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# INTRODUCTION

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<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
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<tr>
<td>AIDS</td>
<td>Acquired Immune Deficiency Syndrome</td>
</tr>
<tr>
<td>AGM</td>
<td>Annual General Meeting</td>
</tr>
<tr>
<td>BONASO</td>
<td>Botswana Network of AIDS Services Organisations</td>
</tr>
<tr>
<td>CCE</td>
<td>Community Capacity Enhancement</td>
</tr>
<tr>
<td>CCE-CC</td>
<td>Community Capacity Enhancement Through Community Conversations</td>
</tr>
<tr>
<td>CSO</td>
<td>Civil Society Organisation</td>
</tr>
<tr>
<td>DAC</td>
<td>District AIDS Coordinator</td>
</tr>
<tr>
<td>DDC/UDC</td>
<td>District Development Committee/ Urban Development Committee</td>
</tr>
<tr>
<td>DHMT</td>
<td>District Health Management Team</td>
</tr>
<tr>
<td>DMSAC</td>
<td>District Multi-Sectoral AIDS Committee</td>
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<td>EBP</td>
<td>Evidence-based Planning</td>
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<td>FHI 360</td>
<td>Family Health International</td>
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<tr>
<td>HIV</td>
<td>Human Immuno Deficiency Virus</td>
</tr>
<tr>
<td>ICT</td>
<td>Information, Communication and Technology</td>
</tr>
<tr>
<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
</tr>
<tr>
<td>MLG&amp;RD</td>
<td>Ministry of Local Government &amp; Rural Development</td>
</tr>
<tr>
<td>MOU</td>
<td>Memorandum of Understanding</td>
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<tr>
<td>NASTAD</td>
<td>National Alliance of State and Territorial AIDS Directors</td>
</tr>
<tr>
<td>NSF</td>
<td>National Strategic Framework</td>
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<tr>
<td>OVC</td>
<td>Orphans and Vulnerable Children</td>
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<tr>
<td>PLWHA</td>
<td>People Living with HIV/AIDS</td>
</tr>
<tr>
<td>S&amp;CD</td>
<td>Social &amp; Community Development</td>
</tr>
<tr>
<td>TAC</td>
<td>Technical Advisory Committee</td>
</tr>
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<td>USAID</td>
<td>U.S. Agency for International Development</td>
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<tr>
<td>VMSAC</td>
<td>Village Multi-Sectoral AIDS Committee</td>
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<tr>
<td>WMSAC</td>
<td>Ward Multi-Sectoral AIDS Committee</td>
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INTRODUCTION

The HIV and AIDS epidemic represents the most critical developmental challenge in Botswana’s history. Since the first identified cases in 1985, the Government declared HIV and AIDS a national emergency and committed itself to a long term response. The initial response focused largely on clinical efforts, while public awareness and information campaigns lacked sufficient quality and resources. To address this, a multi-sectorial approach was adopted. Emerging science identifies this approach as the most effective way to fight against HIV and AIDS. Central to this approach is the coordination and collaboration of key partners including Civil Society Organizations (CSOs), government, private sector, and development partners. A successful multi-sectorial approach entails the development and maintenance of strong partnerships and fosters an environment that encourages ownership of the district HIV and AIDS response.

Assessments conducted for various CSOs indicate that a majority of CSOs encounter numerous capacity challenges ranging from institutional development to technical capacity to deliver quality services. In addition to this finding, recent capacity assessments of several CSOs networks and their affiliates reveal that poor skill match, low levels of staffing and weak organizational systems hinder the delivery of services by CSOs. Although the assessments focused on CSOs, they indicated that there is also a need for capacity development for government and private sector partners. Therefore, it is vital that CSOs are well capacitated, so they can become far more efficient and effective at providing HIV and AIDS services to their respective communities.

GOAL AND PURPOSE OF THE TOOLKIT

The Maatla project was established to help significantly and sustainably strengthen the capacity of the civil society sector in Botswana to support HIV and AIDS and related health service delivery. This toolkit supports the goal of Maatla by providing CSOs and district local government with practical tools that will improve the local HIV and AIDS district response in hard-to-reach areas. The toolkit was developed in consultation with district representatives and stakeholders. Recognizing that each district is unique, the toolkit can be adapted to meet local needs.

This Toolkit draws upon the:
- National Strategic Framework
- District Multi-sectoral AIDS Committee (DMSAC) Terms of Reference
- DMSAC Evidence-based Planning (EBP) Toolkit
- National Capacity Building Strategic Framework for Botswana HIV and AIDS Service Organizations
- And many other local guidance documents.

BACKGROUND

TARGET USERS

This toolkit is intended for stakeholders involved in the HIV and AIDS response:
- CSOs
- CSO coalitions
- Government entities
- Private sector
- Network organizations
- Technical Assistance Provider Organisations
ORGANISATION OF THE TOOLKIT

The toolkit has seven modules which are interrelated and intended to build upon one another. The modules are:
- Coordination and Collaboration
- Effective Communication
- CSO Representation
- Planning and Communicating the Plan
- Capacity Development
- Resource Mobilisation for the District Response
- Monitoring and Evaluating the District Response

Each module of the Toolkit will ask four questions:
- What is it?
- Why do we need it?
- How do we do it effectively?
- How do we know it is working?

SUPPORTING INFORMATION

The information below is a brief summary of key reference documents and information for anyone participating in the local HIV and AIDS District Response to be aware of.

- Priority Areas identified in National Strategic Framework II:
  * Preventing New HIV Infections
  * Systems Strengthening
  * Strategic Information Management
  * Scaling Up Treatment, Care and Support
- Five Key Drivers of HIV in Botswana in Know Your Epidemic:
  * Multiple and Concurrent Sexual Partnerships
  * Adolescent and Intergeneration Sex
  * Alcohol and High-Risk Sex
  * Stigma and Discrimination
  * Gender Violence and Sexual Abuse
- Strategies for an AIDS Free Generation
  * Scaling up treatment for HIV-positive persons (treatment as prevention)
  * Preventing mother-to-child transmission
  * Expanding voluntary safe male circumcision
- The DMSAC Evidence-based Planning Toolkit states that evidence-based planning helps to ensure that:
  * The district’s HIV and AIDS plan addresses the greatest needs for HIV prevention and care services in the district
  * The needs are determined by reviewing and assessing the HIV and AIDS situation in the district, as is done when developing a district profile
  * The district stakeholders work together to set priorities for the coming years
  * The activities proposed are responsive to the identified priorities
  * The plan is comprehensive and provides guidance for various sectors and funding sources
  * The planning process is inclusive
A successful HIV and AIDS response in Botswana depends on the collaboration of various partners. In order to achieve an *AIDS Free Generation*, a strong, unified and coordinated response is crucial. Different entities working on the HIV and AIDS response need to contribute to the cause by collaborating together. This will allow them to fill any resource gap that may be present in their community, to share resources, and to support each other’s HIV and AIDS efforts.

Different organisations have different values, cultures, and priorities. In order to create a strong collaboration, partners need to set an environment that is conducive to the sharing of information and resources.

**Purpose of the Module**

This module serves a guide to the formation, maintenance and evaluation of partnerships between different entities. These may be used for coalitions, and other collaborations between CSOs and the government.

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"Alone we can do so little, together we can do so much.”

- Helen Keller
WHAT IS COORDINATION AND COLLABORATION?

In very basic terms, coordination and collaboration are critical elements of a process used to help with decision making and actions to reach a desired goal.

Emerging science supports Botswana’s multi-sectoral district approach to the HIV and AIDS epidemic. An effective response must consider the complex social problems faced by people living with HIV and AIDS, those at risk for HIV transmission, as well as the broad range of community partners that serve them. Inherent in the multi-sectoral approach is a powerful process for decision-making and implementation. The District Multi-Sectoral AIDS Committee along with the Village/Ward Multi-Sectoral AIDS Committee (WMSAC/VMSAC) is set up to lead and coordinate the district, sub-district, and community HIV and AIDS Response.

Two important concepts covered in this module are “coordination” and “collaboration”.

**Coordination** ensures harmonization of all partners’ and stakeholders’ response to HIV and AIDS for effective results. It also guarantees that all partners know what they need to achieve and when.

**Collaboration** provides an opportunity to share knowledge, experience and skills with partners to pursue mutual interests for the advancement of goals.

Figure 1.1 outlines the different partners working in the Botswana HIV and AIDS response.

WHY DO WE NEED IT?

For the District HIV and AIDS Response to be effective, strong coordination and collaboration are required between partners—CSOs and CSO coalitions, government, development partners, private sector, and network TA organisations. The specific roles and responsibilities of each partner is outlined in the National Strategic Framework. The *National Capacity Building Strategic Framework (2010-2016)* identifies CSO Coalitions as the body that coordinates the civil society’s contribution to the district response to facilitate increased coordination and collaboration at the district level.

Done well, effective coordination and collaboration will collectively create a cohesive, seamless, cost effective and sustainable HIV and AIDS service delivery system. Successful coordination and collaboration of the local HIV and AIDS response will:

- Help identify and articulate priority areas for HIV and AIDS activities
- Make certain that priority areas are linked to national goals
- Ensure effective implementation at a district level
- Ensure a harmonized, aligned and well-coordinated national HIV and AIDS response
- Ensure a coordinated response among partners for ease of planning, accountability, resource mobilization and allocation and systems strengthening.
The first National Strategic Framework (2003-2009) recognized the establishment of the National AIDS Coordinating Agency (NACA) and the District Multi-Sectoral AIDS Committee (DMSAC) as having been key to the operationalization, management and coordination of the national HIV and AIDS response at national level and district level, respectively. The DMSAC remains the only recognized structure in place for providing leadership and coordination to the district response, and the District AIDS Coordinators office as the secretariat. DMSAC operations are guided by consultations, national plans and policies on HIV and AIDS.

The DMSAC, with its multi-sectoral representation, manages and co-ordinates the district-level response to HIV and AIDS that has been designed to meet its own unique needs. It also maintains the elevated profile of HIV and AIDS at the district level ensuring that related issues receive the attention they warrant. The DMSAC’s core functions are as follows:

- To coordinate, plan and monitor HIV and AIDS response activities in the district and sub district
- To mobilize resources for programs in the district and sub district
- To advocate against stigma and discrimination of people living with HIV and AIDS (PLWHA) and advocate for HIV testing and other national programs
- To design strategies to overcoming barriers to an effective district and sub district level response
- To build capacity of its members and the community for effective district and sub district level implementation
- To advocate for mainstreaming of HIV and AIDS into social and economic development programming

The coordination role of the DMSAC:

- To identify and articulate priority areas for HIV & AIDS activities
- To translate national policies, strategies and HIV & AIDS response activities into specific district and sub district response
- To ensure that the priority areas link with the national goals and strategies for HIV & AIDS prevention and mitigation
- To form strategic partnerships with a variety of partners to strengthen the functions of DMSAC
- To ensure that sectors/organizations implement activities as per identified priority areas in line with the national goals and policies
- To mobilize resources for the district response
- To facilitate adequate logistical support such as transport and human resources for HIV and AIDS activities
- To develop operational procedures for use by stakeholders in such areas as: collaboration among stakeholders; holding of DMSAC and sub-committee meeting and reporting
- To liaise with the VMSAC/WMSAC on planning, implementation, monitoring and evaluation of village/ward level response activities
Table 1.1. Roles and Responsibilities

<table>
<thead>
<tr>
<th>DMSAC</th>
<th>CSOs and CSO Coalition</th>
<th>TAC/Planning</th>
</tr>
</thead>
<tbody>
<tr>
<td>• To coordinate, plan and monitor HIV and AIDS response activities in the district and sub-district</td>
<td>• Identifying and assisting community organisations and structures to mobilize human, financial, and material resources</td>
<td>• Provide technical advice to DMSAC on issues of program/project design development, implementation, monitoring and evaluation</td>
</tr>
<tr>
<td>• To mobilize resources for programs in the district and sub-district</td>
<td>• Participating in local level peer review mechanisms to assist with the development and review of the Joint National Operational Plan</td>
<td>• Ensure effective and sustainable program implementation through carrying out periodic situational and response analysis</td>
</tr>
<tr>
<td>• To advocate against stigma and discrimination of people living with HIV and AIDS (PLWHA) and advocate for HIV testing and other national programs</td>
<td>• Strengthening Civil Society’s Leadership role in advocacy and lobbying activities</td>
<td>• Assist the DMSAC in the identification of training needs and develop training plan</td>
</tr>
<tr>
<td>• To design strategies to overcoming barriers to an effective district and sub-district level response</td>
<td>• Supporting the development of a national HIV and AIDS research and evaluation agenda and participate in their implementation</td>
<td>• Liaise with other sub-committees on matters of mutual interest</td>
</tr>
<tr>
<td>• To build capacity of its members and the community for effective district and sub-district level implementation</td>
<td>• Improving coordination among CSOs at all levels and between CSOs and other stakeholders in the national response</td>
<td>• Produce quarterly reports</td>
</tr>
<tr>
<td>• To advocate for mainstreaming of HIV and AIDS into social and economic development programming</td>
<td>• Attend DMSAC meetings</td>
<td></td>
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</tbody>
</table>

**CSO Coalition**

- Strengthening Civil Society’s Leadership role in advocacy and lobbying activities
- Supporting the development of a national HIV and AIDS research and evaluation agenda and participate in their implementation
- Improving coordination among CSOs at all levels and between CSOs and other stakeholders in the national response
- Attend DMSAC meetings

**CSOs**

- Promote the development of local level support groups and other CBOs
- Expanding the provision of HIV & AIDS related services
- Strengthening local level programmatic monitoring and ensuring quality data gathering, analysis, utilization, and timely reporting
Civil Society Organizations and District Coordination

The DMSAC TOR specifically states that CSOs should be represented preferably along the thematic areas they work in such as prevention, care and support, stigma reduction etc. Alternatively the CSO coalition should be members where they exist. See DMSAC TOR for more details, which include guidelines for conducting meetings, TOR for subcommittees, modalities for funding, and guidelines for monitoring of the response.

National Strategic Framework II (2010-2016) states that Civil Society continues to play an increasingly important role in the delivery and expansion of programs through outreach and targeting marginalized populations such as sex workers, people with disabilities, sexual minorities and displaced persons. Additionally, their programs are often well received by target populations due to their civic rather than governmental nature. By adding their multiple points of interface with specific target groups, Civil Society can expand the capacity of initiatives to address issues on many different fronts.

CSO Coalitions
At the district level, the CSO coalitions will take the lead role in coordinating CSOs efforts. The CSO coalitions will be the entry point for CSOs to engage with the district government/planning processes. In addition the CSO coalition will participate in the planning process at the DMSAC and DHMT level and ensure involvement and representation of other CSOs in the district planning. CSO coalitions select up to two members to represent them at the DMSAC. Those members are responsible for broadly representing the needs of the coalition at DMSAC and reporting back to the coalition. Module 3 outlines in detail how CSOs are represented in the district coordination structure within the DMSAC.

The roles and responsibilities of all stakeholders involved in the HIV and AIDS response are clearly addressed in the National Strategic Framework for HIV and AIDS, and in the DMSAC Terms of Reference. All stakeholders should be willing to learn from one another. Partners are encouraged to learn best practices from established partnerships and organizations that have successfully accomplished their duties in the past.

Module 3 details out how CSOs are linked to the district coordination process.
Following are key strategies adapted from a Research Brief titled Building and Sustaining Effective Collaborations by Social Entrepreneurs, Inc. that can be used to strengthen the coordination and collaboration between DMSAC and the CSOs.

1. Create a Culture for the Collaboration

It is highly recommended to create a written constitution for a collaboration which lays out the common goals and working relationships. An example of a constitution can be found in Appendix 1.1. Elements to include in the constitution, at a minimum, are:

- **Name**: Clearly states the name of the established name of the partnership.
- **Mission**: The purpose of the collaboration – the fundamental reasons for the collaboration’s existence.
- **Vision**: An image of the desired future, described in the present tense, as if it were happening now. To be effective, the vision is created and embraced by all collaborative partners. It is best if the vision is supported by a description of the specific goals or outcomes to be achieved by the collaboration.
- **Values and Principles**: Reflects the beliefs held by the group. Values and principles are the guides for creating working relationships and describe how the group intends to implement the vision.
- **Membership**: Identification of the constituencies to include as members of the group, as well as guidelines for adding or replacing members.
• **Roles and Responsibilities:** Clear roles and expectations of the collaboration/partnership and of each individual entity listed as members. The *DMSAC Orientation Package* will be administered by the District AIDS Coordinators (DAC) to new members to familiarize them with their respective duties in the response. Table 1.1 outlines roles and responsibilities of some of the partners.

• **Governance:** Outlines the meetings logistics, the decision-making process and ground rules at the center of the collaboration. The structure and role of the executive committees can also be defined in this section.

• **Committees:** Guidelines for the formation of committees, and their roles and responsibilities within the collaboration.

• **Amendments and Ratification:** The protocols for modifying and annulling any part of the charter.

Most of these elements are included in the *DMSAC Terms of Reference* and can be adapted for CSO coalitions. Two important elements that should not be overlooked are the vision and values for the coalition. It is necessary for local coalitions as well as DMSAC to consider creating a shared vision for the HIV and AIDS efforts in their community. In addition, developing local values would be an opportunity to ensure that any local HIV and AIDS activities are governed by these values.

The best partnerships have a written Memorandum of Understanding (MOU) which is signed by each coalition participating in the collaboration that clearly outlines their roles and responsibilities. The MOU ensures greater accountability that strengthens the collaborative partnerships and the district response. A MOU template is located in *Appendix 1.2.*

### Maintain Trust and Respect

To be an effective collaboration, mutual respect and trust are essential. The United Kingdom’s *Skill Funding Agency* states that organisations thrive when there is a culture of mutual trust and respect. Each partner (CSO and CSO coalitions, government, private sector, and development partners) has an important role to play, and it is critical that everybody’s opinion, views, and values are respected. Maintaining trust and respect is an active, not a passive process between government and CSO, and among CSOs.

Building trust requires a specific set of qualities of professional conduct. By exhibiting these qualities you will earn the respect of your colleagues and other professionals interact with. According to the *Trust Works! ABCD Model*, these are the characteristics essential to building trust within an organization.

- **Able** – Being competent and having the skills how to execute the work that you are assigned.
- **Believable** – Having integrity and being honest in all your dealings with your colleagues.
- **Connected** – Caring and showing concern for others.
- **Dependable** – Being reliable and being accountable for your actions.

### Ensure Effective Communication

Effective communication helps us better understand and enables us to build trust and respect, and creates an open environment where creative ideas, problem solving, and productivity can flourish. Broadly, there are two types of communication:

- a. Imparting or exchanging of information which is related to communicating in DMSAC and in the community;
  - Establish formal communication for a clear flow of information between meetings
  - Open and frequent communication via phone, mail, and email
- Established informal links to establish personal connections so the group is more cohesive and able to function effectively as a team
- Establish a format for conduct of meetings that are outcome-based and goal-oriented
- Develop a plan to communicate about the district response to stakeholders, partners and the general community.

Additional communication strategies and skills are detailed in Module 4: Planning and Communicating the Plan.

b. Direct communication between people to produce greater understanding and awareness.
   - Utilize active listening skills
   - Read and be aware of nonverbal communication
   - Managing stress to be able to solve conflicts productively
   - Develop "emotional awareness"

Effective communication is a learned skill, and takes time and effort to develop to become an effective communicator. The more effort and practice you put in, the more instinctive and spontaneous your communication skills will become.

More information on communication can be found in Module 2: Effective Communication.

4 Analyze Partnerships

A clear view of the overall strengths and challenges, value and motivation within the collaboration breeds success. Representatives need to know why they are participating and what they are getting out of participating. This process is done by creating a Stakeholder Matrix (see Appendix 1.3) and by doing a SWOT analysis. A SWOT analysis is a framework used to analyse an organization’s strengths, weaknesses, opportunities, and threats (see Figure 1.2). It seeks to identify the key internal and external factors seen as key to achieving set objectives.

Figure 1.2. SWOT Analysis
5 Strengthen Collaborative Leadership

A skilled convener who has strong organizing and interpersonal skills, and carries out the role with fairness is essential for the DMSAC to function effectively. There has been some research into the characteristics of good collaboration leaders/chairpersons that may be useful in planning a support structure if one is desired by a particular collaborative group. Characteristics that have been noted as being important for collaboration leaders/chairpersons are:

1. Belief in the process of collaboration
2. Ability to guide the group toward the collaboration’s purpose and goals, while seeking to include and explore all points of view.
3. Excellent facilitation, problem solving and negotiation skills
4. Flexible, able to provide leadership (help define direction for the collaboration and keep the direction visible) when needed or able to be more of an organizer when needed.
5. Time to commit to leadership.
6. Knowledge about the community and the organizations in the community.

6 Plan for Collaboration Sustainability

The collaboration should have a plan for sustaining membership and resources. This involves membership guidelines relating to terms of office, time commitment, responsibilities, and replacement of members. A strong collaboration needs sufficient resources to function effectively and meet the desired outcomes. Resource development efforts must be ongoing to assure that the appropriate level of revenue, time and people are available to conduct the group’s programming efforts. One valuable way to sustain collaborations is to do on-going team building activities. Appendix 1.4 is an example of a team building exercise. It is important to consider emerging trends and issues because they have an impact on resource allocation.

More information on resource mobilization can be found in Module 6: Resource Mobilization for the District Response.

7 Establish an Evaluation Plan for the Collaboration

Organisations use monitoring and evaluation (M&E) for two key purposes:

- To learn about their own activities and results, and to support planning and development
- To be accountable to their stakeholders
- To share good practices and lesson learned

Key to successful monitoring and evaluation is how the information is collected, systematic review of the information. There are four key phases in the monitoring and evaluation cycle (see Figure 1.3):

**Phase 1: Planning for monitoring and evaluation**

Good planning leads to successful outcome. For collaboration, that would include identifying the outcomes, the resources needed, and the tools needed for data/information collection, how to analyse the data, and how to disseminate the results.
Phase 2: Monitoring
Monitoring is the systematic collection of data/information which includes records and notes of the meetings, surveys of partners, and interviews, to see if we are reaching our intended effect.

Phase 3: Evaluation
Evaluation uses the monitoring information to see if you are meeting your intended outcomes. For evaluations of collaborations, the primary type of evaluation would be a self-evaluation.

Phase 4: Using and disseminating the findings
Using the findings is a critical part of improving the way the collaboration functions as well as disseminating information to the community about the collaboration.
Traditional Leaders vs Collaborative Leaders

The workplace is changing. Leadership is changing. The future is collaborative.

1. Believe power comes from their position of authority vs. Believe power is greatest in a collective team.
2. Maintain ownership of information vs. Openly share information and knowledge.
3. Sometimes listen to suggestions and ideas from their team vs. Encourage suggestions and ideas from their team.
4. Deliver the approved solution to their team vs. Facilitate brainstorming with their team.
5. Allocate time and resources only when proven necessary vs. Enable their team with immediate time and resources.
6. Adhere to specific roles and responsibilities vs. Allow roles and responsibilities to evolve and fluctuate.
7. Fight fires and focus on symptoms vs. Seek to uncover root causes of issues.
8. Review staff performance annually based on company policy vs. Offer immediate and ongoing feedback with personalized coaching.

Source: Collaborative Lead Training Co. www.collaborativelead.com
Measuring the outcomes and successes of collaborative efforts is critical. Ask yourself these critical questions:

I. Create a Culture for the Collaboration
   - Has there been locally created vision and values to address HIV and AIDS efforts?
   - Do you know your role in helping address the local HIV and AIDS efforts?
   - Have you signed a MOU that outlines your responsibilities in addressing the local HIV and AIDS efforts?

II. Maintain Trust and Respect
   - Do you respect other community members that are part of the local HIV and AIDS efforts?
   - Have you developed ways to increase trust with other community members that are part of the local HIV and AIDS efforts?

III. Effective Communication
   - Questions for effective communication are in Module 2: Effective Communication, and Module 3: Planning and Communicating the Plan.

IV. Analyze Partnerships
   - Has there been a partner/stakeholder analysis completed?
   - Has there been a SWOT analysis done?

V. Strengthen Collaborative Leadership
   - Are opinions/suggestions respected by the leadership?
   - Do meetings usually start on time?
   - Does the leadership have strong facilitation skills?
   - Is there transparency in the HIV/AIDS work that you do?

VI. Plan for Collaboration and Sustainability
   - Were the resources provided adequate to support a strong collaboration?
   - Does your collaboration regularly complete team building activities?

VII. Establish an Evaluation Plan for the Collaboration
   - Is there an evaluation plan for the collaboration?
   - Is the evaluation plan being implemented?
"Coming together is a beginning. Keeping together is progress. Working together is success." - Henry Ford
Module 1 touched upon the key aspects necessary to foster successful partnerships for the HIV and AIDS response. Most of the concepts developed in this module will be elaborated upon in the subsequent modules.

Key Points

- An effective collaboration is essential to create a cohesive, cost-effective and sustainable HIV and AIDS service delivery system.
- All coalitions or partnership need to have in place a written constitution that establishes its structure, goals, responsibilities, and governance.
- Effective communication and trust is also an important element within partnerships.
- Having a clear view of the strengths and challenges within the partnership is essential to foster improvement.
- A strong leadership is needed to drive the partnership so that it carries out its functions.

Now that we have explored the characteristics or elements that foster a strong collaboration or partnership, be sure to complete all the activities found throughout the module. Also take the time to record your organization’s Actions for Improvement on the next page.

- What areas need to be addressed within your organization?
- Where are your organisation’s strength?
- What will you do moving forward to ensure that your organization is contributing positively to the partnership?

“None of us is as smart as all of us.” - Ken Blanchard
PREAMBLE
We are delighted to introduce this model constitution to you. This is an initiative aimed at improving our customer satisfaction. We promise to register any societies that develop their constitution in line with this model constitution within fourteen (14) days.

Directions on How to Use This Model Constitution
1. The constitution can be customized by completing the lined dots to suit the nature of your society.
2. You can add or delete words, articles and sentences that do not apply to your society.
3. Articles were various options are provided; you are expected to delete the option that does not relate to your society. Please note that such options are provided for in articles 7.1, 7.2, 7.3, 7.4, 8.6 and 9.3.
4. Societies are allowed to make any other provisions they consider essential for their operation.
5. You will be expected to type the customized constitution. (You can be provided with a soft copy from any of our offices through out the country).
6. In case of a faith based organization, please attach the statement of faith of the Society as an Annexure
7. For further clarifications you may contact any of our offices throughout the country or the office of the Registrar of Societies at 3611460/78.

***************
CONSTITUTION OF (Name of Association)

NAME
1.1. This Society shall be known as the “………………………………………………………….” hereinafter referred to as the “Society”.

INTERPRETATION
2.1. The following words and expressions shall have the following meanings:
   a) “Society” shall mean…………………………… (Name of Association)
   b) “Executive Committee” shall mean the governing body of this Society appointed in terms of the constitution referred to as a Committee.
   c) Words signifying the singular number shall include plural or vice-versa unless they appear otherwise from the context.
   d) ……………………………………

HEADQUARTERS OF THE SOCIETY/ASSOCIATION
3.1. Its headquarters shall be at “…………………………………………………………..” or such other address as may subsequently be decided upon by the Committee. The Society shall carry out its activities only in places and premises, which have the prior written approval from the relevant authorities, where necessary.

OBJECTS
4.1. The objects of the society are:
   a) ……………………………
   b) ……………………………
4.2. In furtherance of the above objects, the Society may ………………………………………

Appendix 1.1
MEMBERSHIP QUALIFICATION AND RIGHTS

5.1. Membership is open to .................................................................
...........................................................................................................

Persons who are below 18 years of age shall not be accepted as members without the written consent of their parent or guardian.¶

5.2. Only members who are above 18 years of age shall have the right to vote and to hold office in the Society.

APPLICATION FOR MEMBERSHIP

6.1. A person wishing to join the Society shall do so by submitting his/her particulars to the Secretary on a prescribed form.

6.2. A new member must be proposed and seconded by existing members. His/her name will then be availed for consideration by the general membership within ........ week(s) at the end of which time the Committee will decide on membership, taking into consideration any objection raised.

6.3. A copy of the Constitution shall be furnished to every approved member upon payment of the joining fee.

JOINING FEES, SUBSCRIPTIONS AND OTHER DUES

7.1. There shall be no entrance fee payable for all members.

OR

A prescribed joining fee is payable within ...... weeks of election to membership, in default of which membership may be cancelled by order of the Committee.

The General Meeting on recommendation from the Committee from time to time shall determine the joining fees and subscriptions.

OR

7.2. There shall be no subscriptions payable by members. The funds of the Society shall be derived from free-will offerings.

OR

7.3. Monthly / Annual subscriptions are payable in advance within the first [week / month]* of the [month / year]*. If a member falls into arrears with his/her subscription or other dues, the Treasurer shall inform him/her immediately. If he/she fails to settle his/her arrears within......... (.....) weeks of their becoming due, the Chairperson may order that he/she be denied the privileges of membership until he/she settles his/her account. If he/she falls into arrears for more than ........... months, he/she will automatically cease to be a member and the Committee may take appropriate action against him/her provided that they are satisfied that he/she has received due notice of his/her debts.

7.4. Any additional fund required for special purposes may only be raised from members with the consent of the general meeting of the members.

SUPREME AUTHORITY AND GENERAL MEETINGS

8.1. The supreme authority of the Society is vested in a General Meeting of the members.

8.2. An Annual General Meeting shall be held in .........................................................

8.3. At other times, an Extraordinary General Meeting shall be called by the Chairperson upon request in writing by not less than 25% of the total voting membership and may be called at anytime by order of the Committee. The notice in writing shall be given to the Secretary setting forth the business that is to be considered. The Extraordinary General Meeting shall be convened within........ weeks/ months from receiving this request to convene the Extraordinary General Meeting.

8.4. If the Committee does not within ........... months after the date of the receipt of the written request proceed to convene an Extraordinary General Meeting, the members who requested for the Extraordinary General Meeting shall convene the Extraordinary General Meeting by giving....... days/ weeks' notice to voting members setting forth the business to be transacted and simultaneously posting the agenda on the Society's notice board.
8.5. At least............. weeks’ notice shall be given of an Annual General Meeting and at least............. days/weeks’ notice of an Extraordinary General Meeting. The Secretary shall send notice of meeting to all voting members stating the date, time and place of meeting. The particulars of the agenda shall be availed to the membership .............days/weeks in advance of the meeting.

8.6. Unless otherwise stated in this Constitution, voting by proxy shall not be allowed at all General Meetings.

**OR**

Unless otherwise stated in this Constitution, voting by proxy shall be allowed at all General Meetings.

8.7. The following points shall be considered at the Annual General Meeting:

a) The previous financial year’s accounts
b) Annual report of the Committee.
c) Where applicable, the election of office-bearers for the following term.

Any member who wishes to place an item on the agenda of a General Meeting may do so provided he/she gives notice to the Secretary ....... week(s) before the meeting is due to be held.

8.8. At least .............% of the total voting membership present at a General Meeting shall form a quorum. Proxies shall not be constituted as part of the quorum.

8.9. In the event of there being no quorum at the commencement of a General Meeting, the meeting shall be adjourned for............minutes/ hours and should the number then present be insufficient to form a quorum, the meeting shall be adjourned. At adjournment of the meeting, those present will decide on the date of the meeting. In the event the proposed meeting fails to attract the necessary quorum, those present shall be considered a quorum but shall have no power to amend any part of the existing Constitution.

**MANAGEMENT COMMITTEE**

9.1. The administration of the Society shall be entrusted to a Committee consisting of the following to be elected at an Annual General Meeting:

- Chairperson
- Vice-Chairperson
- Secretary
- Vice Secretary
- Treasurer
- ............ Additional Committee Members

9.2 Names for the above officers shall be proposed and seconded at the Annual General Meeting and election will follow on a simple majority vote of the members. All office-bearers may be re-elected to the same or related post for a consecutive ........... term of office. The term of office of the Committee shall be ....... year(s).

9.3. Election will be either by show of hands or by a secret ballot, subject to the agreement of the majority of the voting members present. In the event of a tie, the Chairperson of the meeting shall have a casting vote.

**OR**

In the event of a tie, a re-vote shall be taken and if it still results in a tie, a lot shall be drawn to determine who shall be the successful candidate unless the contesting candidate(s) withdrew in favour of one of themselves.

9.4. A Committee Meeting shall be held at least once every .............weeks/ months after giving................. days’ notice to Committee Members. The Chairperson may call a Committee Meeting at any time by giving........... days’ notice. At least ........... (percentage) of the Committee Members must be present for its proceedings to be valid.

9.5. Any member of the Committee absenting himself from ........ meetings consecutively without satisfactory explanations shall be deemed to have withdrawn from the Committee and a successor may be co-opted by the Committee to serve until the next Annual General Meeting. Any changes in the Committee shall be notified to the Registrar of Societies within two (2) weeks of the change.
9.6. The duty of the Committee is to organise and supervise the daily activities of the Society. The Committee may not act contrary to the expressed wishes of the General Meeting without prior reference to it and shall always remain subordinate to the General Meetings.

9.7. The Committee has power to authorise the expenditure of a sum not exceeding P............. per month from the Society's funds for the Society's purposes.

**DUTIES OF OFFICE-BEARERS**

10.1. The **Chairperson** shall chair all General and Committee meetings. He/she shall also represent the Society in its dealings with outside persons.

10.2. The **Vice-Chairperson** shall assist the Chairperson and deputise for him/her in his/her absence.

10.3. The **Secretary** shall keep all records, except financial, of the Society and shall be responsible for their correctness. He/she will keep minutes of all General and Committee meetings. He/she shall maintain an up-to-date Register of Members at all times.

10.4. **Vice-Secretary** shall assist the Secretary and deputise for him/her in his/her absence.

10.5. The **Treasurer** shall keep all funds, collect and disburse all moneys on behalf of the Society and shall keep an account of all monetary transactions and shall be responsible for their correctness. He/she is authorised to expend up to P............. per month for petty expenses on behalf of the Society. He/she will not keep more than P............. in the form of cash and money in excess of this will be deposited in a bank to be named by the Committee. Cheques, etc. for withdrawals from the bank will be signed by the Treasurer and either the Chairperson or the Vice-Chairperson or the Secretary.

10.6. Additional Committee Members shall assist in the general administration of the Society and perform duties assigned by the Committee from time to time.

**AUDIT AND FINANCIAL YEAR**

12.1. The committee shall prepare an audited statement of accounts to be presented at the annual general meeting.

12.2. The Committee:

- Will be required to audit each year's accounts and present a report to the Annual General Meeting.
- May be required by the Chairperson to audit the Society's accounts for any period within their tenure of office at any date and make a report to the Committee.

12.3. The financial year shall be from ..............................................................

**TRUSTEES**

13.1. If the Society at any time acquires any immovable property, such property shall be vested in trustees subject to a declaration of trust.

13.2. The trustees of the Society shall:

- Not be more than ........and not less than........... in number.
- Be elected by a General Meeting of members.
- Not effect any sale or mortgage of property without the prior approval of the General Meeting of members.

13.3. The office of the trustee shall be vacated:

- If the trustee dies or becomes a lunatic or of unsound mind.
- If he/she is, absent from the Republic of Botswana for a period of more than.... year(s).
- If he/she is guilty of misconduct of such a kind as to render it undesirable that he/she continues as a trustee.
- If he/she submits notice of resignation from his/her trusteeship.

13.4. Notice of any proposal to remove a trustee from his/her trusteeship or to appoint a new trustee
COORDINATION AND COLLABORATION

to fill a vacancy must be given by publishing in the Society's premises at least.............. weeks before the General Meeting at which the proposal is to be discussed. The result of such General Meeting shall then be notified to the Registrar of Societies.

13.5. The address of each immovable property, name of each trustee and any subsequent change shall be notified to the Registrar of Societies.

PROHIBITIONS

14.1. The funds of the Society shall not be used to pay personal fines of members who have been convicted in court of law.

14.2. The Society shall not hold any lottery, whether confined to its members or not, in the name of the Society or its office-bearers, Committee or members unless with the prior approval of the relevant authorities.

14.3. The Society shall not raise funds from the public for whatever purposes without the prior approval in writing from the relevant authorities.

AMENDMENTS TO CONSTITUTION

15.1. No alteration or addition/deletion to this Constitution shall be made except at a general meeting and with the consent of ......(percentage/fraction)of the voting members present at the General Meeting, and they shall not come into force without the written approval of the Registrar of Societies.

DISCRETIONAL POWERS

16.1. In the event of any question or matter pertaining to day-to-day administration, which is not expressly provided for in this Constitution, the Committee shall have power to use their own discretion. The decision of the Committee shall be final unless it is reversed at a General Meeting of members.

DISPUTES

17.1. In the event of any dispute arising amongst members, they shall attempt to resolve the matter at an Extraordinary General Meeting in accordance with this Constitution. The decision of the Extraordinary General Meeting shall be deemed final.

NO CONFIDENCE

18.1. There shall be a vote of no confidence in the event the majority of the members are aggrieved or are at variance with the Executive Committee or a member. In that regard, the Executive Committee or the member shall vacate the office in favour of his/her deputy or some other person nominated by the general membership.

18.2 Where the out voted member is a Committee member, the following steps shall be taken:-

a) The above member will be expected to hand-in all the properties of the Society to the Executive Committee.

b) The Society will therefore at its meeting elect a new member to fill his/her vacancy.

DISSOLUTION

19.1. The general meeting shall decide on the dissolution of the society’s assets. A majority of 75% of the total membership is required to give consent for dissolution of the society. Upon dissolution, the certificate of registration should be returned to the office of Registrar of Societies for cancellation.

19.2. In the event of the Society being dissolved as provided above, all debts and liabilities legally incurred on behalf of the Society shall be fully discharged, and the remaining funds shall be donated to an approved charity or charities registered in Botswana.

19.3. A Certificate of Dissolution shall be given within seven (7) days of the dissolution to the Registrar of Societies.

GENERAL BODY

The general body is empowered to approach the Executive Committee if necessary and ask for general meeting where they are entitled to put their deliberations about their dissatisfaction about the head of the club/society/office-bearer/an ordinary member or any other matter affecting the club/society. The majority's decision shall be binding, they may discipline or expel anyone from the club if they so wish, provided that does not in any way contravene the provision of any law in Botswana.

- END -
MOU Template

Memorandum of Understanding

Between

(Partner)

and

(Partner)

This Memorandum of Understanding (MOU) sets forth the terms and understanding between the (partner) and the (partner) to (insert activity).

Background

(Why partnership important)

Purpose

This MOU will (purpose/goals of partnership)

Activities

The above goals will be accomplished by undertaking the following activities:

(List and describe the activities that are planned for the partnership and who will do what)

Reporting

(Record who will evaluate effectiveness and adherence to the agreement and when evaluation will happen)

Funding

(Specify that this MOU is not a commitment of funds)

Duration

This MOU is at-will and may be modified by mutual consent of authorized officials from (list partners). This MOU shall become effective upon signature by the authorized officials from the (list partners) and will remain in effect until modified or terminated by any one of the partners by mutual consent. In the absence of mutual agreement by the authorized officials from (list partners) this MOU shall end on (end date of partnership).

Contact Information

Partner name

Partner representative

Position

Address

Telephone

Fax

E-mail

(Partner signature)  Date:

(Partner name, organization, position)

(Partner signature)  Date:

(Partner name, organization, position)
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<th>PERCEIVED EXPECTATIONS AND GOALS</th>
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Examples of Team-Building Exercises

If you were a marathon runner, would you train just a few times a year for your next race? Of course not. You would run almost every day. Why? Because only through regular, continuous training and exercise would you have a chance at winning.

Team building works on the same principle. Most managers plan one or two events per year, and that's it. There's rarely any regular 'training' or follow-up, and this can hold back the group's long-term success.

Effective team building needs to happen continuously if you want your group to be successful. It needs to be part of the corporate culture.

If you lead a group, aim to incorporate team-building exercises into your weekly or monthly routine. This will help everyone address their different issues, and it will give them a chance to have fun, and learn to trust one another more than just once or twice a year.

Finally, make sure that your team-building exercises aren't competitive. Think about it – competition tends to make one person or team work against another. This probably isn't a good way to build team spirit and unity. More likely, it's a way to divide a group.

Many companies use sports for team-building activities. Yes, baseball and soccer can be fun, and some people will enjoy it. But these activities can do far more harm than good if they focus just on competing, and they can really de-motivate people who are not particularly good at these sports. Plan an event that makes people truly depend on others to succeed, and stay away from competition and 'winning.'

Key Points

For team building to be effective, leaders must first identify the issues their group is facing. Then they can plan activities to address these challenges directly – and make sure that the team will actually gain some benefits from the event. Keep competition out of the exercises, and aim to make team building part of the daily corporate culture, instead of a once-a-year event.

There are literally hundreds of team-building exercises that address a wide range of issues. Here are some basic exercises you could try, if you're faced with issues of communication, stereotyping, or trust in your team.

1. Improving Communication
   - **Back-to-Back Drawing** – Divide your group into pairs, and have each pair sit on the floor back to back. Give one person in each pair a picture of a shape, and give the other person a pencil and pad of paper.
     Ask the people holding the pictures to give verbal instructions to their partners on how to draw the shape – without actually telling the partners what the shape is. After they've finished, ask each pair to compare their original shape with the actual drawing, and consider the following questions:
     - How well did the first person describe the shape?
     - How well did the second person interpret the instructions?
     - Were there problems with both the sending and receiving parts of the communication process?
   - **Survival Scenario** – This exercise forces your group to communicate and agree to ensure their 'survival.' Tell your group that their airplane has just crashed in the ocean. There's a desert island nearby, and there's room on the lifeboat for every person – plus 12 items they'll need to survive on the island. Instruct the team to choose which items they want to take. How do they decide? How do they rank or rate each item?

2. Eliminating Stereotypes and "Labeling"
   - **Stereotype Party** – This is a fun exercise for a medium-sized or large group. Write on nametags many different 'personality types (see the list below), and pin or tape one tag to each person's back. Don't show people which tag is on their back – they'll be able to see everyone else's tag, but not their own.
     Now, ask each person to figure out which personality type is on his or her back by asking stereotype-based questions of other people – "Am I a man?" "Am I an athlete?" "Am I an
entertainer?” and so on.
Allow group members to answer only yes or no, and encourage participants to ask questions to as many different people as possible.

Here are some personality types you could consider:

- Auto mechanic.
- Olympic medalist.
- Professor.
- Fast-food restaurant worker.
- Postal worker.
- Movie star.

3. Building Interdependence and Trust

- **Human spring** – Ask group members to stand facing each other in pairs. Their elbows should be bent, with their palms facing toward each other. Instruct them to touch their palms together, and gradually start leaning toward each other, so that they eventually hold each other up. Then, instruct everyone to move their feet further and further back, so that they have to depend solely upon their partners to remain standing.

- **Mine field** – This is a great exercise if you have a large room or outdoor field. Set up a 'mine field' using chairs, balls, cones, boxes, or any other object that could potentially be an obstacle and trip someone up. Leave enough space between the objects for someone to walk through.

  Next, divide your group into pairs. Pay attention to who you match with whom. This is a perfect opportunity to work on relationships, so you might want to put together people who have trust issues with each other.

  Blindfold one person, the 'mine walker' – this person is not allowed to talk. Ask his or her partner to stay outside the mine field, and give verbal directions, helping the mine walker avoid the obstacles, and reach the other side of the area.

Before you begin, allow partners a few minutes to plan how they'll communicate. Then, make sure there are consequences when people hit an obstacle. For example, perhaps they have to start again from the beginning.

*Source: Mind Tools. www.mindtools.com*
2. EFFECTIVE COMMUNICATION

In the previous module, communication was identified as a crucial component of a partnership to ensure that all entities involved in the partnership are well coordinated to achieve a specific goal. Not only is it important for all involved parties to communicate well together, but it is also important for each organisation to have an effective internal communication. Successful communication can help parties involved in the Botswana HIV and AIDS response to better coordinate their efforts such that resources are shared and programs are not duplicated, and strong relationships are formed between the CSOs and CSO coalitions, government, the private sector, and network TA organisations.

Purpose of the Module

The purpose of this module is to improve internal and external communication of organisations working together in the HIV and AIDS response. It covers the importance of communication protocols, and includes a variety of communication skills that can be useful when dealing with other people who may have different communication styles.

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“The most important thing in communication is hearing what isn’t said.” – Peter Drucker
WHAT IS EFFECTIVE COMMUNICATION?

Effective communication means the ability to express ourselves well, verbally, nonverbally, and through written communication. Non-verbal communication refers to communication without the use of spoken language. Nonverbal communication includes gestures, facial expressions, and body positions (known collectively as “body language”), as well as unspoken understandings and presuppositions, and cultural and environmental conditions that may affect any encounter between people.

Taking in account cultures and situations, communication involves active listening, and to be able to express our desires and opinions. Figure 2.1 outlines the process involved in communication as a message moves between the sender and receiver. Communication channels are the medium through which a message is transmitted to its intended audience, such as print media, electronic media and verbal communication, etc. The sender encodes any message sent, and all the receivers of the message decode the communication. The process of encoding and decoding is subjective which can lead to different ways of interpreting the communication.

Effective communication is a learned skill, and takes time and effort. The more practice you put in, the more instinctive and spontaneous your communication skills will become.

**Figure 2.1. Communication Model** (adapted from Shannon-Weaver, 1949)

This module outlines direct communication between people to produce greater understanding and awareness. **Module 4: Planning and Communicating the Plan** will cover methods for imparting or exchanging of information to facilitate the HIV and AIDS response.

WHY DO WE NEED IT?

Effective communication helps us better understand one another, and enables us to build trust and respect, and creates an open environment where creative ideas, problem solving, and productivity can flourish. It improves relationships at home and at work by deepening connections with others and improving teamwork, decision-making, and problem solving.

Effective communication fosters cooperation and collaboration between partners, and is a key strategy to facilitate a well-coordinated District Response. The partnerships may be between CSOs, between CSOs and government, and between CSOs and the private sectors.
HOW DO WE DO IT EFFECTIVELY?

This section outlines four important aspects of communication: (1) establish internal communication protocol, (2) facilitate effective meetings, (3) effective communication skills, (4) effective written communication, and (5) managing conflict. In addition, to communicate effectively, it is important to remember we all have different values and experiences how we communicate, and that within organisations there are communication protocols that need to be respected. Therefore, communication protocols between CSOs, government, and private sectors must be acknowledged and respected.

1 Establish Communication Protocol

Collaborative efforts are dependent upon open and clear communication. Methods that can help create effective communication within the collaborative group are outlined below.

- One way to promote effective communications is to develop "language" which is acceptable to all members, using common terms that are well defined and understood by all members so that shared meaning can occur.

- It is important to assess which communication channels work best for each partner. A formal process for communication between partners must be established. Options include weekly e-mail updates, blogs or equivalent, phone calls, meeting minutes recorded and distributed to members, mailings, and faxed updates. The DMSAC Communication Strategy document outlines when different communication channels and tools should be used (see Appendix 2.1).

2 Improve Your Communication Skills

There are three basic communication skills: (1) attentive listening, (2) non-verbal communication, and (3) the ability to manage stress. In Effective Communication by Lawrence Robinson, Jeanne Segal, Ph. D., and Robert Segal, M.A., utilizing these basic skills in the moment helps ensure that the communication between people is clear and well understood.

Skill #1: Improve your ability to listen effectively

Listening is one of the most important aspects of effective communication. Successful listening means not just understanding the words or the information being communicated, but also understanding how the speaker feels about what they are communicating.

Effective listening can:

- Make the speaker feel heard and understood, which can help build a stronger, deeper connection between you.

- Create an environment where everyone feels safe to express ideas, opinions, and feelings, or plan and problem solve in creative ways.

- Save time by helping clarify information, avoid conflicts and misunderstandings.

Relieve negative emotions. When emotions are running high, if the speaker feels that he or she has been truly heard, it can help to calm them down, relieve negative feelings, and allow for real understanding or problem solving to begin.

Skill #2: Improve your ability to interpret non-verbal communication

When we communicate things that we care about, we do so mainly using nonverbal signals. Wordless communication, or body language, includes facial expressions, body movement and gestures, eye contact, posture, the tone of your voice, and even your muscle tension and breathing. The way you look, listen, move, and react to another person tells them more about how you’re feeling than words alone ever can.
Developing the ability to understand and use nonverbal communication can help you connect with others, express what you really mean, navigate challenging situations, and build better relationships at home and work.

- You can enhance effective communication by using open body language—arms uncrossed, standing with an open stance or sitting on the edge of your seat, and maintaining eye contact with the person you’re talking to.

- You can also use body language to emphasize or enhance your verbal message—patting a friend on the back while complimenting him on his success, for example, or pounding your fists to underline your message.

**TIPS FOR EFFECTIVE LISTENING**

If your goal is to fully understand and connect with the other person, listening effectively will often come naturally. If it doesn’t, you can remember the following tips.

- **Focus fully on the speaker**, his or her body language, and other nonverbal cues. If you’re daydreaming, checking text messages, or doodling, you’re almost certain to miss nonverbal cues in the conversation. If you find it hard to concentrate on some speakers, try repeating their words over in your head—it’ll reinforce their message and help you stay focused.

- **Avoid interrupting** or trying to redirect the conversation to your concerns, by saying something like, “If you think that’s bad, let me tell you what happened to me.” Listening is not the same as waiting for your turn to talk. You can’t concentrate on what someone’s saying if you’re forming what you’re going to say next. Often, the speaker can read your facial expressions and know that your mind’s elsewhere.

- **Avoid seeming judgmental.** In order to communicate effectively with someone, you don’t have to like them or agree with their ideas, values, or opinions. However, you do need to set aside your judgment and withhold blame and criticism in order to fully understand a person.

- **Show your interest** in what’s being said. Nod occasionally, smile at the person, and make sure your posture is open and inviting. Encourage the speaker to continue with small verbal comments like “yes” or “uh huh.”

**TIPS FOR IMPROVING HOW YOU READ NON-VERBAL COMMUNICATION**

- **Practice observing people** in public places, such as a shopping mall, bus, train, café, restaurant, or even on a television talk show with the sound muted. Observing how others use body language can teach you how to better receive and use nonverbal signals when conversing with others.

- **Be aware of individual differences.** People from different countries and cultures tend to use different nonverbal communication gestures, so it’s important to take age, culture, religion, gender, and emotional state into account when reading body language signals. An American teen, a grieving widow, and an Asian businessman, for example, are likely to use nonverbal signals differently.

- **Look at nonverbal communication signals as a group.** Don’t read too much into a single gesture or nonverbal cue. Consider all of the nonverbal signals you receive, from eye contact to tone of voice to body language. Anyone can slip up occasionally and let eye contact slip, for example, or briefly cross their arms without meaning to. Consider the signals as a whole to get a better “read” on a person.
Skill #3: Improve your ability to manage stress

In small doses, stress can help you perform under pressure. However, when stress becomes constant and overwhelming, it can hamper effective communication by disrupting your capacity to think clearly and creatively, and act appropriately. When you’re stressed, you’re more likely to misread other people, send confusing or off-putting nonverbal signals, and lapse into unhealthy knee-jerk patterns of behavior.

How many times have you felt stressed during a disagreement with your spouse, kids, boss, friends, or coworkers and then said or done something you later regretted? If you can quickly relieve stress and return to a calm state, you’ll not only avoid such regrets, but in many cases you’ll also help to calm the other person as well. It’s only when you’re in a calm, relaxed state that you’ll be able to know whether the situation requires a response, or whether the other person’s signals indicate it would be better to remain silent.

A communication self-assessment can be found in Appendix 2.2.

Facilitate Effective Meetings

For meetings to be effective, a results-oriented approach is critical. This requires significant planning prior to the meeting to outline both the expected results and the process to achieve those results. The most efficient approach has three phases: (1) preparation before the meeting, (2) facilitating the meeting, and (3) debriefing after the meeting.

1. Preparation before the meeting

- Define the purpose and expected outcomes of the meeting, and include them in the agenda
- Prepare an agenda that reflects the purpose and the outcome. For each agenda item:
  - Select a process (e.g. discussion, decision, update) to get to the expected outcome
  * For decisions, select whether it would be by consensus, or by “majority rule” where decisions are made by voting with a majority determining the position of the entire group

TIPS FOR IMPROVING HOW TO DELIVER NON-VERBAL COMMUNICATION

- **Use nonverbal signals that match up with your words.** Nonverbal communication should reinforce what is being said, not contradict it. If you say one thing, but your body language says something else, your listener will likely feel you’re being dishonest. For example, you can’t say “yes” while shaking your head no.

- **Adjust your nonverbal signals according to the context.** The tone of your voice, for example, should be different when you’re addressing a child than when you’re addressing a group of adults. Similarly, take into account the emotional state and cultural background of the person you’re interacting with.

- **Use body language to convey positive feelings** even when you’re not actually experiencing them. If you’re nervous about a situation—a job interview, important presentation, or first date, for example—you can use positive body language to signal confidence, even though you’re not feeling it. Instead of tentatively entering a room with your head down, eyes averted, and sliding into a chair, try standing tall with your shoulders back, smiling and maintaining eye contact, and delivering a firm handshake. It will make you feel more self-confident and help to put the other person at ease.
Inform the person responsible for that agenda item
Allocate the amount of time

- Send a meeting invitation with the agenda
- Follow up with invitees to ensuring they received the agenda and will be in attendance
- Acronyms are commonly used shorthand, that abbreviates names, terms, etc. They are often less awkward and are easier to write and remember. To be effective all members participating in the meeting must understand their meaning. To ensure this, a list of commonly used terms and acronyms should be provided at the meeting and sent out with the meeting minutes.

2. Facilitating the meeting

Effective meeting facilitation is an acquired skill that comes from sound training and regular practice. As a facilitator, you may need to call on a wide range of skills and tools, from problem solving and decision making, to team management and communications.

The primary responsibilities of the facilitator are:

- To guide the process to the expected outcome by utilizing effective listening skills
- To establish agreements of engagement that create an environment where all members experience trust and respect
- To ensure full participation and engagement from all meeting participants
- To manage time efficiently by ensuring that meeting starts on time, each agenda items discussed within the allocated timeframe, and that the meeting ends on time. One effective time management skill is the use of a “parking lot” technique that off-topic discussions are addressed later.
- Conclude each agenda item with a summary of decisions, next steps and action items, and ensure they are recorded
- At the conclusion of the meeting, debrief with meeting attendees asking “what worked well” and “what would you change or improve”

3. Debriefing after the meeting

Debriefing every meeting is an important step to ensure effective communication and to improve facilitation skills. This happens with the meeting chairs, the secretariat, and few key members. Key members will be rotated and selected based on the issues addressed at the meeting. It is effective if done within one week of the meeting, and the most effective if done the day after. Critical debriefing activities include:

- To discuss the summary of decisions, next steps and action items for clarity and accuracy
- To ensure that the secretariat sends the meeting minutes with the list of acronyms to participants within two weeks of the meeting
- To review the “what worked well” and “what would you change or improve” that occurred during the meeting to refine meeting processes
- To begin planning for the next meeting

These steps will help enhance the effectiveness of TAC meetings, DMSAC meetings, CSO Coalition meetings, and Same Service Forums meetings, etc.

The DMSAC Terms of Reference stipulates that DMSAC must hold at least four meetings per years, or even more as additional issues may arise. DMSAC meeting guidelines are outlined in Appendix 1 of the DMSAC Terms of Reference.
4 Improve Your Written Communication

Effective written communication is essential in getting your message across clearly. There are various methods of written communication. The most common are:

- Emails
- Reports
- Meeting minutes

Quality written communication always keeps the reader in mind. The writer considers:

- Who will be reading the communication?
- What does the reader already know?
- What does the reader need to know?
- What does the reader need to do?

One strategy for quality writing is to consider 5 C’s.

- **Clear**: Make sure your purpose and intent is clear to the reader. Avoid the overuse of jargon and acronyms. Make sure your language is understandable to the broadest possible audience. Consider getting someone objective to read it for you.
- **Concise**: Make sure your written communication is not too wordy. Most people have a tendency to overwrite. Be precise with your language. Avoid run-on sentences. Avoid long, meandering phrases when one or two words will do. A good rule is to polish your written piece until it gleams. Get it to where you think it's perfect. Then go back and cut it by 25 percent.
- **Courteous**: Address the reader politely. Treat the reader as you would like to be treated—with respect—adopting the perspective that good relationships are created through courteous interactions.
- **Correct**: Proper grammar and spelling are essential. Edit and proofread your letter so that it has no grammar, spelling and punctuation errors.
- **Complete**: Include all the information the reader needs to have.

5 Improve Your Conflict Management Skills

Within any partnership (e.g., multi-sectorial response), conflict is inevitable, each person comes with different values, experiences, interests, and expectations. Therefore, a means of managing conflict must exist and be clear to all partners so that grievances are addressed in a constructive way. There are three basic steps for conflict resolution: (1) expressing the need, (2) finding if the need can or will be met, (3) and resolution (see Figure 2.2).

**Step 1: Express the Need**

Conflict arises when a person or a party has a need that has not been met by the other party. Often, the other party involved may not be aware of the unmet need that is at the root of the conflict. In order to come to an understanding between both parties, the need should be expressed.

There are many causes or reasons for conflict in any work setting. Some of the primary causes are:

- **Poor Communication**: different communication styles can lead to misunderstandings between employees or between employee and manager. Lack of communication drives conflict ‘underground’.
- **Different Values**: any workplace is made up of individuals who see the world differently. Conflict occurs when there is a lack of acceptance and understanding of these differences.
- Differing Interests: conflict occurs when individual workers ‘fight’ for their personal goals, ignoring organizational goals and organizational well-being.
- Scarce Resources: too often, employees feel they have to compete for available resources in order to do their job. In a resource scarce environment, this causes conflicts – despite awareness of how scarce resources may be.
- Personality Clashes: all work environments are made up of differing personalities. Unless colleagues understand and accept each other’s approach to work and problem-solving, conflict will occur.
- Poor Performance: when one or more individuals within a work unit are not performing - not working up to potential – and this is not addressed, conflict is inevitable.

**Figure 2.2. Conflict Resolution Model (Jeff Muir)**

**Step 2: Find out if the Need can or Will be Met**
This involves open communication and discussion between both parties to reach a solution in order to move forward. If the need cannot be met, further conversation is recommended, and both parties may have to compromise in order to reach a consensus.

**COMMUNICATION TIPS DURING CONFLICT RESOLUTION**
1. Clearly articulate the causes of the conflict – openly acknowledging there will be differing perceptions of the problem(s).
2. Make a clear statement of why you want the conflict resolved and reasons to work on conflict.
3. Communicate how you want the conflict resolved.
4. Address the issues face-to-face (notes, email correspondence, memos are not a productive way to resolve differences).
5. Take time out if necessary. In the resolution of a conflict, our emotions may interfere with arriving at a productive resolution. If this transpires, take a time-out and resume resolving the conflict at another designated time.
6. Involve a mediator if necessary.
Step 3: Resolution
The conflict should not be left unresolved. This can lead to many dysfunctions within the organization. Avoiding conflict is often the easiest way to deal with it. It does not however make it go away but rather pushes it underground, only to have it resurface in a new form. By actively resolving conflict when it occurs, we can create a more positive work environment for everyone.

Appendix 2.3 is an exercise to improve conflict resolutions skills.

Three Common Barriers to Effective Communication

1. Defensiveness or premature assumptions

**Problem:** A defensive listener will be less able to "hear" what the speaker is saying. In some cases, instead of listening, a person is thinking about why an interaction is occurring or perhaps preparing a response to a message that he or she hasn't heard. By making assumptions about the speaker and the reasons that a conversation is taking place, the listener keeps him/herself from paying attention to the real message.

**Solution:** The listener should not presuppose that he or she knows the reason for or the basis of the communication, nor should the listener feel defensive without knowing what is being said. Being open and nonjudgmental will allow the listener to truly hear what is being said.

2. Judgments based on cultural differences or interpersonal relationships

**Problem:** This problem goes hand in hand with that of making assumptions. In this case, the problem involves presupposing things about another person based on cultural differences and personal associations. This can result in not hearing a message or misinterpreting the message.

**Solution:** It is important for the speaker and listener to be open with each other to dispel assumptions and biases. For this to happen, it may be useful to address biases straight on in an open dialogue. By revealing and discussing biases and assumptions, it is possible to minimize their negative impact and thereby communicate more fully and effectively.

3. Mixed messages

**Problem:** A conversation that conveys contradictory messages or conflates the intended message with extraneous issues can cause confusion, concern, or resentment.

**Solution:** Before speaking, people should think carefully about the points to be made. Written talking points can be useful in this regard. If there are multiple messages to convey (perhaps some positive and some negative messages), it may be better to present them on separate occasions or in different environments. Conveying only one message at a time can help avoid confusion and misunderstanding.
This section helps you improve your performance and skills to identify gaps and areas for improvement. To ensure effective communication ask yourself these questions:

Communication

I. Establish Internal Communication Protocol
   - Have you established communication protocols within your organization?
   - Are you aware of your partner’s communication protocols?

II. Facilitating Effective Meetings
   - Have the pre-meeting activities been followed?
   - Does the meeting facilitator/chair ensure an environment of trust and respect?
   - Do meetings get to the expected outcomes?
   - Do meetings start and end on time?
   - Are debriefs held after each meeting?

III. Effective Communication Skills
   - Do you practice active listening skills?
   - Are you able to read non-verbal cues?
   - Are you able to manage your stress to communicate effectively?
   - Are there regular assessments to help improve communication including conflict resolution?

IV. Written Communication
   - Have you used the 5 Cs in your written communication?

V. Managing Conflict
   - Are conflicts resolved effectively?

“Speak when you are angry, and you’ll make the best speech you’ll ever regret.” – Laurence Peters
“The single biggest problem in communication is the illusion that it has taken place.” – George Bernard Shaw
Module 2 covered the communication protocols adopted within the DMSAC and between stakeholders. Tips on how to improve interpersonal communication and organizational communication were also explored. As an important concept in collaboration, having the right communication practices and tools can have a positive impact on your organisation.

Key Points

- Developing a communication protocol within your organization and for the collaboration
- Importance of non-verbal cues affect the way we interpret someone’s message, being aware of the other person’s cues and also of the cues that you are projecting, and you know that they affect the other person(s)
- Be very wary/careful when communicating in a stressful situation...
- Being aware of your own conflict resolution style

Do not forget to complete the assessments located at the end of this module. They will help you understand your own communication style, and any areas for improvement. Also take the time to record what your organization or the coalition that you are involved in can do to improve the way communication is handled. Consider the following:

- Has the collaboration established a communication protocol? If not, how can this process be initiated?
- How can you improve the way that you personally communicate with your peers?
- While going through this module, have you identified ways that you can make your meetings more productive? If so, write them down so you can share them with your peers.
# Tools for Information Sharing in DMSAC

## 1. Internal Communication

<table>
<thead>
<tr>
<th>Channel</th>
<th>Effectiveness</th>
<th>Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Telephone including cell phone and SMS</td>
<td>Reach DMSAC stakeholders spontaneously. It is very effective.</td>
<td>DMSAC members and stakeholders</td>
</tr>
<tr>
<td>Fax</td>
<td>Reach DMSAC stakeholders fast. Fairly effective</td>
<td>DSMAC members and stakeholders</td>
</tr>
<tr>
<td>Email</td>
<td>Reach DMSAC stakeholders fastest, but limited to stakeholders computing literacy or limited access to Internet. It is fairly effective</td>
<td>DMSAC members and stakeholders</td>
</tr>
<tr>
<td>Memo (letter)</td>
<td>Prone to delays, reach DMSAC after sometimes, fairly effective</td>
<td>DMSAC members and stakeholders</td>
</tr>
</tbody>
</table>

## 2. Information Sharing

<table>
<thead>
<tr>
<th>Channel</th>
<th>Effectiveness</th>
<th>Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meetings/Workshop/Discussion</td>
<td>All very effective, ensuring there is collaboration and dialogue</td>
<td>DMSAC members</td>
</tr>
<tr>
<td>Reports</td>
<td>Fairly effective, but sometimes clarity is needed to read and understand variables and harmonize data</td>
<td>DMSAC members and stakeholders</td>
</tr>
</tbody>
</table>

## 3. Media

<table>
<thead>
<tr>
<th>Channel</th>
<th>Effectiveness</th>
<th>Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Newsletter</td>
<td>Reach DMSAC stakeholders fast but limited to literacy levels and availability</td>
<td>DMSAC members and stakeholders</td>
</tr>
</tbody>
</table>

## 4. Other

<table>
<thead>
<tr>
<th>Channel</th>
<th>Effectiveness</th>
<th>Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>Publications (poster/flier/leaflet)</td>
<td>Reach DMSAC members spontaneously, but fairly effective since recipients may forget afterwards</td>
<td>DMSAC members</td>
</tr>
<tr>
<td>Special Days</td>
<td>For information to reach stakeholders, this should be supported by other tools of communication</td>
<td>DMSAC members and stakeholders</td>
</tr>
</tbody>
</table>

Communication Self-Assessment

Directions: Choose the answer that applies best to you in each of the following situations. See the answer key on the next page.

1. When a person keeps talking without a pause do you...
   a) Politely interrupt
   b) Talk over them
   c) Wait for them to finish

2. When another person is talking do you...
   a) Focus on what you want to say next
   b) Listen, trying to pick out the main issues
   c) Wait for them to finish so you can make your own point

3. When you don’t understand what the other person is saying do you...
   a) Assume that know what they are trying to say
   b) Yell at them that they don’t make any sense
   c) Ask them for clarification

4. When another person is talking do you...
   a) Nod your head in understanding
   b) Stare off into space
   c) Cross your arms

5. In an argument do you...
   a) Assume that you know the motives of the other party
   b) Ask questions to discover the underlying issues that they other party has
   c) Take what the other person is saying at face value

6. Bringing up past issues in a conflict ...
   a) Is sometimes acceptable
   b) Is a great weapon
   c) Should be avoided

7. In an argument yelling is...
   a) An effective way to show emotion
   b) Is bad, trying to stay calm is better
   c) Bad only if it hurts the other person’s feelings

8. When you feel like you are not being understood do you...
   a) Try and explain things again in a different way
   b) Get angry
   c) Repeat yourself

9. When listening it is...
   a) Fine to stare off into space as long as you are listening
   b) Important to have good eye contact
   c) Unimportant to pay attention

10. If you want to leave the argument do you...
    a) Stomp off and slam the door
    b) Yell something like “I’ve had it!” and walk off
    c) Calmly explain that you need some space to calm down and think

Appendix 2.2
Communication Self-Assessment Answer Key

**Scoring:** For each question, find the score that corresponds to the answer that you selected and find the sum of all the values.

1. a = 2; b = 1; c = 3
2. a = 1; b = 3; c = 2
3. a = 2; b = 1; c = 3
4. a = 3; b = 2; c = 1
5. a = 1; b = 3; c = 2
6. a = 2; b = 1; c = 3
7. a = 1; b = 3; c = 2
8. a = 3; b = 1; c = 2
9. a = 2; b = 3; c = 1
10. a = 1; b = 2; c = 3

**SCORE INTERPRETATION**

**30-25 points**
You are a good communicator! You are on the right track towards effective communication. If you maintain this attitude you will be able to prevent conflicts from escalating and your personal relationships will benefit.

**24-18 points**
You have the potential to become a good communicator but there is still room for improvement. Remember to listen closely to what the other person is saying and to think before you react.

**17-10 points**
There’s still a lot of work to do. Your ability to communicate is not the best in the world and you tend to over react, making awkward situations worse. You need to calm down and separate the person from the problem.

Managing Conflict Exercise

1. Ask for six volunteers willing to role play in front of the full group. Each person will receive a separate description of the role they are to play. Explain to the full group that they will perform the role play for about five minutes, and that the full group will be asked to observe and then comment on the role play.

   Scenario: The DAC convenes a meeting of your Technical Advisory Committee to inform them that funding has arrived from MLG&RD, but that it is significantly less than requested. The DAC has decided that three major activity plans need to be cut from the plan. You want to tell TAC members which activities will be cut and ask them to help communicate this information to the full DMSAC.

2. Assign roles to each volunteer.
   a. The DAC
      You want to tell them which plans will be cut and ask them to help you communicate this information to the full DMSAC.
   b. TAC member 1 (CSO Representative)
      You are the head of one of the agencies whose funding will be cut. You are extremely upset about the loss of funds. You do not care at all about communicating to the rest of the DMSAC, but only about how you can get your money back. You act aggressively (try to dominate the conversation).
   c. TAC member 2 (DHMT Program Officer)
      Even though you do not have a personal stake in the budget cuts, you are concerned that there has not been an objective or transparent decision making process. You act assertively (continue to bring up the same points).
   d. TAC member 3 (CSO Representative)
      You are also the head of one of the agencies whose funding will be cut, and are upset about the loss of funds. You have no faith in the process at all, and are finding TAC member 1 annoying. You have a sick child at home, and are worried about him. You just want the meeting to end quickly so you can go home. You act passive aggressively (side-conversations).
   e. TAC member 4 (DHMT Program Officer)
      You are a DHMT Program Officer. You feel sorry for the DAC, but you are young, and very new in your position, don’t know the other TAC members very well, and find them all a little intimidating. You act passively (sit silently, but use body language to communicate frustration).

3. Instruct volunteers to act out the scenario for five minutes.

4. At the end of the role play:
   - Ask the observers what happened in the role play? What were the roles that the TAC members were playing? What skills or approaches did the DAC use to manage the TAC? What advice might you have for the DAC for the future?
   - Ask the DAC how he/she felt about the experience? What did he/she learn?
   - Ask the TAC members how they felt? How did the DAC manage the conflict between them?

3. CSO REPRESENTATION

As seen in previous modules, the Botswana HIV and AIDS response takes a multi-sectoral approach and focuses on community involvement, mobilization, and empowerment. Because of their abilities to reach the most vulnerable within communities, CSOs are valuable partners in the district HIV and AIDS response.

Purpose of the Module

Module 3 will outline how the CSOs could be represented within the DMSAC. It will also outline their roles and responsibilities, and expectations in the district HIV and AIDS response. Readers will also be oriented to other documents that they may use as resources for more information CSOs’ partnership with the DMSAC and WMSAC/VMASC.

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“It is more substantial to represent a purpose, rather than just a title.” - T. F. Hodge
**WHAT IS CSO REPRESENTATION?**

Civil Society Organisation representation here refers to a process where individual organizations are selected by the CSO coalition to serve in the DMSAC on their behalf for a defined period of time. Where there are no coalitions the TAC determines who should represent the CSOs at the DMSAC. Being a representative requires active participation as a DMSAC member, as well as continuous engagement with the CSOs.

Working toward a common goal, CSO coalitions are an effective way of having broad representation, allowing the CSOs to function as a unified voice. Figure 3.1 depicts the relationship between all stakeholders involved in the district response. In the event that a district does not have a sub-district, DMSAC would report directly to District Development Committee (DDC/UDC). It has also been recommended that coalitions be established in every district. Where there are no coalitions, it is suggested that a coalition should be established. BONASO is a resource to help districts form a CSO coalition.

**Figure 3.1. DMSAC Linkage Relationship (Districts with Sub-districts)**

![Diagram of DMSAC Linkage Relationship](image)

**WHY DO WE NEED IT?**

The most effective response to a community concern is to secure broad-based representation. This approach brings the community together to focus their efforts toward a common goal. The local HIV and AIDS response is clearly one of those concerns. Because their ability to provide expanded coverage given that they are community-focused and have a wide population reach, particularly to underserved and remote populations, CSOs play a vital role in the district response. Therefore, equitable CSO representation in the DMSAC is driven by ownership, and effective collaboration, ultimately leading to sustainable community change.

To be successful, partners (CSOs and CSO coalitions, government, private sector, and development partners) need to know why they are participating and what they can benefit from the DMSAC.
A systematic approach is needed to ensure equity and purposefulness in Civil Society Organisations representation in HIV and AIDS efforts. It also forms a basis for strengthening the multi-sectorial approach, and maintaining an effective and focused response to a dynamic epidemic.

The Guidelines for Selection of CSO Representation in DMSAC—a document developed by the Okavango and Ngami districts and reviewed by Chobe and Ghanzi in 2012—offers recommendations and suggests criteria for CSO representatives in the DMSAC.

Who Should Represent CSOs?

The CSO sector is recognised as playing a critical role in the National and District HIV and AIDS response. It is therefore critical to ensure that the Civil Society sector is fairly represented in the DMSAC.

- Representation should be drawn from the district CSO coalition, where one exists.
- Two additional representatives could be drawn from the sectors as agreed by the coalition members. It is the duty of the representatives to advocate for the CSOs as a whole, to attend all DMSAC meetings, and report back to the CSOs. At some point during their terms, representatives should be assessed based on the coalition’s constitution to ensure that they are fulfilling their duties and responsibilities.
- As may be applicable, the Coalitions that are not strictly HIV & AIDS focused may co-opt (Youth, OVC, Gender and Disability) as agreed by the general membership.
- With regard to DMSAC subcommittees, the CSO district Coalition will be given the mandate to identify through its capacity assessments, the organisations to represent CSOs.
- An assessment should be done that shows the areas of strength and technical capacities of each organization in addition to value propositions or comparative advantages.

All representatives also need to be oriented to the local HIV and AIDS response, and this includes:

- DMSAC Terms of Reference
- DMSAC Orientation Package
- Evidence-based Planning Toolkit
- National Strategic Framework
- District HIV and AIDS Evidence-based Plan
- National Capacity Building Strategic Framework
- National Monitoring and Evaluation Plan for the National Operational Plan for HIV and AIDS
- DMSAC Communication Strategy
- Local vision and values for DMSAC
- Role and responsibility including time commitment, responsibility to reporting back to those constituents
- HIV and AIDS situation
- District Epidemiology (including driving factors, statistics, and impact)
Familiarity with these documents and items will encourage engagement and clarification of
tasks, which will strongly contribute to getting the intended results.

**Selection Criteria**

The Coalition will be selected by default to be a DMSAC member. The selection criteria for
additional CSO representatives in the DMSAC and TAC will be determined by the Coalition
and it may include organizational capacity, comparative advantage (Service mix, skilled
manpower, resources) and voting as may be deemed appropriate.

The District CSO Coalition DMSAC membership will be sanctioned by the general
membership at the AGM. The coalition will in turn select DMSAC subcommittee
representatives at the CSO networking forums or the sector meetings where applicable. The
DAC who is a member of the Network Forum should provide oversight guidance during the
selection of members to the DMSAC subcommittees.

In order for an organization to be considered and represented in the DMSAC, it must be
registered with the Registrar of Societies. The registration process is usually complete within
14 workdays. See Appendix 3.1 for the requirements for registering a Society.

**Membership Term**

Membership to DMSAC and TAC should be reviewed every two years.

**Reporting**

All persons responsible for overseeing the operations and functions of their organizations
(Head of organization, Site Coordinator/manager or center Manager) should be responsible
of submitting electronic and/or hard copies reports through e-mail, fax, or hand delivery to
the Coalition.

Steps to Reporting:

- Step 1: All reporting organizations should submit their quarterly reports on or before
  the end of the first week of the month of the following quarter

- Step 2: Upon receipt, the CSO representation or Coalition will review, analyze,
  consolidate

- Step 3: Share with all reporting CSOs the consolidated report for review and input
  before finalization

- Step 4: Submission to the DAC and share with relevant partners (e.g. DHMT, S&CD,
  Health and planning) so that the organizations own the report analysis.

**Feedback from DMSAC**

The CSO representation or Coalition is expected to give feedback via email, conference calls
or networking forums or as may be appropriate using the CSO Feedback template found in
Appendix 3.2.
HOW DO WE KNOW IT IS WORKING?

Ask yourself these critical questions:

I. Who Should Represent CSOs?
   • Is there fair representation of CSOs in the DMSAC?

II. Membership Term
   • Are members assessed after a two-year term?

III. Reporting
   • Are reports being submitted quarterly?
   • Is the coalition reviewing, analyzing, consolidating, and sharing reports with CSOs prior to submission?

IV. Feedback from the DMSAC
   • Is feedback being given using CSO Feedback Template?
“If we wish to discuss knowledge in the most highly developed contemporary society, we must answer the preliminary question of what methodological representation to apply to that society.” — Jean-François Lyotard
In Botswana, CSOs have been recognized as valuable partners in the HIV and AIDS response. Therefore, proper representation of these organization within the DMSAC is vital to ensure that response is coordinated. This can only be done if every party involved is aware of its role and responsibilities, and abide by them. CSO Coalitions have been identified as the liaison between CSOs and the district government. Where Coalitions exist, it is important for CSOs to get involved with them to ensure that they are well-informed when it comes to the HIV and AIDS response in their district.

Key Points

- It is important to establish CSO Coalitions in all districts
- Representatives from these coalitions should be selected as DMSAC members
- Reporting requirements outlined in the DMSAC Terms of Reference should be followed by the CSOs

To familiarize yourself with the role that CSOs have to play in the DMSAC, be sure to review all the documents referenced in this module, especially the DMSAC Orientation Package.
Requirements for Registering a Society

APPLICATION LETTER

Use the below address:-
REGISTRAR OF SOCIETIES
Private BAG 00240
GABORONE

(Suggest 10 names for the society in order of preference and list three or more objectives)
The names should clearly reflect the nature of the society whether it is an association, club, church or society.

The objectives of the society should be in harmony towards what the society intends to do.
Attach the following to the application letter:
   a) Minutes of the formation of the society
   b) List of Attendees of the meeting with Names in full, Signatures and Identity Numbers.

A minimum of ten (10) people should attend the meeting.

RESPONSE TO APPLICATION LETTER

   • Form A
   • Membership list
   • Guideline of the constitution

SUBMISSION OF THE CONSTITUTION

   • 3 copies of the constitution
   • Form A completed in tripartite
   • Membership list

For churches include:

   • Leadership qualification/Theology certificate/Bible Study Certificate
   • Clearance letter from former church.

Churches originating from outside Botswana: Submit authorization Letter and certified copy of constitution from Mother body Church.

In case of non-citizen serving in the executive committee certified copies of their resident permits, work permits and passport, detailing their picture and personal details should also be submitted. A non-refundable application fee of BWP 500.00 is levied for Associations, Cultural Clubs and Churches and that of BWP 250.00 is levied for Burial Societies and Sporting Clubs.

Registration will be done within 14 working days. Sometimes registration is delayed due to correction of registration documents.
If the application has been successful and the society is registered, a Certificate, Form A and Constitution are issued.

NB: -WE ONLY REGISTER NON-PROFIT MAKING ORGANISATIONS.
      -WE DO NOT REGISTER BUSINESS ORIENTED ORGANISATIONS, TRUSTS AND FOUNDATIONS.

CONTACTS: 3611478/60
Appendix 3.2

CSO Feedback Template

CSO FEEDBACK TEMPLATE

1) District reporting rates
   - # of reporting organisations
   - # of organisation that reported
   - # of organisation reports on time

2) Action items from the meeting

3) New information

4) Program updates

Summary of District data

<table>
<thead>
<tr>
<th>Program Area</th>
<th>Target</th>
<th>Reach</th>
<th>Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>OVC</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HBC</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ARV</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PMTCT</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HCT</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

5) Challenges/Lessons learnt

6) Suggestions/Recommendation

In Module 2, we established that communication is an important aspect of any collaboration. In the current module, we will take a different approach, and focus on the planning process that each organization should undertake when creating HIV and AIDS programs. We will also touch on how these plans should be shared with other partners so that all partners are working as one to achieve the goals of the district HIV and AIDS response.

Purpose of the Module

This module provides an overview of the district evidence-based planning process outlined in the DMSAC Evidence-based Planning Toolkit which should be consulted for more in-depth information on district HIV and AIDS planning. We will also cover how to proceed once your organization has developed a plan, and knowing how to submit this plan to the DMSAC for a coordinated response.

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“Planning is bringing the future into the present so that you can do something about it now.” - Alan Lakein
Planning is the process of thinking about and organizing the activities required to achieve a desired goal—it harnesses the knowledge from data and information to optimize HIV and AIDS response to “Getting to Zero”.

Planning gives more power over the future. Planning is deciding in advance: (1) what to do, (2) how to do it, (3) when to do it, and (4) who should do it. This bridges the gap from where you are to where you want to go. Strong planning is essential in creating the district comprehensive plan. In addition, the planning process must also include budgeting to effectively meet the outcomes of the plan (costing the plan). Central to Botswana’s HIV and AIDS Response is an evidence-based planning process, which will be outlined in this module. At the district level, the HIV & AIDS response is led by the DMSAC, and is specifically coordinated by the DMSAC planning sub-committee.

Communicating the Plan refers to imparting and exchanging information. To be effective, a formal process must be established that allows information to flow both horizontally and vertically. Figure 2.1 provides an example of horizontal and vertical communication, where information flows between entities holding the same hierarchical position, and between superior and subordinate entities, respectively.

As the most important management tool of the District Response, the Comprehensive Evidence-based Plan helps make sure that:
- Funds are used in the best way possible in the district
- Services are well coordinated and not duplicated
- Specific situation and needs of people in that district are met during the timeframe established by the DMSAC
- Services can be monitored to ensure effective implementation in the district

In addition to the EBP, the Government of Botswana adopted a Results Based Management (RBM) approach to provide a coherent framework for accountability.

Effectively Communicating the Plan ensures that:
- Local ownership and the successful implementation of HIV and AIDS related activities
- Support is galvanized at local, national, and international levels
- Feedback between partners, and between the district and national entities
Planning for the HIV and AIDS Response

Evidence-based Planning has been adopted by the government of Botswana as an approach that allows the districts to use data and information that is relevant to their district’s needs for HIV and AIDS prevention, treatment and care services. The *2013 Evidence Based Planning Toolkit* is intended to provide sound guidance on evidence-based planning. The Toolkit interfaces evidence-based planning with Results-based Management (RBM).

**Results-based Management**

Results-based management is a life-cycle approach to management that integrates strategy, people, resources, processes, and measurements to improve decision making, and achievements. Results-based management involves:

- defining realistic expected results based on appropriate analysis;
- clearly identifying program beneficiaries and designing programs to meet their needs;
- monitoring progress toward results and resources consumed with the use of appropriate indicators;
- identifying and managing risk while bearing in mind the expected results and necessary resources;
- increasing knowledge by learning lessons and integrating them into decisions; and
- reporting on the results achieved and resources involved.

Amongst government agencies and other organizations, the tendency has been to focus solely on inputs, activities and outputs without incorporating the results. This new management approach requires that we also focus on the results of our programs to maximize their impact on the beneficiaries and to improve sustainability of the program.

**Evidence-based Planning Process**

The Evidence-based Planning process includes six interrelated steps that should be executed in order to ensure that HIV and AIDS programs that are developed address the needs of the community, and that they are effective. The DMSAC Secretariat (the DAC), takes the lead role in ensuring that the planning process is successfully completed. These steps are:

1. **Getting Ready**: A significant amount of work needs to be done before initiating the planning process.

   1. **Establish a sub-committee**

      The DAC and the DMSAC will select a committee composed of 15 to 20 individuals with the skills necessary to lead the planning activities. The committee should have representative from the DAC office, DHMT, S&CD, NGOs/CBOs/FBOs, PLWHA, private sector, community leadership, and representatives from other sectors.

   2. **Review and establish roles and responsibilities**

      As previously stated in Module 1, having a clear definition of the role that an individual or group plays within a coalition is imperative to a successful collaboration. Responsibilities of the DMSAC, DAC, DMSAC planning sub-committees, District M&E officers, implementing partners, and other stakeholders are outlined in the EBP Toolkit.

2. **Evidence Gathering**

   The planning sub-committee should initially determine the type of data/information required for the planning process and identify possible data sources containing the...
required HIV and AIDS data and information in the district. The sub-committee should strive to collect both quantitative and qualitative data.

1. **Community consultations**
   Involvement of the community is crucial to ensure that the activities developed are in line with the community member’s perceived needs. The VMSAC/WMSAC are structures at the village and ward levels through which communities are consulted and linked to the planning process. Community conversations are also a great way to discuss these issues and get the community’s buy-in.

2. **Collect district HIV and AIDS statistics/information**
   Secondary data about the status of the district should be obtained to get an accurate idea of the HIV and AIDS status of the district. If needed to fill certain gaps in the data, the sub-committee may decide to conduct key informant interviews and focus group discussions.

3. **Prepare the district profile**
   Once the community has been consulted, and all the existing HIV and AIDS data about the district gathered, it should all be compiled into the district profile. A similar district profile will be included in the final proposal submitted to the MLG&RD. An outline of the District HIV and AIDS profile can be found under Tool #3 in the DMSAC Evidence Based Planning Toolkit.

3. **Results-Oriented Planning**

   1. **Issue analysis**
      The data gathered in the previous phase should be analyzed to identify issues, gaps and challenges that the district faces in the HIV and AIDS response.

   2. **Priority setting**
      The prioritization process in the EBP Toolkit should be followed to rank the identified issues. These issues should be ranked based on prevalence in the district, importance, and urgency.

   3. **Defining goals**
      Once the highest priorities have been identified, it is important to establish set goals that align with National Strategic Framework’s (NSF) outcome results.

   4. **Defining objectives/outcome results**
      While goals are more general, objectives outline the specific proposed outcomes of the activities that will be implemented to address the identified issues and gaps. The objectives must be SMART, meaning they must be specific, measurable, attainable, relevant, and time-bound.

   5. **Determining the strategies/outputs**
      Strategies to achieve the stated objectives should be based on successful interventions. In the NSF, suggested implementation strategies are outlined under each priority area.

   6. **Activities**
      This step identifies all the activities that will be undertaken to meet the outlined objectives. Creating a Gantt chart and a logic model can be helpful in keeping track of the specific activities, timeline associated with the activities, and the individual(s) responsible for executing them.

   7. **Formulating Monitoring and Evaluation indicators**
      Indicators are elements that can be measured to show progress toward an objective. All stakeholders need to be involved in selecting the best indicators. These should
align with the indicators identified in the National HIV and AIDS response.

8. Setting targets
Targets add values to the indicators and serve as reference points to measure the progress made in achieving a specific objective. These must be realistic and attainable.

9. Determining who will implement the district activities
CSOs that will implement the district activities are selected competitively. Their ability to carry out the proposed activities will be assessed based on previous performance, skills and expertise, and ability to produce deliverables.

More information on the selection of CSO to implement District HIV and AIDS activities will be provided in Module 6: Resource Mobilisation.

4. Preparing the Plan

1. Gather detailed activity proposal from implementing partners
Proposals will be gathered from all implementing partners and will be compiled into a more detailed proposal to be submitted to the MLG&RD.

2. Complete the summary of proposed activities form
These forms are found in the DMSAC EBP Plan. It is vital so complete this task, as these tools will be used to distribute funds to the district and for monitoring and evaluation purposes.

3. Organize the DMSAC comprehensive HIV and AIDS plan document to include the following sections:
   - Title page with the name of the district and the district plan period.
   - An executive summary
   - The district profile
   - The District Services Inventory
   - A summary of the Proposed Activities form
   - M&E indicators corresponding to the proposed activities.

Before submitting the HIV and AIDS plan, efforts should be made to include a summary of other HIV and AIDS related activities that may not be funded by the DMSAC.

4. Submit the plan
A final meeting to review the plan should take place with the planning sub-committee, and all the stakeholders. Once the DMSAC Chair signs off on the final plan, it should be submitted to the AIDS Coordination Division at the MLG&RD, both electronically and in print.

5. National approval process
Once plans are submitted to MLG&RD, a review is done by broad-based committee representing CSOs, government, and development partners. The assessment focuses on whether the planning process has been followed, and the effectiveness of the proposed interventions, as well as ensuring that the budget reflects the activities.

A planning calendar is included as Appendix 4.1.

5. Implementation, Monitoring and Reporting
While the HIV and AIDS activities are being implemented, it is important to ensure that they are not only carried out as planned, but that they are executed so successfully. Monitoring during this step, allows one to identify the gaps and address any problem that may arise.
1. **Determining the monitoring system**
   Having a set monitoring system in place allows you to identify who is in charge of the process, who is the liaison from each implementing partners, the tools that will be used, data collection methods, and analysis.

2. **Collect and compile information about on-going and completed activities**
   Data about the activities being implemented should be collected using the selected monitoring tools. Each implementer must also submit the *Activity Monitoring Form*—which can be found as Tool#8 in the *DMSAC Evidence Based Planning Toolkit*—to the DAC office based on the agreed reporting timeline.

3. **Data analysis and report consolidation**
   Data from each implementing partners will be consolidated and analyzed by the DAC and the District M&E officer. The consolidated report will be given to the TAC for further analysis.

4. **Dissemination of findings of the district activity monitoring**

6. **Plan for Evaluation**

   Within the DMSAC, evaluations to assess whether the program outcome results were achieved, are done annually based on the specific targets set by the district. Please refer to *Module 7: Monitoring and Evaluation* for more information on how to conduct an evaluation.

   More in-depth information about the EBP process can be found in the *2013 DMSAC Evidence Based Planning Toolkit*.

---

**Communicating the Plan**

Imparting or exchanging of information is a critical form of communication. To ensure the success of the Evidence Based Planning related to the HIV and AIDS efforts, there must be a formal process that outlines a smooth flow of information (both horizontally and vertically) between the national and local levels. Section 2.22 of the *DMSAC Terms of Reference* clearly outlines reporting structure and responsibilities (see figure 4.1).

Communication from the collaboration to the broader community must be established. Ideally, this would involve the development of a public communications plan; see *Appendix 4.2 Building and Sustaining Key Champions a Broad-Based Community Support* for more information on creating a communications plan. Special issues to consider with a collaboration in the area of external communications are:

- Be explicit about who is authorized to serve as spokespersons for the collaboration.
when communicating with the media and other formal information channels.

- Make sure that public communications give credit and recognition to the individual collaborative partners, in addition to the success achieved by the coalition as a whole.

An example of a communication forum where the HIV and AIDS response plan is shared with the community is Pitso. The purpose Pitso is to discuss the state of HIV and AIDS in the district, and an opportunity for the DMSAC to give progress update on the implementation of the district plan, and for stakeholders and community leaders to be involved. Appendix 4.3 outlines a meeting template of the Pitso meeting.

**DMSAC Communication Strategy Guidelines**

As an important contributor to the HIV and AIDS response, when developing a communication plan, the *DMSAC Communication Strategy* document should be consulted to ensure that your organization’s plan aligns with that of the DMSAC. The target of DMSAC communication are members and stakeholders who receive and submit reports on the district HIV and AIDS situation. Table 4.1 below from the *DMSAC Communication Strategy* outlines the communication strategies used by DMSAC to transmit this information to its target audience.

**Table 4.1. DMSAC Communication Matrix**

<table>
<thead>
<tr>
<th>DMSAC Activities</th>
<th>What is Being Communicated</th>
<th>Modes and Tools of Communication</th>
<th>Originator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal and External Communication</td>
<td>Information regarding meetings, workshops, and other planning sessions</td>
<td>Newsletters, emails, fax, telephone call, memos</td>
<td>DAC Office (secretariat)</td>
</tr>
<tr>
<td></td>
<td>Appreciation to development partners (resources and funding)</td>
<td>Memos, appreciation cards</td>
<td>Development Partners</td>
</tr>
<tr>
<td>Planning Sessions</td>
<td>Reporting on successes of the previous activities</td>
<td>Written reports and sometimes newsletter</td>
<td>DMSAC Membership</td>
</tr>
<tr>
<td></td>
<td>Discussions</td>
<td>Face-to-face dialogue, meetings</td>
<td>DMSAC Membership</td>
</tr>
<tr>
<td></td>
<td>Annual Planning activities for the year</td>
<td>Written reports</td>
<td>DMSAC Membership</td>
</tr>
<tr>
<td>District Profiling of Issues</td>
<td>Reporting on issues related to particular programme, e.g. PMTCT</td>
<td>Reporting tools (BHRIMS form), written reports, and sometimes newsletter</td>
<td>Program Coordinators</td>
</tr>
<tr>
<td>Needs Assessment</td>
<td>Assessing plan from implementing partners</td>
<td>Dialogue and discussion to reach consensus</td>
<td>DMSAC Membership</td>
</tr>
<tr>
<td></td>
<td>Feedback regarding concerted reports</td>
<td>Feedback (memos and discussions)</td>
<td>DMSAC Membership</td>
</tr>
<tr>
<td>Monitoring and Evaluation</td>
<td>Review of plans and activities, i.e. for funding</td>
<td>Memos, e-mails, telephone calls, fax and memos</td>
<td>Government and Partners</td>
</tr>
<tr>
<td></td>
<td>Feedback on impact of various activities</td>
<td>Memo sent as acknowledgement</td>
<td>Government and Partners</td>
</tr>
</tbody>
</table>
To ensure effective planning and communication, ask yourself these questions:

**Planning**

I. **Getting Ready**
   - Has your organization identified who will be involved in the planning process?
   - How much time should be dedicated
   - Has your organization identified the stakeholders and their roles and responsibilities?
   - Has a planning committee been convened?

II. **Evidence Gathering**
   - Has the community been involved in the planning process?
   - Do you personally know where to access current HIV/AIDS data specific to your district?
   - Have you completed a district profile?
   - Are the HIV and AIDS efforts data-driven and reflect the current HIV and AIDS situation in the district?

III. **Results-Oriented Planning**
   - Do local HIV and AIDS efforts address the major risk factors for HIV infection in the district and align with NFS II Priorities?
   - Were important issues prioritized based on gathered HIV/AIDS data?
   - Were goals and objectives defined?
   - Do the district funds support evidence-based HIV and AIDS strategies?

IV. **Preparing the Plan**
   - Is your organization aware of the different components to include in an implementation plan?
   - Do you know who to submit the plan to?

V. **Implementation, Monitoring and Reporting**
   - Has your organization identified who will be involved in monitoring the progress and evaluating the achievements?
   - How will the data be analyzed and stored?
   - How will the information be disseminated?

VI. **Plan for Evaluation**
   - Is there an evaluation plan set in place?
   - Is there a plan for disseminating results?

**Communicating the Plan**
   - Has the plan been communicated to other partners?
   - What were the strategies used to communicate the plan?
“Good luck is a result of good planning.” - Unknown
To optimize the district HIV and AIDS response, it is important to ensure that the activities outlined in the plan were informed by the district’s needs. In order to avoid duplicating efforts, the plans must be shared with partners and submitted to the DMSAC to ensure that the district HIV and AIDS response is coordinated.

Key Points

- It is important to establish a planning committee before initiating the planning process
- Evidence of the community needs should be established through community consultations, district profiles, and district HIV and AIDS data
- All this evidence need to be analyzed to set district priorities, goals, outcomes, and activities that will be undertaken to meet the needs of the district
- Once your plan has been developed, and submitted to the district CSO coalition if one exists, it must be submitted DMSAC
- Throughout the implementation phase, it is important to monitor your progress, and evaluate your program
- Develop a strategy on who to communicate the plan the community

Now that we have explored the different steps crucial for the development of an evidence-based HIV and AIDS plan, be sure to located and read the DMSAC Evidence-based Planning Toolkit so your organization can develop programs that are based on the current needs of your community, and will be impactful. Also take the time to record your organization’s Actions for Improvement on the next page.

- What areas need to be addressed within your organization?
- Where do your organisation’s strength lie?
- What will you do moving forward to ensure that your organization is delivering HIV and AIDS plans that are evidence-based?
- Have you made decision on who, how and when your plan will be communicated?
### DMSAC Planning Calendar

<table>
<thead>
<tr>
<th>Planning Step</th>
<th>Completion</th>
<th>Suggested Lead</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Complete or update a district profile</td>
<td>June</td>
<td>•District AIDS Coordinator  •Public Health Specialist</td>
</tr>
<tr>
<td>2. Complete or updated a community services inventory</td>
<td>July</td>
<td>•District AIDS Coordinator  •Technical Advisory/ Planning Sub-committee</td>
</tr>
<tr>
<td>3. Complete a needs assessment</td>
<td>September</td>
<td>•Technical Advisory/ Planning Sub-committee</td>
</tr>
<tr>
<td>4. Set priorities for the upcoming year</td>
<td>October</td>
<td>•Technical Advisory/ Planning Sub-committee  •DMSAC Plenary</td>
</tr>
<tr>
<td>5. Request sectors and civil society organizations to develop their activity plans</td>
<td>October</td>
<td>•Technical Advisory/ Planning Sub-committee  •DMSAC Plenary</td>
</tr>
<tr>
<td>6. Combine sector and civil society organizations work plans into a draft</td>
<td>November</td>
<td>•District AIDS Coordinator</td>
</tr>
<tr>
<td>7. Approve the final comprehensive plan</td>
<td>November 30</td>
<td>•DMSAC meeting or DMSAC workshop</td>
</tr>
<tr>
<td>8. Monitor the implementation of the plan</td>
<td>Each quarter through the year</td>
<td>•District AIDS Coordinator</td>
</tr>
</tbody>
</table>
This research brief outlines approaches that nonprofit and public health, human service and education initiatives can use to build and sustain key champions and broad-based community support. The word “initiative” is used throughout as a general way to describe an agency, program, coalition or project designed to achieve specific community outcomes.

**DEVELOPING KEY CHAMPIONS**

**Overview:** An important element for long-term sustainability is to cultivate visible champions for the initiative in the form of leaders from business, government, media, faith-based organizations and/or other community leaders. These are not people from the organizations providing services but rather are “independent” leaders who believe in the work being done and are willing to serve as spokespeople for the initiative.

**Why It's Important:** Key champions are valuable in a number of ways. They can be critical links to broader constituencies, serving as catalysts in building public will and broad-based community support, another one of the essential elements of sustainability. They can add credibility to the initiative, which in turn can help when advocating for favorable policies. Through their relationships, they can help enlist other leaders and/or assist the initiative in obtaining important resources such as funding, in-kind support, and media presence.

**Approaches to Consider:** The first step is to identify what types of people are likely to contribute the most to the success of the initiative. What would be most valuable? To have key education leaders at all levels of education to champion the initiative? People with particular influence in local government? Local community leaders with relationships to help reach parents and families? Celebrities for general promotion purposes? Business leaders? Others?

Once the initiative has a better understanding of what types of people are sought as key champions, strategies demonstrated to work in attracting and retaining these leaders include:

1. **Use personal contacts and find links to the unique interests of each person.** The most effective way to reach community leaders is through people you know that already have a relationship with leaders sought as key champions. Once a contact has been established, determine the personal interests of each potential champion - ask them what’s important to them, and look at what other types of organizations and causes they are involved in. Then, see how you can appeal to those interests. Educate him or her as much as possible about your issue establishing yourself as someone who can be helpful to them. In short, ask people to do something they already want to do.

2. **Provide multiple specific ways to be involved.** Initiatives that have been more successful in cultivating key champions have provided multiple ways in which people can support the initiative rather than taking a “one size fits all” approach. Examples of ways that key champions can be engaged are to serve on a Board or advisory committee, act as a spokesperson, help raise money, perform specific tasks, act as a liaison to particular sectors of the community, advocate for support with others, and help organize special events. If people are both supporting a cause they believe in and doing work for that cause that they enjoy and are comfortable doing, they are more likely to get involved and stay involved.

3. **Use the “snowball” effect.** Each time a key champion is enlisted, ask them to suggest other influential people in the community with whom you might consider connecting. See if they can help by making a personal introduction.

4. **Conduct a public campaign specifically to reach potential key champions.** Examples of public campaigns targeted to engaging key leaders include the Georgia Children’s Campaign that invited groups of business and civic leaders to see children’s services firsthand with corresponding media coverage that cast the business/civic leaders in a positive light for their participation, and a campaign by the Oregon Commission on Child Care called “The Big
Change” that engaged business organizations in encouraging Oregon employers to undertake at least one family-friendly initiative.

Once key champions are secured, there are two critical factors in keeping them involved. First, maintain regular communications with the key champions and provide them with feedback on their efforts. This lets them know how they are being most helpful and how they can have an even bigger impact. Second, show appreciation for the key champions through personal thank you messages and by recognizing them in events, newsletters, reports, press releases and other types of public communications.

BUILDING BROAD-BASED COMMUNITY SUPPORT

Overview: Broad-based community support means that a sizeable number of people from the public at large express awareness of and support for the initiative. Community members may show solid support through volunteering, donations, advocacy, letters of support, and other forms of involvement. The key is that a diverse cross-section of the community becomes engaged in the work of the initiative. With an initiative focused on early care and education (ECE), for example, sustainability will be enhanced if public support is received not just from ECE providers but from all types of families, from educators, and possibly even from groups not directly impacted by the initiative’s activities such as senior citizens.

Why It's Important: First and foremost, when a community shows that it really cares about the presence of a particular initiative, it will rally to the aid of the initiative when periodic calls for support are issued in the form of fund raisers, advocacy campaigns, capital campaigns and other such efforts that serve to perpetuate the services. Widespread public awareness of the initiative and a positive image of its work also creates “network marketing” to reach potential beneficiaries of its services.

Approaches to Consider: The starting point is to have a solid plan for public communications. Getting the maximum impact from an affordable investment in public communications requires you to be clear about what target audiences you need to reach, what you need to communicate to each audience, and how you can best get your message across. Here are the steps to create a public communications plan.

1. Learn About Community Constituencies

   The first step is to assess the interests and perceptions of the broader community as well as important institutions and "those in power" (e.g. political leaders, institutional leaders and other visible community leaders). Much of this is done through formal or informal interviews, focus groups, door-knocking, talking to strangers, and/or surveys within the community.

   Examples of questions you may ask the broader community include:

   - What specific issue or problems are of the highest concern to you? Which issues and interests unite the community, and which divide it?
   - When individuals speak of community issues and solutions what specific words are they using? What images or associations are they using?
   - In the opinions of those individuals you speak with, what are the specific strengths and weaknesses of existing community groups, how well are they seen as handling the most pressing community issues? Who are their real constituents?
   - Are there individuals in the community that are seen as already working on these issues?
   - Is there a tradition of volunteerism and involvement in the community, if so what issues did these involve? Which individuals have the widest sets of allegiances within the community?

   For institutional groups or “those in power” questions include:

   - What relationships and linkages already exist among the local corporations, banks, hospitals, charitable foundations, service agencies and government agencies?
   - Who has a vested interest in supporting or opposing the community's agenda?
   - Is there a culture of involvement in the community, or a history of inactivity or hostility with respect to the community; if so what issues did these involve?
   - If possible, see if your community has any sort of strategic plan or quality of life plan, look to see what organizations are listed as supporters.
2. Define Target Audiences and Communication Goals for Each Audience

The results of the assessment from step 1 can be used to identify all of the target audiences that are important for you to reach. A “target audience” is a distinct group or demographic segment for which communication messages should be designed. Target audiences may be defined by geographic location, age or other demographic variables, family characteristics (e.g. households with children age 0-5), occupation (e.g. pediatricians, child care providers), organization type, or any other characteristic. Examples of potential target audiences are:

- Parents of children age 0-5
- Early care and education professionals
- Pediatricians, nurses and other health professionals working with young children
- Local elected officials
- Leaders of faith-based institutions (churches, synagogues, mosques, temples, etc.)
- School administrators, including school board members
- Business owners and managers of businesses employing parents of young children

A group should only be selected as a target audience because you have a specific need to reach that group. This is addressed by defining the communication goals for each audience. What specifically do you want to have happen with each audience? What are you trying to get them to do?

3. Develop Key Messages for Each Audience

Consider each target audience, one at a time, and define the key messages that you need to communicate to each audience. You have a point to make, whether to educate, discuss, promote or advocate. Key messages are the messages you want your audience to remember and react to. They are The Message, the essence. It is best to have a short list of clear, powerful messages – ideally, no more than three for each target audience – that focus on the most critical points. This helps ensure that your most important points do not get lost among a long list of messages.

When developing key messages, frame each message in a way that resonates with the values, emotions, and (self) interests of the target audience, using what you learned during the assessment phase in step 1. For example, what is different between why an elected official would support pre-natal care and why a social worker would? A parent and business person? How does it affect each of them differently? What differences in values, in emotions exist between people and why they make certain decisions? What words, pictures and images communicate this frame?

One approach used by many professionals to craft and discipline the key message is to think of public communications in three parts:

- **Problem**: Introduce your frame. Describe how your issue affects your audience and its broader impacts.
- **Solution**: Define the changes you wish to see. Speak to people’s hearts with values-rich language and images.
- **Action**: Call on your audience to do something specific.

Key messages are only effective if they are used consistently. As a result, it is important to make sure that people in your organization or collaboration buy into these messages. Brainstorm “sound-bites” – words that can express your message in 7-12 seconds of speaking.

It is worth noting that many groups have found success with using an economic development frame to communicate with business and government leaders. This frame emphasizes the economic benefits of investments in the initiative. For example, with early care and education, good evidence is available that investments create short-term economic benefits through increased worker productivity of parents who need child care and creation of jobs in the ECE industry and create long-term economic benefits through a more educated workforce, reduced social costs (e.g. youth and adult crime), and a stronger tax base because children who receive quality ECE services are shown to have higher wages as adults. Economic benefits can even be incorporated into the message to parents, highlighting that access to
quality child care can help their earnings and careers while it is also helping their children.

4. Define Communication Strategies

This step involves deciding how you will get your key messages across to each target audience. There are a multitude of ways to reach people – one-on-one contacts, mail, email, posters, radio and TV, print media, presentations and much more. You need to decide which method(s) will be most effective, within your available budget and other resources, in reaching each target audience.

A good way to start is to think about how each target audience prefers to get their information. Begin by asking yourself some questions. Do your audiences:

- Read newspapers, listen to radio, or watch television?
- See bulletin boards in stores or offices?
- Have children who bring home materials from school?
- Have multiple members (like a city council) who each should get a copy of the communication?
- Have an existing communication tool (like a newsletter) that you can submit information to?
- Hold meetings where you can make a presentation?

Various studies of different community initiatives have highlighted a common theme of reaching target audiences in settings where they are already gathering or receiving information. For example, parents with children might be reached through school PTA meetings and open house events. People from specific professions can often be reached through their local professional association or the Chamber of Commerce. The point is, you must reach each target audience in the settings they are most frequently gathered and comfortable.

Other strategies to consider are presented later in this brief.

5. Develop the Strategic Communications Plan

The results of the preceding steps should be pulled together into a written plan that can be shared with all staff, volunteers, board members, collaborative partners and others that will be involved in carrying out the communication strategies. The communications plan must also address the practical matter of resources or capacity to devote to building broad based community support. Questions to be answered here include:

- How much staff time are you willing to devote to communication?
- Who will do the work—are they comfortable with and knowledgeable about communications?
- What is your communications budget?
- How powerful is your brand; how well is your organization or collaboration known in the community? Do you have a logo? A phrase this is associated with your organization or collaborative?

Strategies shown to be successful in other communities for capturing widespread public support are presented below. These are proven approaches, but should not prevent you from thinking of other ways to create broad based support.

1. Engage the people that are served. People that are currently benefiting from the work of the initiative or have already received benefits can be asked, if they find the services useful, to “spread the word” to their friends and families. This can range from simply asking service recipients/participants to communicate key messages about the initiative to the families they serve, to offering ways for families using services to get involved more actively in public communications efforts (e.g. distribute materials in local venues, write letters to the editor of local newspapers, etc.). Word of mouth contacts by people who have benefited from the initiative can be very powerful.

2. Work through established groups. Consider setting up an on-going relationship with formal and informal groups already established in the community that are connected to one or more target audiences, especially if the initiative can be aligned with the goals of the group.
Examples can include neighborhood playgroups, local associations, local churches, and service clubs like Rotary Clubs and Soroptimists. This can be used as a way to reach people directly to educate people about the initiative, and can also provide an opening to enlist them to help with the initiative. An example of enlisting a group to help is that some communities in Minnesota found local groups willing to prepare “Welcome Baby Baskets” that were distributed by home visitors, promoting the visibility of the initiative within the groups and establishing an ongoing relationship while also providing good public relations for the groups preparing the baskets.

3. **Sponsor signature events.** Following are just a few of many available examples of high-visibility events that have helped raise public awareness and support for different causes:

   - In Minnesota, the Healthy Beginnings home visiting program has held Community Baby Showers and Family Fairs in several areas to draw attention to the program while engaging expectant mothers and their families and friends.
   - On Maui, the “Taste of Lahaina” and “Taste of North Shore” combine the business community, government, and all you can eat food tasting from local restaurants and chefs, raffle and silent auction items, as well as information and community support for local social service and youth organizations into an annual event for the community.
   - An annual “Home for the Holidays” event in Reno couples tours of local homes with fund raising and public awareness of the needs of mothers with children (often homeless) that are battling substance abuse problems.
   - “A Piece of the Pie” event in western Massachusetts engages local restaurants in drawing attention to the problem of hunger in the area while also raising funds for a local food bank.

4. **Identify opinion leaders and enlist them in reaching groups.** Opinion leaders may be people already secured as key champions for the initiative or can be people not connected to the initiative that have a particularly strong tie to a target audience that the initiative is trying to reach.

5. **Use local media outlets systematically.** Many human service providers try to get media coverage for major events, but relatively few have a systematic approach that keeps the initiative in the news on a regular basis. A good acronym to remember is **T.O.M.A.** (Top Of Mind Always). An example of a systematic approach is to seek at least quarterly exposure in the newspaper through op/ed pieces, Public Service Announcements (PSAs), public interest stories, letters to the editor and other such means. When approaching local media outlets, it is important to be very organized and to think through why they should help carry your message. What’s the news you’re providing them with? What are the hooks that make your news interesting to journalists? Choose from the list below and brainstorm on your own:

   - New study/report/announcement
   - Event/anniversary
   - Trend
   - Localize a national story
   - Dramatic human interest
   - Controversy
   - Fresh angle on an old story
   - Calendar hook/holiday type event or story
   - Profile of fascinating person
   - Response to a big news story
   - Celebrity involvement

6. **Develop community advocate groups.** A number of communities around the country have had success in organizing and mobilizing groups of parents to support initiatives designed to help them and other parents. An example is the Parent’s Forum in Massachusetts, which started as a “parents helping parents” grassroots movement and became a way for parents to be engaged in spreading the word about important family services.
7. **Use creative tie-ins with established events held by other groups.** Other groups unrelated to family services may have already established events reaching many people that offer opportunities for new linkages. In Northern Nevada, an established summer arts festival was expanded through a partnership with the Food Bank of Northern Nevada through a special “Food for the Soul” series with music concerts and other performing arts shows offering discounts to people who brought food as donations. It raised public awareness of local hunger issues (together with food and cash donations) while also benefiting the festival, which enjoyed greater attendance at the shows in the “Food for the Soul” series than its other shows due to people in the community wanting to support a worthy cause and the promotional efforts of the Food Bank.

8. **Collaborate with other programs and initiatives.** Each of the previous strategies can be pursued in conjunction with other programs and initiatives. This can improve the impact of the public engagement efforts while sharing the costs involved, with the caveat that special care must be devoted to making sure the key messages of each program or initiative are not overly diluted.

The strategies listed above can be used in conjunction with the traditional methods that are most commonly used, such as:

- **Public Speaking.** Utilize the messages you have created for your Communications Plan and your trained spokespeople. Be aware of finding the best match between the audience, the message, and the spokesperson.

- **Information Materials.** Have printed materials outlining your history and mission and briefly describing the key messages you want to get across. Publications include brochures, flyers, and media kits, and anything you may use to communicate your key messages. As with your messaging, it is very important to develop and use a consistent message and look so people begin to visually recognize the printed materials you produce.

- **Newsletters.** One of the most universal and effective communication tools is the newsletter. Newsletters can be relatively easy to write and they are often informal, often doubling as a fundraising tool. May newsletters have different sections, such as a “what’s new” section, a calendar section, and a “lead story” section. The lead story is usually the big news of the month or quarter. If your organization has a logo, place it prominently on the front of the newsletter. Quarterly newsletters are most common. The drawback of newsletters is that they can be expensive and have limited audience.

- **Community Events.** Events can be a great way to get the word out about who you are and what you’re doing. Examples of events that you can connect to are county fairs, Back to School Nights, health fairs, home shows, and cultural events like concerts and plays.

- **Media Events.** Media events are a lot of work to coordinate, but they are a lot of fun and can be very effective. The media is most responsive to two things: a story and a backdrop. The story is up to you to create or develop. And, if you have been successful at identifying issues in need of some attention in your community, and you have a good number of members of that community supporting your effort, then you most likely have a story. If you are succeeding at tackling the issue in your community you DO definitely have a story. Below are additional things to keep in mind:
  - Make it visual, use props. Even if they feel a little awkward, they will often work on camera. For example, if you are releasing a report on water quality, have scientists with lab coats and goggles take samples on camera.
  - Be sure to inform journalists of the visual opportunities you are providing.
  - Consider spending the money to hire a professional photographer to document your event. High quality photos are invaluable for websites, brochures and in funder meetings.
  - At any press event have on hand **Media Kits** to give to reporters. These include:
    - Media Advisories
    - News releases
    - Fact Sheets
    - Brief bios of spokespeople
    - Organizational brochure
    - Your business card

All of these materials should be available on your website in an online Press Room.
• **Speaker’s Bureau.** This is an often-used means to educate target audiences. Collaborative members and clients can volunteer to speak to various organizations about the importance of these issues. The speaker services would be provided free of charge as a way of gaining support for the issues the collaborative is addressing. Scripts and can be prepared and visuals developed that will help enhance the key messages.

• **Web Site.** Having a web site has become as common as having a newsletter. Most organizations have a web site on the Internet today. Developing a web site/page is not difficult or particularly expensive. It is important to ensure that all of the content on the web site is consistent with your communications plan – for example, use the same key messages – and that the web site is updated on a regular basis so that it offers current, accurate information.
Pitso Meeting Template

This tool is intended to provide a systematic approach to the DMSAC in providing updates to the district leadership and community gatekeepers. It highlights the key areas that should be covered during stakeholders update.

Below is a guide on how to structure your updates.

1. Opening Remarks Background and purpose
2. Update on action items from previous Pitso – DMSAC Secretariat
3. Overview of HIV and AIDS situation in the district – DMSAC Chair/Co Chair
4. Progress update on the implementation of the district plan – TAC Chair (Progress per program, challenges and new developments)
5. Discussions
6. CSO contribution - CSO Coalition/CSO Representative (Progress per program, challenges and new developments)
7. Discussion
8. Community contribution – Community Representative/CCE Facilitator (Community Capacity Enhancement, Community Initiatives, Challenges experienced at community level)
9. Discussion
10. Conclusions and way forward
In order for an organization to stay vibrant and productive, it must be constantly evolving and progressing. All organizations have room for improvement to operate to their full capacity, they need to have an on-going capacity building plan. For this reason, this module proposes a series of competencies that both individuals and organizations performing HIV and AIDS work should have. The individual competencies are intended as a list of basic competencies that can be adapted and expanded based on role that person places in the HIV and AIDS effort. The organizational competencies presented in this module do not represent an extensive list that should be adopted by all organisations. Each organisation is encouraged select the competencies that best fits their situation.

**Purpose of the Module**

This module serves as a guide for organizations to develop the capacity of their organizational system and of their employees to execute HIV and AIDS related work. Using the capacities presented in the module and other priority areas, your organization can develop individual and organizational self-assessments to identify areas for improvement.

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- How do we do it Effectively? 75
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*“Everything comes to us that belongs to us if we create the capacity to receive it.”* – Rabindranath Tagore
WHAT IS CAPACITY BUILDING?

Capacity building is an investment in the future and sustainability of Botswana’s local and national HIV and AIDS response. It is an on-going process through which individuals and organisations enhance their ability to effectively respond and support access to quality and comprehensive HIV and AIDS services. Capacity building occurs at three levels of intervention in order to be effective and sustainable:

- **The systems level**, i.e. the regulatory framework and policies that support or hinder the achievement of certain objectives
- **The institutional or entity level**, i.e. the structure of organisations, the decision-making processes within organisations, procedures and working mechanisms, management instruments, the relationships and networks between organisations
- **The individual level**, i.e. individual skills and qualifications, knowledge, attitudes, work ethics and motivations of the people working in organisations

This module specifically focuses on: (1) individuals—the strategy of mobilizing human resources to ensure that they are appropriate and adequate in quality and quantity; and (2) institutional levels—organisational capacity to enhance their response to meet programmatic and financial objectives, and strengthening organisational structure and function. Systems level capacity building is most often done at the national level since it addresses issues of policies, laws and regulatory framework.

WHY DO WE NEED IT?

Effective and on-going capacity building will result in increased scale-up and sustainability of local HIV and AIDS efforts. It is essential that all organisations, CSOs, government, and private sector, should put in place a system for on-going capacity building activities. In addition to improving services, effective capacity building strategies motivate staff. This module focuses on the capacity development of CSOs.

The *National Capacity Building Strategic Framework for Botswana’s HIV and AIDS Service Organisations* indicates that a majority of CSOs encounter numerous capacity challenges ranging from institutional development to technical capacity to deliver quality services. CSOs have a wide reach in the population, particularly in underserved and remote areas, and can provide community focused activities. As such, if CSOs are well capacitated, they can become far more efficient and effective. Capacity building should also consider a broad range of stakeholder to be more effective.

“One doesn't become a soldier in a week. It takes training, study, and discipline.” - Daniel Inouye
HOW DO WE DO IT EFFECTIVELY?

1 Individual Level Capacity Building

A large number of organisations participating in the district HIV and AIDS response including CSOs, government, and private sector, do not necessarily have adequate public health education, knowledge and experience. Public health principles are inherent in a multi-sectoral approach. Simultaneously, a basic knowledge of HIV/AIDS is vital in order for CSOs to be impactful in the HIV and AIDS response. The journal article Outcome-Based Workforce Development and Education in Public Health recommends focusing on three major areas to build the capacity of individuals:

- Using the Adult Learning Theory
- Utilization of an expanded Dreyfus Model of Skill Acquisition
- Competency-based education

Using the Adult Learning Theory

Adults are independent and self-directed. They need to know why they should learn and learn best when the value of the topic is immediately apparent. Adult learning works best when instruction is task-oriented and problem solving is emphasized. Adult Learning Theory makes the following assumptions:

- Adults need to know why they learn something;
- Adults need to learn experientially;
- Adults approach learning as problem-solving; and
- Adults learn best when the topic is of immediate value.

Figure 5.1 illustrates the four principles of the Adult Learning Theory:

- Adults need to be involved in the planning and evaluation of their learning
- Experience provides the basis for the learning activities
- Adults are most interest in learning a subject when it is relevant and impactful to their job or personal life
- Adult learning is problem-centered rather than problem-oriented

The Community Capacity Enhancement Through Community Conversations (CCE-CC) currently being implemented in Botswana uses this approach to mobilize communities to gain ownership of their local HIV and AIDS response.
Using the Expanded Dreyfus Model of Skill Acquisition

The Dreyfus Model of Adult Skills Acquisition is grounded in the argument that "skill in its minimal form is produced by following abstract formal rules, but that only experiences with concrete cases can account for high levels of performance." According to Dreyfus, individuals must progress through each stage of expertise and must draw on their experiences of solving problems in context to reach higher levels of expertise. It is also important to recognize which skill you need to develop to become an expert versus just competent. A health educator who works individually with clients will need "expert" communication skills, but may only need to be an "advanced beginner" in data management since there is an M&E officer to manage that task.

The Dreyfus model is used fairly widely to provide:
- A means of assessing and supporting progress in the development of skills or competencies, and
- A definition of acceptable level for the assessment of competence or capability.

The original model has five stages, but Koo and Miner suggest the need to expand the model to seven stages (see Figure 5.2). The 'expert' level does not signify that development stops, as expert practitioners need to evaluate their practice and keep up-to-date with new evidence.

Figure 5.2. Dreyfus Model of Skill Acquisition

Novice: Has an incomplete understanding, approaches tasks mechanistically and needs supervision to complete them.

Advanced Beginner: Has a working understanding, tends to see actions as a series of steps, can complete simpler tasks without supervision.

Competent: Has a good working and background understanding, sees actions at least partly in context, able to complete work independently to a standard that is acceptable though it may lack refinement.

Proficient: Has a deep understanding, sees actions holistically, can achieve a high standard routinely.

Expert: Has an authoritative or deep holistic understanding, deals with routine matters intuitively, able to go beyond existing interpretations, achieves excellence with ease.

Advanced expert: Develops innovative ways to solve problems and establishes strategic alliances across agency boundaries;

Luminary: Sets the standards for the fields and changes the history of professional institutions or disciplines on a national or international scale

Koo and Miner also suggest an assessment of where the target workforce lies initially on a spectrum of professional development (that ranges from entry level to expert professionals).
Competency-based Education

Competencies target and make explicit the expected outcomes of the educational experience. They are structural tools that facilitate adults’ engagement in the learning process. Competency in a certain skill can be defined as the ability to perform and sequence actions to attain a specific goal.

The competencies outlined are adapted from the US National Association of Chronic Disease Directors and the US Health Resources and Services Administration--Maternal Child Health Bureau. These competencies are organized in 3 Domains (see Figure 5.3).

The domains are:

1. **Public Health & HIV/AIDS Knowledge**: A basic knowledge of public health and its purpose as well as basic knowledge of HIV/AIDS

2. **Ethics & Professionalism**: Ethical behavior and professionalism that is congruent with generally accepted principles and values, and with professional guidelines

3. **Team Building**: A multi-sectorial process provides a supportive environment in which the skills and expertise of CSOs are seen as essential and synergetic.

In each domain, there are specific related statements. The intention for the competencies is to: (1) be a tool to increase awareness of the necessary competencies, (2) develop a capacity building plan, and (3) to increase collaboration and teamwork. See Table 5.1 where the competencies under each module are outlined.

“The achievements of an organisation are the results of combined effort of each individual.”

- Vince Lombardi
### Table 5.1. Direct Service Provider Competencies

**Domain 1: Public health science and HIV/AIDS knowledge. A basic knowledge of public health and its purpose as well as a basic knowledge of HIV/AIDS**

<table>
<thead>
<tr>
<th>Competency 1.1</th>
<th>Define public health as preventing disease and promoting health in individuals and communities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Competency 1.2</td>
<td>Articulate the 5 key drivers of HIV in Botswana:</td>
</tr>
<tr>
<td></td>
<td>- Multiple and Concurrent Sexual Partnerships</td>
</tr>
<tr>
<td></td>
<td>- Adolescent and Intergeneration Sex</td>
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<tr>
<td></td>
<td>- Alcohol and High-Risk Sex</td>
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<tr>
<td></td>
<td>- Stigma and Discrimination</td>
</tr>
<tr>
<td></td>
<td>- Gender Violence and Sexual Abuse</td>
</tr>
<tr>
<td>Competency 1.3</td>
<td>Understand the major social, political, economic factors that impact HIV and AIDS efforts locally</td>
</tr>
<tr>
<td>Competency 1.4</td>
<td>Maintain up-to-date knowledge of latest HIV and AIDS trends</td>
</tr>
<tr>
<td>Competency 1.5</td>
<td>Use data to make decisions that are in the best interest for the most people</td>
</tr>
</tbody>
</table>

**Domain 2: Ethics and Professionalism. Ethical behavior and professionalism that is congruent with generally accepted principles and values, and with professional guidelines.**

<table>
<thead>
<tr>
<th>Competency 2.1</th>
<th>Practice <strong>principles and ethical behavior</strong> including, truthfulness, justice, respect beneficence and non-maleficence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Competency 2.2</td>
<td>Use effective verbal, nonverbal and written <strong>communication</strong> to share information considering the message (what is said), the delivery method (how the message is presented), and the feedback</td>
</tr>
<tr>
<td>Competence 2.3</td>
<td>Use sound <strong>decision-making</strong> skills that result in the selection of a course of action with multiple alternatives</td>
</tr>
<tr>
<td>Competency 2.4</td>
<td>Utilizes effective <strong>conflict resolution</strong> skills to: (1) resolve or manage a dispute by sharing each other’s needs, and (2) adequately address their interests so that they are satisfied with the outcome</td>
</tr>
<tr>
<td>Competency 2.5</td>
<td>Recognise and honor the <strong>values of diverse perspectives</strong> (e.g. cultural, religious, economic) and why diversity adds value to a group</td>
</tr>
<tr>
<td>Competency 2.6</td>
<td>Practice a range of <strong>self-care</strong> techniques to prevent burnout/compassion fatigue and to maintain your ability to work effectively</td>
</tr>
</tbody>
</table>
Domain 3: Team Building. A multi-sectorial process provides a supportive environment in which the skills and expertise of CSOs are seen as essential and synergistic. The expertise of each CSO is elicited and valued in making joint outcome-driven decisions to benefit a broad-based HIV and AIDS response.

| Competency 2.5 | Recognise and honor the values of diverse perspectives (e.g. cultural, religious, economic) and why diversity adds value to a group |

| Competency 3.1 | Assess that the memberships is appropriate to meet the expected outcomes |
| Competency 3.2 | Articulate: (1) shared vision to address the HIV and AIDS efforts, and (2) roles and responsibilities |
| Competency 3.3 | Contribute to the data collection, monitoring and evaluation of local HIV and AIDS efforts |
| Competency 3.4 | Identify social, political, economic and cultural forces that influence the team dynamic |

The Service Provider Assessment is designed to be adapted for the specific needs of your organisation. Appendix 5.1 is an example of a Service Provider Assessment to guide you in creating a personalized capacity building plan.

2 Institutional Level Capacity Building

Institutional level capacity building encompasses a wide range of activities to ensure that organisations (e.g. CSOs) function at their highest level. It is critical in ensuring that CSOs deliver quality services. The institutional development efforts is geared towards addressing specific capacity gaps in CSOs to effectively deliver services within their scope and mandate. As such, efforts at institutional development are not an end in themselves but rather a means to an end. There are national and district network to support CSOs in improving their institutional capacity (e.g. BONASO). The National Capacity Building Strategic Framework for Botswana’s HIV and AIDS Service Organisations highlights several components which include:

- **Organisational Development**
  - Leadership and Governance
  - Strategic thinking/planning
  - Human Resource
  - Financial Management
  - Monitoring and Evaluation

- **Infrastructure**
  - Hardware infrastructure (e.g. office space, resource centers, etc.)
  - Software infrastructure (office equipment)
• Information, Communication and Technology (ICT)
  • ICT human resource capacity development
  • ICT hardware and software capacity building

• Technical Capacity for Service Delivery
  • Technical capacity of CSOs will be built to deliver comprehensive and quality HIV and AIDS services and ensure that communities are supported to demand for services

In keeping with the National CSO Framework, the Maatla Project has developed an approach to capacity building for CSOs that includes the following:

1. Technical Competencies
  • Technical Planning and Design
  • Staff; Number and Mix of Skills
  • Participatory Involvement of Affiliates/Members and Communities
  • Training, Supervision and Mentoring
  • Linkages and Networking

For more details, see the Technical Capacity Assessment Tool.

2. NGO/CSO Success Competencies

<table>
<thead>
<tr>
<th>Table 5.2. NGO/CSO Success Competencies</th>
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<tbody>
<tr>
<td><strong>1. Strategic Leadership</strong></td>
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<tr>
<td>1.1 Strategic Planning</td>
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<tr>
<td>1.2 Resource Mobilisation</td>
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<tr>
<td>1.3 Visibility</td>
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<tr>
<td><strong>2. Organisational Structures (Governance)</strong></td>
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<tr>
<td>2.1 Governance/Organisational Structure and Functions</td>
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<td>2.2 Board Development</td>
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<tr>
<td><strong>3. Human Resource Management</strong></td>
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<tr>
<td>3.1 Employee Management</td>
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<td>3.2 Professional Development</td>
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<td>3.3 Employee Retention</td>
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<td>3.4 Volunteer Management</td>
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<td><strong>4. Financial Management</strong></td>
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<tr>
<td>4.1 Financial Planning and Budgeting</td>
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<td>4.2 Financial Management</td>
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<td>4.3 Accounting and Record-Keeping</td>
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<td>5. Infrastructure</td>
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<th>6. Program and Service Management</th>
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<tr>
<td>6.1 Program Planning</td>
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<td>6.2 Program Implementation and Documentation</td>
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<th>7. Process Management</th>
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<tr>
<td>7.1 M&amp;E System Management</td>
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<tr>
<td>7.2 Data Collection and Reporting</td>
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<tr>
<td>7.3 Performance and Quality Monitoring</td>
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<tr>
<td>7.4 Program Implementation and Documentation</td>
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<tr>
<th>8. Inter-organizational Linkages</th>
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<tr>
<td>8.1 Membership/Branch/Centre Management</td>
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<tr>
<td>8.2 Stakeholder Relations</td>
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</table>
HOW DO WE KNOW IT IS WORKING?

Ask yourself these critical questions:

**Individual Level Capacity Building**
- Have you completed an individual capacity assessment?
- Have you developed and executed a personal improvement plan?
- Have you completed the *Service Provider* assessment?
- Have you developed a plan based on the competencies?

**Institutional Level Capacity Building**
- Have you completed the *Organisational Operations* assessment and developed a plan based on your results?

“Confidence comes from discipline and training.” – Robert Kiyosaki
“Practice is the hardest part of learning, and training is the essence of transformation.” – Ann Voskamp
As seen in the module, capacity building can occur at the systems, institutional and individual level. For the purpose of this toolkit, we only focused on the institutional and individual level. We also identified three concepts that are at the foundation of individual capacity building: adult learning theory, Dreyfus Model of Acquisition, Competency-based education. These are all concepts to take into account when developing trainings and capacity building workshops for individuals within your organization.

Key Points

- You need to take into consideration the Adult Learning Theory when designing capacity building interventions
- When teaching a new skill, remember that each individual is at a different skills acquisition stage, so there is a need to cater to individuals at each of these levels
- Once you identify competencies that are necessary for individuals in your organization possess, you can assess your workforce accordingly and make necessary changes in areas that need to be improved
- Institutional level capacity building encompasses a wide range of activities and is an on-going process

Now that we have explored the important concepts of capacity building, be sure to look over the assessment and guidelines found in the appendices. Feel free to modify them so they fit your organization. Also take the time to record your organization’s Actions for Improvement on the next page.

- What areas need to be addressed within your organization?
- Where do your organisation’s strength lie?
- What will you do moving forward to ensure that capacity building is an on-going process in your organization?
## Domain 1: Public Health Science and HIV and AIDS Knowledge

<table>
<thead>
<tr>
<th>Understanding</th>
<th>Strength</th>
<th>Importance</th>
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<tbody>
<tr>
<td><strong>1.1</strong> Define public health as <em>preventing disease and promoting health in individuals and communities</em></td>
<td>H M L N</td>
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</tbody>
</table>
| **1.2** Articulate the 5 key drivers of HIV in Botswana:  
- Multiple and Concurrent Sexual Partnerships  
- Adolescent and Intergeneration Sex  
- Alcohol and High-Risk Sex  
- Stigma and Discrimination  
- Gender Violence and Sexual Abuse | H M L N | H M L N | H M L N |
| **1.3** Understand the major social, political, economic factors that impact HIV and AIDS efforts locally | H M L N | H M L N | H M L N |
| **1.4** Maintain up-to-date knowledge of latest HIV and AIDS trends | H M L N | H M L N | H M L N |
| **1.5** Use data to make decisions that are in the best interest for the most people | | | |

## Domain 2: Ethics and Professionalism

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<thead>
<tr>
<th>Understanding</th>
<th>Strength</th>
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<tbody>
<tr>
<td><strong>2.1</strong> Practice principles and ethical behavior including, truthfulness, justice, respect beneficence and nonmaleficence</td>
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<tr>
<td><strong>2.2</strong> Use effective verbal, nonverbal and written communication to share information considering both the message (what is said) and the delivery method (how the message is presented)</td>
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<tr>
<td><strong>2.3</strong> Use sound decision-making skills that result in the selection of a course of action with multiple alternatives</td>
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<tr>
<td><strong>2.4</strong> Utilizes effective conflict resolution skills to: (1) resolve or manage a dispute by sharing each other’s needs, and (2) adequately address their interests so that they are satisfied with the outcome</td>
<td></td>
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<tr>
<td><strong>2.5</strong> Recognise and honor the values of diverse perspectives (e.g. cultural, religious, economic) and why diversity adds value to a group</td>
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## Domain 3: Team Building

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<th>Understanding</th>
<th>Strength</th>
<th>Importance</th>
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<tbody>
<tr>
<td><strong>3.1</strong> Assess that the memberships is appropriate to meet the expected outcomes</td>
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### Domain 3: Team Building (continued)

<table>
<thead>
<tr>
<th>Competency</th>
<th>Understanding</th>
<th>Strength</th>
<th>Importance</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.2 Articulate: (1) shared vision to address the HIV and AIDS efforts, and (2) roles and responsibilities</td>
<td>H M L N</td>
<td>H M L N</td>
<td>H M L N</td>
</tr>
<tr>
<td>3.3 Contribute to the data collection, monitoring and evaluation of local HIV and AIDS efforts</td>
<td>H M L N</td>
<td>H M L N</td>
<td>H M L N</td>
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**Competencies for Improvement**

Identify and list below the competencies where you scored Low or None for “Understanding” and “Strength”, and high for “Importance.”

H = High  M = Medium  L = Low  N = None
**Organisational Operations Assessment**

**Instructions:** This assessment was adapted from the FHI360 Organisational Capacity Assessment and has been condensed to a few key items within the 14 domains. This assessment is intended to provide organisations with an opportunity to develop a plan to improve capacity in areas that need improvement.

Score for a 1 for each component that the organisation has and a 0 if it does not. After scoring, rate each component on a scale of one to five (1 being the least important and 5 being most important).

<table>
<thead>
<tr>
<th>1. Strategic Leadership</th>
<th>Score</th>
<th>Importance</th>
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</thead>
<tbody>
<tr>
<td>1.1. The organisation has a clearly defined mission and vision</td>
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<tr>
<td>1.2. The strategic plan is aligned with the organisation’s mission and NSF</td>
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<tr>
<td>1.3. The organisation has a long-term board approved Resource Mobilization Strategy</td>
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<tr>
<td>1.4. The organisation has a person responsible for Communications and Visibility (in the job description)</td>
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<table>
<thead>
<tr>
<th>2. Governance/Organisation Structure and Functions</th>
<th>Score</th>
<th>Importance</th>
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<tbody>
<tr>
<td>2.1. The organisation is registered and has a legal status in Botswana</td>
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<tr>
<td>2.2. The organisation has submitted its annual returns (changes in the board of directors and constitution and finance) in the past 12 months to the Registrar of societies</td>
<td></td>
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<tr>
<td>2.3. The governing body (board and/or executive committee) has at minimum a chairperson, secretary and treasurer</td>
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<tr>
<td>2.4. The organisation has a registered constitution which includes: power of the board, decision-making processes, structures (sub-committees), membership rules for board members (including length of terms and termination)</td>
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<tr>
<td>2.5. In the last 12 months, the Board has approved budgets prior to implementation</td>
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<tr>
<td>2.6. In the last 12 months, the Board has assessed the performance of the Executive Director</td>
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<tr>
<td>2.7. There has been a board meeting in the last 3 months</td>
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<tr>
<td>2.8. There is an organisational chart outlining personnel, line supervisors and position titles</td>
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<tr>
<td>2.9. There are job descriptions for all positions in the organisational chart-</td>
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<tr>
<td>2.10. The organisation has a person responsible for Human Resources (in the job description)</td>
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<tr>
<td>2.11. The organisation has a governance manual or a Standard Operating Procedure manual</td>
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<thead>
<tr>
<th>3. Employee Management</th>
<th>Score</th>
<th>Importance</th>
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</thead>
<tbody>
<tr>
<td>3.1. Each employee has an HR file</td>
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<tr>
<td>3.2. All full time employees hired in the past 12 months completed the orientation/induction process within a month of start date</td>
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<tr>
<td>3.3. There are regular team meetings where employees have the opportunity to raise concerns</td>
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<tr>
<td><strong>3. Employee Management (continued)</strong></td>
<td><strong>Score</strong></td>
<td><strong>Importance</strong></td>
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<tr>
<td>3.4. The organisation has an HR Policy or Procedure</td>
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<td>3.5. The organisation has a salary structure.</td>
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<tr>
<th><strong>4. Professional Development</strong></th>
<th><strong>Score</strong></th>
<th><strong>Importance</strong></th>
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<tbody>
<tr>
<td>4.1. The organisation has a performance review/appraisal process in place</td>
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<tr>
<td>4.2. The organization has a Learning and Development Plan that is aligned to the Annual Work Plan</td>
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<tr>
<td>4.3. All senior staff have received relevant training at least once in the past two years</td>
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<tr>
<td>4.4. The organization has a budget for staff training</td>
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<tr>
<td>4.5. Staff have access to resources for professional development including literature and electronic material (e.g. Internet)</td>
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<tr>
<th><strong>5. Employee Retention</strong></th>
<th><strong>Score</strong></th>
<th><strong>Importance</strong></th>
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<tbody>
<tr>
<td>5.1. Staff are paid in a timely fashion in accordance with staff contracts</td>
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<tr>
<td>5.2. The organization has a wellness programme for its staff to mitigate burnout including team building opportunities, and takes into account different needs of men and women</td>
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<td>5.3. The organization provides formal recognition for good work</td>
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<th><strong>6. Financial Planning</strong></th>
<th><strong>Score</strong></th>
<th><strong>Importance</strong></th>
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<tbody>
<tr>
<td>6.1. The organisation has an annual budget that cuts across all funded programs</td>
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<tr>
<td>6.2. The organization has appropriately trained and qualified individual(s) responsible for financial management</td>
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<tr>
<td>6.3. The organisation has annual budget development process in place</td>
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<td>6.4. The organization has a budget that is aligned with the tactical plan</td>
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<th><strong>7. Financial Management</strong></th>
<th><strong>Score</strong></th>
<th><strong>Importance</strong></th>
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<tbody>
<tr>
<td>7.1. The organisation has an established financial policy and procedures manual for all the organization’s financial management functions</td>
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<tr>
<td>7.2. All purchases made in the past 6 months were in compliance with the organizational and donor rules and regulations on procurement</td>
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<tr>
<td>7.3. All staff have been thoroughly oriented to the financial procedures manual</td>
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<td>7.4. In the past six months planned activities, especially at the service delivery level, were not delayed due to internal availability of funds (Cash flow management)</td>
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<tr>
<td>7.5. All travel advances for trips more than 1 month ago have been reconciled/cleared</td>
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<tr>
<td>7.6. Financial responsibilities are clearly segregated so that no one individual has complete control over an entire financial transaction</td>
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<tr>
<td>7.7. The organisation has a separate bank account per donor and is not co-mingling donor funds</td>
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<tr>
<th><strong>8. Accounting and Record-Keeping</strong></th>
<th><strong>Score</strong></th>
<th><strong>Importance</strong></th>
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<tbody>
<tr>
<td>8.1. All financial transactions are recorded and filed appropriately</td>
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<tr>
<td>8.2. Annual financial statements are prepared including specific program services and individual donor requirement</td>
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### 8. Accounting and Record-Keeping (continued)

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8.3. All expenditures are properly coded and allocated in accordance with approved chart of accounts and in compliance with donor reporting requirements

8.4. For the last 6 months the organisation submitted financial reports on time with accurate information

### 9. Program Planning

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9.1. The organization has a current annual work plan whose activities are (a) integrated into the district HIV and AIDS plan, (b) aligned to the NSF and other national plans

9.2. The organization has conducted a SWOT analysis of itself in the last 24 months

9.3. The organization has participated in a capacity assessment of itself in the last 24 months

9.4. The work plans are reviewed against activities implemented and are updated at least every 6 months

9.5. All staff are engaged in the planning process to foster integration and communication among the different units or departments

### 10. Monitoring and Evaluation System Management

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10.1. The organisation has an M&E plan or PMP for the organisation as a whole

10.2. A current staff member has been trained or attended a workshop in Monitoring and Evaluation concepts, theory and practical tool

10.3. All service providers have been trained on M&E tools

10.4. The organization has a process for: data collection, data verification, data use, reporting and analysis

10.5. The organization uses indicators to track progress

10.6. Monitoring and evaluation tools and data are used in program management and decision-making

### 11. Data Collection and Reporting

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11.1. Supervisors review the accuracy of data before reports are submitted to donors, government etc

11.2. Efforts are made to reconcile data reported with front line data collection tools at least once in the last six months

11.3. All M&E reports were submitted on time to donors and stakeholders, incl. DMSAC within the last 6 months

### 12. Evaluation and Data Analysis

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12.1. The organisation has commissioned an external evaluation of at least one project in the last 2-3 years

12.2. For ongoing programs, findings from the evaluation have been used to improve the program(s)

12.3. The organization is conducting program related data analysis over and above donor requirements

12.4. Staff delivering services receive feedback on performance against targets at least once in the last year

### 13. Membership/Branch/Centre Management

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13.1. Organization has a database/list of member/branch organisations and contact details that are up to date
### 13. Membership/Branch/Centre Management (continued)

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13.2. All expenditures are properly coded and allocated in accordance with approved chart of accounts and in compliance with donor reporting requirements

13.3. Member/Centre roles, responsibilities and benefits are clearly defined

13.4. Most member organisations/centres provide financial or in-kind contributions to the network

13.5. The organization aims to be equitable in the distribution of benefits and access to resources and support between members/centres in rural and urban areas

13.6. Network/National org has engaged member organisations/centres on issues relating to internal and external policy development, analysis, dialogue and review at least once in the last two years

13.7. The organization has a capacity strengthening action or work plan for its membership

13.8. The organization has conducted membership satisfaction research in the last 24 months

13.9. The organization has an established communication plan/process for communicating with its member organizations

13.10. The organization has made financial/HR/M&E and IT procedures available to its member organizations for adaptation

13.11. The organization has documented data collection and monitoring process for its members

### 14. Stakeholder Relations

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14.1. Network/National Organisation works collaboratively with government agencies (i.e. NACA, Ministry of Health, Ministry of Local Government etc.) Labour and Home Affairs and other stakeholders

14.2. Network/National Organization has technical staff who participate in Technical Working Groups (TWGs)

14.3. The organization effectively collaborates with other organizations to reduce overlap of services or target beneficiaries

14.4. The organization is a member of the CSO Coalition

**Next step:** Select up to five (5) components that scored 0 and scored a 1 or 2 on importance and develop an improvement plan for those components.
To implement a program various type resources are needed. Resources often fall into three broad areas: money, manpower and materials. Resource mobilization is the process of getting the resources need to ensure effective HIV and AIDS efforts at the district level. During your planning process, you need to identify these resources in order to plan ahead and identify how these needs will be met.

**Purpose of the Module**

The purpose of this module is to help provide information about three aspects of resource mobilization: Resource Identification, Funding and Proposal Vetting, and Proposal Vetting Committee. Central to the success sound resource mobilization is having a strategic plan that guides all activities.

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- How do we do it Effectively? 93
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  - Funding Mechanism and Proposal Writing 93
  - DMSAC Funding for CSOs 94
  - Opportunity Creation 95
  - Proposal Vetting Committee 96
  - Social Enterprise 96
- How do we Know it is Working? 97

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- Appendix 6.2: Detailed Activity Proposal Tool 101
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- Appendix 6.4: Proposal Writing 104

“My favorite things in life don’t cost any money. It’s really clear that the most precious resource we all have is time.” —Steve Jobs
Resource mobilization is the process of raising different types of support for an organization so it can execute its strategic plan. Resource mobilization is more than just fundraising – it is about getting a range of resources, from a wide range of resource providers (or donors), through a number of different mechanisms (see Figure 6.1). It is tempting to jump into resource mobilization without planning, but thorough planning ensures that the organization is able to achieve its objective. To be effective, an organization must develop a comprehensive resource mobilization strategy.

There are three elements that make for an effective resource mobilization; the resources needed, the resource providers, and the mechanism through which the funds are obtained (see Figure 6.1).

**Figure 6.1. Elements of Resource Mobilisation**

- **RESOURCES:** Different kinds of things that are needed
  - Money
  - Materials
  - Manpower
- **RESOURCE PROVIDERS:** Different people and organisations that provide
  - Private sector
  - DMSAC
  - International community
- **MECHANISMS:** Different ways of getting the resources needed
  - Direct support
  - Indirect support
  - Government Funding

**WHY DO WE NEED IT?**

Resource mobilization ensures programmatic and organizational sustainability, while ensuring that there are sufficient resources (human, financial, and material) that are well utilized. In addition, understanding the external environment (political, economic, and social) that the organization operates in, and to develop an environment that is sufficiently stable and predictable.
HOW DO WE DO IT EFFECTIVELY?

This module outlines four aspects of resource mobilization:

- Resource identification
- Funding mechanism and proposal writing
- Opportunity creation
- Proposal vetting
- Social enterprise

Resource Identification

Resource identification is a methodology that pinpoints existing resources in the district, and can be used to identify resource gaps in the HIV and AIDS effort. In an era of limited resources and increased accountability, it also allows the district partners to build partnerships by leveraging existing resources that contribute to improved collaboration and coordination. When considering partnership it is important to go beyond traditional partners and think about broader range partnership (i.e. media, business).

One method of identifying resources is using a Resource Matrix such as the one in Appendix 6.1. Once the matrix is complete, a summary of the information must be consolidated. A secretariat from an existing coalition/committee should be designated as the person responsible for resource consolidation. Another option may be to expand the DMSAC EBP Toolkit Tool #4 District Service Inventory to capture existing district resources. Having an inventory of resources allows for them to be shared to fill gaps in the district. A written and formal protocol for resource sharing must be established to optimize resources.

To be an effective tool, resource identification must be done annually before the EBP process. The secretariat responsible for consolidation would send out the Resource Matrix form and request an update version.

Funding Mechanism and Proposal Writing

There are three primary mechanisms of funding to CSOs outlined: 1) Direct support, 2) Indirect support, and 3) Government funding. These are expanded upon below in Table 6.1.

### Table 6.1. Donor Funding Mechanisms

<table>
<thead>
<tr>
<th>Mechanism</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct support</td>
<td>Assistance of all types, e.g., in-kind, given straight to CSOs from other organizations or the private sector, sometimes this occurs through a bilateral agreement with the donor. This includes external charitable organizations providing services.</td>
</tr>
<tr>
<td>Indirect support</td>
<td>This funding comes from the donor to the CSOs through other organizations, e.g., umbrella organizations or international agencies. For example, international donor funds can be transferred to grassroots organizations via the networks, i.e., larger NGOs, through grant applications.</td>
</tr>
<tr>
<td>Government funding (direct or indirect support)</td>
<td>This funding can come from the GOB through different agencies or indirectly from bilateral agreements with another government or a partnership framework/agreement with a donor agency.</td>
</tr>
</tbody>
</table>

Source: 2012 Report on the Consultations with the Ministry of Local Government Regarding the Funding of Civil Society Organizations
DMSAC Funding for CSOs

The Planning Sub-Committee which includes CSOs, and the DAC will determine which sectors are best suited to implement the identified district planned activities. This will be guided by the core mandate of the various sectors and their comparative advantages. Given the increasing number of CSOs requiring government resources versus limited resources, allocation to the civil society sector will need to be transparent and credible. This often entails a competitive process.

Selection of Civil Society Organizations

The Civil Society Organizations (NGOs, CBOs and FBOs) will in some cases be selected through a competitive process. Based on the district’s priority areas, a call for proposals may be made and a Technical Review Committee constituted by the DAC will evaluate the proposals (see Appendix 6.2 for the template of a Detailed Activity Proposal Tool). In a competitive process, consideration is given to the following:

- Their skills and expertise in that priority area
- Their capacity and capability to produce results
- Previous track record on performance

Where no competitive process has been followed, due to capacity constraints, capacity building is built into project implementation through facilitation by the DAC and the TAC.

In addition to the submission of proposals, the CSOs will need to furnish the DMSAC with the following information:

- Certificate of Registration
- Names of the Board of Directors or Trustees
- Service delivery areas
- Target Population
- List the current projects
- Geographical Coverage
- Project Targets
- Other sources of funding

To improve accountability, selected CSOs may be given performance based contracts. Performance reviews will be done as determined by the Planning Committee.

Receipt of Funding

- On receipt of the funds from MLG&RD or any other source of funding, the DMSAC through its Planning Committee will once again review the plans if necessary and allocate the funds according to planned activities (see Proposal Vetting Committee section that follows).
- The sectors/organizations benefiting from the funds will be notified in writing by the DAC of the funds allocated to them and the activities, which these funds have been earmarked for.
- Through set procedures for funds expenditure, the DAC will facilitate the use of the funds by the sectors /organizations. Funds will be expended as per the activity.
- Sectors/organizations will be required to account for the funds expenditure to the DAC office.
- The DAC will liaise with the relevant district accounting office to ensure that expenditure returns are always up to date and are consolidated quarterly.
Proposal Writing

When considering applying for a grant, the grant should fit into the organization’s resource mobilization strategy. For all CSOs, writing a sound proposal is a critical part of mobilizing resources from various funders. Funding opportunities may be in a variety of forms, but most require similar information. Here are the most common sections of a proposal and the information that you should include:

- **Cover letter**
  The cover letter should be printed on your organization’s letterhead and should briefly indicate your qualifications, the project goals and activities, and how much money you are requesting. It is also important that the letter be specifically addressed to someone, not just “To Whom It May Concern”.

- **Executive summary**
  The executive summary should state your goals, summarize your approach and activities. It should also express enthusiasm and confidence about the project.

- **Statement of need**
  This section is often referred to as background. It should demonstrate that you know enough about the issue (cause and effect), and should state why the project is important. You should also demonstrate that you know what is being done to address the issue in your environment, by other organizations and the government.

- **Goals and objectives**
  This section outlines your vision for the program, and what you intend to achieve. Your objectives need to be SMART (Specific, Measurable, Achievable, Realistic, and Time-bound)

- **Strategies/Activities**
  Your activities and strategies should be driven by the goals and objectives of your project and not the other way around.

- **Evaluation**
  It is also important that you outline your evaluation plan and the indicators that will be used to measure impact and outcome for your project.

- **Sustainability**
  In this section, you will demonstrate how the project will continue at the end of the funding period.

- **Budget**
  The budget is essentially your work plan in numerical form. It should reflect all the activities that you outlined in your work plan. See Appendix 6.3 for more information on creating a budget.

Appendix 6.4 details the sections above.

Once these have been completed for one grant application, you can often revise most of these sections for future funding opportunities. It is also important to remember that most deadlines are for proposals are firm and often do not allow for extensions. Therefore, when writing a grant, a timeline should be established taking into account any executive approval that needs to be obtained prior to submission. One way to improve grant writing is to request feedback from donors when the application has not been awarded. Often to receive funds, an organization must be registered. More information can be found in Module 3: CSO Representation.

Opportunity Creation

The organisation should also come up with ways to obtain funds internally. If possible, there should be someone within the organisation that is in charge of fund raising initiatives. Here are some ideas of techniques that may be used to obtain financial support:
RESOURCE MOBILISATION FOR THE DISTRICT RESPONSE

1. **Crowdfunding**—refers to the process of obtaining funds from a large group of stakeholder. This is often achieved through an online platform because it allows one to reach more people under a short period of time. Although it can be done online, it still requires a lot of work to promote the fundraising campaign. Here are some things to consider for a successful campaign:

   - **Target audience**: When choosing your target audience, be as specific as possible to ensure that you will reach your audience. Your audience will eventually grow once your target audience share the campaign within their network.
   - **Timeframe**: it is also important to have a deadline for your campaign. This will increase the urgency of your initiative. Your campaign should not be longer than 3 months so you will not wear out your audience.
   - **Scope**: People need to know what exactly the money that are giving is going toward, and how it will be used.
   - **Impact**: It is also important for audience to know the impact that their donation is making. Reiterate that no matter how small the amount of their donation may be, it will have a great impact.

2. **Social media**—can be used to promote crowdfunding efforts, and to share the work and achievements of your organisation. Do not hesitate to interact with your online audience through blog posts, Facebook, Twitter, and any other social media platforms used by your organisation.

3. **Social events**—may be another way to reach those within your target audience that do not connect through social media platforms. A social events can be another way to raise funds.

No matter what technique you use, you should keep in mind that all your fund raising initiatives should be in line with the organization’s constitution and regulations.

### Proposal Vetting Committee

Proposal vetting committee is a formal process that allows the district to thoroughly examine a proposal prior to approval. This process provides standardized guidance to stakeholders, and create an air of transparency and trust amongst all partners. If additional funds come into a district, the DAC is required to establish a proposal vetting committee. This committee will establish a process that creates transparency and accountability in funding.

Proposed membership; DAC, DHMT, S&CD, Economic Planner, NGO network coalition, funder/donor, community member, business entity, person living with HIV, District officer Development. All members should clearly be able to articulate their role on the committee. The values of the committee must minimally include openness, fairness, equitability, and transparency. It is recommended that the committee chair be the District officer Development and the secretariat be the DAC. The Committee Chair will report to the TAC which in turn reports to the DMSAC.

### Social Enterprise

A social enterprise is an organization that applies commercial strategies to maximize improvements in human and environmental well-being, rather than maximizing profits for external shareholders. The idea of social enterprise has a long history around the world, though under different names and with different tendencies. Social enterprise is characterized by open membership and goals widely considered to be in the community or public interest. The field of social enterprise studies has not yet developed firm philosophical foundations, but it is increasingly connected to the health sector and public service delivery. This model may be one that CSO coalition consider as they are establish themselves.
Ask yourself these critical questions:

I. Resource Identification
- Does your organization have a resource mobilization strategy?
- Has a Resource Identification Matrix been completed?
- Have findings from the analysis been distributed among partners?

II. Funding Mechanism and Proposal Writing
- Are you aware of current direct, indirect, and in-kind funding opportunities?
- If you have written a proposal, is it organized in a way that allows for easy access in the future?

III. Opportunity Creation
- Has your organization considered developing opportunity creation activities as part of your fundraising efforts?

IV. Proposal Vetting Committee
- If additional funding comes to the district, has a proposal vetting committee been established to screen and select applicants?

V. Social Enterprise
- Has your organization considered the principles of social enterprise as a way to increase your resources?

“All great artists draw from the same resource: the human heart, which tells us that we are all more alike than we are unalike.” —Maya Angelou
One of the greatest resources people cannot mobilize themselves is that they try to accomplish great things. Most worthwhile achievements are the result of many little things done in a single direction.” - Nido Qubein
Resources are the key to all effective HIV and AIDS activities. The 3 Ms include: Money, Manpower and Materials and must all be considered within a strategic resource mobilization plan. Aspect of the plan should include:

1. Resource Identification: method of pinpointing existing resources
2. Funding Mechanism and Proposal Writing: Funding in Botswana comes from 3 major sources and a sound resource mobilization plan should consider all of them. In addition, writing a proposal is a science and being prepared with information in advance simplifies the process
3. Proposal Vetting Committee: A formal process to allow for through proposal examination.

Key Points
- When applying for funding, you need to be informed of the proposal vetting process to ensure that your proposal is very competitive
- Need to identify the resources that you need, have an inventory of the resources that are available within the district
- For monetary resources, identify the sources of funding, if there is an application process that needs to be
- If you need to engage in an application process

Now that we have explored the basis of resources mobilization and how it can benefit your organization if done well, ensure your organization has a strategic resource mobilization strategy. Remember to take a look at the additional resources provided in the appendices. Also take the time to record your organization’s Actions for Improvement on the next page.
# Resource Inventory Matrix

<table>
<thead>
<tr>
<th>Resources</th>
<th>Resource Providers</th>
<th>Mechanisms</th>
</tr>
</thead>
<tbody>
<tr>
<td>Needed Resource</td>
<td>Available (Place √)</td>
<td>Name</td>
</tr>
</tbody>
</table>

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# Detailed Activity Proposal Tool

<table>
<thead>
<tr>
<th>NFS Priority Area:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Priority Issue:</td>
</tr>
<tr>
<td>Results:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Activity:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Target Group:</td>
</tr>
</tbody>
</table>

**Lead sector or organisation (Sector, CBO, FBO, NGO or other groups for implementing the programme)**

**In which quarter(s) will the activity occur?**
- [ ] Apr-Jun
- [ ] Jul-Sep
- [ ] Jan-Mar

**Contact person and phone number (Individuals responsible for the project who can be contacted with questions)**

**Description of how the activity will be carried out**

**Anticipated outputs (what measurable results are expected to occur?)**

**Project memorandum information (Detailed budget information about costs necessary to do the activity)**

**Example:**
- Tea—P420 (P7 for 20 people for 6 sessions)
- Printed material—P60 (P10 for 6 people)
- Telephone charges to coordinate group—P600
- Trained facilitator—P1800 (P300 each session for 6 sessions)
- Promotional

**Source of funds (example: MLG&RD, ACHAP)**
Understanding and Developing Budget

What is a budget?
- A financial plan for the coming year (s)
- A summary of anticipated expenses and income
- A tool to aid fundraising
  - A budget helps the donor to understand your funding request and how the funds will be spent
  - A budget also helps to understand how much funding you need to raise in order to carry out various activities.
- A management tool for monitoring your program
  - Income versus expenses
  - Under/overspending
  - Variances between budget lines or categories

Budget development principles
- Consistent: should be guided by written principles, policies and procedures
- Cooperative: should involve various departments. It is not just one person’s job!
- Timely: sufficient time should be set aside to do a good job. Last-minute budgets usually have errors and omissions.
- Evidence based: should provide sufficient justification for amounts. Show your calculations and refer to vendor quotes, historical costs, etc.
- Realistic: be sure to forecast carefully, especially for multiple years.

Stages in developing a budget
- Preparatory discussions: ideally, all persons involved in the program should participate in the project design brainstorm sessions. This helps ensure that you are all on the same page and have not left anything out.
- Draft budget: this should be shared with the whole team for review and comment. Be sure to remove any confidential figures, such as salaries.
- Final budget: the final budget should be double-checked for accuracy and completeness. It should include budget notes explaining how you calculated or estimated the various amounts.
- Approval and submission: ensure that the budget is approved at the relevant level according to your organization’s policies (board, executive director, etc.) before it is submitted.

Tips for developing a budget
- Understand and follow the donor’s requirements:
  - Acceptable and unacceptable types of expenses
  - Desired format, level of detail, etc.
  - Funding period
  - Any other donor instructions or guidance
- Use your work plan as a guide. The budget should speak clearly to the activities in the work plan. All activities in the work plan should be included in the budget. Activities not in the work plan should not be in the budget.
- Establish the cost for each item or activity based on sound estimates and calculations.
  - Get quotes when possible.
  - Refer to your actual historical costs.
Follow your organization's policies and procedures.

- For existing programs, scrutinize your actual spending over the past year. Look for areas of overspending/underspending and make any necessary adjustments.
- For foreign donor funded projects ensure that a realistic exchange rate is used consistently throughout.
- If VAT will be refunded by SARS, make sure the budget excludes VAT.
- Clearly communicate deadlines for various stages (initial input, first draft, final, etc.) to all staff to ensure that needed information is available on time.
- Consider creating a budget committee that coordinates the budget development process.
- Double-check to ensure that there are no gaps and the budget is accurate and complete. Pay particular attention to any formulas/automatic calculations.
- When you submit your budget, you are making a commitment to the donor to implement the project with the stated amount of funding!

### Allocating Indirect costs

- Identify and allocate a fair proportion of your indirect costs (sometimes known as overhead). These are generally your operating or administrative costs.
- How much does it really cost to implement the project in a high-quality manner? It is not just the cost of direct project activities. It is the cost of everything that you need in order for the project to take place.
- If you did not have a director, a receptionist, an office, electricity, a photocopier, a telephone system, etc., how well would you be able to implement your program?

### Allocating Indirect Costs to Projects

- Each donor should pay their “fair share”.
- As a general rule, this means that if a donor represents 50% of your total organisational budget, they should pay 50% of your indirect costs,
- In reality, different donors have different rules on what types of costs they will and will not cover. Many donors prefer to fund only direct costs.
- If this is the case, you should still do your best to allocate indirect costs as fairly as possible.

- Whenever possible, frame indirect costs in terms of their necessity or benefit to the project.

### Include the “income side” of the budget

- A budget is not just expenses but also income.
- If your project has more than one source of support, it is in your interest to include these in your proposal budget. Donors often like to see that you are not depending on them for 100% of what you need.
- Type of income might include:
  - Funding from other donors
  - Revenue from income-generating activities
  - Individual donations
  - Revenue from fundraising activities
  - Fees for services
  - The monetary value of in-kind contributions

**Source:** FHI360. (n.d). Building a proposal. [Presentation]
Proposal Writing

Grant proposals are a part of any fundraiser’s portfolio. To achieve optimal success your grant proposals should be part of your overall fundraising plan. Grants may be from a variety of sources (such as a foundation or a government entity), but most require the same information. Here are the most common sections of grant proposals, and the information you should include.

1. Cover Letter

Although the cover letter is written last, don’t give it short shrift. It is the front porch of your grant proposal and will determine how well the rest of the proposal is received. A bad impression here will be difficult to make up later. You’ll want to address your letter to a specific person, briefly state what your proposal asks for, and summarize (not repeat) the essence of your program.

2. Executive Summary

The summary comes after your cover letter. It helps the grantor to understand at a glance what you are seeking. The summary can be as short as a couple of sentences, but no longer than one page. Aim to be complete (touching on the main points of your proposal) but brief. This is a taste of the proposal to come. It should entice the reader to keep going. The summary doesn’t need to be wildly inventive, but it should be well-written (to impress), complete (explain what your organization does and its mission), and specific enough (include details of the proposed program) to involve the reader.

3. Need Statement

This is the meat of your grant proposal. You must convince the funder that what you propose to do is important and that your organization is the right one to do it. Assume that the reader of your proposal does not know much about the issue or subject. Explain why the issue is important, and what research you did to learn about possible solutions. The need statement must include both stories and data, and be matched to the interests of the granting organization. The goal is to convince the funder that this project solves an important societal problem, and that the funder should be completely interested in supporting it.

4. Goals and Objectives

Here is where you explain what your organization plans to do about the problem. State what you ultimately hope to accomplish with the project and spell out the specific results or outcomes you expect to accomplish. Think of goals as general and broad outcomes and objectives as the specific steps you’ll take to get to those outcomes.

5. Methods, Strategies or Program Design

This section is where you walk the grantor through exactly HOW you will achieve the goals and objectives you’ve set out earlier. You may be required to provide a logic model in this section.

Make this section very detailed and logical. Include a timeline and specify who will do what and when.

6. Evaluation Section

How will you assess your program’s accomplishments? Funders want to know that their dollars actually did some good. So decide now how you will evaluate the impact of your project. Include what records you will keep or data you will collect, and how you will use that data. If the data collection costs money, be sure to include that cost in your budget. Many organizations plan to hire an outside evaluator to ensure an objective assessment.

7. Other Funding or Sustainability

Have you gotten committed funds from other sources? Or have you asked other sources? Most funders do not wish to be the sole source of support for a project. Be sure to mention in-kind contributions you expect, such as meeting space or equipment.

Is this a pilot project with a limited time-line? Or will it go into the future? If so, how do you plan to fund it? Is it sustainable over the long haul?

8. Organizational Information

In a few paragraphs explain what your organization does, and why the funder can trust it to use the requested funds responsibly and effectively. Give a short history of your organization, state its mission, the population it serves, and provide an overview of its track record in achieving its mission.
Describe or list your programs. Be complete in this part of your proposal even if you know the funder or have gotten grants from this grantmaker before.

9. Budget

How much will your project cost? Attach a short budget showing expected expenses and income. The expenses portion should include personnel expenses, direct project expenses, and administrative or overhead expenses. Income should include earned income and contributed income.

10. Additional Materials

Funders are likely to want the following:

- IRS letter proving that your organization is tax-exempt.
- List of your board of directors and their affiliations.
- Financial statement from your last fiscal year.
- Budget for your current fiscal year.
- Budget for your next fiscal year if you are within a few months of that new year.

11. Putting it all together

Put everything together with your cover sheet and a cover letter. You may need to have your CEO and/or the Board President sign the cover sheet or letter. You do not need a fancy binder, but it should all be neatly typed and free of errors.

Once a program implementation is underway, the bulk of the work is not done. It is important to monitor your progress throughout while it is being implemented, and to evaluate the program. Once these evaluations are completed, it is vital to share the data. This will give the district an accurate depiction of the implementation of HIV and AIDS program in the district, help these programs improve, and ensure that they are aligned with the national and district response priorities.

**Purpose of this Module**

The purpose of this module is to highlight the importance of monitoring and evaluating an HIV and AIDS program during its implementation and to dispel some common myth about evaluation. The module will also cover suggested phases to plan for an evaluation. More information on Monitoring and Evaluation can be found in the DMSAC Evidence-based Planning Toolkit, and the National Monitoring and Evaluation for the National Operational Plan for HIV and AIDS document.

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  - Phase 4: Using the Findings 111
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“One of the great mistakes is to judge policies and programs by their intentions rather than their results” - Milton Friedman
WHAT IS MONITORING AND EVALUATION?

Monitoring and evaluation is a critical part of any HIV and AIDS response. It helps you understand the results of any program, as well as improving the program being implemented.

Monitoring is the routine tracking of priority information about a program and its intended effects. The information might be about activities, products or services, users, or about outside factors affecting the organisation or project.

Evaluation is a collection of activities designed to determine the value or worth of a specific programme, intervention or project. That means being able to link a particular output or outcome directly to a particular intervention.

WHY DO WE NEED IT?

Organisations use monitoring and evaluation for program improvement. In order for program improvement to occur, reporting and disseminating data to partners is crucial for the reasons listed below (see Figure 7.1):

Benefits of Monitoring

- Reporting and Accountability
  - To provide organizations with a tool to analyse program results and decipher how improvements can be achieved
  - To provide organizations with a tool to monitor how efficiently the program is performing
  - To provide manager with a tool to gain timely information on the progress of project activities that allows them to compare what was planned to what happened
  - To promote organizational learning and encourage adaptive management

- Sharing with Partners
  - To foster public and political cooperation and support information needs for your target
  - To help in decision-making at national level, and to ensure that no partner is left behind

Benefits of Evaluation

- To analyse why intended results were or were not achieved
- To assess specific causal contributions of activities to results
- To examine the implementation process
- To explore unintended results and provide lessons learned and recommendations for the future.

MYTH #1 Evaluation is a one-time event done only to prove the success or failure of a program.

Fact: It is important to remember that program success is contingent on continuous feedback. Rather than proving that a program was good or bad, program evaluation verifies that the program is running as originally planned, identifies strengths and weaknesses, and allows for continuing feedback in order to adjust the program accordingly.
The type of evaluation you undertake depends on what you want to learn and provide to communities. Start your program evaluation by identifying what you need to know to make necessary program decisions and how you can accurately collect and understand that information. Having designated M&E officers within your organization, or simply putting someone who has the skills and competencies in charge of the monitoring and evaluation your programs will also be very beneficial.

The Monitoring and Evaluation Cycle

*Know How NonProfit part of National Council for Voluntary Organisations* outlines four key phases in the monitoring and evaluation cycle:

I. Planning for monitoring and evaluation
II. Monitoring
III. Evaluation
IV. Using and disseminating the findings to improve

**Phase 1: Planning For Monitoring and Evaluation**

Planning is a key stage in the monitoring and evaluation cycle and useful on many levels – to ensure that attainable goals are defined, to further create a shared vision for the work of the collaboration, and to establish accountability standards for performance. Utilizing the NFS II and local data, each DMSAC needs to clearly define aims and objectives. Many funders and commissioners will ask for outcome information as part of their monitoring requirements.

**Inputs:** As well as monitoring expenditure, some organisations will monitor other inputs, such as staff and volunteer time.

**Outputs:** These will be specific products or elements of service provided by the organisation, such as advice sessions, training days or publications.

**Outcomes:** These are related to the changes or difference made as a result of the organisation’s outputs.

**Impacts:** These are related to longer-term or broader changes. These might be more difficult to monitor on a routine basis.

Read more about monitoring and evaluating outcomes and impact.

**Timeframe:** Establishing when specific outcomes will be accomplished by and when they will be evaluated.

**Resources Needed:** Identifying the resources needed to accomplish specific outcomes; the “what is it” and “who has it”. For effective evaluation, it is important to budget the evaluation costs.

**Phase 2: Monitoring and Reporting**

All organisations keep records and notes, and discuss what they are doing. This simple checking becomes monitoring when information is collected routinely and systematically against a plan. Finding ways to collect monitoring information is a key part of monitoring...
and evaluation. Tools for collecting data can be grouped under four basic heads:

- Keeping records and notes;
- Surveys and questionnaires;
- Observation; and
- Interviews.

Always bear in mind how you want to use the information before you start to collect it. This will influence what you collect, how you collect it, and how you store and process it. Make sure that everyone involved in collecting the information is using the monitoring tools in the same way, so that the information is consistent and there are no gaps. Small amounts of information may be stored on paper and analysed manually. However, the most efficient is the use of computers to manage information.

If you don’t resolve practical issues concerning how you manage your information, this can hold you back in terms of reporting and using monitoring information to feed back into organisational improvement and management.

The DMSAC Terms of Reference outlines monitoring and reporting in Appendix 6. The key areas that they focus on are district coordination including DMSAC functions, national programs, and sectors/organizations activities. Steps to monitoring and reporting are:

- Collecting data on Forms 00A and 003A on district coordination and national programs respectively
- Compiled data will be submitted to DAC on a quarterly basis
- DAC will produce quarterly report of data and present it to DMSAC
- Raw data and quarterly reports will be submitted to the MLG by the 15th of the following month after the reporting quarter.

Reporting requirements may defer and will vary depending upon the funding partners. A reporting arrangement should have been put in place between the involved entities.

**Figure 7.4. DMSAC Reporting Channels**

![Diagram showing DMSAC Reporting Channels]

**Reporting Obligations of CSOs**

It is important for the implementers, including CSOs, to track their performance and understand how their interventions contribute to the district response which in turn contributes to the National Response. The use of data and other evidence to inform sound decision making is essential. Simplified data collection and reporting tools (BHRIMS) are used to ensure that gathering and presentation of information is done in a concise manner. Focus should be put on district’s level data dissemination and use to assure that district’s specific data is not only reported to the national level, but is also disseminated locally to local HIV stakeholders and used in local decision making and planning.
Monitoring implementation of activities should be done in close collaboration with implementing partners. Monitoring will include regular supervisory support visits, internal monthly meetings to review progress and quarterly review meetings with partners. Regular reviews of output and outcome data will constitute part of the on-going monitoring process.

Reports should be generated on quarterly basis and submitted to the DAC office or to the coalition. For more information about Monitoring and Reporting in the district response, consult the Evidence Based Planning Toolkit (2009).

An Activity Monitoring Tool which is to be completed by implementing partners is included in Appendix 7.1.

### Phase 3: Evaluation

Evaluation uses monitoring information that has been produced to see if you are meeting your intended objectives. Evaluation should be considered from the start, so that monitoring can be carried out with evaluation in mind. There is a significant difference in approaches to evaluation. Some stakeholders may value a 'scientific' approach, looking for hard measurement and objective evidence. Others may value evaluation that encompasses description and different perspectives.

There are two primary types of evaluation:

I. **External evaluation** is when an outside evaluator is brought in to carry out an evaluation for the organisation. External evaluation may be appropriate when an organisation lacks the time to carry out an evaluation itself or wishes to carry out a more in-depth evaluation than its own resources would permit. Sometimes funders will require an external evaluation of a project as a condition of their funding.

II. **Self-evaluation** is when an organisation uses its own expertise to carry out evaluation. Self-evaluation is the primary method of evaluation for DMSAC. With self-evaluation, monitoring and evaluation is built into the everyday life of the organisation and is an essential part of organisational management and development. In a 2007 online survey (of nearly 800 respondents) eighty-one per cent of third sector respondents reported changing how things were done as a result of monitoring and evaluation. Sixty-five per cent had changed products or services as a result of monitoring and evaluation findings.

### Ethical Considerations in Evaluation

There are important ethical considerations when carrying out monitoring and evaluation. For example:

- Storing information in accordance with data protection guidance
- Obtaining informed consent
- Ensuring that you don’t breach confidentiality
- Making sure that an individual or organisation is not harmed by how you work or what you report
- Observing copyright and intellectual property when using secondary materials (such as articles and other organisation’s data)
Phase 4: Using the Findings

Using evaluation findings is the final stage of the monitoring and evaluation cycle. It is what makes the time invested worthwhile. In this final stage, organisations:

- Make use of the findings to feed back into, and guide, the management of the organisation;
- Make use of the findings to demonstrate progress and results;
- Tell others about what they have learned; and
- Influence decision-makers and policy change.

Analysing the Information

Small amounts of information can be analysed manually, but a good computer-based system will save time and provide the information to meet different needs. The kind of ICT system needed will depend on the size and type of organisation, and needs to be assessed within the context of an overall ICT strategy. Some of the software systems available have been designed for a specific subsector. You will need to check whether the system can be used to assess and report outcomes, and whether it will help you to report in different formats and to meet different needs.

**Interpretation** means asking what the results mean in relation to the evaluation questions and judging what is significant. Linking your findings to the key questions posed will lead to **conclusions** and **recommendations**.

Presenting the Findings

You need to agree early on who your audience is and how you want to present monitoring and evaluation findings. For example:

- In a formal report
- Through a visual display
- On your website
- Through discussion and workshop presentations.
- At meetings (e.g. DMSAC, Coalition meetings, community forums)

Most reports will cover the following:

- An introduction
- The aims and objectives of the evaluation, including the main evaluation questions
- How the evaluation was carried out
- Findings
- Conclusions and recommendations.

Learning from the Evaluation

Organisations and their funders are increasingly thinking about how evaluation findings can be shared and used to learn about approaches to service delivery, so that success can be replicated and so that policy can be influenced. Lessons can be learnt from initiatives and projects that don't work, so these findings should be shared as well. Putting your reports on your website and sharing findings in conferences and workshops can make them doubly useful as a resource.
Monitor your district response. How do we know it is working?

Ask yourself these critical questions:

**I. PLANNING**
- Has DMSAC developed an evaluation plan that considers inputs, outputs, outcomes, impacts, timeframe and resources?
- Does your planning consider data collection tools, intervals, management and analysis?
- Is there a budget plan for the evaluation?

**II. MONITORING AND REPORTING**
- Who manages the data?
- What intervals are reports from data shared?
- Are you aware of the data reporting mechanism?

**III. EVALUATION**
- Which evaluation approach do you use and why?
- Have you considered ethical considerations outlined above?

**IV. DISSEMINATION**
- Who creates reports of finding?
- Who disseminates them and at what intervals?
- Do findings show success and challenges?

“*The most serious mistakes are not being made as a result of wrong answers. The truly dangerous thing is asking the wrong question*” - Peter Drucker
“Everything that can be counted does not necessarily count; everything that counts cannot necessarily be counted” - Albert Einstein
Evaluation is an integral part of effective program planning. Throughout the planning phase, you should always ask yourself, how you would measure your outcomes and how you would collect the data. This data is important to judge your progress.

Key Points

- When planning your program or intervention, you also need to remember to develop an evaluation plan
- This evaluation plan should outline the key indicators that will be used to assess program success and achievement
- You also need to remember to budget for the evaluation
- Need to have a dissemination plan for your evaluation results
- You can conduct your own evaluation, or you can contract someone else to do an external evaluation
- The results of the evaluation that you conducted need to be used to improve the program

Now that we have explored the benefits of monitoring and evaluation, be sure to reflect on your organization to see if you are monitoring and evaluating your programs. Also take the time to record your organization’s Actions for Improvement on the next page.

- Does your organization have monitoring and evaluation plans in place for your programs?
- When developing a program plan, as your organization gotten into the habit of planning for evaluation?
- How can your organization improve its monitoring and recording habits?
## Activity Monitoring Tool

### Name of Organization:

### Reporting Quarter:

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<th>NFS Priority Area:</th>
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<td>NFS Outcome Result:</td>
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### Challenges Encountered:

### Other Comments and Ideas for Future Strengthening:


• NASTAD. (2014). DMSAC Orientation Package [Draft]


• Social Entrepreneurs, Inc. (n.d.). Building and sustaining key champions and broad-based
community support.


- US National Association of Chronic Disease Directors and the US Health Resources and Services Administration, Maternal Child Health Bureau.