants to have access to the RLO Sample Constitution Handout.

00.00 Introduce the session, using the **next slide**

Now that we have gone through a lot of theory regarding governance, this session shall be more practical and we shall all thoroughly discuss what governance structures we all have in our RLOs, seeing how they are working and putting down the principles learned in a constitution.

Discuss the objectives of the module with them (5 mins):

In this module you will practically analyse your RLO governance system and its effectiveness and come up with or redefine your existing constitution to reflect these changes.

From our last AFL, we had some presentations to do. Let us organise ourselves into our groups and present our thoughts on the activity.

Refresh their memory of the activity.

Remember the activity was for you to critically think about your RLO and determine:

- *If you have a governance model? If yes, which one is it?*
- *Do you have a Board? If yes, what type of Board is it?*
- *What types of Board do you desire to have?*
- *How can you get your RLO to implement these changes?*

Allow a five to ten minute discussion as they organise themselves into their various groups. Go to each group and make sure they have effectively answered the questions above and are ready to present.

Give each group at least 15 minutes to present their findings, if you have only one group, you can make the time longer but do not exceed thirty minutes.

00:30 Go to the next slide

Great work everyone, I see you have really given some thought towards your governance and now what is left is to make those plans a reality.

One way to work towards making a proper and effective governance system is to have a working constitution. We know that most RLOs have a constitution, however, but can we say our constitution now is aligned with all the wonderful work we have developed as part of this capacity strengthening course. Perhaps yes or no, either way let us discuss our constitutions.

What is a constitution? What does your constitution mean to your RLO?

00:35 Allow for some answers from the group, if not prompt them with the bullet points in the next slide.

A constitution can be defined as a document that contains the principles by which it governs its daily operations. It also should establish the specific rules by which your RLO should function. When you write or reanalyse your constitution it will help you clarify your purpose (as was seen in module one) , delineate your basic structure and provide you with a platform to build an effectively governed group.

What do you think should be covered in a constitution? Please refer to your existing constitutions and give the general outline of each category.

Do you agree with these categories you gave? Are they practical and do they effectively represent your group's interests?

Allow for some answers from the group, picking some participants at random.

We shall discuss below a basic guideline or outline of the standard information that we think should be included in a constitution. Our main objective with this section is to enable you to re-evaluate your constitution and maybe even reword it.

The sample outlined below is a basic guideline that you can follow, please note that you can either amend some of the sections if you feel they are not relevant to your RLO or you can also add other sections that you think are relevant.

Give out the hand-out entitled *RLO Sample Constitution* and have them make references to it for the next part. Have them note that this is an example and not

what they should have, and the sections below are only a guideline. They can opt to not have some of the sections.

We shall now move into discussing each of the sections in detail, some may be longer than others, but ensure that you discuss each section in detail, posing after each section to get feedback from the participants on its relevance and whether it is practical to their activities.

Ideally a constitution should have:

Title of Document: Constitution of 'Organisation's Name'

Preamble: A one paragraph statement of the mission or vision of the RLO, telling why it was created

1. Name of the RLO

This is just the legal name in full

2. Purpose of the RLO

This section discusses why the constitution exists.

The section can also outline why it was created, what community it operates in, where it operates and what are its objectives.

3. Management Committees (or Leadership)

This section outlines who makes up the management of the RLO who are either elected or nominated to act on behalf of their RLO in either a management capacity or as a Board governing capacity. It must be clear that the members in this section are not the participants or the beneficiaries of the RLO but the managers (and governors i.e. a Board).

Sometimes a RLO has participants who contribute towards their activities that are sometimes referred to as registered members. It is important to note that one must make that distinction and perhaps give them another name because as per definition, members are elected or nominated to their roles.

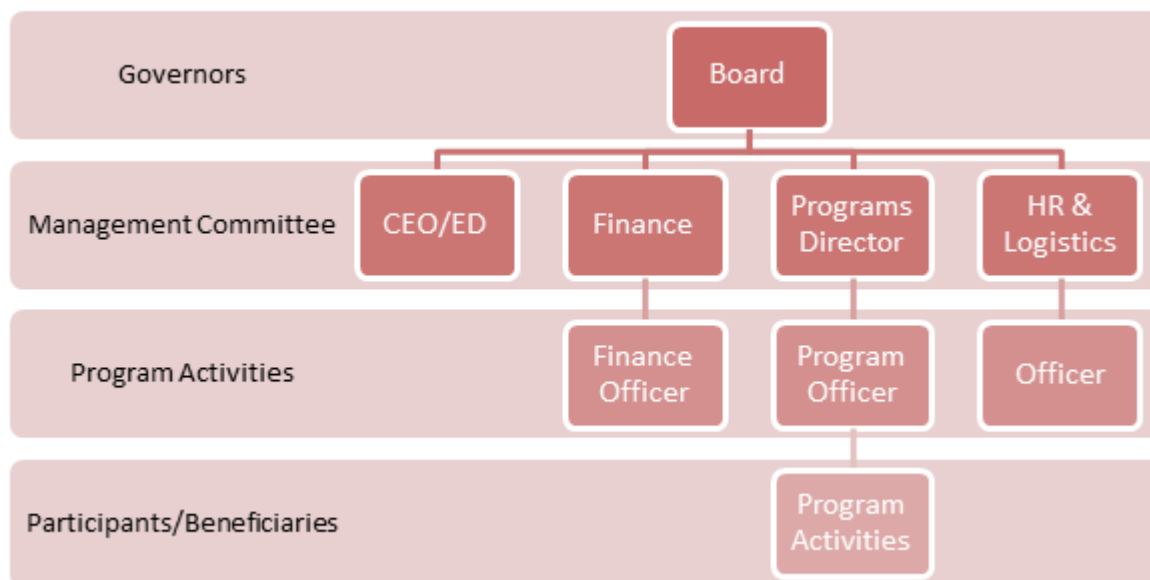
This is because this section also must outline the voting rights of each member above and when the membership period is applicable, how the membership comes about, and when the membership can be terminated.

4. Composition of the RLO

This section outlines what conditions make up the entire structure of the RLO.

a. Organisational Structure

In this section it is important to outline the entire structure of the RLO and what positions there are. For example:



b. Officials

This section outlines the elected or nominated managers or board governors in terms of what positions are available. The list above is a guideline and not conclusive, remember it your RLO and your RLOs activities that will dictate this structure above

c. Elections and Appointments

This section outlines what positions or levels are elected positions, what positions are nominated positions, and the conditions for the elections. It should also clearly outline special conditions that may arise that may call for a suspension or an immediate election over misconduct.

d. Terms of Office

This section will determine how long the appointments in the previous section shall be viable.

e. Powers

This section should clearly outline the powers that each of the officials have in each of the levels of the organisation, especially when it comes to **decision-making**. It should also show who has more powers than others

especially when it comes to voting over important decisions. It should also outline what level such as the management committee is responsible for decision making and in the event of a tie, which position has the power to break that tie, for example, the Chairman.

f. Governing Rules

This section should outline what your RLO believes to be effective governance principles that they should follow in their governance.

5. Meetings

This section should detail what would constitute each meeting, and who has the power to call for and convene a meeting. There are different types of meetings (for example a management team meeting, board meeting, annual meeting and general meeting) and their membership and attendance should be distinguished.

a. Resolutions, Voting and Powers at Board, Management Committee, Annual and General Meetings

This mini section should outline what issues can be determined at each meeting. They should also determine who can vote and what powers are at such a meeting.

b. Quorum

This clearly states what conditions make a meeting able to proceed such as attendance and perhaps the presence of particular officials.

c. Procedures during Meetings

This section outlines at each meeting level who takes charge and who takes notes at each meeting level. It can also detail the structure of the meeting.

6. Dispute Resolution

This mini section outlines the conditions to resolve disputes that may arise in the or among the different levels of the RLO. It should also determine in the event that a dispute cannot be resolved, what measures can be put in place to resolve it such as mediation by an independent third party.

7. Amendment of the Constitution

This section clearly outlines what conditions are necessary to amend the constitution, such as who has the authority to call for such an action and what procedure is required to see such an amendment come to pass.

8. Termination/Dissolution of RLO

This mini section discusses the conditions that will lead to the termination of the RLO and all its operations. It should also discuss who will handle the dissolution of assets and funds.

What do you think of the list above, do you agree with the sections?

02:00 Responses

Wait for some responses; prompt answers by asking them to compare with their current constitutions. Do they have the same sections? Do they think they are too many? Too few? What can be added or removed?

Now let us move into our final activity of the session on Governance. In the same groups, we need to develop constitutions or amend our constitutions as per the feedback we have just given.

Please remind the class that you are not influencing them to change their constitutions but from their own feedback, and their knowledge sharing from this and previous sessions, if they believe they have areas in their own constitutions that can be amended or reworded, added or removed, then, now is the time to work on them and see them come to action.

Give the groups an hour each and take notes on the actions they want to take and ensure that you follow up in the coming session(s) on whether they saw these changes they made come to action.

Session Four – Governance and Sustainability

Resources: Display the **PowerPoint** entitled “Governance and Sustainability” to your participants. If you do not have a projector you can create print-outs or run the session verbally.

00.00 Introduce the session, using the **next slide**

After that intensive session, today we will look at how we can make our Governance structures work for the sustainability of our organisations.

Discuss the objectives of the module with them (5 mins):

In this module, we will be learning about how our Governance structures support the sustainability of our organisations.

We will also learn about conflict and how to manage conflict within our organisations and for the sustainability of our organisations

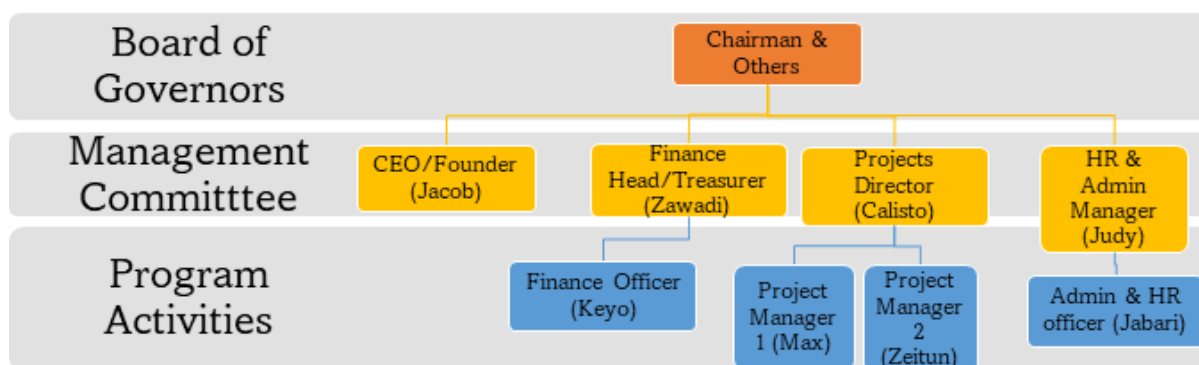
00.10 Go to the **next slide** and Introduce the First Activity.

This activity will be best if all the participants are from the same organisation. If you have a mixed group, try and divide the participants into groups of the same organisation. Give them the instructions below.

In our last session, when we were discussing the various sections of the constitutions we discussed Organisational structures. Can we take a few minutes to draw our organisational structures of our organisations, making sure to put the names of the people who are in these positions.

Give the participants about five minutes to complete the exercise. You can go around and offer support where needed. When everyone has finished, you can ask one member to come to the front of the class and draw out their organisational structure. They can also draw out support and clarifications from other team members. Ensure the structure drawn is a team effort and collaborated and agreed by all as the true organisational structure of the organisation. Note that the structures may differ depending on the team dynamics, activities and length of time the RLO has been operational.

A sample organisation structure can be:



Allow the participants to comment on the proposed governance structure, clarifying any roles and responsibilities of every individual. The example above is just a sample and should not determine the participants' results. However, the structures the participants develop should have some form of distinction between levels and roles. There can also be a vast majority of team members at each level. You can prompt some debrief questions on the exercise from the bullet points below:

- Is your Board of Directors, Governors or Advisors active?
- If yes, how often do they meet? What do they discuss? Do their deliberations have an impact on the organisation? Is the management team accountable to them and how are they accountable?
- If not? Do you have one? Would you consider getting one? What role would you like them to play in your organisation?
- How effective is the management team as a group?
- Is there a leader that the management team is accountable to? How?
- How are the different program or project activities coordinated by the management team?
- How does one become a member of the Board?
- How does one become a member of the Management Committee or Team?
- How does one become a member of the Program or Project Activities?
- If elected, how is that process managed at all levels and by whom?
- If appointed, what is the process like and is it transparent?
- If recruited, what does the process involve and how is it controlled?

Remember to keep asking different participants to answer different questions as well as elaborate further. Encourage the participants to be open and honest and really critique how their organisational structures have been working. If there have been any areas they have taken note of for improvement, encourage them to note that down as their assignment and keep following up on their progress in the modules to come. Remember to put that into your feedback notes after the session, so that you may also remember to keep track.

00.45 Go to the **next slide** on Governance and Sustainability

Read the participants the following case study:

Imagine that you are the leader of a successful RLO that is supported by a big international donor. You have a good team that is led by a key player who we will call “Imani”. One day, Imani did not come to the office. He happens to be the person who oversees many projects and coordinates every team members' activities. There's a deadline coming up for your project for your biggest donor and no one in the team is aware of what needs to happen to achieve this. What do you think will happen next?

Allow for some responses. You can prompt some responses with the bullet points below: (The list below is not exhaustive, allow and take note of more consequences from the group)

- The deadline will not be met making your donor disappointed with the project outcome
- The departure of Imani leaves the team demotivated and confused and with unnecessary pressure to figure things out with a tight timeline
- The culture of the organisation will be negative due to confusion and chaos caused by Imanis departure

Ask the participants.

Can someone define the meaning of succession planning?

01.05 Go to the *next slide* on Succession Planning

Allow for some responses before aligning them to the definition below:

Succession planning is a strategy for identifying and developing the future leaders or your organisation. This is not only for senior roles but for all roles within an organisation. It is a deliberate and intentional process that all organisations should strive to do. A succession plan ensures that the organisation is still able to run smoothly if the person in a key position moves away, gets a better opportunity, retires or dies.

Now based on that, and from the previous exercise, let us answer the questions below:

- What happens at any one of these levels or to any one of the roles in your organisation, when someone resigns, gets fired, or cannot perform their duties any more?
- Does your organisation have a succession plan?
- If yes, how was it determined? Has it been working in the past?
- If not, would you consider getting one?

No organisation is too small to have a succession plan. A succession plan can really come really important when key members of the organisation can no longer perform their duties and it ensures that there is smooth running of the activities. Succession planning is also important because it also spreads the power and responsibilities of individuals in an organisation.

Succession planning in any organisation can help with knowledge management and talent retention. It is the process of identifying the knowledge, skills and abilities required to perform a certain function and then developing a plan to prepare multiple team members to potentially perform those functions. Usually an organisation can have a Director, Manager and Officer, all with clear roles but all also learning what it takes to perform each role.

In the case study above, this is where succession planning is necessary and critical for the success and sustainability of an organisation. The RLO made the mistake of having just one person who knew everything that was going on in the organisation. Even the leader had no idea what Imani was doing, and Imani himself was only sharing limited information with particular team members that is needed to get things done, but is not considerate of the overall sustainability of the organisation without Imanis influence.

In such a case, Imani should be encouraged to involve more people in project planning, decision making and reporting. Imani should also be training every person in his team on how each of their activities fit into the overall project outcome. He should also encourage other team members to learn other roles and how they complement each other. The leader should also be involved in the day to day activities by having frequent debrief meetings that update everyone on progress as well as upcoming plans or deadlines.

Has such a similar ordeal ever happened in your organisation? Have you ever lost a critical team member abruptly? How did you manage? What did you learn from the process?

Allow for some responses. Encourage the participants to share openly and honestly. This is a learning process and reminds them to take note of areas they have proposed to improve in their organisations and take note of the same and follow up with them in future modules.

01.15 Go to the next slide on Conflict Management

Ask the participants.

Have you ever had conflict within the organisation? If yes, what happened? How did you resolve it? Have you been able to move on since the incident?

Allow for some responses.

Conflict is inevitable. It is part of life as with all human interactions. It is also one of the major challenges that can lead to people leaving organisations or getting fired. This can leave the organisation, a project or role in a critical position if it is not handled properly.

Conflict management refers to the techniques and strategies that you can use to reduce the negative effects of a conflict in your organisation and enhance the positive outcomes for all the parties involved in the conflict.

In order to avoid finding yourself stuck in a situation where you don't have any positive options and solutions, you need to craft policies and ways of managing conflict beforehand. During the conflict, you also need to genuinely self-reflect and encourage your team to do

so as well. Ultimately the best conflict resolution strategies are the ones that manage to get your team back on track. Some ways to help manage conflict can be to:

- **Evaluate and understand every team member's emotional responses to conflict:** People react differently to conflict and knowing your team and how they handle conflict is really important. Sometimes and where possible, allowing for the conflicting parties to take a day or two to cool down before dealing with the issue can help people react more objectively.
- **Self-Awareness:** Get yourself and your team to really evaluate what kind of person they are when faced with a conflict and how to deal with it. You can then use this knowledge to try and manage emotions and encourage parties to seek solutions. You can all as an organisation come up with a method that can work for everyone such as involving a third and impartial party to help during a conflict.
- **Research the Conflict Thoroughly:** Listen to all parties, hear their views and perspectives and even try and see how you or they could have been involved in creating an environment for the conflict to occur. As you do this, get the parties to also present amicable solutions that they think would end the conflict as soon as possible.
- **Identify the Root Cause of the Conflict:** Sometimes, what has happened on the surface is not really the issue, it could be something deeper that has enabled the conflict to occur such as a management level or other person, lack of policy or support function, or a culture that has gone on in your organisation. Try to find out what is really going on in a situation and take steps to solve that problem.
- **Accept People for what they are and what they are not:** Different team members have different roles, different strengths as well as weaknesses. People are different, and so they will retain, interpret, and process information in very different ways. Similarly, they will typically use very tactics to manage their activities and sometimes that may cause a clash with others. Knowing how your team members work is very important to knowing how to assign duties to them in such a way that their strengths are useful.
- **Get Regular Feedback:** Conflict typically happens when an issue isn't addressed while it is still small. It festers like a wound and grows too big and complicated to be solved quickly. To avoid this from happening, you can hold regular meetings where the whole team gives feedback about what is working and what isn't and brainstorms on what to do going forward. That way, you deal with issues while they are still minor.
- **Create a Conflict Resolution Guideline:** You can ask your team to get together and come up with some conflict resolution protocols that they are buying into. Whatever they come up with, it is likely to work in the long term because everyone had a hand in creating it.
- **Create Guidelines of Communication:** Not all kinds of communication are helpful or productive in an organisation. It could be that much of the conflict in your organisation is caused by people communicating in the wrong way. You can, therefore, invite your team to come up with some guidelines for the kinds of communication that are conducive. They should be guidelines that everyone buys

into, just like the conflict resolution guidelines above. You should also be part of this exercise because you might be communicating with your team in the wrong way. Either they find your tone overbearing and dismissive or they find that it discourages them from openly communicating themselves. Then be sure to enforce all these measures developed in a collaborative and positive way.

- ***Invest in the Right People for Your Organisation:*** One of the most effective ways of managing conflict in an organisation is to make sure you have the right person to begin with. Sometimes it's not about the conflict. Sometimes the issue isn't the issue; the person is the issue. You may have tried everything you know to deal with conflict and even got the team to come together and contribute ideas to deal with conflict, but find that one or more people are always at the center of major conflicts. They are either constantly aggrieved or constantly the aggressor. In such situations, you should evaluate whether the skills of that particular person would be better suited in a different team or role altogether. If you find that they don't fit anywhere, even when you consider putting them in a different position or team, then you should think about whether that person is the right match for your organisation. Losing someone can be a tiresome and challenging process and should be the last option. However, sometimes, the benefits of letting that person go may contribute to creating a positive working environment and culture as well as contribute to the overall sustainability of that organisation.

As we end the session, please think about how you have handled and managed conflict in the past in your organisations. Do you see any room for improvement on your existing processes, if yes? What would that be?

This can be another take home assignment.

01.30 ASSESSMENT FOR LEARNING

This session has three take home assignments, they are:

- *How is your organisational structure contributing to the sustainability of your organisation? Any changes that need to be made to support this further? (as part of the general overview of the debrief questions in the first activity?)*
- *Have you ever lost a critical team member in your organisation abruptly? How did you manage the loss? What did you learn from the process?*
- *How you have handled and managed conflict in the past in your organisations. Do you see any room for improvement on your existing processes, if yes? What would that be?*

These questions are to be worked on and be sure to make a follow up of how the organisations are implementing the changes they have determined to make. Set a reminder in your training work plan to follow up on their progress and implementation of the changes.

Module 8: Proving Impact

Introduction to the Module

Showing the good things you're doing through simple but important Monitoring and Evaluation methods

In this module you'll cover why Monitoring and Evaluation methods are important for RLOs. In the first module you'll go over perhaps the most important lesson — *why* proving impact is important. This includes the way they can use this proof to improve the projects they're doing, as well as to reach new donors and funding opportunities.

The subsequent 2 modules will go into more details on specific Monitoring and Evaluation methods.

It is recommended that you read the entire module before delivering it. Also, there is an accompanying slideshow for projecting a few key images, if you have access to a projector.

Session 1: Why Do We Need to Prove Impact?

00.00: Introduction to the module:

We may have good ideas for projects that benefit our communities, but we also need to PROVE that those ideas are good.

In this module we will learn why proving the impact of our projects is important, as well as specific ways we can collect data to do this. This process is also often called "Monitoring and Evaluation" -- or even "Monitoring, Evaluation, Accountability and Learning", or MEAL for short.

00.01: Introduction to session: why is proving impact important?

First off, we're going to look at WHY proving impact is important. To phrase this another way: why would we want to prove that our projects are doing good things? Do they have good results?

Ask the participants for ideas. Write them down on the board.

Thanks for all the ideas, everyone! I see you've got most of the reasons covered. Today let's talk about two important reasons in particular. These reasons are:

- *To make our projects better*
- *To show donors and other potential funders that our projects do great things that they should support*

00.10: Making our projects better

Now I want to talk about how we can make our projects better. There's actually a very simple cycle we can use to do this.

Draw the following cycle on the board, or project it using the accompanying slideshow:



Now, a lot of people think of projects or ideas as a straight line, with a beginning, middle and end. But instead, I want you to start thinking of your projects as a cycle, like this one.

In the beginning, you have your idea. Then you put your idea into practice. But that's not all! Then you can LEARN what can be done better — that's where proving impact comes in — and then you use those lessons to make the whole project better, by improving your original idea.

This cycle can happen as many times as you want! In this way, a project can continuously improve.

I want you to divide into groups, and each group will spend a few minutes describing how this cycle can be used for different activities.

Divide the class into 4 groups. Ask each group to apply the cycle to the following mini “projects”:

1. Cooking a new recipe
2. Tailoring a new kind of outfit
3. Making a new kind of jewelry
4. Running a farm

Ask them to:

- Describe their idea in detail
- Describe how they will measure if the idea is a success or not
- Describe how they will make the original idea better based on that feedback

Give the class time to complete the exercise.

Once they’ve completed the exercise, ask each group to present the cycle for their specific project.

Thanks everyone! I hope we’ve all learned a little about how valuable it can be to collect data on our projects and then put what we’ve learned into practice.

00.50: “Failing Forward”

Now I want us to talk about failure. Or, more importantly, I want to change your view on what other people call “failure”.

There’s an expression that is used a lot in engineering that is called “failing forward”. That means if something goes wrong -- or if an idea doesn’t do well -- then you don’t declare it a failure and stop trying. Rather, you LEARN from the mistakes or failures and use that information to try again and DO BETTER!

It’s the same idea as the cycle we talked about earlier -- but this time you have to not let yourself be disheartened by failure. In fact, you could even plan to EXPECT failure (or at least challenges, mistakes, and unforeseen consequences) in your project -- and you could plan to LEARN from them before they even happen! Engineers do this all the time, usually by testing their machine or product to breaking point, and then seeing HOW it broke and therefore HOW it can be made better.

Video on this topic.

Now we don't have to do anything as extreme as that. But the main lesson here is to change how you view failure. Instead of being the END of something, our difficulties become part of the LEARNING PROCESS.

The trick here is to collect data regularly -- and to not be afraid of data that challenges our assumptions, or that shows the project idea isn't as good as we thought. Then the cycle we talked about today can help you constantly improve your project and make it a success.

01:10: Data for Donors

Another big reason we need to collect data is for donors -- that means, showing we're doing good work so people will give us money to deliver our projects, and will CONTINUE giving us money by showing those projects are successful.

The process of raising money for our projects is called fundraising, and we will be covering how to do that in another module. But proving our impact by getting good data is a BIG part of fundraising. In the next two lessons we will look more on HOW to get that data and HOW to prove our impact.

Now I want to end the session with a fun activity. I want you to imagine you are a very rich philanthropist who has \$1 million US dollars you want to do good with. You don't want to give it to just 1 organisation -- instead, you want to invest or donate to MANY organisations or RLOs.

- What kind of projects or organisations would you choose?
- How would you select them?
- How much would you give each one?

Give the class time to complete the exercise, and then ask each person to share their ideas.

Thanks everyone for sharing. You've just had the chance to think like a donor! Our job, as people seeking funding from donors, is to make our projects stand out from the crowd and show that it has the best value for money, by PROVING that it has a good impact.

// END OF LESSON

Session 2: Quantitative Methods

00:00: Introduction to Session: Stories vs Numbers

Hello everyone! To start this session, we are going to talk about types of data.

Write up “Qualitative” and “Quantitative” on the board.

Does anyone know what these words mean?

See if the class has any answers. If they don’t know (and even if they do), write “stories” under Qualitative, and “numbers” under Quantitative.

So these are just science-words for the main types of data we can collect:

“Qualitative” means to do with Quality -- that is, the kind of impact our projects have on the thoughts, feelings, emotions and mindsets of our participants or community. They use words, images and videos to tell the story of how our project does good.

“Quantitative” means to do with Quantities -- that is, numbers. This means the specific, countable ways our projects impact our participants and communities.

These types of data are just as important as each other. It is really important to be able to detail the numbers for your project -- how many people it reaches, for example. But a photo of those participants doing the project makes it “real” for people in a way that numbers can’t.

Now let’s look at some types of data and decide whether they’re qualitative or quantitative.

Read out the following types of data (in the left column) and ask the participants to decide if they’re either Qualitative/Stories or Quantitative/Numbers. Write their answers under each heading on the board.

Answers and explanations for your benefit are also provided in the right column (DON’T read these out: they are for you in case you need to explain why to the class). If the class is finding it difficult, ask them to think whether the data is numbers-based, or is telling a story.

Data	What type?
Attendance records	Quantitative
Photos of Activities	Qualitative. Photos tell stories!

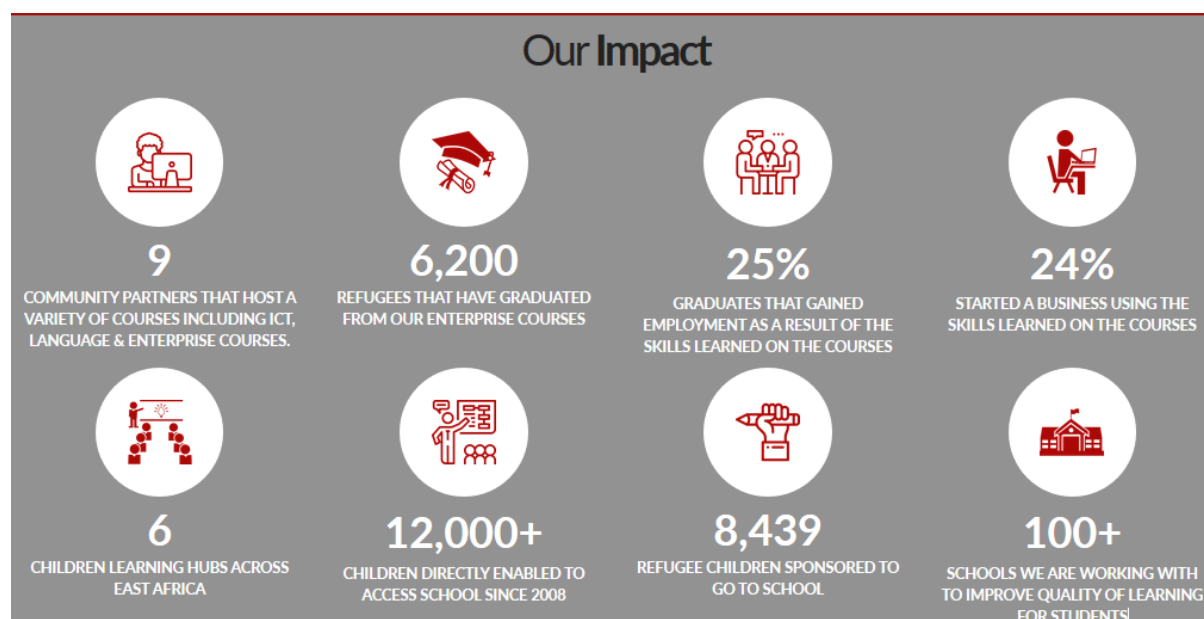
Test results	Quantitative
Quotes from participants	Qualitative
Describing a project for a donor	Qualitative
Number of items given out	Quantitative
Usage numbers	Quantitative

Thanks everyone! For the rest of the session we're going to talk more about Quantitative data and how to collect it -- that is, how to show your project is doing good through NUMBERS.

00:20: Counting the Basics

For any project or any organisation, you must count all its key numbers and keep track of them at all times. Take a look at what Xavier Project had on its website in late 2019:

Show the class the following picture. Project it if possible, or print copies.



All of this is quantitative data. Most of it is just a simple count of the number of participants, partners, and locations Xavier Project is working. Although it is basic data, it is important because it gives people an idea of Xavier Project's reach, size and abilities as an organisation. These 8 numbers describe Xavier Project simply and directly to any person who doesn't know about them.

I now want you to do something similar for your own organisation. I want you to come up with 8 numbers that show your organisation's key facts. These might include:

- Number of participants reached
- Number of locations you work in
- Number of men vs women reached
- Number of disabled people reached
- Number of staff
- Number of partners
- Number of items given out

Give the class time to come up with their organisation's key numbers, and have a representative present them.

That's great, thanks. Before the next session, I want you to create a 1 page document with these 8 numbers, along with a short description of what your organisation does. You can then use this 1 page document as a template for any future funding applications.

00:40: Before and After

*Now let's take it up a level. Having these numbers is great, but to better demonstrate the impact of a project or organisation it sometimes helps to show your key numbers alongside what the situation was like **BEFORE** you started.*

For example, an organisation might have the goal to build public latrines in their community. By counting the number of latrines that exist before they start, and counting the number at the end, they may be able to say something like:

"Before our organisation started, there were only 2 public latrines in our area. Now, thanks to our work, there are 10".

This is very powerful information to have. Other examples, for other imaginary organisations, might include:

"Before we started delivering tailoring lessons to women in our community, there were no vocational training options open for women at all. Now, thanks to our work, 30 women have graduated our class and are starting tailoring businesses."

Or...

"Before taking our class, the children scored an average of only 40% on a literacy test. Now all the children who took our class have an average score of 80%".

So comparing numbers before and after (or before and during) the project, shows both ourselves, and any donors, that what we're doing has an impact.

These Before and After comparisons are very important if you're doing any kind of teaching activity, and you want to show that your participants have gained skills as a result of your

training. You do that by giving them a test at the *BEGINNING* of the course, and then doing the *SAME* test at the *END* of the course, therefore showing how much they have *IMPROVED* by.

Let's now talk a little more about tests, percentages and averages.

00:50: Tests, Percentages and Averages

We sometimes have to use maths to make our data simple and presentable to other people. Look again at the image of the Xavier Project data. You will see two percentages, for example "25% of graduates gained employment as a result of the course". What does that mean?

Ask the class.

Well done. Yes, it means that for every 100 participants, 25 of them got a job after doing the course -- or that every 1 in 4 got a job.

A percentage is a portion of something. To calculate a percentage, we take the number of that portion -- in this case, 25 people -- and divide it by the total number (in this case, 100). So 25 divided by 100 is 0.25 -- or 25%. It's as simple as that.

Another example might be a test you give a class. Say there are 20 questions, and a participant gets 17 of them correct. What is their percentage score?

Ask the class to do the calculation. (Answer: 85%)

Let's now do some percentage exercises with ourselves! How many of us are in this room?

Ask students and write down the number.

Great. I'm now going to ask everyone some opinion questions, and we're going to work out the percentage of us with that opinion. Please use the calculators on your phones to help me with the calculations!

Ask the class the following questions (you can answer too!) and lead them in calculating the percentages:

- How many of us like eating rice?
- How many of us like dogs?
- How many of us are women?
- How many of us have more than 4 children?
- How many of us like Coca Cola?

Ask the class for 2 or 3 more ideas for questions, and lead them in calculating the percentage.

Thanks everyone. You've done really well. I now want to talk about one more math calculation you can do to make your numbers and data more simple to understand, called finding the average.

Say you have 50 participants on a course, and they all do a test. They all get different scores. How do you show a donor the kind of scores they got? You can't show the donor all 50 separate scores -- instead, you find the average.

You do that by ADDING UP all the test scores up and then DIVIDING them by the number of participants who took the test. This is also called the "mean average", and it's the most common way of doing the calculation.

Let's find some averages for our group here!

Once again, ask the class the following questions and lead them in calculating the average for each one:

- What's our average shoe size?
- What's our average height?
- What's our average age?
- What's our average number of children?

Ask the class for more ideas for questions, and lead them in calculating the average.

For tests and education, you sometimes have to find the AVERAGE PERCENTAGE for a group. For example, you might have 15 participants, all with very different percentage scores on the test. If you add up those percentages and divide them by the number of participants, you will get the average percentage score for the class.

Note: if the class has taken a long time to get the hang of percentages and averages, you can break here and continue the session at another time.

01:20: Counting more difficult things: Using 5-point scales

Sometimes we want to get data from a group of people that is more difficult to put into numbers. Instead of yes/no questions, or test results, we want to ask how they feel about something and put a number on it. To do this, we have to use a scale.

A good example of this is used in Xavier Project's learning hubs. To get a good measure of how people feel about the Hub's safety, we ask people to answer the following question:

You can project this, or write it up.

How safe do you feel in the Hub?

1. Very unsafe
2. Unsafe
3. Neither safe or unsafe
4. Safe
5. Very safe

This scale goes from 1, which is Very Bad, to 5, which is Very Good. By asking lots of people this question, we can calculate the AVERAGE safety rating of the Hub, out of 5! This number then gives us a good indicator of how well we're doing in providing a safe learning space. For example, a rating of 3.8 shows we need improvement, but 4.6 would show us we're doing well. By the way, it's VERY important to have number 3 in there -- a middle option which is neither good or bad -- because sometimes things are just like that, neither good or bad and just average.

Let's do some of these ourselves. I want you to rate the following things on a 1 to 5 scale, with 1 being very bad/not at all and 5 being very good/a lot, with 3 being in the middle.

Ask the class the following questions, go round the room and ask each participant for their rating, and lead them in calculating the average.

- How much do you like chips?
- How is Manchester United as a football team?
- How is the food at a local restaurant?

Ask the class for 3 more things they can rate, and lead them in calculating the average.

Well done everyone! So now you have 3 key tools in your data collection arsenal -- percentages, averages, and ratings out of 5. These will take you a long way. Before we get on to how to actually collect this kind of data, I want to talk about one very special calculation you can do which donors will find VERY important -- and which is important for you as an organisation, too.

01:40: Cost-per-participant

At the end of the day, donors want to get the biggest impact for their money. As an organisation, you should too. After all, money is limited, and you need to use it wisely.

Many donors will ask for something called the "cost-per-participant". That means how much the project costs to deliver for EACH PARTICIPANT. It's a way of assessing the project's value for money.

To calculate it, you take the total cost of the project and divide it by the number of participants it reaches. For example, if a project costs 100,000 KES, and it has 70 participants, that means it costs 1428 KES per participant. Can someone please check the maths on their phone's calculator to make sure I got it right?

Now let's do some quick exercises to work out the cost-per-participant for some imaginary projects.

Read out the following and lead the class in the calculations:

- A latrine-building project that costs 20,000 KES per latrine, and each one can be used by 40 people.
- A children's learning hub that costs 350,000 to build, and can reach 4000 children.
- An app project that costs 900,000, but can reach only 60 children.

As a general rule, donors want a project's cost-per-participant to be reasonable compared to the expected outcome. Most donors are looking for good value for money -- so that means a low cost per participant -- but if a project is too cheap then they may question its quality.

01:55: Logistics of collecting data -- tools you can use

Note: this section requires you to be familiar with online tools for data collection. The best are either Google Forms (www.forms.google.com) or SurveyMonkey (www.surveymonkey.com). Please familiarise yourself with one of these before delivering this part of the session. This part of the session also requires a computer with an internet connection.

Now let's talk about ways we can collect data -- specifically, tests or quizzes for participants. First, it is very possible to write these down on paper, or ask participants the questions orally. But there are some very helpful free online tools we can use to make the process a lot easier.

These tools provide easy ways to create forms, collect data from participants, and even have ways to download and display your data using graphs and ready-made images.

Show participants the basics of Google Forms or SurveyMonkey using your computer, or via a projector if you have one.

As homework, I want your organisation to design a 5-question survey that you can use in one of your existing projects, using this online tool. Perhaps it could be an exam of sorts, or a questionnaire on participants' experiences with your organisation.

// END OF SESSION

Session 3: Qualitative Methods

00:00: Homework Recap

Ask a representative to present their digital survey to you.

Ask another to present their 1 page document with the organisations' key facts and figures and their description of activities.

Thanks for that! Last session we talked a lot about collecting good data in the form of numbers to help us prove impact. This session I want to talk about the other side of proving impact -- the qualitative data.

00:10: Focus Group Discussions

Focus group discussions -- often abbreviated to "FGDs" -- are one of the simplest but most powerful ways of getting information from people. They are essentially just discussions with a small group of people on a specific topic. For organisations, their most important uses are as follows:

- Helping you understand a community's needs. This can help you create ideas for projects.
- Helping you understand their feelings about your project. This can be a particularly good source of feedback for the project cycle discussed in session 1.
- Helping you understand a particular viewpoint that is important to them.

Usually these discussions will be led by a facilitator (from your organisation), with 1 or more specific questions that will help lead the discussion. The facilitator can either take notes, or record audio of the session for later review.

The ideal number of participants is anywhere from 3 to 8. While you can certainly hold FGDs with more people, it becomes difficult for everyone to have a say. When it comes to time, around 1 hour is usually enough -- although going up to 1 and a half hours is fine. Anything more and the discussion can become tiring!

It's also important for the facilitator -- that is, the person from your organisation leading the discussion -- to be neutral and non-judgmental throughout the discussion. Some FGDs may be on sensitive topics, for example gender issues, and for those it's important to make the participants feel as safe and respected as possible. So, depending on what's being discussed, it may not be a good idea to have a man leading a FGD with a group of women, and vice-versa. Also, in some circumstances, it may be better to have 2 people from your organisation facilitating the FGD instead of just 1.

It's also important to accept the NEGATIVES. As we discussed earlier, they are not a sign of failure -- they can be used to make the project better.

Now let's do an activity where we hold our own focus group discussion! We will spend the next 20 minutes getting a feel for how they work.

Lead the participants in a focus group discussion using the following questions:

- What has been your experience of these Capacity Strengthening sessions so far?
- Which session has been your favourite and why?
- What other topics would you like to have sessions on?

Thanks everyone for your participation!

00:40: Photos, Videos and Stories

Aside from focus group discussions, the other main source of qualitative data is collecting photos, videos, and written stories about your project. There are many ways to collect these, but there are some common rules for all these forms of media:

- These stories should be about PEOPLE. Although you're collecting the stories in support of your project, they are not ABOUT your project -- they are about why your project has improved the life of this specific person (or family, community, etc). So make sure all photos you take have people in them, same with all video footage -- and that any written stories you tell have a "main character" (or many) who the audience can connect with.
- Highlight people's dignity, not their suffering or hardship. We all know about those pictures of starving children that big UN agencies used back in the 70s and 80s. A lot of people didn't like them, because they felt the UN agencies were exploiting the children's suffering to raise funds. Same with us. We should not use the suffering of others as a tool to raise money. Instead, focus on people's resilience, their spirit, their perseverance. That's not to say some stories can't describe people's hardship -- but the hardship should NEVER be the focus. We want our audience to feel respect and admiration, not pity or guilt.
- Keep them brief, and choose quality over quantity. One great photo is better than 20 mediocre ones. A 5 minute (or even 3 or 2 minute) video with great footage is better than a longer one. And a brief 300 to 500 word story is better than 1000+ words.

00:50: Bringing it all Together: The 3 Levels of Data

Now that we're coming to the end of the module, I want to introduce a way of thinking about data and our impact that we can employ on an organisational level. We do this with the "3 levels of data":

Describe the table below to participants. It can also be projected.

	Data Examples	Reasons we do this
Level 1 “Outputs” “Activites”	Numbers of participants and deliverables, photos of activities, gender ratios, numbers of marginalised people participating	This shows ourselves (and our donors) that we have done the project’s activities as planned
Level 2 “Impact” “Outcomes”	Increase in participants’ skills, learning, income, and quality of life measured through test scores, self-reported questionnaires, interviews, focus group discussions, etc. Long-term changes in the way things are done	This shows the impact the project has on people. Data (and thinking) on this level helps us IMPROVE projects by seeing what works and what doesn’t. We can use the cycle discussed in Session 1 to constantly improve our projects. Accept the negatives, and remember there’s no such thing as failure. Use what you learn to improve things and move forward.
Level 3 Comparing projects	Comparing data for different projects, particularly when it comes to their impact and their cost-per-participant / value for money	Do this on an organisational level to decide where to focus energy and resources

01:00: Bringing it all Together: Monitoring and Evaluation Plans for Existing Projects

Now that we’ve looked at the 3 levels of data -- as well as a variety of data collection techniques to help us prove impact -- let’s apply it to our real-life projects, or ideas for projects.

I want you to choose a project that your organisation is doing, or planning to do, and brainstorm the best ways you can collect data for it (or improve your current data collection systems). We will do this activity for 20 minutes before presenting our ideas. Feel free to ask me any questions you have.

Make sure your strategy to prove impact covers the following points:

- How will you prove the project has reached people?
- How will you prove the project has positively impacted people?

- Does the project represent good value for money?

You can project these questions using the accompanying slideshow. Otherwise, write them up.

You can split the participants into groups if they have multiple projects they want to work on. During the 20 minutes, answer their questions but otherwise don't get involved. Once they're finished, they can present their ideas to you (or to the rest of the class if they're split into groups).

// END OF SESSION

Session 4: Developing Your Own M&E System

00:00 Homework Recap

Hello everyone: last lesson we looked at how we can apply M&E methods and the 3 different levels of data to our own projects. I asked you to go away and think about how these things can be applied to your organisation as a whole.

Today we are going to do just that. We are going to go through the process together, asking ourselves questions to prompt discussions through which we will formulate a M&E strategy for your organisation.

00:02 M&E Methods Recap

Before we do that, I want us to recap the M&E methods we have learned about so far.

Go through this table with the class, project it, or print it off for them as a guide during the discussions.

Quantitative Methods (Numbers)	Qualitative Methods (Stories)
Counting (eg participants, deliverables, activities)	Focus Group Discussions
How many before vs. How many after	Change stories, told by participants
Percentages	Photos
Averages	Videos
5-point scales	Observational Reports
Cost per Participant	Participant Feedback (ideally written and filed)

00:10 Brainstorming Key Data and Data Collection Methods

So now I'm going to ask you some questions: after each one I want you to talk the matter over. I can write down what you decide on the board – and I urge you to write it down too. These discussions will help you formulate and M&E system for your organisation.

Okay, so here are the questions:

- What are your organisation's most important activities (or projects)? Choose at least 3, but more than that is okay too.

Give the class time to discuss it, and make a note of their answers. The more key activities they identify, the better for them.

- From the table and everything you've learned, what would be the best ways of proving impact for each of these activities? What SPECIFIC data would showcase their success the best, or gives us information we can use to improve them, and what methods would you use to collect it? You can choose multiple for each activity. Remember to have a good mix of quantitative and qualitative methods.

Give the class time to go through each one, and thoroughly discuss each. This will take time! Make sure they are thinking about collecting data for both showcasing and project improvement purposes.

- Out of this data and data collection methods, which ones best showcase your organisation's mission and vision?

Give the class time to discuss. Again, make sure to be noting down their answers. You may want to prompt them to choose a manageable

00:50 A System to Collect our Organisation's Headline M&E

Excellent work everyone. This specific data and information will be your organisation's "headline" data that clearly showcases your impact to the outside world. Now let's work on a plan to continuously gather this data.

For this, I want you to think of 3 things:

- How often do you have to collect the data?
- What specific resources do you need to collect this data?
- Who would be responsible?

Lead the class in discussion and help them write it down, preferably in a table format like this:

Data to be collected	How often?	Resources needed	Person responsible

Thanks everyone. Now, ideally we would do this for every single type of data we want to collect, as we identified in the last activity. If we have time today, we can do that. If not, please do it in your own time.

01:20 Assessment for Learning

Thanks everyone, we've had a great session today in which we've identified the best data to prove our organisation's impact as well as the methods to collect it. The best thing to do is to insert this data collection plan into a broader organisational Work Plan (which you have discussed/will discuss in the Project Management Module). Remember: this data won't just help you showcase your work, but will enable you to continuously improve your activities and projects too.

// END OF SESSION

// END OF MODULE

Module 9: Financial Accounting for Our Community Projects and Organisations

This module will be delivered by Finance Professionals. In case of any further assistance and coordination on this, reach out to Mildred via m.mugeny@xavierproject.org

Introduction

Once you have successfully applied for a proposal, and have received funds from a donor, you will need to manage the project. A major part of the management of this project is in the proper management of the funds received by the donor. In this module, the RLO is going to learn some of the ways they can financially account and report for their community projects successfully. This module also goes through strategies of managing project finances with the expectations that different donors may have.

During project implementation, it is important for an RLO to have appropriate financial processes in place to help them account for their money effectively. This module is aimed to take your RLO through basic bookkeeping, having a cash book, creating financial statements and some financial controls.

Session One - Understanding Basic Bookkeeping

Resources: Display the **PowerPoint** entitled “Module 9 – Understanding Basic Bookkeeping” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. Your participants will need access to CSSC M9 Handout 1 as well as CSSC Handout 2A and CSSC Handout 2B.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn about the basics of bookkeeping and how to go about basic bookkeeping.

You will also learn about some best bookkeeping practices you can adopt in your RLO.

- 00.05 What is Bookkeeping?

Ask the participants.

What do you understand by Bookkeeping?

Request answers from the participants. Write their responses on the flip chart. Let the participants discuss the meaning first, before giving suggestions and aligning their responses to the definition below.

- 00.10 Define Bookkeeping

Bookkeeping is the process of recording and organising all the transactions that have occurred in your organisation. To explain even further, Bookkeeping means that you write down all the money that comes into your RLO and all the money that goes out of your RLO. The bookkeeping system refers primarily to recording the financial effects of financial transactions only.

- 00.15 Introduce the next activity (20 mins)

Activity 1

For this activity you will need the participants to have access to [Handout 1](#) on Role Play.

Divide the participants into two groups, Give group A Role Play 1 and Give group B Role Play 2. Ask them to take 5 minutes to prepare to practice their role play and after that each group should take 5 minutes to present to the entire group of participants.

After the first five minutes have elapsed ask the participants to get back to their seats and Group A to start their role play. After they are done, ask Group B to start their role play.

- 00.35 Debrief

Ask the participants.

With the first role play, what is the woman's problem? What could she have done to avoid this problem?

Remember to ask for responses from different participants and align them to the answers below.

(answer) She had spent all her money without thinking about the school fees that she had to pay. She does not even remember what she has spent her money on. She could have kept records of her income and expenses and planned for the payment of the school fees.

Ask the participants.

In the second role play, Why were the group members angry? What could they have done to avoid this problem?

Remember to ask for responses from different participants and align them to the answers below.

(answer) The group members were angry because nobody knew what had happened with the money from the fees paid by the students accessing the RLO's activities as well as the income from the cyber. If they had kept records, they would have known how much money came in and went out of their RLO. It would also have helped them to know whether they were making a profit or not.

- 00.45 Benefits of Recording Transactions

Ask the participants.

In pairs, can we discuss the benefits or advantages of recording your organisation's transactions?

Give them a few minutes to discuss amongst themselves and then allow for some responses from the group. Write down the answers on the flip chart and discuss with them.

After the discussion read out to the participants the following, they might have mentioned most of them during the discussions so try and align your feedback to their responses. Please emphasise on the highlighted parts.

Transactions are the activities related to receiving and spending money, or instances related to buying and selling something.

The importance of recording transactions is that:

1. You will know how much **money you have received**, how much you have **spent** and **how** you spend it.
2. You can **calculate whether you are making a profit or a loss** and also know your break-even point.
3. You can keep records of **buying and selling on credit**. That is, you will know who your debtors are and how much they owe you, and who your creditors are and how much you owe them.
4. You can keep records of money coming in and going out of group businesses or projects. This will **prevent misuse of money and avoid mistrust among group members**.
5. It can help you in the **monitoring and controlling of your stock levels**, knowing when to make a new order and how much to order.
6. Knowing how much to order and when it **will reduce costs** associated with stocking and ordering (transport, rent, telephone calls etc) by deciding whether to buy in bulk to take advantage of discounts.
7. By comparing your **actual records with your planned budget**, you can determine if you are on the right track during your operational year.

To summarise this, Bookkeeping is defined as the process of recording financial information and transactions, therefore bookkeeping and record keeping are the same thing. Do you agree with this?

Allow for some responses before moving on.

- 01.00 Characteristics of Good Bookkeeping

Launch an open discussion asking the participants to describe which financial records they keep in their RLO and why they keep them? Ask the participants.

Describe where you record and keep your financial records?

Allow for some responses from the class.

Make sure to note that what they are describing is how they are currently recording their financial transactions. **The answers will vary depending on the size and activities that the RLO undertakes.** Write down the answers on the flip chart.

The discussion should generate examples like these below or you can prompt responses using the bullet points below:

- **Cash Book** - Used to record money coming into the RLO and Money being paid out by the RLO
- **Inventory Record Book** - Used to record the RLO's current stock
- **Credit Record Book** - Used to record the creditors, these are people the RLO owes money
- **Debtor Book** - Used to record the RLO debtors. These are people that owe money to the RLO
- **Fixed Asset Book** - Recording Fixed Assets that belong or are in the custody of your RLO

Ask the participants.

What are the **best bookkeeping practices** we can pick up from those discussions? Can you add anything different that you are doing or can do in your RLO?

You can prompt responses using the bullet points below:

- *Regular updating of the records (weekly or daily recording)*
- *Cash and bank reconciliation- Ensuring that the cash balance matches the bank balance. Separate RLO bank account from personal account.*
- *Monthly reviews*

- **01.20 Discussion on the Best Bookkeeping Practices for your RLO**

(This section should be an open and candid discussion with the participants, you will ask the questions and read out the explanations after the participants have given their input.)

Depending on the bookkeeping practices in your RLO, it is important for the information recorded to be characteristic of the following elements. Therefore, what information should the books provide?

Allow for some responses before aligning them to the explanation below:

- A complete record of all the financial transactions of the organisation
- When transactions have taken place
- A reference code for finding the backup documentation
- Analysis of incoming and outgoing money
- Who money has been paid to
- From whom money has been received
- Totals for a period

Ask the participants.

Who should be involved in bookkeeping?

Allow for some responses before giving them the answer below.

The entire management committee, not just the finance officer or treasurer is jointly responsible for the proper management of the finances. If the funds are misused or if the organisation cannot meet its debts then some or all of the management committee might find themselves personally liable. But it is impractical for the whole committee to be involved in every transaction, or to check through the books every day to make sure all is in order, so it is advisable for the committee to choose one of its members to take on the role of Treasurer. The treasurer is an officer of the committee and they it can be a paid or unpaid role. The role of the treasurer is to make sure that all the financial tasks get done; this does not mean that the treasurer has to do everything. For some organisations it might be best to set up a finance committee so the work and responsibilities are shared out. If there are paid workers they are often delegated the task of day to day book-keeping.

Ask the participants.

What equipment is required for bookkeeping?

Allow for some responses as you remember to take note of their ways and only advise on how they can improve them if necessary with the responses below.

Some of the equipment that is files or books you require for bookkeeping include:

- Account book with an appropriate number of columns, or spreadsheet, or other recording system
- Files for paid invoices (kept in cheque number or reference number order) **should be stamped paid.**
- File for unpaid invoices
- File for bank statements and bank mandate
- File for income receipts
- File for grant documentation (for example terms and conditions of grants, applications for funding)
- Envelope file (for storing cheque books and paying in books)
- Duplicate receipt book

- *File of bank reconciliation statements*

Not every RLO will manage to have this, so just remember to customise it according to the size of the RLO and the activities they undertake.

Ask the participants.

When should the books be done?

Allow for some responses.

*Your RLOs books should be updated **regularly**! It is important to form a regular routine and you must stick to the routine. It is always difficult to remain on top of your transactions, if you get behind, and will usually lead to more work in the long run. A general guide for an organisation might be:*

Weekly – update your account (cash) book, bank money, pay bills.

Monthly – add up your account book and agree (reconcile) with the statement from the bank. Add up the money in the petty cash tin and make sure it agrees with the cash book.

Quarterly – provide information to the committee on the financial position and performance. This may be done more often if required by the committee.

Ask the participants.

How does your RLO usually pay for something?

Allow for some responses.

Paying out money - How do you pay out money?

When paying out money there are a number of things that you should check:

- *Do you have an invoice for the payment required?*
- *Is the invoice added up correctly? Is the invoice in the RLO's name?*
- *Were the goods or services on the invoice ordered? Who by? Is the price correct?*
- *Were the goods or services delivered or received? Is there a delivery note? It is usually a good idea to attach the delivery note to the invoice.*
- *If you are happy that the invoice can be paid then you need to get the invoice authorised. You can either get one of the cheque signatories to sign the invoice, or attach an authorisation document (see [handout 2A](#) and [handout 2B](#) for example) and get them to sign that. At this stage it is also beneficial to record which analysis column (heading) and fund the expenditure should be allocated to.*
- *It is usually best to file invoices in cheque or other reference number order.*
- *All invoices and back-up documentation need to be kept for six years.*

Ask the participants for feedback on this procedure before moving on.

How does your organisation receive money?

Allow for some responses.

Receiving Money.

What should you consider when you receive money?

When receiving money you...

- *Need to determine what the money is for, for example, Is it a grant or payment for an invoice?*
- *Need to establish if you have all the supporting documentation for receiving the money? Is it because of a grant, a donation or a payment for a service or good?*
- *When you receive the money, it is always best to give a duplicate receipt for cash. There is no proof otherwise that you have received the money.*
- *It is sensible to bank any money you receive as often as possible – for security reasons as well as to further legitimise the activities of your RLO. Also there is the problem of security with regard to cash or cheques left on the premises. If possible, request for the money to be paid directly into your RLOs official bank account.*
- *Remember to enter full details on the bank paying in the Cash Book.*
- *All money received, in the form of cash or cheques, needs to be entered into the Cash Book before being taken to the bank. If the money was paid directly into the bank, be sure to record it into the Cash Book.*
- *File the document for each item in order of date banked, and give it a unique reference number.*
- *If you receive funding from grants it is a good idea to keep a file with the original application form and the terms and conditions of each grant you receive.*

Ask the participants.

How will you know you have a good financial recording system?

Allow for some responses, they will vary but they should have the following characteristics:

A good record keeping system should:

1. **Be Easy to use.**
2. **Record the necessary information details.** *Depending on the complexity of the business, the amount of detail will vary. Some businesses will want to keep accurate records down to the enterprise or location level.*

- 01.45 ASSESSMENT FOR LEARNING (AFL)

Wrap up the session by asking the participants if they feel that they have a good understanding of bookkeeping. Remember they will need time to also review their own existing mechanisms and where necessary advise on ways to improve what is already

existing or build something entirely new. As the facilitator depending on their level you will need to advise them on developing a suitable bookkeeping system that can work with their activities and already existing capacity.

Session Two - Financial Records 1 - The Cash Book

Resources: Display the **PowerPoint** entitled “Module 9 – The Cash Book” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will need a flipchart and markers. Your participants will need access to the CSSC M9 Handout 3, CSSC M9 Handout 4 and CSSC M9 Handout 5.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn about the Cash Book and how to record transactions in the Cash Book.

- 00.05 Refresher from Bookkeeping

Ask the participants.

Can someone please recap our previous session on bookkeeping.

Allow for some responses before giving your own recap.

Bookkeeping is the process of recording and organising all the transactions that have occurred in your organisation. Bookkeeping means that you write down or record all the money that comes in and the money that goes out of your organisation. When you are recording this, the following symbols will be used:

Examples: Kenya Shilling symbol can be **Ksh** and Uganda Shilling can be **UGX** or whatever currency you are using.

Ask the participants.

What are the sources of income or money that comes into your organisation?

Allow for some responses and write them on the flipchart.

Write the answers on the flip chart.

Money In = money becomes more, so we use the addition sign +

Ask the participants.

What are some of the expenses of your organisation?

Allow for some responses from the class and write this out on the flip chart.

Money Out = money becomes less, so we use the subtraction sign -

After recording the money in and money out, now we need to introduce the **Cash Book**.

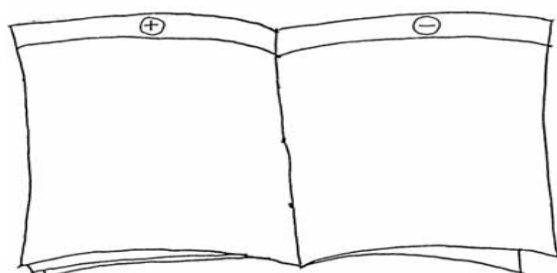
Ask the participants.

What is the meaning of a Cash Book?

Allow for some responses before giving the meaning below.

- 00.15 The Cash Book

The book in which we write all the money that comes in and goes out is called a '**cash book**'. You can use a regular arithmetic exercise book as a 'cash book'. All **money that comes in** is usually written on the **left side of the book** and all the **money that goes out** is written on the **right side of the book**. Here is an example:



Does your organisation have a Cash Book? What does it look like? Is it similar to the example above?

Allow for some responses before moving onto the next activity.

- 00.20 Introduce the Next Activity

Draw a 'Cash Book' on the flipchart. You can just draw a table with two columns similar to the example above. Explain to the participants that you are going to read out a list and from that list, they can pick a few volunteers to come and write on the flip chart which items mean they have received money and which ones mean that they have spent money.

Read out the following.

- *Buying of materials*

- *Firewood*
- *Income from sales*
- *Transport costs*
- *School fees, school uniforms*
- *Medicines, hospital bills*
- *Gifts from friends, donors*
- *Loans from banks, money lenders or others*
- *Food*
- *Clothes*
- *Collections from savings group*
- *Ceremonies (funerals, weddings, outdoorings)*
- *Salary payments*

The list can be endless, reminding participants to add in what other sources of income they have and what they spend on and ensure the list is as relatable as possible.

Now invite participants to come and write the answers on the correct side of the 'Cash Book'. Accept all answers. You can further prompt responses from the bullet points below:

Now from this list, you can see clearly from which sources you **Receive Money**? In that case, the money increases that is:

(Money becomes more +

Therefore, the correct answers should be:

- *Income from sales*
- *Gifts from friends, donors*
- *Loans from banks, money lenders or others*
- *Collections from savings group*

From the other side, you can clearly see what you **Spend Money** on. In that case, the money decreases, that is:

(Money becomes less); -

You can clearly see that you spend money on:

- *Buying of materials*
- *Firewood*
- *Transport costs*
- *School fees, school uniforms*
- *Medicines, hospital bills*
- *Food*
- *Clothes*
- *Ceremonies (funerals, weddings, outdoorings)*

- Salary payments

Ask for feedback before moving on.

- 00.25 What is a Cash Book?

Ask the participants.

What is a Cash Book? Does your RLO have one?

Allow for some responses before aligning them to the definition below.

*The book in which we write all the money that comes in and goes out is called a ‘**Cash Book**’. You can use a standard arithmetic exercise book as a ‘cash book’. When writing down what money goes in and what money goes out, it is known as a **Simple Cash Book Entry**. When you do this, the following symbols are used:*

- Money in, meaning that Money becomes more, so we use the addition sign (+) All money that **comes in** is written on the **left side of the book (LEFT)**
- Money out, meaning that Money becomes less, so we use the subtraction sign (-) All the money that goes out is written on the **right side of the book (RIGHT)**

- 00.30 Simple Cash Book Entry

Now you are going to demonstrate to the participants what a simple cash book entry should look like. Draw a cashbook on the flip chart draw (Below is an example). You can also use the table below to instruct participants how to draw a cash book in their own notebooks. Each of the lines explain what should form part of the simple cash book entry.

CASH BOOK	
Left Side = Money In (or income)	Right Side = Money out (or expenditure)
1 st Column = Date: the day that you received the money	1 st Column = Date: the day that you pay the money
2 nd Column = Source of Income	2 nd Column = What the money was spent on
3 rd Column = How much money	3 rd Column = How much money

After this demonstration, you can also draw out the table below to give the example of a blank cash book. Remember the left hand side represents money into the organisation and the right side represents money out of the organisation.

Table 1: Example of a Blank Cash Book

DATE	MONEY IN	AMOUNT		DATE	MONEY OUT	AMOUNT
	Total				Total	

After this, together with the participants fill out the cash book with entries. You could use the examples the class had shared earlier or alternatively you could ask for some examples. The table below also shows some examples of entries you can use.

Table 1a and 1b: Example of a Filled in Cash Book

The tables below demonstrate simple book entries in Ksh and their equivalents in UGX.

Date	MoneyIn	Amount (Ksh)	Date	MoneyOut	Amount (Ksh)
20-01-09	Sold 10 pieces of kitenge	2,000	01-01-09	Purchased equipment	3,000
25-01-09	Sold 14 pieces of bananas	2,800	07-01-09	Payment of incentive/wages	1,200
29-01-09	Sold 20 pieces of kitenge	4,000	16-01-09	Transportation of items to office	800
	TOTAL	8,800		TOTAL	5,000

Date	MoneyIn	Amount (UGX)	Date	MoneyOut	Amount (UGX)
20-01-09	Sold 10 pieces of kitenge	65,725	01-01-09	Purchased equipment	98,588
25-01-09	Sold 14 pieces of bananas	92,015	07-01-09	Payment of incentive/wages	39,435
29-01-09	Sold 20 pieces of kitenge	131,450	16-01-09	Transportation of items to office	26,290
	TOTAL	289,190		TOTAL	164,313

- 00.45 More on Simple Cash Book Entries

Now open the flipchart where you had drawn the sample cash book and then read the following transactions to the participants and let them direct you on to which column and side each of the transactions should be recorded. The transactions are in Ksh and you can calculate their equivalents in UGX.

- January 2, 2012 Received Ksh 3,000 (UGX 98,573) for sales of goods
- January 14, 2012 Received Ksh 6,000 (UGX 197,146) for services rendered to customer
- January 22, 2012 Purchased office supplies for Ksh 1,000 (UGX 32,858)
- January 26, 2012 Pay for advertisement for Ksh 300 (UGX 9858)
- January 31, 2012 Bank charges in the amount of Ksh 15 (UGX 493)

Ask the participants, if they feel that all the records are in the right column and to explain whether the transaction is an expense or an income. You can also ask for more examples from their experience and you can help put them in the right sections.

Review the cash book entries to ensure that the participants understand that all income is recorded on the right hand side and all expenses on the left hand side. Ask for any feedback and questions before moving on to the next activity.

- 01.00 Introduce the Next Activity

For this activity, you will need to distribute [CSSC M9 Handout 3](#). Instruct the participants to work in groups of two or three. The handout has all the instructions and would require the participants in their groups to develop a:

1. Cashbook

Give the participants about ten minutes to work on the activity and you can go around helping each group understand the concept and offer assistance and guidance if anyone may be struggling. If any group or participant has any questions or difficulties please clarify for them.

- 01.15 Setting up the Analysis Section in the Cash Book

Normally the left hand page of the book is used for income and the right hand page for expenditure.

Column headings for the income side of the book are normally set out as follows:

Date	Description	Reference	Banked	Amount	Analysis columns*
Date of Banking	Name of the person / organisation giving the money	Reference number to identify where backup documentation is filed	Total of Amount Banked for that day	Total Value of the Individual Transaction	Value of total Column analysed into Categories

Column headings for the expenditure side of the book are as follows:

Date	Description	Reference	Fund	Amount	Analysis columns*
Date of Banking	Name of the person / organisation giving the money	Cheque Number or Payment slip Number that will be used to identify the document when filed	Initials from the funds in which they were paid	Total Value of the Individual Transaction	Value of total Column analysed into Categories

Ask the participants.

What is the purpose and the meaning of analysis columns in your cash book?

Allow for some responses before aligning them to the explanation below.

Analysis columns are columns on your cash book that give more information on the transactions they support. Providing more information on a transaction that was received or spent enables you to see clearly how much money has been received from a particular source, and how it has been spent. The analysis column headings will vary from organisation to organisation. You will normally find that you need fewer analysis columns for the money received side of the book than you will for the payments side. In order to produce reports comparing the figures with the budget easily and simply, it is strongly recommended to use the same headings on your analysis columns as you do for your budget.

Some analysis headings will be common to most organisations and these will typically include:

- *Income: Grants; Donations; Subscriptions; Sundry (Miscellaneous).*
- *Expenditure: Salaries, Electricity, Rent, Postage, Stationery, Travel, Telephone.*

When entering Income Transactions in the Cash Book it is important to:

- *List cheques and cash in your bank paying-in book and total them up*
- *Enter date of banking in the date column*
- *Enter the name of the organisation from whom money was received in the details column.*
- *Enter sequential reference number in the reference column*
- *Enter total banked on the paying in slip in the bank column*
- *Enter income amount individually in the amount column and appropriate analysis column*
- *Record date and sequential reference number used in the cash book on the supporting paperwork*
- *File document in reference number order*

When entering Entering Expenditure Transactions in the Cash Book, it is also important to:

- Complete the cheque for payment. Always fill in cheque stub.
- Enter date of cheque in cash book.
- Enter name of organisation/individual to whom cheque is payable in cash book.
- Enter cheque number in cash book (they should be entered in cheque number order).
- Enter D/D and S/O for Direct Debit and Standing Order respectively.
- Enter initials of the fund from which expenditure is made in the fund column (if appropriate).
- Enter the total amount of cheque in the total column and in the appropriate analysis column.
- Record date and cheque number on supporting invoice.
- File invoices in cheque number order; Direct debits and standing order payments should be filed in date order.

- 01.30 Direct Payments Through the Bank Account

Sometimes grants are paid directly into the organisation's bank account. Organisations may also choose to make regular payments by Direct Debit or Standing Orders. All these direct payments should be recorded on a list, which should be kept at the front of your bank statement file including information on the date of the transaction, the organisation it is from or to, and the amount. The list is for checking purposes and should not be used for entering transactions into the cash book. The source document for entering these transactions will be the bank statement.

- 01.35 Using a Spreadsheet instead of a paper Cash Book

A spreadsheet is a very useful tool in analyzing and totaling the transactions. You can build your own or borrow from the examples in [Handout 4 - Cash Sample 1](#) and [Handout 5 - Cash Sample 2](#). You can look for as many examples as possible and take as much time as possible to ensure the participants are comfortable and confident with the spreadsheet.

- 01.55 ASSESSMENT FOR LEARNING

By this point, your participants should have set up a cash book and they should also feel confident in filling it in. Where possible and with the resources available, the participants should also have a digital platform to record their transactions and this can be in the form of a spreadsheet or Quickbooks or something similar. Before moving on, you must ensure every participant feels confident analysing their RLOs transactions. For the next session, you will need to request the RLOs to come with their cash book and a copy of one of their bank statements. This will be useful for the sessions as it will be practical examples of the

activities and exercises to be done. If the RLO is just setting up a cash book, you will need to give them some time to develop one before the next session.

Session Three - Financial Records 2

Resources: Display the **PowerPoint** entitled “Module 9 – Other Financial Records” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will need a flipchart and markers.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn about other financial records that are important for the financial accounting of your RLOs activities.

- 00.05 Introduce the First Activity.

In the first session where we learned about bookkeeping, we mentioned some of the various books that your RLO should be keeping to record all their financial transactions and activities. Can we mention these books?

Allow for some responses and write them down on the flipchart and ensure they resemble something like this.

- *Cash Book*
- *Inventory Book*
- *Creditors Book*
- *Debtors Book*
- *Fixed Assets Book*

In our previous session, we have discussed in detail about the Cash Book today we will move on and discuss the other books and records that your RLOs should be having.

Ask the participants if in their RLO's they have any stocks or inventory. Stocks are the items that the RLOs have for sale perhaps for their income generating activity or for use in a particular project)

If one participant says yes, ask them to describe and draw on the flip chart how the inventory or stock book looks like.

- 00.10 Introduce the concept of Inventory Records

An Inventory Record keeps a record of physical items or stock that your organisation has at any point in time. It includes what you had at the beginning of the year, what has been added to those items through purchases and production and how much has left your organisation through sales, consumption, planned use in the implementation of a project or losses. An Example of an inventory record is shown below.

Draw the table below as an example on the flip chart.

No.	Description	Beginning	Purchases	Sales	Loss	Total

Introduce the next activity that will help explain more on how to put together clear inventory records. Read out the instructions below to the participants.

We will now be filling in the table through an activity we will be working on together. Please follow the instructions below.

RLO Z Sells computers and computer accessories in their local area. They have the following transactions.

January 1, Opening Balance 5 Computers Printers for sale 2

January 10th, Bought 2 Computers and 4 Printers for sale

January 15th, Sold 1 computer and 2 Printers

January 30th, 1 computer and 2 printers we stolen

Record the transactions on the inventory book.

Allow the participants to work on this for about three to five minutes as you go around checking their work before filling the template on the flip chart with their feedback. The correctly filled table should look as follows.

No.	Description	Beginning	Purchases	Sales	Loss	Total
1.	Computers	5	2	1	1	4
2.	Printers	2	4	2	2	2

Now not all stock is related to business activities. In the case of a project activity that requires you to utilise some materials, you can adopt an inventory book with a format as follows.

Draw the table below for another example of an inventory record for items used for a particular project.

Item						
Supplier						
Total Quantity						
Received by:				Sign:		
Stored by:				Sign:		
REF NO:	Date Received	Amount Received	Date of Use	Number of Used Items	Balance of Items still in stock	Officer name and sign

- 00.30 Introduce the Credit Book

Ask the participants.

*Do you have any clients or donors who you sell to or implement activities for on credit?
How do you keep track of them?*

Allow for some responses before aligning them to the below.

It is likely that your RLO at some point will have to manage activities on credit, or sell items on credit. In such a case, you need a systematic way of keeping track of that credit. A good way to do this is to record it in your credit book.

A Credit Book keeps the record of all the money the customers or donors have to repay for goods and services purchased on credit. In the case of a donor, sometimes they may have agreed to fund a project and you have a signed contract on the same but the funds may not have been disbursed into your bank account or cleared yet the project should have already started. In such a case you may have to start implementing the project and use other resources and you refund your resources once the money has cleared in your account. An example of a credit book is shown below.

Draw the table below on the flip chart and tell the participants to create the same template in their notebooks.

CUSTOMER CREDIT BOOK					
Name					
Address					
Date	Description	Credit			Signature
			Payment	Balance	

Introduce the next activity that will help explain more on how to record transactions clearly in the RLOs credit book. Read out the instructions below to the participants.

We will now be filling in some transactions for an activity in our credit books through an activity we will be working on together. Please follow the instructions below.

The following transactions also occurred in RLO Z.

- 1. June 2, 2011 Credited 5 gallons of honey for Ksh 900 or UGX 29,572 to Fatuma Business Center to be paid in 15 days.*
- 2. June 15, 2011 Siah credited 2 baskets of Melon costing Ksh 800 or UGX 26,286 from Jumah Business Enterprise.*
- 3. June 20, 2011 Flomo took 3 pieces of Kitenge for Dweh Center on credit for Ksh 500 or UGX 16,429.*

Please fill them in the sample credit book.

Allow the participants to work on this for about three to five minutes as you go around checking their work before filling the template on the flip chart with their feedback. The correctly filled table should look as follows.

CUSTOMER CREDIT BOOK					
Name					
Address					
Date	Description	Credit			Signature
			Payment	Balance	
June 2 nd 2011	5 Gallons of Honey	Ksh 900 or UGX 29,572	0	Ksh 900 or UGX 29,572	
June 15 th 2011	2 Baskets of Melon	Ksh 800 or UGX 26,286	0	Ksh 800 or UGX 26,286	
June 20 th 2011	3 pieces of Kitenge	Ksh 500 or UGX 16,429	0	Ksh 500 or UGX 16,429	
TOTAL		Ksh 2,200 or UGX 72,287		Ksh 2,200 or UGX 72,287	

Can we include a sample of a template on how to record a project managed on credit?

- 00.45 Introduce the Debtors Book

Ask the participants.

Does your RLO have a debtors book and how do you usually handle debtors?

Allow for some responses before aligning them to the explanation below.

A Debtor Book keeps a record of all whom the business or the organisation owes. To explain further, debtors are those who have supplied goods and services to the business or organisation on credit. An example of a debtors book is shown below.

Draw the table below on the flip chart and tell the participants to create the same template in their notebooks.

DEBTOR BOOK				
Date	Description	Debt		
			Payment	Balance

Introduce the next activity that will help explain more on how to record transactions clearly in the RLOs debtors book. Read out the instructions below to the participants.

We will now be filling in some transactions for an activity in our debtors books through an activity we will be working on together. Please follow the instructions below.

The following transactions also occurred in RLO Z.

- June 2, 2011 Credited 5 gallons of honey for Ksh 900 from Fatu Business Center to be paid in 15 days.
- June 15, 2011 Siah Enterprise credited 2 baskets of Melon costing Ksh 800 from Jumah Business Enterprise.
- June 20, 2011 Flomo Inc. took 3 pieces of Kitenge for Dweh Center on credit for Ksh 500

Allow the participants to work on this for about three to five minutes as you go around checking their work before filling the template on the flip chart with their feedback. The correctly filled table should look as follows.

DEBTOR BOOK				
Date	Description	Debt		
			Payment	Balance
June 2 nd 2011	Fatu Business 5 Gallons of Honey	Ksh 900 or UGX 29,572	0	Ksh 900 or UGX 29,572
June 15 th 2011	Siah Enterprise 2 Baskets of Melon	Ksh 800 or UGX 26,286	0	Ksh 800 or UGX 26,286
June 20 th 2011	Flomo Inc. 3 pieces of Kitege	Ksh 500 or UGX 16,429	0	Ksh 500 or UGX 16,429
TOTAL		Ksh 2,200 or UGX 72,287	0	Ksh 2,200 or UGX 72,287

Debtors book and Credit Book should be kept by all RLO's to keep track of their stock, customers, vendors and activities that they are engaged with. Ask for feedback and input from the participants before moving on.

- 01.00 Introduce the Fixed Asset Register

Ask the participants.

What are fixed assets? Does your RLO keep a fixed asset register? If yes, what information does it have?

Allow for some responses from the participants before aligning their feedback to the explanation below. You can also choose a participant to come to the flip chart and draw out the format of their fixed asset register.

Fixed assets are the items that your organisation owns which continue to hold value year after year, they include things like computers or furniture. When you buy the item and record it in your cashbook, you should also record the item on a separate book or page in what is known as an asset register. An asset register can also be used for insurance purposes. The information that you need to record here about each item is as follows:

1. *Date of purchase*
2. *Original Cost- This is the value of the asset*
3. *Condition - Is the asset new or used*
4. *Funder/Donor- where did the funds come from to buy the asset*

Below is an example of an asset register.

Date bought/ donated	Item	Original cost/ Value	Condi on	Funder/Don or
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13th April 2018	Laptop Lenovo C58 Series 9 S/N LNH-09/HU	Ksh 60,000	New	UNHCR
2nd January 2019	Learning Center desk	Ksh 5,000	Used	Xavier Project

Ask for feedback from participants on their own assets and how they have been recording them. You can also use the remaining time to get feedback and clarify anything that is needed and ensure that all participants feel comfortable with the financial records in the session.

- 01.10 ASSESSMENT FOR LEARNING

For this session it would be important to ensure your RLOs have established their own inventory books, credit books, debtors books and fixed asset registers. If they already had them in place, use the session to work on ways to improve the way they are recorded such as digitisation or just aligning them to current trends in finance.

Session Four - The End Of Month Tasks and Bank Reconciliation

Resources: Display the **PowerPoint** entitled “Module 9 – The End of Month Tasks and Bank Reconciliations” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will need a flipchart and markers. You will also need the RLOs to come with their cash book and a copy of their bank statement. If none of these are available, you will need access to a cash book and a bank statement. Please use this example if they do not have a bank statement [Bank Reconciliation Example](#)

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn how to perform end of the month tasks and bank reconciliations.

- 00.05 Introduce the concept of End Month Tasks

Ask the participants.

What is a month-end close? What do you understand when we say ‘end-month tasks’?

Allow for some responses before giving them the explanation below.

In accounting, a month-end close or end-month task(s) is a series of steps an organisation follows to review, record, and reconcile their financial accounting information. It can also be referred to as closing your books.

Ask the participants.

From the definition we have just heard, can you describe your RLOs end of month tasks ?

Allow for some responses, they will vary but they should have the following characteristics:

1. Record incoming cash: *When closing your books monthly, you need to record the funds you received during the month. Some incoming cash you might need to record includes:*

- Revenue
- Donations
- Loans

- **Invoice payments**

Compare your invoices with your records to make sure you aren't missing any payments. If you have a business, make sure you send an invoice to every customer you completed work for during the month or if it is requesting funds for managing a project, make sure you send an invoice to the donor on the expenses made on the project as per the agreed budget. If you find any discrepancies, fix them right away.

2. Update accounts payable: During your month-end close, cross-check your records to make sure you paid all bills and invoices.

3. Reconcile accounts: To do this, match your records to your account statements from outside entries, such as the bank. Make sure your records for the month are accurate by performing a bank statement reconciliation.

4. Review petty cash: If you use petty cash or have a petty cash fund especially for your day to day operational expenses, you need to account for those expenses at month-end, too. Record all of the receipts for items you purchased using petty cash. Make sure your receipts and records match the balance of your petty cash fund. If it does not, chances are you are missing a transaction. To compare your petty cash fund to your records, physically count the leftover cash in your fund. If it does not match up, you might be missing a receipt. Or, you might have forgotten to record the used petty cash in your books. This is why it is very important to be recording all financial transactions as soon as they happen in the cash book.

5. Look at fixed assets: Your fixed assets are long-term items that add value to your organisation. Things like buildings, equipment, furniture, vehicles, and land are considered fixed assets. Your fixed assets usually do not convert directly into cash but they enable you to implement projects effectively. Fixed assets are generally larger purchases, they can depreciate in value over time. When closing your books at the end of the month, be sure to also record any payments related to your fixed assets.

6. Count inventory: If you want to make sure your inventory is correct, you need to perform monthly inventory counts. Counting your inventory monthly allows you to accurately record inventory levels in your books at month-end. Plus, doing a monthly inventory count can help you decide what items you need to replenish and how frequently. You might need to monitor some types of inventory more than others. If you don't accurately track your inventory, you could experience problems like inventory shrinkage. This means that if you have an income generating activity such as a restaurant and you make tea every morning with milk, you have milk in your inventory and because milk is perishable (meaning it can get spoiled quickly) you would need to check your perishable food inventory more frequently. This would be different if you were only offering learning programs and needed notebooks for the lessons, you can count and update your inventory before and after every cohort. Use your inventory count to make adjustments and reconcile your books when you complete your month-end close.

7. Organize and review financial statements: *At the month-end close, you have the responsibility of organizing and reviewing all of your financial statements. These mainly include your:*

- *General ledger*
- *Business balance sheet*
- *Profit and loss statement*

Please note that we will be looking at the financial statements in more detail in later sessions.

Ask the participants to review their RLOs end-month tasks and see if they feel that this would be something they can adopt or align too. Also get feedback on if there is any other activity they may do that you could add onto the list above.

- **00.35 Introduce the concept of Bank Reconciliation**

Ask the participants.

What is a bank reconciliation?

Allow for some responses. This should be a discussion, allow for as many suggestions and definitions as possible, and align the response to the explanation below:

A bank reconciliation is the process that you go through to ensure that the bank account statement and the cashbook 'agree' or add up to one another.

Ask the participants.

In that case, why would the bank account statement and the cash book disagree? Or not add up? To put it differently, what causes the difference between the bank statement and the cashbook?

Allow for some responses before aligning them to the explanation below.

It is important to ensure that the organisation's records are both complete and accurate. At a particular date the balance on the bank statement may be different to that of your cashbook due to:

- **Unpresented cheques** – *cheques that your organisation has written, and which are included in the cashbook but which the person receiving the cheque has not yet paid into the bank, or which the bank has not yet cleared.*
- **Receipts not credited** – *money you have paid into your bank but which does not yet appear on your bank statement, because it has not been cleared through the banking system at the statement date.*

These are valid differences that are called '**reconciling items**' as they reconcile the cashbook and bank statement balances.

Other differences or reasons they may not add up (agree) arise from items on the bank statement that need to be written into the cashbook before reconciliation can be performed. Such items may include:

- **Direct debits** – varying amounts paid directly to other organisations (with your authority) by the bank.
- **Standing orders** – regular payments of fixed amounts at stated dates to certain persons or companies paid directly by your bank.
- **Bank charges** – amounts that the bank has charged your organisation.
- **Bank interest** – interest that the bank pays on any balance in your account.

Finally there may be errors that require correction, such as duplicated entries. These could be errors on the part of the bank or the person managing the organisation's books.

Can you think of any other reasons we may have left out? Or some of the examples your RLO may have experienced that you can share with everyone?

Allow for some responses before moving on.

- **00.55 How to do a Bank Reconciliation at the end of the month.**

Introduce the next activity to the participants.

For this activity, you will need to get out your cash book and a copy of your bank statements. Please follow the instructions below:

1. Draw a line under the last day of the month on the bank statement. Please note that this will not necessarily be the last day of the month on the bank statement. The bank balance just above this line is the one you need to take note of.
2. Work through items on the bank statement up to the drawn line and match to items in the cashbook. If they match, tick both items.
3. Check thoroughly the validity of unticked items on the bank statement. If it is valid for instance if it happens to be one of the examples we gave in our previous section a standing order or bank interest, enter into the cashbook and tick it on both the bank statement and the cashbook.
4. Any errors in the cashbook must be corrected. Any errors by the bank should be followed up immediately.

Be sure to go around each participant and help them to track some of the errors and offer assistance and explanations where you can. Encourage them to try and find solutions first before offering your input before moving on.

The above steps 1 to 4 should be done before totalling up the cashbook at the end of the month so that any additions or adjustments can be made to the cashbook before the

columns are totalled up (for a paper cashbook). The same needs to be corrected if the cash book is on a spreadsheet or an alternative bookkeeping system.

Ask for feedback and any clarifications on this before moving on to the next instructions.

5. Draw a line across the cashbook and total up for the month end. You can also use the totaling formulae in your spreadsheet. Check for errors by 'cross-casting' (this means adding up all the analysed totals and checking if it agrees with the total column).
6. All the items on your bank statement should now be ticked in your cashbook.
7. That said, there may be unticked items that could be:
 - Cheques issued but not yet presented to the bank.
 - Income banked but not yet cleared in the banking system.

These items should account for the difference between the bank balance and the cash book balance.

You will need to go around again to each participant ensuring that they have understood the steps and that their bank balances have been correctly reconciled. If they do not, also get them to think of what may have caused the discrepancies before moving on. Take your time with this section.

- 01.20 Reviewing the Bank Reconciliation

To sum this up, when reviewing your bank reconciliation, the adjusted bank balance should agree to the cash book balance. If it does not, the reason for the difference should be identified and corrected. This may involve checking:

- The addition of the cashbook.
- That the bank balance has been correctly copied from the statement.
- That the cash book balance has been correctly calculated.
- The ticked items to ensure that the amounts per the statement and the cashbook agreed exactly.
- That all un-ticked items on the cashbook are represented correctly in the reconciliation.
- That there are no un-ticked items still on the bank statement.

Once the two balances have been reconciled review the reconciling items to ensure that they appear valid. Any item that appears unexpectedly should be investigated to ensure it is correct. With regard to receipts, remember that income should never take more than a few days to clear the banking system and hence any 'old' uncleared receipts are suspect. These should be checked to ensure, for instance, that the income has not been entered in the cashbook twice in error.

- **01.30 ASSESSMENT FOR LEARNING**

This section requires you to support the participants and establish a routine of end month tasks in their RLO. It would need you to investigate their activities and then get them to customise a month end close sequence of activities that they can stick to. For the next section, you will also have to ensure that the participants feel comfortable with their bank reconciliations, that is why it may be important to do the exercise multiple times and guiding and coaching as you go along until they can successfully do it on their own.

Session Five - Financial Statements

Resources: Display the **PowerPoint** entitled “Module 9 – Financial Statements” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will need a flipchart and markers. You will need your participants to have access to CSSC M9 Handout 3. The participants will need access to the cash book they had prepared for this handout in session 2.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn about the different types of financial statements that your RLO should have.

- 00.05 Introduce the concept of Financial Statements

Ask the participants.

Please describe what type of financial statements your RLO produces?

Allow for some responses before aligning them to the explanation below.

There are two types of financial statements that RLO's will need to prepare, they are the:

- *Profit and Loss, the statement of Receipts and Payments*
- *Balance Sheet, the statement of Assets and Liabilities*

- 00.10 Introduce the concept of Profit

Ask the participants.

What is the meaning of profit? What do you understand by it and explain in your own words?

Write all the examples given on the flip chart. Then read out the following explanation.

Profit is equal to the total amount you get from the total sales of the item minus the total cost of the item. Basically,




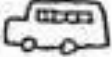

PROFIT = TOTAL SALES less TOTAL COST

- 00.15 Introduce the First Activity

Read the following case study to the group.

A women's group is running a poultry project. They buy chicks and feed them until they are mature. The chicken food can easily be bought in the village. Sometimes chickens get sick and they have to buy medicines. The chickens are sold on market days in town, about 15 kilometers from their village. They always take the bus to get there. In town they pay a porter for carrying the chickens from the bus station to the market. At the end of the market day all the chickens are sold.

Draw a cash book on the chalkboard. Tell the story again, item by item. Let the participants tell you which actions bring in money and which actions require you to spend money. Ask individual participants to draw the appropriate symbols in the correct columns on the chalkboard. You can use the table below as a guide to help you guide the participants, but be sure to write the correct items as they should appear on the cash book.

⊕	⊖
<div data-bbox="240 1070 368 1126" style="border: 1px solid black; padding: 2px; display: inline-block;">1000</div> <div data-bbox="459 1059 699 1104">(sale of chickens)</div>	<div data-bbox="818 1059 914 1149" style="text-align: center;">  </div> <div data-bbox="1074 1059 1185 1104">(chicks)</div> <div data-bbox="810 1171 906 1227" style="text-align: center;">  </div> <div data-bbox="1074 1171 1273 1216">(chicken food)</div> <div data-bbox="834 1261 882 1350" style="text-align: center;">  </div> <div data-bbox="1074 1294 1233 1339">(medicines)</div> <div data-bbox="818 1395 930 1451" style="text-align: center;">  </div> <div data-bbox="1074 1417 1217 1462">(transport)</div> <div data-bbox="850 1462 898 1574" style="text-align: center;">  </div> <div data-bbox="1074 1529 1185 1574">(porter)</div>

- 00.20 Debrief

After the Participants have correctly put the expenses in the right column, ask the participants to estimate the amounts that each item will cost. The costs will vary from region and area of operation, be sure to prepare accordingly. (For example in Ksh this can possibly be, Sales 10000 chicks Ksh 2000 Food 1000 Medicine 700 Transport 500 porter 100, Please do the same according to the market value of each of the items in Uganda) Use the figures they suggest to tell the participants to calculate the profit made by the women's group.

Allow them to work on this for about five minutes before calculating it together on the flipchart. The filled out cash book should look like this below.

CASH BOOK	
+	–
Sale of Chicken 10,000	Buying chicks Ksh 2,000
	Buying chicken feed Ksh 1,000
	Buying medicine Ksh 700
	Transport to the market Ksh 500
	Porter at the market Ksh 100

Profit can be measured and calculated. So here is the formula:

PROFIT = TOTAL SALES less TOTAL COST

The table below shows another example of how to calculate profit and loss. If you have sold items worth 100,000 and the cost of the item was 75,000, then the difference is 25,000 which means you made a profit. On the other hand, if you have sold items worth 100,000 and the cost of the items was 125,000, then it means you lost 25,000, meaning you made a loss.

The same can also be considered when managing a project. That is why when you are making the budgets to manage your community projects you need to make sure that they do not cause you to operate at a loss, meaning that it costs you more to manage the project than what is being donated.

Draw the table below on the flip chart to explain the above instructions.

Example of a Filled in Profit or Loss Formula

Sales	Costs	Profit or Loss
Ksh 100,000	Ksh 75,000	Ksh (Profit) 25,000
Ksh 100,000	Ksh 125,000	Ksh (Loss) 25,000
Total Sales greater than total costs		= Profit
Total costs greater than total sales		=Loss
Total sales = total costs		=Break-even

Share ideas with the participants about the formula to be used for profit and loss in business.

Then explain the following and draw the formula on the chalkboard:

$$\text{Money in} - \text{Money out} = \text{Profit or Loss}$$

Profit - means that there is more money coming in than there is going out.

Loss - means that you spend more money on producing or buying your products than money you earn by selling the goods.

Ask the participants to ensure that they have captured all the expenses incurred in the business or organisation by asking themselves the following questions.

- What is the money that goes out of your business to produce your goods (or provide your service)?
- What materials do you buy;
- What services do you pay for;
- How much do you pay for work someone has done for you;
- How much do you need for replacements and repair of your tools and equipment?
- How much do you receive by selling the same goods (or by providing the Works or service)?

The cash book will help you to remember how you have spent the money that has gone out of your business or organisation and how much money has come in from your sales or services.

- 00.40 Introduce the next activity

Brainstorm with the participants on the following questions, or choose other examples of businesses that are more familiar to your participants:

What is the income and the expenditure concerned with operating an artisan shop?

What is the income and the expenditure involved in buying and selling Kitenge ?

When it comes to the business,

- *What materials do you buy?*
- *What services do you pay for?*
- *To whom do you pay wages?*
- *Do you need money for replacements and repairs?*

For both examples draw a cash book on the flip chart and draw the symbols in the correct columns. Get them to give ideas on the expected transactions and put them into the cash book.

When it comes to point three on wages, have a lengthy discussion to get your participants aware of the importance of wages.

Remind the participants of the previous case study on the women's group with a poultry project. To further expound on the wages discussion, ask the participants.

Which of the following group members in the poultry project should be paid for their work?

- *The members who feed the chickens and clean the chicken house?*
- *The members who sell the chickens in town?*
- *The members who are part of the group but do not do any work in the project?*
- *All members that do work on the project should be paid for their work.*

Allow for some responses before giving them the explanation below.

If people are helping you in your business they will have to be paid a salary. If your own household members are assisting you, you may choose not to pay them, but you will have to pay for their food and clothing. You also have to think about the amount of money you will be able to withdraw from your business money as your own 'salary' (or pay), so that you do not mix up your personal and business expenses. In a group business, you will have to decide how you will share the benefits (profits) between the group-members.

- 00.50 Introduce the Profit and Loss Statement

Now that the participants have learnt how to calculate the profit and loss in their business we need to look at how to prepare financial statements.

Ask the participants.

Can someone explain what a profit and loss statement is?

Allow for some responses and write the answers out on the flip chart, the answers should vary as participants give as many explanations as they can. Encourage them to feel comfortable and use their own words before aligning them to the explanation below.

A Profit and Loss statement is a financial statement that represents or shows or summarizes income and expenses of a business or an organisation in a period.

Ask for feedback on this definition before moving on.

- 00.55 Introduce the next activity

Assist the participants to create the profit and loss statement from the information below.

On the flip chart, write the **RLO X**, Profit and Loss Statement for the Period ending (Insert the Month) Then you need to extract information from the cash book and record the income (Money in) at the top, and then record all the income. Total them and then underline.

After this, record the expenses (Money out) extract expenses only (please note to inform participants that the purchase of machinery is an asset therefore not recorded in the balance sheet) The profit and loss statement should look like this:

RLO X PROFIT AND LOSS STATEMENT FOR THE PERIOD ENDING (insert month)

INCOME

Sales of Kitenge	2,000.00
Sales of Melon	2,800.00
Sales of Kitenge	4,000.00
Total Income	8,800.00

EXPENSES

Salaries	3,000.00
Transportation	800.00
Total Expenses	3,800.00
Profit	5,000.00

A profit and loss statement must have the following:

- **Include the title and period.** When creating a profit and loss statement, the document is titled at the top of the page with "Profit & Loss Statement." Under the title, include the period of time that the statement covers. A profit and loss statement normally covers one month, one quarter or one year. This is written using words such as "For the Month Ending January 31, 2011."
- **Record all business transactions.** A profit and loss statement should not be created until all transactions for the period have been recorded and posted into the appropriate accounts in the company's general ledger.

- **Assets should not be recorded in profit and loss statements.** *An asset is an item that is purchased for the organisation's use and not for resale with a long life span. Computers, machinery and equipment fall under this category.*

For this section, we will be using [CSSC M9 Handout 3](#) as well as the cash book you created for session 2. Inform the participants.

For the next example, we will refer to the cash book we created from this handout exercise in Session 2. Using the transactions recorded in the cashbook we had prepared in Session 2, we will create a profit and loss statement for the Edward Company and Fast Track.

Using the Exercise 2 cashbook create the next profit and loss account statement, on the flip chart. Get the participants to help you key in the correct data for the Profit and Loss Statement for the Edward Company. As they prompt you ensure you have the correct information guiding them where necessary and ensuring they feel confident with their inputs before moving on to the next example.

Allow the participants to work in groups of two or three on the Profit and Loss statements for Fast Track Limited for about five minutes. Go around checking their work and hearing their inputs guiding them where necessary.

Invite the groups to present their profit and loss statements.
A sample of a profit and loss statement is shown below.

Profit and Loss Statement Template

[Company Name]

[Street Address], [City, ST ZIP Code]
[Phone: 555-555-5555] [Fax: 123-123-123456]
[abc@example.com]

Profit & Loss Statement

For the Period Ended _____

Income	\$	\$
Sales	0000000	
Services	00000000	
Other Income	00000	
Total Income		0000000
Expenses		
Accounting	0000000	
Advertising	000000	
Assets Small	000000	
Bank Charges	000000	
Cost of Goods Sold	00000	
Depreciation	00000	
Electricity	000000	
Hire of Equipment	00000	
Insurance	00000	
Interest	00000	
Motor Vehicle	00000	
Office Supplies	00000	
Postage and Printing	00000	
Rent	00000	
Repairs and Maintenance	000000	
Stationary	0000	
Subscriptions	00000	
Telephone	00000	
Training/Seminars	00000	
Wages and On costs	00000	
Total Expenses		00000000
Profit/Loss		00000000

- 01.15 Introduce the Balance Sheet

Ask the participants.

Have you ever heard of a balance sheet? You can also get an idea from our previous discussions.

Lead them into a discussion to describe what they know as a balance sheet by asking them the following questions:

- *Where does a balance sheet come from?*
- *What is a balance sheet?*
- *What information is contained in a balance sheet*
- *When should a balance sheet be prepared?*

Write their feedback on the flip chart and align their responses to the definitions below.

A balance sheet is a financial report that shows the financial picture of a company at a given time. A balance sheet is a financial statement that reports an organisation's assets, liabilities and shareholders' equity.

*Balance sheets are usually done monthly or quarterly depending on the nature and size of the organisation. The basic principle of the balance sheet is to **show what you own (assets), what you owe (liability) and how much you personally have invested in your organisation (capital).** It gives you an idea of whether or not you can pay your creditors, how you manage your inventory and how you manage your billing and what is the worth of your organisation. It is a valuable tool to improve your business.*

Ask the participants.

Do you have an idea of how a Balance Sheet is structured?

Allow for some responses as you also call on some participants to come and draw their examples on the flip chart before leading them to create the correct format as shown below.

*There are two columns to a balance sheet. The **first column (on the left hand side)** lists what you own, or your **assets**. This includes your **cash on hand, accounts receivable** - what other people owe you and **inventory** - your stock. In the **second column (on the right hand side)** you would list your **liabilities**. These include **loans** that you owe, **accounts payable** and **taxes** that you may owe. It is important to note that the profit or loss calculated from the profit and loss statement is recorded on the right side of the balance sheet.*

To calculate the capital or equity of the business you add all the assets (the left column) and take away all the liabilities (the right hand side). Both numbers on the sheet should equal each other, hence the name balance sheet. If they do not, you know you have missed something and should go back through your accounts again. To summarise:

$$\text{Assets} = \text{Liabilities} + \text{Capital} + (\text{Revenue} - \text{Expenses})$$

The table below shows the example of a blank balance sheet.

ASSETS	AMOUNT		LIABILITIES & OWNER EQUITY	
			AMOUNT	
=				
Total	-		Total	-

Left Side = Assets (Property of the Company)	Right Side = Liabilities & Equity (Debt & Capital of the Company)

- 01.30 Introduce the next Activity

Read to the participants the following.

RLO X has the following transactions to be recorded in a balance sheet.

1. Cash at Bank Ksh 7000
2. Sales on credit Ksh 3000
3. Purchase of credit 1200
4. Purchased goods Ksh 5000
5. Short term loan Ksh 3,000

Let us create a balance sheet for the RLO together.

On the flip chart and with the help of the participants please generate a balance sheet. Draw the two columns and record the assets on the left side and liabilities on the right side. The complete filled in balance sheet should resemble the one below.

Assets	AMOUNT		Liabilities & Owner's Equity	AMOUNT
Cash at bank	7,000	=	Purchased payable	1,200

Sales on credit	3,000	Short term loan	3,000
Purchased Goods	5,000	Capital	10,800
Total	15,000	Total	15,000

Information Provided by the Balance Sheet

The information on your balance sheet can help a bank or donors decide whether to lend your business or RLO money or not. This is one point you would like to know exactly what's going on all the time in your business or organisation. You have a chance to improve your organisation by making the sheet more appealing to the donors, investors and bank. It can show you if the financial position of your organisation can handle hiring more employees or giving the current ones more money. Once you've done the sheets for a year, you can see how your business or organisation is growing or if the market is declining. You can see if there are areas where you want to cut back or maybe spend more money. Just by maintaining this one financial form, you can have a wealth of information at your fingertips.

- 01.40 Introduce the next Activity

Now you are going to lead the class into discussing some examples they can work on individually and in groups so as to get more comfortable with creating the balance sheet.

Fast-track courier services operate in X Refugee Camp. Below is a list of transactions they made:

- Cash book balance brought forward 50000
- July 1st, 2018: Paid office rent of Ksh 2,000
- July 1st, 2018: Paid monthly salary of Ksh 3000 each
- July 5th, 2018: Purchase of 5 new computers worth Ksh 5,000 each – paid by cash
- July 15th, 2018: Other electrical connections with a total expense of Ksh 5,000 –
- July 17th, 2018: Ksh 20,000 received as an advance from ABC Company (an existing client) for a courier services order booked by them.
- July 18th, 2018: Advertising expenses of Ksh 8,000
- July 20th, 2018: Registration services amounted to Ksh 2,500

With the information above, instruct the participants to generate a profit and loss statement and Balance sheet for Fast- track as at 31 July 2018.

They will need to first generate a cash book, then a profit and loss statement and then finally a balance sheet. Give them five minutes to work on this in pairs. Be sure to go around and check their work and ensure they are confident and comfortable with the transactions.

After they are done, get the different groups to present their completed cash book, profit and loss statement and balance sheet. You can ask each group to volunteer one member to

come to the front and fill in their information on the flip chart. Keep asking for feedback from the other participants as the groups fill in the figures. Use the tables below as a guide.

FAST TRACK CASH BOOK					
July					
Money In			Money Out		
Date	Details	Amount	Date	Details	Amount
1 st July	Cash B/F	50000	1st July	Rent	2000
17th July	Sales	20000	1st July	Salary	3000
			5th July	Computers	15000
			15th July	Electrical connections	5000
			18th July	Adverting	8000
			20th July	Registration fees	5000
				Bal C/f	32000
TOTAL		70000	TOTAL		70000

Fast Track		
Profit and Loss Statement		
For the period ending 31 st July 2018		
Income		
Sales	20,000	
Total Income		20,000
Expenses		
Rent	2,000	
Salaries	3,000	
Electrical connections	5,000	
Advertising	8,000	
Registrations	5,000	
Total Expenses		23,000
Profit of Loss	-3,000	

FAST TRACK				
Balance Sheet				
For the period ending 31 st July 2018				
Assets		Capital and Liabilities		
Fixed Assets		Liabilities		
Computers	15,000			
Total	15,000			
Current Assets		Capital		44,000
Cash	32,000			
Total	32,000			
		Loss for July		3,000
Grand Total	47,000			47,000

- 01.50 ASSESSMENT FOR LEARNING

This session requires you to keep prompting the participants' ability to feel confident in understanding and preparing their financial statements. As much as possible try and make the examples relevant to their particular contexts and organisation capabilities.

Session Six - Internal Controls

Resources: Display the **PowerPoint** entitled “Module 9 – Internal Controls” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will need a flipchart and markers.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn about internal control systems and how to come up with proper internal control systems for your RLO.

- 00.05 Introduce Internal Controls

Ask the participants.

Please can you describe the financial payment process in their RLO? Please describe starting from when the expenses were incurred to when it was recorded and paid for.

Allow for some responses by inviting at least two more volunteers to give their examples. Lead their explanations to find out the following:

- Authorisation - who authorised the transaction to take place
- Segregation of duties - Is the person paying for the expenses the same person authorising the expenses
- Recording of the transactions - Who is responsible for recording the transactions?

- 00.10 Introduce the Case Study

Read the following case study to the group and then ask them the questions after.

A group of women have a small bakery in a village. They bake sugar bread, tea bread and buns. The group members take turns in baking the bread. They also take turns in buying the stock. Evelyn, who is the treasurer, is tasked with purchasing the goods and recording the cash book. Every other day she goes to town to buy the bags of flour that are needed plus the other ingredients, sometimes she is busy and includes her own personal items in the same list promising to deduct them later but forgets. The group realises that they are not making any profits and they are almost closing the bakery. The group sat down and started

reviewing the receipts and noticed that most of the items purchased were not for the business but for Evelyn home use.

Ask the participants.

What do you think the group should do now? What changes should they make to their activities?

Allow for some responses before aligning them to the explanation below.

Internal controls are the things you do to help manage the risk of an error or a fraud. They include something like getting two people to approve a payment. Internal controls should be documented or written down as part of your financial procedures.

You need to make sure that you not only have effective control procedures, but also that your organisation can actually apply them, and that needs to be led from the top. Your directors or management team need to get behind and support your financial internal controls, and that culture change is often far more challenging than identifying what procedures should be put in place.

Apart from a few troublemakers, no one sets out to get things wrong, but it still happens. Sometimes, people may forget to include payments that are debited directly from your bank account, or may write 7,363 instead of 3,763, add up cash collections wrong, allocate income to the wrong project, and the list goes on. So it just makes sense to have some processes that have checks for errors and guard against temptation.

Can you relate to such instances in your RLOs?

Allow for some responses on incidents that could have been avoided if there were internal controls in place.

- 00.15 Good Internal Control Systems

A good internal control systems have the following features:

- **Reviewed regularly:** *You need to review your controls regularly to check that they are working, and that they aren't overdoing it so is it worth the cost in administration time to go over every single expense claim, or could you spot check a sample for the smaller ones? 'A good control is one that is both efficient and effective.' For each control activity such as authorisation controls, bank reconciliations, taking references for new staff, think about the risk that it is supposed to be tackling and how effectively it does that. Authorisation controls are often not thought through, just because someone is senior, does not automatically mean they are the best person to sign off a purchase.*

- **Key controls must be in place:** *There are certain controls that are particularly useful because they tackle several risks, check your data against external information, or the control element is integrated into a piece of work you are already doing.*
 - **Segregation of duties:** *this is an overarching principle rather than a specific control. It is about managing the risk of people making mistakes (or defrauding you) when they are buying things or receiving your money by making sure that your processes do not allow for one person to do everything end to end. For example, from approving and ordering something to receiving and paying for it. This is where stories about people using RLO's money to pay personal expenses come from such as in the case study above.*
 - **Bank reconciliation:** *this is a regular task where you check that what you have recorded in your books as going in and out of the bank matches what is in the bank statements. Checking against external records grounds you in reality, meaning that if what you are showing as the cash balance in your books matches the balance on your bank statement on a given day (give or take some uncleared items that you know about) you know you have got something right and you can build the rest from there.*

- **Review performance against budget and improve reporting to your Governance Boards:** *when you are setting a budget and then reviewing performance against it, you might not immediately see that as a control activity, but checking why things are different from budget inevitably throws up some errors as well as more meaningful management information. This is helpful when reporting to your Governance boards and proving the organisation's financial accountability.*

- **Levels of authority are clear and understood:** *you need to make sure that your staff are aware of what they can commit the organisation to. Different levels of authority give different people rights and permission to make payments and decisions on behalf of the RLO's. This should be made clear. This should be written and trained on regularly.*

- 00.25 Introduce the First Activity

Start a discussion to get the participants to think about ways in which the payment process in the case study as well as their RLOs can be improved to be more transparent.

Let us relook at the RLO case study above of the women's group bakery. How does the purchasing process start? What do they need to do when they find that they do not have enough ingredients for the week?

Allow for some responses and as they speak, let them also relate the situation to a practical example in the RLOs.

Let us say that no one is in charge of the ingredients store, since all the members bake. They should have someone who will be in charge of the store so that they can alert Evelyn of any new purchase needed.

Can you think of similar activities in your RLOs and projects you implement that could use some segregation of duties?

Allow for some responses before moving on.

In the case study, since Evelyn is the treasurer and therefore the person making the payment another member needs to be responsible for buying the ingredients. The list of ingredients needed should be approved by other members too. The final payment request should also be approved by another member who authorises the disbursement. When the ingredients are bought, the receipts of the purchase will need to be submitted to Evelyn who will record the transaction. At the end of the week all the members can review the transactions.

To break this segregation of duties down as a process, let us consider the steps below:

- 1. Requisition done for a purchase order by the member in charge of the stock*
- 2. Approval of the purchase order done by other member*
- 3. Purchase order or going to the shop by another member or the member requesting for the stock*
- 4. Update stock levels after purchase by member in charge of stock*
- 5. Processing of payment by Evelyn and final payment to be approved by other member*
- 6. Payment done by Evelyn (if direct transfer) or the member who went to the shop if buying via cash*
- 7. The member buying the stock will submit the invoice, receipts and delivery note to Evelyn*
- 8. Evelyn will update the cashbook, file receipts and generate the profit and loss.*

The reason for segregation of duties is to ensure that there is transparency in the payment process and members can be held accountable.

In summary, financial controls help the RLO come up with clear steps of managing the RLO's resources. Processes or steps make it easier to explain to someone what or in many cases donors how you are intending to manage their money in your community project. RLO's must come up with steps that are to be followed in the organisation. Do you agree with this? Can your RLO adopt such procedures and what would they look like? Putting names at each point.

Allow for some responses and even for a participant to come up and design their control procedure. Take note of how they want to do it and ensure to follow up on whether this was implemented in the coming months.

- 00.45 Introduce the Second Activity

Instruct the participants.

Now let us try and go a step further in mapping out internal controls. From the above case study, can we try and describe the process of selling the bread. Let us imagine that the RLO has a shop in the city center where the breads are baked and sold from. They sell their bread and bank the money the next day.

Let us discuss the process of recording the sales and banking the money. Should the person selling receive and record the money? How can the RLO check that the figures are correct?

Allow for some feedback from the participants, asking different members to give their opinions and feedback. Write this on the flip chart and where necessary guide and steer the discussion into the correct processes.

After this, ask the participants.

What is the importance of good internal controls in accounting for your community projects?

Allow for some responses before aligning them to the explanations below.

The Importance of Internal Controls in Accounting is that:

1. **Internal Controls help to understand and mitigate risks:** Internal controls are usually established based on a risk-oriented approach to ensure that your organisation focuses on high risk areas. For example, when a staff member constantly complains why the petty cash box is locked, you may immediately sense that stealing cash is a risk. Understanding risks will help you to determine if there are adequate controls to mitigate the risks in those areas. You may question if there are other internal controls in place to mitigate the risk, such as whether the petty cash gets reconciled and reviewed? Who is responsible for preparing the reconciliation and who reviews and approves it? How often does petty cash get reconciled?
2. **Internal Controls help to address financial statement assertions:** One of the purposes of internal controls is to safeguard the organisation's assets and thus address financial statement assertions (meaning their existence, rights, completeness and accuracy). A familiar example is performing a physical count of inventory used internally by all organisations. Count inventory and track them in the accounting system to ensure their existence. Count cash receipts in retail sales before recording them to verify accuracy.

3. **Internal Controls help to prevent and detect fraud:** Segregation of duties (SOD) is a fundamental element of internal control. Internal controls including proper SOD help to prevent fraud. The principle of SOD is to share responsibilities in a key process such that no one individual should perform two of the three functions: custody, recording and authorization. When the three responsibilities are properly segregated, fraud can be effectively prevented or detected. For example, when a treasurer or finance officer both receives and records cash, the accountant could commit fraud easily. But when one member receives cash, another member records the cash and another member approves the cash disbursement, committing fraud will not be that easy. At the same time, having a member of the management team to review the cash records and reconciliation to detect any errors or fraud, which makes committing fraud even harder. Another familiar internal control to prevent fraud is to limit access to only authorized personnel, such as preventing unauthorized personnel from getting access to your storage areas and stealing inventory for resale. Another control can also be allowing only team members in finance and management involved with finance to access accounting systems.
4. **Internal controls help to prevent misstatement of financial statements:** Internal controls help to prevent errors and misstatement of financial statements. For example, reconciliation is a critical internal control procedure in accounting and can ensure the account balances on the balance sheet are correct to prevent misstatement of financial statements. Reconciliation also helps management and other users to detect errors and understand your organisation's operations.
5. **Internal controls help to establish good organisational practices:** If you do not have documented evidence of internal controls, you cannot prove internal controls exist. Most organisations have documentation for their internal controls, such as flowcharts and/or narratives, because documentation is critical to communicate internal controls with your partners, donors, external auditors and within your organisation. Good and proper quality documentation can be used to train new staff on your procedures. By following internal controls documentation, staff can get a better understanding of the organisation's processes and practices, which helps to establish the company's practices.

- 01:00 Developing the RLO's Internal Control Systems

For this section, you will need the RLOs to work as a group to develop a proper internal control system for their organisation. This would entail the RLOs mapping out and listing down their finance processes and procedures and establishing internal controls that can be managed and implemented. Give them time to work on this together and allow them use of the flipchart and rearrange the room to suit the discussion. If the RLO does have internal controls, they will need to carefully map them out and then also determine if they are effective by thoroughly reviewing them. Take note of the changes they have made and be sure to follow up in the next coming weeks on the implementation.

- 01:20 ASSESSMENT FOR LEARNING

Follow up with the participants ensuring they implement the changes on their internal control systems in the coming weeks.

Session Seven - Creating a Finance Policy Your RLO (Optional)

Under this module we would like to discuss with participants and help the RLO come up with a Finance manual to be used by the organisation. Documents to be developed under this session: See Template in word [Finance Manual](#). It is a discussion that needs to be led by the RLO.

Module Summary

By the end of this module, the RLO should have a clearer idea of how to account for their community projects. It is important for the RLOs to have a foundation in finance and accounting to do this effectively. Where necessary always try to make references to their community projects providing examples of how that knowledge, be it in bookkeeping, the creation of financial records, financial statements or internal controls can be practical towards their community projects. On top of this the RLOs will have made some suggestions of changes to be made in their organisations, make sure to keep track of them and follow up on their implementation in the weeks and months to come.

Module 10 : Fraud

Introduction

It is important for RLOs to understand what fraud is and the impact it can have on the organisation. The RLO should be aware of the risk and implications of fraud to the stakeholders they work with. They should be prepared to reduce and mitigate this risk.

Session One – What is Fraud?

Resources: Display the **PowerPoint** entitled “Module 10 – What is Fraud?” to your participants. If you do not have a projector you can create print-outs or run the session verbally.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module understand what is fraud and how to identify fraud

You will also learn about Bribery and the difference between Fraud and Bribery

You will also learn what creates an environment for Fraud in your organisation.

- 00.05 Define Fraud using the **next slide**

Ask the participants.

What is the meaning of fraud and have you ever come across it?

Allow for some responses.

Fraud is an act of deceiving or misrepresenting.

Financial fraud is one of the most common types of fraud in an organisation. It can be defined as the intentional distortion of financial statements or other records by persons internal or external to the organisation which is carried out to conceal the misappropriation of assets or otherwise for gain.

Ask the participants.

Do you agree with those definitions? If not, please explain.

With that definition in mind, have you encountered fraud in your RLO or your community? Can you give some examples?

Remind and encourage the participants to share openly and honestly and that this is a safe space. Talking about fraud may make some participants feel like you as the facilitator are judging their credibility but remind them that we have all encountered fraud in one way or another. Feel free to also give your own example. They can protect the identity of the culprits.

- **00.15 Request feedback and move to the next slide on Examples of Fraud.**

Allow for some responses or you can prompt responses based on the list below. Remember that this is not intended to be exhaustive but gives examples of matters which are likely to be classed as fraudulent. Please align each of the participants' responses with the list as well to help contextualise the meaning of fraud further.

Some instances or examples of fraud may include:

- *Claiming for services not performed, such as an overtime payments*
- *Travel claims for example false journeys claimed, expenditure inflated*
- *Expense claims such as excessive or inappropriate expenses claimed*
- *Petty Cash usage with no vouchers or receipts submitted but expenditure incurred*
- *Selecting friends or relatives for procurement or business partnerships without proper procedures and protocols being followed*
- *Misappropriation of income*

- **00.30 Go to the next slide on Bribery**

Ask the participants.

What is bribery?

What is the difference between Fraud and Bribery?

Allow the participants to discuss in pairs for two minutes.

Try to launch an open discussion. Here are a few pointers to help you bring out the difference. Look out for specific contributions from the participants and where possible ask the participants to give examples so as to help understand the terms better.

Bribery is defined as the offering, promising, giving, accepting or soliciting of money, a gift or other advantage as an inducement to do something that is illegal or a breach of trust in the course of carrying out an organisation's activities. Fraud and Bribery are two very different things, although they overlap.

*Fraud is when deception is used to gain a dishonest advantage over another person. Fraud does not have to be a financial issue and examples include making false claims to qualifications or experience when seeking new employment or claiming a product has features or qualities when it doesn't. Fraud can also be a sin of omission meaning failing to make people aware of something that they should know; or an act of dishonesty to avoid an obligation. The key point is that **it is deliberate dishonesty to gain a personal advantage**.*

*A bribe is **to give a financial or other advantage to another individual in exchange for improperly performing a relevant function or activity** (In this context function means an activity conducted during the course of your interaction with the person). It could be a bribe, for example, to induce someone to promote your product over another's, thereby denying people the opportunity to choose the product that is best for them.*

Clearly you can offer a bribe in order to gain a dishonest advantage so it is possible to commit fraud and bribery at the same time. However, bribery is more easily described as corruption than simple fraud.

Do you agree?

Allow for some responses before moving on.

- 00.45 Go to the next slide on Examples of Bribery

Ask the participants.

What are some examples of Bribery?

Allow for some responses before giving the examples below. You can align the responses to the bullet points below.

Some examples of bribery may include:

- *Offering a gift for example excessive hospitality to a donor organisation in return for approval of a grant application*
- *A potential supplier offering money or a gift in order to influence a tendering process*
- *Offering payment to a government official in order to speed up or complete a process they are otherwise required to perform, such as*
- *border/immigration control.*
- *A job applicant offering to pay you to increase his/her chance of being offer employment*

- 00.55 Go to the **next slide** on Why do People Commit Fraud?

Try to launch an open discussion and ask participants.

Can you come up with some reasons why people commit fraud?

Allow for some responses. Here are a few pointers to help align the participants' responses with.

There is no single reason behind fraud and any explanation of it needs to take account of various factors. However, looking from the fraudster's perspective, it is necessary to take account of:

- *the motivation of potential offenders*
- *the conditions under which people can rationalise their prospective crimes away*
- *the opportunities to commit crime(s)*
- *the perceived suitability of targets for fraud*
- *the technical ability of the fraudster*
- *the expected and actual risk of discovery after the fraud has been carried out*
- *the expectations of consequences of discovery (including non-penal consequences such as job loss and family stigma, proceeds of crime confiscation, and traditional criminal sanctions)*
- *the actual consequences of discovery.*

That said, there are some key elements that create an environment for Fraud in your organisation, they are:

- **Motivation:** *In simple terms, motivation is typically based on either greed, need, debts and gambling. Many people are faced with the opportunity to commit fraud, and only a minority of the greedy and needy do so. Personality and temperament, including how frightened people are about the consequences of taking risks, play a role. Some people with good objective principles can fall into bad company and develop tastes for the fast life, which tempts them to fraud. Others are tempted only when faced with ruin anyway*
- **Opportunity:** *In terms of opportunity, fraud is more likely in organisations where there is a weak internal control system, poor security over company property, little fear of exposure and likelihood of detection, or unclear policies with regard to acceptable behaviour. Research has shown that some employees are totally honest, some are totally dishonest, but that many are swayed by opportunity.*
- **Rationalisation:** *Many people obey the law because they believe in it and/or they are afraid of being shamed or rejected by people they care about if they are caught. However, some people may be able to rationalise fraudulent actions as:*
 - *necessary – especially when done for the business*
 - *harmless – because the victim is large enough to absorb the impact*
 - *justified – because 'the victim deserved it' or 'because I was mistreated.'*

- 01.15 ASSESSMENT FOR LEARNING (AFL)

Another major reason why people commit fraud is **because they are allowed to do so**. There are a wide range of threats facing organisations. The threat of fraud can come from inside or outside the organisation, but the likelihood that a fraud will be committed is greatly decreased if the potential fraudster believes that the rewards will be modest, that they will be detected or that the potential punishment will be unacceptably high. The main way of achieving this must be to establish a comprehensive system of control which aims to prevent fraud, and where fraud is not prevented, increases the likelihood of detection and increases the cost to the fraudster.

Session Two – Prevention of Fraud

Resources: Display the **PowerPoint** entitled “Module 10 – Prevention of Fraud” to your participants. If you do not have a projector you can create print-outs or run the session verbally. You will need flipcharts and marker pens.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn how to prevent fraud.

You will also learn about the negative consequences of fraud.

You will also learn about who has the responsibility to detect and prevent fraud.

From our last session we saw that fraud exists in an environment that has three elements, they are: Motivative, Opportunity and Rationalisation. Now that we have understood what Fraud is from our previous module, we must be able to put it into practice to prevent it.

- 00.05 Introduce the First Activity - Case Study

The next activity will be a case study. We will have one example RLO that we will use to help us understand ways in which we can prevent Fraud.

‘Together We Can’ is a RLO Located in X Refugee Camp. It has 14 members and 4 elected management team members. They engage in provision of ECD scholarships in the camp, in the year 2021 they were awarded a contract to provide 400 students with scholarships in the camp. The management committee members decided to hire an accountant to help manage the funds for the scholarships. The accountant they hired, John, is charged with all the responsibility of paying all the expenses of the RLO. The management committee meets once a month to discuss the RLO’s obligations and activities. John noticed that some of the management team members have been using the RLO’s petty cash to pay for their personal expenses without approval from the management or without paying it back. After a couple of months working for the RLO John also decides to use the RLO funds to pay for his daughters secondary school fees. Soon after, the donor sends in an auditor to audit the project as part of the project obligations. The auditor finds that John had paid school fees for his daughter as well as paid for some of his friends and relatives children who were not in the ECD schools or the agreed beneficiaries of the scholarships. The donor immediately cancels the project, blacklists the RLO and asks the RLO to refund that money John spent on his friends and relatives immediately.

Give the participants about five minutes to discuss the case and what action to take before moving to the next slide.

- 00:15 Debrief on the Case Study and on the Consequences of Fraud

Launch an open discussion by asking the questions below: Remember to keep asking different participants for responses in the group.

1. Was Fraud committed in the above case study? If Yes, what was it?
2. What consequences will the fraud have on the RLO?

Align the responses received to the following: *financial losses, public embarrassment, and diminished employee/ members morale, loss of community buy-in.*

- 00.25 Go to the **next slide** Strategies to Prevent Fraud

Given the prevalence of fraud and the negative consequences associated with it, there is a compelling argument that organisations should invest time and resources towards tackling fraud. There is some debate as to whether these resources should be committed to fraud prevention or fraud detection.

Ask the participants.

Do you agree with this? Where should you invest most resources in, prevention or detection and why?

Allow for some responses.

We believe that an organisation should invest resources in both of those areas.

*Based on the earlier discussion around why people commit fraud, it would seem that some of the strategies to and most effective ways to deal with the fraud is to adopt methods that will **decrease motives, restrict opportunity and limit the ability for potential fraudsters to rationalise their actions.***

Divide the participants into 2 groups, ask the participants to describe ways in which Together we Can RLO could have prevented John from committing Fraud. Give the groups the instructions below that:

Group 1 - Will look into John's Motives.

Group 2 - Will be looking at what opportunity within the RLO enabled that Fraud to take place.

Give participants about 3-5 minutes to discuss and then present their discussions to everyone.

As a response to the presentations, prompt participants to discuss the ways in which the RLO's Management would have prevented fraud by asking questions such as:

- *Do they feel it's possible to prevent fraud?*
- *How can this be done?*
- *Can we control our motives?*
- *How can we control other people's motives?*
- *Should there be unwritten rules that only management team members follow, for example using petty cash for their own expenses, even though they pay it back as in the case study above? Please explain your answer.*
- *Can we control opportunity or should we control rationalisation?*
- *How can you create an environment that does not support fraud in your organisation?*

During the discussions, the following elements should be considered and come out clearly.

Motives are personal, the RLO Management cannot prevent this while Opportunity is something that can be controlled.

Ask the participants.

How then do we prevent fraud opportunities in an Organisation?

Allow for some responses.

*In the case of deliberate acts of fraud, the aim of preventative controls is to reduce opportunity and remove temptation from potential offenders. Prevention techniques include: **The introduction of policies, procedures and controls, and activities such as training and fraud awareness to stop fraud from occurring.***

- 00.40 Go to the **next slide** on Developing an Ethical Culture

Ask the participants.

What is the meaning of ethical culture?

Allow for some responses.

Here are the keywords that should be included or aligned to the responses, they are: ideals, customs, moral behaviour and social behaviour of a group of people.

Ask the participants.

How do RLO members develop into the RLO's ideals or norms? Especially when it comes to preventing Fraud.

Allow for some responses and align them to the following.

If the members have attitudes that are “Ok” with fraud or can engage in fraud without any consequences, then the RLO’s ethical culture will provide an environment that will allow fraud to take place.

Ask the participants if they can describe the culture in ‘Together We Can’ RLO?

Allow for some responses. You can prompt more feedback through the questions below.

- Is it right that the members used the organisation's funds to pay for their personal expenses?
- What sort of culture does this breed?
- If John had not seen that members can use the organisation’s funds to pay for personal expenses, he could not have thought that he can pay for his own personal expenses.

All management teams and members should set good examples with their actions. Attitudes within an organisation often lay the foundation for a high or low fraud risk environment.

It is not advisable to overlook minor unethical fraud cases. For instance, overlooking minor cases like petty theft or a miscalculated expense. Even larger frauds committed by higher levels of management may also be treated in a similar lenient fashion to avoid attention from others. This is creating an enabling environment and eventually may lead to something more serious that may lead to total collapse of the organisation either through a single catastrophic fraud or through the combined weight of many smaller frauds.

- 01.05 Go to the **next slide on Sound Internal Control Systems**

Ask the participants.

What do you understand about the term systems?

Allow for some responses before giving the definition below.

Systems are processes or a set of parts working together.

Let the participants discuss the term systems in the context of an RLO Organisation.

Allow for some responses below reading the statement below:

Internal control systems are processes that the RLO’s should have to prevent and detect fraud.

Ask the participants to discuss what systems that Together We Can RLO should have had. Allow for some responses and you can align them to the bullet points below:

- *Payment systems- John could have required at least one management member to review and authorise the payments before he made them, this would have prevented the fraud.*
- *Purchasing systems- Authorisations from the management before any items are purchased and including the use of petty cash*
- *Hiring or Human resources systems- Background check during the hiring process of John could have revealed some more information about his character.*

An internal control system comprises all those policies and procedures that taken together, support an organisation's effective and efficient operation. Internal controls typically deal with factors such as approval and authorisation processes, access restrictions and transaction controls, account reconciliations, and physical security. These procedures often include the division of responsibilities and checks and balances to reduce risk.

Examples of the variety of such controls include:

- *requiring multiple signatures on transactions (e.g. within a finance or procurement)*
- *enforcing employees to take breaks or leave*

- 1.15 Go to the next slide Responsibility for Fraud Prevention

The next section discusses the different stakeholders' responsibility for fraud prevention in an organisation.

Ask the participants to discuss who in the RLO is responsible for Fraud Prevention.

Allow some answers from the participants.

Primarily the role lies with the management. Why do you think that is?

Try to launch an open discussion to help the participants understand why the Management of the RLO is responsible for detecting and preventing Fraud. Do they agree with this?

Allow for some responses.

Ask the participants to discuss how the management of Together we Can failed at detecting and preventing Fraud, these are the points that the discussion should generate

- *They created a culture and environment that encourages Fraud*
- *They were already engaging in Fraud*
- *They did not have any internal control systems*

*The primary responsibility for the prevention and detection of fraud rests with both those charged with **governance of the RLO** and **management**. It is important that management, with the oversight of those charged with governance, place a strong emphasis on fraud prevention, which may reduce opportunities for fraud to take place, and fraud deterrence, which could persuade individuals not to commit fraud because of the likelihood of detection*

and punishment. This involves a commitment to creating a culture of honesty and ethical behavior which can be reinforced by an active oversight by those charged with governance.

However, everyone in the organisation has a responsibility to detect and prevent Fraud. As much as the management or governance have an important role in creating a culture, everyone too has a responsibility of embracing and enforcing that culture. There are no small acts of fraud, Fraud is Fraud, so take it seriously and deal with it seriously and protect your organisation against it.

- 01.25 ASSESSMENT FOR LEARNING (AFL)

Fraud is something that should not be tolerated in an organisation. The next session will focus on the development of a fraud response plan. Ask the participants to reflect on any instances of fraud they may have witnessed or dealt with. How did they deal with it and what did they learn from it. If you have a large group of participants, divide them into groups of a maximum of five and get them to discuss and choose the best case for presentation in the next session. Each group will be allowed about three minutes to present. They can give their feedback in the next session.

Session Three – Developing of Fraud Response Plan

Resources: Display the **PowerPoint** entitled “Module 10 – Developing A Fraud Response Plan” to your participants. If you do not have a projector you can create print-outs or run the session verbally.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will be learning about how to respond to fraud when it is detected in your organisation.

You will also learn how to develop a fraud response plan.

- 00.05: Pick up the Discussion from the Previous Assignment

In our last session, we had an assignment to discuss any instances of fraud we have come across or experienced and how we dealt with it as well as learned from it. Can we now present our feedback?

Allow each group to present for about two minutes each and allow feedback from the class on their responses to the fraudulent activities and ask for alternative responses from the others.

Move to the next slide.

- 00.20 Go to the **next slide** on How to Respond to Fraud

Now that we have discussed how to prevent Fraud we need to discuss how to respond when Fraud is detected.

Ask the participants.

From our case study, can we please discuss what steps that Together We Can RLO should have taken after detecting or finding the fraud committed by John.

The list can be extensive, but should include:

1. Investigation of the fraud to gather information and evidence
2. Immediate disciplinary action against John
3. Trying to recover the money from John

4. Preventing the fraud from taking place again

- 00.30 Go to the **next slide** on a Fraud Response Plan (Fraud Policy)

Fraud can happen in any organisation, it is therefore encouraged that every organisation has a Fraud Response Plan.

Ask that participants to discuss what they think the Fraud Response Plan is? Here are some pointers to help with the discussion.

A Fraud Response Plan is a document that outlines the organisation's approach to dealing with Fraud. It is intended to provide procedures which allow for evidence gathering and collation in a manner which will facilitate informed decision-making, while ensuring that evidence gathered will be admissible in the event of any civil or criminal action.

- 00.40 Display the **next slide** on Standardised Steps to Respond to Fraud

We will now look at how you and your organisation can standardise the steps to responding to Fraud.

Ask the participants.

How will you or should you hear or find out about Fraud Issues in your organisation?

Allow for some responses. You can align them to the fact that they will need to establish clear reporting mechanisms. You can prompt more discussions by asking:

- Who in your network will inform you?
- Does your organisation and community even know your position on Fraud?
- How accessible are you to receive such information?
- What platform can information about fraud reach your organisation and the leadership structures fastest? Phone, email, contact person?

You need to establish a way that a fraud case can reach you or key members of your organisation immediately such as through raising awareness that your RLO has Zero Tolerance Policy to Fraud. You need to constantly inform your community members and partners of your position against fraud and inform them of platforms that they can reach you in case anyone comes across it. You also need your organisation, at all levels, as well as your community to know your position on this, at all costs is a zero tolerance.

Zero tolerance means that you absolutely refuse to accept any variations on the rules put in place and will have very serious consequences for anyone who goes against it.

So when you do get a case of fraud, you need to:

Launch a thorough investigation: Based on the issue raised, a key consideration in any investigation must always be how to secure or preserve sufficient evidence to prove the fraud case. It is vitally important that control is taken of any physical evidence before the opportunity arises for it to be removed or destroyed by the suspect(s). Physical evidence may therefore need to be seized at an early stage in the investigation, before any witness statements are collected or interviews conducted. If a criminal act is suspected, the police should also be consulted early in the process, before any overt action is taken and the suspect is alerted.

Take immediate action by disciplining the individuals responsible. This should be internal as well as civil and/or criminal action against the fraud case: The thoroughness of an investigation may depend on the course of action that the organisation plans to take with regard to a case of fraud. The organisation's policy may include any or all of the following preferred outcomes in dealing with fraud:

- **Internal disciplinary action** - In accordance with the organisation's personnel and disciplinary guidelines. This can mean immediate dismissal and in lieu of payment.
- **A civil response** - Whereby action is taken through the civil courts to recover losses.
- **A criminal prosecution** - Whereby action is taken against the individual(s) concerned in a police managed enquiry.
- **A parallel response** - Where civil action to recover misappropriated assets is taken in parallel with a police investigation.

After this, you need to take Follow-Up Action: There are lessons to be learned from every identified incident of fraud, and the organisation's willingness to learn from experience is as important as any other response. The RLO's should look at why the fraud occurred and what they should change to address the risk. It may be the addition of internal controls or an update to the policy. It is also important to communicate to the governance board, staff and members of the actions taken to address the fraud and how to prevent it from occurring again.

- 01.00 Display the **next slide** on Communicating the Fraud Policy

It is important that all those working in the organisation as well as its stakeholders are aware of the risk of fraud and other illegal acts associated with fraud such as dishonesty or damage to property. Organisations should be clear about the means of enforcing the rules or controls which the organisation has in place to counter such risks and be aware of how to report any suspicions they may have.

Ask the participants.

Why should you communicate the RLO's Fraud Policy or Fraud Response Plan?

Allow for some responses. You can align that feedback to the bullet points below.

- It helps all staff to understand the organisation's stand on Fraud - so as to Prevent Fraud
- It helps the staff know **Who To and How To** and **Where To** report any Fraud Cases - as a means to Detect Fraud
- It gives confidence to stakeholders

Ask the participants.

How should your RLO communicate its position on Fraud?

Allow for some responses. You can align the feedback to the bullet points below.

- Having regular Fraud Training sessions with its staff and members
- Publishing its Fraud Policy to its stakeholders such as its donors and community, through a poster, their website or via social media platforms

References:

The content in this module has been modified from the Chartered Institute of Management Accountants-Fraud Risk Management: A Guide to Good Practice but adapted for use in the context of Refugee-Led Organisations. The Template borrowed from i-sight.com

Session Four – Creating Fraud Policy for Your RLO (Optional)

Documents to be developed under this session: See Template in word

Module 11 : Proposal Writing for Community Projects

Introduction

It is important for RLOs to understand how to write an effective proposal necessary to fundraise for a certain community project. Fundraising is critical to ensuring the survival, sustainability and strategic progression of a RLO. RLOs operating at the front lines of their communities now are best positioned to determine and define their own humanitarian interventions and community development projects.

In this module, the RLOs will understand what and how to go about proposal writing by going through some general rules to follow when designing project proposals and applying for funding from other individuals, organisations and/or institutions. The key point to note throughout is to ensure that the RLOs fundraising efforts are strategic. This means carefully considering how potential funds will help tackle community problems and have the most benefit to the RLO's broader long-term goals, or 'vision.' Then ensure that the proposal is able to demonstrate to potential donors why a particular project is needed and the process in which positive, long-lasting and measurable changes will take place.

Before going through this module, we advise that the RLO has gone through or has a thorough understanding of the following modules:

- Understanding and Describing my Community
- Analysing Community Problems Together
- Forming and Communicating a Vision
- Resource Mapping
- Strategic Planning
- Proving Impact
- Financial Accounting and Management
- Safeguarding

IMPORTANT PREPARATION NOTE:

Furthermore, as the facilitator, you will be required to ensure that all your participants have access to the CBO Project and Proposal Development Handout. You will need to have sent it to the participants a few days in advance and encourage them to go through it before the sessions. The sessions will keep referring to particular sections of the handout so this is mandatory as you prepare to facilitate the session.

It is important to note that the module already assumes that the CBO has identified a potential fundraising source and this only gives guidance on how to absolutely maximise that opportunity for success.

Session One – Understanding Your Funding Needs and Your Potential Donors

Resources: Display the **PowerPoint** entitled “Module 11 – Understanding Your Funding Needs and Your Potential Donors” to your participants. You will also need your participants to have access to the RLO project and proposal development handout. You will need a flip chart and marker pens.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn some key definitions and concepts around proposal writing

You will learn about how to understand your funding needs

You will learn about understanding your potential donors

- 00.05 Introduce some of the aspects that will help define proposal writing using the **next slide**

Ask the group if they can define the meaning of a proposal. Allow for some answers from the group, be sure to take down some key words used to define them on the flip chart.

A proposal is a document that helps to foster a relationship between an organisation and a donor over a project to be implemented. It gives a lot of information about the intention of implementing the project, the step by step process of implementing the project, how your organisation will manage the project as well as the results to be delivered from it.

How is a concept note different from a proposal?

Allow for some answers from the group before continuing.

In some cases a concept note comes before a proposal where it gives a brief idea of the project idea.

What is the meaning of fundraising?

Allow for some answers from the group before continuing.

This can be defined as any activity that can be organised for the purpose of raising funds. Can you share some of the activities we have previously engaged in to raise funds in our organisations?

Allow for some answers from the group before continuing.

Are there different types of funding that an organisation can apply for? And can you give examples of this? What are the most common ways that the funding that can be dictated to be used?

Allow for some answers from the group. Remember there are no right or wrong answers for this, use their responses as a guide as you explain the next section.

Some funds can be grants, loans, private donations, membership payments, sales from goods and services. It is important to note that donors are not only institutions similar to the UN they can also be individuals, trusts and foundations, corporates when doing CSR initiatives (Corporate Social Responsibility), or banks or government. When thinking about which proposal to apply for it is also important to consider how the particular donor wants the funds to be utilised and usually, they are in two main ways: restricted or unrestricted. With restricted funding, the donor expects the funds donated to be only used for particular expenses that must have been pre-approved before the start of the project and remain constant throughout the project period. With unrestricted funding, the funds are donated to be used how the organisation applying for best requires and needs them. They are usually more flexible and can be used for multiple purposes.

That said, can you now explain how proposal writing and fundraising are related?

Allow for some answers from the group before continuing. Remember there are no right or wrong answers for this, use their responses as a guide to frame the relationship below.

Proposal writing is the process of writing a proposal and most of the time, the proposals written are about activities to raise funds for particular projects within our communities.

Ask the class if they agree, allowing for some responses before asking the next question.

Why is it important to understand our funding needs?

- 00.30 Request feedback and have an open discussion based on their responses and move to the next slide

Try to launch an open discussion, here are some pointers to guide your discussions.

Questioning the purpose and your intention for the proposal: Before starting a proposal, it is useful to question the purpose of the funds which you are requesting. This will help you to better understand how much you need and what type of funding is needed. From here, you can begin to assess who might realistically be able to provide such funds.

Reducing Risks: It is important to not only consider the one-time need to launch a particular project, but also to reflect on how funding raising efforts can reduce the risk of the RLO as a whole being unable to continue activities in the long-term. In this sense, considering the sustainability of the organisation is fundamental to fundraising efforts.

How can your RLO reduce the risks involved when fundraising and ensure sustainability beyond project periods? You can refer to the handout for some ideas on this question.

Assessing the risks of going for proposals with restricted funding or unrestricted

funding: If the funding is restricted, then there are certain conditions attached which must be met, otherwise there is the risk of losing the funding. If a RLO relies heavily on restricted funding, then the risks increase. Before taking on restricted funding then, it is important to assess the current capacity of the RLO to meet the reporting requirements and timeframes, ensuring correct financial accountability and clearly understanding any agreements. It is important to think through these points before applying for restricted funding and consider how specific activities funded could help to build the organisation's resilience and how funds may support an exit strategy so that the organisation is not left vulnerable once that funding ends. Unrestricted is more flexible and useful for managing risk. It could be invested into reserves and projects which may increase your reach into other areas which may attract other donors or invest in income generating activities.

Now that we have a better understanding about our funding needs, what about our donors? Is it important to understand them? Why is it important to understand who our donors are? Why do they donate funds? What do they prefer to donate these funds?

- **00.40 Request feedback and have an open discussion based on their responses. Go to the next slide and discuss the various bullet points.**

Try to launch an open discussion. Here are a few pointers to help you discuss the individual bullet points. Look out for specific contributions from the participants and where possible ask the participants to give examples as well as their own personal experiences.

*Donors always have their own preferences. While you may have a particular project in mind, there may need to be some careful adaptations to your plans made to meet the donors requirements. **But we encourage that as you do this, ensure that you are not going against your vision, core values as well as your purpose as an organisation.** When writing a proposal, you need to choose your selling points carefully based on what you know about the potential donors' preference for example educational projects, technological innovations and so on.*

Initially you can often tell the priorities of different donors by simply assessing a donor's websites and social media, but it is also useful to delve deeper and find their documents such as annual reports and finances.

Sometimes, it is often clear from the donor's mandate what sorts of projects they like to support. For example, focusing on early-childhood educational projects. However further research may show whether they have more specific ideas and concerns on these topics. For example, they may place emphasis on gender balanced programs, protection of human-rights, sustainable development goals or environmental sustainability and so on.

It's also useful to assess whether donors have a particular geographic or demographic focus which means whether they support projects in only certain locations targeting a certain social group for example persons with special needs or female participants. The most important thing to do is to do a lot of research to learn whether a donor is right for you before writing any proposal. Fundraising efforts require much time and resources which you do not want to waste.

Key questions to ask as you are thinking about applying with a particular donor are:

- What is the likelihood of a response?
- What will be your return on this investment?
- Are there alternative opportunities which would require less time and resources?

- 00.50 Go to the **next slide and discuss the next activity.**

Divide the participants into five groups. Give each group one of the following categories of donors:

- Individuals
- Corporates
- Institutional donor
- Trusts and Foundations
- Attendees of events

Each group should try to come up with reasons and priorities that motivate each donor to donate their funds and resources to a project. Each group should also come up with typical exclusions or possible reasons that the donor will not donate their funds or resources.

Give the class ten minutes to discuss and then allow each group to present their ideas and allow for feedback from the entire group on each category. Use the table below in the handout to aid discussion points or help summarise the points from the different groups.

Donor Type	Key Priorities	Typical Exclusions
Individuals Donations	Emotional and personal connections	<ul style="list-style-type: none"> • You do not know them personally • There is no location or experience connection
Corporates	Alongside social impact, there is often personal interest, and wanting some sort of return, especially for their public relations, communications and profits	<ul style="list-style-type: none"> • You do not identify the strategic benefit for them • You do not know them personally • You don't identify a PR opportunity for them

Trusts & Foundations	Personal connection, matches strategic objectives, can present evidence of success	<ul style="list-style-type: none"> No personal connection You do not align with their strategic interest
Attendees of Events	Personal interest, return of goods, services and experiences and social appeal	<ul style="list-style-type: none"> Do not provide a adequate good or services For example, do not meet local interests or are unaffordable
Institutional Donors	Matches strategic objectives and political interests, evidence of success	<ul style="list-style-type: none"> You don't understand their political ideas such as relevance to govt agenda, inclusion of hosting communities, gender inclusivity and related issues, democratic systems, and so on. You don't meet their strategic objectives You lack capacity to measure success

- 1.20 Take Notes of Discussion Points.

Take note on how many types of donors there are as well as their different priorities and interests. Often it may be easy to focus on the larger institutions, international organisations and trusts and foundations. However, our community members, individuals, organisations, and businesses giving donations or attending fundraising events are just as important.

- 1.25 Go to the **next slide** and discuss the next activity.

Divide the participants into groups of three. Ask the groups to consider the following scenarios and instruct that they decide which donor they would choose to approach. The notes in brackets can help you as you guide their deliberations.

Imagine you are a small refugee led organisation focused on providing education to refugee children with disabilities in a rural refugee camp. Put the donors below in the order of priority in terms of likelihood of receiving support.

- a) *A USA based foundation that provides funding to organisations in developing countries working with children with disabilities. Their grant sizes range from \$250,000 to \$1 Million for 24 month projects.*

[While the focus for this fund is good, the grant threshold would exclude a “small” RLO.]

- b) *An institutional donor with an office in your country, who has a call for proposals out requesting proposals covering marginalised children in urban areas.*

[The element of “urban” would exclude this RLO who is working in a rural camp]

- c) *A UK based trust that gives lots of small grants, ranging from \$5000 - \$20,000 for any work connected with disability, with no geographical limitations.*

[This is a good one, though their scope of funding is quite broad, however, it is certainly worth applying]

- d) *A donor based in your country who supports HIV/AIDs focused work in remote areas of the country, including some refugee camps.*

[The focus of this fund is HIV/AIDs so they are unlikely to support this project. Their area of support has some overlaps so it might be worth reaching out in case they have suggestions of who else might support the project – just don’t expect them to fund the work]

- e) *An Australia based fund that funds lots of varied projects in your country related to children.*

[The focus of this fund is broad as there are likely to be many causes related to children in the country. It will certainly be a big gamble, but worth it if you have time to make an application]

- f) *A fund that was specifically set up to support refugee led organisations in whatever work they are doing.*

[While this looks broad, this is a very good one to approach because the donor is funding the RLO for substantial reasons. It is likely that the fund would support the RLO with organisational support and provide longer term funding]

Some answers for prioritising might go F,C,E,D, with A and B not worth applying to. C and F are interchangeable. See what your participants decide and compare responses.

- 01.50 ASSESSMENT FOR LEARNING (AFL):

Ask the participants to think about their RLOs and how they have previously been going about their proposal writing or fundraising efforts. Have they been doing thorough research before applying or has it just been done casually? Ask the group to each go look back at their organisation's previous proposal writing efforts and for the next session come prepared to discuss a proposal they write that was successful, as well as one they wrote that was rejected.

Give the group at least a full day to complete this exercise before the next class.

Session Two – What Does My Community Need?

Resources: Display the PowerPoint entitled “Module 11 – What Does My Community Need” to your participants. You will also need your participants to have access to the RLO project and proposal development handout. You will need a flip chart and marker pens.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn how to understand what your community needs

You will also learn how to observe and contextualise your community

- 00.05 Introduce the first activity and display the first slide

The activity is a visual activity that will be led by the facilitator. Encourage participants to share feedback and give responses. Remember there can be no wrong answers. Encourage explanations and discussions. You will need a flipchart and a marker.

This activity will help us understand what our community needs. Now I want you to pay close attention to the next image.

Display the image on the PowerPoint for only 30 seconds. Then display the next PowerPoint image for another 30 seconds. Then go to the next slide. Ask the class what the difference between the two images is. Allow some responses from the group and ask for explanations from the responders.



Image 1



Image 2

Allow for more responses and write them down on the flipchart for a few minutes or until the class is out of ideas and then display the images again now asking the class to add on what they may have missed. Take notes on the flipchart.

Sometimes, we may not always think we are being as observant as we think, and this means that we may miss some important details. The same happens in our communities, we may think our idea is actually helping the community when that idea may not be the best idea for the community. Understanding our community entails understanding it in a number of ways. Whether or not the community is defined geographically, it still has a geographic context -- a setting that it exists in. Getting a clear sense of this setting may be key to a full understanding of it. At the same time, it's important to understand the specific community you're concerned with. You have to get to know its people -- their culture, their concerns, and relationships -- and to develop your own relationships with them as well. Can you remember some of the aspects that define our community?

Allow for some responses before moving to the next slide.

- 00.20 Show the next slide that helps respond to the question.

We can define our community as a group of people with shared interest, location and experience. We can also define a community through its:

- *Physical aspects*
- *Infrastructure*
- *Patterns of settlement, commerce and industry*
- *Demographics*
- *History*
- *Community leaders (formal and informal)*
- *Community culture (formal and informal)*
- *Existing groups*
- *Existing institutions*
- *Economics*
- *Government/politics*
- *Social structure*
- *Attitudes and values*

Ask the participants to discuss each of the aspects and how they relate to determine what a community is.

When you have a good understanding of what your community is, then you can start to determine what your community needs. Analysing community needs is a way of thinking carefully about a problem or issue before acting on a solution. It first involves identifying reasons a problem exists and then, identifying possible solutions and a plan for improvement. Without knowing the needs that cause problems, we cannot fix the problem or in this case our community. Jumping in and trying to fix a community need without an

analysis can cause a bigger problem and waste resources. An in-depth analysis will lead to better long-run solutions.

- 00.35 Show the next slide on Problem Analysis

Ask the participants to explain what a problem analysis of their communities can help them with. Allow them to discuss in groups and allow each group five minutes to discuss and two minutes to present their issues. List the issues on a flipchart.

An analysis can help us:

- *To better identify what the problem or issue is*
- *To determine the barriers and resources associated with addressing the problem.*
- *To develop the best action steps for addressing the problem.*

Having a deeper understanding of a problem before you start trying to solve it helps you cover all of your bases when you are trying to develop a solution through your proposal. When you take a little time to examine your community's needs and problems first you have a better chance of coming up with a successful solution.

When identifying and prioritising problems in your community, you may want to consider some criteria:

- *The problem occurs too frequently (frequency)*
- *The problem has lasted for a while (duration)*
- *The problem affects many people (scope, or range)*
- *The problem is disrupting to personal or community life, and possibly intense (severity)*
- *The issue is perceived as a problem (perception). A problem often becomes a more invasive problem when it is also perceived as a problem by the community at large, but just this perception is disruptive.*

The problems that really need to be addressed more urgently are problems that display several of these criteria.

As a RLO management team, you should do a problem analysis in your community. Every community problem can benefit from an analysis, even though you may not be able to do them all, you have to at least analyse the problems which you are seeking to propose solutions for in your fundraising efforts. There are conditions when an analysis is especially critical:

- *When the community problem is not defined clearly*
- *When little is known about the community problem or its possible consequences*
- *When you want to find causes that may improve the chance of successfully addressing the problem*
- *When people are jumping to conclusions and solutions much too soon*
- *When you need to find collaborative partners to help take action.*

- 00.45 Show the next slide on How to Analyse a Community Problem

Explain to participants.

The ultimate goal here is to understand how to analyse a community problem and learn how to deal with the situation better and more effectively.

- *Identify the problem*
- *Frame the problem – state it clearly*
- *Identify whose behaviour and/or what and how environmental factors need to change for the problem to begin to be solved.*
- *Understanding the issue – and the root cause of the problem*

Ask the participants and allow for some responses before moving to the next slide.

Who is a stakeholder and what is a stakeholder analysis?

- 01.00 Show the next slide on Stakeholder Analysis.

A stakeholder is anyone who has something to gain or lose from your project.

A stakeholder analysis is a tool used by organisations to identify the people related to their project and to help develop strategies to engage these people in the right way. They can be a wide variety of actors and identifying these stakeholders is essential to clarifying their role and relationship, as well as determining the variety of interests to which you will be accountable for when developing or implementing your project. It basically establishes who will be and how they will be involved in your project. Stakeholders can generally be placed into three broad categories:

a) Key Stakeholder: *People, groups or institutions who can significantly influence or are particularly important to the success of your project.*

b) Primary Stakeholder: *People or groups who are directly impacted by your project. These can be both:*

- *Beneficiaries – Positively impacted*
- *Dis-Beneficiaries – Negatively impacted*

c) Secondary Stakeholder: *All other people or groups who have a stake or interest in the proposed project or are indirectly impacted by the project.*

The range of stakeholders relevant to consider for analysis varies according to the complexity of the project you intend to implement. It is important to note that stakeholders in all categories can be both positively and negatively impacted by your project & therefore it is important to identify your likely critics so you can find strategies to help get them onboard.

How will the community be involved?

Allow for some responses before moving on.

Community engagement is about involving the people you serve, not just as beneficiaries of your projects, but also as strategic partners in accomplishing your mission. Almost everyone young or old, rich or poor, with or without formal education — has something that they can contribute to an organisation's work. Some might have special knowledge or a unique skill to offer. Others might have the means to donate money, materials or supplies.

Community involvement in stakeholder analysis is essential in ensuring the success of any community project. An innovative approach to community involvement will ensure not only the sustainability of your project but may also contribute significantly to its success or impact. In order to achieve this effectively one will need to have conducted a proper problem analysis within their community to enable them to identify and understand the root causes of the problems affecting their community.

This will involve mapping/identifying the influential pillars of your community and finding ways of engaging with them. By increasing the level of community participation in the process, you are increasing community buy-in and likelihood that they will see the project through to the end. When people feel involved in the process, they are more likely to stay involved for the long term.

People are often inspired to act when there is a clear vision and they believe your organisation has a plan of action. Therefore, do your homework; come up with a plan that is going to work. You will only be effective at inspiring others to act if you are clear about the problem you are trying to solve, and how to go about solving it.

Remind the group to keep referring to the handout for more information on this.

- 01.15 ASSESSMENT FOR LEARNING (AFL):

Pick up on the assignment from the previous class and ask the RLOs about their fundraising and proposal writing process. Ask them to give their experiences with the successful proposals as well as their experiences with the ones that were never responded to or ignored. Allow fifteen minutes for discussions, and take notes of some of the challenges as well as successes that the participants share.

Session Three – Project Planning for Our Communities

Resources: Display the **PowerPoint** entitled “Module 11 – Project Planning for Our Communities” to your participants. You will also need your participants to have access to the RLO project and proposal development handout. You will need a flip chart and marker pens. You will also need your participants to recall and come with their assignments from Module 5 on Resource Mapping.

Additional Notes to Consider for Preparation: These sections are mostly revision of previous modules, hence as the facilitator, it may feel like you are going through them very fast, but structure your session to be more of a revision session and only use the text below as a refresher for the key points not as an explanation, for instance for most of the sections, ask the participants to share their homework from those sessions with the group as a reminder.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn how to go about project planning for your community projects

You will learn how forming and creating a clear vision has an impact on your project plan

You will also learn how goal setting and resource mapping have an impact on your community projects

- 00.05 Display the first slide and introduce the module.

Now that we have learned about observing and contextualising our communities' needs and we have been able to analyse and define them, we can move onto project planning. This is all about asking 'what if'? In Module 5, session 2, where we learned about Design thinking, this stage is called ideation. It is the process of generating ideas. Project planning is not always a linear one-way process but having a clear problem statement and understanding the context, stakeholders and your current capabilities will help guide your generation of ideas.

Now before you start working on your project plan, the first thing to focus on is defining your shared vision for the community project. A vision is the long-term goal or impact that you want to achieve with your project based on what you as a group see as the most ideal situation.

Forming a vision requires a lot of imagination within your organisation. It is important to ensure the ideation process takes place in a safe and welcoming environment and that

everyone is able to contribute. The vision should also always link back to the root causes of the problem(s) you are trying to address. Specific activities and desired outcomes will later be planned to tackle the root causes and lead your community closer towards this long-term vision.

Forming a vision also means questioning whether your organisation's ambition is big enough? For example, the group may agree that everyone going to school is a good thing. However, a vision could be everyone able to access a quality and locally relevant education which is also free. It would also be beneficial to keep your vision focused on tackling one problem, sometimes our communities have a vast variety of needs, but we also have to be realistic about which ones our organisations are best placed to handle.

Remember, a vision is a long-term aim which requires a whole range of outcomes to be achieved beforehand- it serves as a guide to which outcomes should be reached and acts as your organisation's overall mandate. Once this has been clearly established, it makes the project planning process easier as you know what your project plan will focus on achieving in the long run.

- 00.10 Display the next slide on Goal Setting.

Once you have defined your vision and have a purpose for your project plan, it is time to set specific goals. These are a range of planned outcomes following a series of inputs and activities which will collectively work towards achieving the longer-term vision. When setting goals, aim to make them SMART. This is an acronym standing for the following:

- **Specific**
- **Measurable**
- **Achievable**
- **Relevant**
- **Timebound**

In order to explain this further, introduce the following activity. Suggest to the participants that the group draw matching lines between the words of SMART with the examples/definitions that best match the word.

SMART	by midnight on 31st December
MEASURABLE	it fits into the organisation's vision
ACHIEVABLE	where, when, why, what, how
RELEVANT	there are data tools to measure progress
TIMEBOUND	your team have the skills to do it

To ensure a goal is **specific**, it helps to ask the five 'W' questions; 'what, why, who, where, which'. When answering these questions, it is important to reflect on your learnings from

the problem and stakeholder analysis. A resource mapping exercise will also help. For example, you need to understand the root causes of problems in your community and understand the actions of different stakeholders to know why achieving certain goals is important and what needs to be accomplished. Similarly, you need to know who will be involved, where the project activities will be located, and which resources are available.

Next, a goal should be **measurable** to record progress, show what should be improved and provide a source of motivation. Making a goal too broad may complicate measuring success, so try to keep individual goals specific whereby success can be shown by asking 'how much?' or 'how many?' For example, you may record the quality of education has improved when you ask 'how many' children achieved x results. Equally, you could say you reached the goal of improving household income by 80% when you ask participants 'how much' they earned before and after vocational skills training.

Setting an **achievable** goal involves being realistic based on your available resources and experience. Ambition is important, and resources may increase overtime. However, you should ensure goals do not stretch your abilities to the extent that you will be unable to fulfil targets which other stakeholders are expecting you to achieve. Here it is important to assess staff capacity in terms of knowledge and time, as well as freely available material and financial resources.

Relevant goals are those which support the broader vision of your organisation. For example, if your vision is more inclined on improving education in your community, setting a goal to improve local farmer yields would appear less relevant, unless an explanation is offered. Relevance will depend on the local context, the problems you analysed and the chosen timing of the intervention.

A **time bound** goal means it simply has a deadline. This will help you to prioritise your goals. Setting your deadline will depend on previous steps, considering when the goal will be more or less achievable, or more or less relevant. For example, you may need to obtain a certain number of resources first, or if you wait too long to act you may miss an opportunity. Also factor in the time it takes to measure the results of activities to understand if you have achieved the goal.

A final point on goal setting for your project planning process is to consider what goals other stakeholders have set on similar initiatives. In particular, learn what local, national, and international policy has been set on relevant areas. For example, you may want to set goals which help to meet the goals of the national government or even to provide evidence to change those goals. Often development organisations set goals which will support the sustainable development goals (SDGs) set by the United Nations General Assembly. Having goals in line with other stakeholders as well as goals in line with potential donors is a great way to align your project plan to their interests and increase your chances of success.

- 00.20 Display the next slide and introduce the first activity.

Display the slide and read the story to the participants.

Martha, a student in primary school, has decided to become a doctor. After talking with adults in different areas of her community, reading information in books, and identifying her strengths and weaknesses, she has narrowed down her choice to being a family doctor or general practitioner and perhaps being the community doctor one day. During the school holidays she has asked to volunteer at the local community clinic near her home. By the time she is ready to work as a doctor, she will have gained exposure to what the job might be like. Based on this, she has written goals that will guide her desire.

Tell the participants that they will use the story about Martha to practice writing SMART goals. Divide the participants into five groups and have each group work on one of the acronyms for the SMART goals for Mary. For example, Group one should work on the S part of the goal for Mary and Group 2 on the M part and so on. After five minutes they each shared their suggestions for the “S” goal, the “M” goal, the “A” goal, the “R” goal, and the “T” goal for Mary. Remember to write down the participant’s feedback. Encourage the entire group to give feedback on each group’s opinions. Remember there are no wrong answers for this.

- 00.40 Display the next slide on Resource Mapping.

If you recall, during our module on Resource Mapping we said that Resource mapping is the process of aligning resources available to a group towards a specific strategy, goal or expected outcome. When you map your resources, you are able to make better decisions about how to achieve your goals. With a resource map, you can have a greater insight into what is available for you and your community, effectively decide how to distribute your resources and track resource usage. Resource maps also highlight gaps to inform your project planning and budgeting, and therefore what you decide to request for in a proposal as well as the funding needs.

A resource is a stock of materials, staff, money, or other assets that can be used by a person or organisation in order to function effectively. You and everyone else in your community will have resources that can be shared. Everyone has talents, knowledge and connections which can be designed to be utilised to the benefit of the wider community.

During group project and proposal design, it is useful to map out what resources are available within your community. Below are some key questions to consider when making this map.

- Who does or does not have rights to access particular resources, and why? (Indicate restrictions/barriers).
- What resources are managed under a legal contract? By whom?
- What regulations apply in what areas?
- Are any resources depleting?
- What livelihoods depend on what resources?

- What conflicts are there on natural resources?
- How do we contribute to the resources in the area?
- What resources are under our control?
- Can we leverage partnerships to attain more resources?

Through these questions, you may be able to categorize resources by abundance and accessibility. Resources can be further categorized by their function, whether they provide direct or indirect benefits and how often they are available.

After this initial mapping stage, compare the findings against your plans to better align resources and strategies. This means asking whether you have the right resources and people ready to meet your desired goals/objectives for that project proposal?

To understand the extent of your resource gaps, it is important to critically question your goal setting. Resource mapping and goal setting go side by side and inform each other. Consider how realistic the project objectives are, as well as the project's timeframe. Some of your goals may be more long-term and will require a large number of resources to reach. Carefully planning what activities need to go first within your broader strategy as an organisation - prioritisation is key.

Being realistic also means assessing your capacity to manage resources and to deliver activities in a way to achieve the impact you want to see in your community. For this reason, it is best to think about small and slow solutions before jumping ahead; 'slow and steady wins the race.' Applying for large grants without having the capacity to handle such funding will likely be unsuccessful, is risky and therefore not a good use of time and resources. It is better to start projects you are confident about having the capacity and resources to manage. Donor's will recognise this, and it means you take on less risk and can be more flexible and resilient to any sudden changes.

- 00.40 Move to the next slide and introduce the next activity.

Ask the class.

Have you utilised the resources available in your community in your project planning and proposal writing? Can you describe what you did and how you did it?

Ask the participants to discuss in pairs for five to ten minutes. After this, allow each pair to discuss their ideas with the group and give feedback.

- 01.00 ASSESSMENT FOR LEARNING (AFL):

During this process of getting the group to set their vision, goals and identify their existing resources available to them make sure you encourage each community group to speak and talk about their previous experiences highlighting what they could have done differently in their project planning process.

During these discussions try and make the sessions as interactive as possible, encourage the participants to really think realistically about their project planning process and now realistically align what they have and what is available to them for their intended community development projects. Encourage them to talk amongst themselves, their beneficiaries and stakeholders.

Session Four – Drafting a Concept Note

Resources: Display the **PowerPoint** entitled “Module 11 – Drafting a Concept Note” to your participants. You will also need your participants to have access to the RLO project and proposal development handout. You will need a flip chart and marker pens.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this session you will learn how you can input your community's needs and your vision for change into a concept note. This can later be developed into a funding proposal.

You will understand the difference between a concept note and a funding proposal

By the end of the session you will know the most important elements of a concept note.

- 00.05 Display the first slide and introduce the module.

Now that we have gone through the underlying principles around proposal writing, we can move on to discuss how to draft a concept note.

A concept note captures the most important information a potential donor might need to know.

Ask the participants to comment on why it is important to develop a concept note when you have funding needs. Allow for some responses before aligning them to the feedback below.

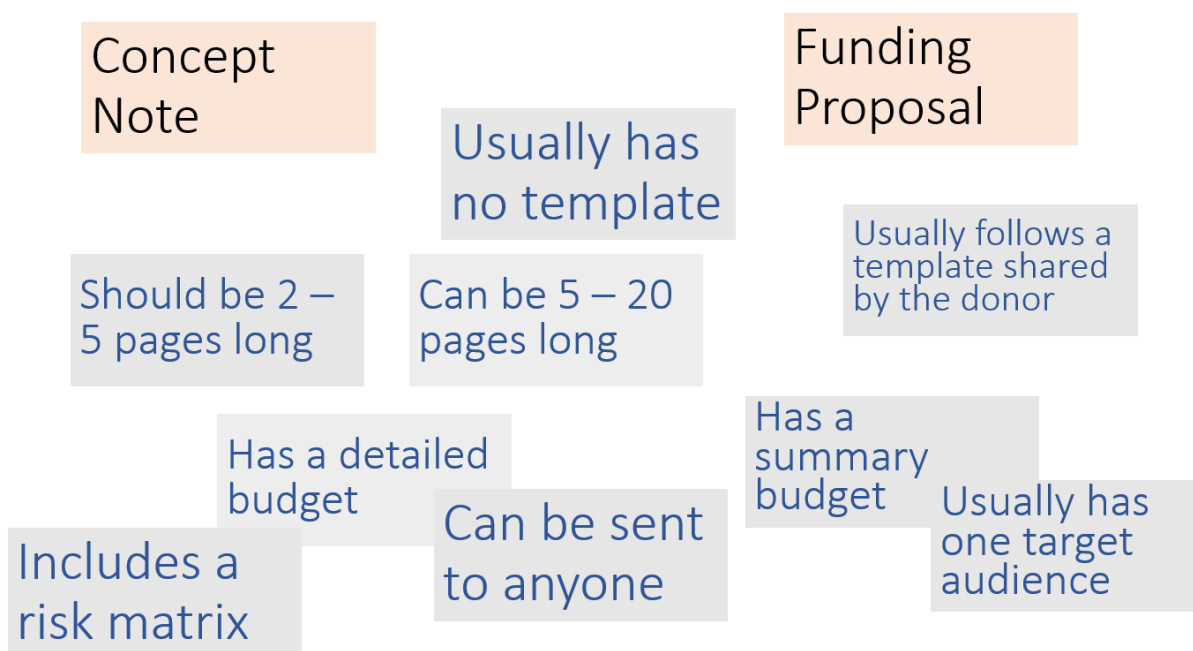
Some possible answers should include:

- A concept note should include all the most important elements a donor would want to hear
- A concept note can be shared widely, even to potential donors who have not requested a funding proposal
- It helps your organisation get plans and ideas down on paper

- 00.10 Introduce the next activity

In this section we will look at the difference between a concept note and a full funding proposal. In pairs, match the characteristics with the type of document.

Ask the participants to match the characteristics with the type of document, either on a handout, or verbally.



Assessment for Learning - take a note of the matching choices made by the participants to see if they already have a good idea of the difference between funding proposals and concept notes. If they do then this will make it easier for you to progress with the session.

As a summary for this exercise, explain that a concept note should be the first place to start when looking for funding. It can be written up in a format that you decide and can be sent to anyone who might be interested in your work. In contrast, a funding proposal will typically be written when a donor has an established template, with many more sections, such as a risk matrix, logframe or a detailed budget, which must be entered on a pre-designed template. It is likely that for the participants you are working with, concept notes will be a more relevant form of fundraising. (However, you can refer to more advanced sessions on funding proposals for the occasions when RLOs are required to complete funding proposals).

- 00.20 Display the next slide to introduce the next activity

A concept note follows a logical sequence and is designed to get the most important information across in the most efficient way possible.

Request that as a large group, the participants verbally put the following elements of the sequence in the correct order. You could also write them down on the flipchart. Allow the participants a few minutes to organise the statements below.

- So give us money please, specifically give us *this* much money
- We will prove we have addressed the problem
- Hello
- We can address the problem and this is what we will achieve
- This is the problem
- We are the best people to address it, and we can prove it

Hopefully they will select the following order:

1. Hello
2. This is the problem
3. We can address the problem and this is what we will achieve
4. We will prove we have addressed the problem
5. We are the best people to address it, and we can prove it
6. So give us money please, specifically give us this much money

Ask the participants if they can identify what each of these sections is usually called. When you have had some responses show the next slide or explain the section headings.

Section Headings

- Hello

Introduction

-This is the problem

The Need / barrier /
challenge

Objectives and
Activities

- We can address the problem and this is what we will achieve

- We will prove we have addressed the problem

Monitoring and
Evaluation

-We are the best people to address it, and we can prove it

Credentials or
Experience

- So give us money please, specifically give us this much money

Budget

Explain to the participants that this is all a concept note really needs, and each section does not need to be long. Go through each section and describe in more detail what each one

means and ask the participants to share examples of the kinds of things they might put in each section.

- 00.40 The Pre-Writing Phase

Before writing anything down, it is important that you have planned out the structure of your concept note and you are confident with what you will be putting in it. In the next activity you will plan out a brief concept note, and before writing it down you will share the details with the rest of the group in a two minute presentation.

Divide the group into two smaller groups. Give each of them a sheet of A3 paper, and ideally some sticky notes. Ask the groups to divide the sheets of paper into sections according to the section headings you looked at in the last activity. Ask them to write down ideas for each section on sticky notes that can be moved around or removed, or if you don't have sticky notes, using pencils or erasable pens is preferable. Give the groups 20 minutes to write down some ideas in each section and remind them to refer to things they learnt in previous sessions, such as in the community needs sessions. The information can be written down in rough format and should not be scientific.

As the exercise goes on, keep the pressure on timings. This is the ideas and pre-writing phase so the groups should not get bogged down in details, such as exactly how much to ask for in the budget.

- 01:00 Recap on Activity

Pause the activity. Ask some of the participants how they found filling in the sections. If they have struggled then give them a few extra minutes to finish off.

- 01.05 Practising The Two Minute Pitch

Give participants the following instructions.

Your concept note should include the information you would be able to share verbally in two minutes. Prepare a two minute presentation on the information you have included in your concept note plan. You have 10 minutes to practice the pitch and to select which team members will be presenting.

- 01.15 Delivering The Two Minute Pitch

On the board or flip chart put the section headings up again. Prepare the two groups to give their pitches. In the opposite team there should be a time-keeper.

Assessment for Learning. Suggest that when the presenting team moves from one section to another the observing team signals the recognition of the beginning of a new section. For example, when the pitch moves from the introduction to the problem the observers should

signal the shift. This can be done with a body movement like a wave above the head or a light percussive sound like tapping a pencil on the desk. The point of this exercise is to ensure the observers listen to the pitches keenly, and as a challenge to see how clearly each section comes through in the pitch.

- 01.25 Feedback

Give feedback to the groups on their pitches. Go into detail on their different sections and ask the observers to give feedback too.

- 01.30 Take Away Assignment

Assign the two groups to write up their concept notes, or, if they are all from one organisation, to select the one concept note they want to write up to use for fundraising. Assure them that you will have a look at their concept notes in the next session.

Session Five – Project Budgeting and Project Reporting

Resources: Display the **PowerPoint** entitled “Module 11 – Drafting a Proposal Budget” to your participants. You will also need your participants to have access to the RLO project and proposal development handout. You will need a flip chart and marker pens.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn how to prepare a budget for your project.

You will also learn about project reporting.

Ask the group if they can define the meaning of a project budget and how they have gone about project budgeting. Allow for some responses.

- 00.05 Introduce some of the aspects that will help define project budgeting using the **next slide**.

A Project budget is a tool that outlines and estimates the total cost of implementing a project. A budget is used to request for money to implement the project you are writing a concept note or proposal for. It should show the true cost of the project and should have a clear link with the project narrative. Basically, the budget should mirror the proposal.

Usually, donors want to see the true cost of the project and your anticipated income for meeting those costs. What this means is that the budget should clearly show expenses and income related to the project. The income of the project and the cost should balance, that is to say that they should be equal.

The person involved in writing the project narrative is the best person to start writing the budget with inputs from the treasurer or finance officer. The team should review and approve the final budget before attaching or sending the proposal.

Ideally the budget should be started after the project narrative because then you will have a clear picture of the costs you might need.

- 00.10 Display the next slide on Part 1: Components of a budget.

1. **Income** - Income is equally important while writing a grant proposal because it shows how you intend to cover the cost of the project. Some project budgets can be exceptionally large and sometimes beyond what one donor can support, therefore, it

would be good for your RLO to try and find or match other sources of income to cover the other expenses related to the project. In some cases, some donors would like to know and see your contribution to the project. Here you want to list any type of income that will go into the project. This income can be received through:

- *Grants/Contribution: This can be the amount you are asking in the proposal*
- *Earned Income: This is from fees charged or even sale of goods or through an income generating activity within your organisation*
- *Grants received from other donors for the same project or a cost that is jointly shared.*
- *Membership Dues*
- *In-Kind Support: This is anything given to you not in the form of money but can go towards the project implementation. This can include support such as volunteer services, an existing learning or operational space or even equipment that can be used in the project. You will need to list them with their value.*

Ask the class if they agree with this list and this section of the budget. Have they previously been including it in their budgets? Allow for some responses before moving to the next slide.

- 00.15 Display the next slide on Part 2: Components of a budget.

2. Project Expenses and Costs: *These are different types of expenses or costs associated with implementing your project. They can be:*

Direct Project Costs: *These are the costs that are necessary for the project to be implemented smoothly and all the expenses that you will incur while implementing the project. They are specific to the project. They can also be divided into:*

- **Staff Costs** - *These are the costs of all the staff who will be working on the project, whether full time or part time. When estimating the cost of the project staff you should also consider the time it will take your treasurer and your management committee to manage the project.*
- **Non-staff costs** - *These are all the direct project costs that are not associated with staffing but are necessary for the project to be implemented. When coming up with these costs, try as much as possible to break down the activities and justify them in the project narrative. If the project is multi-year (that is running for more than 1 year) please factor in the inflation rate while costing subsequent years. The inflation rate is the percentage rate of change in prices of items over time. Please note that when you are writing your budget and want to include costs such as buying a computer or undertaking construction, it is a good practice to obtain at least 3 quotations from three different suppliers to help with the final estimation of the cost which you put in your budget.*

Indirect Project Costs / Overheads / Operating costs – These are costs that are needed to run the organisation but cannot be directly linked to any specific project. However, they are necessary for the implementation of the project as they support the project indirectly. They include rent for the organisation, Utilities (Water and Electricity) Security, office supplies, office internet (this is not the same as internet needed for a learning program, that is a direct cost), printing and stationery and so on. It is good practise to keep the indirect costs to a minimum percentage of 30% of the total project direct costs.

Ask the group if they agree with this breakdown of Project expenses and costs. Also find out how they have been allocating project expenses in previous proposals. What have they called direct costs and what have they called indirect costs?

Make notes on the flip chart of their feedback.

- **00.30 Display the next slide on Budget Narrative.**

When developing a budget, it may be helpful to have a separate column that has a few notes on the budget lines. This is not to replace the need for the same expenses to be justified in the proposal itself. It is instead to work as additional supporting notes to help the reviewer quickly see the relevance to the costs. It also helps show how certain figures were arrived at and what is entailed in them.

In summary, for a project budget to be complete, the income and the project costs should be equal. Please refer to the link below for a template that can guide you on the structure of the budget.

Do you agree with this? Do any of you have any additional feedback or questions on the budgets?

Allow the class to give feedback and take note of their questions. Remind the class to look at the handout, especially part 5 for more information, examples, and templates of the budget.

- **00.40 Display the next slide on Project Reporting.**

Should a proposal be successful, and your RLO is able to access funds to launch or run a project, it will then be vital to share timely reports with donors. These reports may also come useful for accessing future funds when shared with other stakeholders.

Reports are used to clearly inform interested stakeholders how your projects are developing according to the objectives clearly set out in the project proposal and design. A report should correspond to the specific planned outputs, outcomes and impact, as well as the budget and workplan. This will ensure objectives are being met within the set time frame and funds are being properly utilised.

Not all reports are the same. A donor may request a report by a certain deadline and ask for more detailed and specific information to assess the project's value such as the

cost-per-participant. On the other hand, you may choose to share a report with other stakeholders including local officials, partner organisations and also fellow community-members. Each stakeholder will have different preferences on what they want to know about your activities and have different ideas about what is a successful impact. For example, while value-for-money may be a donor priority, local officials may want to understand how your programmes are supporting local policy objectives. You may choose to share detailed inspirational personal stories with fellow community members and other RLOs. It is important to adapt reports to specific audiences.

How you report about how you prove impact will determine what information and data you have available to share with stakeholders. It is therefore important to plan your monitoring and evaluation methods according to what type of information you want to share and with whom. This will make your reporting writing process easier. In particular, some people may be more interested in key figures, such as percentage increases in the number of children attaining higher grades. Numbers can be presented in graphs and tables to read more clearly. Other people may prefer more photos or films telling a story of success. Therefore, you need to make sure during your M&E designing you cater for all the aspects that need to be reported on.

Refer to the handout for a template for a donor report.

Ask the class the questions below and allow for some feedback on each of the questions. Be sure to make notes on the flipchart.

- How have they been reporting to various stakeholders?
- Which stakeholders do you usually report to?
- How often do you report to the various stakeholders?
- Do they have a template they use?
- Does it include the sections in the handout or does it have anything else we may have left out?

- 01.10 ASSESSMENT FOR LEARNING (AFL):

We have now come to the end of the session and the module. Be sure to have the RLOs make this information as practical as possible by encouraging them to keep practising and writing proposals.

Session Six – Drafting a Full Funding Proposal (Optional)

Resources: Display the **PowerPoint** entitled “Module 11 – Drafting a Full Funding Proposal” to your participants. You will also need your participants to have access to the RLO project and proposal development handout. You will often refer to the handout so make sure all participants have access to Part 4 of the handout. You will need a flip chart and marker pens. This session is very knowledge intensive therefore keep encouraging for feedback from participants as often as possible.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn how to draft some of the important sections of a full funding proposal that are usually required by donors.

You will also learn about the overall proposal structure.

You will learn about logframes.

You will learn about a theory of change.

You will learn about some monitoring and evaluation frameworks.

You will learn about risk assessments.

You will learn about work plans.

The session will be very intense, and I want to encourage you to ask as many questions as possible, take many notes and share your own experiences.

- 00.05 Display the first slide and introduce the module.

Now that we have gone through the underlying principles around proposal writing, we can move on to discuss how to draft a full funding proposal. It is important to note that most donors already have templates for the sections below, but it is important to learn about them and understand the thinking your RLO would need to apply when dealing with those sections.

Before beginning to draft your proposal make sure to carefully check eligibility criteria, the word count and if any supporting documents like a logframe, theory of change, budget, or risk assessment are required. If you have concerns, see if the selected donor can provide

clarification. This information is generally available on the application or the donor's website with a contact given.

- 00.10 Display the next slide on the Proposal Structure.

This section gives a brief description of each section. Please refer to Part 4 of the handout for more information, notes on details of each of these sections.

As you go through each section allow participants to share their feedback and approach to each of the sections. They can also share what they have been including in each section or what they would include now with the understanding from the previous sessions.

Section	Description
Project Title	This is a summarised statement explaining the vision and aim of your project. It should be straight to the point and relevant to the donors required expectations.
Problem Statement/Background to the Problem	Provide a background to your organisation, the vision and mission and then the background to the problem or context including details on the problem being addressed.
Action Plan	Outline how you intend to tackle the problem(s) identified. It is a section where you summarise the project in a few sentences explaining what change you hope will take place as a result of particular activities over a specific timeframe. Mention how many participants will be involved and affected directly and indirectly.
Evidence for Success	Provide existing evidence supporting your methods to tackle the problem(s) being addressed. Try to use multiple sources of evidence and highlight how you know it is valid. This means explaining how the evidence was gathered in a way that it is accurate, recent, and relevant to the proposal. This section can also be used to show that other stakeholders will approve of and want this project to go ahead.
Stakeholders	This section should highlight: Who will be included in the project? How do you choose participants? How is your project inclusive of marginalised groups? How do you account for participants who may have specific needs for instance, children with disabilities? Will there be any tensions between participants and stakeholders? Does your project support national or international goals?

	Does the project align itself with the donors strategic objectives?
Expected Results	Highlight what you expect to see in the short and medium term following your project. They should be SMART goals.
Impact	Highlight what you hope to see in the long-term following the results from your project outcomes. The impact section highlights how your expected results connect with your border vision for positive change in your community.
Sustainability and Exit Strategy	Show how the project will continue to provide benefits to the community even after the proposed project ends. It is also the point where you can show what it will take to increase the reach of the project.
Capacity to Deliver	Outline why you are in a strong position to deliver your proposed plans, highlighting the skills and experience of your organisation. Try to provide examples of where you have delivered similar projects and interventions. You may even give background to certain staff members involved to showcase their skills.
Other points	This can include mentioning how your organisation will consider safeguarding and protection of project participants, environmental considerations and such.

Explain to the participants that when drafting a proposal, it is important to avoid using personal pronouns such as I will, or We Will, use third person pronouns such as The organisation has or will do, the RLO has, and so on.

Do you agree with this list? Are there any other sections we may have left out?

Allow for feedback before moving onto the next slide.

- 00.20 Display the next slide on Logframes.

A log frame is the shorthand name for a logistical framework. They are a way of visually demonstrating how inputs (resources) enable certain activities to overcome a well evidenced problem and lead to positive outcomes of differing scale. Logframes can be quite rigid blueprints and cannot easily show all the complex interactions between project activities and different outcomes. However, donors often make them a requirement, and they do prove helpful in highlighting how a project works in more simple terms to different stakeholders.

Display the next slide with a logframe template.

	Summary	Indicators	Means of Verification	Risks/ Assumptions
Goal/Impact				
Outcome				
Output				
Activities				
Inputs				

Logframes use vertical thinking, starting with the goal in mind and showing what it takes to get there.

- **Goal/Impact**- the overall aim of the project. Consider how this fits into the RLO's vision.
- **Outcome**- the purpose. What will be achieved, who will benefit, by when?
- **Outputs**- the specific measurable results generated by a project activity
- **Activities**- what tasks need to be done to achieve the desired output?
- **Inputs**- the resources required to deliver the activities.

Logframes also use more lateral or horizontal thinking to show how it is possible to know when aims are being met and what needs to take place for this to happen. Things to consider are:

- **Indicators**- what data will show that each level of the logframe is being achieved?
- **Means of Verification**- what tools (For example, attendance sheets, and are used to collect data needed to indicate success?
- **Risk/Assumptions**- what needs to take place in order for the project to go as planned at each level?

It is important to note that a logframe is a visual way of summarising a project already designed, it is not project design itself. This means it is important to not get too fixated on the way the logframe is designed – after all, it is not a **lock-frame**. Activities and targets may need to be adapted overtime based on your observations and project activities.

Refer to the handout for more details on this section. Ask the participants.

Have you ever worked on a logframe? What was your experience like?

Allow for some responses before moving on to the next slide.

- 00.30 Display the next slide on Theory of Change.

The theory of change (ToC) is rather similar to the logical framework in that it also highlights the flow of connections between short-term outputs and long-term outcomes

and impact. Critically though it is different in that it is able to visualise the bigger picture or broader context in which the project is situated.

There are multiple ways in which you may decide to create a theory of change. Most commonly there are a series of boxes connected via arrows showing how different activities link to different outputs and outcomes and how all of these pathway's feed in the broader goal/impact. This means that unlike the more rigid one-way logical framework, a theory of change could demonstrate cycles within the project. For example, an outcome may be increased income, but then that income may be used for specific purposes which feed into other outcomes or even back into the project activities themselves. This makes a theory of change often rather messy and complex, with many arrows and pieces of text. A supplementary narrative may be required to explain the diagram if it is particularly confusing but try to ensure the reader has some chance of understanding the processes being outlined.

Developing a theory of change is actually an extremely useful design process and helpful to create before designing the logframe. This is because a good theory of change will highlight all aspects of the logframe but go further to explore the local and broader context and show connections between risks and assumptions and project goals. A theory of change can:

- Outline the problem statement,
- Show how different stakeholders can support or benefit, as well as potential risks for negative results
- Show how other on-going or planned projects may be complementary
- Describe what specific factors enable the project to take place (For example, pre-existing access to specific resources such as an office

Display the next slide with an example of a logframe. For a clearer view, the participants can also refer to the handout.

Refer to the handout for more details and examples on this section. Ask the participants.

Have you ever worked on a theory of change? Does your organisation have a theory of change?

Allow for some responses before moving on to the next slide.

NOTE: If you feel the participants are getting fatigued with information, try and engage them in an ice breaker before moving onto the next slide.

- 00.40 Display the next slide on Monitoring and Evaluation.

Monitoring is the ongoing tracking of project implementation and performance, regularly assessing inputs and outputs. This supports short-term management and planning exercises.

Evaluation is when you review a project critically through an in-depth assessment, questioning whether the project is achieving the kind of change you expected.

Monitoring and evaluation is the process through which we can assess whether a project is successful or not. M&E is a powerful design tool to ensure actions we take in our projects are as effective and efficient as possible. The M&E process can collect a wide range of data to learn how to **improve impact**, **ensure accountability** to key stakeholders and to **develop an evidence base** to share and support advocacy efforts which influence policy.

In a proposal, it is important to reference your plan for monitoring the progress of a project and what will be evaluated and how to demonstrate your project is having the change you expect to see. It tells donors and other stakeholders what they should expect to learn from you and whether your RLO has the capacity to understand changes taking place and adapt overtime to ensure maximum success.

Monitoring inputs and activity outputs is useful to show your project's **reach** and **capacity** to manage planned activities and deliver within the set time frame. Tools to do this are generally less complex; Generally, data collected during monitoring processes is more **quantitative**. This means data has more to do with quantities, numbers. Can you give examples of this?

Allow for some responses from participants before moving on. Remind them to refer to the handout for more information.

Tracking inputs and activities is necessary, but it does not show whether you are meeting your project's outcomes or having any real impact. Outputs do not show what difference you are making. In other words, you cannot assess the **causative links** between output and outcome.

In order to measure outcomes and impact, more methods must be used to evaluate if your project has caused a change. This firstly requires you to work out what it is you want to specifically investigate. For example, you may want to investigate how children attending a course in basic English has improved broader learning outcomes. To do this, you may choose to compare before and after results in an English language assessment with course participants and compare these results to children who did not access the course. The purpose of this is to try to find where a change is taking place and how this links back to your inputs and activities. This also means **testing your assumptions**. You may assume that children participating in your English course will have better results afterwards compared to children before taking the course. However, you are assuming children may not have

access to other support. This shows how there are different variables which need to be tested in order to highlight how your course in particular leads to a positive change. As such, in your proposal it is important to highlight what assumptions are being made. This will also help you decide what to investigate in order to demonstrate if your activities are leading to the expected outcomes.

Numbers may be able to show and suggest why a change takes place. However, **qualitative** data is also extremely helpful, and some things just cannot be quantified. Qualitative data is all about noting **how someone feels** or perceives something. Methods to collect this data include interviews, focus groups, photographs, videos. The information is personal to a particular individual and is a way for them to share what they think about something. This can reveal **the story** behind numbers and enable you to see unknown factors influencing the project outcomes. As qualitative data is more about personal feelings and stories, it is especially useful for a RLO's communications as people can more easily relate to a personal story than a graph or table of numbers.

When outlining your M&E plan, there are some key things to consider:

- Is it focused and relevant to the project goals?
- What type of data are you looking for? Is there a balance between numbers and more qualitative data?
- Who will do it, and do they have the capacity and support from others?
- Are the data collection methods ethical? For example, is there a plan to ensure the identity of participants remains hidden?
- What is your timeframe? How regularly will you collect different types of data?
- Is the M&E plan feasible- what resources are available?

Once you have decided upon some key things you want to investigate throughout the project, an important first step is to establish a **baseline**. A baseline is information that is gathered before the project begins. Data collected at a later date can then be compared against the baseline to show a change has occurred. Although it may not show why the change happened.

A final consideration is to show the donor how your project achieves **value-for-money**. Can someone please explain what this means?

Allow for some responses before moving on.

Value for money is something donors are especially interested in, for better or worse. To do this, we can calculate the **cost-per-participant**. To calculate it, you take the total cost of the project and divide it by the number of participants it reaches.

As a general rule, donors want a project's cost-per-participant to be reasonable compared to the expected outcome. Most donors are looking for good value for money -- so that

means a low cost per participant. Although, if a project is too cheap then they may question its quality.

Encourage the participants to keep referring to the handout and to asking questions, giving feedback with their personal experiences and overall keep active participation.

Refer to the handout for more details and examples on this section. Ask the participants.

How does your organisation do their M&E? Is it only related to project activities or do you have a larger M&E process that runs throughout the year that is aligned with your organisation's strategic objectives?

Allow for some responses before moving on to the next slide. Remember there are no wrong answers, keep encouraging participants to share feedback and their personal experiences.

- 00.50 Display the next slide on Risk Assessment.

In recent years many development organisations have become increasingly fearful of taking risks. This has in part been driven by the donor's demands for investing in the safest options. However, community development work will always include risks- there is no such thing as a 'risk-free' option. In fact, avoiding risk entirely may block innovation and actually cause more harm than good.

Nevertheless, donors and other stakeholders will want to know that you have conducted a thorough risk assessment to ensure any risk-taking will be informed by evidence and detailed analysis, and that certain decision-makers can be held accountable.

One thing to note is that risks are ultimately subjective. This means that the level of risk will be understood differently by different people depending on their experiences and position. Therefore, producing a risk assessment and deciding which risks are worth taking will require a lot of knowledge sharing and joint decision-making. This is especially true for the relationship between RLOs and far-away donors given that donors may not understand the full realities of the local context and have different understandings of an appropriate response. It is therefore important to include as much detail and evidence as possible to convince non-local stakeholders that risks have been fully recognised and plans adjusted to work around or with risks accordingly.

Here is an outline of the general risk assessment process.

1. **Prepare:** List possible risks and determine their likelihood of taking place
2. **Appraisal:** Planning risk responses and more detailed analysis of different risks
3. **Decision-making:** Presenting risks to leadership who will then assess the risks, including against current budgets, and make decisions on whether to continue

4. **Implementation:** Continuous monitoring and review

There are three key categories of risk. They are:

- **Contextual Risks**
- **Programmatic Risks**
- **Institutional Risks**

Refer to the handout for a sample of a risk assessment template as well as the structure of it. Ask the participants.

Have you ever evaluated your risks as an organisation? Does your organisation have a risk assessment? If they do, please share some of the risks you have included, and if they do not, what risks do you foresee including now?

Allow for some responses before moving on to the next slide.

NOTE: If you feel the participants are getting fatigued with information, try and engage them in an ice breaker before moving onto the next slide.

- **01.10 Display the next slide on Work Plans.**

A work plan (also known as a Gantt chart) is a tool which shows how your activities will be sequenced over the course of the project timeline. Work Plans can simply show activities per week, month or year. Depending on the desired level of detail, they can also be more complex to include budgets, specific inputs, expected outputs and outcomes and individual staff responsibilities.

At the design and proposal writing stage, drafting your work plan is useful to check that your planned activities are realistic and achievable within the time frame you have. In the proposal, it demonstrates to the donor that the project is realistic and achievable.

At the implementation and monitoring phase, it then provides a tool to monitor your implementation – are you progressing at the expected rate? If activities are delayed, what effect will this have on later plans and the overall progress of the project? Regularly checking progress against the workplan and editing if needed should be done by both project management and M&E teams.

Display the next slide with a sample of a simple work plan. Refer to the handout for examples on the work plan as well as more information on this. Ask the participants.

What has been your experience with work plans, have they been simple or complex? Can you please explain your thinking behind your work plan?

Allow for some responses before concluding the lesson.

- 01.20 ASSESSMENT FOR LEARNING (AFL):

This lesson is bound to take longer than 1:30, so try and make sure you keep having breaks, engaging participants with ice breakers. During the discussions try to make the sessions as interactive as possible by encouraging the participants to really think realistically about their proposal writing process and giving their personal experiences to each of the sections. Try and make sure that participants actively participate, making sure to choose different participants to respond to different aspects. Engagement is key.

Module Summary

By the end of this module, the RLO should have a clearer idea of how to go about proposal writing for community projects. This is a process that also takes practice to get good at, despite how tedious a fundraising initiative may be, encouraging them to keep at it and keep learning.

Write a short paragraph summarizing your reflection and think of how the module could be delivered better and send that summary to the Xavier Project Team Lead. Xavier Project is always keen to improve the content of this course and your feedback is appreciated. Please attach in the email examples of your assessment for learnings and links to on-line resources that include reference to the RLOs examples too.

Module 12: Managing Community Projects for Donors

Introduction

Once you have successfully applied for a proposal, and have received funds from a donor, you will need to manage the project. This module is about bringing all the aspects about managing a project for a donor successfully. This module discusses managing projects with the expectations that different donors may have. This module also discusses more on ensuring your logframe, workplan and budget align with the project to achieve success. It also discusses ensuring you report effectively for donors expectations.

Before going through this module, we advise that the RLO has gone through or has a thorough understanding of the following modules:

- Resource Mapping
- Proving Impact
- Financial Accounting and Management
- Safeguarding
- Proposal writing for community projects

We recommend that the participants especially should have completed the previous module on proposal writing for community projects. This is because this module makes a lot of reference to the contents there.

Session One – Managing Donor Expectations

Resources: Display the **PowerPoint** entitled “Module 12 – Managing Donor Expectations” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will also need flipcharts and marker pens.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module, we will be picking up from the proposal writing module by discussing how to manage different donor expectations.

Can we begin by having a recap of the previous module, can we share some of the highlights?

Allow for some responses from the group before moving to the next slide.

- 00.05 Show the **next slide** on Donor Categories.

What are the different categories of donors and their priorities as we discussed in our previous module?

Allow for some responses and/or prompt responses with the bullet points below.

- Individuals: Personal experience, want to make an impact, existing relationship, more emotional in approach, less about evidence-based programming
- Corporates: Also have a personal and emotional approach, but they are also huge on the PR social benefit and impact (CSR) and the strategic benefits of supporting that work, they are also keen on evidence-based programming.
- Institutional donor: Not personal or emotional, they pay close attention to evidence-based programming, strategic benefits of your work as well as the PR social benefit and especially need your work to align to their own strategic objectives as well as political interests (overarching government agenda, involvement of hosting communities, gender inclusivity and related issues, democratic approaches to programming and so on.
- Trusts and Foundations: Usually look for a personal or emotional connection, and also pay close attention that your work aligns to their own strategic objectives.

They are keen on evidence-based programming and less about the return PR or social impact.

- Attendees of events: Personal experience, emotional in approach, have an appeal to the PR and a huge return on goods, services, and experience.

- **00.15 Display the next slide on Donor Exclusions.**

Ask the participants.

Now that we have discussed some of the categories and priorities of the donors, now let us discuss what could be the possible exclusions to funding from the same categories.

You can divide the participants into each of the categories, so that each group looks for possible examples in each category. Allow them to discuss for about 5 minutes and then ask for feedback. Encourage other groups to add in as well. You can use the bullet points below as reference.

- Individuals and Attendees of events: No personal and emotional connection, not a location they relate with or understand.
- Corporates: Do not see strategic benefit or PR benefit of your work.
- Institutional donor: Do not align to their strategic objectives or political objectives, you lack capacity to measure success.
- Trusts and Foundations: No personal connection and do not align to their strategic objectives.

- **00.15 Display the next slide on Types of Funding.**

Ask the class.

Can you recall some of the types of funding you can receive from a donor as we discussed in our previous sessions? Where possible can you give practical examples of any funding you may have received previously and describe how it was structured.

Allow the class to discuss in pairs and allow for some responses. You can align the feedback into these two broad categories.

- With **restricted funding**, the donor expects the funds donated to be only used for particular expenses that must have been pre-approved before the start of the project and remain constant throughout the project period.
- With **unrestricted funding**, the funds are donated to be used how the organisation applying for best requires and needs them. They are usually more flexible and can be used for multiple purposes.

Regardless of how that funding is to be used and utilised, we need to manage the donors expectations.

- 00.20 Display the *next slide* and introduce the next activity.

Ask the participants to get out a piece of paper and a pen. Then, ask them to make a list of all the expectations you have for yourself and then make another list of all the expectations other people have of you. Give them at least five minutes to complete this exercise and then ask them to reflect on those expectations with the questions below. Remember to allow different participants to answer different questions and to give different perspectives on the issues and to encourage participation. Also encourage different viewpoints so keep prompting responses from different participants.

- How do the expectations you have for yourself make you feel?
- How do the expectations others have for you make you feel?
- Who places the most expectations on you?
- How does that make you feel as you deal with that 'person' above? (It also could be abstract and not necessarily a person, like society)
- How have the expectations affected you, psychologically, socially or physically?
- How have you managed these expectations?
- Has this method of managing expectations been working for you?
- How do you want to manage expectations in the future?
- Is it important to think about managing expectations?

Sometimes, in order to responsibly manage other people's expectations, it is important to also understand how to manage your own expectations of yourself. Make sure the expectations you have on yourself are carefully thought out, realistic, achievable, and most importantly work for you.

When it comes to managing other people's expectations of you, it is important to ensure that those expectations also align with what you would want to achieve for yourself. Such that it would be unfair to feel pressure to achieve someone else's expectations for you if they do not or cannot fit into the goals you have for yourself. Yes, sometimes, it is ok to have other people push or pressure you, but only if it is for the better and is in line with something you can do.

Therefore, when it comes to donors, the same concept applies. Target donors who you know can work within your own existing capacity as an organisation. Make sure you do proper research to understand donors' expectations, and this can be through reading their annual reports, blogs on websites, and so on.

It is important to work with people you know can work with you. Also give your organisation time to grow by targeting donors who you know you can meet and manage their expectations. This is by no means meant to encourage you to push yourself for the better and to aim higher, but in that be realistic. Be disciplined in your growth and always seek mentors to also help you manage that growth realistically.

Then, once you get funding from a donor and you understand what type of funding it should be and how you should utilise it, then do your best to manage that professionally and effectively so as to build your portfolio as an organisation for the better.

That said you can also try the following:

- *Deliver results and the expected outcomes to your donors every time: Be sure to complete projects as you intended to. Be efficient and true to what you said you would do. This will also help build your portfolio as well as your image as an organisation.*
- *Communicate with your donors regularly: Whether it is during the project or after, try and maintain a means of communication and identify appropriate channels of communication that work for them. Be sure to also communicate your value and especially how their donation has added value to your project or your organisation. Report frequently even through social media and demonstrate the impact.*
- *Get to know your donors: Make every partnership a personal one, and value the growth of each donor and the role that each donor is contributing to your organisation.*
- *Create a sense of community with your donors: Make them feel part of the process and of the change.*
- *Be transparent and accountable: Put policies and systems in place that will help you minimise the risk of a donation. Work towards constantly growing and being flexible to adapt to changes but also being truthful and accountable for the resources or funding given.*

- 01.15 ASSESSMENT FOR LEARNING (AFL):

Throughout the session, get participants to reflect on their donor relationships and how they have managed expectations. There is no way that is set in stone because every donor, engagement and partnership is different, but it is up to every organisation to uniquely understand their own capacity, strengths and abilities and match that with the donors expectations. When that is done, be sure to exceed expectations and create a lasting impact.

Session Two – Understanding the Basics of Project Management

Resources: Display the **PowerPoint** entitled “Module 12 – Understanding the Basics of Project Management” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will need papers, different coloured marker pens, a flipchart, cello tape, string, and manilla papers.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn about the basics of project management

You will also learn about connecting the logframe and the work plan for achieving success in your community projects.

● 00.05 Introduce the basics of Project Management.

What is a Project?

Allow for some discussions in pairs and then ask for responses before aligning their feedback to the definition below.

A project is a series of tasks with a specific objective or deliverable that should be completed within a particular timeline, and upon completion a product or service is created.

What is Project Management?

Allow for some discussions in pairs and then ask for responses before aligning their feedback to the definition below.

This is the discipline of planning and executing projects. Project management seeks to achieve defined goals by using plans, schedules, and resources to execute project activities within a set timeframe. For a community project, the project goals and objectives are defined by the organisation that applied for the funding, but they have to align with the donors' expectations. The project management process has five stages they are:

- **Initiating:** *This is the starting phase where the project manager must prove that the project has value and is feasible. This is usually when the organisation works on a proposal for the community development project and submits it for approval.*
- **Planning:** *After the project proposal has been approved, the project moves into the second project management phase: project planning. The goal of this phase is the creation of the project plan, which will be the guide for the next two phases. The project plan must include every component associated with the execution of the*

project, including the costs, risks, resources, and timeline. During this phase, the organisation should also conduct a form of a baseline assessment or pre-project assessment that will form the basis that will prove the impact of the project.

- **Executing:** This is when the tasks and milestones outlined in the plan are tackled to produce the deliverable to the donors' expectations. Along the way, the project manager will reallocate resources as needed to keep the team working. In addition, they will identify and mitigate risks, deal with problems, and incorporate any changes.
- **Monitoring and Controlling:** This stage usually takes place concurrently with the execution phase of the project. It involves monitoring the progress and performance of the project to ensure it stays on schedule and within budget. The progress is usually indicated in a work plan that the donor can also use to monitor project milestones. Quality control procedures are also applied to guarantee quality assurance concurrently during the execution phase.
- **Closing:** During this phase, the final report with the deliverables met are presented to the donor. With some donors, this stage will also include a financial reconciliation of any funds given or an audit of how the financial resources were used during the project period. Once approved, resources are released, documentation is completed, and everything is signed off on. At this point the project manager and team can conduct a post-project evaluation to evaluate the lessons learned from the project. Depending on the project, the closure phase may include handing over especially if resources were given for the period and not donated to the organisation. In this case, it is the job of the project manager to ensure such a transition occurs smoothly.

Who is a Project Manager?

A project manager applies project management methodologies to create a plan that establishes the resources, tasks, milestones, and deliverables necessary to meet the donors' requirements. They must cover all areas of the project related to:

- Integration
- Scope
- Time
- Cost
- Quality
- Procurement
- Human resources
- Communications
- Risk management
- Stakeholder management

A project manager is also responsible for the coordination of resources needed for the implementation of resources.

- **00.25 Introduce the First Activity.**

This activity is best suited for members of the same organisation. Please do not do it if you have mixed participants, if you do have a mixed session with participants from different organisations, try and get them to divide themselves into groups of one organisation. It is important that there is enough time to do this thoroughly and to spend the time debriefing it to ensure value is gained from this activity. If the team is large (more than 10 people) consider doing this in smaller groups of people in various departments. Sometimes the discussion may get heated, we therefore recommend you brush up on your negotiation and conflict management skills.

Follow the instructions below:

First, give each team member a piece of paper.

Second, ask each person to write their name and job title at the top of the paper. Ask them to think of a project they are all working on together.

Thirdly, ask them to list the 3 KEY roles they are responsible for in a particular project. (They should not list every task, but instead key roles.) For example, a key role would be “manage logistics for company meetings,” not “reserve the room, or send out the invites.”

Give them five minutes to complete this. When they are finished, collect the papers and tape them at the front of the class or on a manilla paper. Try and hang them on a wall or a space that can be viewed clearly.

Next, ask each person to come to the front and share their key roles. The team can ask questions and/or make suggestions to add/delete/or change the key roles until everyone on the team agrees about what is written on each person’s paper.

Afterwards, get each person again to choose a different coloured marker. If you have a large group with people using the same-coloured markers, get one person to draw a straight line, another a dotted line and so forth. Or to write initials by each line. Be sure to indicate at the bottom which line belongs to which person as they finish.

Again, ask each participant to come to the front and review each other person's role in the organisation. As the team review’s each role, anyone who delivers or supports that person in their key tasks should draw a line from their paper to the paper of the role they support using their unique colour or line-style. Be sure to draw an arrow at the end of the line pointing towards the paper to which something is provided for that role. In small letters along the line, write what is provided. Repeat until all the roles have been reviewed.

Then, ask all the participants to gather together and look at the work and flow of work.

You can ask the questions below to get feedback on the exercise.

- What have you learned about the roles on this team that surprised you?

- What, if any, red flags do you notice about our roles and responsibilities?
- Could something be streamlined or simplified?
- Is there anything missing?
- What, if anything, could be reorganized or redistributed to increase efficiency?

Remember to keep prompting different members of the group to answer different questions and to give feedback. Encourage alternative views and perspectives and open sharing.

The purpose of this activity was to first, understand the roles of each team member as seen by themselves and as seen by others in the organisation. This is important during project management because it enables everyone to have clear roles and expectations.

Secondly, it was important because it helped us visualise how the team member's roles intersect. During project management, there is a lot of work that needs to be done together and requires the support of particular team members. This helps us see how important everyone's role in the team is and how each of those roles work towards the execution of project activities. It also shows that there are no small roles in the team.

Thirdly, identify duplication or redundancies. With project management, some roles or activities may be completely unnecessary or are being done by many people therefore wasting resources. This activity helps us see where this may be as well and then make us adapt to those changes. It also helps us see in a particular project how we can be more efficient in our activities and maximise our resources for success.

Next, it has helped us chart out the flow of processes. This is important in project management because it shows how one person's roles and activities feed into another's and how that flow contributes to overall project success. Then, it helps us identify potential bottlenecks within which the project implementation may be affected. These may be bottlenecks that can be avoided or require the entire team to evaluate and see how to improve efficiency.

The activity also helped us to evaluate equity in responsibilities. Even though every project is unique and therefore every role in every project is unique, this exercise is important to help organisations see how well they are distributing roles in a particular project. It also helps different team members assess if they are the right person for the role or if that role requires more support. With project management, careful assessment of each activity and the role it would play to achieve that activity is critical for success.

When there is a lack of understanding of the roles and responsibilities of your team members and how they fit into the project plan and the project outcomes there is usually confusion, inefficiencies, and conflict. It will also mean that one person would be carrying a lot of the weight and that is why involving relevant team members and thoroughly taking them through the project outcomes, goals, activities and collaborating on developing the right roles will lead to successfully managing a community project.

Ask the class.

Can you think of any other ways to discuss roles and responsibilities?

- **01.25 ASSESSMENT FOR LEARNING (AFL):**

Every project is unique and will present a unique opportunity for the organisation to innovate its approach so as to achieve success. Ask the class what their usual project management cycles involve. What aspects can they take from this, how can they adapt their existing methodology for better success. Give them a day to think about this and to come back with feedback on the application.

Session Three – Project Management in Action (Work Plans)

Resources: Display the **PowerPoint** entitled “Module 12 – Project Management in Action” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will need participants to have access to a logframe, workplan and budget which was shared in the previous module. You will need a flipchart and markers.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module we will learn how to plan and manage our projects using a project Work Plan. You already have experience with Work Plans from the module on Proposal Writing -- we will briefly go over them again and then look at how to use them for project management.

- 00.05 Display the first slide on Work Plans

A work plan (also known as a Gantt chart) is a tool which shows how your activities will be sequenced over the course of the project timeline. Work Plans can simply show activities per week, month or year. Depending on the desired level of detail, they can also be more complex to include budgets, specific inputs, expected outputs and outcomes and individual staff responsibilities.

At the design and proposal writing stage, drafting your work plan is useful to check that your planned activities are realistic and achievable within the time frame you have. In the proposal, it demonstrates to the donor that the project is realistic and achievable.

At the implementation and monitoring phase, it then provides a tool to manage and monitor your implementation of the project.

Today we are going to make a sample work plan that focuses on 3 things: a project's activities, a project's reporting schedule, and a project's main financial costs.

- 00.10 Brainstorming a Project

Now let's come up with an idea for a project. This project can be anything at all, but to make it most useful for your organisation it would be good to think of a project that is close to something you can do for real. This pretend project of ours will have a total duration of 6 months -- that is, 24 weeks.

Ask the class for ideas. Write them down on the board. Within 5 to 7 minutes you should have a good outline for this sample project.

- 00.20 Show the **next slide** on Planning Project Activities

Great, thanks everyone! Now I want us to plan out project activities WEEK BY WEEK using the template provided. In the first column we write down project activities: the specific things we need to do to make the project happen. Then in the boxes to the right, that correlate to the weeks in the first row, we mark whether that activity takes place or not.

Lead the group in brainstorming the specific activities that this sample project would involve, and writing them in the Work Plan's first column. Use the template provided on the slideshow, or draw one on the board.

Then take them through the week-by-week scheduling for each activity.

- 00.35 Planning Project Finances and Resources

Thanks everyone. Now let's look at the times throughout the project where big financial or resource commitments are going to be needed. This includes: procuring items, hiring new staff, making trips, and similar things.

We are going to write them down as separate activities, and map out their timings too. You can do this under a separate heading, or in a different colour, to distinguish them from the main project activities.

Lead the class in the activity and write their suggestions on the Work Plan.

- 00.45 Scheduling Project M&E and Reporting

Alright everyone, our Work Plan is almost done. Now we just have to plan our project's M&E and reporting activities! Like the finance and resource section, we can put this in a different section to give it a different colour. So let's say our donor wants monthly reports and a big final report -- let's put those in first.

Lead the class in this activity. Ask them what specific activities this reporting would entail and write it down for them.

Next let's think about our project's Monitoring and Evaluation -- that is, the way we prove the project's impact. What kind of M&E would this project have? Think back to the module on Proving Impact to get ideas.

Get ideas from the class and then ask them to schedule in M&E activities depending on their ideas.

- 00.55 Show the **next slide** on Work Plans for Real Projects

Thanks everyone: our Work Plan is now complete. We can now use it to track how each and every activity in our project is going. As the project progresses we can change each

activity's weekly markers to different colours or different words depending if they are on schedule, delayed, cancelled or completed. How you do this is up to you: some organisations write the words out for each weekly slot -- others have a color code, such as green for "complete", yellow for "planned", blue for "ongoing", and red for "cancelled" etc, like in this example.

Now I want you to spend the rest of the session creating a real Work Plan, either for an existing project, or a project you want to do.

Give the class time to complete the Work Plan (around 30 minutes). You can give them brief feedback on it at the end of the session.

- 01.30 ASSESSMENT FOR LEARNING (AFL):

Work Plans are your main Project Management tool. They enable you to track all project activities -- think of them as a "progress bar" for your entire project. And remember -- a good Work Plan includes ALL aspects of a project, including donor reporting, big finance and admin outlays, and M&E activities.

Module 13: Gender and Inclusivity

Introduction

It is important for RLOs to understand the importance of gender and inclusivity in their organisations, in their communities and in their community projects. The module explores how individual perceptions, upbringing and society affect gender and inclusivity in our RLOs as well as in our programmes. The lesson can sometimes speak about sensitive issues, and it will be important to encourage participants to have an open mind, share freely and appreciate that this is a safe space to be honest as well as challenge their mindsets.

Session One - Gender and Sex

Resources: Display the **Powerpoint** entitled “Module 13 – An Introduction to Gender and Sex” to your participants. If you do not have a projector you can create print-outs or run the session verbally.

Disclaimer: This session in particular contains sensitive information; as the facilitator, you should not feel obligated to discuss everything in it but instead should use your own discretion to evaluate whether the participants will be open to discuss the topics. Some situations may differ and some perceptions to some of the topics may cause unnecessary disruptions of your session. Use the time facilitating previous modules to determine whether you can facilitate some of the content. Take time, go through it and use what is relevant. Some aspects of Gender, even though a reality, may not be an easy conversation to have, as they make people uncomfortable. Thinking of changing the status quo is always uncomfortable. That said, as a Facilitator, please encourage your class to be open and honest, remind the class that there are no right answers, and everyone is entitled to their own opinion and that must be respected. Encourage the class to share openly and give honest experiences and urge everyone to let the deliberations be a safe space for sharing without judgement. However, if you do decide and wish to customise your content for your learners based on this, kindly work on your lesson plan with [Ruth from Xavier Project](#).

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module we will be introducing and understanding various aspects within Gender and Sex.

- 00.05 Explain why it is important to Understand Various Aspects in Gender

Ask the class.

Why is it important to understand various aspects of Gender?

Allow for some responses.

Many people today are facing a lot of discrimination because of their Gender Identities. When working in our communities we may encounter such cases and understanding the reality of the challenges that people face is a step towards transforming the community and accepting everyone for who they are and who they choose to identify as.

- 00.10 Go to the next slide on Gender and Sex

What is Gender and What is Sex? Are they different?

When someone asks what your gender is, what do you say, and when someone asks what the sex of that person is, what do you say?

Allow for some responses before giving them the definitions below.

Gender

Gender is the socially and culturally constructed definition of men and women, and their roles in society. While sex refers to the biological differences that are attributed to male and female species due to differences in genetic composition, chromosomes, and genitalia.

Gender is determined by the conceptions of tasks, functions and roles that are attributed to women and men in society and in public life and in private life. Gender is more difficult to define as it can refer to the role that person has in society as well as that person's concept of themselves, also called their "gender identity".

This means that sometimes a person's genetically assigned sex at birth does not line up with their gender identity. These individuals might refer to themselves as transgender, non-binary, or gender nonconforming.

Sex

Sex refers to the differences between male and female species that are biological: that is, anatomical and physiological. "Sex" tends to relate to these biological differences. For

instance, male and female genitalia, both internal and external, are different. Plus genetic factors called chromosomes have defined the sex of an individual.

Chromosomes are thread-like structures that carry hereditary information for everything from height to eye color. They are made of protein and DNA, which contains an organism's genetic instructions, passed down from parents. In humans, animals, and plants, most chromosomes are arranged in pairs within the nucleus of a cell. Humans have 22 of these chromosome pairs, called autosomes. Humans have an additional pair of sex chromosomes that make it a total of 46 chromosomes. The sex chromosomes are referred to as X and Y, and their combination determines a person's sex. Typically, human females have two X chromosomes while males possess an XY pairing.

Similarly, the levels and types of hormones present in male and female bodies are different. Both men and women have testosterone, estrogen and progesterone. However, women have higher levels of estrogen and progesterone, and men have higher levels of testosterone.

The male/female split is often seen as binary, but this is not entirely true. Binary means something that can be broken down into two things. The reason this is not entirely true is because some men are born with two or three X chromosomes, just as some women are born with a Y chromosome.

In some cases, a child is born with a mix between female and male genitalia. They are sometimes termed intersex, and the parents may decide which gender to assign to the child. Intersex individuals account for around 1 in 1500 births.

00.30 Go to the next slide on Gender Identity and Expression

Ask the class.

What is Gender Identity? Do you know what Gender Identity you Express and Associate With?

Allow for some responses.

Language and labels are important parts of understanding your gender and knowing how to be affirming and supportive of other people's genders. However, they can also be confusing. There are so many gender terms out there, many of which overlap. Some also have definitions that shift over time or across different sources of information.

Gender Identity is an individual's view of themselves and their gender.

GLAAD (formerly the Gay & Lesbian Alliance Against Defamation) describes gender identity as one's personal sense of being a man or a woman.

Ask the class.

Have you ever heard of a third gender or a transgender person?

Allow for some responses. Remember to keep encouraging open and honest feedback and for participants to respect each other's opinions.

Third Gender persons are a category of people who do not identify as male or female, but rather as neither, both, or a combination of male and female genders.

For a transgender person, their own gender identity does not match the sex they were assigned at birth. That is, they may physiologically have the parts of a male but they identify as a female and vice versa.

Despite the fact that most people have the gender identity of a man or a woman, girl or boy, for many other people, their gender identity does not neatly fit into those only two choices, and in some cases some people choose to either identify with both or with none.

Similarly, GLAAD describes gender expression as follows: "External manifestations of gender, expressed through one's name, pronouns, clothing, haircut, behaviour, voice, or body characteristics. Society identifies these cues as masculine and feminine, although what is considered masculine and feminine changes over time and varies by culture."

As of 2020, there were 64 ways to define your Gender Identity. Some include: male, female, transgender, gender neutral, non-binary, agender, pangender, genderqueer, two-spirit, third gender, cisgender, and all, or none or a combination of these.

There are many more gender identities than we've listed. Gender can be complex and people are defining themselves in new and different ways as we gain a deeper understanding of identities. Some terms may mean different things to different people. There are certain terms some folks may not like to use or call themselves and some terms that they may like to use or call themselves.

To conclude, in general terms, "sex" refers to biological characteristics and "gender" refers to the individual's and society's perceptions of sexuality and the interchangeable concepts of masculinity and femininity.

00.50 Go to the next slide on Sexual Orientation

Ask the class.

What is meant by sexual orientation?

Allow for some responses before giving the definition below.

This is a person's identity in relation to the gender or genders to which they are sexually attracted to. This is when can be heterosexual, homosexual, bisexual, and so forth.

Ask the class.

What is meant by the initials LGBTQ+?

LGBTQ+ stands for lesbian, gay, bisexual, transgender, queer (or sometimes questioning), and others. The "plus" represents other sexual identities including pansexual and Two-Spirit. The correct acronym should be:

LGBTQQIP2SAA which stands for stands for lesbian, gay, bisexual, transgender, questioning, queer, intersex, pansexual, two-spirit (2S), androgynous and asexual.

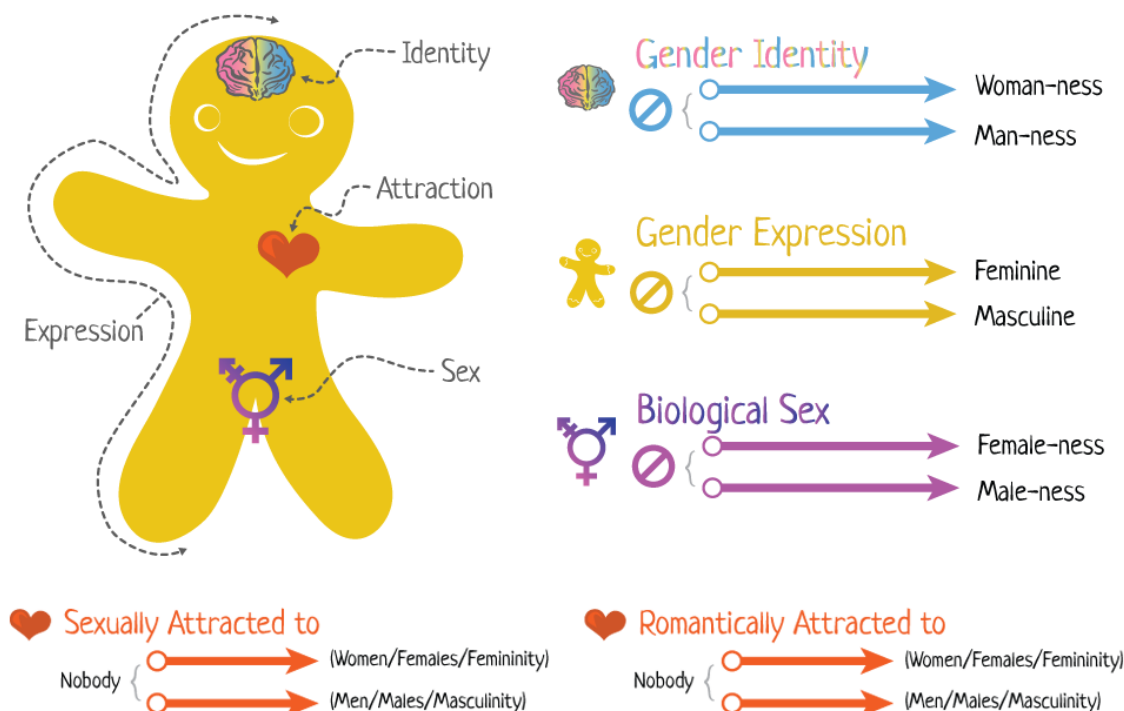
One initiative has gone ahead to put together this illustration that helps to simplify aspects of Gender.

01.00 Go to the next slide on The Genderbread Person

The Genderbread Person deconstructs gender and sexuality to clarify the differences and interrelationships but, critically not interconnectedness, of five dimensions of human identity and behavior. The graphic emphasizes the distinct, disconnected spectrums of gender identity, gender expression, biological sex, sexual attraction, and romantic attraction along which people might place themselves. Whether a person identifies strongly with "woman-ness" in terms of gender identity is independent of their biological sex.

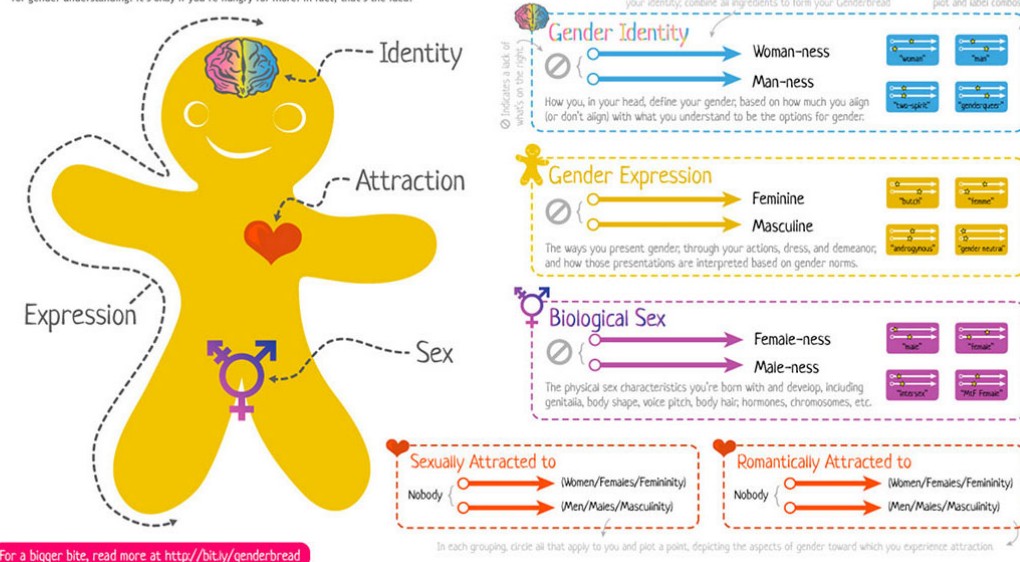
The Genderbread Person also goes a step past the separation of biological sex and gender identity to describe gender expression – someone's presentation of their gender through dress, appearance, and behavior, in the context of gender norms – and to separate romantic and sexual attraction. Each of these characteristics is a spectrum rather than a dichotomy. For instance, someone might place themselves near the center of the maleness spectrum and the far right end of the femaleness spectrum within the gender expression dimension to describe the collection of appearance, dress, and behavior characteristics which describe them.

The Genderbread Person v3.2 by its pronounced **METRO**sexual .com



The Genderbread Person v3.3 by its pronounced **METRO**sexual .com

Gender is one of those things everyone thinks they understand, but most people don't. Like *Inception*, Gender isn't binary. It's not either/or. In many cases it's both/and. A bit of this, a dash of that. This tasty little guide is meant to be an appetizer for gender understanding. It's okay if you're hungry for more. In fact, that's the idea.



01.15 ASSESSMENT FOR LEARNING

The LGBTQ+ refugee community is a threatened community globally.

In many parts of the world, lesbian, gay, bisexual, and transgender (LGBTQ+) persons face severe discrimination due to their sexual orientation or gender identity and, in nearly 80 countries, consensual same-sex acts are criminalized. The UN has highlighted the link between criminalization laws and “homophobic hate crimes, police abuse, torture, and family and community violence.” Many countries do not have specific laws targeting LGBTQ+ persons, but are often unable or unwilling to protect LGBTQ+ persons whose human rights are violated or abused.

Many LGBTQ+ refugees may flee their countries due to persecution based on their sexual orientation or gender identity, or for the same reasons as any other refugee – such as ethnic conflict, political unrest, or the lack of religious freedom. However, in countries where they seek safety, LGBTQ+ refugees often risk being harassed, hurt, or even killed. They may be targeted by other refugees, host communities, or government officials and police, who may threaten to arrest and detain them.

LGBTQ+ refugees are often reluctant to seek assistance for fear of revealing their sexual orientation or gender identity to people who may subject them to further persecution. This “invisibility” has prevented many organisations from reaching out to LGBT refugees and helping them access services including critically needed support. Assistance organisations are increasingly recognizing LGBT refugees’ unique needs and vulnerabilities, especially in countries that are unwilling or unable to protect their human rights.

We need to ask ourselves what can our RLOs do to break the stigma around the LGBTQ+ community? How can we start having conversations in our communities that speak against all forms of discrimination.

How can we offer support to these communities with our activities and include them in our community projects?

We need to accept everyone for who they are and who they choose to be and we have a role to play towards advocating for the rights of all within our communities.

Allow the participants to discuss this and to evaluate whether this can be possible in their communities and if yes how can they do this.

The next sessions will focus primarily on male and female gender issues but remember to keep mentioning and referring to these other gender issues and encouraging inclusivity in their community projects.

Session Two – Understanding the Value of Gender and Inclusivity

Resources: Display the **PowerPoint** entitled “Module 13 – Understanding the Value of Gender and Inclusivity” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will also need flipcharts and marker pens.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn the meaning of gender and inclusivity.

You will also learn some key concepts when it comes to gender and inclusivity.

You will learn the value of gender and inclusivity.

- 00.05 Introduce Gender and Inclusivity using the **next slide**

Divide the class into three groups and give each of the groups a question below. Allow the groups to discuss for about three minutes and share their responses with the class. The questions are:

What is Gender?

What is Inclusivity or Inclusion?

What is Gender and Inclusivity?

Allow for some responses. Encourage participants to share openly, and you can align their feedback to the definitions below.

Gender is a socially and culturally constructed definition of men and women.

Inclusivity is the practice or policy of providing equal access to opportunities and resources for people who might otherwise be excluded or marginalized.

Gender and Inclusivity or Gender Inclusion is the practice of ensuring that all services, opportunities, and establishments are open to all people and that male and female stereotypes do not define societal roles and expectations.

- 00.15 Request feedback on the definitions before moving on.

Ask the groups to discuss again for five minutes the question.

What determines one's gender?

Allow for some responses. You can prompt responses from the bullet points below or guide the discussions through the points.

- **Gender roles vary greatly between societies.** Gender tends to mean the social and cultural role of each sex within a given society. Rather than being purely assigned by genetics, as sex differences generally are, people often develop their gender roles in response to their environment, including family interactions, the media, peers, and education.
- **Gender roles in some societies are more rigid than those in others.** The degree of decision-making and financial responsibility expected of each gender and the time that women or men are expected to spend on homemaking and rearing children varies between cultures. Within the wider culture, families too have their norms that can influence a person's understanding of their gender.
- **Gender roles are not set in stone.** In many societies, especially today, men are increasingly taking on roles traditionally seen as belonging to women, and women are playing the parts previously assigned mostly to men.

Ask the class whether they can name some examples of this situation when men have taken roles traditionally belonging to women and when women have done the same.

Examples may include:

- o We now see many women driving boda bodas
- o Female mechanics
- o Male nurses

- 00.30 Go to the **next slide** on Gender Roles, Gender Gaps, Gender Inequality, Gender Discrimination and Gender Awareness.

When it comes to issues around gender, there are a few concepts that always come up, these concepts are on gender roles, gender awareness, gender gaps, gender inequality and gender discrimination. We will now try to define and discuss these issues together.

Ask the class.

From our previous deliberations, we discussed a lot about gender roles, determining one's gender. So can someone please define what gender roles are?

Allow for some responses from the class and write their feedback on the flip chart before giving the definition below.

Gender roles are learned behaviours by a person as appropriate to their gender and usually determined by the prevailing cultural norms. Gender roles determine how males and females should think, speak, dress, and interact within the context of the society. They are adopted during childhood and usually continue into adulthood. Gender roles influence men and women in almost every aspect of life.

Ask the class.

What about Gender Gaps? Can someone please define what it means?

Again, allow for some responses, remembering to put down their feedback on the flipchart.

Gender gaps can be defined as the differences between women and men, especially as reflected in social, political, intellectual, cultural, or economic attainments or attitudes.

Ask the class.

What is Gender Inequality?

Again, allow for some responses, remembering to put down their feedback.

Gender Inequality can be defined as allowing people different opportunities due to perceived differences based solely on issues of gender.

On the other hand, **Gender equality** entails the concept that all human beings, both women and men, are free to develop their personal abilities and make choices without the limitations set by stereotypes, rigid gender roles or prejudices. Gender equality means that the different behaviours, aspirations and needs of women and men are considered, valued and favoured equally.

Ask the class.

What is Gender Discrimination?

Again, allow for some responses, remembering to take note of their responses on the flipcharts.

Gender Discrimination is the prejudicial treatment of an individual or group due to gender.

Ask the class.

What about gender awareness, what does this mean?

Allow for some responses from the class, make sure to put down their feedback on the flip chart before you give the definition and perspective below.

Gender awareness is an awareness of the differences in roles and relations between women and men. It recognizes that the life experiences, expectations, and needs of women and men are different. Gender awareness aims at increasing general sensitivity, understanding and knowledge about gender equality.

Gender awareness raising is a process which helps to facilitate the exchange of ideas, improve mutual understanding, and develop competencies and skills necessary for societal change. Gender awareness means providing reliable and accessible information to build a better understanding of gender equality as a core value of society.

Gender awareness aims to promote and encourage a general understanding of gender-related challenges, for instance, violence against women and the gender stereotypes. It also aims to show how values and norms influence our reality, reinforce stereotypes, and support the structures that produce inequalities within our society.

A stereotype is a widely held idea of a person such as the idea that all women should be able to cook. This is not true. Anyone can cook, provided they are taught well, and anyone can love cooking, not just women.

Gender awareness plays an important role in informing women and men about gender equality, the benefits of a more gender-equal society and the consequences of gender inequality. Gender awareness intends to change attitudes, behaviours and beliefs that reinforce inequalities between women and men. It is therefore crucial to develop awareness-raising methods that generate a safe space for exchanging ideas and solutions.

- 01.00 Introduce the next activity on How Gender Roles are Constructed

Instruct the class.

Draw two boxes, one labeled “men” and the other “women”. Ask the group to list all of the stereotypes that men and women are expected to conform to.

Probe responses by asking what men and women are supposed to act like, roles they are supposed to play in society, expectations of men and women in society. For instance, one example can be, running or fighting like a girl, or crying or emotions are not for men to express. Write them in their respective boxes.

After you have filled in the boxes for both men and women, ask the group the following questions:

- *Where do these gender stereotypes come from?*
- *Do you feel pressure to conform to these norms? How does that make you feel?*
- *Do you think it is easier for men or women to step outside of these roles and expectations?*
- *What are the consequences of not following these norms in your person/professional/community life? What about for men?*
- *How can we support each other to get out of the box?*

Remember to ask some participants why they made those stereotypes and make sure you choose different participants for different words so as to ensure proper class participation. During your discussions, also inquire whether this position has always been there or is it

something that has changed over time. Also allow for a neutral position for some stereotypes that people believe can be for all genders. Let that organically come from the class, if it does not, you may question at the end why they did not feel some of the things can fit in both and get their responses too.

After discussion, explain the following:

Every society has social expectations and pressures associated with being a man or a woman. We grow up with these messages from family, friends, media, school, workplaces, and society. The construction of gender is systematically done, justified, maintained and perpetuated through family, marriage, rites of passage, folklore, culture, religion, media, etc.

Explain to the class.

That the purpose of this activity is to show underlying stereotypes that society has placed that we as individuals take on without even realising.

So, to summarise, the purpose of gender awareness?

- *to provide basic facts, evidence and arguments on various topics relating to gender equality to increase awareness and knowledge about gender (in)equality.*
- *to foster communication and information exchange so as to improve mutual understanding and learning about gender (in)equality.*
- *to mobilise communities and society as a whole to bring about the necessary changes in attitudes, behaviours, and beliefs about gender equality.*

- **01.20 Go to the next slide on Understanding the Value of Gender and Inclusivity**

Gender inclusivity is the process of understanding the importance of and ensuring that all services and opportunities are available to all people despite their gender and that stereotypes do not define their societal roles and expectations. The value of understanding gender and inclusivity is so as to challenge our own backgrounds, upbringing and societal expectations and ensure that they do not come and affect the way we handle our activities in our communities as well as in our RLOs.

- **01.25 ASSESSMENT FOR LEARNING (AFL):**

Ask the participants to think about their understanding of gender and inclusivity. This lesson is crucial to form a basis of understanding on an individual level about perceptions in and around gender. It is crucial to point out that our backgrounds, upbringing and society affect how we perceive gender and that translates into how we approach gender in our RLOs as well as in our programming. Get the participants to really go and think about their communities and their approaches to gender issues. We will continue more on this during the next sessions.

Session Three – Gender and Inclusivity in Our Organisations

Resources: Display the **PowerPoint** entitled “Module 13 – Gender and Inclusivity in our Organisations” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will also need a template with a sample Gender Policy. You will need a flipchart and markers.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn about Gender and Inclusivity in our communities and how we can relate this to our membership and our leadership.

- 00.05 Introduce the first activity.

Read the story below to participants.

This activity will help us discuss a little more on Gender and Inclusion in our communities. Listen to the story I am about to read and then we will answer some questions.

Grace is a young woman. Ever since she was in primary school, she has always loved eating mangoes and they were not always available in her community. She therefore started developing the dream of one day being able to own and run her own business where she can bring in mangoes as well as other fruits regularly to her community. After doing a course on entrepreneurship and working in a local market for a few years saving some capital, she decided to finally set up her own vegetable shop. When she went to look for a space she could rent in the local market, the owners of the spaces told her they did not think she was the type of person to run a business and support the rent. When she went to apply for a business permit, the local authorities told her that she was too young and delicate to have her own business. Frustrated by this treatment, she went to complain to a local RLO in her community that encouraged her to join and become a member. The RLO was doing great advocacy work in her community and she knew it would be the right platform to create change. When she joined and tried to raise the issues she was facing, she realised that every time her complaint was pushed to the next meeting or told that it was not as crucial as the other matters on the table. She noticed too that other women were facing the same challenges. Another active member called Tawi, was constantly raising issues to be discussed in the RLO such as Gender Based Violence, Female Genital Mutilation among other issues and also faced the same challenge. Her issues were never as urgent as matters on the RLOs agenda. Tawi, had been a member for over three years and had also tried to apply for leadership positions within the RLO, but every time, did not get elected. Tawi also started questioning the RLOs attitude towards issues to do with Gender

as well as female participation in their leadership. Whenever Tawi brought this up, she was told to stop being negative as the RLO was making an impact in their community. Unfortunately this impact was not being felt by the women and this made Grace approach Tawi and they began sharing on the challenges they were facing as women in this community and as part of this RLO. Their shared experiences and challenges made them realise that this was not the right platform for them. When they looked around various other RLOs in their local communities and noticed that none of the RLOs had any women in their leadership positions despite having female members. Furthermore, no other RLO really spoke about or advocated for issues that were unique to the women in their community. Tawi and Grace knew they wanted change in their community, but they had to be the ones to spearhead that change. Tawi and Grace, together with other women in their community decided to form their own women-led RLO that would advocate for the issues that women were facing in their community and raise awareness on the challenges they were facing.

Ask the class the following questions. For each question answered try and facilitate a discussion of the issues raised and get participants to give their own personal experiences, community experiences and knowledge on the areas. It would be important for these discussions to be deliberated equally by the entire group.

1. What are the challenges that Grace faced in her community?
2. Do you think Grace could have done anything differently when trying to get a space to rent or a business permit? If Yes, please explain?
3. Did you think the RLO Grace joined was fair? Please explain.
4. Is there anything Grace or Tawi could have done differently in their first RLO?
5. Why do you think Tawi was not being elected to a leadership position in the first RLO?
6. Is there anything Tawi could have done differently in her first RLO, please explain?
7. Do you agree with Grace' and Tawi's decision to form their own RLO?
8. Do you think that the women-led RLO would have created any change within their community? Please explain.

Give the participants time to discuss each of the questions and share different understandings of the questions or different perspectives of what could have been done. Encourage participants to share freely and honestly.

- 00.40 Show the next slide on Gender and Inclusion in our RLOs

We are now moving into a sharing session that will require the RLOs to do a lot of introspective thinking about their RLOs leadership and membership structures. Mention to the participants that this is not for any form of judgement but for the purpose of evaluating our own approaches on Gender issues and challenges pre-existing mindsets that may have spilled into our RLOs.

Ask the group.

How many women are part of your membership?

How many men are part of your membership?

How many leaders officially elected are male and how many leaders officially elected are female?

How many staff are male and how many staff are female.

Allow for some responses from the groups. For every answer be sure to interrogate **why this is so**, and **how did this come about**. Is there anything they have done or should have done or could have done differently?

You can prompt some responses or discussions especially on what could have or should have been done from the bullet points below.

- **Making time for tough conversations and feedback:** As an organisation, how often do you as the leadership, the management and members make time for evaluating whether you are dealing with and listening to the issues that are unique to different genders in your community. We may be doing good work but, in that work, there could be gender related issues and approaches that we could apply that would help make our impact even greater. As a leadership team, do we have enough representation of both genders, and does that apply to other positions in the organisation as well. It may be time for some tough conversations and evaluations about whether we are trying to consider proper representation.
- **Involving your community actively:** When your members speak listen, try and assess whether you are enabling that gender discrimination or whether you are actually trying to tackle it. This should be more evident in our programmatic approaches and our activities in the community. We should aim for proper representation.
- **Giving and allowing a seat at the table:** As an organisation, you need to lead by example, allow for both genders to be accurately represented in your organisation. If you come from a patriarchal society, allow for women, and encourage women to be a part of your leadership teams as well as your staff and not just your programmes. Give women a voice as members and hear when they say you may not be taking their issues into account, such as in the case study above. Take a good look at yourself, your team and your organisation and make the changes for a more gender inclusive environment.
- **Focus on the innovation that comes from inclusivity:** Having a more gender diverse team will enable you to have a strong impact in your activities because you will get to evaluate how your approach can be more inclusive and relevant for everyone.
- **Do not tolerate behaviours that hurt gender inclusivity:** This includes not tolerating behaviours that marginalise certain issues because they are specific to one gender and creating a safe space for all people to raise their concerns and issues and having a way to deal with them. Pay close attention to unconscious bias and stereotypes that you may have supported without knowing. Make the entire team and membership feel important and equal.

- **Develop a gender policy and a gender taskforce:** To ensure you really tackle gender bias in your organisation, it may be helpful to develop a gender policy to help deal with issues around gender inequality. It can form guidelines that the organisation can follow to ensure they are being gender inclusive in their operations as well as programmes. Furthermore, appointing a team of members who can deal with issues related to gender within the organisation would be helpful. This will be especially useful when dealing with sensitive issues such as Gender Based Violence, Sexual Harassment and ensuring the organisation stays true to their Gender Policy.

- 01.10 Show the **next slide** on Gender Policy.

Ask the group if they have ever had a Gender Policy. If yes, what did it entail? If not, why?

Remind the group that there are no wrong answers just being truthful about how our approaches have been in the past and seeing if there may be need to have those tough conversations we spoke about in the previous section.

Allow for some responses.

A Gender policy is just a policy that an organisation makes as a commitment towards tackling gender bias and inequality as well as other gender related issues in their organisation. It also aims at integrating gender perspectives in all areas of the organisation. It does not have to be complicated, it just has to be something honest and realistic that forms your guiding principles as an organisation.

Please refer to the template for a sample gender policy. If you have one, how does it compare to this one? Are there any areas you can add on, or remove from this template?

Allow for some responses. Remember to put in your feedback on the templates, we can learn how to improve the template further through our shared experiences and relay that to the entire team at Xavier Project.

- 01.15 ASSESSMENT FOR LEARNING (AFL):

Gender Inclusivity in our organisations is not always an easy conversation to have, it means evaluating hard truths about how your organisation has handled gender issues or has encouraged gender inclusivity in its operations and activities. It is not enough to have representation; you need active representation and representation that is able to impact the change you are making in your community. In the next session, we will also begin to look at how inclusive are our community programmes and what can we do to improve that.

For the next session, you will require participants to fill a gender inclusion workbook, you can ensure that the participants have the workbook before the session. You can give them the workbook so that they can fill it in before the next session so as to save time. This will also enable them to do proper research on some of the questions and get perspectives for the organisation.

Session Four – Gender and Inclusivity in Our Community Projects

Resources: Display the **PowerPoint** entitled “Module 13 – Gender and Inclusivity in Our Community Projects” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will need a flipchart and markers. You will also need participants to fill the gender inclusion workbook, so please organise for participants to have the workbook before and during the session.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you continue learning about Gender and Inclusivity with a key focus on how this can be more applicable in our day to day activities and community projects.

- 00.05 Display the first slide and introduce the first activity.

In our last session, we began looking at understanding the value of gender and inclusion in our organisations. This meant we take a deep look and genuinely assess how inclusive our leadership teams are, our management teams are, our staff are as well as our members.

Today, we will now take all that information and look at how inclusive our community projects are.

- 00.10 Display the next slide on the Inclusion Workbook.

Hand out the inclusion workbook and have the participants fill it in. To save time you can give this handbook before the session begins so that they come ready with their answers. If that was not possible, allow the participants to fill in the workbook for about ten minutes.

Ask the class.

We will now go over each question and try to discuss why we gave those responses.

Try and make sure you select different participants to elaborate different questions so as to include everyone in the discussion. You could also ask for alternative opinions about a question for a different view and discussion.

Inclusion is the practice or policy of providing equal access to opportunities and resources for people who might otherwise be excluded or marginalised.

Discuss with the class their responses on question 2 and 3.

When and where do you think of inclusion in your work? Who do you think of when you think about inclusion?

Allow the participants to give feedback on these areas.

More often than not, they may say they think about women when it comes to inclusion, but it could also be about Persons with Special Needs, Race, Class and so on. However, for the session, let them think about gender. If someone mentions men, ask them to explain.

If you have women-led organisations get to elaborate on why they formed these organisations as well as how they deal with gender inclusivity with men in their programs.

Allow for some responses making sure to take notes on the flip chart before moving on to question 4 and Question 5.

Do they believe Gender roles have an effect on women in their community? If so, how?

What about question 5, How do Gender roles and Gender Inequality affect men in your community?

Allow for some responses before displaying the next slide. Remember to encourage the participants to share openly and honestly, this is a learning process and our shared experiences are what strengthens our capacity.

- 00.25 Display the next slide on a Timesheet

Now looking at the timesheet on the slide, can we try and fill in what we believe a man and a woman do at these times of the day. How does their gender role impact what they do all day?

Time	Activity for Man	Activity for Woman
4:00 AM		
5:00 AM		
6:00 AM		
7:00 AM		
8:00 AM		
9:00 AM		
10:00 AM		
11:00 AM		
12:00 PM		
1:00 PM		
2:00 PM		
3:00 PM		
4:00 PM		
5:00 PM		
6:00 PM		
7:00 PM		
8:00 PM		
9:00 PM		

10:00 PM		
11:00 PM		

Ask the class. What did they define as privilege? Allow for some responses before moving on.

- 00.45 Display the next slide on Privilege.

We can define privilege as a set of unearned benefits given to people who fit into a specific social group. Society grants privilege to people because of certain aspects of their identity. Aspects of a person's identity can include race, class, gender, sexual orientation, language, geographical location, ability, and religion, to name a few.

Ask the class.

Do you think one gender has more privilege over another? Please explain your answer.

Allow for some responses and different perspectives on the privilege.

When developing your community projects, do you consider how one gender may be privileged in the impact over another? Please explain how your organisation goes about this.

Ask the class.

What did they define as intersectionality? Can you give an example?

Allow for some responses before moving on.

- 00.55 Display the next slide on Intersectionality.

Intersectionality is a framework for conceptualizing a person, group of people, or social problem as affected by a number of discriminations and disadvantages. It considers people's overlapping identities and experiences in order to understand the complexity of prejudices they face.

When developing your community projects, do you think about intersectionality? If yes, how? If not, then how do you do things?

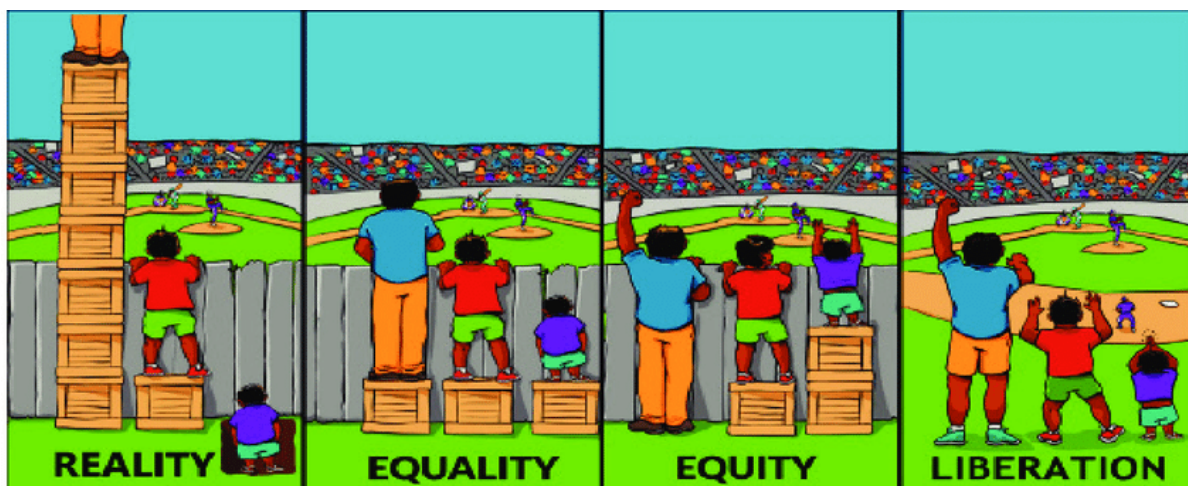
When it comes to refugees what are some of the different types of oppression faced by them?



For each of the questions, allow for multiple responses from participants and different perspectives on the issues. Discuss alternative views and take notes on the flip chart.

- 01.05 Display the next slide on Equality vs Equity

Equality refers to people who face different oppressions for example gender, religion, citizenship, among others having equal opportunities in life. **Equity** refers to equal outcomes in life for people who face different oppressions, considering differing needs, interests and aspirations.



Ask the class.

When it comes to your current community projects, what are you doing in terms of Equality and Equity?

- 01.15 Display the next slide on Gender Project Approaches

When it comes to our community projects and how we approach gender in each of these areas, they may be one of the following:

- **Gender Blind:** Gender blind projects fail to address the gender issues
- **Gender Neutral:** Gender neutral projects recognize gender issues but do not do anything about them, and so tend to reinforce gender inequalities.

- **Gender Aware:** Gender aware projects involve analysing how women and men, girls and boys, experience an issue differently and/or unequally and the power relations that sustain these inequalities. Sex disaggregated data on quantitative gender gaps is complemented by qualitative information on roles, norms, experiences and priorities. This information is used to inform program design and monitoring. A robust analysis also looks at the ways gender intersects with other forms of diversity such as race, religion, ethnicity, class and disability.
- **Gender Transformative:** Gender transformative projects actively seek to challenge existing and longstanding gender norms, promote positive and transformative social and political change for women and girls, and seek to address power inequities between genders. The main objective of this approach is to firmly challenge and change existing gender inequalities, and constantly work towards a full and inclusive world. Gender transformative programming seeks to be fully transformational at the structural, political, and economic levels. While this is the optimal approach to organisational programming, it is also the most challenging given the firm implementation of harmful traditional norms.

Ask the class. Go to section B of the Gender Inclusion workbook and fill in the questions. Give about five minutes before asking the questions.

Where do your community projects fall in each of these areas? Please give examples as you explain.

What would you do differently with the knowledge you have now?

- 01.25 ASSESSMENT FOR LEARNING (AFL):

Being gender inclusive in our projects is something that has to be made with conscious effort. We need to move into actually doing the work inclusively in our communities and not just claiming to do it. It starts with a decision to make change and be the change and thinking how your resources can support your decisions so that your projects are more impactful.

Module 14: Building and Sustaining Partnerships

Introduction

It is important for RLOs to understand the importance of building and sustaining partnerships. Each session focuses on a different aspect aimed at building and sustaining a partnership. Getting into a partnership can be easy but we need to be able to make the most out of any partnership, a partnership can only be successful and long term if it is carefully thought out and professionally managed. This will have an overall positive impact on the RLO.

Session One – Understanding the Value of Partnerships

Resources: Display the **PowerPoint** entitled “Module – Understanding the Value of Partnerships” to your participants. If you do not have a projector, you can create print-outs or run the session verbally.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn how to understand what a partnership is.

You will also learn what makes a responsible and successful partnership.

You will also learn how to value a partnership and nurture it.

You will also learn how to minimise risk in a partnership.

- 00.05 Introduce some of the aspects that define a partnership using the **next slide**

Ask the group if they can define a partnership. Allow for some answers from the group. Remember there are no right answers, let everyone share what partnership means to them.

Do you agree with the definitions above, are they the same within your community and your partnerships?

Allow for some responses.

A partnership can be defined as a mutual association between two or more people. The association should be based on coming together for the sake of a shared interest or activities.

Ask the group.

What should a partnership be based on? What should be your defining or underlying principles when it comes to partnership.

In case the group requires you to elaborate on the meaning of *principles* of partnership, you can give the definition below.

A principle can be defined as a foundation, or a fundamental truth that forms a belief around something.

- Instruct participants to discuss in groups of four to five people for five minutes. With each principle given, ask the groups to give an example and expound on the meaning.
- **00.10 Request feedback and have an open discussion based on their responses.**

Try to launch an open discussion, here are some pointers to guide your discussions.

Remember the list below is not exhaustive, allow the participants to add on what they feel is best.

Clear goals: Every partnership should be formed with a clear goal or purpose in mind. Both parties should be agreeable to it.

Clear expectations: When forming a partnership, both parties should clearly define their expectations or roles in the partnership. It is preferable to have this written down. Everyone should have certain responsibilities that are all within their capability to perform.

Mutual respect: Every partnership should be based on the idea that everyone's background, abilities and viewpoints are valid and can look beyond differences.

Equitable partnerships: Every partnership should strive to have some form of equity. Equity means having a fair distribution and impartial distribution of roles and possibly resources (in whatever form). This however does not mean equal, not all partnerships will manage to have an equal distribution of roles or resources, but the distribution can be equitable and fair.

Cross learning opportunities: Every partnership is an opportunity to learn and to share experiences and learn from one another. Every partnership should use the association as an opportunity for growth.

Transparency: Both partners should be open and honest about what they are doing within the partnership, what they can do in the partnership as well as the dealings of the partnership itself.

Ownership: Every partnership should be based on each partner taking ownership of the shared goal or the shared vision. Every partner should take ownership of the activities and expectations and aim to deliver their absolute best.

Commitment: The partnership should be formed on the principle that each partner should be in it for the long haul and should be committed to the process of seeing the partnership through good times and trying times.

Clear communication: Every partnership should establish clear communication lines and channels to be used during the partnership for coordination of activities. Ideally a focal point should be established who can be responsible for communicating with the other party and for collating the message to avoid confusion.

Accountability: Every partner during the partnership should be held accountable for their activities by the other partner. They should be able to ensure they perform their activities as agreed upon when defining the goals and expectations.

Trust: Every partner should be able to trust the other party. Everyone should be truthful in their activities and honest with the other party.

- 00.25 Go to the **next slide** on What Makes a Responsible and Successful Partnership

This section of the lesson needs to be more of a sharing session. Participants need to be willing to share experiences when discussing the topics. Encourage an open and honest discussion and where possible prompt the discussions only.

Divide the class into four groups. Give two of the groups question one below and the other two, question two below. Allow each group to discuss for about five minutes and present to the entire group.

Now we are going to discuss 'What makes a responsible and successful partnership'? In your groups I want us to discuss the following questions.

- *What makes a responsible partnership? In your experience, what has made your partnerships responsible?*

- *What makes a partnership successful? In your experiences, what has made your partnerships successful?*

Try to launch an open discussion. Here are a few pointers to help you discuss. Look out for specific contributions from the participants and where possible ask the participants to give examples so as to help understand their experiences.

What makes a responsible partnership?

The partnership should flow both ways, using the principles defined above based on:

- Equity
- Mutual respect
- Mutual accountability
- Trust and understanding
- Clear goals and expectations
- Sharing capacity and information (cross learning opportunities)
- Clear channels of communication

What makes a successful partnership?

Partners who are invested in the same goals and vision. Further explained through the achievement of each principle of:

- Mutual respect
- Mutual accountability
- Trust and understanding
- Clear goals and expectations
- Clear channels of communication
- Accountability

Participants can share their experiences of how they have interacted with their previous partnerships and how each of these factors or more factors have influenced their activities during the partnership.

- 00.50 Go to the **next slide and discuss How to Value a Partnership?**

The next section discusses what participants can do to value or to make the most out of an existing partnership.

Ask the group to discuss in pairs, *'How can one value or make the most out of a partnership?'* Allow the class to discuss this for about three to five minutes and then allow a few pairs to share their experiences. The participants should be able to give their experiences, both successful and where they could have done better when it came to valuing a partnership. Encourage the participants to share openly and even with the negative experiences to share for the sake of learning from previous experiences that can help us grow.

How to Value a Partnership?

Communicate regularly and consistently: Keep engaging with partners, update them frequently on activities.

Get regular feedback: The communication should be two way, also making sure you get feedback on whether you have achieved your expectations.

Manage conflict gracefully: Establish a means to manage a conflict in the event it occurs, come up with a method of ensuring it is managed as quickly as possible without affecting the activities of the partnership. Also establish means of moving beyond the conflict to achieve the set vision and goals of the partnership.

Sharing capacity and learning from one another: Every partnership should be an opportunity to grow you and your organisation. Furthermore, every partner should bring in something unique and different and therefore be willing to share that capacity with the other partner as well as learn from the other partner.

Staying creative and innovative: This is so as to make the best out of the partnership. You can do this by staying on top of local trends and news that may affect the partnership, as well as ways to enhance the partnership for the better.

- 01.05 Go to the **next slide** and discuss How To Minimise Risk in Partnerships.

Ask the group to discuss in pairs, '*How can one minimise risk in a partnership?*' Allow the class to discuss this for about three to five minutes and then allow a few pairs to share their experiences.

Some of the ways to minimise risk in a partnership can be to:

Create a contract or a Memorandum of Understanding: When you have agreed to partner, it is better to put down those goals, expectations and roles in an agreement that can be used to help encourage accountability of both parties.

Define the risk areas that may fall on each party: Establish when negotiating what are the potential risk areas that can affect each of the parties and establish their likelihood of occurring during the partnership.

Come up with a means of regularly checking on their status: Both partners can develop a form of a risk register that can help establish whether they are monitoring the status of their risks and their likelihood of occurring within the partnership period. Regular check-ups ensure that in event circumstances change, both partners are able to manage the risk area effectively and still manage to achieve their set goals.

- 01.15 ASSESSMENT FOR LEARNING (AFL):

Ask the participants to think about their existing and their previous partnerships. How did they go about the formation and the sustaining of the partnership, was it something that

was clearly thought out or did it just happen? Do they appreciate a more methodical approach to understanding the value of their partnerships or a more laissez-faire method?

During the lesson, make sure you keep encouraging participants to share openly about their experiences.

Session Two – Managing Expectations for Successful Partnerships 1

Resources: Display the **PowerPoint** entitled “Module – Managing Expectations for Successful Partnerships 1” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will also need a template with a sample MoU. You will need a flipchart and markers.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn how to understand how to manage expectations in a partnership

You will also learn some tips on how to launch a partnership.

You will also learn how to manage expectations for a successful partnership.

- 00.05 Introduce the first activity on Managing Expectations.

Read the story below to participants.

This activity will help us discuss a little more on managing expectations. Listen to the story I am about to read and then we will answer some questions.

Baraka is the founder of a RLO that deals with environmental sustainability. He has a goal of planting 1200 trees in a period of 12 months. That is, 100 trees planted every month for one year. According to him, this will be a great start towards combating environmental degradation in his community. Baraka with this goal in mind applied for a grant for 2000 US Dollars from an organisation combating global warming and was successful. However, the grant was specific that the organisation had to complete this activity in six months. With this in mind, Baraka approached Bahari, his friend and a fellow RLO leader to help him achieve this goal. Bahari's RLO deals with after school programmes for young children and is located in a faraway community. Seeing as Baraka was a good friend of Bahari, he agreed to help. Baraka told Bahari he will use the grant money to buy the seedlings for the trees and then have both organisations plant the trees in Baraka's community in four months to allow for Baraka to draft a final report and share with the grant giver. After a few weeks of the activity, Bahari realised that the activity was quite challenging. Some of the challenges he experienced included, he needed people to help him plant the trees, he was not allowed to plant the trees in certain areas and only in an area far away, the timeline given was short among others. Basically, he needed more clarity on the project as well as more financial resources to achieve the objective. Whenever he asked Baraka for more information and

assistance, he was ignored and left to figure things out for himself. After weeks of trying, Bahari decided to not plant the trees anymore and threw away the remaining seedlings. This ended up making Baraka not achieve his goal and of course ruining their friendship.

Divide the class into five groups. Each group should discuss one question. For each of the questions, make sure that you expound on the answers with detailed perspectives and feedback.

1. Do you think Baraka's goal was realistic?
2. Do you think Baraka should have asked his friend Bahari for assistance?
3. What should Bahari have done when Baraka approached him? And what should Baraka have done?
4. Was Bahari justified to stop planting trees and to throw away the seedlings?
5. What could Baraka have done differently?

Give the participants ten minutes to discuss each of the questions and share their deliberations with the group. You can prompt some responses with the bullet points below but allow for more elaborations, alternative scenarios to be drawn out from the participants:

- The timeline was too short, Baraka should have adjusted the timelines with grant giver.
- Barakas goal was not realistic, as it did not align with the available resources.
- Baraka should have mapped the available resources to the project goal.
- Baraka should have looked for assistance with someone who was nearer to the project activities to minimise expenses.
- Baraka should have clearly explained the expectations and the project activities with Bahari.
- Baraka should have considered how much it would take for Bahari to achieve the project activity.
- What should Bahari have done differently?

- 00.35 Show the **next slide** on How to Launch a Partnership

Ask the group to discuss in groups for five minutes.

How do you go about developing and launching a partnership? Has there been any methodology you have employed?

Allow for some responses from the groups. Remember to write down their feedback on the flipchart.

Every organisation is unique, and every leader may have gone about this process differently, here is an example that Xavier Project has used previously.

1. Scoping out a potential partner: When exploring potential new partnerships, Xavier Project team members follow a guideline that helps define the type of partnership

to get into as well as how to partner with them. The guideline just guides the team members on engaging a partner if they feel that the potential partner:

- Has a similar vision to theirs
- If their activities and impact are aligned
- Has the leadership capacity as a group or as individuals
- Is well known within the community

The team uses these criteria among others to determine whether they should engage a potential partner. It is not a must to have a written down criterion, but at the very least an organisation should establish some clear foundation of who they should partner with and what should be the basis of every partnership.

2. Engaging the partner: Before partnering with the organisation, Xavier Project's staff approach the potential partner and clearly communicate the expectations and goals of the prospective partnership. This stage is important because it is an opportunity for both parties to share their expectations and see whether the partnership will be worthwhile.
3. Due diligence: Xavier Project usually conducts a due diligence process where they verify the scope and roles that the partner will play as well as assess their own capacity to deliver on the desired expectations. This is also a good opportunity for organisations to identify and establish effective communication channels and a focal point for communication of matters.
4. Get into a Contract: If all parties are satisfied with the goal, roles and expectations of the partnerships, then it would be good to get into an official contract. Signing Contracts and having guiding documents is crucial to managing expectations. This is where an organisation can clearly document, expectations, objectives, strategies, processes that rule out assumptions. These documents should be drafted in collaboration and both parties should agree to the terms therein. Some of the documents used include:
 - a. MoUs - A memorandum of understanding (MoU) is a type of agreement between two (bilateral) or more (multilateral) parties. It expresses a convergence of will between the parties, indicating an intended common line of action. It is often used either in cases where parties do not imply a legal commitment or in situations where the parties cannot create a legally enforceable agreement.
 - b. Project Briefs - A project brief is a short description of key elements of your project. It is a quick summary for project stakeholders and cross-functional collaborators. It communicates your project requirements.
 - c. Terms of Engagement - These are the rules people or organisations must follow when they deal with each other.
 - d. ToRs - Terms of reference (TOR) define the purpose and structures of a project, committee, meeting, negotiation, or any similar collection of people

who have agreed to work together to accomplish a shared goal. They show how the project in question will be defined, developed, and verified.

- e. SOPs- A standard operating procedure (SOP) is a set of step-by-step instructions compiled by an organisation to help people carry out routine operations. SOPs aim to achieve efficiency, quality output and uniformity of performance, while reducing miscommunication and failure to comply with set regulations.

- 01.00 Show the next slide on Managing Expectations.

Ask the group to share their understanding of what managing expectations in a partnership is. Allow them to discuss in pairs for about three minutes and then to give feedback. They may even refer to the story given earlier about Baraka and Bahari.

Allow them to discuss for five minutes and allow some pairs to share their feedback with the group. Remember to take down their feedback on the flipchart.

There is a saying that goes... "If you want to walk fast, walk alone, but if you want to walk far, walk with others". This saying shows how important working together is, and this is especially critical when going into partnerships. As seen in the story given earlier, if not managed well, partnerships can be challenging and may end up failing or leading to project failure. To avoid failure, we are expected to manage expectations in these partnerships.

Managing Expectations is when you clearly communicate information to avoid assumptions between perceptions and realities.

It is common for partners, as seen with Baraka and Bahari in the story at the beginning of this session, to create assumptions that are out of touch with the reality of the ground, such that the objectives/processes/practices/strategies that would ensure the partnership is a success are misunderstood or one sided. This is because such concepts are not clearly explained, worked on together to establish proper resource allocation, and also not documented.

Managing expectations in a partnership means coming together to first collaborate during the formation of the partnership, coming together to determine everyone's roles, capabilities and resources available and agreeing to the terms together and then finally documenting this and having a means of following up on everyone's progress.

- 01.15 ASSESSMENT FOR LEARNING (AFL):

Managing expectations is something that one needs to mentally prepare for as you enter a partnership. It is about being conscious about every decision down to who you decide to go into partnership with. It is important to manage your own expectations by coming up with a criteria of who you would like to partner with. It is also good to manage the expectations of others by also knowing and being realistic about what you can offer in a prospective partnership. Successful partnerships do not happen automatically, they come from being

prepared and working on the partnerships. We will continue with managing expectations in our next session.

Session Three – Managing Expectations for Successful Partnerships 2

Resources: Display the **PowerPoint** entitled “Module – Managing Expectations for Successful Partnerships 1” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will need a flipchart and markers.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you continue learning about how to manage expectations for a successful partnership

You will also learn how to deal with conflict with a partner and how to transform the conflict for the sake of sustaining the partnership.

- 00.05 Introduce the first activity.

In our last session, we began looking at understanding the purpose of managing expectations. Today we will pick this up by discussing in pairs the question, ‘Why is it important to manage expectations in a partnership?’

Allow the pairs to discuss this for five minutes and thereafter allow some pairs to give their feedback. Remember there are no wrong answers and put down their responses on the flipchart.

All these reasons can be summed up into three reasons, they are: It is important to manage expectations so as to

- *Help define deliverables and outline expectations*
- *To avoid misinterpretation*
- *To avoid miscommunication*

However, the foundation and basis of managing expectations is all about COMMUNICATION. How you communicate when scoping out, engaging and implementing a partnership activity is critical to the success of the partnership.

- 00.20 Display the next slide on Communication during Partnerships

When communicating with a partner, be sure to:

- **Communicate Clearly and Frequently:** *When communicating the expectations of the partnership or project, nothing should be left unclear. What is expected of you*

and your partner in terms of deliverables, activities, resources etc need to be made clear. Both parties need to collaborate on this and agree to the terms together.

- **Being honest and transparent:** Honesty and transparency are key to the success of a partnership or project. They nurture trust and ultimate respect for both partners. Honesty in terms of what the partnership goals, scope, resources and opportunities are.
- **Exceed expectations:** In a partnership, always strive to go beyond what is expected. That is only possible when you set the bar not very low but just high enough so that you can go even higher. Always push yourself and your organisation to exceed expectations and go beyond what was intended.
- **Being optimistic but realistic:** Every partnership brings hope and opens doors to possibilities. As such it is very easy to promise partners things that might not be realistic but cannot be done at the moment or under that particular project/partnership. It is important to always strictly make clear what is and what can be done. This is especially clear from the story last session and from our previous experiences.
- **Being flexible and open-minded:** When working together in a partnership, nothing should be cast on stone. Flexibility should be applied when managing expectations but only to a certain point. It is dependent on the objectives of the partnership, the resources available and the nature of the situation that calls for flexibility. It is therefore important to be able to adapt to situations that are within your control and realistic to adapt to.

Ask the class.

Do you agree with this, can you think of any other areas we may have missed out?

Allow for some responses before asking the next question.

What are some of the benefits of properly managing expectations in a partnership?

Allow for some responses and write them down on the flipchart. You can also prompt some responses as well as tie them into the responses below.

Responsibly managing expectations leads to successful partnerships because you:

- *Achieved outcomes, goals and set objectives*
- *Happy partners*
- *Trust*
- *Time invested into the right activities*
- *More valuable engagements*
- *Less conflict*

- 00.30 Display the next slide on Managing Conflict in Partnerships

However, with all this in mind, sometimes you may get into a conflict with a partner. Conflict is part of life and sometimes inevitable but how you manage that conflict may either make your partnership fail or succeed.

Ask the group.

Can we think of a time we got into a conflict with our partners? What happened and how did you solve it? If you did not solve it, what was the reason?

Divide the participants into groups and let each of them deliberate the question. Allow them to each share their experiences within the groups and after ten minutes, ask them to share one story from each group. Take notes of some of the steps they used in handling the conflict.

You may also prompt responses with the bullet points below.

In the event that a conflict has arisen, the following steps can be employed to help manage it:

- **Learn and define the cause of the conflict:** Look into the cause of the conflict deeply. Do proper research and also try and consider there can be multiple sides to a situation and not just your own. Also try and see how your actions could have contributed to the cause of the conflict.
- **Look beyond the most recent incidents:** A conflict does not usually arise out of nowhere, sometimes it could have come from a prior situation. In this case, try to identify trends that might have led to the conflict, and see if they can be avoided in future or help you determine what you can do to rectify the situation. Also consider root causes of the conflict as well as a way you or your organisation may have caused the conflict.
- **Look for solutions:** In order to deal with a conflict, you must be able to have a solution focused approach to the conflict, and genuinely want to resolve the conflict. When getting to the root cause of the conflict, also during your investigation try and ask all parties to find a solution to the conflict that will salvage the partnership (if possible). However, sometimes, there may be solutions that all parties are happy with, but they do not present themselves immediately. Although not ideal, there may be some areas of conflict that cannot be instantly resolved but can be sustained without impeding the overall constructive nature of the partnership. If all attempts to find solutions have been exhausted, an interim period of time might be needed for one party or another to reconsider.
- **Resolution and Learning:** In the case of a conflict being resolved, use the experience as a learning process, also try and document the process as much as possible and possibly even develop SOPs to prevent a recurrence of the conflict.
- **Move on:** Remember there is a partnership at stake, and at all times, the integrity that agreement should stand. When the conflict has been resolved, try and move on

professionally and continue working towards the goal that was intended. If it was not resolved, take the appropriate measures to dissolve the partnership amicably and then learn from the incident and live to fight another day.

- 01.00 ASSESSMENT FOR LEARNING (AFL):

Partnerships are a process, they evolve with time and they grow. Getting into partnerships is one way for an organisation or an individual to get to really know themselves and to grow as an organisation. Most partnerships evolve over time and require one to be flexible and adaptable to changes. Most importantly one should view a partnership as a long term engagement, and always looking for ways to enhance and to add value to it.

Module 15: Risk Management

Introduction

In this module RLOs will learn how to identify and manage risks that might hinder them from achieving their goals and objectives. Understanding risk management terminologies is important but the main objective of the module is for the RLO to be able to analyse their different activities and operations, identify associated risks and put in place appropriate mitigation measures. There will be a session that also delves into the physical risks or hazards that will help the RLO also identify, plan mitigation measures and develop incident protocols that will help them ensure their activities are sustainable. The module in general will have to be an entire process that will entail several brainstorming sessions involving not only the RLO management but all RLO members as well as key stakeholders.

Session One – Understanding Risk Management 1

Resources: Display the **PowerPoint** entitled “Module 15 – Understanding Risk Management 1” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will also need flipcharts and marker pens.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module, we will start learning about risk management.

We will be learning what a risk is and how to identify risks.

You will also learn about identifying risks from two perspectives, that is Organisational risks Management and Project risk management

- 00.05 Show the **next slide** on Understanding Risk.

Ask the participants.

What do you understand by the term risk?

Open a discussion on the understanding of the term and you can encourage the participants to share some related words. They can discuss in pairs for a few minutes before allowing them to share the responses to the entire group.

Remember to take note of their responses on the flip chart. You can align their responses to the definition below.

*A **Risk** is an unexpected event that can adversely affect the people, processes, technology, and resources within an organisation thus hindering the entire organisation from achieving its goals and objectives or specific project objectives.*

Ask the participants if they agree with this before moving to the next slide.

- 00.15 Introduce the First Activity

Instruct the participants.

Now that we have agreed and understood the definition of risk, we are now going to move into groups and identify any risks that can affect our organisations or RLOs. Please list down the risks that you think can hinder your organisation from achieving its organisational goals, or that can prevent you from achieving a project goal.

Divide the participants into groups and allow them to discuss for five minutes before allowing each group to list their risks to the entire class. Take note of the risks on the flipchart.

Depending on their responses you can also prompt more discussions with the examples below. Remember this list is not exhaustive.

Some examples of risks may include:

- *Safety of staff*
- *Safety of beneficiaries or participants*
- *Fraud and Bribery*
- *Theft*
- *No growth*
- *Succession*
- *Leadership and Governance*
- *Safeguarding*
- *Poor communication structures*
- *Staff turnover/ Lack of motivation*
- *Cash flow and project planning or business planning*
- *Resource planning for projects*
- *Business collapse (in the case of an income generating activity sustaining operations)*
- *Reputational risk*
- *Activities having a negative impact on community*

- 00.30 Show the **next slide** on Identifying Risks.

Now we will move on to identifying risks. From our list, we need to break down which of the risks shared can be specific to the organisation or those that are related to a project or activity.

You can define to the participants that:

Risk identification is the process of determining risks that could potentially prevent the organisation or project from achieving its set objectives. It also means being able to document and communicate the risk concerns and then being able to address them accordingly.

Organisational risks are risks that can affect the overall organisation operations while Project or activity risks refer to risks that may arise due to a specific activity or project that the RLO is running.

Ask the same groups they had gotten into before, to briefly discuss this for a few minutes before getting them to share their feedback with the entire class.

Draw this table below on the flipchart. Draw it first without the given classifications as you need to allow participants to first suggest where each of the risks lie and with each risk they share, let them explain why they believe it is either an organisational risk or a project or activity risk.

Organisational Risks	Project or Activity Risks
Safety of staff	Safety of beneficiaries or participants
Fraud and Bribery	Fraud and Bribery
Theft	Theft
No growth	Leadership and Governance
Succession	Safeguarding
Leadership and Governance	Poor communication structures
Safeguarding	Staff turnover/lack of motivation
Poor communication structures	Resource planning for projects
Cash flow and project planning	Activities having negative impact on community
Business collapse	
Activities having negative impact on community	

- 00.45 Show the **next slide** on Risk Analysis

Encourage further discussions by getting participants to analyse where the risks may fall or the scope of the risks with the bullet points below:

Thank you for those points on determining where the risks may fall, however:

- *Why are some of the risks in both categories and why?*
- *How should they be handled differently from an organisational perspective and from a project perspective?*

Align their responses to the following statements.

Sometimes a risk can be in both categories because it affects the organisation as well as the project in equal measure. Sometimes, the spillover effects of the risk to the organisation also end up affecting the project or activity. For example, a risk such as safety of staff can be an organisational as well as a project or activity risk. From an organisation perspective, perhaps the location where your RLO operates may be in an area that is potentially risky due to political or civil unrest. This can affect your organisation's activities because if the conflict comes close to your operational area, your staff may be at risk. When it comes to the perspective of a project or activity, the risk can be the fact that a project you are implementing is in an area or a situation or conditions that would be risky for the staff who are responsible for implementing the activities. Therefore, you need to consider how to minimise the risk for the staff by either ensuring they have security or are never alone. Sometimes, it may also mean having the foresight to even be able to say no or pausing a particular project if you feel the risks involved in implementing the project pose a greater threat to your staff. Sometimes, it so happens that where your organisation operates is risky for the staff and it also happens to be where your staff are expected to implement a particular project or activity thus showing how it can apply in both areas simultaneously.

Can you think of some examples of activities that your RLO has been involved in that can better explain the risks that are in both categories?

Allow for some responses before moving on.

To summarise, when the risks occur on an organisation front, you need to look as to how that concern affects the organisation as a whole and how to address it as an organisation.

For a project or an activity risk, you need to look at how that specific risk will prevent you from achieving your project goals and come up with ways to address it within the project. The risk can also represent itself differently for different projects.

In our next modules we will move on to discuss how these risks can be managed and how you can go about dealing with them.

- 01.05 ASSESSMENT FOR LEARNING

The main aim of the session is to get the RLOs to really think about the risks they face and how they apply from an organisational perspective and from a project or activity perspective. Get each of the members to go and think about the risks they shared and add on to that list very specific risks that are applicable to their organisation or a particular project as the next sessions will be classifying those risks into categories and creating an action plan on how to deal with them. Tell the participants to make this list as realistic and personal as possible to their RLO. They can also do this activity in groups. They can present their findings in the next session but allowing them ample time to collaborate and come up with a final list. Make sure each of the group members are members of the same RLO.

Furthermore, please make sure to keep the flipchart notes with the risks identified for the next session.

Session Two – Understanding Risk Management 2

Resources: Display the **PowerPoint** entitled “Module 15 – Understanding Risk Management 2” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will also need flipcharts and marker pens. You will also need the flipchart where you classified the risks in the previous session.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module, we will continue learning about risk management.

You will also learn about key risk management terminologies and how they are applied.

You will learn how to calculate your risk rating.

- 00.05 Recap on Previous Session and Assignment

Get a few participants to summarise the last session and their understanding of risk before getting their feedback from the take home activity.

In our last session, we had a take home assignment to finalise on the risks identified and we listed. Did we have any alternative views or additions to those risks?

Allow each group to give a summary of their deliberations.

At this point, take out the flip chart from the previous session and hang it up for reference. Go through the risks that they shared and see if they would need to make any changes or additions to the list. You may need more paper in case any changes may be made.

Get the participants to agree on one final list that they can use for the session. This activity is ideal for participants who are part of the same RLO because they can assess the risks of an organisation or project they are implementing.

- 00.15 Show the **next slide** on Risk Management

Ask the participants.

What is risk management?

Allow for some responses before aligning them to the definition below.

Risk management is the identification and evaluation of risks to avoid and minimise their impact. Risk management is the practice of identifying risks in advance, analysing them and taking precautionary steps to reduce or minimise their impact.

The risk management process has five steps, they are:

- 1. Identifying the Risk*
- 2. Analyse the Risk*
- 3. Evaluate and Rank the Risk*
- 4. Treat the Risk or Creating a Risk Response Plan*
- 5. Monitor and Review the Risk*

In our last session, we started the process of risk management by the first step which you recognise where we identified the risks our organisations are facing. In our last session, we also went a step further, that is step two where we analysed the risks by determining their scope and link between different factors within the organisation. This was where we looked at how the risks could affect the organisation or how the risks could affect the project or an activity.

Today we will go to the next step, step three, evaluating those risks and determining their likelihood of occurrence and their likelihood of impact. When evaluating the risks, you also rank their level of occurrence and the impact of the risk in the event it happens. Some risks can be very likely to occur while others can be least likely to occur. Even in the event they do occur, some risks can have a minor effect on a project or activity or the organisation as a whole, while others can have a catastrophic impact on the organisation. This third step is really crucial because it also helps you and your organisation gain a holistic view of your organisation and projects risk exposure. A good way to evaluate those risks is to come up with a risk rating.

- 00.25 Show the next slide on Risk Ratings

Ask the participants.

With that background in mind, what can we define a risk rating as?

Allow for some responses before aligning them to the response below.

Risk Rating is assessing the risks facing your organisation or project by classifying them as either low, medium, or high on the basis of the likelihood of occurrence and the impact on your organisation or project. Low, medium and high are called the levels of risk. The levels of risk are usually rated from 1 to 5.

The Likelihood of the Risk to Occur: Defines the probability or chance that the risk might occur and can be rated as follows:

Very Low - 1

Low - 2

Medium - 3

High - 4
Very High - 5

Risk Impact: Is the estimate of the potential damage the risk may cause the organisation or project if it occurred and can be rated as follows:

Negligible - 1
Moderate - 2
Moderate - 3
Major - 4
Disastrous - 5

- 00.35 Go to the **next slide** and Introduce the Next Activity

Organise the participants into the two groups and give them the following instructions.

From the list of risks that we had identified and finalised on earlier in the session, I want us to divide ourselves into two groups, where Group One to rate their likelihood of occurrence from 1 to 5, while Group Two to rate their Risk Impact from 1 to 5.

Allow the groups to discuss this for about five minutes. After they have finished discussing, draw the table below and write down their classifications. For each group, get them to also justify reasons for the figures and get other members to give feedback if they agree.

For example: The safety of staff on a particular project, the likelihood of occurrence is **2**, meaning it is **Low**, but if it does occur the impact will be **Major at 4**.

Risk	Likelihood	Impact
Safety of staff	2	4

Allow the groups to fill for the other risks in their final list.

- 01.00 Go to the **next slide** on Risk Rating

Therefore to summarise, the risk rating is a calculation that is obtained by multiplying the likelihood of the risk by the impact of the risk.

$$\text{Risk Rating} = \text{Likelihood} \times \text{Impact}$$

Now looking back at our previous table, let us calculate the risk ratings for each of those risks such that: From the previous example you **multiply 2 by 4 to get a risk rating of 8**.

Risk	Likelihood	Impact	Risk Rating
Safety of staff	2	4	8

- 01.05 Go to the **next slide** on Risk Response Plan

Depending on the calculations obtained, you and your organisation need to determine what action to take. The diagram below can show you what immediate action to take when you obtain your risk ratings.

Risk Rating = Likelihood X Impact

Likelihood ↑	Very High	5	5	10	15	20	25
	High	4	4	8	12	16	20
	Medium	3	3	6	9	12	15
	Low	2	2	4	6	8	10
	Very Low	1	1	2	3	4	5
			1	2	3	4	5
			Negligible	Minor	Moderate	Major	Disastrous
			Impact →				

Catastrophic	STOP
Unacceptable	URGENT ACTION
Undesirable	ACTION
Acceptable	MONITOR
Desirable	NO ACTION

For risk ratings of 15, 16 and above, the consequences can be quite catastrophic to your RLO, therefore, ask yourself whether you can immediately stop the activity or come up with strategies to reduce the rating. With activities of such high rating, it may be wise to also consult with other partners on ways to go about it. It does not have to be all up to you, where possible seek like minded partners who can help you come up solutions.

Risk ratings of 9 to 14 are high and their occurrence may not collapse the organisation, but you cannot ignore them either. It would be best to take action by trying to come up with

immediate strategies to mitigate those risks. Mitigating a risk means reducing the risk. Again work with your members or fellow partners on ideas on how to manage and reduce these risks. It is best to keep them at the lower end rather than closer to the higher end.

Risk ratings of 6 and below may seem minor, but you should still as an organisation monitor them closely. Their likelihood of escalation if not managed closely can give you a false sense of security. Even though it would be best to try and keep all risk levels below 6, the reality is not possible especially with challenges such as the COVID-19 pandemic or political/civil unrest that are beyond the control of an organisation.

Step four of the risk management process is about creating a risk response management plan which we will go into more details in the next session.

- 01.15 ASSESSMENT FOR LEARNING

Get the participants to now go back and deliberate on the risks ratings for the risks they have identified for their organisation or projects. Get them to now look at each risk and come up with mitigation measures which they can try to apply in order to reduce the likelihood of the risk occurring. After this, for each risk they should also come up with actions they can take against each risk to enable this to happen. Allow the participants a day or two to work as a team or divide up the risks if in a larger group and get them to come back with their feedback in the next session.

Furthermore, please make sure to keep the flipchart notes with the risk ratings for the next session.

Session Three – Creating Risk Management Response Plan

Resources: Display the **PowerPoint** entitled “Module 15 – Creating a Risk Management Response Plan” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will also need flipcharts and marker pens. You will need your previous sessions' flip charts as well as for each participant to have access to the risk register sample template.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module, we will be learning how to create a risk register.

We will also be learning how to create a risk management response plan.

You will also learn how to engage the wider community in risk management.

Finally you will generate an organisational risk register and a sample project risk register.

- 00.05 Recap on Previous Session and Assignment

Again, we will begin today's session by having a short recap of the highlights from our previous session. Any volunteers to share their highlights?

Allow for responses from two participants.

In our last session, we also had a take home assignment to come up with mitigation measures for each of the risks you had rated. We also were to come up with immediate actions which our organisations can take to reduce these risks from happening.

Allow each group to give a present their mitigation measures and actions input from the rest of the participants on alternative views on the feedback shared or just to confirm if the actions suggested are feasible.

At this point, take out the flip charts from all the previous sessions and hang them up for reference. Make a new column for the mitigation measures as well as the actions and take notes on their intentions. Use this to follow up on their implementation even after the module.

- 00.20 Show the **next slide** on Creating A Risk Register

That take home activity is the first step towards creating a risk management response plan.

It can be added further to create a risk register which you and your RLO can use to monitor the organisation's risks.

A risk register is an itemised list of the important risk events that could affect the organisation or the project's success.

The risks in a risk register should be prioritised based on their likelihood of occurrence and their impact.

A [sample risk register](#) is shown below. (follow the hyperlink for the template)

S/N	Risk Name	Cause (IF)	Risk Event (Then)	Consequences (Resulting in)	Likelihood Rating	Impact Rating	Consequences - Impact Rating	Risk Rating	Mitigation Measures	Risk Owner
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The register contains:

- **S/N:** Serial number just numbering the risk identified
- **Risk name:** The risk identified defined
- **Cause (IF):** Showing what can cause the risk to happen
- **Consequences:** What would be the result if the risk happens
- **Likelihood Rating:** From 1 to 5 of likelihood of occurrence
- **Impact Rating:** From 1 to 5 of Impact on organisation or project
- **Consequences:** Detailed description of consequence to organisation or project
- **Risk Rating:** The overall calculated risk rating
- **Mitigation measures:** What can you do to reduce the risk
- **Risk Owner:** Every organisation should appoint a team member of two to be responsible for taking actions to minimise the risk or for constantly monitoring the risks likelihood of occurrence.

Now with the risk register template, can we put down all our risks and fill it in accordingly. You can work as a team as you determine who will be responsible as well as the actions to take.

Allow the participants to work on this template. Allow them to work on this for twenty minutes and if possible they can briefly present on two of the risks.

- 01.00 Show the **next slide** on Creating A Risk Management Response Plan

A risk management response plan is basically determining ways to reduce and eliminate the risks to the organisation and the project in general. It is part of step four of the risk management process.

Ideally there are four main ways to deal with a risk, they are:

- **Avoid:** Eliminate the risk by stopping the activity and protecting your organisation
- **Transfer:** Moving the impact of the risk to a third party
- **Mitigate:** Reducing the probability or overall impact of the risk
- **Accept:** Just saying all projects/organisations have risk, you just have to monitor it closely

In our take home assignment we came up with mitigating measures, but do you feel some of the risks can be avoided, transferred or accepted? If yes, which ones and how would you do it.

Allow for some responses and make the changes on the flipchart as you go along.

There is no one way to create a risk management response plan, it needs to be specific to your organisation and the particular risk you are facing. However it would be important to follow the principle that the risk response should be:

- Cost effective relative to the significance of the risk
- Scaled to the magnitude of the risk
- Agreed upon by the applicable project stakeholders
- Achievable and realistic

Implementing a risk response plan requires the involvement of appropriate levels of management, governance, time and funding. Therefore, you should try to plan for risks especially in your project proposals and as you approach donors or supporters for your activities.

From your risk register, you can find that not every risk identified requires a risk management plan, it will be purely a judgement call you will make as an organisation depending on the severity of the risks.

At this point you can also determine who to involve as stakeholders towards helping you manage the risk. Sometimes it can be your governance structures, your management teams, your staff, other partners or your community in general.

A proper risk management plan does not need to include response plans for all risks within the risk register. The risk register contains all risks that are significant enough to warrant tracking and monitoring. It is not feasible nor necessary to develop response plans for

every one. Most of the time, risk response plans are required for risks that are high in both probability and impact.

Can we try and create a risk management response plan for your highest risks? What would it entail? Perhaps you could use an example we have already spoken of.

Allow for some responses from the group. Please note that there can be no one way or template for a risk management plan. The RLO has to develop it themselves based on their available resources to handle the situation. Every response will be very unique to the different RLOs as well as different team members but they should come up with one approach as a team. For now, allow them to give feedback as to an approach, but tell them to work on this activity with the team members and stakeholders after the session and make sure to follow up and see if they have implemented it effectively.

- 01.10 Show the next slide on Risk Communication

It is important to constantly communicate the risks to your organisation with important and relevant stakeholders. Creating the risk register in advance and sharing with relevant stakeholders will be critical to dealing with the risks in the event that they do occur.

Developing the risk register with your stakeholders is also critical to the development of effective risk management response plans. Therefore, please make sure you discuss your risk registers with your stakeholders and make a commitment to follow through on actioning the activities to mitigate or deal with the risks.

Constant check-ins with stakeholders and your organisation on the risks and their ratings is critical to success. Therefore it is advisable to appoint a member of your RLO who can have the overall responsibility in monitoring the risk register. However, that leader should have the support of different team members who have different responsibilities in mitigating different risks and report on their progress frequently. As an organisation, decide on an appropriate check in for this and stick to it.

When the risks do occur, sometimes communication during the crisis can be more important than the response itself. Therefore, because the strength of the risk management response to an unexpected event is often judged on communication, it is important that the risk register and response plans be communicated to the relevant stakeholders. Then, when an unexpected event occurs the stakeholders will not only be more supportive of the response, but the final judgment will be much more favorable.

● 01.20 ASSESSMENT FOR LEARNING

At this point the RLO should have made the commitment to complete their risk register, share it with their relevant stakeholders for input as well as develop risk management response plans for the most critical risks. They should also appoint an overall Risk Management Team Leader as well as Risk Owners for each risk and commit to have regular check-ups on the progress of the activities. These are activities that will take time to

accomplish so be sure to follow up with the RLO on how they are implementing these changes.

Session Four – Managing Hazards

Resources: Display the **PowerPoint** entitled “Module 15 – Managing Hazards” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will also need flipcharts and marker pens for all participants and some sellotape.

It is important to note that while the session is important for all RLOs, it is structured towards RLOs that have operating spaces. However, as the facilitator, you can modify the session for each RLO according to their current operating environment. For instance, RLOs that are starting out with no area of operation but have a strategic plan will benefit from mapping out their potential hazards and ways to mitigate them so that as they engage and get more funding they can have these precautions in place. For RLOs that may operate in virtual environments, they still face hazards within the confines of those operational spaces, therefore, go through the session and modify it as per the RLOs specific context. For further information on that contextualisation reach out to r.njiri@xavierproject.org.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module, we will be learning about managing hazards. We will also be understanding the difference between hazards and risk.

We will also be learning how to identify some of the hazards that our organisations can face and how to mitigate them.

Finally we will also be creating protocols to deal with these hazards in our organisations.

- 00.05 Define Hazards using the **next slide**

Ask the participants.

What is the meaning of hazards and how is it different from a risk?

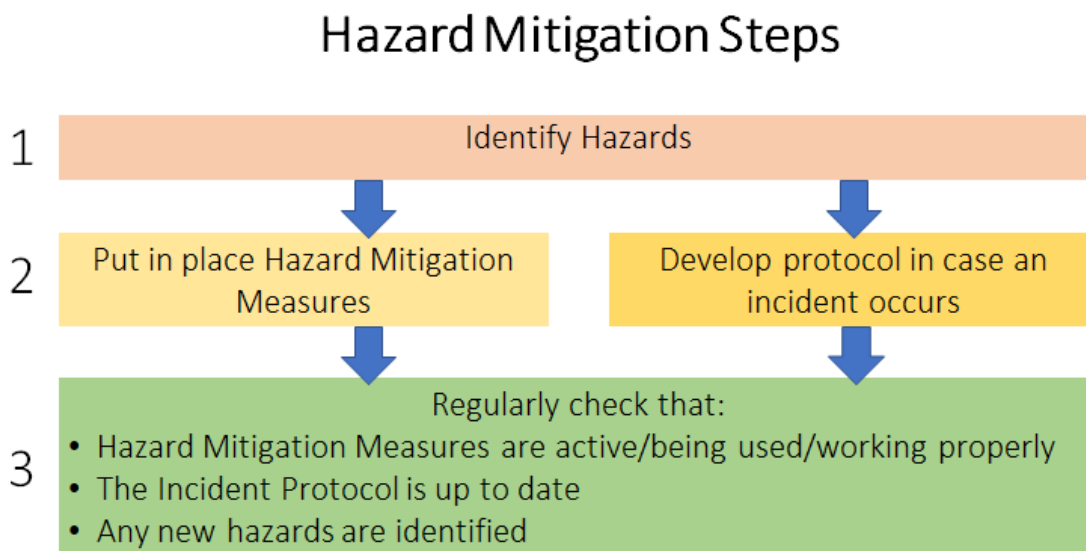
Allow for some responses before giving them the definition below.

Hazards are a specific type of risk in which a physical object presents a constant possibility of physical injury. Therefore, there are two aspects here that are important to note, a hazard presents the physicality of a risk and the constant possibility of the risk occurring and therefore, they must be actively and often physically mitigated. In contrast to what we have been discussing in our previous sessions, hazards are still risks, but present consequences that are of far more dire impact to your RLO and community as they affect the lives of human beings.

- **00.10 Request feedback and move to the next slide on Hazard Mitigation**

Display the slide below and discuss with the participants.

In hazard mitigation, there are three crucial steps that your RLO must go through. They are:



- **00.12 Go to the next slide on Step 1: Identify Hazards**

*First is you must as an RLO **identify hazards** that are unique to your RLOs operating environment and context. For example, hazards related to the following:*

- *Fire Hazards: This includes items that present the danger of causing a fire at any moment in your RLO and they include things such as solar panel batteries, open flames that even security officers may make at night for warmth, or your RLO storing flammable materials in the area of operation.*
- *Water hazards: This when there is a significant large body of water, whether permanent or temporary, that presents the risk of someone drowning. This will include things such as lakes, rivers, seasonal laggas, or latrines.*
- *Structural Integrity: Anywhere your RLO operates can have the risk of structural damage as it is the quality of buildings and structures.*
- *Machinery: This is in the case of when your RLO is operating near a furnace, generators and so on. These items if mismanaged or if faulty can cause serious harm to participants or your surrounding community.*
- *Vehicles: This focuses on the means of transport that your RLOs use that can get into an accident and thus injure your RLO members, staff or participants, It can be cars, boda bodas and so on.*

The list of hazards can be endless, but it is important for your RLO to identify the hazards that their RLOs are exposed to and how exactly that particular hazard is a risk.

- 00.15 Introduce the First Activity

Divide the participants into groups and instruct them to identify hazards that their RLOs are exposed to. You can also divide up the categories of hazards above for each group to discuss. Give each group a flipchart and marker to write down their hazards. Allow them to discuss for ten minutes before regrouping them back together. When each group is presenting, have them come up and stick their flipcharts on the wall and get feedback from other members on whether it was covered comprehensively.

Now that you have identified the hazards that your RLO is exposed to, you can now put step 2 of the hazard mitigation process into action. Step 2 has two elements of it, the first element is putting hazard mitigation measures in place and the second element is developing an incident protocol in case an incident occurs. The reason for this is because the two aspects complement each other and are equally as important to the RLOs overall mitigation process.

- 00.30 Go to the next slide on Step 2A: Hazard Mitigation Measures

*Now looking at the hazards we had identified in the previous section, we need to think of ways to mitigate those hazards we have identified. For each and every hazard identified, as an RLO, we need to think of specific **actions** or **policies** we should put in place to reduce the risk of them happening.*

Some examples of actions we can put in place include: Putting fire extinguishers in place, putting up signs near water bodies, putting fences around water bodies and so on.

Some examples of policies we can put in place include: All flammable items have to be stored in a separate structure, buildings have to be inspected by authorities before use, classes will not take place if there's heavy rain and risk of flooding and so on.

We can think of both immediate things we can do to mitigate these hazards, as well as longer-term measures that may require things to be purchased. This will help your RLO plan your activities and upcoming budgets to include these items.

- 00.35 Introduce the Second Activity - Actions

Divide the class into groups according to the number of hazards identified. If the hazards are many you can combine a few hazards so as to make sure each group has the same number of hazards. Get each group to discuss what actions they can put in place to prevent their hazard(s) from occurring. Give them all flip chart papers to put down their notes. Allow them to discuss for about five to ten minutes before having a recap session. Get the other groups to give additional feedback and to comment on each other's actions until they

are all in agreement. Ensure the actions are realistic and achievable within the RLOs context by also questioning their approach accordingly.

- 00.55 Introduce the Third Activity - Policies

Divide the class into groups similar to the previous section and get each group to discuss what policies their RLO can put in place to prevent those hazards identified from occurring. Allow the groups to discuss for a few minutes before requesting feedback. During the feedback session, ensure they are all agreeing on the final policy for each hazard. Ensure different participants take the lead in presentations for each activity and all RLOs present are actively contributing to the discussions. Ensure they have put in place realistic plans and policies that their RLOs can implement and take note to follow up in subsequent months on their progress.

ASSESSMENT FOR LEARNING: All participants should be fully conversant with the hazards at this point and should be able to easily identify them and should be actively contributing to ways of mitigating them by now.

- 01.10 Go to the **next slide** on Step 2B: Incident Protocol

Part of Step 2 is coming up with an Incident Protocol that your RLO can follow in the unfortunate event that an incident occurs in and around your RLOs operating environment and context. As an RLO, you will need to come up with specific steps you can take if someone gets injured. In this incident protocol, you will need to identify:

- *Where is the nearest medical facility?*
- *What are the relevant emergency numbers? Are they even useful?*
- *What kind of medical allowances do RLO members have?*
- *What immediate transportation options do we have on hand?*
- *Where are our fire assembly points?*
- *What protocols do other organisations have?*

This is not conclusive and each RLO can and should come up with a protocol that is unique to their context but you can use it as a guide. Now as one group, can we discuss these questions and any other additions to this you may have and start the basis of your incident protocol.

Pick one of the participants to facilitate the discussion and have them write down the key points on a flip chart. The protocol does not have to be exhaustive at this point, the RLOs may need to do further research and engage stakeholders before they put down their final version. Allow them to start deliberating and after a few minutes, tell them they will continue this as a **take home assignment**. Give the RLOs a deadline that is workable for them within the next two weeks of facilitating this session to come back and discuss this in detail.

- 01.20 Go to the **next slide** on Step 3: Regular Review

Now that your RLO has identified the hazards that they are exposed to, come up with mitigation measures for the hazards as well as narrowed down on an incident protocol, your RLO will need to regularly review all of these in steps 1 and 2.

With Step 1: *We review it in the case of a new project in a new area of operation or in the event that you move spaces. In that case we have to identify new hazards that we may arise accordingly. It may also be that there may be some hazards that you have not identified yet or have also come up since your last review.*

With Step 2: *We should ask ourselves the following questions each time we review the mitigation measures and the incident protocol:*

- *Are the mitigation measures still effective and operational?*
- *Is your RLO able to sustain these measures? (this is in the event that it needs a recurring cost to support the measure).*
- *Is there a more effective way we could mitigate the hazard?*
- *Are any third parties involved in the incident protocol still active? Are their contact details up to date?*
- *Are there any ways we could streamline the incident protocol or make it more effective?*

Allow the participants to discuss this for a few minutes together, however, alert them that this section can only properly be discussed after steps 1 and 2 have been in effect for a period of time, perhaps a few weeks or one quarter.

Take Home Assignment: The RLOs will need to review this section in a quarter, and therefore take note of a date that you can reconvene as a group and discuss this. In the meantime they will keep researching and coming up with ways to improve this third step.

- 01.30 ASSESSMENT FOR LEARNING (AFL)

This session cannot be concluded comprehensively in one sitting, you will need to keep track of participants actions and protocols and ensure that the RLOs complete them and put them in place. You will need follow up sessions and site visits to ensure that their plans are being implemented. You will report on this in your final assessment. The RLOs should be confident at the time of conclusion that their staff have mapped all potential hazards and they are working with their communities and relevant authorities on mitigating the hazards.

Module 16: Safeguarding

Introduction

For any organisation working with children and vulnerable adults it is essential to consider safeguarding in the delivery of your activities, and within the space(s) you are managing. Safeguarding describes the mitigating measures that aim to protect children and vulnerable adults from harm from your organisation, your activities and any associated or external partners. It is also a method of developing policies, procedures and reporting systems to ensure that your organisation can identify forms of abuse and support victims appropriately.

It is the responsibility of every member of your organisation to ensure that you are doing no harm to your community, and protecting vulnerable members from abuse. By completing this module we hope to improve your organisation's understanding of what safeguarding is and how it can be incorporated into your work to protect children and vulnerable persons sufficiently.

As with any discussions around abuse or exploitation it is essential to remember that most people have experienced some form of abuse. Throughout this module, be mindful of these sensitivities and ensure that you are creating a safe, open and respectful environment for participants. At the beginning of each session remind participants to be considerate of what is shared and peoples' opinions or experiences.

Session One – Introduction to Safeguarding

Resources: Display the **PowerPoint** entitled “Module 16 – Introduction to Safeguarding” to your participants. If you do not have a projector you can create print-outs or run the session verbally. You will need the class to watch a video in the first activity, please be sure to have a machine that can either project or for participants to have access to a smart phone with internet connection that can access the video on YouTube.

- **00.00 Discuss the objectives of the module with them (5 mins):**

In this module you will learn how to understand what safeguarding is and why it is important.

You will also learn how to identify who is vulnerable within your community.

You will also learn about the different steps of the Safeguarding Cycle.

Finally, we will look at how to recognise different types of safeguarding concerns: Internal, external, and associated

- **00.05 Introduce some of the concept of Safeguarding using the next slide**

Ask the group.

Has anyone heard of the term safeguarding and what do you understand by it?

Allow for some responses, especially prompting those who have heard of it, by inquiring, how they have heard of it, what their experience has been, and so on. Allow for some responses before giving them the definition below.

Safeguarding is the action that an organisation takes to promote the **welfare** of children and vulnerable adults to protect them from **harm** including **physical, emotional, sexual and financial harm and neglect**.

- **00.10 Introduce the First Activity with a Video.**

Invite all members of your group to watch the following video. You will need a device or projector that can access the internet as the video is on YouTube as well as a way for participants to listen and watch it. The video link is below.

No Excuse for Abuse: Preventing Sexual Exploitation and Abuse in Humanitarian Action

<https://www.youtube.com/watch?v=48MCG22FqrE>

After watching the video, please ask every participant to discuss one thing they have learnt from the video and how it is relevant to their work. Allow for some responses before moving on.

Invite the participants to discuss in pairs which members in their community would be considered to be vulnerable. Give them a few minutes to discuss and then ask for the responses. Remember to ask them to describe and give reasons why those members in their community are vulnerable. Write them down on the flip chart.

Before moving on, double check that all participants have a deep understanding of what safeguarding is and which members of the community surrounding their RLO would be vulnerable. It is critical that the participants are able to see this as it will form the basis for the entire module.

- **00.30 Go to the next slide on the Safeguarding Cycle**

Now we will look at the safeguarding cycle. The safeguarding cycle helps us to understand the different steps that all organisations and individuals should consider in their work to do no harm and protect individuals and communities.

Draw the safeguarding cycle (as pictured below) on a flip chart or board and take time to talk through these different stages with participants.



Now can we try and discuss what each of those steps would entail?

Allow for some responses before aligning them to the bullet points below:

The following stages describe the safeguarding cycle:

- 1) **Identify** - understanding different forms of abuse and recognising that abuse is happening.
- 2) **Prevent** - taking actions to stop abuse from happening
- 3) **Report** - developing ways for incidents of abuse to be reported safely and confidentially within your organisation and in the community that you are working with
- 4) **Respond** - having procedures to respond to reported incident effectively
- 5) **Investigate** - having procedures to investigate reported incidents
- 6) **Learn** - recognising how incidents could have been prevented and improving systems within the organisation to ensure it will not happen again.

Ask the participants.

Please can you discuss in pairs which step you think is most important and why?

After a few minutes, allow for some responses from the participants and be sure to look out for different opinions and views on the responses.

- 00.40 Go to the *next slide* and introduce the next activity

Divide the participants into groups and ask them to discuss what is meant by the proverb below. You can also write it down on the flipchart.

“Prevention is better than the cure”

After a few minutes ask for responses from the group and launch an open discussion on the proverb before aligning their discussions to the explanation below.

‘It is easier to stop something happening in the first place than to repair the damage after it has happened’.

Ask the participants.

Knowing that, how does that proverb and explanation apply to safeguarding?

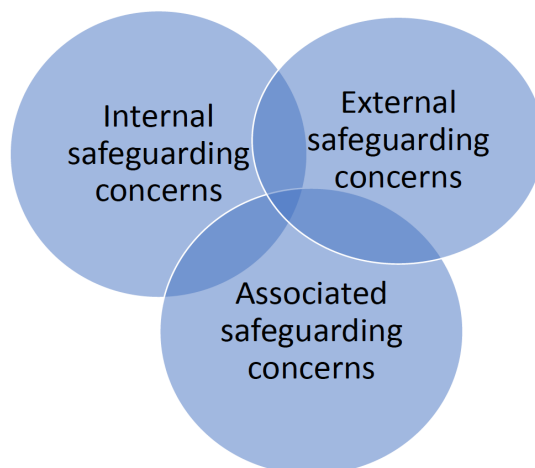
Allow the participants to discuss in groups before requesting for their responses and discussing their views.

Abuse can lead to long-lasting psychological and physical trauma. Prevention is key. If we do not prevent the harm from happening then it can never be undone. That is why prevention is the most important element when safeguarding and why our RLOs must do everything possible to prevent any instances of abuse.

- 00.50 Go to the *next slide* and launch an open discussion

On the flipchart, draw the diagram below and launch an open discussion on it.

Exercising our duty of care when safeguarding people



Bridging Worlds Consulting Ltd

Based on the diagram, ask the participants to give some examples of these areas from their work or communities. Allow them to discuss for a few minutes and then launch an open discussion of each of the areas. Here are some bullet points to help you align the responses and give feedback.

- **Internal safeguarding concerns:** this area has to do with your team, staff behaviour, and the activities being implemented by your organisation.
- **External safeguarding concerns:** These concerns are related to the sexual abuse of members of the community and child abuse of children attending your community learning center
- **Associated safeguarding concerns:** This is concerned with partners you may be implementing projects with who cause harm to children or vulnerable adults

Ask the participants.

Do you agree with this? What instances and examples can you add on each of these areas that would help bring this out better?

Allow for some responses.

- **01.45 ASSESSMENT FOR LEARNING (AFL):**

Close the session by asking each participant to reflect on one thing they have learnt so far. The main aim of the session is to get participants to fully understand what safeguarding is. As an assignment, get each RLO member to go and review their community and see who is vulnerable and what safeguarding concerns they may have as an RLO. Give them at least one day to complete this exercise before the next session.

Session Two – Identifying Abuse and Safeguarding Concerns

Resources: Display the **PowerPoint** entitled “Module 16 – Identifying Abuse and Safeguarding Concerns” to your participants. If you do not have a projector you can create print-outs or run the session verbally. You will also need a flipchart. You will need every participant to have access to sticky notes and pens for an activity. You will also need all participants to have access to [CSSC M16 Handout 1](#) and [CSSC M16 Handout 2](#).

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn how to identify different types of harm and abuse.

We will also be learning how to identify various safeguarding concerns.

We will also be discussing how to identify concerns in our activities, our RLOs and our surrounding communities.

- 00.05 Recap on Session One

Ask the participants to highlight some of the key learnings from the previous session. Depending on their responses you can further prompt them with some of the questions below:

- What does safeguarding mean?
- Why is it important?
- What are the six stages of the safeguarding cycle?
- Why is prevention key?

- 00.10 Go to the **next slide** on Identifying Different Types of Abuse

For this session you will investigate the different forms of abuse. As some of the participants might be victims of abuse, please warn the group that this might be an uncomfortable conversation and participants must be sensitive and considerate. On the other hand, also encourage participants to share freely and openly reminding them that these sessions are confidential and a safe space.

As a starting point, it is important to first understand the different types of abuse or harm that children and vulnerable adults can be subjected to so you can identify how to mitigate and respond. There are different types of abuse, they are:

Note to talk through these examples and write down the key points on the flip chart.

Abuse: This is a violation of an individual's human and civil rights by any other person or persons. It can take the form of physical, psychological, financial or sexual abuse, neglect or negligent treatment or commercial or other exploitation, resulting in actual or potential harm to the health, survival, development or dignity of a child, young person or vulnerable adult.

Physical abuse: This means all forms of physical harm which includes hitting, shaking, throwing, poisoning, burning or scalding, drowning, suffocating and so on but can also include causing physical harm through misuse of medication, restraint, or inappropriate restrictions.

Financial or material abuse: This includes theft, fraud, exploitation, pressure in connection with property or inheritance or financial transactions, or the misuse or misappropriation of property, possessions or benefits.

Sexual abuse: This involves forcing, enticing or coercing someone to take part in sexual activities, whether or not the vulnerable person is aware of what is happening. The activities may involve physical contact, including assault by penetration (for example, rape or oral sex) or non-penetrative acts such as masturbation, kissing, rubbing and touching outside of clothing. They may also include non-contact activities, such as involving a vulnerable person in looking at, or in the production of, sexual images, watching sexual activities, encouraging children to behave in sexually inappropriate ways, or grooming a child in preparation for abuse (including via the internet). Sexual abuse can be carried out by adults or other children.

Neglect: This is the persistent failure to meet a vulnerable person's basic physical and/or psychological needs, likely to result in the serious impairment of his/her health or development. Examples include failure to provide adequate food, clothing and shelter, failure to protect them from physical or psychological harm or danger; failure to ensure adequate supervision (including the use of inadequate care-givers); or failure to ensure access to appropriate medical care or treatment. It may also include neglect of, or unresponsiveness to, a vulnerable person's basic emotional needs.

Psychological abuse: This includes emotional abuse, threats of harm or abandonment, deprivation of contact, humiliation, blaming, controlling, intimidation, coercion, harassment, verbal abuse, isolation or withdrawal from services or supportive networks. Examples include not giving a vulnerable person opportunities to express their views, deliberately silencing them or 'making fun' of what they say or how they communicate. It may feature age or developmentally inappropriate expectations being imposed on a vulnerable person, which may include interactions that are beyond a vulnerable person's developmental capability. It may also involve serious bullying (including cyber bullying), or the exploitation or corruption of a vulnerable person.

Do you have any feedback or additions to this list?

Allow for some responses before moving on.

- 00.20 Go to the **next slide** and Introduce the First Activity

For this activity you will need to ensure that all participants have sticky notes and pens.

Divide the participants into 5 groups along the five types of abuse listed in the last section. Ask each group to consider what might be signals that a child or vulnerable adult is being abused. One group should consider one type of abuse and make sure that all the participants are divided evenly. Instruct the participants to further write down examples of signals that could alert us to these things happening.

Give the groups a few minutes to discuss.

Launch an open discussion on their feedback. Get each group to present their signals of abuse and ask other groups/participants to further add and comment on the presentations. Feel free to add in as well and guide their discussions.

- 00.30 Show the **next slide** and Introduce the Next Activity on Identifying Safeguarding Concerns

You will need your participants to have access to [CSSC M16 Handout 1](#) and [CSSC M16 Handout 2](#). Prepare to record the feedback at the end of the exercise by drawing the following grid below onto the flipchart. Leave enough room in the grid to make notes on the rating for each scenario. The same feedback grid is also in Handout 1 and the participants can use it for their notes.

Group	1	2	3
A			
B			
C			

Introduce the activity with the following instructions. Divide participants into three groups. Name the groups A, B, C or any other name they may desire.

Ask each group to nominate one person in each group to read out the scenario(s) in Handout 1 and then to answer the questions below.

Encourage people to say what they think and not to worry about being wrong. Remind the groups that we are identifying what causes us concern. We do not have to be certain that it is abuse. However they can still refer to Handout 2 for the definitions of abuse.

Handout 1 has a column written rating 1-4 and the groups should rate each scenario according to the criteria below:

1. Directly caused by the organisation
2. Indirectly caused by the organisation
3. Not caused by the organisation but the organisation can address it
4. Not caused by the organisation and cannot be addressed directly by the organisation

Allow the groups to discuss for about ten minutes and then reconvene for a recap session.

- **00.40 Recap on Activity**

Bring participants back together. Ask each group to give their number rating for each of the scenarios, and explain why they have given the ratings as they have. On the pre-prepared table on the flipchart, add in each group's rating from 1 to 4.

ASSESSMENT FOR LEARNING: As the groups present their findings challenge the different ratings given by each group. You will be trying to assess the participants grasping the overall concept and contextualisation of safeguarding risks and their causes. Dig deeper by asking whether there is really nothing the organisation can do? What would it mean for the organisation to respond appropriately? You can keep referring back to the key learning points. Summarise the session by reiterating what the organisation is responsible for in terms of identifying abuse. In the next sessions we will look at how to prevent and respond to the issues in more detail.

Furthermore, highlight the need for networking and coordinating with other organisations, which can support the organisation's safeguarding measures and responses, particularly for issues that fall within category 4.

- **01.00 Go to the next slide and Launch Another Discussion**

As a follow up to the previous activities, ask the groups to discuss if they have witnessed abuse in their RLOs, their communities and in any of the work that they have done or in their day to day lives. Instruct the participants in each group to:

- Define how they have identified if abuse was happening?
- What were the signals that showed them something was not right?
- Discuss what they did about it?
- How they ensured it never happened again.

ASSESSMENT FOR LEARNING: This activity will be critical in showing you whether the participants are grasping the meaning of safeguarding and whether they are able to identify

instances of where it has occurred in their own RLOs. It will also help them see the ways in which they can contextualise the safeguarding risks when it comes to their activities and programmes. This activity will also enable the participants to identify the risk areas as well as the ways in which they could have mitigated that risk. Please be keen on the feedback and reiterate key learning points for them.

Give the groups five minutes to deliberate and then ask for their feedback. You can align their responses to the bullet points below.

- **Recognising safeguarding challenges in your programs/Identifying risks:** It is important to learn to identify and spot the signs of abuse. This will ensure that people in your organisation know what measures to take if they encounter safeguarding issues. You can do this by:
 - Recognising both poor practice and more serious abuse which can affect the culture of the organization.
 - Being able to report issues and raising concerns, staff and beneficiaries should never feel out of place and should be able to speak up, for example having supportive team members who are open to one another.
 - Look out for any indicators that suggest a person is at risk of harm such as changes in behavior, mood swings, low self-esteem and such that could possibly show that one is in danger.
 - Make a point of recording these indicators you have noticed. Follow-ups and records are basic measures to put in place when dealing with safety. This includes being keen especially when working with children, and mixed groups of vulnerable people.
 - Monitoring a person's emotional and physical well-being, for example, changes in physical behavior, signs of distress or illness, sometimes weight loss or gain. This will include having mentors for different age groups to streamline the safeguarding process for example availing suggestion boxes where every individual can access.
- **Recognising common or very specific safeguarding issues and challenges:** This can be issues such as:
 - Child criminal exploitation like child labour, child trafficking whereby wrong people hide in the name of organisations and end up misusing the rights of the children.
 - Child sexual exploitation: occurs where an individual or group takes advantage of power to coerce, control, manipulate or deceive a child or young person under the age of 18. The victim may have been exploited even if the activity appears consensual. Actually where this happens, the doer is supposed to be handled by the law enforcement body of that particular country.
 - Domestic abuse or violence or neglect: for example fighting in the presence of kids, use of vulgar language, caning, unnecessary beating and any kind of mistreatment enforced on children

- In appropriate behaviors for example taking sexually intrusive photographs with or without their permission is considered an abuse or exploitation.

To summarise this, **Safe programming** is about strengthening and building protective environments in which programs take place through careful risk management and designing programmes in a way that creates, or contributes to a safer environment for vulnerable adults and children.

Safe programming and quality programming are closely intertwined. In the long-term, a programme, which does not prioritise the safety of one's community, participants and child safety and well-being is unlikely to be effective and sustainable and should not be implemented if risks are not addressed.

- 01.25 Go to the **next slide** and Introduce the Third Activity

Instruct the participants.

In groups of three, discuss different ways in which we can reduce the potential safeguarding risks in our activities or programmes or in the way we work.

Allow the participants to discuss for five minutes before asking them to recap together.

In order to reduce the potential safeguarding risks in our programmes and in the way we work, we need to carefully evaluate where the potential risks can be so that we can see how to avoid them. The potential harm to children and vulnerable adults through our programming work can arise from:

- **Lack of adequate risk assessment:** This occurs when risk assessment is conducted by staff without adequate understanding of the nature of the risks involved, the localised social, cultural, economic norms and environment or without the necessary “lateral thinking” to consider different scenarios and possible consequences.
- **Poorly designed programmes/projects:** Programmes are not designed to minimise risk as far as is possible, the potential negative outcomes for children or vulnerable adults are not well considered and addressed effectively in the programme design, or technical approaches and models.
- **Programmes or projects designed and implemented without the full participation and agreement of children, vulnerable adults and communities:** children, vulnerable adults and communities should be given the opportunity to identify the potential risks and agree on how they can best minimise the risks. They should also not be given the opportunity to agree on what risks are acceptable to carry for the programme to go ahead.
- **Programmes or projects implemented in ‘unsafe’ environments:** the places where children and vulnerable adults are involved in present health and safety risks, and therefore special care should be taken to make them safe and conducive environments for them.

- **Delivery of programmes and projects through ‘unsafe’ partners, contractors or suppliers:** they may not have child and vulnerable persons safeguarding policies and procedures in place, or the staff of these organizations may lack understanding of their obligations to safeguard them and prevent harm or demonstrate unacceptable attitudes or behavior towards them.
- **Lack of adequate monitoring and evaluation of child safety:** programmes or projects are not regularly or consistently monitored so harm arising for children or vulnerable adults is not noted or addressed, the monitoring and evaluation that does take place does not include whether the programme or project was unsafe or resulted in negative outcomes for children or vulnerable adults.
- **Policy initiatives, which have not adequately considered the wider implications of the change being advocated.** For instance you find organisations working with children and do not own any child protection guideline or policy, or organisations implementing activities in high risk areas, not having safeguarding policies.

Now that we have discussed these risks, can you identify any other areas we may have missed, or see how this can apply to your organisation’s current activities?

Allow for some responses, listen carefully to the participants responses and encourage them to really identify existing challenges and what they should do about them.

TAKE HOME ASSIGNMENT:

As a take home assignment, can you look at your RLOs and see what potential risks you may have in your programmes. Can you define all your programmes, partners and activities and see what safeguarding risks are there and see what you can do to minimise those risks. You can have one day to complete this assignment.

- 01.45 ASSESSMENT FOR LEARNING (AFL):

Ensure the participants by this point have a thorough understanding of safeguarding as well as they are taking the time to assess the activities within their RLOs, use the take home assignment as a guide on their perspective. Give them a day or two to complete the assignment before you resume for session three.

Session Three – Prevention is Key

Resources: Display the **PowerPoint** entitled “Module 16 – Prevention is Key” to your participants. If you do not have a projector you can create print-outs or run the session verbally. You will need flipcharts and marker pens. You will also need your participants to have access to [CSSC M16 Handout 3](#).

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module we will learn more about prevention and mitigation in safeguarding.

You will also be learning about the ways to prevent abuse.

You will also understand what it means to ‘mitigate risk’ and why it is important

Finally, we will understand what steps we can use to prevent these risks as well as how to implement those steps to mitigate the risks in safeguarding

- 00.05 Recap and Feedback on Take Home Assignment

Start the session by getting the participants to recap on the previous session and give the highlights of the session. After some responses, remind the participants of their take home assignment and get them to present their findings.

ASSESSMENT FOR LEARNING: Remember to be keen and take note with the participants the key safeguarding risks they have identified in their programmes, their overall understanding of safeguarding and how it applies to their RLOs programmes, activities as well as their communities, and finally, what actions they have taken to reduce these risks. Do not worry if some participants have not identified ways to mitigate those risks, as that is the purpose of today’s session. Take notes on the flipchart and be sure to follow up on the actions they have proposed.

- 00.25 Go to the **next slide** on Prevention

Once we can identify the types of abuse that can cause harm to children and vulnerable adults it is time to consider how these can be prevented. Mitigation plans are created to lessen the opportunity for abuse or harm to happen. Organisations can choose not to undertake certain activities or practices to avoid any exposure to the threat it might pose to its staff and the beneficiaries. All activities hold some type of risk but in this session we are looking specifically at the types of harm and abuse that have been identified in the previous session. We must note that while there are so many issues that could arise, we want your RLOs to only focus on those issues that your organisation can control, some issues will

have to go beyond your organisation's ability to control and that is why engaging your stakeholders and your surrounding community will be crucial in your safeguarding strategy.

As an RLO you must acknowledge that you can say no to partners, projects and activities that you believe have risks that you can not control. After all, it is better to be safe than sorry. Have you ever come across an activity, partner or project that had high risks? Can you share some examples?

Allow for some responses before moving on.

- 00.30 Go to the next slide on Mitigation

Ask the group.

What is mitigation?

Allow for some responses before aligning them to the feedback below.

Mitigation can be defined as the action of reducing the likelihood or effects of an occurrence of something harmful or a risk. Risk mitigation includes the actions put in place to deal with issues or risks and the effects of those risks regarding work or any project you plan to work on.

- 00.35 Introduce the First Activity

Divide the class into groups and get them to discuss the following statement below.

Why is it important to mitigate risks, and how can we mitigate them?

Allow them to discuss for a few minutes before requesting for feedback and launching an open discussion on their responses. You can also align their feedback to the bullet points below.

It is important to mitigate risks because:

- **Mitigating risks makes our work safer:** *If the emphasis of your organisation's work is to protect your community, this should be your number one priority when running activities or programmes. When working with already vulnerable groups this is an essential consideration.*
- **Financial implications:** *For example, if you have creche and there are children left to play without any adult's supervision and one gets injured the organisation will incur costs of taking that child to the hospital. This is one of many risks that can be associated when you have a creche, can you think of any more risks?*

Allow for some responses before moving on to more reasons why you should mitigate risks in your organisation. Keep this brief as you will return to this as an assignment and assessment for learning.

- **Mitigation saves time and effort:** *Imagine an organisation without any risk mitigation measures put in place or a safeguarding policy, can you imagine what time and effort would they spend on investigation and taking actions on any risks that occurred? Therefore thinking about mitigation before risks occur saves time and effort -- after all, prevention is key.*
- **Improves communication:** *In this way, all staff, volunteers, partners and the beneficiaries know and understand the different channels and mechanisms of identifying, preventing and finally reporting on different risks.*
- **It guides on making decisions:** *Once risks have been identified, ways to mitigate them have been established you can create a safeguarding policy. When the safeguarding policy is developed and people are trained, the next step should be implementation and all the decisions made for any risk occurred must be followed under the safeguarding policy. So it's a matter of aligning the risk with its mitigation measure, and then you know what step to take.*

For most organisations prevention plays a particularly vital role in safeguarding, as it can help with possible interventions in the future. Prevention is especially important when it comes to creating a safeguarding policy.

ASSESSMENT FOR LEARNING: Pick up the discussion on the creche by asking the participants to make an in depth analysis of what it would take to have a safe space for children in their RLOs space. Get them as a **take home assignment** to establish the risks they would need to mitigate when running a creche. This will also help show the dynamics involved when adults and children have to occupy the same space and what an organisation can do to safeguard them.

- 00.40 Go to the **next slide** on Steps to Prevent Risks From Occurring

Working with prevention in mind will help you ensure you have a structure in place that is equipped to deal with safeguarding issues. Below is a list of actions that the participants should consider for their organisation. Print out [CSSC M16 handout 3](#) and discuss the points below as a group. Ask the participants to agree on (at least) five actions they could introduce in their organisations today.

You can also try and recap on the steps they suggested to mitigate the risks in their organisations and see how they can fit into the steps below.

Steps to Prevent Safeguarding Risks

1. **Having a Safeguarding Policy in place.**

Whether you are a small group or a large organisation, you need a safeguarding policy. Your policy must be accessible to everyone it concerns. This can include staff, volunteers, directors, partners and your community. It is a good idea to base your policy on the idea that prevention is better than a cure.

2. Appoint a Safeguarding Lead.

Appointing a lead or a group or small committee to focus on safeguarding will also go a long way in helping shape up your organisation's safeguarding policy. This is because they will take up responsibility for overseeing the safeguarding practices in your organisation. This can include data collection, training, governance, and creating and updating policies and procedures. It is important that people understand their roles and responsibilities in relation to safeguarding.

Please Note: If you cannot appoint a safeguarding lead, then consider creating a safeguarding group. Just like a safeguarding lead, this group will be dedicated to overseeing your organisation's safeguarding strategies and practices.

3. Ensure that the board and Management are well aware and informed of the policy and procedures.

Within most organisations the overall responsibility for safeguarding lies with the board or management team. It is therefore crucial to keep them updated on factors like data reporting and any new trends in safeguarding.

4. Training and creating awareness throughout your organisation.

This is very vital to the organisation as such it is important to offer regular training and awareness courses across the organisation, and not just to those who show an interest in the issues but all members within and around the organisation. (This applies to anyone joining the organisation or partnering with the organisation for whatever period needs to be aware and trained on the policy and procedures).

5. Adopt a person-centered Approach.

You should put the people you support at the centre of your work and activities, as such making Safeguarding Personal means including people in the decision-making process when any concerns are raised about them. It also means ensuring that safeguarding is person-led rather than process-driven and allows people the opportunity to believe in the process, to understand it and take up ownership of the policy.

6. Personal safety.

People must also understand how to keep themselves safe from risk. Therefore it's paramount that they be made aware of ways to keep themselves safe and how to remain vigilant.

7. Conduct or carry out regular risk assessments.

Organisations should commit to regular risk assessments. These are vital to ensure that you are not placing staff, or the people in your community, at risk. The risk assessment may be about many factors, including staffing, activities, the environment, partners, volunteers, and individuals. This will better inform the organisation of any gaps and areas that need improvement.

8. Set out the safe recruitment procedures.

Prevention must also guide your recruitment process. There are a number of steps you should take when recruiting staff:

- Make sure you have enough time to verify references.
- Carry out background checks and where possible with the authorities.
- Talk about safeguarding during the interview process.
- Carry out clear inductions.
- Provide ongoing safeguarding training and evaluation.

9. Writing procedures.

This means writing down procedures to mitigate risks and to deal with the issues when they occur, as well as after they occur. As an RLO creating the culture of writing procedures that will help everyone in your organisation respond appropriately to child protection and safeguarding concerns. There needs to be specific guidance on what to do and how to do it and this step helps get that done.

10. Reporting concerns

Any organisation that works with children or vulnerable groups should have clear and detailed procedures in place for reporting concerns and safeguarding issues that may arise. This should go further to also demonstrate the follow up or referral pathways and mechanisms that should be in place in the event of an issue. All staff and volunteers should be made aware of these policies and procedures during their induction and they should be easily accessible to everyone. Staff and volunteers should also undergo regular safeguarding and child protection training to help them recognise and respond to all forms of abuse and neglect.

11. Recording information

The policy and procedures should also demonstrate how to record information regarding a safeguarding issue. One should be able to make accurate and detailed notes about any concerns you have for a child or vulnerable adult and how to investigate those concerns. You should include:

- the persons name, age and address
- what the person said or did that gave you cause for concern (if the person made a verbal disclosure, write down their exact words)
- any information the person has given you about the alleged abuser.

Throughout the rest of the course we will address these points and consider how your organisation can implement these actions so they are tailored to your RLOs work and relevant for the community that you work with.

Ask the participants to review their handouts and their actions, get them to speak on how they will take these actions and if possible associate timelines to the actions. Take note of the timelines and keep checking with the RLOs on their progress.

- 01.00 Go to the *next slide* on Implementing the Steps to Mitigate Risks in Safeguarding

Managing Safeguarding risks means identifying the hazards that your beneficiaries, staff, partners, volunteers or your community may be exposed to and coming up with ways to minimise the risk that they may be exposed to or managing specific blind spots in the environment which may arise from your delivery.

Instruct the participants on the next activity.

Now in groups, can we imagine a scenario where you found a staff member exposing a child to pornography. What would you do? Try and organise the steps you would take in order.

Allow the participants to discuss for a few minutes before asking for their responses. Ask a few groups to come up and demonstrate the steps they would take. You can do this by letting them organise their steps on sticky notes and sticking them on a flipchart. Make sure each participant specifically contributes to the final sequence of activities and they are able to contextualise their responses according to their specific RLO environments.

- 01.30 ASSESSMENT FOR LEARNING (AFL):

Both of these activities would give you insights into how positive the group members are feeling about safeguarding. Remind the participants of their first take home assignment of the establishment of a safe space for children or a creche within their learning centers. Also remind them of the steps they have just come up with on dealing with a safeguarding concern and get them to align both of these activities with the reality of each of their RLOs contexts.

Important Note for Session Four: Please note that the next session is an intense session with a lot of learning, you will therefore need to make prior arrangements with the RLOs to

have at least 2 to 3 hours for the session. Where possible organise for numerous breaks in the session as well as refreshments so as to keep participants engaged.

Session Four – How to Undertake a Risk Assessment, Respond and Report Safeguarding Concerns

Resources: Display the **PowerPoint** entitled “Module 16 – How to Undertake a Risk Assessment, Respond and Report Safeguarding Concerns” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will need a flipchart and markers. You will also need sticky notes and pens for the participants. You will need participants to have access to [CSSC M16 Handout 4](#).

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module we will specifically continue looking at the steps to mitigate risks in safeguarding by learning how to do a risk assessment.

In this module you also understand what a survivor-centred approach is and why it is important when it comes to responding and reporting safeguarding concerns.

We will also recognise the meaning and importance of the six principles of safeguarding and how they apply to responding to safeguarding concerns.

And finally we will consider ways our RLOs can report safeguarding issues.

This module will be an assessment for learning where we will be collating all the information we have learned in the previous sessions into making a practical assessment on safeguarding risks and responding/reporting to concerns.

Take note to keep assessing and affirming the knowledge of participants thus far because this will help put the knowledge received into practice.

- 00.05 Recap and Feedback on Take Home Assignment

Start the session with a recap of the last session, asking participants for their highlights. After some responses, get a few participants to present their take home assignments.

For the first assignment on the risks that can be associated with the establishment of a safe space for children or a creche, put down all their risks on the flip chart being sure to pick out all the feedback from all participants until you have a comprehensive list that has been developed as a group. You could also appoint one participant to lead the discussion and to note down the key points as you facilitate the engagement.

ASSESSMENT FOR LEARNING (AFL): Ask the participants to think about other safeguarding risks that their RLOs may be faced with. They can now go back and use the template above to now highlight and define all safeguarding risks that are associated with all their activities. You can give the RLO a day to properly take this exercise and encourage them to meet outside the session, and also consult various stakeholders within their RLOs operating environment and then finally to collaborate as an RLO on one final safeguarding risk register. This will be a **take home assignment**.

- 01.10 Introduce the Concept of Responding and Reporting Safeguarding Concerns

Ask the participants.

What is a victim or survivor-centred response?

Allow for some responses before sharing and aligning their responses to the definition below.

Definition: *A survivor-centred approach places the rights, needs and concerns of victims at the centre of any interventions to manage risk.*

Instruct the participants to discuss in pairs for a few minutes why this is important. After a few minutes ask a few participants to share their feedback with the rest of the group.

- 01.15 Show the **next slide** on A Survivor Centered Approach

A SURVIVOR CENTRED APPROACH

RESPONDING

- Safety
- Consent
- Confidentiality
- Respect
- Seek Advice and support
- Understand the legal context

Having a survivor centered approach is very important when responding to safeguarding issues and it is critical to also include the six bullet points above as you deal with the issue. Can you expound on what these bullet points mean when thinking about responding to a victim of abuse or harm?

Allow for some responses before talking through the bullet points together.

Safety: Ensuring you get the victim to safety immediately.

Consent: Getting the approval of the victim or the victims guardian to disclose or discuss the matters related to the issue. This can also be for the pursuit of action against the abuser and the course of action.

Confidentiality: All safeguarding issues should be treated with confidentiality. Informing only the relevant authorities related to the issue and protecting the victim at all costs.

Respect: Respecting the wishes and concerns of the victim at every stage.

Seek Advice and Support: Seeking assistance or referring issues that may be beyond the control and expertise of the RLO and being clear with the victim on the procedures.

Understand the Legal Context: Carefully researching the legal context when it comes to all risks and coming up with mitigation measures or reporting procedures that are in line with your RLOs specific context.

- 01.25 Show the next slide on Principles of Safeguarding.

The six safeguarding principles were originally produced for the safeguarding of adults but can also be applied to the safeguarding of children. Safeguarding both adults and children is about preventing the risk of harm from abuse or exploitation or having the ability to reduce it by raising awareness and supporting people in making informed decisions. There are six principles of safeguarding and they are:



Empowerment



Protection



Prevention



Proportionality



Partnerships



Accountability

Ask the participants.

Can we discuss in groups what each of these principles mean?

Allow different groups to give definitions and expound on the principles as you align their responses to the definitions below.

Empowerment: Ensuring people are supported and confident in making their own decisions and giving informed consent. Empowerment gives individuals choice and control over decisions made.

Protection: Providing support and representation for those in greatest need. Organisations can put measures in place to help stop abuse from occurring and offer help and support to those at risk.

Prevention: It is crucial to try and take action before harm occurs, preventing neglect, harm or abuse is the primary objective. Prevention is the act of organisations working to stop abuse before it happens. Raising awareness, training staff and making information easily accessible are all ways that they can demonstrate prevention measures and encourage individuals to ask for help.

Proportionality: We must take a proportionate and least intrusive response to the issue presented. Proportionality ensures that services take each person into account when dealing with abuse. They will respect each individual and assess any risks presented.

Partnerships: Forming partnerships with local communities can create solutions as they can assist in preventing and detecting abuse. Partnerships give organisations the opportunity to work together, as well as with the local community. Partnerships can also help organisations deal with abuse by forming referral pathways for cases that go beyond the expertise of the RLO.

Accountability: Being accountable and having complete transparency in delivering safeguarding practice. Safeguarding is everyone's business and accountability makes sure that everyone plays their part when it comes to safeguarding vulnerable people. Everyone is accountable for their actions as individuals, services and organisations.

- 01.40 Introduce the next activity

Draw out the table below on a flip chart. Ask the group to break into small groups and match the principle with its definition in the boxes below by drawing arrows that correctly match up the definitions. As they do so, ask them to come up with real life scenarios that would help explain the principles in detail and how it would apply for their RLOs in their current contexts.

Empowerment	Having complete transparency when dealing with safeguarding issues
Proportionality	Providing support and representation for those in greatest need

Prevention	Ensuring you collaborate with the relevant stakeholders to protect against detecting and reporting abuse.
Accountability	Ensuring people are supported and confident in making their own decisions and giving informed consent.
Protection	Taking the least intrusive and appropriate response to an issue
Partnerships	Taking action before harm occurs

ASSESSMENT FOR LEARNING: Observe how confidently participants are able to match up the definitions. The point of this activity is to assess how well the participants are able to internalise the principles and relate them to their RLO activities.

- **02:00 Go to the next slide on Reporting Safeguarding Issues**

Ask the participants.

What do we need to consider when reporting safeguarding issues?



REPORTING:

What ways do we receive reports?

- Formal written reports through Complaints policy – hotline, e-mail address;
- Informally via text, social media etc.
- Via community-based complaints mechanisms
- Disclosures made directly to staff members
- Through concerns or reports about others raised to staff members Rumours or gossip

Allow

for some responses from the group and you can align them with the information on the slide above.

Ask the participants.

*What processes does your RLO currently have in place to deal with a safeguarding issue?
What has been your experience on this procedure and has it worked well or not?*

Encourage the participants to share freely as this process is supposed to help improve what is existing. After a few responses, you can talk through the following reporting methods and ask the group how they could incorporate this into their work?

- Complaints boxes
- Reporting systems - email, text, social media
- Disclosure made directly to staff
- Rumours and gossip

Allow for some responses after each bullet point and then specifically discuss, whether these systems supports a victim-centered approach, that is:



Furthermore, ask the participants to discuss in groups how they could work within their community or spaces so that this is considered.

Allow for the groups to discuss for a few minutes before reconvening and asking the groups to present their feedback. Listen keenly and ensure they give feedback that is applicable with their local contexts.

- 02:15 Go to the **next slide** on Managing Disclosure

The slide below shows some of the dos and don'ts when managing disclosure. Can we go each of these together and discuss specific examples of why the Do's are important and the Don'ts can be harmful?

MANAGING DISCLOSURES

DOs

- Listen empathise with the person
- Ask who, when, where, what but not why
- Repeat/ check your understanding of the situation
- Report to the appropriate staff member
- Tell the person what you will be doing with the information they are giving you
 - with their permission

DON'Ts

- Become defensive
- Argue with the person
- Be dismissive
- Blame others
- Make assumptions without knowing the facts
- Make promises you can't keep
- Ignore the problem
- Try to investigate yourself

Allow the participants to discuss for a few minutes in groups and then ask groups to share their feedback together.

- 02:30 ASSESSMENT FOR LEARNING (AFL)

As a second **take home assignment**, get the participants to research on some examples of what organisations have done when dealing with safeguarding issues. How have organisations in similar contexts responded to and reported issues to do with safeguarding. Give them a day to complete this and tell them you will be reviewing their feedback in the next session.

Important Note for Session Five: Please note that the next session is an intense session with a lot of deliberation, you will therefore need to make prior arrangements with the RLOs to have at least 2 to 3 hours for the session. Where possible organise for breaks in the session as well as refreshments so as to keep participants engaged.

Session Five – Putting What We Have Learnt Into Practice

Resources: Display the **PowerPoint** entitled “Module 16 – Putting What We Have Learnt Into Practice” to your participants. If you do not have a projector, you can create print-outs or run the session verbally. You will need an entire flipchart and markers for all participants. You will also need participants to bring with them their safeguarding risk assessment templates from Session 4. Participants will need access to CSSC M16 [Handout 5](#) and [Handout 6](#).

Note for Facilitator: This session is going to be very intense with a lot of discussions, note taking and feedback. Therefore prepare the participants for at least 2 to 3 hours and ensure they have the time to engage fully. You can consider taking a break every hour so as to keep people engaged. Consider having different icebreaker activities to also help keep participants engaged.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this session, we will be discussing how to put everything we have learnt so far into practice.

We will also be looking at how to undergo a thorough safeguarding risk assessment and use that information to develop a safeguarding policy.

- 00.05 Introduce the Session

Now that we have had four sessions in safeguarding it is time we bring all that information into practice by making a safeguarding policy. However, before we make that policy we need to take a safeguarding risk assessment so that our answers to the questions can help us make our safeguarding policy comprehensive and inclusive of all areas that we may be open for exposure.

This session is going to rely heavily on group discussions and feedback. You must try and make the deliberations as lively as possible by interchanging the participants and encouraging different participants to lead particular sections and give alternative views. At the end of this session, it will be important for the RLOs to form their own safeguarding policies that are relevant to their unique operating environments and contexts.

- 00:10 Recap on the Previous Sessions

Ask the participants.

What are some of the highlights from the last session? Did you manage to follow up with partners and various stakeholders on their policies and procedures around safeguarding so as to come up with best practices.

Allow for some responses from the group before moving on to the next slide.

- 00:15 Introduce the Safeguarding Assessment

Now that our RLOs have been discussing issues to do with RLOs, we are now going to go into a series of discussions that will help us take a thorough safeguarding assessment that will enable us to develop a safeguarding policy for our organisations. The discussions we will be having now will give us the feedback that will be necessary for the formation of a safeguarding policy. Can you think of some of the sections that should be in a safeguarding policy?

Allow for some responses from the group.

Some of the sections that should be in a safeguarding policy are:

- 1. Safeguarding and child protection*
- 2. Methods of recognising and responding to concerns*
- 3. Health and safety*
- 4. Risk assessment*
- 5. Recruitment and partner engagement*
- 6. Documenting and storing information*

We are now going to move into groups to discuss some questions.

Divide the class into three groups. Have each group sit at different sections of the room and give each group a flip chart and marker pens. Alternatively, print out [CSSC M16 - Handout 5](#) so they may have reference to the questions at all times.

After the groups have sat down, introduce the first section.

- 00:20 Go to the **next slide on Section 1: Safeguarding and Child Protection**

The first section is about where your RLO will need to put in place policies and procedures that will help you adhere to methods of prevention and response. In our groups, I want us to discuss the following questions. Group 1 to discuss question 1, group 2 question 2 and group 3, question three. Here they are:

You can write the questions on the flip chart or project them for the group to refer to easily. Give each group a flip chart to write down their key points.

- Which individuals from your team will lead on safeguarding concerns? Include information about where they are based and how they can be contacted.
- Is this information available to members outside your organisation should any safeguarding issues arise? Where will you post this?
- Have you consulted members of your community about what they feel comfortable with in terms of contacting people? Can you create opportunities to discuss this and get their feedback?

Allow the groups three minutes of discussion before allowing another three minutes each for presentations and feedback from all the participants. Make sure that all members are on the same page when it comes to the final decision because remind the participants that this will inform what they put down as their final policy.

- 00.35 Go to the **next slide** on Section 2: Methods of recognising and responding to concerns

Now we will move into five groups to discuss the five questions below and after that we will present our final positions on the same.

Allow the class to arrange themselves, encourage a swift reorganisation as time must be managed carefully. Ensure there are different participants in each group as well so as to gather different perspectives. Give each group a flipchart to jot down their key points.

The questions to discuss are:

- What procedures can you implement so that everyone feels safe and comfortable about raising concerns?
- If you are using a comment box, or email address - who is regularly checking this and who is giving feedback.
- What is your procedure for managing allegations of abuse? If working with partners such as schools, NGOs, or other community groups, how would this be addressed?
- What is your whistleblowing procedure? Describe in detail.
- How do you prevent and respond to bullying that happens within your organisations, programmes, or even online? How do you monitor this?

Allow the group's two to three minutes for discussions before regrouping for presentations. Again ensure that different participants are leading the discussion and you are getting everyone's opinions and feedback. When they are all in agreement, move to the next slide.

- 00.50 Go to the **next slide** on Section 3: Health and Safety

Now we will arrange ourselves into four groups to discuss the following questions as we have done before. Ensure you are not in the same group with anyone in your previous group.

Move the class into groups quickly, moving around the participants accordingly and give each group another flip chart paper to write down their key points.

- *What health and safety procedures are necessary for your programmes?*
- *Are your team members trained in these procedures?*
- *Is any specific equipment required to maintain these health and safety standards?*
- *Are there trained professionals or partner organisations who can support you with these, or be on call should an incident arise.*

Allow the group's two to three minutes for discussions before regrouping for presentations. Again ensure that different participants are leading the discussion and you are getting everyone's opinions and feedback. When they are all in agreement, move to the next slide.

- **00.50 Go to the next slide on Section 4: Risk Assessment**

For this section, the participants will need to retrieve their risk assessment from session 4, they should go over it as a group and ensure they have since not missed out on anything. Nominate a participant to lead the group as you discuss each risk and the measures supporting them and get them to finalise on what they will be using as an RLO. This discussion should be done with the entire class together as one group. Ensure their measures are realistic and sustainable.

Allow them to discuss for a few minutes before dividing them into four groups to discuss the questions below. Again, be sure to mix the groups up and have different participants take lead in the discussions and encourage everyone's participation in the discussions.

- Do you plan activities and events thoroughly in advance and put measures in place to keep children and vulnerable adults safe?
- When dealing with activities with children, do you get the necessary consent from parents, guardians and children before they participate in the activities?
- Do you have a registration form to document this consent and provide details about the needs of the individual? As well as emergency contact details?
- If accidents do happen, how are these reported by team members and what is the procedure for responding?

Allow the group's two to three minutes for discussions before regrouping for presentations. Again ensure that different participants are leading the discussion and you are getting everyone's opinions and feedback. When they are all in agreement, move to the next slide.

- **01:20 Go to the next slide on Section 5: Recruitment and Partner Engagement**

It is essential that safeguarding is built into your recruitment and partnership engagement process. This is to ensure that all members of your team and partners are adequately checked before starting work with your organisations and that they are using the correct procedures as they run programmes.

Divide the class into 6 groups. Using the same principles as before, mixing up participants and ensuring another member takes the lead, give the groups another flipchart paper to write down their feedback as they discuss the questions below:

- *Do you follow all the appropriate checks on staff, volunteers as part of your recruitment process? Do you also do the same for prospective partners? If so, how do you do this, and if not, how can you design a process that addresses this concern. These should be done before anyone formally joins your team.*
- *If any concerns or issues are raised about a potential employee, volunteer or partner, what are the procedures in place to follow up?*
- *Have you developed adequate training for new members of your team or new partners you are working with - e.g. child protection, safeguarding, data protection systems.*
- *What is being done to maintain your staff members' or partners' accountability to these procedures? Is ongoing support and training offered?*
- *Do you have a clear set of procedures that are followed by your partners, your staff and volunteers?*
- *Do you have these procedures documented so they can be referred to by your team and your partners on a regular basis?*

Allow the group's two to three minutes for discussions before regrouping for presentations. Again ensure that different participants are leading the discussion and you are getting everyone's opinions and feedback. When they are all in agreement, move to the next slide.

- 01:20 Go to the **next slide on Section 6: Documenting and Storing Information**

Divide the class into 4 groups. Using the same principles as before, mixing up participants and ensuring another member takes the lead, give the groups another flipchart paper to write down their feedback as they discuss the questions below:

- *How does your organisation store an individual's information? Who has access to this information?*
- *If any safeguarding or child protection issue is raised, what is your reporting procedure?*
- *Are you team trained in how to record and store sensitive information?*
- *Do individuals know what information you are storing about them? What is the procedure for accessing this information?*

Allow the group's two to three minutes for discussions before regrouping for presentations. Again ensure that different participants are leading the discussion and you are getting everyone's opinions and feedback.

- **01:35 Go to the next slide on Prevention and Response**

To conclude this discussion, bring all the groups together and review each of the six sections above. Get them all to discuss some methods of prevention and responses in the case of an issue. This will require you to combine all sheets used by participants for each section. Take particular note of the methods of prevention and the responses that have been highlighted in each section as that will be critical in their safeguarding policies. Ensure that the methods of prevention and responses that their organisations have come up with are realistic and suitable to the specific contexts that they are operating in. You can allow a few minutes of discussion before concluding the session.

Well done everyone, you have now created the framework for your safeguarding policies. As an RLO you now have the scope and the information you will need to put down a comprehensive safeguarding policy that will suit your organisation.

- **01:45 Go to the next slide on Drafting Your RLOs Safeguarding Policy**

Allow the group to now draft their policies combining all the information in all the sections above into one policy. They can use the template provided as [CSSC M16 - Handout 6](#) or the examples of the policies in the [CSSC M16 resource folder](#). The format of the policy does not matter or does not have to follow these templates, ideally it should be up to the RLO themselves to go research and adapt their own final structure, provided it contains all the scope and the information that has been deliberated in the previous sections. You can allow the participants to keep discussing or allow them a day or two to do more research on this, consult with various stakeholders as well and then reconvene as a group and finish drafting their final policy and then put it into action.

Make a note of following up with the RLOs to see how their progress is on this and to recap on their final policy.

Module Summary

By the end of this module, the RLO should have a comprehensive understanding of their safeguarding exposures as well as a safeguarding policy that they can implement and keep track of. The most important thing to remind the RLOs is that the safeguarding policy and the risk assessment needs to be something that is reviewed frequently. The risk assessment needs to be reviewed every quarter because risks are always evolving and the overall policy should be reviewed annually to ensure it adapts to best practices.

Write a short paragraph summarizing your reflection and think of how the module could be delivered better and send that summary to the Xavier Project Team Lead. Xavier Project is always keen to improve the content of this course and your feedback is appreciated. Please attach in the email examples of your assessment for learnings and links to on-line resources that include reference to the RLOs examples too.

Module 17:

Child Protection

Introduction

Child protection is a component of safeguarding and falls within the safeguarding realm, however, it is important to understand there are particular concerns that may be unique to children that would be vital to understand. This module focuses on that, goes a little further to issues particularly specific to children and protecting their safety within our communities.

It is important for RLOs to understand child protection and how all this will apply in the communities they work in. Anything we do in a community requires us to be familiar with its people, its issues, and its children. When dealing with the community, a project is most likely to be successful if the RLO is conscious about the circumstances that call for child protection. If a RLO takes the time to understand what a child is, how they may be at risk and what they can do about it will have a long-term impact on the safety of the community at large.

Session One – Understanding Child Protection

Resources: Display the **PowerPoint** entitled “Module – Understanding Child Protection” to your participants. If you do not have a projector you can create print-outs or run the session verbally.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn how to understand what a child is and what is child protection

You will learn some key definitions when it comes to child protection

You will learn about the rights of a child

You will learn about the importance and the scope of child protection

- **00.05 Introduce some of the aspects that define a child using the next slide**

Ask the group if they can define the meaning of a child. Allow for some answers from the group. Ask the group if they have ever heard of child protection and if yes, what does it mean.

The United Nations Convention on the Rights of the Child defines a child as "a human being below the age of 18 years". There are many definitions of what a child is, but at the end of the day, it is important to note that whatever the definition, every child therefore needs protection.

Child protection is the protection of children from violence, exploitation, abuse and neglect. Article 19 of the United Nations Convention on the Rights of the Child provides for the protection of children in and out of their homes.

According to UNICEF, Child protection is preventing and responding to violence, exploitation and abuse against children including commercial sexual exploitation, trafficking, child labour and harmful traditional practices, such as female genital mutilation/cutting and child marriage.

Child Protection consists of reducing risks to children's holistic well-being, making children's rights a reality, restoring hope and a dignified living where abuse has occurred and creating an enabling environment that supports children's positive development.

Explain that the definition is a holistic approach to child protection and consists of four major points.

Child protection is centered around four major areas:

- 1. Reducing Risks (or preventing abuse)*
- 2. Making children's rights a reality (or child rights)*
- 3. Restoring hope and a dignified living (or well-being)*
- 4. Creating an enabling environment (or protective environment)*

- Instruct participants to discuss in pairs for three to five minutes. *Do you agree with the definitions above, are they the same within your community? Do you think there are other elements that may have been left out from the definitions? Discuss each of the four major areas giving examples to make them more understandable.*

- **00.10 Request feedback and have an open discussion based on their responses**

Try to launch an open discussion, here are some pointers to guide your discussions.

Reducing Risks: Discuss with participants different abuses children encounter. Ask participants if they can identify any local responses in preventing those abuses from happening to other children.

Making Children's Rights a Reality: When discussing child rights, ask participants for some examples of child rights that as a community they have valued and made an effort to uphold. Many participants will say the right to education. Discuss how as a community they ensure that all children have access to education. (Some examples to illustrate may include: reduced school fees, transportation options, feeding programs, making of school uniforms, etc.) Point out to participants that a child protection problem is any violation against a child's rights. Therefore, extreme cases of abuse such as sexual abuse or abduction are child protection problems, but the lack of access to education or not ensuring that children can play are also child protection problems. The lack of one right can increase the likelihood of additional child protection problems. Ask participants if they can give examples of additional problems that can occur when a child is not educated or does not have access to health services.

Restoring Hope and a Dignified Living: Explain to participants that child protection is not only about preventing abuse but responding to abuse when it happens. Every child who has experienced a child protection problem has the right to be treated with dignity and provided with services to help restore their well-being. Ask participants if they can think of examples within the community where as a community they have responded to a child protection problem to support and restore hope to a child. Examples may include local initiatives to help returning/escaping abducted children, or responding to a child abuse case. Parenting groups, psychosocial support and also traditional cleansing ceremonies are all examples of helping to restore hope and the well-being of a child at the community level. See if participants can give examples of extreme child protection cases as well as child protection problems that are often not recognized as a problem.

Enabling Environment: Ask participants to imagine what their community would look like if children were always protected and safe. Discuss the roles of various community members: Community leaders, teachers, religious leaders, police, parents, etc. Ask how some of these roles endanger children and discuss what improvements to these roles could foster protection for children. Discuss with participants about the local laws and/or traditional practices within the community that may bring harm to children. *How can these practices protect children?* Discuss with participants whether their neighbors, friends, or participants, RLO management and leaders understand child protection. Do you think that a lack of knowledge in what child protection is creates additional risks to children? Discuss how this might be so. *The protective environment point is the most essential point in the definition of child protection as it encompasses every aspect of our society and life. Children cannot flourish, achieve their rights, and develop fully if aspects in our environment are endangering children. This can be as big as not having a law on sexual abuse, to traditional practices that burn a child for misbehaving, to not having a response mechanism in place when children get lost, to a playground for children that is littered with glass. It means that absolutely everyone in the RLO must and needs to understand what child protection is and how to respond if they see a problem. Not just the RLO leaders and managers but also the*

participants and security officers. The RLO must champion and always emphasize that they prioritise child protection at every opportunity that presents itself as they continue with their community activities. Where there is a lack of information and understanding child protection problems will continue and be left untreated.

- 00.30 Go to the *next slide* and discuss the various bullet points.

Try to launch an open discussion. Here are a few pointers to help you discuss the individual bullet points. Look out for specific contributions from the participants and where possible ask the participants to give examples so as to help understand the terms better. This will be an introduction to the terms that will be used throughout this entire module on Child Protection.

Child abuse

Child abuse is any deliberate behaviour or action that endangers a child's health, survival, well-being and development. There are three types of child abuse: physical, emotional and sexual. Neglect is also considered a form of child abuse.

Child exploitation:

Child exploitation is the use of children for someone else's economic or sexual advantage, gratification or profit, often resulting in unjust, cruel and harmful treatment of the child.

Child well-being:

Child well-being can be understood as the quality of a child's life. It is a dynamic state that is enhanced when a person can fulfil his or her personal and social goals. A wide variety of domains and measures are used to assess levels of childhood well-being. UNICEF uses six dimensions: material well-being, health and safety, education, peer and family relationships, behaviours and risks, and children's own subjective sense of well-being.

Direct contact with children

Being in the physical presence of a child/children in the context of work, whether contact is occasional or regular, short or long-term

Indirect contact with children

Having access to information on children in the context of work, such as children's names, locations, photographs and case studies.

Other related terms: Female Genital Mutilation, Child Labour, Child trafficking, Discrimination, Gender norms, Foster care systems, child neglect.

- 00.40 Go to the *next slide* and discuss the various bullet points.

The next section details and discusses the rights of a child. Ask the participants to define what rights are and what a human right is. Allow some answers from the participants.

Rights are moral and legal entitlements to have or to do something.

Human rights are the basic rights and freedoms that belong to every person in the world.

Children and young people have the same general human rights as adults and also specific rights that recognize their special needs. Children are not the property of their parents nor

are they helpless objects of charity. They are human beings and are the subject of their own rights.

The Convention on the Rights of the Child sets out the rights that must be realized for children to develop to their full potential. Some of these rights include:

As you show the class the bullet points, allow for each point to be discussed individually. Ask for examples from the class before giving the explanations of the rights.

All children have the right to an identity

All children have the right to a name and nationality from birth, ensuring his protection and support by his own country. If the birth is not registered, the child will not be recognized by the state and will not receive care nor education.

Every child also has a right to health

All children should be cared for if sick, be well-fed, protected from drugs, and enjoy living conditions which are not dangerous to their health.

Every child has the right to education

All children have the right to an education and access to skills which will help them prepare for their future.

The right to a family life

All children have the right to live with people who love and care for them, preferably their families, or by carers if their own families cannot look after them.

The Right to be protected from violence

Each child must be protected from violence, from his own family or any person who wishes to harm him. He should never be obliged to suffer or inflict ill-treatment or any act of sexual or physical violence.

The right to an opinion

All children have the right to express their views. They also have the right to be informed and give their opinion about the world around them.

The right to be protected from armed conflict

All children must be protected from war and its consequences, such as being a refugee, being injured as a result of the war, prisoner, or forced into armed conflict.

The children have the right to be protected from exploitation

A child should not be forced to work in difficult or dangerous conditions, in order to survive or support their family.

- **00.50 Go to the next slide and discuss the various bullet points.**

What is the importance of Child Protection and Why Should Your RLO Be Conscious of it?

- It is a conscious effort for any RLO to show commitment in ensuring all children and other participants are “safe”
- To ensure all RLO members, staff and the surrounding community are protected since they understand how to conduct themselves around children.
- To ensure that all children within the community are protected since deliberate measures are put in place to keep them safe
- To protect the reputation of the RLO since an individual event such as an employee action can have adverse effects on the entire organisation.

Can you think of any other importance?

Ask the participants to break into four groups and have them discuss the importance of child protection in their communities. Allow five minutes for the discussion.

- 01.00 Go to the next slide and discuss the various bullet points.

Creating a Child Protection Policy

It is important for an RLO to cement all these values and principles into a policy that can guide their activities. Having a child protection policy ensures the RLO is always conscious of the fact that the children within their community need protection.

What is the scope for child protection? What and who should it apply to?

The Child protection policy applies to all board members, employees, volunteers, interns, Refugee-Led organisation members, participants and the surrounding community as well as all other parties that may have any engagements with the RLO such as donors, sponsors and journalists.

With a child protection policy in place, it is important for the RLOs to appoint a child protection focal person who will be responsible for:

- a. Understanding the child protection procedures and how they work in practice;
- b. Ensuring that the organisation has a system for recording Child Protection concerns at all stages, up to the point of referral to relevant authorities.
- c. Encouraging the RLO to discuss issues of Child Protection at both personal and professional levels;
- d. Providing support and guidance to other members
- e. Raising issues or situations which may work against the interests of the beneficiaries.

Does your RLO have such a focal person? If yes, are these their responsibilities or can you think of any more that would be relevant?

- 01.10 ASSESSMENT FOR LEARNING (AFL):

Ask the participants to think about their RLOs and if they have a Child Protection Policy.

Allow the group to discuss and see if their RLO has a policy. If they do, ask them to review this policy in light of these discussions and to bring it to the next session. If they do not have a policy, ask them to go and start creating an outline of what this policy should include and what it should entail. Give them ten minutes to organise their activities and responsibilities before ending the session.

Give the group at least a full day to complete this exercise before the next class.

Session Two – What is the Child Protection Framework?

Resources: Display the **PowerPoint** entitled “Module – What is the Child Protection Framework” to your participants. If you do not have a projector you can create print-outs or run the session verbally. You will need flipcharts and different coloured marker pens in red, blue and black for illustration.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this session you will learn how to understand how to understand the child protection framework

You will also learn what is a child protection issue and how to identify and categorise them

- 00.05 Introduce the first activity and display the first slide

The activity is a visual activity that will be led by the facilitator. Encourage participants to share feedback and give responses. Remember there can be no wrong answers. Encourage explanations and discussions. You will need a flipchart and a marker.

This activity will help us understand the framework for child protection. We know that there are many people who are responsible for the protection of children. Can we give examples on what or who each of the rings represent?

On a flip chart paper, draw a child. Draw 6 circles around the child. Explain that there are various levels of protection around children and each ring reinforces another. Allow some responses from the group and ask for explanations from the responders. After some responses, you can draw out on another fresh flipchart the order below.



Allow for more discussions and ask if the participants agree with this order.

It is important to note that there can be breakdowns in any of the rings, affecting the protection of the child. For example, a family separation during a conflict, a family moving and having to re-establish community connections, a school burning down, laws protecting children not being enforced by the state, the international community failing to intervene, and so on.

There are times as well that one of the rings can become a risk factor for a child. For example when a parent abuses a child, when a community discriminates against a child because of the child's ethnicity, when a girl cannot continue going to school because of a community belief, when a child is excessively discriminated upon at school and wants to stop going, and so on

Ask the group who usually comes in to fill the gap when one of the rings breaks down.

Often, people say that this is the role of RLOs and NGOs. In such a situation where cases may be referred so that they may be handled by a third party. We will discuss this more under the session on referral systems. There are many ways that communities can formulate their own responses as well and a good way that this can be channelled through is via RLO activities, and awareness initiatives. In such a case, RLOs and NGOs do not want to take the place of the community or family, or act on their behalf, but rather support existing structures.

- **00.15 Show the next slide that helps in understanding the child protection framework and putting it into action.**

If we understand what child protection is, we must be able to put it into practice.

Ask the participants to define what child protection is. Allow for some answers before asking what protection means?

Protection according to the ICRC consists of—all activities aimed at ensuring full respect for the rights of the individual—in this case, the child—as set out in the relevant human rights instruments and international humanitarian law.

The definition includes a holistic framework that includes responsive action, remedial action, and action to create an environment that promotes respect for the rights of individuals.

Responsive action is aimed at preventing, putting a stop to, and/or alleviating the immediate effects of a specific pattern of abuse. An example of Responsive Action would be creating programs that prevent sexual abuse of a child, stopping sexual abuse that is occurring to a child, and taking immediate steps to help the child who has been sexually abused, for example taking the child to the hospital to receive care and emotional support.

Ask for more examples on responsive action that can be used in one's RLO or community before moving on to the next slide.

Remedial action is aimed at restoring dignified living conditions through rehabilitation, restitution and reparation; An example of Remedial Action would be providing longer-term psychosocial support to a child who has suffered sexual abuse.

Environmental building aimed at creating and/or consolidating an environment (political, institutional, legal, social, cultural and economic) conducive to full respect for the rights of the individual. An example of Environmental Building would be as a RLO ensuring that there are laws in place to protect children from sexual abuse; educating the community about risks and how to protect their children; addressing traditional practices that minimize sexual abuse; or setting up codes of conduct within organisations to prevent sexual abuse and developing a child protection policy that can be adopted and used by many institutions and using advocacy efforts within the community to ensure the child protection policies are upheld.

These three points help put protection into action. They are closely linked to the definition of child protection and create the framework for how we address child protection issues within society.

Have participants reflect on how this broader definition of protection is linked to child protection.

Ask the participants for feedback on the areas you have mentioned. Do they think such practices will put child protection into action? Ask what each of the RLOs are currently doing in the field of child protection and can they do more?

- 00.25 Show the next slide on Child Protection Issues

We explored the definition of child protection and the framework for child protection, now, this area us understand the degree of various types of child protection issues and how to

avoid stigmatization and targeting by exploring what is meant by child right violations, child abuse and exploitation, and circumstantial child protection issues.

A child protection issue is a circumstance or a situation that calls for child protection.

As the participants give examples of child protection issues. Allow them to discuss in groups first and allow each group five minutes to discuss and two minutes to present their issues.

List the issues on a flipchart and depending on what they are, list them in either red (Child rights violations), black (child abuse issues) or blue (circumstantial or situational child protection issues) marker pens. Make sure you are conversant with the issues they will raise and you have prepared for this lesson and categorise them into:

As you list the issues the participants raise on a flipchart, do not explain to them yet why you are using different colours for different points. Just make sure you categorise them into the right sections. If they do not give any responses, you can prompt them with the responses below.

Sexual Abuse

Early Marriage

Children not in school

Corporal Punishment

Children without homes

Children affected by HIV/AIDS

Injuring or Burning a child

Disabled children discriminated against

Try to see if participants can determine why the issues in Blue are in blue; why the issues in Red are in red, and why the issues that are written in black are in black. Participants should call out different reasons.

Explain to participants that all of the issues that they mentioned are child protection issues; however to help us understand them better we can categorize child protection issues into three different areas. The areas overlap each other and are integrated, but to help us explore the issues in more depth, we can categorize them for better clarity.

- 00.45 Show the next slide

Explain to participants

The issues marked in Red, are what we categorize as —Child Rights Violations. We must stress that if any right of a child is violated it becomes a child protection issue. From Session One, can you give examples of children's rights?

Allow for some answers before moving on to the next point.

Participants might say the right to education or —The right to health care or the —Right to a name. Explain that all of these are important for the protection of children. If one of these rights is violated further protection risks will emerge. Ask participants what might happen to a child that is not able to go to school. Have participants give examples of further child protection issues that can emerge because the right of school is not upheld.

We usually think of the most severe issues as child protection issues, like sexual abuse or defilement. However, a child not going to school can also be at risk of further child protection abuses if this issue is not addressed. It is therefore important for us to learn to recognize the various forms of child rights violations and how not upholding these rights can lead to further harm to a child.

Allow for some responses or feedback before moving on to the next point.

For any issues listed in black, they are what we categorize as – Child Abuse Issues. Can you define what is child abuse? Can you give examples of child abuse?

Child abuse includes physical, emotional, or sexual mistreatment of a child, or the neglect of a child, in the context of a relationship of responsibility, trust of power, resulting in actual or potential harm to the child's physical and emotional health, survival and development.

There are four broad categories of child abuse:

- 1. Physical Abuse: any form of non-accidental injury which results from willful or neglectful failure to protect a child.*
- 2. Emotional Abuse: normally to be found in the relationship between a caregiver and a child, rather than a specific event or pattern of events. It occurs when a child's need for affection, approval, consistency and security are not met.*
- 3. Sexual Abuse: sexual abuse occurs when a child is used by another person for his or her gratification or sexual arousal, or for that of others.*
- 4. Neglect: neglect can be defined in terms of an omission, where a child's health, safety, development or welfare is being avoidably impaired by being deprived of food, clothing, warmth, hygiene, intellectual stimulation, supervision and safety, attachment to and affection from adults or medical care.*

Allow for some responses and examples of each of those categories before moving on to the next point.

For any issues listed in black they are what we categorize as – Circumstantial or Situational Child Protection Issues. Can you give some examples of this?

Circumstantial or situational issues refer to a particular situation that a child might be in that could lead to further child rights violations or various forms of child abuse. It is not the situation that is the abuse, but rather the risks that can develop due to the situation.

Ask participants if they can think of examples of situations that a child might be in that could cause further harm or right violations. Below is a list of examples of some circumstantial or situational child protection issues:

- A child living in an IDP/refugee camp
- A child living on the streets
- A child living in a single-headed household (or a child-headed household)
- A child separated from their parents
- A child who has escaped from a rebel group and is trying to reintegrate into the community
- A child entering into early marriage
- A child who has lost both his or her parents and is now an orphan

Each of the above situations describes a break in the protective environment for the child. It does not conclude that every child in these situations is enduring a child protection problem, however it recognizes the situation as a risk that could lead to further vulnerability in a child and therefore the situation should be addressed in a manner to minimize these possible risks. A child's circumstance or situation is not a child protection violation; rather it is what happens to a child within this circumstance/situation that either is a form of abuse or a violation against the child's rights.

Make sure you emphasize this paragraph and really make sure the participants understand what you mean, and ensure they can distinguish between the three categories.

- 01.05 ASSESSMENT FOR LEARNING (AFL):

Pick up on the assignment from the previous class and ask the RLOs about their child protection policies. Have them discuss the framework and the child protection issues and see if any of these areas would be relevant to be included in their policies. Perhaps they need more time to research, perhaps they need to revisit some of the concepts in session one and Module eight on Governance. Perhaps some of them need a one-on-one session. As the facilitator, use your judgement to take the best course of action, but encourage them to work on their policies to be as comprehensive as possible.

Session Three – Advocating for Child Protection Within Our Communities

Resources: Display the **PowerPoint** entitled “Module – Advocating for Child protection within our Communities to your participants. If you do not have a projector you can create print-outs or run the session verbally.

- 00.00 Discuss the objectives of the module with them (5 mins):

In this module you will learn what to do when you are faced with a child protection issue – how to formulate a community-based referral system

You will learn how to be sensitive to child protection issues and uphold confidentiality

You will also learn how to identify and take part in best practices for community-based child protection solutions

- 00.05 Display the first slide and introduce the first activity.

Now that we have learned about child protection, we must now look into what to do when actually faced with a child protection issue.

Divide the class into groups of four and have them discuss what to do in the case study below:

Mary is in primary school; she is very hardworking in school but can only go during certain times of the year. She is an orphan living with her Aunt and Uncle who have 7 other children. Mary has to work to help pay for food so she often is behind in school. Mary's aunty and Uncle have put pressure on Mary to get married so that she can earn them some dowry, Mary has been refusing and she has been beaten many times by her Uncle. You found this out from your sister who is a friend of Mary's.

Give the groups about five minutes each to discuss the case and what action to take before moving to the next slide.

Prompt the class to discuss the four elements in the table below:

Surveillance	Coordination	Response	Prevention
How did you find out	Who will inform you	How will you deal with the situation	How can you prevent this from happening again?

What will you do	How will you analyse the information you receive	Who will you contact for help? Who should intervene? Can it be handled by an individual or a professional?	Is your community aware of such issues and can they identify them as child protection issues?
Are you aware of similar cases	Who else in your community can help decide on an appropriate response	If the Aunty and Uncle apologize to Mary what will you do? If the Aunty and Uncle refuse to listen to you what will you do?	Is there a child protection awareness program in your community?

- 00.20 Display the next slide

The next slide is about how you and your RLO can standardise the steps to responding to child protection issues.

*How will you **Hear the Child Protection Issue?***

Who in your network will inform you? If most people in your community do not have mobile phones, how will you hear about a case? How will a reporter or a victim contact those who may be able to help them?

You need to establish a way that a matter can reach you such as through raising awareness that your RLO can be a 'safe haven' for an issue that is arising.

*You need to **Make a Decision on what Action to Take.***

Based on the issue raised, you must immediately decide if this situation is endangering and threatening one for the child involved. How quickly must you act? What must you do? What steps can speed up the response process? What steps slow it down? If the case is life threatening, whom do you contact? If the child is in immediate danger, call the law enforcing agencies like the police immediately.

*Then you need to **Analyse and assess information and Get Help***

If the child is not in imminent danger you must decide who, or which agencies and services, must be involved for investigation and assessment of the child's situation. Who must you contact for this support? If the case is not life threatening, how will you involve the relevant actors to assess how serious it is? Who must you contact to decide how to respond? When do you need to call a case review meeting? How do you do that? Who must you contact to respond to various issues? How quickly will they provide support?

You will need to sit down as a RLO and look at your community partners. Seek help from an organisation or a group that is conversant in matters to do with child protection. Just because you are doing this module it does not guarantee that you will be able to handle a child protection issue. The best thing to do in such a case is to act as the bridge that is necessary to help that child by referring them to a body that is better capable of handling their case.

A referral system can be defined as a comprehensive institutional framework that connects various entities with well-defined network of organisations that ensure the protection and assistance of survivors, to aid in their full recovery and empowerment, the prevention of child abuse, neglect, and violence and the prosecution of perpetrators. Referral mechanisms work on the basis of efficient lines of communication and establish clearly outlined referral pathways and procedures, with clear and simple sequential steps.

Then you need to **Follow Up**.

Every case needs some form of a follow up system. You need to monitor and see whether the child was assisted and indeed that the situation is no longer a protection issue. Come up with a mechanism in the referral system that allows for a follow up.

Make sure everything and at every stage is recorded carefully. Be sure to still maintain high levels of confidentiality as you do so but be sure to also document the report and actions taken.

Confidentiality refers to both oral and written information, data, records, and circumstances that are kept private unless there is an understood agreement or an informed consent that the information can be shared.

The key to understanding the depth of the term confidentiality is that it is an essential part of a trust building process. To be successful as a RLO working towards child protection you will need to gain the trust of those you interact with. Due to the nature of your work, you will come into contact and sometimes will be identifying and reporting child protection cases. As a result, you will often learn intimate personal details from families and children within the community. Without first establishing trust, this information will never be shared with you. Therefore, trust is the most important building block in confidentiality.

- 00.35 Display the next slide and introduce the next activity

Ask the class what is meant by the word community sensitisation?

Sensitisation is a term often used by NGOs and community social workers to educate populations about important information often focusing on health, rights, and/or legal issues to create a change in the community to better the development and welfare of the community. What are some of the commonly used means of sensitisation in your community?

Allow for some responses before moving on.

Commonly used methods include: public meetings, radio announcements, bulk SMS messages, TV, posters etc.

Ask the class:

When it comes to child protection, what do you think would be the most appropriate way of sensitising your community?

Divide the class into groups of four and have them deeply look into what they can do within their communities to raise awareness on child protection. Give the class five minutes to work on a sensitisation program and then have them present to the class.

Allow for some responses and discussions after each presentation and some positive criticism on whether it is actually an appropriate response before moving on to the next group. Allow each group about two to three minutes to present their plans.

When all the groups are done, be sure to emphasize that they must really scrutinize why some methods are stronger than others when it comes to child protection and they must always aim with their response to change the behaviour of their community.

- 01.00 ASSESSMENT FOR LEARNING (AFL):

As the RLOs to formulate a community sensitisation program, they can use what they discussed in class or work in collaboration with other members to make a strong initiative. Encourage the group to collaborate but ensure they all commit to doing the exercise in their communities.

References:

The content in this module has been modified from Save the Children's series of Child Protection Training Manuals and Child Fund International's Strengthening Community Based Protection Referral Pathways but adapted for use in the context of Community Based Organisations.

Session Four – Creating Child Protection Policies and Procedures in Your RLO (Optional)

In this session the participants will get to work on their RLOs policies and procedural documents in a more academic way. It is purely for the RLOs to work on creating what they do not have or enhancing what is already existing.

Documents to be developed under this session:

Child protection policy

Open Door Reporting Policy

Referral System and Referral Pathways

Standard Operating Procedures (Around Child Protection Issues)

RLO Code of Conduct

Confidentiality Agreement

Consent Form

Changelog

Version 2021.1

- Second version developed the next 9 modules:
 - Financial Accounting and Management
 - Fraud
 - Proposal Writing for Community Projects
 - Managing Community Projects
 - Gender and Inclusivity in Our Communities
 - Building and Sustaining Partnerships
 - Risk Management
 - Safeguarding
 - Child Protection (Bonus Module)

Version 2019.1

- First version developed the first eight modules:
 - Understanding and Describing your Community
 - Analysing Community Problems Together
 - Forming and Communicating a Vision
 - Strategic Planning
 - Resource Mapping
 - Leadership
 - Governance
 - Proving Impact

Publishing Information

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