

Training for Transition (TFT)

Capacity Development for Organisations Working with Vulnerable Groups



Love is a pre-condition for Learning and Development

Monitoring and Evaluation Baseline

COMMUNITY SYSTEMS STRENGTHENING PROJECT

A horizontal banner containing five logos from left to right: the University of Cape Town crest, the TFT logo, the 'op place ON FARM ezifama' logo with the tagline 'BUILDING WOMEN'S LEADERSHIP', the 'hambanam' logo, and the European Union flag.

Community Systems Strengthening for Health

Programme funded by the
EUROPEAN UNION

About Training for Transition

TFT has an overall vision to contribute towards the scale-up and scale-out of **quality service delivery for vulnerable communities**. It provides training, mentoring and we develop training material for organisations that serve the needs of vulnerable communities.

Goal: TFT's goal is to create, manage, support and bring to scale a local, integrated model of service delivery to address the needs of under-resourced communities; it includes documentation of processes and sharing lessons learnt. It also aims to influence the development of high quality, need-led training material and effective support systems. The intention is to disseminate shared learning to influence positive practice in under-resourced communities.

As such, TFT has key strategic objectives which include:

- To provide higher level training on Project Planning, Project Management, Financial Management, Monitoring and Evaluation strategies for long-term sustainability and independence.
- To train adults to understand how to meet the developmental and safety needs of children living in under-resourced communities.
- To train adults to support children with life-skills to progress beyond limiting conditions.
- To network with other organisations with similar objectives.
- To mentor identified community-based activists for this training.

Mission

The mission of TFT is to technically assist community-based organisations to access quality training, relevant material, access peer networks, mentoring, coaching and develop systems for information sharing. In the three years of the **community systems strengthening** program, TFT intends to champion the creation, management and coordination of an improved standard of learning, sharing and problem-solving.

TFT uses experienced, independent consultants to provide training and mentoring in their areas of specialty in either gender education, child protection, violence reduction or specific health areas; will ensure program sustainability and continuity of learning, using knowledge on 'Best Practice' in similar conditions; provides ongoing support to scale-up of these services and delivering high-quality interventions.

Partnership: In the **Community Systems Strengthening** initiative, the TFT primary partnership is with the **Cape Metro Health Forum** health committee members, **Women on Farms** and **UCT's School of Public Health** and its role is that of a development partner, in the form of technical training, mentoring and content development for four programme areas namely; child protection, peace building, access to food and nutrition and health education broadly.

TFT provides curriculum development, training, documentation of process, dissemination of learning and mentoring within a comprehensive monitoring and evaluation framework. TFT, over the implementation period will continue to focus on developing strong partnerships with government and other service providers – to share material and resource development and to share learning. All TFT products, when complete, will be open-source.



This project is funded by the European Union

The contents of this publication is the work of the
Community Systems Strengthening Partnership
It can no way be taken to reflect the views of the European Union.



Open Source Learning Material

Author

Curriculum Developed by **Anita Marshall, Director, Training for Transition**
For the **Community Systems Strengthening Project**
Contact: Trainingftransition@gmail.com

In partnership with:

The Learning Network Project

Health and Human Rights Division

University of Cape Town

Department of Public Health and Family Medicine

Head of Division: **Professor Leslie London**

Tel: [021 406 6488](tel:0214066488)

Fax: [086 403 0582](tel:0864030582)

Email: leslie.london@uct.ac.za

Edit, Lay-out and Formatting: **Anita Marshall**

Published: **August 2016**

Project Management: Baseline Assessment

Activity 6

Conducting the Baseline

2 hours

Method: Group work

Activity: Each organisation represented at the training, gets a baseline and through discussion in groups, assesses their own organisation.

Organisation	Start up 0	Emerging 1	Expanding 2	Exit	Mature 4
Governance					
Board	No board exists yet. Potential board members have been identified. Members possibly chosen on heart and commitment. Skills not yet a priority. Board exists, on paper, lacks functionality.	Board has been constituted. A constitution has been drafted. Roles and responsibilities are defined. Board tend to micro (over) manage the organisation. Board make-up requires balance.	Members are stable and functioning. The board no longer micro manages. The board is providing oversight. Mechanisms have been established so as to secure input from the relevant stakeholders. Skills match the needs of the NGO. Executive and non-executive board members.		The board effectively provides overall policy direction and oversight. The board supports organisation's accountability and credibility. Stakeholder input is regularly secured. Generate effective external relationships. The board's composition reflects a healthy balance of varying skills and representation. Board members have demonstrated skills & ability to secure funding and in-kind support.
Mission	No 'formal' mission or vision statement exists. The mission is understood by the	The Mission has been documented and clarified to most internal stakeholders. Clear Strategic Objectives have been agreed upon. Planning tends to be	The Mission and Vision are clearly communicated to all external stakeholders. Strategies and objectives are revisited and aligned with the mission. Staff and stakeholders		Mission and goals are clearly understood by all stakeholders. Clear evidence that outputs/outcomes reflect the strategies and objectives of the NGO. Implementation planning involves senior

	founder and 1 or 2 others. Little or no match between current activities and mission.	in the hands of senior management. Little input from staff and stakeholders.	provide some input to planning.		management, staff and other stakeholders.
Legal Status	Not registered with relevant authorities.	The NGO is registered with the relevant authorities. Not yet fully compliant in all areas.	The NGO is generally compliant with local reporting, tax and labour requirements.		The NGO benefits from its financial and legal status.
Autonomy	Dependence on single donor or other entity.	NGO has established a form of sustainability and is able to better reflect its values in decision making.	The organisation has secured funding for 'home grown' programs		The organisation has a no. of donors and is able to advocate on behalf of others. Healthy managerial and financial autonomy.
Organisation	Start up	Emerging	Expanding	Exit	Mature
Leadership & Management					
Leadership	A majority of decisions possible still made by one individual or small group. Founding person in clear control of the organisation.	Most decisions are made at board level. Some staff involved. Leadership is directive. Most staff will experience a level of uncertainty as decisions are made outside their circle of influence.	A consultative approach has been adopted. Staff understand decision-making. Leadership training facilitated. Value based decisions reflect both maturity and integrity. Clear succession policy is in place.		Leadership style is consultative and participatory. Staff are effectively involved in decision making. Leadership is accessible to all in organisation. Organisation would remain functional in the absence of CEO and Board Chair.
Structure	Loosely defined structure exists	A defined organisational structure exists. Lines of authority are	Clear lines of both authority and responsibility have been defined.		Systems are in place to ensure that the staff are appropriately involved in all levels of decision making.

	Little or no policies exist	emerging. Policies and systems are in the process of being developed.	Policies and systems have been developed.		Policies and systems effectively and efficiently guide the day to day operation of the organisation.
Planning	Ad hoc, individual or small group. Tends to be top down. Activities are decided on with little consideration of available resource and competencies.	Senior staff are involved in annual ops planning. Some input from SH. Planning tends to be short term. Some documentation in developmental stage will support effective planning.	Work plans, key deliverable schedules, implementation plans, LFA's support effective planning. Annual ops planning is guided by lessons learnt from the previous year. Implementation plans are revised and reviewed.		Planning is fully participatory. A strategic planning process is facilitated on an annual basis. Resources and competencies are efficiently allocated to agreed-upon activities. Inputs from the relevant SH are incorporated during planning. M&E has injected the necessary flexibility into the planning and review process.
Management Systems	No formal recruitment, disciplinary or dismissal policies and procedures in place.	Some personnel policies are in place. Administrative procedures are in the process of being formalised and utilised.	Administrative procedures are both formalised and functioning. Manuals designed. Adequate office space and equipment to ensure functionality of NGO.		Procedures are adhered to. Both procedures and manuals are updated regularly. Management systems and templates exist for governance and programmes.
Program Development	Mainly 'reactionary' needs driven response.	Occasional (perhaps informal) programme evaluation conducted. Projects have been developed within an overall programme framework	Internal programme evaluation is conducted regularly. There is a clear understanding of the funders M&E requirements. SH are consulted on programme design and are also involved in both implementation and evaluation.		Management and staff are involved in programme design, implementation, monitoring and evaluation. Programme changes reflect effective use of M&E policies and procedures

Risk Management	N/A	Completed RM training Completed Audit Training	Annual External Audit Audits are an integrated part of all planning.		Annual external audit reports include a review of management practices. Fully functional, implemented RM policy.
M & E	No formal M&E systems exist. Community and stakeholder feedback is informal.	Completed basic M&E training. Limited ability to both monitor and evaluate current programs. Occasional evaluations are carried out. Consultants in all likelihood would facilitate this process.	Further M&E training has been facilitated. Reporting content reflects a maturing understanding and application of M&E practices. M&E tends to still be isolated and not integral.		Fully developed and functional M&E policies and procedures. Supported by well-articulated Manual. M&E is fully integrated into all functions of the organisation. Benchmarked against international norms. Communities and stake holders regularly participate in evaluation of the entity. Reports clearly guide future program implementation and allocation of resources.
Organisation	Start up	Emerging	Expanding	Exit	Mature
Leadership & Management					
IT & Communication	Informal, relational communication channels. Founder, tends to dominate external and internal communication. No IT systems to speak of. At this stage usually not relevant.	Staff and executive meetings reflect the emergence of more formalised communication structures.	Communication policies and procedures developed and integrated. Functional developing IT department exists in support of programmatic needs.		Fully functional communication policies and procedures in place. These are regularly reviewed to ensure compliance, relevance and efficiency. Information generated is used to guide future planning and resource allocation. Electronic data captured and communication exists.

Reporting	Limited or no ability to generate activity based and or financial reports. Reporting verbal or basic narrative.	Reports tend to reflect donor expectations. Some reports formulated and disseminated.	Reports are more multi-faceted. Report and proposal writing reflect both quality and well defined strategic planning.		Reports reflect not only donor expectations but the needs of other relevant stake holders. Report writing is benchmarked against international best practice.
Organisation	Start up	Emerging	Expanding	Exit	Mature
Financial Resources & Management					
Accounting	Some basic financial recording systems are in place. Internal controls are however weak. Reports are incomplete and lack measurable content. No audits.	Financial procedures are in place. Tend to be simplistic, but effective. Training facilitated if required. Functional payment process. Bank account. Registered for Tax exemption	Financial procedures and reporting systems are in place. Training facilitated if required. Fully functional payment process Systems have the capacity to function with multi funding. Annual financial report prepared and disseminated by registered auditors. A fully functional finance department is in place.		Fully functional procedures and reporting systems. Reflects a history of unqualified audits. CFO ensures all programs receive agreed upon financial support. The CFO ensures compliance with regards expenditure. Internal audits are carried out annually.
Planning & Budgeting	Budgets tend to be ill informed.	Activity based budgets are established per program area.	Budgets are clearly used as management tools. Over or under spending is limited to within 20% of budget.		The budgeting process is integrated into annual implementation plan. Effective M&E ensures mitigation of possible risks.
Sustainability	Samaritan response support Funding tends to come from	Resource and Donor mapping completed. Organisation is still heavily reliant on one source though. Donor requirements	Developing strong relationships across the funding spectrum. Able to produce quality proposals. Developing		The NGO has multiple donors. Demonstrates the ability to stay relevant Has secured multiple contracts.

	single source. At best funding is erratic.	limit mission driven activities to some degree.	Government and local corporate relationships bode well for future funding requirements. Medium term funding is secured.		No single donor carries more than 35% of total annual funding. Contract terms tend to be in the region of 3+ years. 20 – 30% of all funding is undesignated. Donors funding a large % of mission driven activities. Cost share plans are well entrenched where relevant.
Organisation	Start up	Emerging	Expanding	Exit	Mature
Organisational Sustainability					
Entity	N/A	Developing community relations will support future sustainability.	The NGO has a clear vision of its role and ability to participate in developmental activities. Stakeholders are an integral part of programme planning and evaluation.		A key role player in networks. NGO has linkages with international NGOs', educational, research and civic institutions. Has the capacity to perform self-assessment so as to ensure it remains relevant. Seen as a key partner in development. Communities have developed a healthy ownership of the relevant programmes. The NGO has developed systems for the continuation of its programme activities as directed by key changes within the target communities.

External Relations	NGO is viewed as being of some value by community .	NGO is growing in its credibility The NGO has identified common interests with the relevant Government departments. Shows a clear understanding of Government policies as per focus area.	Stakeholders support through providing cost share. Financially or in kind contribution. The NGO has established cordial relationships with the relevant Govt departments. Has been invited to participate in Govt motivated forums.		Stakeholders experience the NGO as credible The NGO has shifted from needed to wanted. Well known to policy makers and peers. Has a strong brand presence. Regularly included in high level discourse and policy development.
Other	Limited ability to work with other NGOs	Mapped possible 'relational' stake holders	Works effectively with both local and international NGOs		Plays leadership role in promoting NGO coalitions.
Organisation	Start up	Emerging	Expanding	Exit	Mature
Human Resource					
Policies	Few if any policies exist.	Policies are in developmental stage. Policies are guided through consultation with relevant authorities.	Policies developed include; disciplinary, recruitment, remuneration, leave and the like. Staff selection criteria formalised. The recruitment process is clearly defined. Relevant HR policies have been disseminated to all personnel		Policies undergo annual review to ensure relevance as well as compliance. Fully functional remuneration committee regularly convenes to ensure that salary scales are market related. Diversity and representivity are guided by clear policy documents.
Development	Mostly volunteers. Staff members have to multi task, often not skilled to perform designated functions. Little or no	Staff development needs are assessed. Training plans developed.	A good match between skills and responsibilities. Ad hoc training completed. Staff assessment policies and procedures exist, but not necessarily part of integrated staff development and management strategy.		Needs based training facilitated, in line with overall strategic plan. Staff development is supported through adequate allocation of resources. It is embraced as an essential component of the overall organisations growth. Staff assessment fully integrated in overall

	staff training.				strategy.
Management	Little to speak of, at best relations keeps staff motivated and productive.	Basic personnel administration systems exist.	Personnel systems are both formalised and implemented. Job descriptions are clearly defined		Mentoring policies and procedures are in place. Field staff receives adequate counseling to mitigate both physical and emotional burn out! Staff turnover statistics are regularly reviewed to ensure any organisational 'weaknesses' are identified and remedied.