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GUIDE FOR
HANDICAP INTERNATIONAL STAFF

Capacity development and partnership

*Overview
and
Methodology*



**HANDICAP
INTERNATIONAL**

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Acronyms

AoP	Association of Professionals
CORAOC	Coordination Régionale de l’Afrique de l’Ouest et du Centre (HI)
CBR	Community Based Rehabilitation
DPO	Disabled Peoples’ Association
EU	European Union
F3E	Fonds pour la promotion des Etudes préalables, Etudes transversales et Evaluations
GRET	Association de solidarité et de coopération internationale
HI	Handicap International
HR	Human Resources
INGO	International Non-Governmental Organisation
INTRAC	International NGO Training and Research Centre
MERO	Middle East Regional Office (HI)
NGO	Non-Governmental Organisation
OA	Organisational (self-) Assessment
PwD	People with Disabilities
PME	Programming, Monitoring, Evaluation
SIDA	Swedish International Development Co-operation Agency
SHARE-SEE	Self-Help & Advocacy for Rights and Equal Opportunities, South-East-Europe
SongES	Soutien aux ONG à l’Est et au Sud
ToR	Terms of Reference

Why a glossary? In the field of “capacity development”, each person and organisation uses their own terminology: even concerning the core terms there is little agreement on a standard definition. For this reason, this document offers a definition of the different terms used internally.

Accompaniment, counselling, coaching / *Accompagnement*:

In an indirect intervention, HI accompanies a local partner in the implementation of his activities with a “support/advice” approach.

Autonomy - Empowerment (see also “sustainability”) / *Autonomie - autonomisation (voir aussi: “pérennité”)*:

Independence and autonomy of the organisation in terms of decision making and management in general.

Direct action / *Intervention directe*:

Handicap International teams working in the field without a local partner.

Evaluation / *Evaluation*:

A grading of results but which is less frequently used than periodic monitoring.

Indicator / *Indicateur*:

A range of criteria that have been mutually agreed by all the stakeholders or imposed by the donor.

Indirect action / *Intervention indirecte*:

Handicap International teams working in the field with a local partner.

Monitoring / *Suivi*:

Continuous observation of the implementation of activities or a project with the aim of regularly verifying what is happening, how and why, and comparing it with the original plans. Monitoring is more frequently implemented than evaluation.

Participation (see also “ownership”) / *Participation (voir aussi “ownership”)*

Taking part in an activity or project; the degree of participation is variable.

Partner / *Partenaire*:

Organisation cooperating in a specific shared activity.

Partnership / *Partenariat*:

Co-operation between two structures.

(Policy) position / Positionnement:

The operational role played by HI for each objective with respect to a third party (eg project owner / donor / technical adviser / ministry / co-funder / local partner / facilitator / village group etc). The position is defined in order to clarify HI's degree of responsibility in the results to be achieved¹.

Process / Processus:

Corresponds to the portfolio of methods, means and ways of operating which combine to perform an action. In the broad sense, designates "how" in relation to the content, the "what".²

Organisation / Organisation:

Structure (private, public, religious or other) with a certain stability which has recognised legitimacy and which plays a social role.

Organisational assessment / Diagnostic organisationnel:

Has two roles: it helps to better understand the identity of an organisation and it is the starting point for the implementation of any "strengthening" activity. The intensity and the depth of the diagnostic can vary.

Organisational development / Développement organisationnel:

Specific strengthening which targets an organisation or a structure. Its aim is the autonomy and ownership of the organisation in the long term.

Organisational learning / Apprentissage organisationnel:

The process of capitalising (learning based on experience) and valorisation by transforming what has been learnt from experiences (a "learning organisation")³.

Ownership / Ownership:

Capacity of an organisation to make decisions and manage itself in an autonomous and independent manner and/or the appropriation of a project by an organisation.

Sustainability⁴ (see also "autonomy") / Pérennité (voir aussi: "autonomie"):

Maintenance over time of resources (human, financial, material) needed for the continuation of the activity, after the end of the support provided by HI.

Stakeholder, agent / Acteur:

Each person, organisation or structure that has a role to play in a specific field. Handicap International is an international agent.

Strategy / Stratégie:

Corresponds, in this context, to the idea that the RPs and DPs have of "how" the programme objectives are going to be achieved. According to Pierre Massé, "defining a strategy means establishing a list of all the situations with which we could be confronted and choosing from the outset the decision we would make if faced with each one".⁵

Ultimate goal, purpose / Finalité:

The overall objective to be reached.

1. Handicap International: Guide pour l'élaboration de la Stratégie Pluriannuelle d'un Programme, 2006

2. ibidem

3. Mia Sorgenfrei / INTRAC, Praxis Paper 7: Building Analytical and Adaptive Capacities for Organisational Effectiveness. Oxford/UK, 2005

4. Handicap International / Groupe de réflexion pérennité, mars 2005

5. Handicap International: Guide pour l'élaboration de la Stratégie Pluriannuelle d'un Programme, 2006

This document is based on the experiences and lessons learned by Handicap International teams and partner organisations in the field in terms of “capacity development” and “partnership” between 2001 and 2007, following the creation of the “partnership” tools. It is part of the 2010 strategy and Handicap International’s vision, which is based on the “rights of people in a disabling situation”. It is also the result of reading key documents and of communication between professionals between 2001 and 2007.

Discussions concerning “partnership” have accompanied all of Handicap International’s actions since work began in 1982. But it was not until 1998 that the debate took on a more structured form with a seminar and the creation of a partnership think-tank. Three years of analysis and exchange of practices have demonstrated the difficulties and sensitivity of this subject. Finally, the focus shifted to a more pragmatic route. In the “Partnership Guide⁶”, the group proposes tools for analysing current and past situations to improve understanding and strategic planning in the future. The spirit of this approach can be summarised by the motto “Act consciously”.

ABOUT THIS GUIDE

Several factors make capacity development problematical, but certain elements and criteria can make the work easier and influence its degree of success whilst others may lead to failure. This guide is aimed at Handicap International’s teams in the field and at head office as well as its partners: It facilitates the analysis of their “capacity development” activities in order to encourage them to position themselves⁷, define a strategy and identify realistic prospects, thus improving mutual capacity development.

The document has three parts:

The first part outlines Handicap International’s principles and benchmarks concerning capacity development for local stakeholders via its Programme Department and Technical Units. It is divided into 5 chapters

Chapter 1 explains why capacity development for local stakeholders is an integral part of the projects of Handicap International.

Chapter 2 analyses the context of Handicap International’s work taking place in a complex environment with numerous stakeholders, specific dynamics and sometimes differing internal and external requirements.

Chapter 3 presents elements for a better definition of “capacity development”; the difference between capacity development and partnership; the two forms of capacity deve-

6. Handicap International: Partnership: A better understanding of partnership for better collaboration. Lyon/France, 2002

7. For ethical considerations and partnership policies related to the values of Handicap International, the risks concerning the image, etc., please see: Nathalie Herlemont-Zoritchak, Alice Jardin: “Le partenariat avec les entreprises et les ONG: guide pour la réflexion éthique et l’aide à la décision”, Internal Document, updated on March 2008

lopment provided by Handicap International and the distinction between organisational development and the strengthening of technical operationality.

Chapter 4 defines organisational development and the accompanying process. It explains what an organisation is and presents organisational development in Handicap International's work.

Chapter 5 covers capacity development in practice, and draws up a strategy of action for Handicap International. This chapter also outlines capacity development planning with the partners concerned, its implementation and the monitoring-evaluation system.

The second part of this document is a practical guide made up of four theme-based chapters containing questions relating to "capacity development":

- 1.Organisational (self-) assessment
- 2.Stakeholder analysis
- 3.Strategy
- 4.Negotiation

The tools proposed in the four theme-based chapters can be found in the third part of the document. This part also includes examples of Handicap International's work and the bibliography.

The definitions and explanations presented in this document are based on a democratic system and social market economy. They are the result of an interpretation of Handicap International's experiences.

Principles and Benchmarks

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1. Why Is Capacity Development Necessary?

In theory, Handicap International would prefer to work with strong partners. But as local organisations are often weak or non-existent, most of its projects include a “capacity development” component for the local stakeholder. Capacity development is an integral element of the partnership which is central to Handicap International’s action⁸.

Capacity development for a local stakeholder targets two levels: the partner organisation as an active stakeholder and direct beneficiary and people with disabilities as final beneficiaries. As a result, Handicap International finds itself generally in a collaboration which requires capacity development with two different objectives (see 3.4): the strengthening and the empowerment of the local partner to make results of an intervention sustainable in the long term and, at the same time, improvement of the technical operability, to provide higher quality activities in favour of final beneficiaries. As the two objectives require a different approach and process, the definition of priorities and how they are expected to change becomes vital for successful capacity development.

8. Handicap International: Partnership: A better understanding of partnership for better collaboration. Lyon/France, 2002, p.6; Handicap International: Reference Handbook. Lyon/France, 2005, p.45

2. The context

2.1 ACTING IN A COMPLEX ENVIRONMENT

As an international stakeholder, Handicap International is part of a complex system of stakeholders with specific dynamics and different requirements. These requirements follow their own logic and frequently contradict one another: the concerns of a private or public donor in Europe do not necessarily concur with the stakes of a partner in the field, with the priorities of final beneficiaries or with the preferences of a governmental representative. The full extent of each stakeholder's issues is unknown prior to the project: these issues and the existing priorities only emerge through contact and negotiation with other stakeholders during the implementation phase, creating alliances as well as conflict. It is impossible to anticipate all eventualities from the outset and control all outcomes; it is more a matter of experimentation. This "empirical discovery" can be quite unsettling for the stakeholders concerned. Furthermore, development professionals operating within a system of stakeholders often face a dilemma forcing them to choose the least harmful mode of intervention. So in order to ensure professionalism, stakeholders need to act consciously at all times, be adaptable and operate according to the principle of "optimal ignorance" allowing them to make progress in spite of everything. This approach requires a clear vision (definition of priorities and how they are expected to change) and a flexible and tailored process for any project.

Unfortunately, existing tools are not yet able to handle the complexity of the context. Instead they follow a linear logic of "cause-effect" such as in the "problem tree" methodology and logical framework matrix. For several years, certain organisations, universities and companies have been conducting research on this subject. Among them are the Swedish Development Co-operation (SIDA), which proposes a "logical framework with an appreciative approach"⁹; INTRAC/UK on the methodology of flexible systems¹⁰ and "the learning organisation"¹¹; and F. Vester/Germany¹² on "networked thinking" linked to "fuzzy logic".

2.2 DIRECT AND INDIRECT ACTION

Handicap International's actions focus on the improvement of living conditions of final beneficiaries: "The association is therefore involved in work with people in disabling situations, their families, local authorities and associations, public institutions, professionals from the health and social sector and the general public, at the same time ensuring that all its activities have a significant direct or indirect impact on people with disabilities"¹³

Within the scope of its activities (development and emergency), Handicap International may take direct action or - via one or several local partners - indirect action. In most cases teams in the

9. SIDA, Logical Framework Approach – with an appreciative approach. Swède, 2006

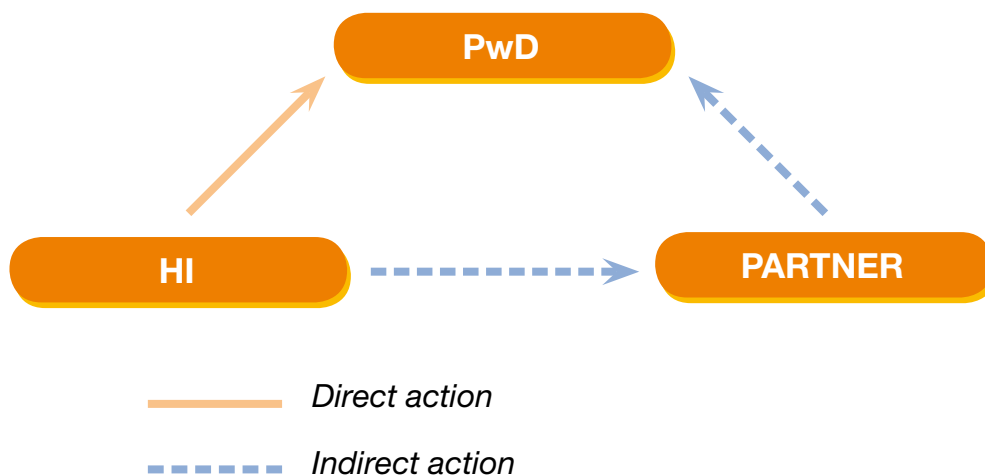
10. INTRAC, Praxis Paper 7: Building Analytical and Adaptive Capacities for Organisational Effectiveness. Oxford/UK, 2005, p. 30-32

11. INTRAC, Praxis Paper 3: L'apprentissage organisationnel dans les ONG: Créer le motif, les moyens et l'occasion, March 2005

12. Frederic Vester, Die Kunst, vernetzt zu denken / Der neue Bericht an den Club of Rome, 5. Ausgabe 2005 ('The Art of Networked Thinking - Ideas and Tools for a new way of dealing with complexity'), 'Report to the Club of Rome'.

13. Handicap International: Update of Handicap International's range of activity. Lyon / France, October 2003, page 6

field work with a local partner. This indirect action is more complex than direct action as it adds a third stakeholder and two additional relationships to the system: Handicap International (HI), the partner organisation, the people with disabilities (PwD) and the three relationships between them. Where indirect action is concerned, the local partner is the direct target of Handicap International's activities and the people with disabilities are its final beneficiaries.



IN A NUTSHELL...

Handicap International's representatives operate in a complex and restrictive environment and are also subject to different internal requirements. Furthermore, in most cases Handicap International works with a local organisation as a partner. Consequently, the action becomes even more complex because there are two levels of activity: final beneficiaries (people with disabilities) and the partner organisation. The complexity stemming from these internal and external challenges requires Handicap International representatives to act consciously with a clear vision and define priorities and how they are expected to change, within a flexible and tailored framework.

3. Definition Elements

There are several different definitions of capacity development / capacity building¹⁴. Coordination Sud, which brings together international solidarity non-governmental organisations in France, defines capacity building as follows: “Building an organisation’s capacities is a conscious and global act, the purpose of which is to improve the efficiency and sustainability of the organisation within a given context and mission.”¹⁵ As this definition is limited to capacity building / capacity development for an organisation, this chapter proposes some additional elements.

3.1 PARTNERSHIP AND CAPACITY DEVELOPMENT

“Partnership with local and/or international organisations is fundamental to the implementation of Handicap International’s projects.”¹⁶ Working in a partnership is thus a choice for Handicap International to ensure sustainable benefits for the local population.

The distinction between partnership and capacity development is as follows: a partnership (= any type of co-operation with a partner) can exist without “partner capacity development”. However, “partner capacity development” cannot exist without a partnership. The notion of “partnership” is thus more general than the notion of “capacity development” and concerns nearly all Handicap International’s programmes and projects¹⁷. The notion of capacity development is restricted to specific support, elements of which can be found in most of Handicap International’s projects.

3.2 WHO IS CONCERNED?

In terms of capacity development Handicap International works on the following levels:

- movements;
- communities;
- structures, institutions or organisations (governmental and non-governmental);
- groups, teams or departments;
- individuals: people with disabilities (active members of an organisation of people with disabilities), health care professionals, social workers, etc.

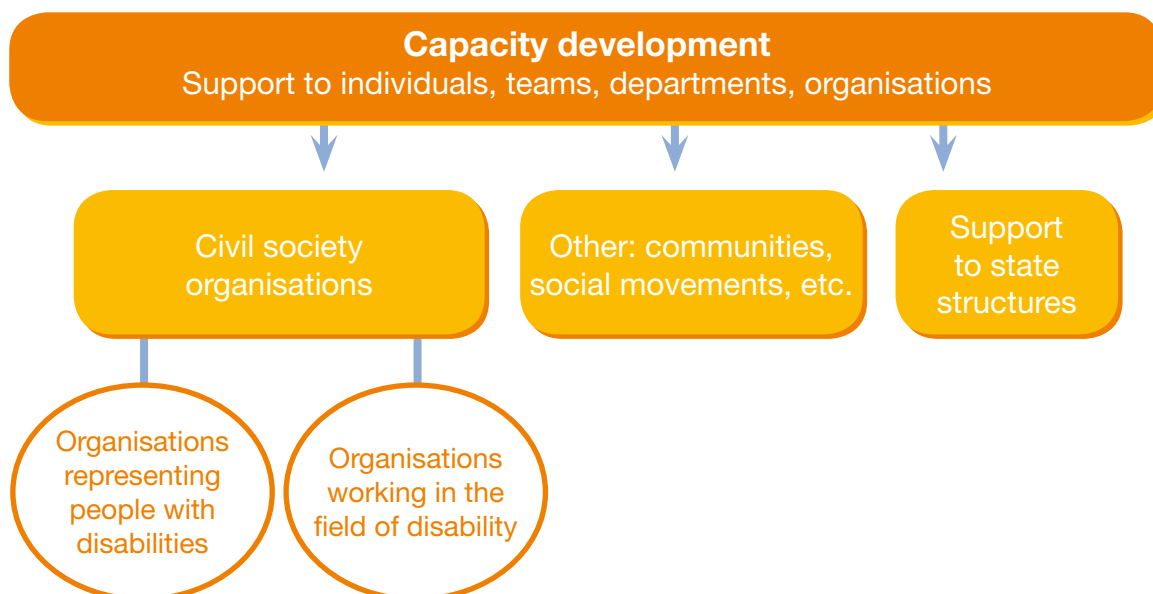
14. Deborah Eade/OXFAM, *Capacity-Building: An Approach to People Centred Development*, Oxford 1997; European Commission, DG Development, *Guidelines on Principles and Good Practices for the Participation of Non-State Actors in the development dialogues and consultations*, November 2004; gtz, *Capacity Development for Sustainable Development*, policy paper No.1, march 2003; Rick James/INTRAC: *Power and Partnership ?* UK 2001 p. 2ff.; SIDA, *Sida’s policy for capacity development as a Strategic Question in Development Co-operation*, Nov. 2000, p. 21ff.; UNDP, *Unleashing Capacities to Achieve the MDGs: A review of NHDRs on MDGs*, Selim Jahan, May 2005, p. 3

15. Coordination Sud / Florence Lécluse: *Le renforcement de capacités des OSI françaises*. Paris / France, 2004, page 1.

16. Handicap International: *Update of Handicap International’s range of activity*. Lyon / France, October 2003, page 9

17. The elements discussed by Handicap International teams regarding partnership are included in the guide “Partnership: A better understanding of partnership for better collaboration”. Lyon/ France, November 2002.

PARTNERSHIP



These targets overlap: the training of an individual or team for example in advocacy also builds the capacities of an organisation supporting a movement or community.

3.3 TWO FORMS OF CAPACITY DEVELOPMENT

The capacity development carried out by Handicap International takes two forms:

- Technical co-operation: training, support-consulting, skills transfer, expertise missions, learning-by-doing, research/implementation/lessons learned, publishing, evaluation, audit, lobbying, secondment of personnel, exchange (North-South, South-South), networking, setting up links, etc.
- Financial co-operation: providing resources such as financial support to the structure (donation, subsidy, credit, etc.), equipment donation, covering of certain costs (human resources, trips, events, training, etc.).

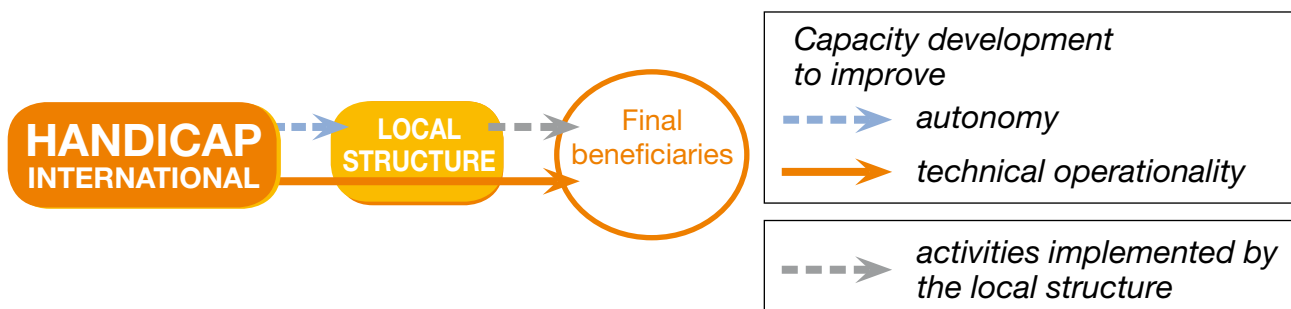
Handicap International often carries out both forms of co-operation with the same partner. There is of course a potential conflict of interest (see chapters 5.3.1 and 5.3.2): technical advice is based on open communication concerning strengths and weaknesses, but the obligations linked to controlling the use of funds weighs heavily on this open communication.

3.4 EMPOWERMENT AND TECHNICAL OPERATIONALITY

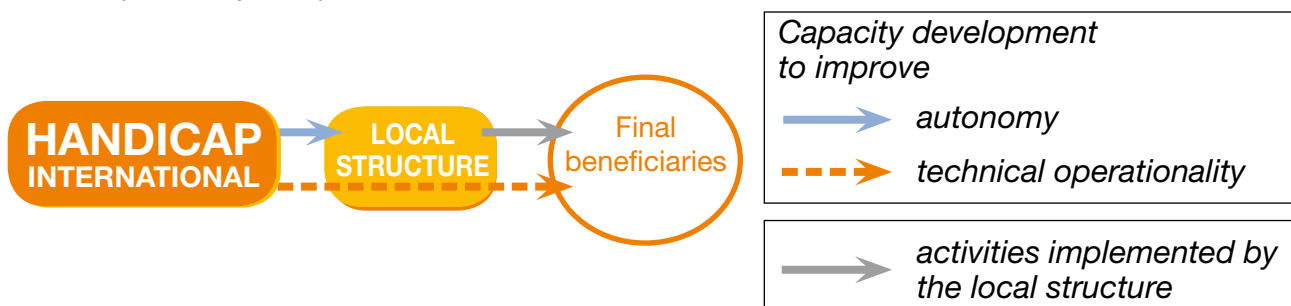
As local partners are often weak, most Handicap International projects include a “capacity development” component. There are two recurring elements of capacity development with two different objectives: technical operability and partner empowerment¹⁸. So, within the same project, Handicap International teams frequently find themselves divided between capacity development to improve technical operability (such as orthopaedics, advocacy, etc.) and capacity development that aims to empower an organisation and its intrinsic capacities.

18. Handicap International, “Partnership: A better understanding of partnership for better collaboration”, Lyon, November 2002, pages 36-39.

In the first case, capacity development aids technical operationality in favour of final beneficiaries, and has efficiency, quantity and quality objectives. In this case, the partner's organisation is only a means to achieve these objectives.



In the second case, however, capacity development targets the partner organisation itself to contribute to the structure's empowerment and its autonomy and thus the sustainability of activities benefiting people with disabilities. In an ideal scenario it is an organisational development project which is a project in its own right. It is related to operationality but it also has its own logic and dynamics (see chapter 4).



So the capacity development component within the same project has a two-fold effect: on people with disabilities and on the partner organisation. If these targets and objectives are not properly defined and prioritised, considerable misunderstandings and confusion may arise among the stakeholders concerned. Each target and objective requires different, sometimes conflicting, approaches and activities: the restructuring of a health department or the change of director in a local NGO as a result of an empowerment activity can take all the staff's energy and attention, causing them to neglect their day-to-day activities, in the worst case to the disadvantage of the final beneficiaries.

IN A NUTSHELL...

The notion of “partnership” concerns nearly all Handicap International’s programmes and projects, whereas the notion of capacity development is restricted to specific support, elements of which can be found in most projects. Handicap International’s capacity development includes individuals, groups, organisations, communities and movements. The following distinction between the two objectives of capacity development is important: is capacity development intended to improve technical operationality for the benefit of people with disabilities, or does it aim to empower a local stakeholder by making the organisation more autonomous? As the objectives require a different approach and process, a clear distinction between and prioritising of these objectives prevents misunderstandings and confusion.

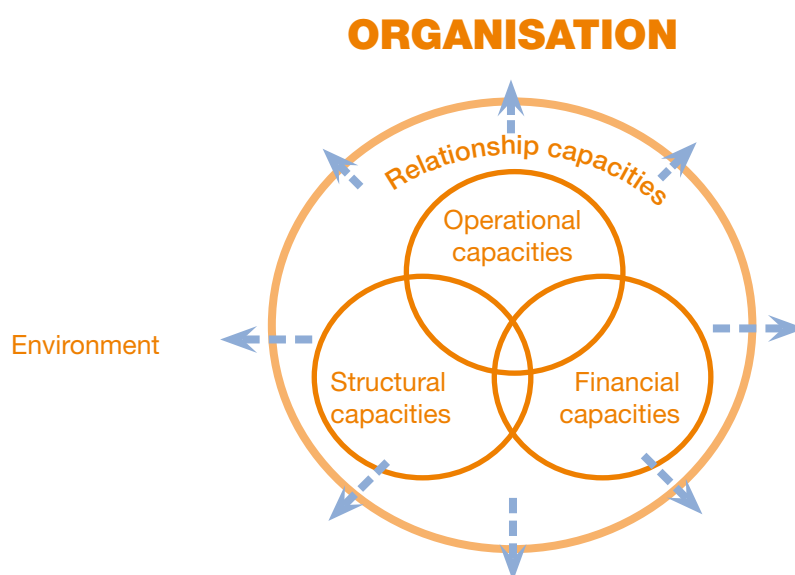
4. Organisational Development

Organisational development is the specific capacity development of an organisation or structure. Its aim is long-term autonomy and independence for the organisation (“empowerment”), either at all possible levels (overall sustainability) or limited to a few key elements (partial sustainability)¹⁹ such as independence at the operational level (see paragraph below).

4.1 WHAT IS AN ORGANISATION?

Several models exist to explain the general functioning of an organisation²⁰. Within its projects, Handicap International fulfils the roles of “technical expert”, “facilitator” and “donor” (see 5.3.1) and strengthens the four most important elements of an organisation:

- operational capacities, which concern the organisation’s performance
- structural capacities, relating to the organisation’s structure and functioning
- financial capacities, keeping the organisation running
- relationship capacities, which combine the previous three elements and ensure the internal cohesion of the team, institutional anchoring and acceptance by the local community.



The four elements overlap and may be difficult to distinguish in the day-to-day activities of a capacity development project. An example is the overlapping of operational and financial elements: topping-up a salary or paying bonuses provides financial support to an organisation

19. Groupe Pérennité (AOI, ASI, CIDR, HI, MdM): Guide des bonnes pratiques pour conduire la pérennisation d’une innovation en santé. Paris / France, 2005

20. Rick James/INTRAC, Demystifying Organisation Development, UK 1998, page 3; Rick James/INTRAC, Power and Partnership ? UK 2001, p.5; World Neighbours: From the Roots Up, USA 2001, page 17 ; R. Sülzer / gtz, Organisieren und Organisationen verstehen, BRD 1996, p. 38ff.

while ensuring efficient operation. Logical framework training is another example, as it involves capacity development at operational and structural level. The logical framework defines activities and guides their performance but it is also an instrument that helps an organisation to organise and structure itself internally.

An organisation's operational capacities always require specific attention: support is focused on day-to-day work, the activities performed and their quality and efficiency (e.g. orthopaedics, lobbying and advocacy, etc.). However, capacity development at the structural, financial and relationship level varies little: an organisation is defined by its activities, but in general its structures and systems, internal and external relationships, financial and material resources, management style and leadership follow their own logic and require specific support from an administration, management, IT or other professional.

Distinguishing these four elements and levels from each other is important as each element may have different, even contradictory implications, especially where an empowerment process aiming at autonomy is concerned. Carrying out and making any desired changes to these elements and their expected results thus require professional planning, monitoring and evaluation.

4.2 DEFINITION

Organisational development is a project in its own right and consists of a specific capacity-development exercise. It starts with an evaluation process in the form of an organisational (self-) assessment (see 5.2.1) and then focuses on developing the capacities of an organisation, aiming for autonomy and independence via empowerment. The process is managed by the organisation itself (notion of "ownership") and preferably facilitated by a consultant. Organisational development is linked to the organisation's operability, but at the same time follows its own logic and dynamics²¹ within a learning process. To succeed, this learning process must then be stimulated²². In theory, organisational development concerns only the organisation and its consultant, with the consultant only working at the organisation's request focusing on its structure and functioning, and with the aim of initiating change internally. The process chosen by the consultant may vary, but the basic elements are recurrent: he/she works with the organisation on a detailed analysis (organisational (self-) assessment) of existing capacities. This identifies strengths and weaknesses so that the organisation can attenuate its weaknesses and capitalise on its strengths. Being aware of its internal challenges will make it easier for the organisation to change and adapt to a shifting context²³. The agreement of the majority of people representing the management is key to efficient organisational development, as this type of work always creates internal alliances and conflict which require appropriate leadership and management. To ensure the success of the change and of the learning process, the organisation (and the consultant) must find a balance between consensus and process control²⁴.

Ideally, organisational development is a project in itself that should be a continuous ongoing learning process, but this is rare in reality. This process may last several years and it requires concrete planning with well-defined shared roles and responsibilities and a budget. The specific dynamics of such an organisational development process require a fairly flexible and modifiable monitoring and evaluation system to better deal with the unexpected (see 5.4).

21. F3E / GRET: Le processus d'autonomisation: Assurer la continuité d'une action. Paris / France, September 2002, p. 43ff

22. Bruce Britton / INTRAC, Praxis Paper 3: L'apprentissage organisationnel dans les ONG: Créer le motif, les moyens et l'occasion. Oxford / UK, 2005

23. Mia Sorgenfrei / INTRAC, Praxis Paper 7: Building Analytical and Adaptive Capacities for Organisational Effectiveness. Oxford/UK, 2005

24. INTRAC: Power and Partnership, Oxford 2001, p.137

4.3 HANDICAP INTERNATIONAL'S WORKING CONTEXT

Where its own internal structure is concerned, Handicap International practises organisational (self-) assessment and development at its head office and in the sections, but it is less common and systematic in its offices in the field. Handicap International's external commitment in an organisational development process implies a high level of interdependence with another stakeholder. In this context, it usually involves a commitment with a local stakeholder such as a governmental department, an association or a local NGO.

For Handicap International, organisational (self-) assessment and the subsequent organisational development process are indispensable in three cases:

- When there is internal confusion concerning Handicap International's national profile and identity in the country in question;
- When Handicap International creates a local organisation (within specific conditions and contexts);
- When planned or current co-operation risks partially merging the identities of Handicap International and a partner organisation.

4.3.1 Within Handicap International

Handicap International is an international stakeholder that operates worldwide via projects and programmes. Its identity and profile are defined by its representatives, available skills, activities in progress and past projects carried out in each country concerned. An organisational development process with an assessment becomes indispensable when there is internal confusion concerning this identity in the field. Without a clear identity, a stakeholder analysis, the drawing up of a strategy and negotiation with a partner are not feasible: An organisational (self-) assessment followed by a learning process and organisational development executed by the Handicap International team in the field therefore seems essential.

4.3.1 Creation of a local organisation

"(...) in the absence, or temporary lack of local response capacity, Handicap International may take on a substitution role, carrying out actions directly in order to alleviate situations of vulnerability as rapidly as possible. However, this substitution should always constitute a precursor to or be concomitant with support to emerging local dynamics."²⁵

When there is no appropriate partner structure to carry out shared activities, Handicap International facilitates and supports the creation of local structures and then promotes their autonomy with an empowerment approach. This requires a commitment lasting several years, sometimes without the prospect of withdrawal in the near future. In this case, an organisational (self-) assessment and a stakeholder analysis are necessary at the beginning of the organisational development process for Handicap International and the representatives of the future organisation (often former Handicap International staff). They help to improve the knowledge of current potential and make the decision easier for all the people concerned relating to obligations concerning the creation of a local NGO and its empowerment process. But the potential for failure even in this case is still quite high due to varying motivations, objectives and priorities: While Handicap International aims to set up an associative, non-governmental structure that benefits the target groups, local NGO representatives often see it more as an "income-generating activity" offering services. The result is often a mixture of association and private-sector elements. This mixture can mean that the process is better adapted to local circumstances but could also threaten the viability of these creations.

25. Handicap International: Update of Handicap International's range of activity. Lyon / France, 2003, p.12

4.3.3 Confused identity²⁶

A joint project by two or more organisations can create considerable interdependencies, in which the boundary between complementing and substitution becomes blurred. Handicap International's intense co-operation with a partner organisation may therefore result in confusing the identity of the two structures. An identity that is not clearly distinguishable runs the risk of generating ambivalence and insecurity inside and outside each organisation. In this case, the aim of organisational development is to separate the identities to achieve better subsequent collaboration. Handicap International and the partner's representatives must carry out an organisational (self-) assessment separately to then fuel the negotiation between the two organisations. This helps to achieve a realistic assessment of mutual expectations and a better understanding of its own and the partner's capacities and shortcomings.

4.4 HANDICAP INTERNATIONAL'S SKILLS

An organisational development process is carried out within the organisation, with the aim of achieving a better understanding of its own identity and improving its positioning in an ever-changing environment. It would always seem that an external party (consultant) is essential to guide this process, thus ensuring neutrality. Unfortunately, it is often difficult to find or pay an external consultant in the field and the Handicap International team is sometimes forced to take on the role of organisational consultant. It is possible for Handicap International to act as a "temporary facilitator" if the scope remains restricted, and if this guidance is planned and integrated into the overall project as an additional activity. However, a long-term project of a certain size generally requires a professional organisational development consultant as the Handicap International team (even if it has the skills) will remain a stakeholder with its own specific challenges (see Chapter 2) which restricts its role in an organisational development process. It cannot be completely objective²⁷. Quite the opposite in fact: the Handicap International team can also make the power relationship more uneven if it insists, for example, on expected results instead of negotiating with local partners and modifying the approach accordingly. The team once again faces the dilemma between a direct improvement of living conditions of people with disabilities and a long term strategy in favour of an empowerment of the partner organisation (see Chapter 3.4).

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In general, Handicap International builds the capacities of local stakeholders on four levels: operational, structural, financial and relationships. Organisational development is a specific type of capacity development focusing on the empowerment and autonomy of the organisation concerned. Handicap International becomes involved in organisational development in three cases: internally, during the creation of a local organisation and when its identity is confused with that of a partner organisation. As the Handicap International team cannot be entirely objective due to its specific objectives and challenges relating to the partner's organisation, it is essential to have an external consultant to support and facilitate the organisational development process.

26. Handicap International: "Partnership: A better understanding of partnership for better collaboration". Lyon / France, Novembre 2002, pages 52f.

27. Georges Brochier, Développement organisationnel et institutionnel. Lyon / France, 2000, pages 25 and 29/30 ; Handicap International / Groupe de Travail Développement Local: Qu'est-ce que le développement local ? Lyon / France, 2001

5. Capacity Development in Practice

The four elements to consider for capacity development are:

- strategy
- planning
- implementation
- monitoring/evaluation

If, in theory, these elements are identical to those of other projects and the project cycle logic which is described in other documents²⁸, the difference lies in the two purposes of capacity development (see 3.4): The following table summarizes these differences, comparing a pure organisational development project and an orthopaedics project with a capacity development component:

	Organisational Development (OD)	Capacity development within an orthopaedics project
Priorities differ	The aim of OD is the empowerment and autonomy of the organisation concerned	Priority of an orthopaedics project is the efficiency of orthopaedic services provided
The type of analyses to be carried out changes	OD takes the organisational (self-) assessment as a point of departure	An orthopaedics project is based on an (often external) analysis of services provided
The degree of participation of local partners varies considerably	The OD is impossible without this participation	The high quality of an orthopaedics project is attainable even with a low level of participation from the local partner
Project dynamics differ	The results of OD are often unknown and cannot be planned	An orthopaedics project has “expected results” from the outset

Planning and drawing up a strategy provide a basis for the implementation, monitoring and evaluation of new capacity development projects.

For projects in progress, drawing up a strategy and carrying out planning also provides a framework within which to carry out an in-depth analysis in addition to existing information. This helps to improve subsequent implementation, monitoring and evaluation. Ideally, the process with these four elements would only serve as a preliminary test phase for partners during which mutual knowledge would improve and trust would increase - or not, as the case may be. This initial stage is the best basis on which to decide whether or not it is appropriate to foster more intense co-operation with larger projects in the future. It is thus a case of “learning on the job” with an “action - evaluation - action” approach: progress is made in small loops.

28. Handicap International / methodology resource group: Planning Logic. Lyon / France, April 2004; Handicap International: Reference Handbook. Lyon / France, 2005, pages 77-83

5.1 THE STRATEGY

Handicap International's position in any stakeholder's system first means drawing up an internal strategy, if necessary with contributions from resource persons or other organisations. These external people and organisations do not normally participate fully in this stage as it is primarily an internal process involving the decisions and stakes of this particular stakeholder. Drawing up the strategy internally requires thereupon clear external communication.

Capacity development falls within the general scope of Handicap International's programme strategy²⁹. Drawing up a specific "capacity development" strategy or modifying an existing one should improve identity awareness within the organisation and further the analysis of external stakeholders. It is based on the following elements:

- ▶ **The objective:** What are we doing/what do we want to do? What is the purpose of the operation: improved operationality or empowerment? What priority when? Why? etc.
- ▶ **Stakeholder analysis:** analysis of the situation and context
 - Handicap International's national identity and profile: Who are we in terms of being an international stakeholder in local life? What are the Handicap International team's existing skills? etc.
 - The identity of external stakeholders: Who are the other stakeholders? What do they do? What do they want? etc.
- ▶ **Interpretation and summarising of results:** What is our position in this context or field? Who do we work with? Why/why not? etc.
- ▶ **Changes:** what changes are desired / undesired? What are the indicators for these changes? etc.

In reality, these elements overlap and there is no exact order, particularly where the first three elements are concerned.

5.1.1 The objective: why capacity development?

The aim of developing the capacities of a local stakeholder can be to improve its operationality and technical efficiency or for empowerment (see 3.4). So, to summarise the situation: capacity development relating to the operational/technical project is aimed at the final beneficiaries and strives for efficiency, whereas organisational development targets a partner organisation and aims to achieve sustainability. On a day-to-day basis these two objectives are difficult to achieve at the same time as there is considerable tension between the two. For example the restructuring of an organisation may completely occupy its representatives and therefore influence the quality of services provided - organisational development leads to deterioration in operational and technical performance.

A project combining the two types of capacity development needs to find a happy medium. One possibility is to separate them chronologically and plan an evolution during different phases. It is also possible to allocate responsibilities to different people or external organisations to avoid confusing these two objectives and mixing up roles (see 5.3.1 and 4.4). Another possibility is to manage the two processes at the same time, with clear objectives and priorities, all part of the same strategy.

29. Handicap International: Dossier préparatoire à l'élaboration de la Stratégie Pluriannuelle d'un programme. Lyon / France, Nov. 2006.

5.1.2 Stakeholder analysis: who does what?

Analysis and knowledge of the stakeholders in a specific field and in a particular country are essential and determine the strategy and positioning of Handicap International and the “capacity development” activity. The results may be used as a basis for the choice of a partner organisation. The type of partner and its capacities determine its co-operation with Handicap International and define the necessary or desired capacity development activities.

With projects that are in progress, information already exists about the stakeholders in the field but normally in a format which is more fragmented than systematic. The quality and management of this existing information have a strong impact on the quality of any analysis. However, a properly conducted analysis of the stakeholders reveals new interesting aspects, even for technical experts in their specific field as there are always several stakeholders systems according to the different and varying perceptions and points of view³⁰. A system of stakeholders is never static and can change rapidly as local bodies emerge, merge and disappear. The stakeholder analysis does not aim to establish the stakeholders (there is no one system of stakeholders) but helps to reveal different perceptions and points of view. It also constitutes the first phase of discussion, exchange and negotiation between potential partners.

Handicap International’s national identity and profile

A stakeholder analysis firstly includes a study of Handicap International’s national identity, which has established itself as an international stakeholder at local level with its local establishments and representatives. Its profile as an international NGO acting at international, national and local level is specified by its representatives, available skills, activities in progress and past projects carried out in each country concerned. An organisational (self-) assessment carried out by Handicap International in the field would therefore seem key to the drawing up of a strategy at programme level and particularly at “capacity development” level.

The other stakeholders

A list is systematically drawn up of key local stakeholders as well as donors and other important stakeholders in a specific field. They are then prioritised and analysed. It is also essential to study the context and the national policies in place in the host country. This preliminary analysis provides an initial view of a specific sector and is the first stage in seeking a positioning for Handicap International. Next, the in-depth stakeholder analysis (see Chapter 1.2 in the second part of this document) is carried out mainly in collaboration with the key stakeholders in the area. It provides an opportunity to get to know each other and facilitates the selection or changing of one or more partners.

5.1.3 Interpretation: which partner and why?

The organisational (self-) assessment helps to identify a potential partner organisation (see 5.2.1). But in fact, the “free” choice of a partner is often a myth because it is limited by various factors, for example the existence of former partnerships or essential stakeholders. The aim of a stakeholder analysis is to ensure better awareness concerning these challenges and their integration into the positioning. Capacity development always requires the creation of a specific strategy for each partner to better identify and define the main objective: capacity development for the empowerment of the partner or for improving the technical operability (see 3.4).

The selection criteria³¹ for a partner vary considerably because they depend on the context and opportunities. The type of partner organisation is also an important factor in the choice as it

30. Handicap International: “Partnership: A better understanding of partnership for better collaboration”, Lyon/France, November 2002, pages 50f.

31. Handicap International: Reference Handbook 2005, Lyon / France, p.74

influences its capacity and thus the collaboration³²: the contribution of a government ministry or department is different to that of a traditional or religious group, local NGO or company (for example a construction company). A partner with strong skills could be better equipped to ensure effective co-operation but may be restricted by red tape (like certain ministries for example). The structures cooperating most often with Handicap International are local NGOs and government departments.

A reciprocal choice and a partnership on an equal footing are rare: Handicap International is often seen as a donor and few local organisations hesitate or refuse to enter into collaboration. The stronger a local structure is, the stronger position it is in to refuse or negotiate collaboration with Handicap International.

5.1.4 The desired changes: what are the prospects?

Any collaboration alters over time. The “capacity development” strategy must encompass the desired and undesired changes in terms of roles and responsibilities. It must also include a systematic withdrawal for Handicap International in the long term. It is generally easy for Handicap International to withdraw from its role of technical expert, which supports the partner at an operational level to improve its technical performance quality. On the other hand, it is more difficult to withdraw from providing support at structural and financial level (see 4.1, 4.3 and 5.3.1 also). The “capacity development” strategy may, for example, for a certain time, place more importance on technical capacity development to improve the partner’s operational performance, thus enabling it to improve the living conditions of the target groups. At another moment, Handicap International could focus on capacity development aimed at organisational development and thus the partner’s empowerment and autonomy. Another way to clearly distinguish the different roles is to allocate them to different people or organisations.

In reality, there will often be two change processes at the same time, one formal and the other informal. The desired change requires agreement and active commitment from the stakeholders concerned from the outset to better identify appropriate indicators (see 5.2.2), to plan the points for change and to anticipate unwanted changes. Each change process requires tailored approaches and different skills from the partner and Handicap International. This approach requires time and professional skills to negotiate the details and build mutual trust.

5.2 PLANNING CAPACITY DEVELOPMENT

Capacity development is planned in negotiation with the partner according to Handicap International’s own strategy. The expected result of joint capacity development planning is a concrete action plan including the activities and planned changes. In an ideal situation, each stakeholder carries out its own organisational (self-) assessment beforehand to gain a better understanding of its own organisation and draw up a clear strategy which will then allow it to enter fully into a negotiation process. The time required for this approach depends on the project size and existing planning skills. External deadlines and existing skills normally limit this joint discovery phase if it is not systematically provided for in the project schedule. Involved too early in the implementation of a large-scale project, the project team often pays the price with “empirical discovery” (see 2.1) during the course of the project, which can become quite unsettling. On the other hand, some shared activities in a pilot phase can help to identify an organisation’s strengths and weaknesses and facilitate the joint planning of a larger project at a subsequent time (see 5.2.3).

32. F3E / GRET: Le processus d'autonomisation: Assurer la continuité d'une action. Paris / France, September 2002, p.40ff

5.2.1 The organisational (self-) assessment

At Handicap International, the organisational (self-) assessment is a tool with two purposes: it helps to improve knowledge of Handicap International's national identity (see 5.1.2.1 and Chapter 1.1 in the second part of this document) and is the starting point for the implementation of any "capacity development" activity with a partner organisation. The intensity and depth of this assessment can vary considerably. In "capacity development" planning, a stakeholder analysis (see 5.1.2) already provides the initial information about an organisation or institution. The organisational (self-) assessment uses it within an organisation and builds on it by seeking more details with and from the organisation concerned. For new projects, the organisational (self-) assessment helps to identify an organisation's strengths and weaknesses and then facilitates the planning of activities needed for capacity development. For projects in progress, the organisational (self-) assessment inevitably includes an additional detailed analysis of past collaboration.

5.2.2 The indicators

Indicators are used to measure the progress of a project or activity³³. They are either jointly approved by all the stakeholders or imposed by a donor. The choice of indicators is essential to monitoring and evaluation and more useful if it has already been carried out in the planning phase. The organisational (self-) assessment provides an opportunity for their participative drafting and improves their relevance. In an organisational development process all the indicators must allow an objective assessment of the desired results. Therefore they need to be checked during the implementation of activities and, if necessary, be renegotiated.

Indicators can be objective (like in the logical framework: verifiable in an objective fashion) or subjective (reflecting the points of view of the people concerned). It is also necessary to define qualitative and quantitative indicators and distribute them uniformly. They must always be defined based on a participative approach (see part III: toolbox). At the same time, indicators must be identified according to the means and skills available during their research and analysis, failing which they become difficult to apply. Monitoring by indicators is a compromise between what is necessary and what is sufficient. The basic principle for drawing up valid indicators is "SMART + SPICED"³⁴.

5.2.3 Pilot activities

Activities shared by a partner organisation and Handicap International are often the "way in" for Handicap International with a partner in the respective country and they become acquainted as the operational project progresses. Similar to the organisational (self-) assessment, the carrying out of shared activities can serve as a tool for identifying an organisation's strengths and weaknesses. The results of a pilot activity influence any decision concerning the type and scale of future collaboration with this organisation. It is important that such a pilot activity be operational and technical (such as orthopaedics, lobbying and advocacy, etc.), remains small and limited in scope, and is systematically monitored and evaluated in order to support the mutual learning process. Unfortunately, pilot activities planned as a mutual learning process are rare at Handicap International.

33. INTRAC, *The Monitoring and Evaluation of Empowerment*. Oxford / UK, 2000, p.15

34. INTRAC, *Practical Guidelines for the Monitoring and Evaluation of Capacity Building: Experiences from Africa*. Oxford / UK, 2001, pages 30 and 31

5.3 IMPLEMENTATION

5.3.1 Roles and responsibilities

Capacity development and operational project activities require a clear and understandable distribution of roles and responsibilities between the stakeholders concerned. Ideally, planning also includes roles and responsibilities and their desired changes to ensure efficient implementation.

As the majority of Handicap International's projects include technical operability as well as the empowerment of the partner, Handicap International teams often fulfil several roles at the same time. For the sake of simplicity, they fall into three categories: technical expert, facilitator³⁵ and donor.

► **Technical expert:**

A technical expert from Handicap International will mostly be focused on the operability of a project (such as orthopaedics, lobbying and advocacy, etc.). He/she has professional expertise and contributes to the technical success of the project, which is carried out in collaboration with a partner. His/her involvement varies between substitution and a real transfer of expertise. The expert often feels responsible for the quality of the results obtained concerning the final beneficiaries. The risk of this approach is the potential weakening of the partner's organisation when the expert intervenes too much. Technical advice and an operational project are often the "way in" for Handicap International to a long-term collaboration. As a result of this, and over time, the partner usually becomes independent from Handicap International on an operational and technical level more quickly than on a structural and financial level (see 4.1).

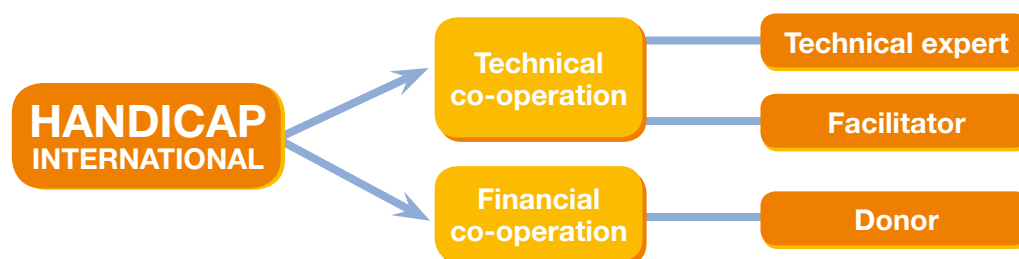
► **Facilitator:**

Handicap International facilitates the implementation of an activity or project for which the local partner is mainly responsible. Handicap International gives advice on which changes to make. The local partner also manages this change process (notion of ownership), with the final decision on whether or not to take the advice falling to the organisation itself. The role of facilitator is also the most difficult role as it requires being directive and non-directive at the same time. When appropriate the "facilitator" must take a step back and give the partner space. At other times, he/she must be assertive to ensure progress is made. It all depends on the situation, the desired changes and reaching a happy medium for the facilitator, which is difficult to achieve and requires experienced professionals. As Handicap International has its own challenges and constraints (see 2 and 4.4), it is normally biased, so its representatives are often unsuitable for the role of facilitator.

► **Donor:**

Most local organisations see Handicap International as a donor, meaning that Handicap International finances an organisation which carries out projects or activities. This organisation is responsible for the results achieved concerning final beneficiaries and Handicap International is only interested in the end results obtained (or not, as the case may be). But Handicap International does not see itself exclusively as a donor and furthermore, the capacities of local stakeholders are often not sufficient to achieve the expected results at operational level. Handicap International therefore rarely restricts itself to this role of donor but also intervenes as a technical expert, for example, to improve technical performance. Although, for the final beneficiaries this involvement is generally perceived as positive, there is a risk of substitution and of weakening the partner's organisation thus threatening sustainability.

35. "Facilitator" covers the notion of a long term accompaniment that promotes emancipation and self-determination ("empowerment").



5.3.2 Points of conflict and risks

The previous chapters have already highlighted some potential points of conflict. It is difficult to identify standard points as it is possible that a conflict is desired in order to clarify a situation, or because a potential conflict between Handicap International and a partner is eliminated simply by the presence of deep mutual trust – which can also change if an important representative is replaced, for example. Nevertheless, prior identification of potential points of conflict usually leads to the collaboration running more smoothly as through discussion and agreement on a conflict management system, the representatives of the organisations concerned can anticipate and even reduce the negative impact.

The three roles (technical expert, facilitator and donor) presented above require different approaches, behaviours and skills that may also be incompatible. The main issue is the mixing of these roles and the fact that even members of the Handicap International team in the field are not always clear about their own roles and priorities. The high turnover of expatriate staff makes the problem considerably worse. For Handicap International expatriates it is often a case of “empirical discovery” by each person, and only little by little, often on a very personal level, concerning the relationship with the partner. But is essential to be clear first internally about the main role of each person and its desired development prior to discussions and negotiations with partners. One possibility is the separation of technical expertise and fund management to allow more open communication about the difficulties and weaknesses of the partners. Handicap International’s head office and some programmes try to avoid this conflict by making a structural distinction between “technical advisors”, who are experts at the operational level, “financial controllers”, who manage activities at the financial level, and “programme/project managers” who manage activities on the whole.

In theory the role of donor precludes the two other roles as it is biased where the expected results are concerned. Handicap International increasingly finds itself in the role of donor with regard to its partners, whose competency is increased on a technical and structural level. But Handicap International’s identity and mission very much lean toward the role of technical expert and sometimes of facilitator. The roles of donor and technical expert can be fulfilled at the same time if there is mutual trust and if the control system is well defined and complied with. But there are two risks: the first is Handicap International being too flexible in relation to the partner, based on a very close and confidential relationship, accepting everything the partner does. The second is a loss of trust and a change of roles in which Handicap International becomes fund manager, which makes honest communication on a technical level difficult. Combining the roles of donor and facilitator is more difficult still, because the facilitator has a closer relationship with the partner in terms of identity (in comparison: the technical expert is only dedicated to improving the partner’s operational and technical performance). The roles of facilitator and donor are therefore even more incompatible.

Handicap International often finds itself in the role of technical expert and facilitator at the same time. This is not an ideal combination but it is nonetheless possible temporarily if its representative remains aware of the fact that technical operationality requires skills other than those required by a facilitator and avoids focusing only on his/her field of technical expertise.

A better distinction can be made by making a clear separation between the different roles, either by different people or organisations (external service providers), or chronologically in several phases. It avoids confusion for the people involved regarding the difficulties mentioned above.

5.3.3 Contractualising³⁶

A contract finalises the negotiation and discussion process between Handicap International and one or more stakeholders, during which the roles and commitments of each person are identified and defined. Knowing the responsibilities and obligations makes it easier to anticipate certain difficulties relating to the implementation of joint activities in the future. The contract confirms the agreement in writing and avoids confusion caused by a change of team³⁷. As it applies to an initial situation that changes over time as joint activities are carried out, it needs to be adapted and modified according to the context³⁸. At the same time, “A contractual relationship is not a guarantee that the partnership will work perfectly.”³⁹

Handicap International offers its partners different types of contract: partnership framework agreements and project partnership contracts. “Partnership framework agreements concern general partnership relations and bind the partners to shared objectives, without actually committing them to realising a specific project together (...). Project partnership contracts are for partnership relations that are directly related and limited to the realisation of a specific project.”⁴⁰

5.4 MONITORING AND EVALUATION

Each capacity development activity requires regular monitoring to identify shortcomings and make the necessary changes. In reality, there will often be two change processes at the same time, one formal and the other informal. The monitoring and evaluation system helps to synchronize the two processes better. It is based on the indicators fixed during the planning phase (see 5.2.2). It is part of each project cycle and is not specific to capacity development. Within the scope of organisational development, this system plays a decisive role as the only way of analysing and improving the process and is able to anticipate informal changes and unwanted developments.

36. Handicap International: Reference Handbook. Lyon / France, 2005, pages 71-82

37. *ibidem*, p. 75

38. *ibidem*, p. 77

39. *ibidem*, p. 74

40. *ibidem*, p. 82

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The elements to take into account when carrying out capacity development are the context of the country concerned, the stakeholders and existing relationships, Handicap International's internal strategy and the skills available. The organisational (self-) assessment is a tool for identifying the strengths and weaknesses of both the Handicap International team in the field and the partner organisation. Capacity development planning is based on the results of this organisational (self-) assessment. It indicates the priorities (operationality versus empowerment) and their planned changes as well as assigning the corresponding responsibilities. The main problem in capacity development is often a lack of priorities and a mixing of roles. Handicap International fulfils three different roles (technical expert, facilitator and donor), certain combinations of which are incompatible: The role of donor precludes the two other roles as Handicap International is biased where the expected results are concerned. It is not advisable to combine the role of technical expert and facilitator, but it is temporarily possible. A clear separation of responsibilities, either by assigning another person or a third party (external service provider), or chronologically in several phases avoids confusion and the difficulties mentioned above. A contract finalises the negotiation and discussion process between Handicap International and the partner organisation and confirms the agreement in writing whilst the monitoring and evaluation system supports the mutual learning process.

6. Summary

Handicap International's teams operate in a complex and changing environment and are themselves subject to various internal requirements. The complexity stemming from these internal and external challenges requires them to act consciously with a clear vision and to define priorities. These changes demand an effort concerning flexibility and adaptation capacities. Capacity development falls within this general framework like any other development activity.

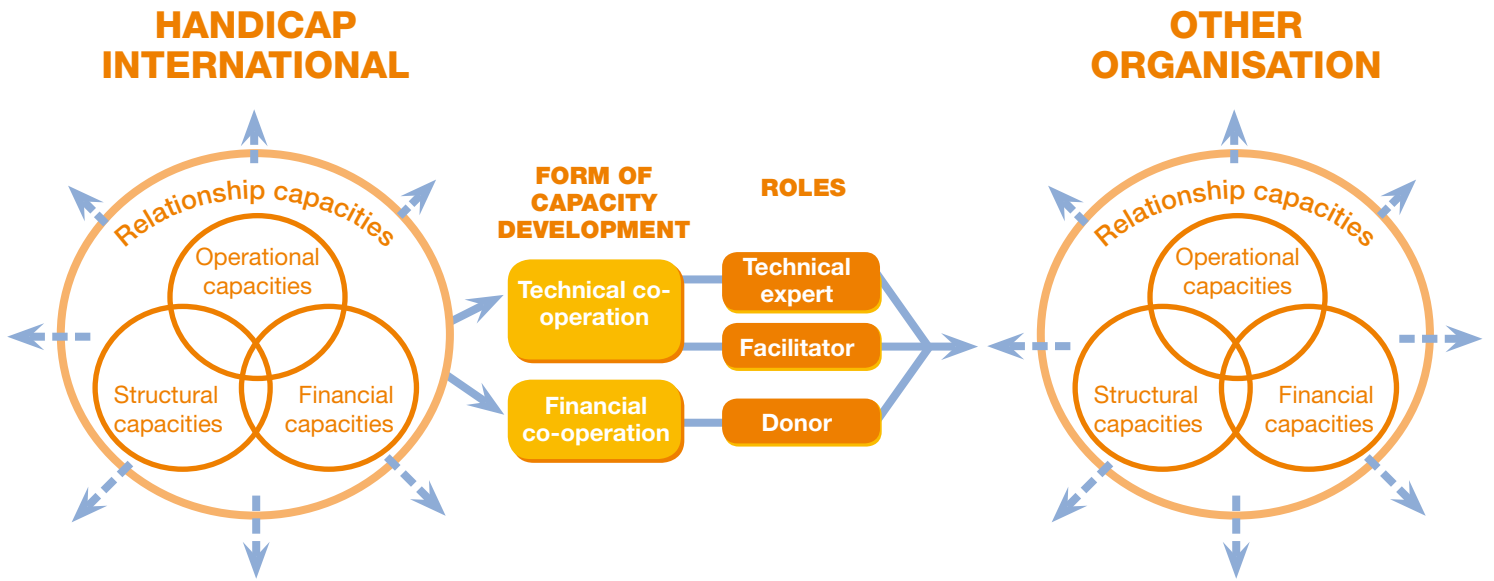
Due to local partners often being weak, most Handicap International projects include a "capacity development" component. Capacity development is an integral part of the partnership approach with two very separate objectives: There is capacity development that serves technical operationality in order to improve the living conditions of final beneficiaries, and also capacity development that aims to empower a local stakeholder and is thus an organisational development project in itself. As they require a different approach and process, a clear distinction between these objectives becomes vital.

The elements to take into account when carrying out capacity development are the context of the country concerned, the stakeholders and their existing relationships, Handicap International's internal strategy and the skills available. The organisational (self-) assessment identifies the strengths and weaknesses of all the stakeholders concerned. Planning is based on its results and indicates the priorities (operationality versus empowerment) and how they are expected to change, as well as clearly allocating the corresponding responsibilities chronologically across several phases.

The two forms of co-operation, technical and financial co-operation, involve three possible roles for Handicap International within the scope of a capacity development project: technical expert and facilitator where technical co-operation is concerned, and donor within the scope of financial co-operation. Specific combinations of these roles are difficult to manage or make day-to-day work more complicated.

Where organisational development is specific capacity development, Handicap International only gets involved in three cases: internally to improve its own performance, during the creation of a local organisation and when there is a risk of confusing its identity with that of a partner organisation. In a capacity development project, support from a third party is useful, if not indispensable, because of the existing stakes and points of conflict between Handicap International and the partner organisation. For this reason, having an external consultant to guide and facilitate such an organisational development process is essential.

Generally speaking, Handicap International's actions to develop the capacities with a partner organisation can be summarised in the following diagram:



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- ▶ **1. Questions** ----- PAGE 32
- ▶ **2. The Organisational (Self-) Assessment** ----- PAGE 34
 - 2.1 AIMS ----- PAGE 34
 - 2.2 MOTIVATIONS ----- PAGE 34
 - 2.3 APPROACH AND DESIGN ----- PAGE 35
 - 2.4 CHOICE OF FACILITATORS ----- PAGE 35
- ▶ **3. Stakeholder analysis** ----- PAGE 38
- ▶ **4. Strategy** ----- PAGE 39
- ▶ **5. Negotiation** ----- PAGE 40

1. Questions

This part of the document proposes four theme-based chapters with key questions relating to structuring capacity development:

- ▶ Organisational (self-) assessment
- ▶ Stakeholder analysis
- ▶ Strategy
- ▶ Negotiation

Each sub-chapter presents a set of key questions and links them to specific tools. Their aim is to make it easier to compile results and generate discussion. The proposed tools are presented in alphabetical order in the third part of this document. Other methods based on existing documents or not requiring a specific tool are in brackets.

All capacity development methods need to be adapted to the situation, culture and context in question. Unadapted methods often lead to inappropriate results or inadequate impact as the participants do not understand the goal or principles of the exercise. They are thus unable to take the method on board to subsequently apply it to their practices in the field. It is essential to base work on the needs, motivations and skills of participants rather than expecting an approach that has been successful in a specific context and situation to be automatically applicable elsewhere.

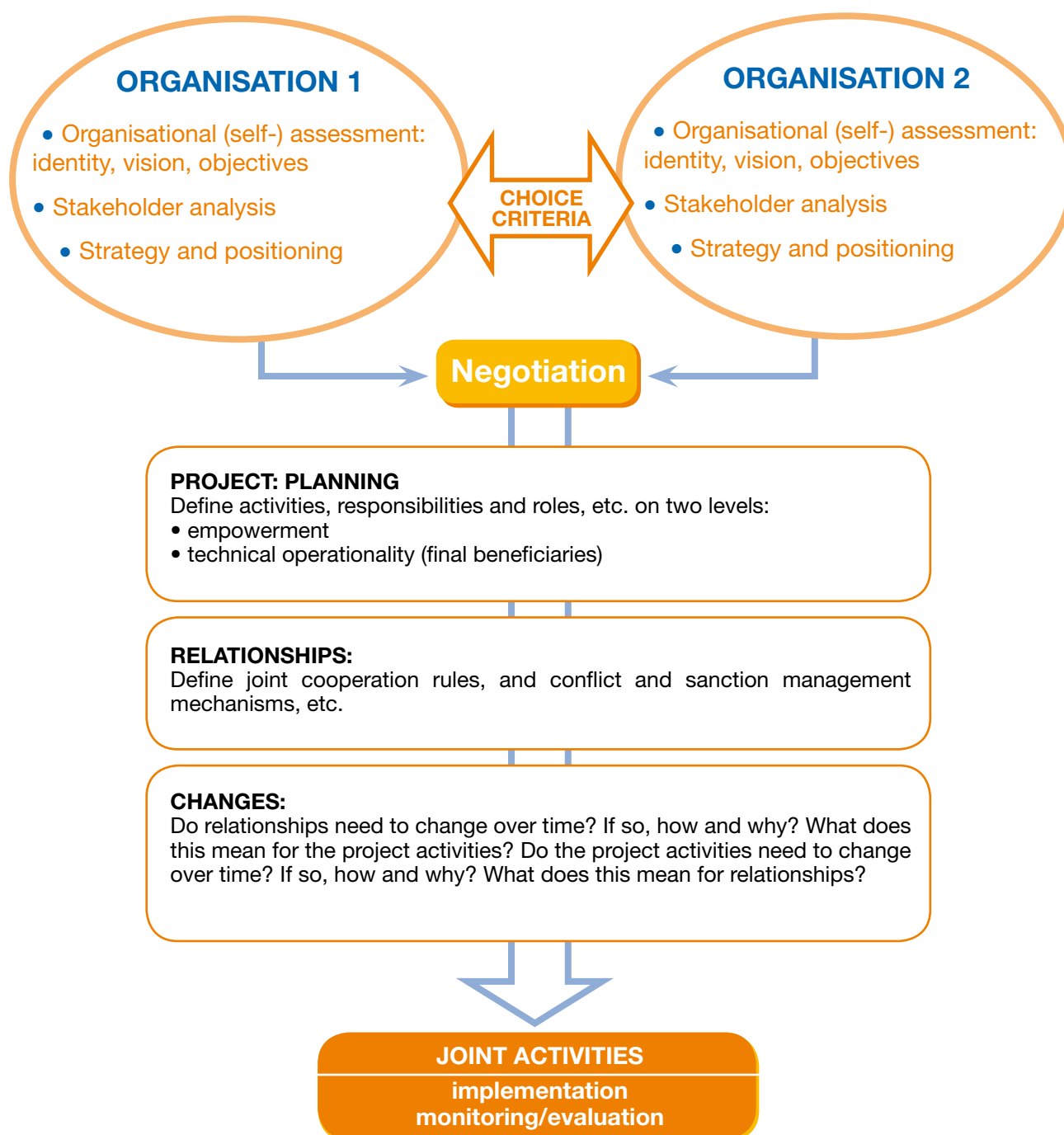
Adapting these capacity development models involves breaking them down: the key concepts and questions (the core of the model) must be maintained whereas the more easily modifiable aspects can be adapted to the specific context. The core of the model represents a way of taking a step back from the situation and seeking the best way of enabling the organisation to move forward. The adapted aspects will help the members of the organisation in question to identify with and apply the model in their context. The ideal situation would be to offer the participants various options, allowing them to draw up a selection of methods and tools they consider to be appropriate. It is also important to analyse the implications of using the approach in the chosen way, particularly where power relationships among stakeholders are concerned.

A capacity development approach can be adapted from the outset, based on an analysis of the situation, context and culture in question. However, it is necessary to continue to adapt the approach in collaboration with the participants throughout the process, according to the lessons learnt from applying the method. However, completely adapting the approach is not always desirable: the introduction of new tools into a context can lead to a constructive and critical discussion process thanks to a different view of the local situation, thus raising awareness (for instance, the use of participative approaches in a hierarchical context).

The key questions to be raised during an organisational (self-) assessment and a stakeholder analysis are similar but the process and objective are different: The organisational (self-) assessment is carried out within an organisation, often facilitated by a professional counsellor. It is used to identify

its own strengths and weaknesses to improve the way it anticipates and adapts to a changing environment. The stakeholder analysis, on the other hand, is an external process carried out by an organisation to gain a better understanding of the environment, identify opportunities, obstacles and challenges and position itself with relation to other stakeholders (organisations, individuals, groups, etc.). The organisation itself is also a stakeholder and as a result the link between the organisational (self-) assessment and the stakeholder analysis becomes vital: In an ideal situation, the organisational (self-) assessment contributes to the stakeholder analysis as drawing up a strategy internally for an external positioning first of all requires a good understanding of its own strengths and weaknesses in order to subsequently improve its knowledge of the environment. These elements combine to produce a clearer positioning in a system of stakeholders and facilitate negotiation with the other organisations.

The diagram below summarises the ideal collaboration:



2. The Organisational (Self-) Assessment

(Also see Chapter 4 in the first part of this document)

An organisational (self-) assessment varies in terms of intensity, extent, time and available resources. The organisation's members or personnel may carry out the assessment themselves but guidance from an external facilitator is important when handling conflicting subjects. It also helps to achieve a more objective analysis and to establish a balance among stakeholders concerning their influence on the results. A combination of internal and external evaluators seems to be the most suitable approach. Equally high attention needs to be paid to the composition of the different groups that are consulted during the organisational (self-) assessment, because any imbalance of power (for example between persons working on different hierarchical levels) may influence the validity of the acquired information.

2.1 AIMS⁴¹

Before selecting a new partner, an organisation may wish to know its own strengths and weaknesses in addition to those of the potential partner. An organisational (self-) assessment can also form part of a data and information collection exercise, for the elaboration of a strategy for example, or to perform an evaluation. Furthermore, it is essential to use the results of the organisational (self-)assessment as the basis for an organisational capacity development process. An organization which wants to perform an auto-evaluation can also use the organisational (self-) assessment methodology. Indeed, an organisational (self-) assessment should be the required first step for any process of organisational development, as it is crucial to have a starting point from which to later evaluate any evolution which has taken place.

When a decision to undertake an organisational (self-) assessment has been taken, the following fundamental questions must be asked: what is the aim of this organisational (self-) assessment? What information should it provide? How should the process be performed? Who should do it, and which stakeholders should be included in the analysis?

2.2 MOTIVATIONS

Before undertaking an organisational (self-) assessment, it is advisable to think carefully about the following questions:

- Who has commissioned the organisational (self-) assessment? The motivations of decision makers (formal and informal) will influence the organisational (self-) assessment process.
- Why has the organisational (self-) assessment been commissioned? It is minutes taking or a real learning process: evaluation of capacities and current performance in order to justify a follow-up funding for donors - or analysis of capacities et potentials of the organisation for improving its performance?

41. Original version: Mia Sorgenfrei, Organisational Assessment Training Course for IFAID, Bordeaux/France, 2006

It is important to examine the spoken and hidden motivations in the organization, plus the internal and external factors, both favourable and unfavourable to the organisational (self-) assessment (for example, problems or opportunities, decisions to be taken concerning financing, a desire to preserve the current situation and consequently to avoid changes).

- Who are the interested parties and what are their motivations to support or oppose the organisational (self-) assessment? Donors, members of the organization, beneficiaries etc – their interests are not necessarily compatible, and can create conflicts or provoke manipulations.
- What is the motivation to undertake this organisational (self-) assessment at the leadership level of the organisation? Who is willing to promote the organisational (self-) assessment as it is being performed?

2.3 APPROACH AND DESIGN

The approach to an organisational (self-) assessment and its design must be adapted to the needs of the organisation. It is therefore necessary to:

- Understand how the organisation functions: ways of thinking and working
- Clarify questions which different groups in the organisation are asking, and also any collaborations or tensions between these groups
- Choose the approach: design of the process with its different phases, selection of tools and methods to be used, the budget (expected time and costs). This depends on the complexity of the work requested – for example general impressions of certain aspects to have a better idea of the future strategy to be led, or a detailed analysis of the entire organisation to strengthen its capacity as a result.

2.4 CHOICE OF FACILITATORS

Internal facilitator:

Advantage: knows the organisation and can link the organisational (self-) assessment to the change process in the organisation.

Disadvantage: is not a professional facilitator, risks being too subjective, his/her presence can be seen as a political message, potential for fatigue due to internal crises, reluctance to criticize superiors, costs of his/her absence in terms of human resources.

External facilitator:

Advantage: independent of the organisation, high level of expertise, can assist the organisation in focusing on the organisational (self-) assessment during the process, ensures that multiple perspectives are covered, and verifies the validity of the information provided.

Disadvantage: Does not know the organization well at the beginning, does not have access to all data, presence can be limited due to cost concerns.

A combination of internal and external facilitators seems to be the most suitable approach.

Subjects	Key questions	Proposed tools
The scope	<ul style="list-style-type: none"> • Why an organisational (self-) assessment? What are its objectives? • How is the process implemented? • Is the organisational (self-) assessment carried out internally or with external support or both? • Who is responsible for what? Why? • Who needs to be involved when and at what level? • Which tools are for which objectives? • Who pays? 	<ul style="list-style-type: none"> • Aims of an Organisational (self-) assessment
Definition of an organisation	<ul style="list-style-type: none"> • What is an organisation? What are the key components of an organisation? • What structures and dynamics make up an organisation? • How does an organisation change? 	<p>(Also see Chapter 4.1 in the first part of this document)</p> <ul style="list-style-type: none"> • Organisational (self-) assessment: comprehensive list • The onion skin model • Organisational life cycle
Articles of association	<ul style="list-style-type: none"> • What is the situation concerning the governing documents? 	<ul style="list-style-type: none"> • (Governing documents: official registration, constitution, bylaws, agreements, etc.)
Identities	<ul style="list-style-type: none"> • Who are we? What is our identity (at local, regional, national and international level)? • Who are the key people within the organisation? • What is their relationship? • What is their vision? • What other visions exist? • What is the history and development of the organisation? What is the organisation's culture? • Do the official structures and procedures correspond to the unofficial structures and situations? • Question of power and "leadership" • How does the organisation function regarding: transparency, decision-making, communication (internal and external), centralisation/decentralisation, reports, etc. 	<ul style="list-style-type: none"> • (Brainstorming: list of key people) • Mapping of official and unofficial relationships: • Decision making analysis • Organisation chart • Power mapping • Rich picture / mind map • Stakeholder mapping • Timeline • The Venn diagram/ sociogram • Visible and invisible aspects of an organisation
The motivation	<ul style="list-style-type: none"> • Who are the personnel? • Who is a member of the organisation? What is their actual participation (activities, decisions, etc.)? Is the organisation representing their interests? • What is the motivation (enhancement of skills, consistency, trust, expectations, teamwork, etc.) of personnel/members? • What systems/processes are put in place to maintain their motivation? 	<ul style="list-style-type: none"> • Expectation chart • Trust: competency and care • (Governing documents: official registration, constitution, bylaws, agreements, etc.) • (Reference Handbook) • (Internal regulations)
Roles and responsibilities	<ul style="list-style-type: none"> • How is a project/activity/strategy identified? How is it implemented? • Who is responsible for what? • What coordination and communication mechanism is in place? What are its strengths and weaknesses? • What is the degree of participation from target groups/members? • What is the "governance" quality like? What is the difference between leadership, management and board of directors? 	<ul style="list-style-type: none"> • Responsibility charting - "RASI" • Ownership chart • The champion • SWOC-analysis (useful if the aim of the organisational (self-) assessment is a strategic decision making) • Portfolio analysis • Problem tree and flexible systems methodology • (Incorporating documents) • (Reference Handbook)

Subjects	Key questions	Proposed tools
	<ul style="list-style-type: none"> • What is the relationship(s) between the key people? • How does this relationship influence activities? • What is the influence of each key person on a specific activity or project? 	<ul style="list-style-type: none"> • The Venn diagram / sociogram • Influence between key persons • Stakeholder matrix • Influence of key persons on a project
Adminis- tration and Finances	<ul style="list-style-type: none"> • What administrative/financial system is in place? What are its strengths and weaknesses (transparency, ease of use, understanding by users, etc.)? • Who makes decisions regarding the use and monitoring of funds? • Are there mechanisms in place to avoid discrepancies? Who has the right to intervene in this case? 	<ul style="list-style-type: none"> • (Incorporating documents) • (Reference Handbook) • (Contracts and agreements) • (Audit) • Hugo Tiffou/HI: Guidebook preparing to an Audit, Amman/Jordan 2003 • Véronique Quintin/HI: Administrative, accounting and financial aspects in partnership relationships, Lyon 2002
Human Resources	<ul style="list-style-type: none"> • What are the working conditions? • What is the availability of personnel/members? • What are their qualifications and professional skills? • Is there: a description of positions and functions, a recruitment procedure, a plan for human resources development (professional training)? • Who makes decisions regarding hiring and firing? 	<ul style="list-style-type: none"> • (Reference Handbook) • (Reports) • (List of personnel training / Human Resources Development Plan)
Autonomy	<ul style="list-style-type: none"> • In which areas is the organisation dependent / independent? To what extent? • How does the organisation manage its dependencies? • What are the organisation's analysis and adaptation capacities? • What are the specific indicators? 	<ul style="list-style-type: none"> • Organisational (self-) assessment: comprehensive list • Capacities of analysis and adaptation • Empowerment: making activities more autonomous • Ownership Chart
Other

3. Stakeholder analysis

(Also see Chapter 5 in the first part of this document)

Carrying out a stakeholder analysis can have two different objectives: it is a way of collecting data and, according to how the exercise is carried out, becomes a capacity development activity for participants.

The analysis of existing stakeholders and their relationships within a specific field provides data that must be considered by any organisation trying to establish its position in the system. It also facilitates the choice of a partner organisation to implement joint activities. Ideally, to identify important questions and lead valuable discussions, the representatives of key stakeholders in the field concerned participate in this analysis, either in a group or individually. Using the same tools with different stakeholders allows a complex image composed from different points of view to be mapped out. However, this can require lots of time and energy, depending on the specific dynamics of the group or individuals.

Subjects	Key questions	Proposed tools
Identification	<ul style="list-style-type: none"> • Who are the main stakeholders in the field concerned? • What are the types/categories of the different stakeholders? 	<ul style="list-style-type: none"> • Inventory, ranking and classification of stakeholders and criteria of choice • Analysing and categorizing NGOs • The Venn diagram / sociogram
Relationships	<ul style="list-style-type: none"> • What is their motivation? • What is their vision? • What is the relationship between the stakeholders? • How does this relationship influence activities? 	Mapping of official and unofficial relationships: <ul style="list-style-type: none"> • Influence between key persons / stakeholders • Power mapping • Stakeholder mapping • Stakeholder matrix • Trust • The Venn diagram / sociogram • Visible and invisible aspects of an organisation
Project: Roles and responsibilities	<ul style="list-style-type: none"> • What are the history and development of a joint project, collaborations or partnerships? • What is each stakeholder’s capacity to act? • What is the influence of each key stakeholder on a specific activity or project? • What is each stakeholder’s development potential? <p>Who is responsible for what?</p>	Timeline <ul style="list-style-type: none"> • Influence of a stakeholder on a project • Organisational (self-) assessment: comprehensive list • Expectation chart • Ownership chart • Responsibility charting - “RASI” • The champion
Other	What approach must the organisation follow to position itself in the system? How can the stakeholders’ analysis and organisational (self-) assessment be linked together?	

4. Strategy

(Also see Chapter 5.1 in the first part of this document)

Establishing a positioning in any field requires first drawing up an internal strategy, if possible with the contribution of other people or local organisations for a more comprehensive approach. It is based on the results of the organisational (self-) assessment and the stakeholder analysis: the former reveals the strengths and weaknesses within an organisation and helps to define the objective and purpose of an action, while the latter provides information about the identity of the other stakeholders and the dynamics in a specific field. All these elements overlap and therefore so do the key questions and proposed tools.

Subjects	Key questions	Proposed tools
Positioning	How can the stakeholder analysis and organisational (self-) assessment be linked together?	
Classification and selection	<ul style="list-style-type: none"> • What to do with which partner? • What is the system of stakeholders in the field concerned? 	<ul style="list-style-type: none"> • Inventory, ranking and classification of stakeholders and criteria of choice • Analysing and categorizing NGOs • Empowerment: making activities more autonomous • SWOC-analysis • Partner information sheet • (Contracts and agreements)
The objective	<ul style="list-style-type: none"> • What is the purpose of the action? • What is our primary/secondary objective? What priority at what time: capacity development for empowerment and change or for a better technical performance? • What is the partner's objective? • What is the relationship: with the final beneficiaries, with the partner(s)? • What is the "exit strategy"? 	
Negotiation preparation (I)	<ul style="list-style-type: none"> • What are the stages? • What are the desired changes? 	<ul style="list-style-type: none"> • The ideal cooperation (see diagram in the introduction of part II) • Four stages of negotiation
Other

5. Negotiation

Each negotiation requires clear positioning concerning a specific subject which contains non-negotiable and negotiable elements. The non-negotiable elements include for example an organisation’s goal, mission and values. The negotiable elements normally relate to the details of management, administration or carrying out of activities. An organisational (self-) assessment helps to better identify them within an organisation. In a negotiation process, the non-negotiable elements provide the starting point for making initial contact and establishing communication between two or more organisations. If there is an incompatibility, the negotiation ceases at this point. On the other hand, if the elements correspond well, they initiate a more intense process with better mutual knowledge. Next are the first steps towards a joint schedule which fixes the details of a more concrete collaboration at relationship level (“How to collaborate?”) as well as where operational activities are concerned (“Who does what when?”).

Subjects	Key questions	Proposed tools
Negotiation preparation (II)	<ul style="list-style-type: none"> • What is behind the request for collaboration? What motivation and potential does this possible collaboration have? • Is there a shared history and relationship? • How can mutual knowledge be increased? • Is there a possibility of future collaboration? Why? If so: who does what, when, with whom, etc? 	<ul style="list-style-type: none"> • Timeline • Defining the basis of the negotiation • Partner information sheet • (Contracts and agreements) • Four stages of negotiation: negotiation schedule
The meeting: negotiation at operational level (joint planning)	<ul style="list-style-type: none"> • What is the key issue? • How can the joint project be organised? • Who does what? What are the joint roles and responsibilities (rights and obligations)? • What are the potential risks? • What are the potential points of conflict? How can they be managed? • How can the collaboration be managed (management, institutional memory/documentation, communication)? • What are the procedures and functioning concerning the carrying out of activities, monitoring and evaluation? • What is the level of monitoring/evaluation (activities planned and carried out; expected and achieved results, impact)? • What are the indicators? • What can be done about unwanted changes? 	<ul style="list-style-type: none"> • Problem tree and flexible systems methodology • Rich picture / mind map • Ownership chart • Responsibility charting - “RASI” • Analysis and management of risks • (Action plan)
The meeting: negotiation at relationship level	<ul style="list-style-type: none"> • What is the joint/separate identity? • What are the shared/differing objectives? • What is the shared strategy? • What are the joint expectations and motivations (potential points of conflict and agreement)? • Which priority at what time: capacity development for a better empowerment or for an improved operability? • What do this priority and its development imply for project implementation, monitoring and evaluation? • Who has the right and obligation to monitor what? 	<ul style="list-style-type: none"> • Defining the basis of the negotiation • The champion • Expectation chart
Other

Toolbox and Projects

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- ▶ **2. Handicap International Projects** ----- PAGE 80
 - 2.1 CAPACITY DEVELOPMENT OF DPO/NGO/MOVEMENTS ----- PAGE 80
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 - 2.3 OTHER PROJECTS “CAPACITY DEVELOPMENT”,
“EMPOWERMENT” AND “PARTNERSHIP” ----- PAGE 82

1. Toolbox

The tools included in this document have been designed with the aim of facilitating the compilation of results and to initiate a discussion on the key questions (see the second part of this document). As the environment can alter, so the state of a project and the general context vary from one case to another. An efficient application of the proposed tools depends therefore on their being modified and adapted to the situation in question. Therefore, the tools in this document are simply suggestions, and a starting point to facilitate the elaboration of context specific tools. The results depend greatly on the choice, commitment and motivation of their users. The use of the same tools by different persons and / or organizations makes it possible to compile a complex picture composed from a number of different points of view. However, this can require a lot of time and energy, depending on the specific dynamics of the group or the individuals.

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DECISION MAKING ANALYSIS

Relevance

The potential for organisational learning and change is heavily dependent on the attitude and openness of its decisions-makers. It is important to assess the decision-making process and to compare the actual process to the official system, if any, outlined in the constitution, bylaws and / or organisational chart.

Objectives

- To identify the key decision-makers at different levels and to determine what influence they have.
- To identify the types of decisions made within the organisation.
- To assess the types of decision-making processes employed.
- To determine the degree of staff and programme participant involvement in the decision-making process.

Selection of Participants:

Representatives from different departments and levels of the organisation

Steps (1 – 5)

1. Review the organisational chart (...) and identify as a group the major decisions made by each department in the recent past (i.e. five years). Write each decision on a separate card.
2. Sort the decision cards into three categories: “Very important” (VI), “Important” (I) and “Less important” (LI). Code the cards accordingly.

Step 3 (...)

Step 4 (...)

Step 5 (...)

6. (...) take some of the most important decisions and place them on the vertical axis of a matrix. Take the first decision on the list and ask participants to explain how the organisation made this decision.
7. Write four types of decision-making processes along the horizontal axis of the matrix. Fill in the matrix by matching up each decision with the corresponding type of decision making process used. Invent new categories if some decisions do not fit in one of the four types. Code each decision card with its corresponding process.

The four types of decisions-making processes

- Decision made as a group: **consensus**
- Decision-maker asks for input: **consultation**
- Decision-maker asks for approval: **consent or “top - down”**
- Decision-maker acts alone: **single person**

	Consensus	Consultation	Consent	Single person
Expanded health programme (TI)		X		
Choice of communities(TI)	X			
Restructured departments (I)		X		
Hiring / firing staff (I)				X
Others...			X	

Semi-structured Interview Questions

- What category of decision-making is the most common ?
- How does this pattern of decision-making affect the organisation’s performance and effectiveness ?
- How could this pattern of decision-making be improved ?
- What critical issues arise that should be addressed ?

Tips

Avoid leading questions when dealing with this sensitive issue.

This tool is a modified version of the original in Gubbels, Peter and Catheryn Koss (World Neighbors) (2000):

From the Roots Up. Strengthening Organisational Capacity through Guided Self-Assessment. Pp. 132-133.

PORTFOLIO ANALYSIS

Evaluation of Projects / Activities / Partners / Stakeholders

During a brainstorming exercise, establish a list of your projects, partner organisations or important stakeholders with your team. Discuss and classify them according to the following criteria:

1. Stars:

strong projects or activities with a real potential for growth, dynamic, popular and creative.

2. Question Marks:

new or innovative projects but not yet proven. They may become effective, develop into “stars” or they may fail and become “dead ducks”.

3. Foundation Stones:

reliable, safe projects or activities that provide the organisation with a degree of financial security and / or credibility.

4. Dead Ducks:

take up management and financial resources and provide little or no added value for the effort required.

STARS	QUESTION MARKS
FOUNDATION STONES	DEAD DUCKS

*Modified version, INTRAC/Oxford, 2003 seminar document
Original version: Aaker 1984; Ansoff 1984 ; P. Kotler et al. 1988*

ANALYSIS AND MANAGEMENT OF RISKS

This tool proposes key questions to encourage the discussion on potential risks, their probability and severity. The aim is the exchange and debate between the concerned persons; the numbers may serve as indicators, but they are never the objective themselves.

	Key question	Methodology / tool	Expected Result
1.	What do you consider to be a risk ?	Brainstorming	List of risks
2.	What is the probability of each risk occurring?	Estimation of probability: 0 (nil) – 10 (high)	Identification of coefficient 1
3.	How severe are the consequences for the project as a result of this risk?	Estimation of severity: 0 (nil) – 10 (high)	Identification of coefficient 2
4.	What is the probability and severity of each risk?	Multiplication of coefficient 1 with coefficient 2	Identification of risks: 0 - 100
5.	Which risks are based on suppositions rather than facts?	Discussion, selection	Prioritised list of risks
6.	What are the consequences and what measures should be taken to anticipate each of the serious and probable risks?	Discussion	Identification of measures to be taken

SWOC - ANALYSIS

Purpose: This tool can be used in a structured brainstorming session to analyse and discuss a given situation.

Materials: a large sheet of paper, markers or a blackboard and chalk, etc.

Procedure: The group discusses a situation based around the following keywords:

Strengths: Subjects that have worked well internally, which people are proud of.

Weaknesses: Subjects that have not worked well internally.

Opportunities: External occasions promoting the situation discussed

Constraints: External factors that limit the situation discussed.

Factors:	promoting	blocking
internal	Strengths: • •	Weaknesses: • •
external	Opportunities:	Constraints: • •

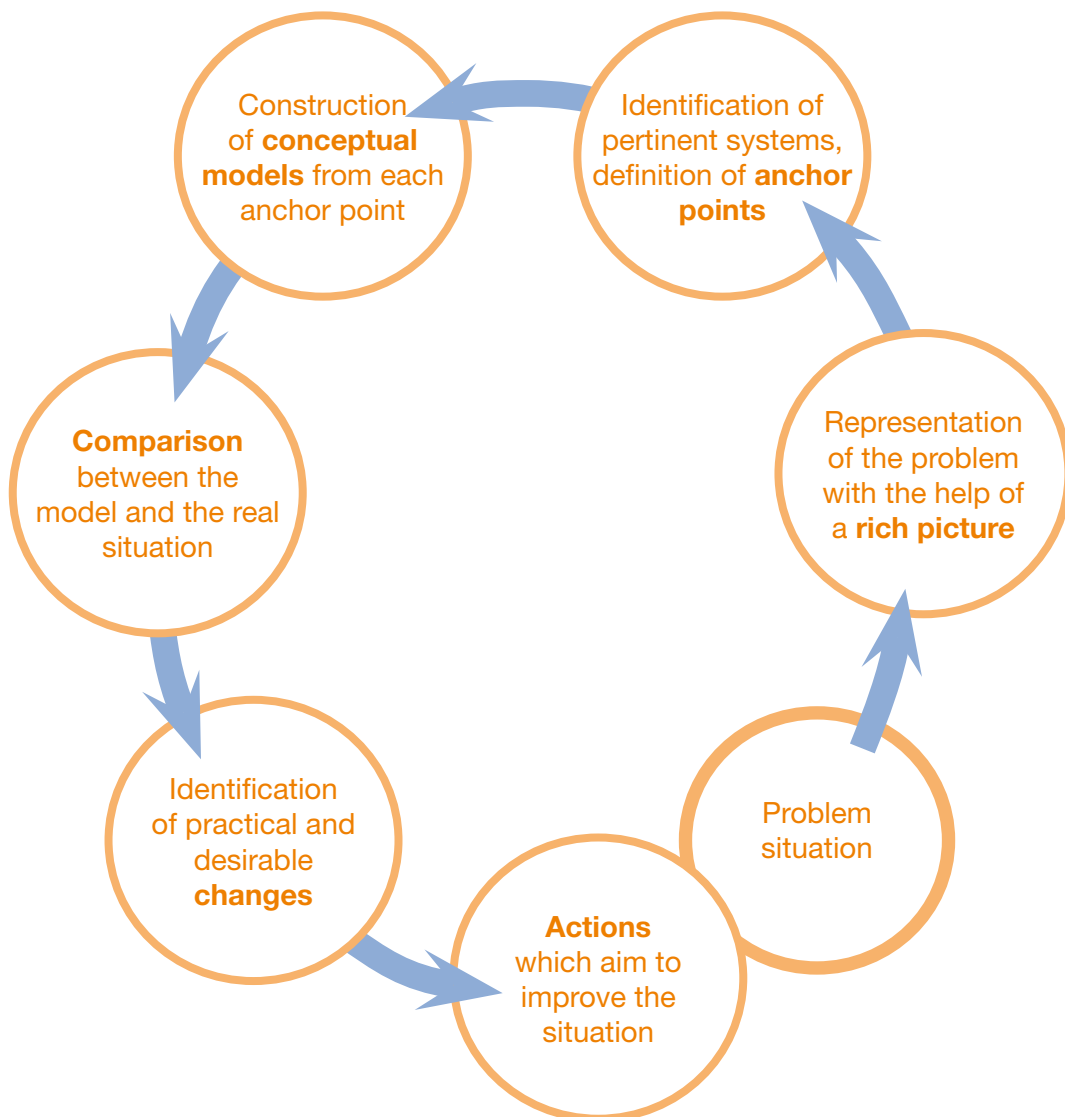
Modified version: Save the Children (2003): Toolkits. A Practical Guide to Planning, Monitoring, Evaluation and Impact Assessment.

Original version ("SWOT"): Marketing Management, P. Kotler , 1967 (1st edition)

Find more details in FAO field tools@participation: http://www.fao.org/Participation/ft_more.jsp?ID=720

PROBLEM TREE AND THE METHODOLOGY OF COMPLEX ADAPTIVE SYSTEMS

Problem / solution trees represent a linear means of analyzing a situation (see a detailed description at (http://www.fao.org/Participation/ft_more.jsp?ID=4424)). Unfortunately, this tool is not yet able to handle the complexity of the context. Instead it follows a unilinear logic of “cause-effect”. However, if we wish to understand and resolve complex situations, it can be useful to use the methodology of adaptive systems. This methodology is used to identify, analyse and understand complex problems. It makes it possible to identify different perceptions of a problem and to structure them usefully. The process starts with the identification of a problem situation. The participants will use rich pictures (see “rich picture / mind map” page 66) to examine the problem and the context and to illustrate their various points of view. Next they will be able to identify key ideas and use them as anchor points to construct a conceptual model of the system and to establish the sequence of activities which could contribute to the desired change. To develop clear conceptual models, the aim is to simplify complexity to free up the key lines whilst maintaining essential connections:



Modified version, original version: PRAXIS PAPER 7, page 30 - 32, 'Building Analytical and Adaptive Capacities for Organisational Effectiveness' by Mia Sorgenfrei and Rebecca Wrigley, INTRAC/ Oxford, December 2005

ORGANISATIONAL (SELF-) ASSESSMENT: COMPREHENSIVE LIST

The aim of organisational development is to reinforce the organisation through a change process which allows the organisation to react in a more efficient manner, when faced with both internal and external opportunities and risks, and to render it autonomous. The members of the organization are expected to participate actively in this process of assessment and learning to bring about suitable organisational changes. Generally, changes in one part of the organization system will result in other changes elsewhere in the organization. The interaction between these different changes, programmed or not, makes the organization evolve. The list below includes different aspects of the operation of an organisation which can be included in an organisational (self-) assessment, and subsequently in an organisational development strategy, depending on the objective of this development.

1. Operational level

- Activities: fields covered, frequency, quality of implementation, planning and reporting, degree of specialisation and programme development
- Distribution of roles and responsibilities concerning a project and its activities; internal structure and organisation; degree of dependency on other partners
- Human resources: motivation of staff, level of cohesion, availability, status, functions, salaries, capacities and professional knowledge
- Reporting system
- Material and physical resources: availability, quality and quantity

2. Structural level

- Existing bodies (board, executive team, general assembly, etc.) and the mechanisms of power: current state and levels of knowledge
- Current state of constitutive documents and legal status: statutes, by-laws etc.
- Membership issues / constituency: number, persons concerned, conditions of membership, representativeness and legitimacy, type of relation between executive office, board and members
- Identity (vision, mission, mandate): existence, level of acquaintance
- Governance: comparison between the intended formal structure (as proposed in the relevant documents) and the actual structure (formal and informal)
- Leadership: power and decision-making
- Transparency
- “Learning organisation”: existence of mechanisms for discussion and change, capacity for learning and adapting
- Strategy: planning and programme development
- Communication and information systems: internal and external
- Administration and accountancy: formal and informal procedures, quality
- Human resources: management, system of gratification and sanctions, professional vocational training

3. Financial level

- Current existing financial resources: amounts, level of diversification of donors
- Financial volume in the last 5 years
- Project proposal writing: quality, frequency, ratio of submitted and approved proposals
- Financial reserve: existing range

- Financial survival plan: what are the minimum structure and inevitable expenses to be covered in times of low funds?

4. Networking level (stakeholder analysis)

- Categories of important stakeholders (beneficiaries/target group, community, governmental structures, donors, implementing partners, supporting organisations, etc.): quality and the frequency of these relationships and reasons for this; quality of the existing network, quality of the general environment (promoting, neutral, blocking); etc.
- Relationship with the community: quality, frequency, reasons for this
- Existence of formal agreements: MoU, partnership agreements, etc.
- Degree of diversification of implementing partners
- Degree of diversification of supporting structures
- Degree of diversification of donors
- Degree of dependency when faced with changes in the environment
- System of external communication: weak / strong, systematic / unsystematic

5. Summary

- Successes and challenges in sections 1-4
- Management awareness of strengths and weaknesses
- Applied strategies (highly opportunistic? strategy of survival? organisation is active or reactive? existing spaces for analysing, discussing, coordination, planning, etc.?)
- Observed development and evolution

EMPOWERMENT: MAKING ACTIVITIES MORE AUTONOMOUS

	Substitution	Support	Power sharing	Independence
Ownership: responsibility for the results at the following levels...	<p>HI stands in for the local NGO</p> <p>HI is responsible at the following levels:</p> <ul style="list-style-type: none"> operational financial structural relationships 	<p>HI supports the local NGO</p> <p>HI is responsible at the following levels:</p> <ul style="list-style-type: none"> financial structural HI + the local NGO are responsible at the following levels: <ul style="list-style-type: none"> operational relationships Financial capacities Structural capacities Operational capacities Relationship capacities 	<p>HI and the local NGO share power</p> <p>HI and the local NGO are responsible at the following levels:</p> <ul style="list-style-type: none"> financial structural The local NGO is responsible at the following levels: <ul style="list-style-type: none"> operational relationships 	<p>The local NGO operates independently of HI</p> <p>The local NGO is responsible at the following levels:</p> <ul style="list-style-type: none"> operational financial structural relationships
Priority areas of HI support	Operational capacities	<ul style="list-style-type: none"> Financial capacities Structural capacities 	<p>HI works when requested by the local NGO and in line with its recommendations</p>	<p>HI works exclusively when requested by the local NGO and offers “service provision” at an operational level and in line with its mandate.</p>
Secondary areas of HI support	<ul style="list-style-type: none"> Financial capacities Structural capacities Relationship capacities 	<ul style="list-style-type: none"> Operational capacities Relationship capacities 		
Financing	HI signs the contract with the donor(s)		The local NGO signs the contract with the donor(s)	
HR profile of HI	Technician (depending on the project: physio, ortho, etc.), can also call on external resources as and when needed	Advisor: a generalist specialised in organisational development; can call in specialist technicians for short term missions.		Advisor: generalist or technician for short term missions.
Risks and potential areas of conflict	Lack of clarity from the outset regarding the objective of the automation process.	A gradual reduction in support from HI can destabilise the local NGO (internal restructuring, power struggles etc.), resulting in a drop in the quality of services provided and causing a deterioration in the situation of the PwD; at the same time it is contrary to the process of automation and empowerment for HI to resume responsibility.		When undertaking joint activities, HI assumes too much responsibilities and falls into the categories of stage 2, 3 or even 1.
Flow chart				

CACAPACITIES OF ANALYSIS AND ADAPTATION

This tool identifies five aspects of analysis and organisational adaptation capacities which allow organizations to obtain greater autonomy and sustainability:

Weak analysis and adaptation capacity	Strong analysis and adaptation capacity
<p>Partial and static comprehension: the members of the organisation apply themselves only to their own tasks, without understanding how they contribute to the work of the organisation, only absorb information which applies to their own work and see any instability or uncertainty unfavourably.</p>	<p>Systematic and dynamic comprehension: The members of the organisation can see the synergy which exists between the different domains of activity and make the most of internal and external changes to develop new ideas and acquire new skills which will contribute to the work of their organisation and to its interaction with the environment.</p>
<p>Short term vision: the accent is placed on results and the resolution of problems in the short term, without there being a clear or coherent strategic direction, in line with the organisation's mission.</p>	<p>Long term vision: projections of scenarios and development of strategies which orient future actions and should lead the organisation to achieve its mission.</p>
<p>Reactive behaviour: A lack of coordination and coherence in the response to the needs of interested teams can lead to a diversification of activities, a dispersion of resources, limited correlation with key competences and poor quality service provision.</p>	<p>Reactive behaviour: A lack of coordination and coherence in the response to the needs of interested teams can lead to a diversification of activities, a dispersion of resources, limited correlation with key competences and poor quality service provision.</p>
<p>Rigid organisation: Reinforcement of existing relationships and structures, reproduction of the same procedures and maintenance of the same ways of thinking and of working.</p>	<p>Flexible organisation: the members establish relationships which evolve, reconsider and constantly improve ways of working, and respond in a creative and innovative way to rapid changes in the internal and external environment, by spontaneously and autonomously re-organising themselves.</p>
<p>Fight for survival: The organisation loses credibility, from the fact that it is obliged to fight on a daily basis for its survival, and is incapable of renewing its resources and its skills, or bringing about changes in the society of which it is a member.</p>	<p>An autonomous stakeholder of civil society: The organization gains legitimacy by actively engaging in social transformation, with confidence, determination, and a strong sense of its own identity.</p>

Original version: PRAXIS PAPER 7, pages 38 - 41, 'Building Analytical and Adaptive Capacities for Organisational Effectiveness' by Mia Sorgenfrei and Rebecca Wrigley, INTRAC/Oxford, December 2005

STAKEHOLDER MAPPING

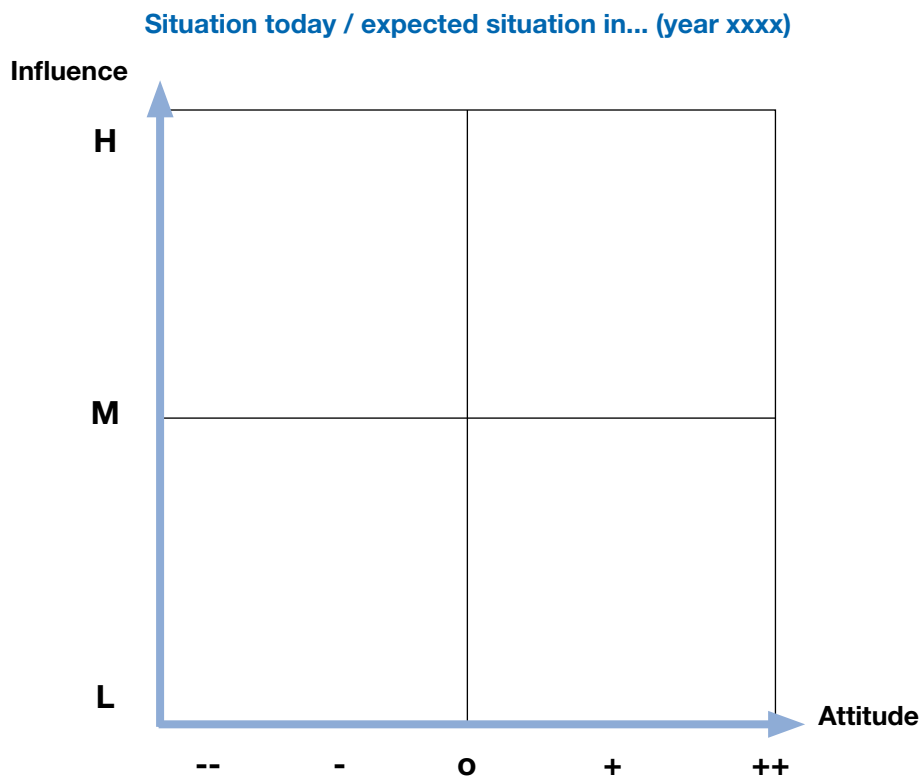
1. For each stakeholder, the participants determine their level of influence according to the following criteria:

- H: high; stakeholder has power of veto, formally or informally.
- M: medium; you could achieve your goal against this stakeholder's opposition but not easily.
- L: low; this person/institution can do little to influence the outcome of your actions.

2. Regarding the attitude of stakeholders, the participants give their best estimate of the level of support:

- ++ strongly in favour
- + in favour
- o indifferent or undecided
- opposed
- strongly opposed

3. The participants chose a specific situation (current situation, past or future), then place all stakeholders according to their level of influence and type of attitude into the following matrix:



Original version: Karl Blanchet

- Guidance Note on how to do a Stakeholder Analysis, Power Point Presentation, 2004
- Capacity Building in Somaliland, Consultancy Report, September 2006

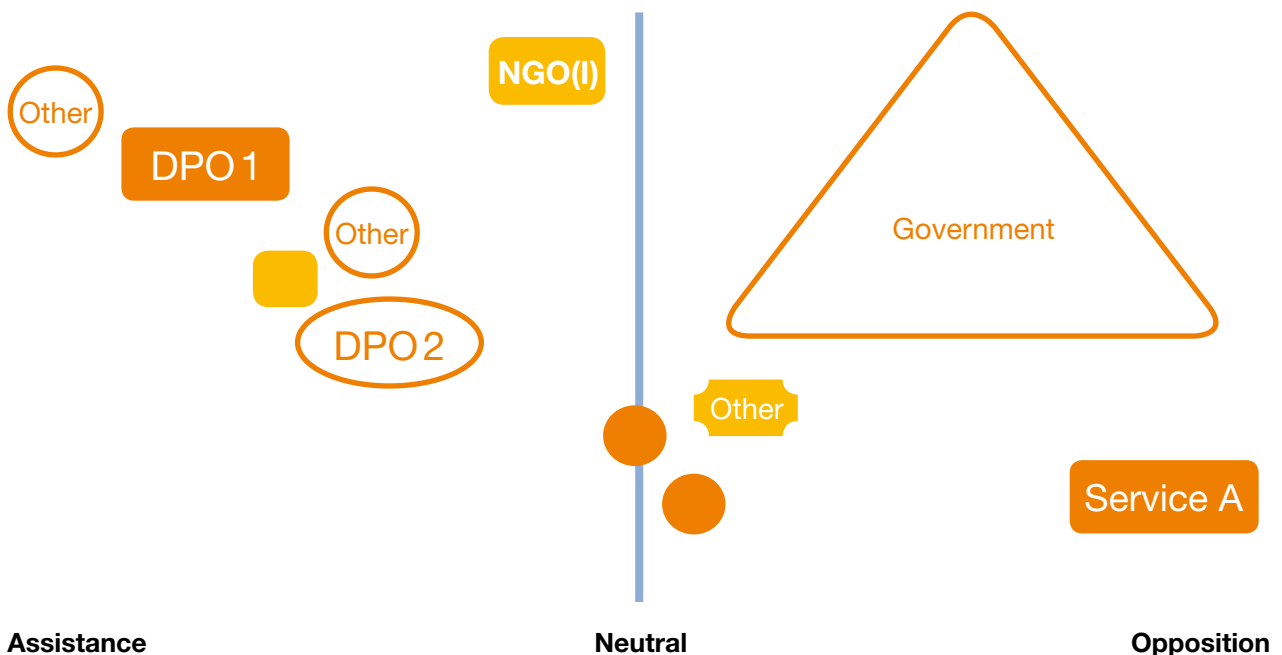
POWER MAPPING

A power map not only shows the stakeholders who can support a project but also those who are neutral and those who can actively oppose a project or an action:

The exercise is very similar to the Venn Diagram / sociogram (see page 61), where the circles / pieces of paper of different sizes are associated with the various stakeholders, institutions, groups, services or programmes. Their size varies according to the importance of the stakeholder or the institution. The distance between the different circles (or their degree of overlap) indicates the intensity of the contact or the mutual influence.

However, in a Power Map, we also identify two areas, support and opposition, which are separated by a line which indicates a neutral zone. You should write down the various stakeholders on different types of paper (for example by using different colours and sizes etc; photos and drawings can also be useful) and arrange them in relation with the objective / the target that you wish to achieve and according to their relationship with each other.

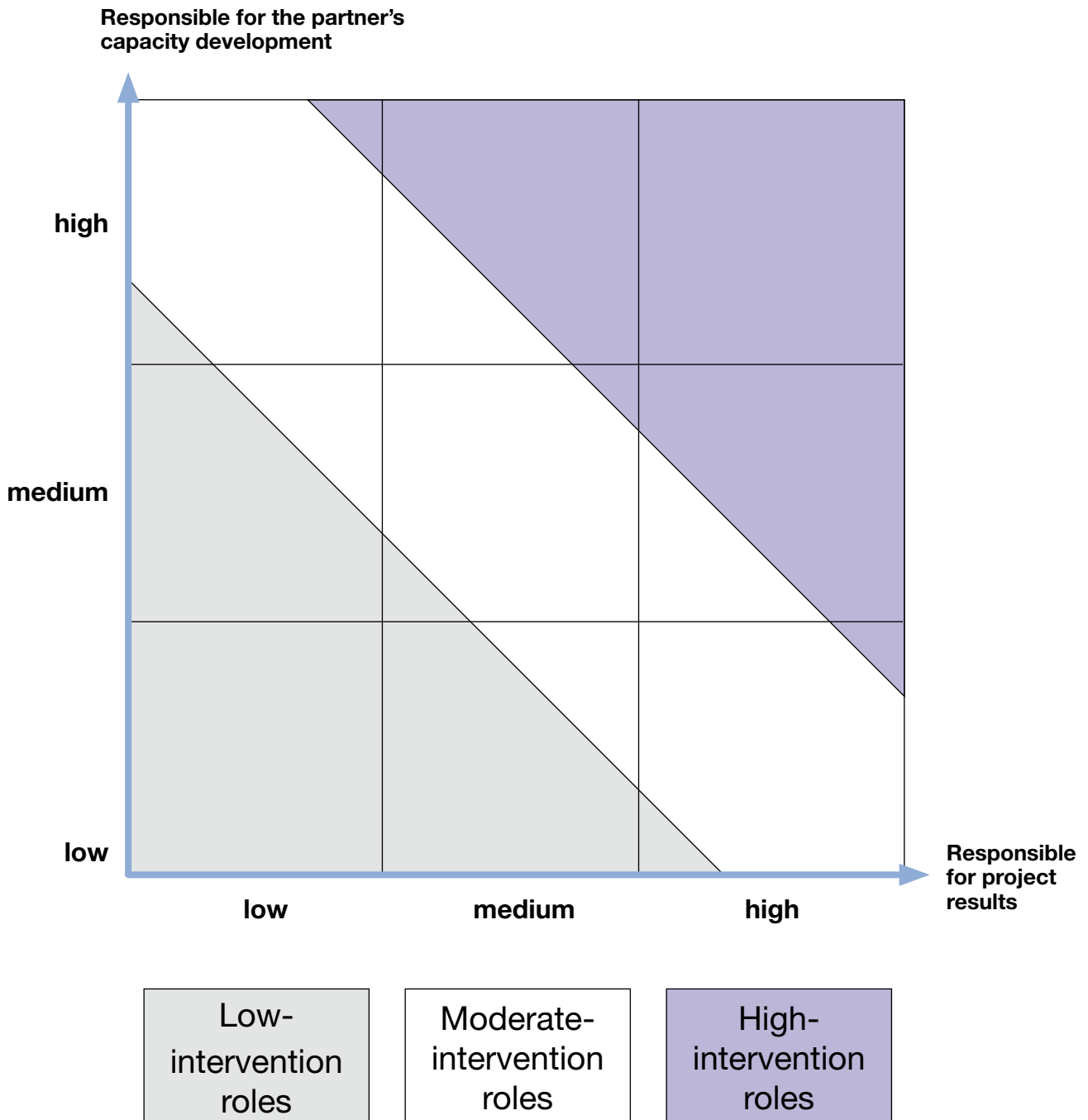
Objective: Improvement in the management of health services



Carte du Pouvoir, modified version of CEDPA (1999): Advocacy: Building Skills for NGO Leaders. Disponible sur: www.cedpa.org, p. 24.

THE CHAMPION

When looking for answers to the question “who is responsible for what?” this table facilitates discussion, either within a team or with a partner, about the roles and responsibilities of both on two levels: capacity development of the partner organization and the results of the shared operational project. The participants choose a decisive moment in past, present and/or future co-operation and discuss their mutual roles.



Modified version, INTRAC / Rick James, 1998, “Demystifying Organisation Development”, p. 34 ; original dans Kiel, McLendon, Consulting Role Grid, dans: Lynton and Pareek, Facilitating Development, London 1992

TIMELINE: HISTORY OF A PROJECT, A RELATIONSHIP OR A SPECIFIC COOPERATION

Objectives

- To enable the participants to produce a timeline indicating significant events, achievements, setbacks and changes in the history of the organisation.
- To have a better understanding of the specific context of a project / an activity or a partnership.
- To encourage discoveries that can be analysed later using specific exercises
- To assess the organisation's capacity for learning and managing change
- To provide a reference point for later assessment of the impact of important changes on the organisation's development.
- To help to identify external forces

Selection of Participants

- Longest serving members of the organisation, leaders, administrative staff and field staff
- When evaluating a project, an activity or a partnership, the implication of key partner organisations needs serious consideration. The partners could establish their own timeline in an independent group. The results should then be compared and discussed.

Steps

1. Present the blank timeline diagram and explain that the timeline helps to outline an historical sequence of events over a period of many years or decades.
2. Present the checklist of key events to record on the timeline and ask participants to add other important types of events to the list.
3. Have participants list key events in their organisation's history / their project / their partnership relationship. Write these events and the year each took place on cards.
4. Ask the participants to indicate whether each event was "positive", "negative" or "neutral". Positive events are those which improved performance or strengthen the organisation. Negative events are those that set back performance or weakened the organisation.
5. Tape these cards to the timeline, near the corresponding dates and in this order:
 - "Positive" events are placed above the horizontal line
 - "Negative" events are placed below the horizontal line
 - "Normal" or "Neutral" events are placed along the line

Criteria for sorting events into these three categories should be determined by the participants.

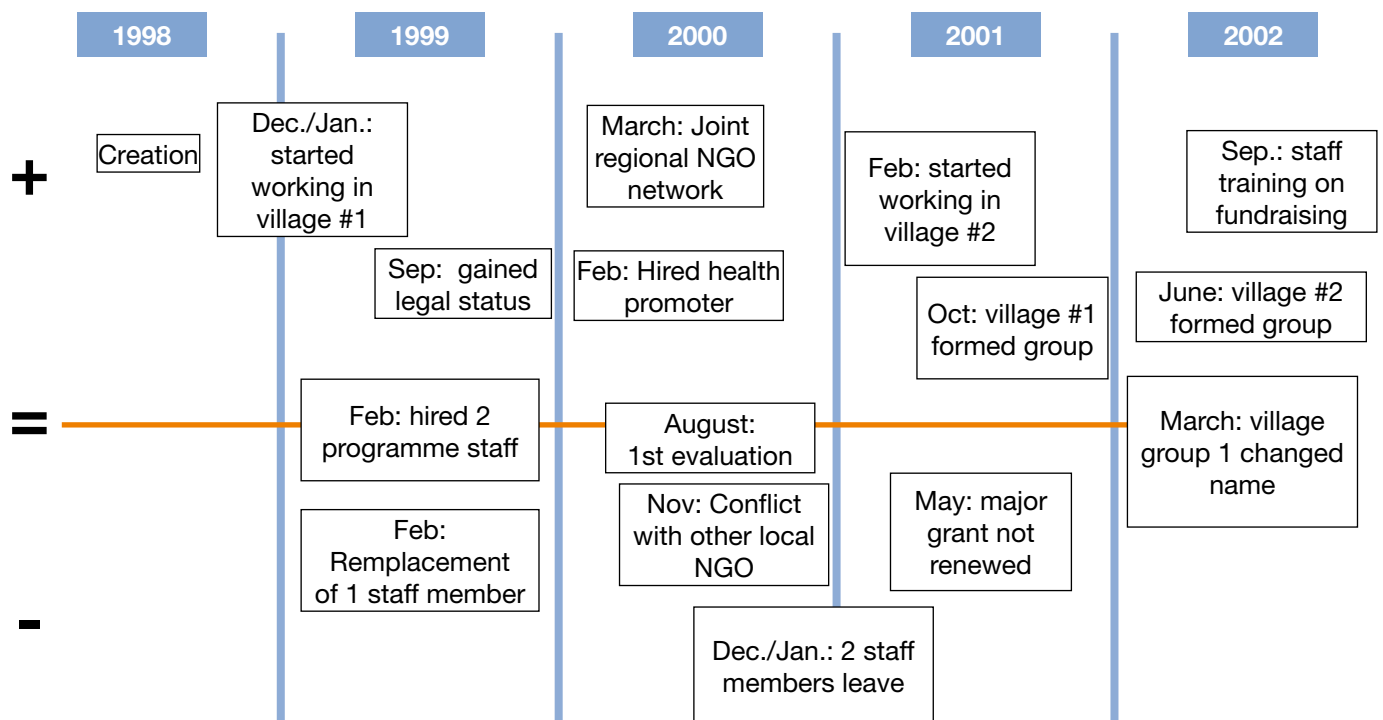
Checklist of Key Events

- Creation of the local organisation / office; start of the project, the activity or of the partnership
- Changes in staff and leadership: expatriates and local
- Funding changes
- Programme evaluation and assessments
- Starting and ending of activities
- Programme shifts in strategy or objectives
- Key training
- Establishment of relationships with external groups
- Gaining legal status
- Changes in organisational systems and procedures
- Internal crises
- Political events effecting staff and working conditions

Semi-structured Interview Questions

- Who was primarily responsible for the creating the organisation (establishing the local office / the partnership)?
- Why did they decide to do so? What was their purpose?
- Why did a particular set-back happen?
- How did the local organisation (local office / project / partnership) expand to reach more groups?
- What brought about a change in the structure or the purpose of the organisation (the local office / the project / the partnership)?
- Why did a leader (important staff member / partner) resign?
- How did you succeed in getting major funding?
- What did you do with the funding received in year X?
- What critical issues affecting your organisation (local office / project / partnership's performance or viability) arise from the analysis of the timeline?

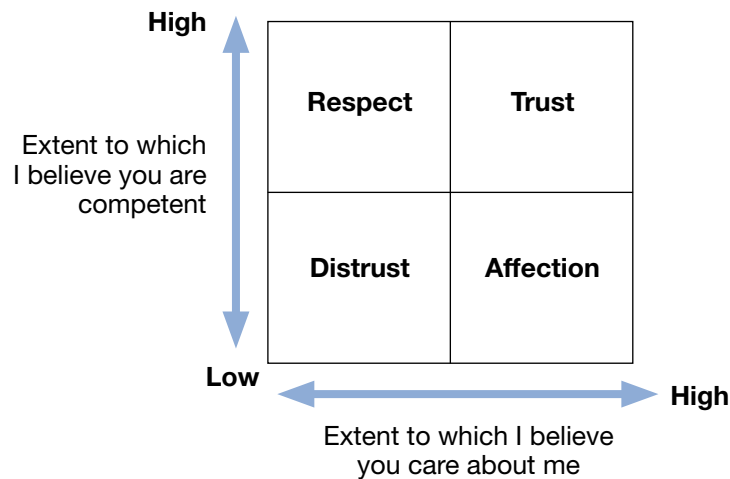
Example:



Modified version ; original in: Gubbels, Peter and Catheryn Koss (World Neighbors) (2000): *From the Roots Up. Strengthening Organisational Capacity through Guided Self-Assessment*. Pp.102-103.

TRUST: COMPETENCY AND CARE

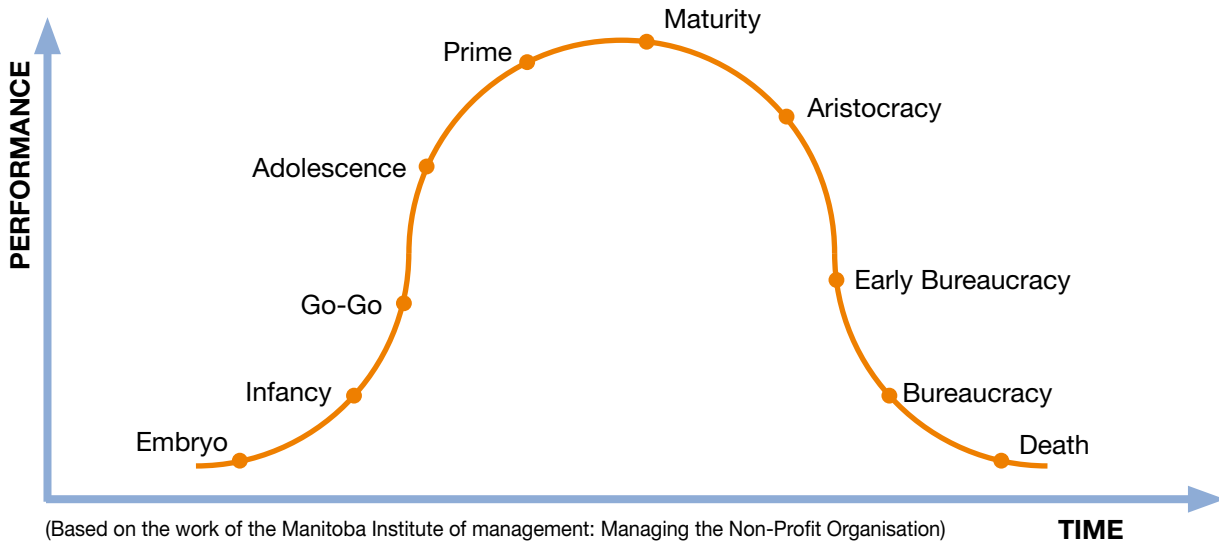
Trust is a combination of two things: competency and caring. Competency alone or caring by itself will not create trust. The model illustrated below shows that if you think someone is competent, but you do not think they care about you, or the things that are important to you, you will respect them but not necessarily trust them. On the other hand, if you think someone cares about you but you do not feel they are competent or capable, you will have affection for that person but not necessarily trust them to do the job in hand.



Original version: Scholtes P., The leader's handbook. Making things happen getting things done, 1998, McGrawHill; IN: Karl Blanchet, Capacity Building in Somaliland, Consultancy Report, September 2006

ORGANISATIONAL LIFE CYCLE

Any organisation passes through different stages during its life. Before starting a process of organisational development, it may be useful to find the position of an organisation in its life cycle. This facilitates the identification of problems linked to the stage in question and the choices concerning the priorities in capacity development for solving these problems. It helps the organisation to continue its development in an appropriate way. The model below illustrates the life cycle. Every stage as well as common problems and solutions are examined in detail:



Stage and Characteristics	Problems	Solutions
<p>Embryo Just an idea – organisation not yet born. Founder in the process of building of commitments. The idea behind the NGO is a perceived rather than an identified constituency need.</p>	<p>It may be completely impossible to implement the idea so the potential NGO may come to nothing</p>	<p>Reality testing of the idea. Nurturing of the embryonic organisation by existing NGOs and donors.</p>
<p>Infancy The organisation has been born! Only very basic policies / systems are developed at this stage. The NGO lacks experience (no track record). It is opportunity driven. Very vulnerable to changes in the external environment.</p>	<p>“Infant Mortality”</p>	<p>Funding. Inexpensive support from other NGOs.</p>
<p>GoGo Finds many more opportunities for diversification but has little experience of prioritising. Everybody knows what everybody else is doing – good communication. Each person shares responsibilities with the others – very participatory.</p>	<p>Founder’s trap: smothering the newly emerging organisation with “love” and preventing it from developing its own independent life. Danger of diversifying too soon and becoming overstretched. May start unrealistic ventures which the organisation is not able to implement.</p>	<p>Sharing responsibilities with other members. Learning to prioritise.</p>
<p>Adolescence A stage of change – can be an emotional re-birth without the founder. Change of leadership may take place bringing a change of organisational culture. Emphasis placed on developing administrative systems requiring different skills and the recruitment of new staff. Founder may “buy” members’ commitment and create a split in the membership. There may be a conflict between “old timers” and “newcomers”.</p>	<p>Rebellion against the founders. Premature aging. Internal conflict. Doubt expressed about the way the organisation is working.</p>	<p>Re-energise the members. Institutionalise a set of procedures. Promote open communication lines for issues to be discussed immediately.</p>
<p>Prime Strong “results orientation”. A balance of self-control, flexibility and responsibility has been reached. Institutionalised vision and creativity in all its work. Strategic approach is strong: knows what it is doing, where it is going and how to get there.</p>	<p>Inward focus may develop. Internal conflict. Reduced commitment. Interest declines. Some doubt may arise about whether the organisation’s priorities are right.</p>	<p>Decentralise decision-making. Diversify activities if necessary. Focus on human development.</p>
<p>Maturity Still strong but losing flexibility and creativity. Takes fewer risks and becomes unwilling to change. Provides fewer incentives to visionary thinking. New ideas received without enthusiasm. Lower expectations for growth. Starts focusing on past achievement instead of future visions. End of growth period and start of decline (watch for signs to take corrective measures)</p>	<p>Lack of vision</p>	<p>Renewal of vision</p>

Stage and Characteristics	Problems	Solutions
<p>Aristocracy Greater proportion of budget spent on administrative control systems. Emphasis on how things are done rather what and why things are done. Low internal innovation. Decline of performance. Formality at the expenses of functionality.</p>	<p>Stagnation</p>	<p>External Shake-up</p>
<p>Early Bureaucracy Much conflict: focus on internal battles. Emphasis on who caused the problem rather than what to do with problem. Members do not feel responsible for what is happening. Performance declines. Concerns are not directed for growth of organisation but survival or self-interest of individuals in the organisation.</p>	<p>Lack of credibility with constituency. Search for “scapegoats” (people on whom to blame the organisation’s problems whether or not they are responsible).</p>	<p>External consultant may be required to take a major look at almost all aspects of organisation. Shedding Senior staff may be necessary.</p>
<p>Bureaucracy Nothing of any importance gets done. Dissociates itself from its environment and focuses mostly on itself. Makes it difficult for outsiders (especially constituents) to gain access. Only remaining systems are administrative rules and regulations. Members know the rules but do not remember why they exist – they only answer “it is a policy”. Unless revived death is imminent.</p>	<p>Lack of activity. Red tape.</p>	<p>By this time death may be the best solution.</p>
<p>Death organisation expires (either quietly in its sleep or painfully if the members are not prepared to move on)</p>	<p>May not accept that death is near. The earlier lessons from the organisation may be lost.</p>	<p>Someone to provide a fitting funeral and mourn the organisation’s demise.</p>

Original version: INTRAC/Oxford, 2005, seminar document

THE VENN DIAGRAM / SOCIOGRAM

OBJECTIVES: To reveal important linkages and constraints according to the perceptions of different groups of participants:

- within an organisation; and/or
- within a certain institutional context, for example: village structures or an institutional environment

MATERIALS: Chalk on a concrete floor OR a stick in the sand OR pens, paper, scissors, tape or glue.

TIME: 45 minutes – 1 hour

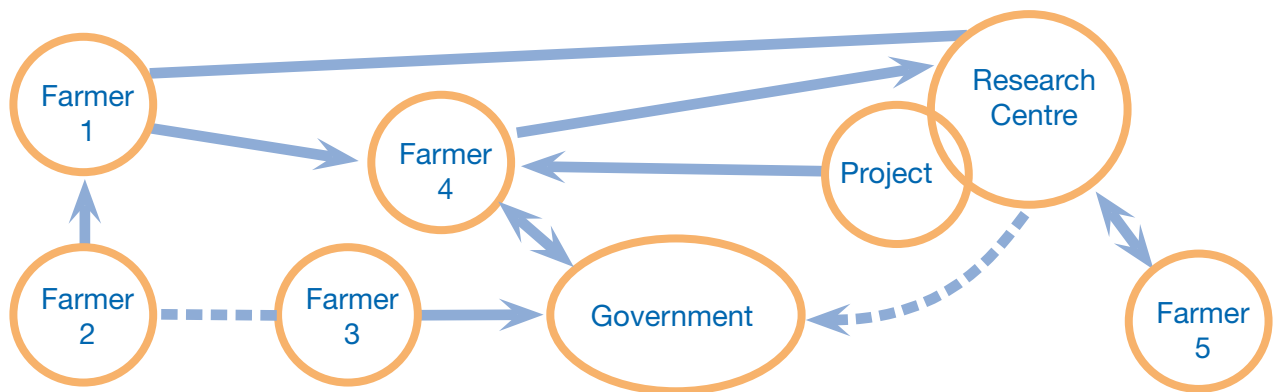
PROCEDURE: Circles of different sizes are allocated to different stakeholders, institutions, groups, departments or programmes. Their size varies according to the importance of the stakeholder or institution. The distance between the different circles (or their overlapping) indicates the intensity of contact and mutual influence.

GROUP METHODOLOGY:

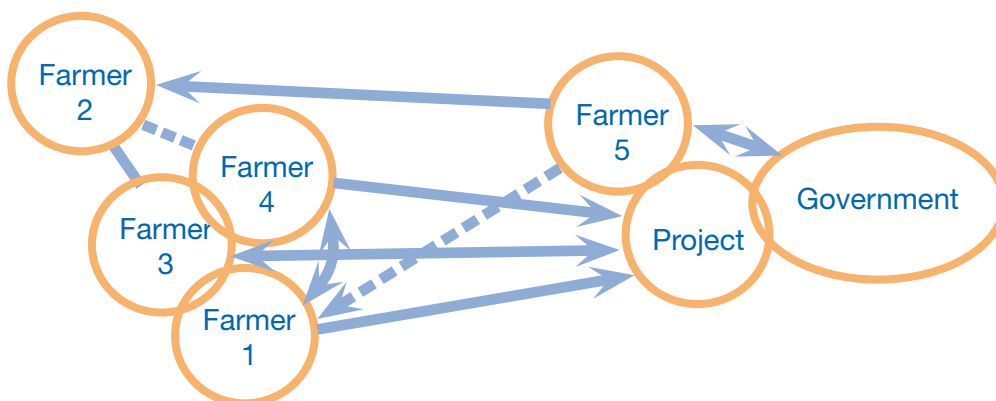
- One group: Constructing a Venn diagram / sociogram together may facilitate the discussion between members of an organisation or a certain environment about linkages, constraints and the structure in general.
- Several groups: Participants should join a group either according to what they know about an organisation or according to hierarchy/department. Each group then produces a Venn diagram / sociogram of their organisation. The different diagrams are then exhibited, and key differences and underlying causes are analysed and discussed.

EXAMPLE:

1 - Venn diagram / sociogram by project staff



2 - Venn diagram / sociogram by farmers



VISIBLE AND INVISIBLE ASPECTS OF AN ORGANISATION

Visible aspects:

These aspects can be observed and they are discussed in a functional way.

- Size (reports, etc.)
- Aims (governing and incorporating documents, etc.)
- Objectives (governing and incorporating documents, etc.)
- Expressed moral values (governing and incorporating documents, etc.)
- Technologies (reports, observation, etc.)
- Projects and activities (reports, observation, etc.)
- Positions and functions, distribution of responsibilities, existing hierarchy (organisation chart, governing and incorporating documents, reference handbook, job description, reports, etc.)
- Financial means (reports, account statements, etc.)
- Products (flyer, reports, observation, etc.)
- Clients (reports, observation, etc.)
- etc.

Invisible aspects: These aspects are intangible and include an affective notion; these aspects can only be experienced indirectly.

- Power and influence
- Experienced moral values
- Interaction and group norms
- Trust and distrust
- Engagement and motivation
- Experienced responsibilities
- Individual relationships: external and internal
- etc.

Metaphors:

They allow us to explain the visible and invisible aspects of an organisation, for example the iceberg or the hippopotamus: They are only partially visible, huge parts are usually invisible because they are under water.

ANALYSING AND CATEGORIZING NGOS

	I - Inactive Associations	II – Recent collective initiatives or associations in the process of changing	III - Developing NGOs	IV – Mature NGOs	V - Unions
Activity level	Very weak and very sporadic activity level.	Low activity level.	Average activity level allowing implementation of the organization's mission.	Very constant activity level allowing implementation of the organization's mission	Constant decrease of the activity level.
Mission and strategy	Very protective mission, without the perspective for alternative development.	Poorly defined mission and strategy.	Capacity to define a medium-term strategy.	Strategy for long term development.	Very protective mission, without perspective for alternative development.
Finances	More stable sources of finances and very low fund raising capacities.	No stable source of finances and high dependence.	Unstable but diversified source of finances.	Good fund raising capacity.	Very dependent on the State and having an increasing loss of income.
Structure and organisation	Closed, self-centred and not very democratic organization.	No structure, simply an initiative carried out by some individuals.	Open and relatively democratic organization.	Work in network, democratic, culture of learning organization.	Closed, self-centred, not very democratic organization.
Links with the community	No real active role in the community.	No real active role in the community.	Recognized by the community.	Stakeholders in the community.	Becoming less representative.
Motivation and involvement of members	No real involvement of the members.	Motivated for development but without knowing how to proceed.	Motivated to learn and develop.	High level of motivation and desire to help other organizations.	Resistant to change, great difficulty to adapt.
Estimation:	30%*	35%*	25 %*	5 %*	5 %*
Possible expectations:	Survival of the structure.	Improvement of capacities.	Improvement of capacities, development of links and testing of experiences.	Development of links and development of innovative, relevant and effective approaches.	Better understanding of the change process.

Version originale: HI project "SHARE-SEE", Balkan

RICH PICTURE - MIND MAP

OBJECTIVE:

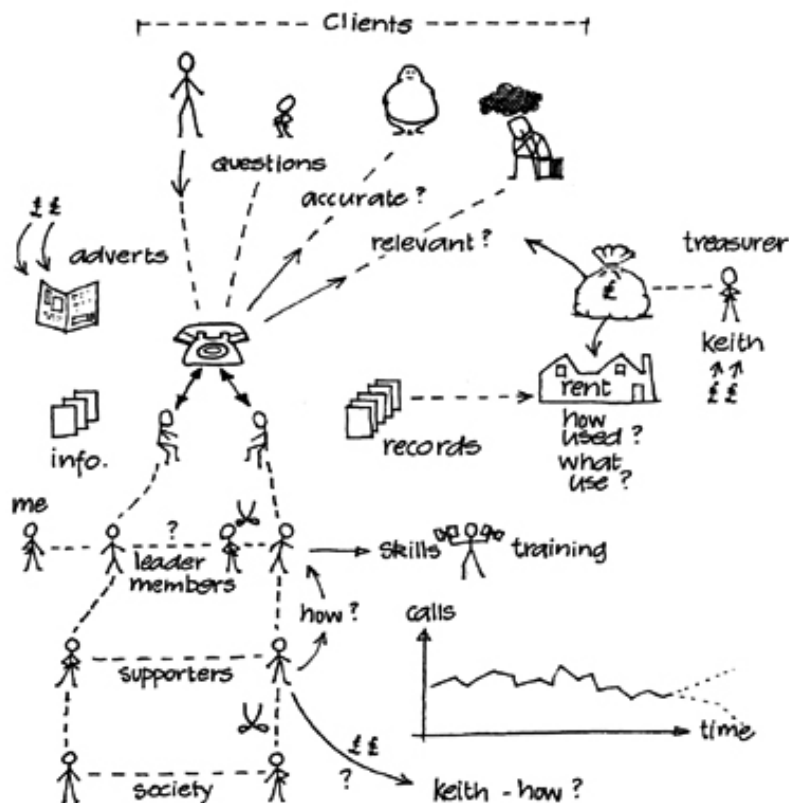
A rich picture expresses how an individual or group sees a particular situation. The pictures make it possible to think about systems, explore factors in the wider environment, identify issues, problems or concerns and represent them as metaphors. Drawing a rich picture is one way of mapping human systems which involve multiple relationships. It can be a better medium than writing for expressing these complex relationships because pictures encourage a more dynamic and holistic representation of a situation as they allow people to express their ideas creatively – in short they can provide a rich amount of information in an easily digestible form, for example:

- as an organisation chart or organisational drawing – which uses lines, bubbles, broken lines, circles etc. to represent the nature of relationships
- as a collection of different smaller drawings representing different elements of the situation

The process starts with the identification of a problem. The participants use the methodology of rich pictures to examine the problem as well as its context and illustrate their different points of view. On a large sheet of paper the participants draw symbols, images and words that characterise the situation. They start with physical evidence like the environment, organisations, the persons involved, key elements etc. in order to identify and to draw the main links and relationships between them later on.

Modified version, original version: Praxis Paper 7, page 15: Building Analytical and Adaptive Capacities for Organisational Effectiveness © INTRAC 2005.

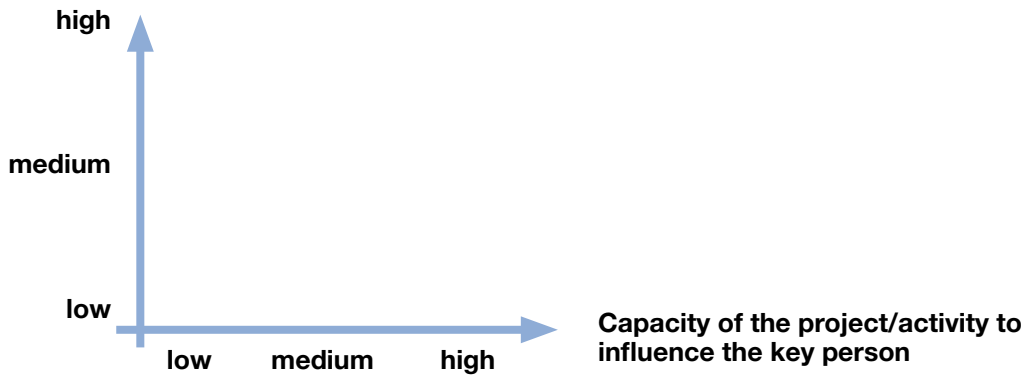
The following example is part of a rich picture that describes a telephone helpline situation (<http://systems.open.ac.uk/materials/t552/pages/rich/richAppendix.html>)



INFLUENCE OF KEY PERSONS / ORGANISATIONS ON A PROJECT

This tool serves to discuss the influence of a particular person, stakeholder or organisation on a specific project. To identify this influence, the following two questions may guide the team: What is the influence of each main stakeholder on the project? What is the influence of the project on this stakeholder?

Capacity of a key person to influence the project/activity

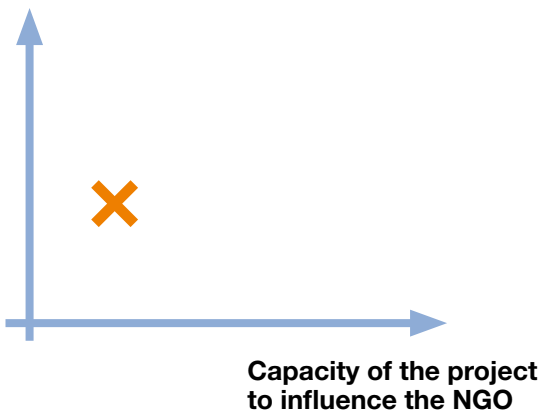


This tool may be used to analyse what influence the project has on one key person/stakeholder at a time; it is also possible to include all of the most important stakeholders.

Example 1:

The NGO and a project

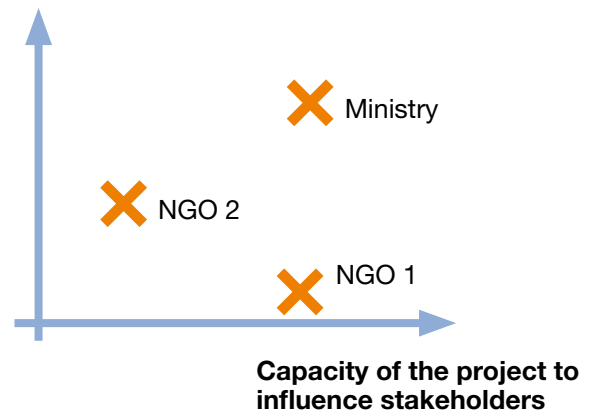
Capacity of the NGO to influence the project



Example 2:

A number of stakeholders and a project

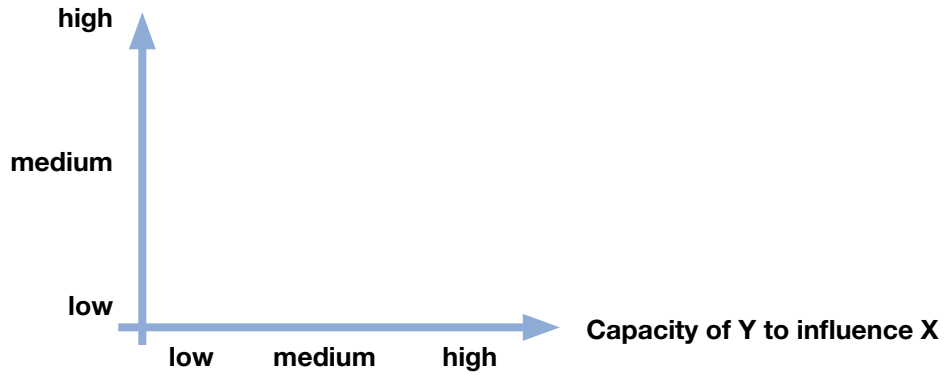
Capacity of stakeholders to influence the project



INFLUENCE BETWEEN KEY PERSONS / STAKEHOLDERS

This tool may be used to discuss the influences between two persons or organisations at a specific time. It allows both to be placed on the two axes to show what the influence of X is on Y, and vice versa.

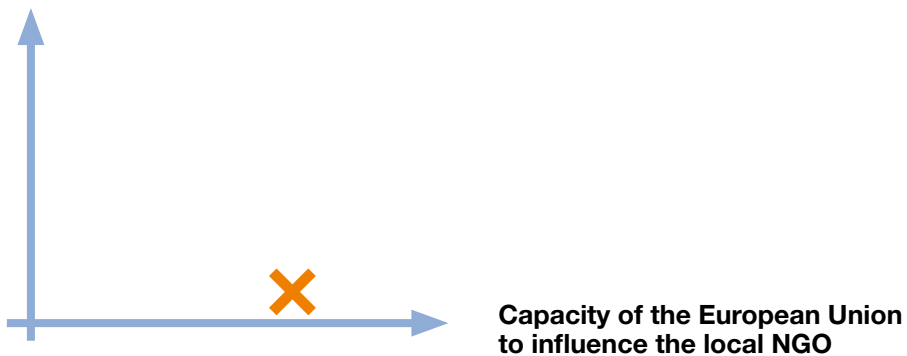
Capacity of X to influence Y



Example :

A local NGO and the European Union

Capacity of the local NGO to influence the European Union



INVENTORY, RANKING AND CLASSIFICATION OF STAKEHOLDERS AND CRITERIA OF CHOICE

Running projects: Inventory, ranking and classification of stakeholders

Planned projects: criteria of choice of a partner

1. Structured brainstorming of all participants

Who are the most important stakeholders in the chosen field? (disability, PRSP, agriculture, others).

Use the following list to complete the brainstorming session if necessary:

- ▶ Associations **OF** people with disabilities:
- ▶ Associations **FOR** people with disabilities:
- ▶ Associations of professionals:
- ▶ Governmental structures:
 - Ministry 1
 - Politics:
 - Technical/executing:
 - Technical/decision:
 - Ministry 2
 -
 - Ministry 3
- ▶ Decentralised governmental structures/services:
- ▶ Community-based organisations:
- ▶ International organisations:
- ▶ Religious authorities:
- ▶ Private sector: enterprises and private businesses:
- ▶ Resource persons/individuals:
- ▶ Others: ...

2. What are the criteria for deciding on the importance of a stakeholder/organisation?

- ▶ Implemented activities/projects: history and experiences of past cooperation and project implementation
- ▶ Size: human, physical and financial resources
- ▶ Legitimacy: number and level of satisfaction of members (representativeness)
- ▶ Relationships: with key persons in the community, politicians, the media, etc.
- ▶ Type of organisation: identity (vision, ambitions, motivation, etc.), its mission (mandate), its internal functioning and structure, staff (permanent staff, volunteers, etc.), and so on.
- ▶ Commitment for and dedication to a change process
- ▶ Ownership of the project
- ▶ Impact on target groups
- ▶ Sharing the same values, vision, approaches (perception of people with disabilities)
- ▶ Informal contact, "feeling"
- ▶ Existing strategy
- ▶ Minimum structure and operational capacities
- ▶ Transparency
- ▶ Capacity for learning and adapting
- ▶ Capacity for making propositions
- ▶ Capacity for negotiation
- ▶ Credibility
- ▶ Quality of performance
- ▶ Decision-making process within the organisation
- ▶ Others: to be discussed!

3. Establish a ranking of stakeholders/organisations according to the criteria fixed in step 2

TABLE OF CLASSIFICATION

Name of the organisation : _____

Date: _____

Points: 0 – non-existent / very low
 1 – exist but still need improvement
 2 – high level, might need some specific input (on demand)

Decisive criteria (as agreed in step 2)	Points	Comments
Ex.: Financial resources		
Ex.: Material resources		
Ex.: Staff capacities		
Ex.: Motivation		
Ex.: Management		
Ex.: Structure		
Ex.: Mission		
Ex.: Strategy		
Ex.: Identity		
Ex.: Vision		
Ex.: Quality of activities		
Ex.: Links with the community		
Ex.: Implication of members		
Others		
...		
TOTAL POINTS		
Possible expectations	Survival of the structure, improvement of..., etc.	

Explanations:

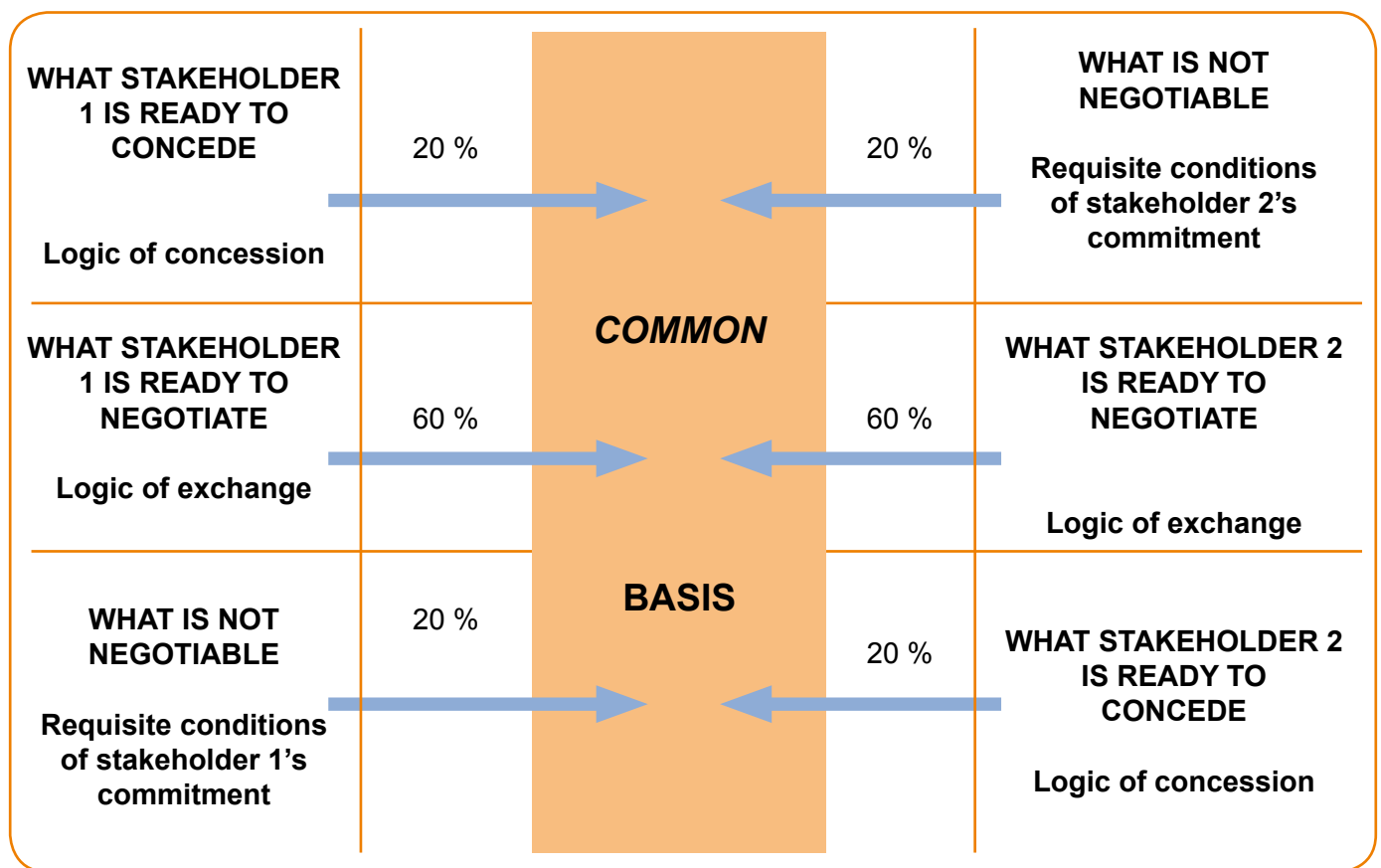
Each team which is looking for a partner needs to develop its own way of interpreting the results of this table of classification:

- Are there priority elements in this table of classification? What are they?
- Is it more important to choose a partner who scores highly overall, or is it more important that they have a good score for priority elements?
- Is the intervention “worth it” if the organisation scores badly either in terms of the total points or in relation to priorities?
- By looking at all the organisations and institutions which co-operate: can you group together stakeholders which have a similar score? Would it be useful to put them in the same category or not?

DEFINING THE BASIS OF THE NEGOTIATION

A win- win – situation?

Negotiation is a fundamental part of the partnership approach. The objective is to establish the terms of a fruitful collaboration for both stakeholders, in which each side is respected. In this process it is important to know what is and what isn't negotiable (ethical values or constraints related to financial or legal obligations, for example). It is also important to remember that each stakeholder has its strategies and that it is essential to take the time to negotiate. This process will be formalised by a contract. Establishing what is and what isn't negotiable should be done as a team (...). In adopting a win-win approach in the negotiation, it is important that what is not negotiable balances out what is conceded and that what is negotiable plays the biggest part. Indeed, too much non-negotiable would mean a position of superiority (...), too much concession would produce an imbalance in the opposite sense. A significant part of the relationship is formed through what is negotiable.



Original version: *guide partenariat, Handicap International 2003, p. 57*

STAKEHOLDER MATRIX

This tool is more complex than the Venn Diagram / sociogram (see page 61), but also more systematic in its application:

Version 1:

- List all key persons or main organisations of a specific field (p. ex.: representatives of department 1 or associations of persons with disabilities) on the vertical axis of the matrix.
- List all key persons or main organisations of another field (p. ex.: representatives of department 2 or government representatives) on the horizontal axis of the matrix.
- Discuss the relationship between two key persons or main organisations and fill in the “relationship” boxes accordingly.

Double entry

	Stakeholder A	Stakeholder B	Stakeholder C	Stakeholder...
Stakeholder 1	Relationship of stakeholder 1 with stakeholder A	Relationship of stakeholder 1 with stakeholder B	Relationship of stakeholder 1 with stakeholder C	Relationship of stakeholder 1 with stakeholder
Stakeholder 2	Relationship of stakeholder 2 with stakeholder A	Relationship of stakeholder 2 with stakeholder B	Relationship of stakeholder 2 with stakeholder C	Relationship of stakeholder 2 with stakeholder
Stakeholder 3	Relationship of stakeholder 3 with stakeholder A	Relationship of stakeholder 3 with stakeholder B	Relationship of stakeholder 3 with stakeholder C	Relationship of
Stakeholder...	Relationship of...	Relationship of...	Relationship of...	Relationship of...

Version 2:

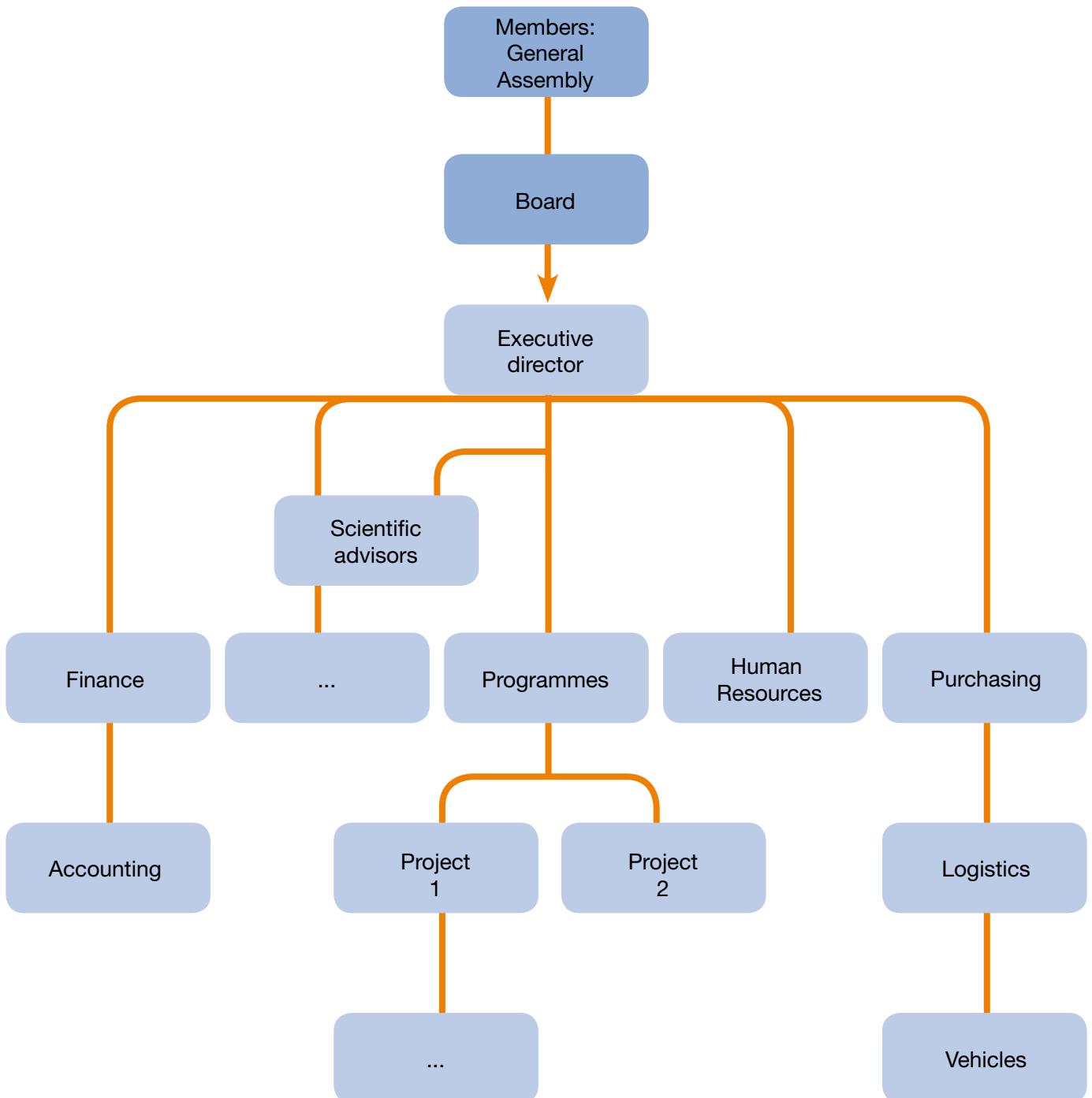
- Write down all key persons or main organisations on the vertical axis of the matrix.
- Write down the same key persons or main organisations on the horizontal axis.
- Discuss the mutual influence of two key persons or main organisations and fill in the “impact” boxes accordingly.

Double entry

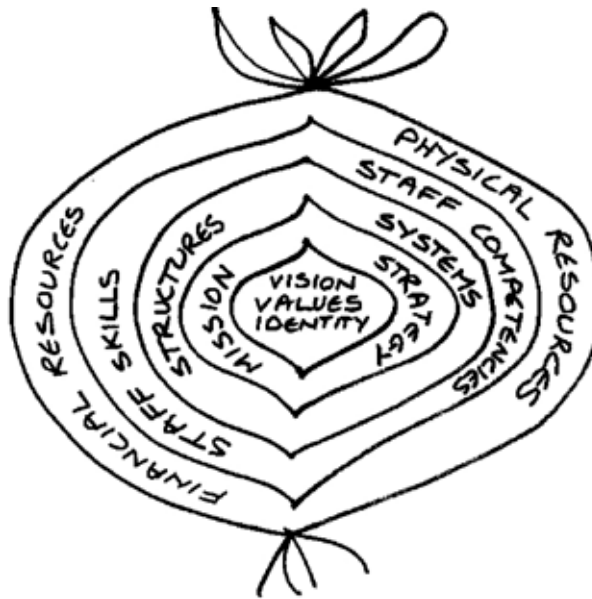
	Stakeholder 1	Stakeholder 2	Stakeholder 3	Stakeholder...
Stakeholder 1		Impact of stakeholder 1 on stakeholder 2	Impact of stakeholder 1 on stakeholder 3	Impact of stakeholder 1 on stakeholder
Stakeholder 2	Impact of stakeholder 2 on stakeholder 1		Impact of stakeholder 2 on stakeholder 3	Impact of stakeholder 2 on stakeholder
Stakeholder 3	Impact of stakeholder 3 on stakeholder 1	Impact of stakeholder 3 on stakeholder 2		Impact of
Stakeholder...	Impact of	Impact of	Impact of	

ORGANISATION CHART

An organisation chart is a visual representation of the formal hierarchy of the organisation. It can be used to identify areas of the organization which need to be strengthened. However it is also important to explore structures, groups and informal connections to obtain a complete picture of the organization, from which a process of capacity development can be put in place.



THE ONION SKIN MODEL



The outside and most visible layer of the onion represents the physical and financial resources that an organisation needs – the money, the buildings, the vehicles and equipment. Inside that layer are the human skills and knowledge to carry out the organisation’s work – the individual staff competencies and abilities. Within that are the structures and management systems (such as monitoring and evaluation, HR, IT, fundraising and financial management systems) needed to make the organisation work. Getting closer to the centre are the mission and the strategy of the organisation – what it wants to achieve and how it plans to do so.

Finally – right at the centre – lies the heart of the organisation: its identity, values, and its vision of the future world it is trying to shape.

This model is based on the ideas that there is a need for coherence and consistency between the different layers and that any changes in one layer are likely to have implications for other layers. The onion-skin model also emphasises the importance of ensuring that the heart of the organisation is sound before embarking on a capacity – building process aimed at other layers.

Remember: “The onion grows (and rots) from the heart”!

INTRAC / Rick James, 1998, “Demystifying Organisation Development”, p. 3

FOUR STAGES OF NEGOTIATION

FIRST STEP: internal preparation - establishing a strategy

- The purpose: What are we doing / do we want to do? What is our final objective? Why are we doing what we are doing?
- The stakeholders' system: analysis of the situation and the environment
 - Our identity and profile: Who are we? What is our identity as a national / international stakeholder on a local level?
 - The identity of other stakeholders: who are the other stakeholders? What are they doing? Why?
- Interpretation and synthesis of results: What is our position within this environment or field? With whom do we cooperate (criteria of choice of partners)? Why?
- The development: What is the intended development? What are indicators for this development?

SECOND STEP: The first contact(s)

- Meeting(s): getting to know each other, presentation of each organisation, exchange of information
 - Decision about any further co-operation and partnership
- In the event of a positive decision:
- Establish a schedule for further negotiations: purpose, dates, persons, places, necessary materials, etc.

THIRD STEP: Meetings for negotiation

Establish a common identity:

- Definition of common objective(s)
- Establish a joint strategy for the common project
- Positioning of stakeholders: motivation and expectations
- Identification of complementarities, possible points of conflict and realistic mechanisms for a solution (conflict management)
- Definition of roles and responsibilities (rights and duties), procedures and functioning concerning the implementation of activities, monitoring and evaluation

FOURTH STEP: Agreement

On two levels:

- The partnership agreement establishes a general framework concerning the relationship between HI and a partner, maximum 3 – 4 pages
- The project contract or the annual implementation plan explains the operational details concerning the activities of a project, the distribution of roles and responsibilities, the mutual rights and duties, etc.

AIMS OF AN ORGANISATIONAL (SELF-) ASSESSMENT

The table below indicates the situations in which an organisation can decide to undertake an organisational (self-) assessment and provides answers to the questions mentioned for each situation:

	Why ? (motivation)	What ? (content)	How? (approach)	With whom ? (partner(s)s)	By whom? (facilitator(s))
Choice of a new partner					
Collection of data and information					
Identification in terms of capacity development					
Auto-evaluation					
Organisational (self-) assessment as an integral part of organisational development					

Original version: Mia Sorgenfrei, Organisational Assessment training course for IFAID, Bordeaux/ France, 2006

EXPECTATIONS CHART

Purpose

The smooth functioning of an organisation or of a team depends mainly on the quality of inter-relationships between the persons involved. A hidden conflict within a relationship will always affect the daily work. Often such a conflict is caused by mutual expectations that do not correspond.

Objectives

- To identify the mutual expectations between several persons or stakeholders
- To discuss their differences and their causes.

Steps

1. The participants agree on the names to place in the matrix.
2. Every person fills in the matrix according to his/her own perception and opinion.
3. The participants compare and discuss the reasons for the existing differences.

Example:

- Claire expects more respect from Marc.
- The association of villagers expects a better involvement in decision-making from the governmental services.

	Person 1	Person 2	Person 3	Person 4	...
Person 1 expects from ...					
Person 2 expects from ...					
Person 3 expects from ...					
Person 4 expects from ...					
...					

OWNERSHIP CHART

Purpose

The process of empowering an organisation for better independence and autonomy is a project which in itself demands a clear distribution of roles and responsibilities between the concerned stakeholders. This tool facilitates the discussion about the distribution of roles and about the question of the ownership of a project or an activity by one stakeholder or another.

Objectives

- To identify the different perceptions in respect to the autonomy and independence of one stakeholder in the implementation of a specific activity.
- To discuss the existing differences.

Steps

1. The participants agree on the project to be discussed.
2. They list specific activities on the vertical axis and the stakeholders involved on the horizontal axis.
3. Every person fills in the matrix according to a scale ranging from a minimum of 1 point to a maximum of 5 points.
4. The participants compare and discuss the reasons for the existing differences.

Project/activity: ...	Person 1 or organisation 1	Person 2 or organisation 2	...
Ex.: Who identified the problem?			
Ex.: Who proposed a solution? (= project proposal)			
Ex.: Who funds activities?			
Ex.: Who takes the decisions?			
Ex.: Who supplies the technical expertise?			
Ex.: Who mobilises the human resources?			
Ex.: Who manages the project resources?			
Ex.: Who links the different stakeholders?			
Ex.: Who evaluates them?			
Ex.: Who is responsible for the fund?			
Ex.: Who is responsible for the results?			
Ex.: Who manages any conflict that may arise?			

RESPONSIBILITY CHARTING: RASI

Responsibility charting clarifies behaviour that is required to implement important changes, actions or decisions.

Two or more people whose roles inter-relate or who manage independent groups formulate a list of actions, decisions or activities that affect their relationship.

1. Record the list on the vertical axis of the chart below.
2. Identify people involved in each action or decision and list their names on the horizontal axis.
3. Chart the required behaviour of each stakeholder with regard to each of the actions or decisions in the vertical axis using the key below:

R = has the responsibility for an action, but not necessarily the authority

A = must approve (has power to veto the action)

S = must support (has to provide resources for the action but not necessarily agree with it)

I = must be informed or consulted before each action, but cannot veto it

- = irrelevant to the particular action

Ground rules:

- No box may contain more than one letter
- No more than one R can exist for an activity. Agreement on where the R resides is a crucial step.
- Once the R is placed other letters can be assigned.
- Avoid assigning too many A's. Renegotiate to change some A's into S's or I's

The chart should be tested with those stakeholders not present during its production. Its usefulness lies not only in achieving agreement about the roles in the chart, but in the understanding and appreciations of people's roles and required behaviours that are necessary for the change to happen.

	Stakeholder 1	Stakeholder 2	Stakeholder 3	Stakeholder 4	Stakeholder 5	Stakeholder 6
Activity 1						
Activity 2						
Activity 3						
Activity 4						
Activity 5						
Activity 6						
Activity 7						
Activity 8						

2. Handicap International Projects

2.1 CAPACITY DEVELOPMENT OF DPO/NGO/MOVEMENTS

Balkans, SHARE-SEE:

Renforcement d'un mouvement régional d'associations de personnes en situation de handicap

- ADS – CIL – HI – IC LOTOS – POLIO+: January 2003 – December 2004 First Phase Final Report. 2005
- Alana Officer: Independent Assessment of the Self-Help & Advocacy for Rights and Equal Opportunities South-East-Europe (SHARE SEE) Programme. Bosnia and Herzegovina, Serbia and Kosovo in the Federal Republic of Yugoslavia, Albania and FYR Macedonia. 2005
- Handicap International: A regional strategy for South-East-Europe 2004 – 2009: Towards a full participation of people with disability in society (working paper). Belgrade / Serbia & Montenegro, 2004
- Delphine Pastiaux: Partnership – Balkans Mission: Serbia, Bosnia, Montenegro, Albania, Kosovo, Macedonia. Final Rapport. Lyon / France, 2001

Burkina Faso: Capacity development of a movement of associations of people with disabilities

Brazil: Capacity development of Vida Brasil (Valorização do Individuo e Desenvolvimento Ativo), association for people with disabilities

Kosovo: Pascale Giron: Appui organisationnel: quelle place et quel rôle pour HI ? Présentation lors du séminaire "partenariat" à Lyon / France 2001

Mali: Bamako - Fédération OPH + AGR: renforcement du mouvement associatif (associations de personnes en situation de handicap) grâce à des micro-crédits (cet exemple est intéressant, mais difficile à analyser en raison de l'importance et de la complexité de la Part crédit)
Stefanie Ziegler: Rapport de mission, Bamako / Mali, 2002

Madagascar: Capacity development of a movement of associations of people with disabilities

Senegal: Barthélemy Batiéno: Bilan du projet "soutien associatif" au Sénégal. Ouagadougou / Burkina Faso, 2004

Somaliland:

- Blanchet Karl, Capacity development in Somaliland, Consultancy Report, London / UK 2006
Christele Morel, Ulrike Last: Draft of light assessment of local organisations. Introduction. Hargeisa / Somaliland, 2005
- Delphine Pastiaux: OCAT - organizational capacity assessment tool. Hargeisa / Somaliland, 2002 – funded and implemented by Save the Children / US.

Togo: Capacity development of the national federation of associations of people with disabilities

- Karl Blanchet: Présentation du partenariat programme Togo. Présentation lors du séminaire “partenariat” à Lyon / France 2001
- Mia Sorgenfrei: rapport du séminaire “Partenariat”, mai 2007, dans le cadre du projet “Appui structurel aux associations”. Paris / France 2007
- Mia Sorgenfrei: Evaluation finale. Paris / France 2007
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- Kamilou Wahabou: Avantages et problèmes d’un travail en réseau: cas de la FETAPH au Togo. Rapport étude de terrain. Geneva / Switzerland
- Uzbekistan: Capacity development of associations of people with disability

West Africa: Daniel Dicquemare: Appui aux associations de personnes handicapés et de professionnels en Afrique de l’Ouest francophone. Ouagadougou / Burkina Faso, 2004

2.2 CAPACITY DEVELOPMENT OF REHABILITATION SERVICES

Burkina Faso: Rehabilitation Project

- Vanessa Rousselle: Eléments de positionnement HI. Ouagadougou / Burkina Faso, 2004
- Vanessa Rousselle: Rapport de passation de Vanessa Rousselle à Bérénice Déchamps. Ouagadougou / Burkina Faso, 2004

Benin:

Luc Pariot: Le positionnement dans un partenariat. Etude de cas d’un expatrié à Handicap International au Benin. Présentation lors du séminaire “partenariat” à Lyon / France 2001

Ethiopia: Empowerment of RaDo for the management of small centres of rehabilitation, 2000.

Guinea: Organisational Assessment of the centre of rehabilitation, SongES, 2001

Ivory Coast:

Handicap International / Karl Blanchet: Evaluation organisationnelle de Vivre Debout, Cote d’Ivoire, 2005

Lebanon: Renforcement de l’association Arc en Ciel

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Liberia: Début d’autonomisation du Monrovia Rehabilitation Center

Stefanie Ziegler: Programme Liberia: Assessment of partnerships. Report of mission. Munich / BRD 2004

Mali:

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- Vanessa Rousselle: Approche à la performance – réadaptation fonctionnelle ; aide mé-

moire. Bamako / Mali, 2006

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Sierra Leone: Capacity development of a centre of rehabilitation

Somaliland: Capacity development of an association for the anagement of the Hargeissa Rehabilitation Centre

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- Stefanie Ziegler: Evaluation de la Stratégie Pluriannuelle 2003 – 2006. Rapport de Mission. Munich / BRD, 2006

Angola: Savi Gabrielle: Capitalisation on networks strengthening, community-based approach and partnership in Mine Risk Education project, Lessons learned from Angola's experience. Lyon / France 2006

Balkans:

- Delphine Pastiaux: Partnership – Balkans Mission: Serbia, Bosnia, Montenegro, Albania, Kosovo, Macedonia. Final Rapport. Lyon / France, 2001
- Stefanie Ziegler: Seminar "Partnership", final report. Munich / BRD 2001

Bangladesh:

Karl Blanchet, Golam Nabi Jewel: Evaluation of the 3 year Project "Capacity building of key service providers and policy makers to create equal opportunities for and full participation of people with disabilities" Implemented by Centre for Disability in Development (CDD) with the support of Handicap International (HI), Bangladesh. Dhaka, Bangladesh 2006

Bosnia:

- APM
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Burundi:

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séminaire “partenariat” à Lyon / France 2001

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Kosovo:

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- Stefanie Ziegler: LADCA – HI: Assessment of potentials and perspectives for a future cooperation. Report of mission. Munich / BRD 2005.
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Rwanda: Autonomisation de l’association locale “Action Nord – Sud Rwanda” de développement rural

Stefanie Ziegler: Association “Action Nord – Sud Rwanda”, Etat des lieux et recommandations, Rapport de mission. Munich 2004

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Thierry Agagiate: South Asia Regional office – Charter. Présentation lors du séminaire “partenariat” à Lyon / France 2001

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