# Capacity Development of Community Based Organizations in the HIV Response of Sri Lanka

# Organizational Governance, Management and Monitoring & Evaluation Development

## *CSO User Guide*

Sustainability of Services for HIV Key Populations

in the Asia

Regional Program (SKPA)

Compiled

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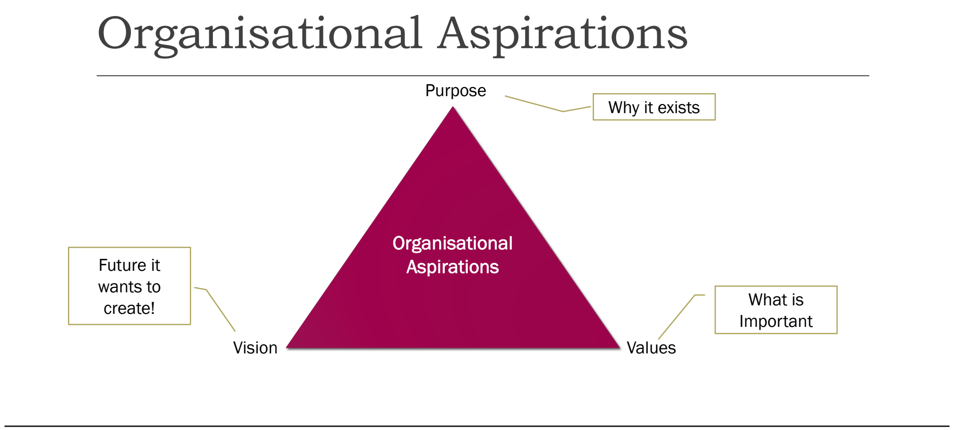
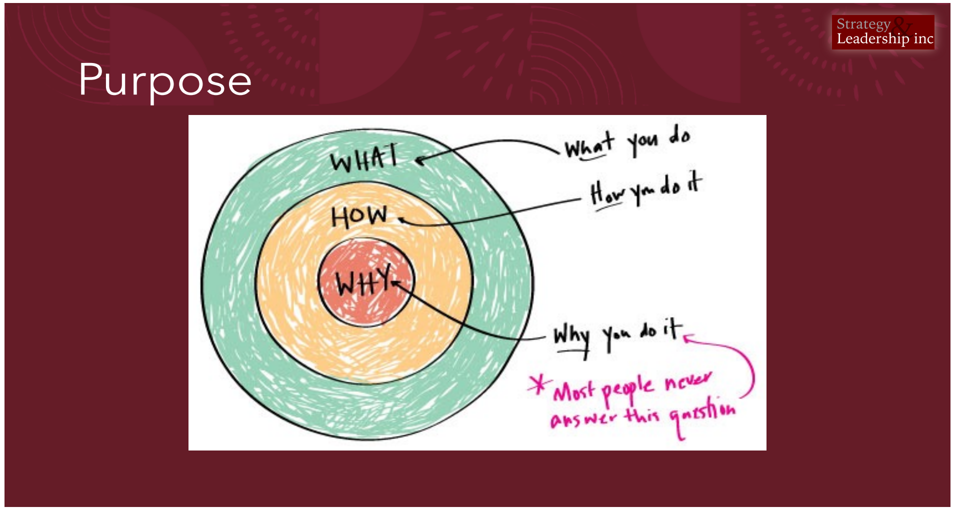
November 2021

# Aspirations

## Purpose, Vision and Mission




In defining your purpose, we attempt to find answers to the question why do we (organisation) exist?

Step 1

# Write down the associated words associated with your Institution -

Words that are associated with the type of service, focal group, inspirational, theme etc. Write a sentence

Step 2

# What makes us successful?

Write down the words that make you successful – How will you succeed? How well will you deliver your service to society? Make a sentance

Step 3

# Write down a sentence combining step 1 & 2

What do you bring to the world? Keep writing and refining the statement. Does it provide a mental image? Is the language positive? Is it emotional?

# Vision – check list

- Does it resonate?
- Is it memorable?
- Is it easy to understand?
- Does it factor geography and focal group demographics?
- Is it meaningful both internally and externally?

# Mission statements

A good Vision and Mission will complement each other

Mission is what you actually do today as a service

The Mission explains how this Vision is being achieved and what the company actually does

# Mission elements

- What you do
- Why you do it
- How you do it
- Where you do it
- Who you do it for
- How it makes you feel

A good Mission statement <u>does not</u> have to include all of the above, but it should at least be covering the What and Why

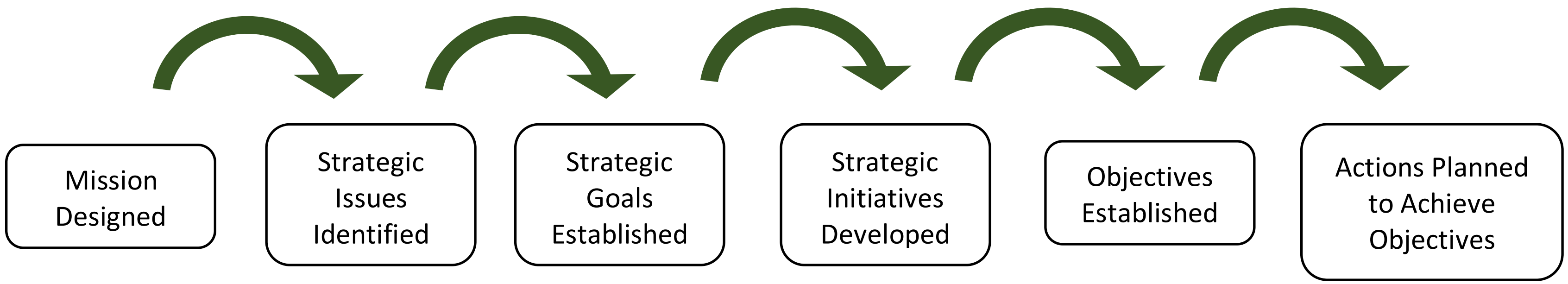
# Strategic Planning

## Strategic Planning

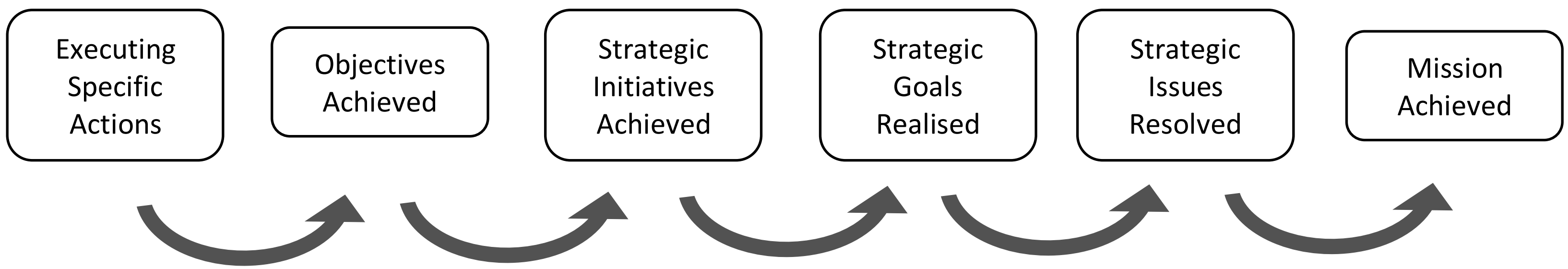
Strategic thought and action arc increasingly important to the continued viability and effectiveness of public agencies and non-profit organizations of all sorts. The environments of public and non-profit organizations have changed dramatically in the last few decades reflected in the volatility and ambiguity that we see and experience around us. As a result, traditional sources of revenue for most institutions are highly unpredictable or declining at worst. To cope with these various pressures, non-profit organizations must do at least three things. First, these organizations need to exercise as much discretion as they can in the areas under their control to ensure responsiveness to their stakeholders. Second, these organizations need to develop good strategies to deal with their changed circumstances. And third, they need to develop a coherent and defensible basis for decision making.

Non-profit organisations are mission driven and therefore the strategic plan should clearly articulate how the organisation will achieve its mission resulting in realising its purpose. It is a disciplined effort to produce decisions and actions shaping the nature and direction of an organization's activities within legal bounds. These decisions typically concern the organization's mandates, mission, and its operations.

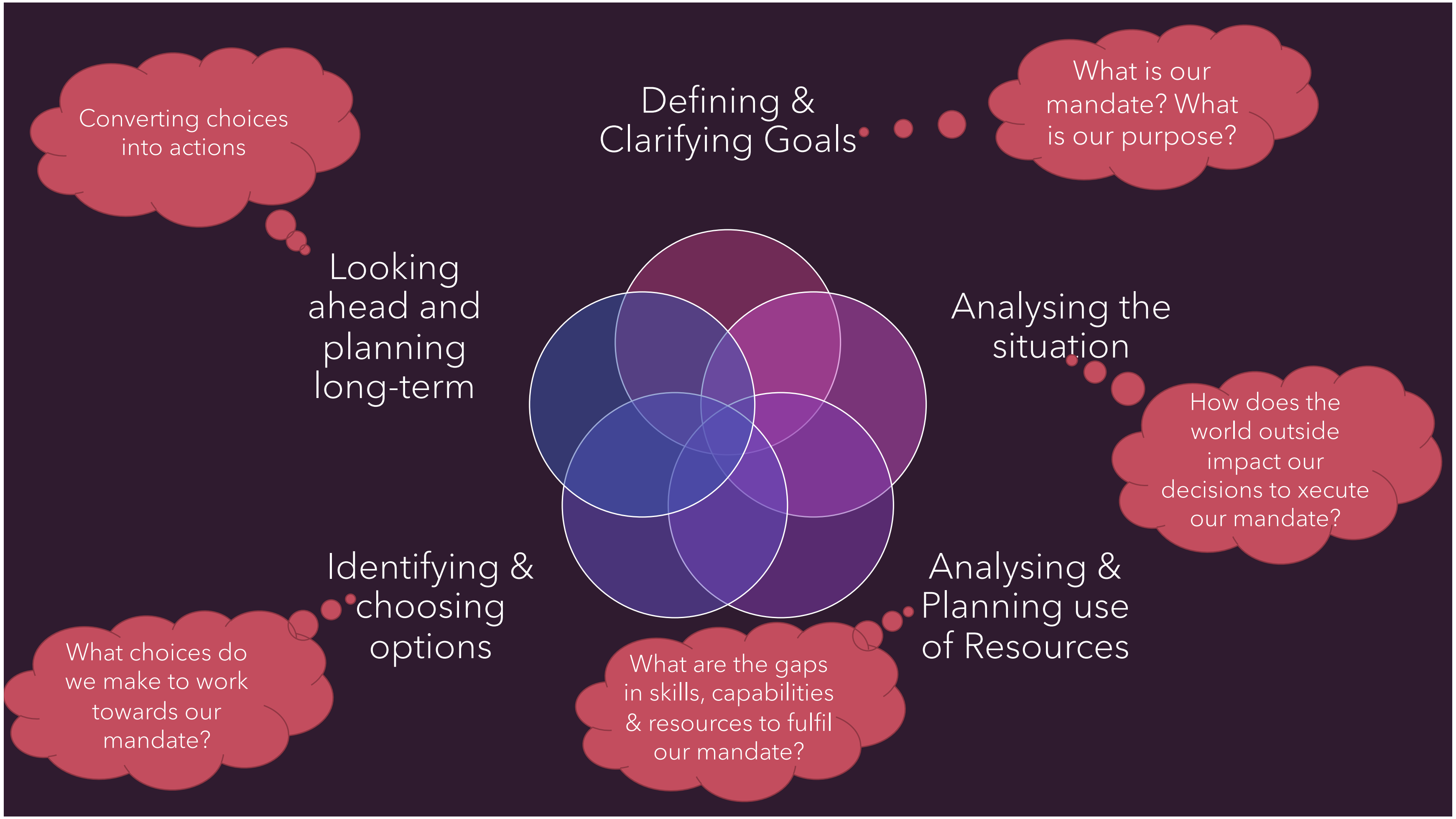
**Logical Process**




**Outcome**

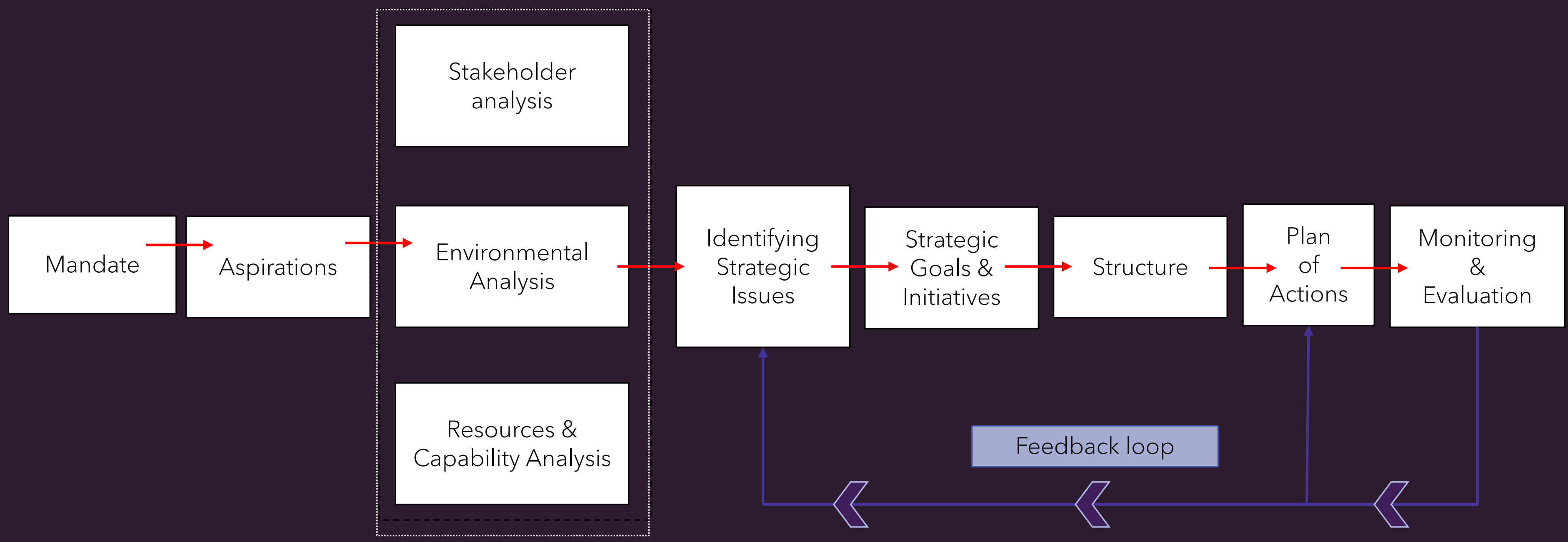


**Overview**



Converting choices into actions
Defining & Clarifying Goals
What is our mandate? What is our purpose?
Looking ahead and planning long-term
Analysing the situation
How does the world outside impact our decisions to xecute our mandate?
Identifying & choosing options
Analysing & Planning use of Resources
What choices do we make to work towards our mandate?
What are the gaps in skills, capabilities & resources to fulfil our mandate?

# The Decision Flow for Strategic Planning



## Environment

Outline the environment the organisation operates within and provide context to what the organisation is dealing with. This could also include any challenges that this creates and how these challenges might be managed

| **Category** | **Force** | **Implication** |
| --- | --- | --- |
| Political/Government Policy | | |
| Economic | | |
| Socio/Cultural | | |
| Technological | | |
| Environmental | | |
| Legal | | |

**Resource & Capability Assessment**

Presently available Resources & Capabilities

| Resources | How it is linked to mission success | Why is it critical? |
|---|---|---|
| | | |
| | | |
| Capabilities | How it is linked to mission success | Why is it critical? |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

Resources & Capabilities required for future (Currently lacking)

| Resources | How it will be linked to mission success | Why is it critical? |
|---|---|---|
| | | |
| | | |
| Capabilities | How it will be linked to mission success | Why is it critical ? |
| | | |
| | | |
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# CAPABILITIES

- Strategic direction/management
- Financial management
- Management development
- Decision making
- Project execution capabilities
- Research & Development
- Operational
- Communications
- Information management

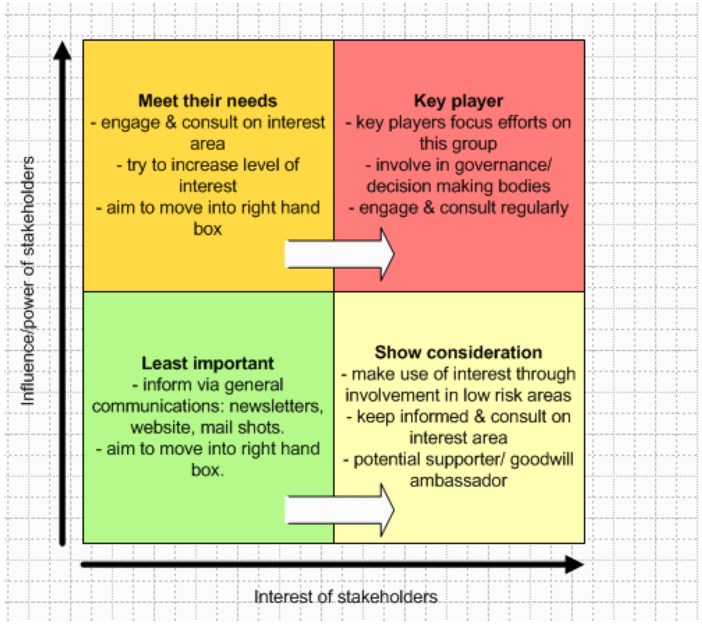
etc etc etc etc etc etc etc etc etc etc etc etc etc

Capabilities should be relevant and critical to achieving your mission

**Stakeholder Analysis**

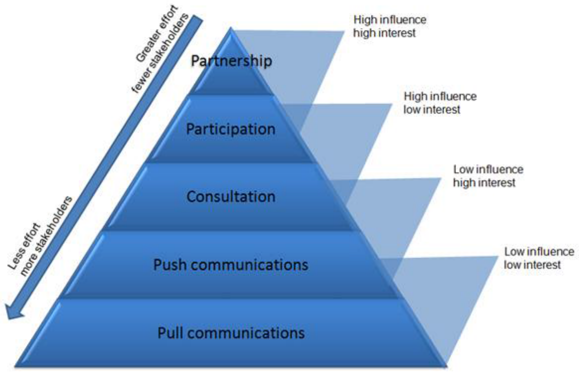
The first step in Stakeholder Analysis is to identify who your stakeholders are. The next step is to work out their power, influence and interest, so you know who you should focus on. The final step is to develop a good understanding of the most important stakeholders so that you know how they are likely to respond, and so that you can work out how to win their support – you can record this analysis on a stakeholder map.

- High power, interested people: these are the people you must fully engage and
- make the greatest efforts to satisfy.
- High power, less interested people: put enough work in with these people to keep them satisfied, but not so much that they become bored with your message.
- Low power, interested people: keep these people adequately informed, and talk to them to
- ensure that no major issues are arising. These people can often be very helpful with the detail of your project.
- Low power, less interested people: again, monitor these people, but do not bore them with
- excessive communication.



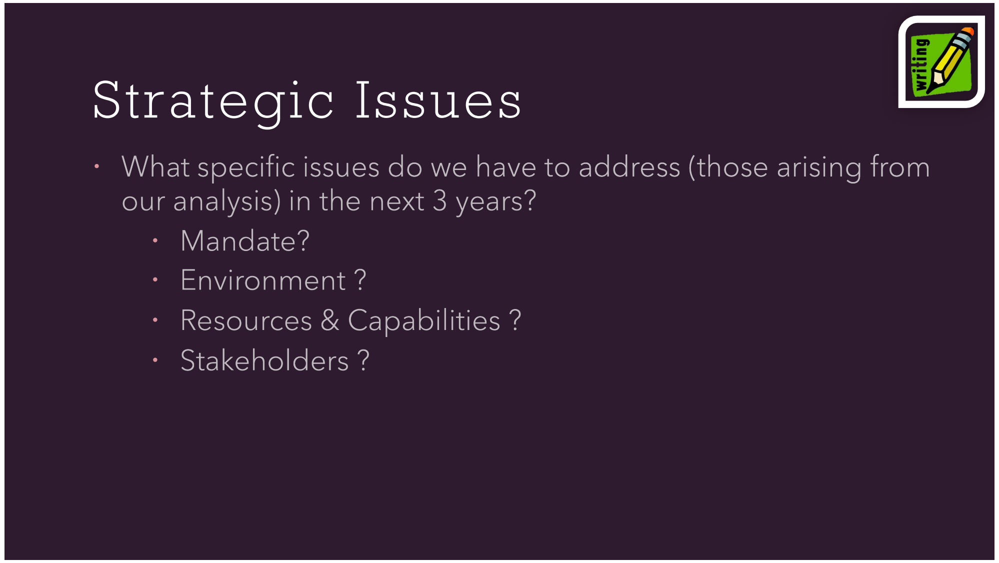
## Stakeholder engagement strategies

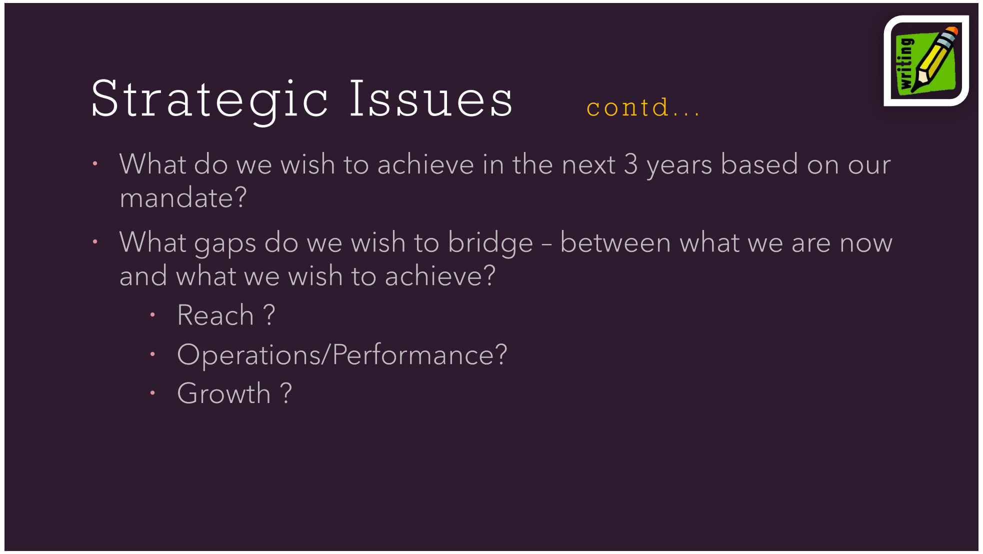
| Category | Clusters | Engagement strategies |
|---|---|---|
| High Influence – High Interest | | |
| High Influence – Low Interest | | |
| Low Influence– High Interest | | |
| Low Influence – Low Interest | | |



**Strategic Issues**

The identification of strategic issues—the fundamental challenges affecting the organization's mandates, its mission and values, its product or service level and mix, its costs, its financing, its structure, its processes, and its management



# Prioritising Issues

Phrase the issue as a question the organization can do something about and that has more than one answer

| Short-term Issue<br>Immediate | Medium term issue<br>1 to 2 years | Long term issue<br>3 to 5 years | Non critical issues |
|---|---|---|---|
| | | | |
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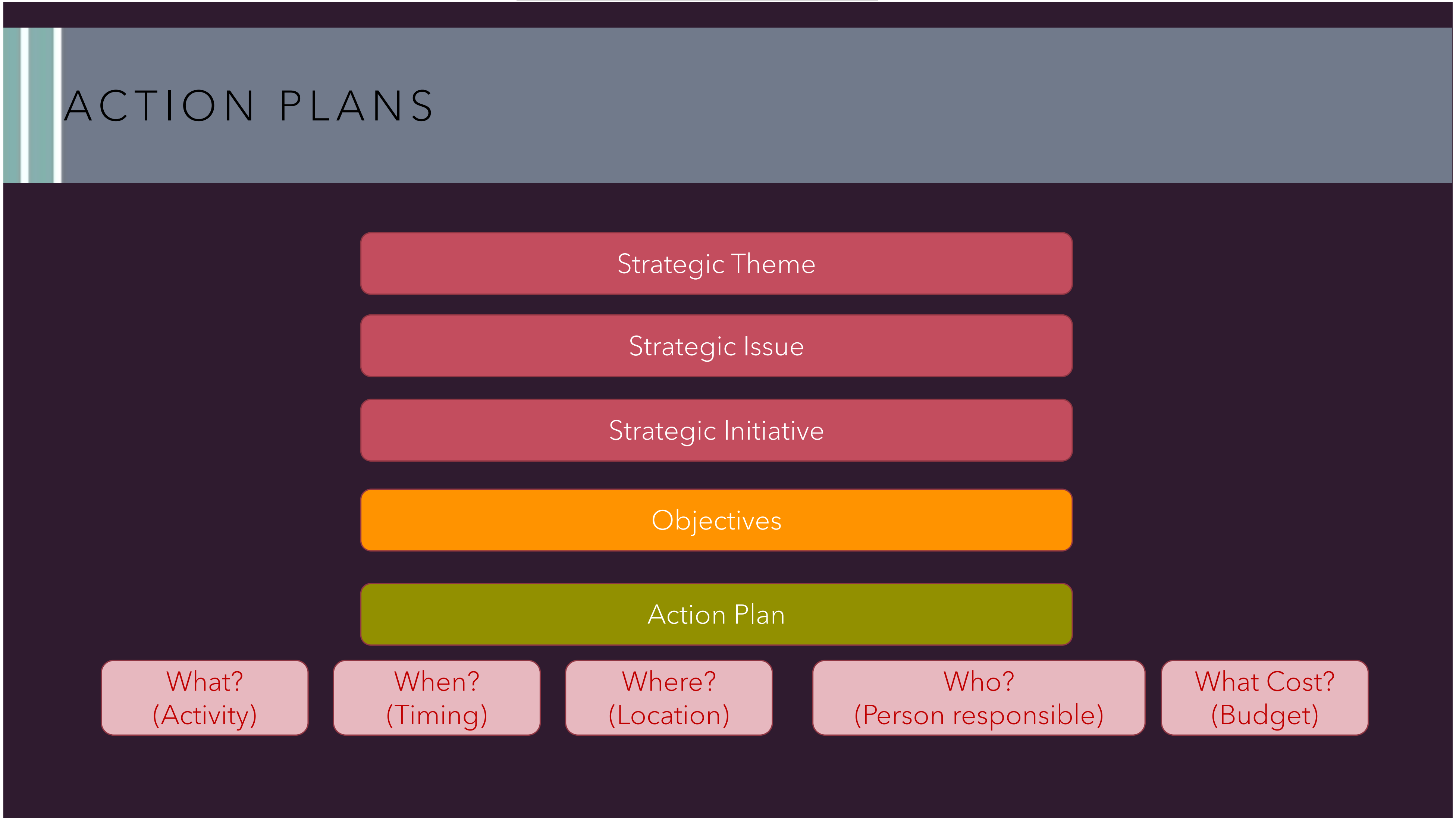
# Strategic Issues - evaluation

| Term | Issues | Why is it an issue? / How does it affect our mission? / How is it related to the organization's environment or capabilities or stakeholders? / What are the consequences? / Why is it a priority? |
|---|---|---|
| Short-term | | |
| | | |
| Medium-term | | |
| | | |
| Long-term | | |
| | | |

## Designing Strategies to manage the issues- Strategic Initiatives

| Strategic Issue | Strategic Goal | Strategic Initiative |
|---|---|---|
| **Sort term:1** | | |
| **Sort term:2** | | |
| **Medium term:1** | | |
| **Medium term:2** | | |
| **Long term:1** | | |
| **Long term: 2** | | |

**Strategy Execution: Operationalising**



# Action Plan

| | |
|---|---|
| **Strategic Goal:** | |
| **Strategic Issue(s):** | |
| **Strategic Objective:** | |

**<u>Action Plan</u>** (to achieve the objective above)

| **Activity** | **Timing** | **Responsibility** | **Resources** |
|---|---|---|---|
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# Monitoring & Evaluation Guide

**Monitoring and Evaluation Plan - Guide**

*What is a Monitoring and Evaluation Plan?*

A monitoring and evaluation (M&E) plan is a document that helps to track and assess the results of the interventions throughout the life of a Project. It is a live document that should be referred to and updated on a regular basis. While the specifics of each Project's M&E plan will look different, they should all follow the same basic structure and include the same key elements.

An M&E plan will include some documents that may have been created during the Project planning process, and some that will need to be created new. For example, elements such as the logic model/logical framework, theory of change, and monitoring indicators may have already been developed with input from key stakeholders and/or the Project donor. The M&E plan takes those documents and develops a further plan for their implementation.

*Why develop a Monitoring and Evaluation Plan?*

It is important to develop an M&E plan before beginning any monitoring activities so that there is a clear plan for what questions about the Project need to be answered. It will help Project staff decide how they are going to collect data to track indicators, how monitoring data will be analysed, and how the results of data collection will be disseminated both to the donor and internally among staff members for Project improvement. An M&E plan will help make sure data is being used efficiently to make Projects as effective as possible and to be able to report on results at the end of the Project.

*Who should develop a Monitoring and Evaluation Plan?*

An M&E plan should be developed preferably by the research team or staff with research experience, with inputs from Project staff involved in designing and implementing the Project.

*When should a Monitoring and Evaluation Plan be developed?*

An M&E plan should be developed at the beginning of the project when the interventions are being designed. This will ensure there is a system in place to monitor the project and evaluate success.

**Steps**

*Step 1: Identify Project Goals and Objectives*

The first step to creating an M&E plan is to identify the Project goals and objectives.

Defining Project goals starts with answering three questions:

1. What problem is the Project trying to solve?
2. What steps are being taken to solve that problem?
3. How will Project staff know when the Project has been successful in solving the problem?

Answering these questions will help identify what the Project is expected to do, and how staff will know whether or not it worked.

It is also necessary to develop intermediate outputs and objectives for the Project to help track successful steps on the way to the overall Project goal.

*Step 2: Define Indicators*

Once the Project's goals and objectives are defined, it is time to define indicators for tracking progress towards achieving those goals. Project indicators should be a mix of those that measure process, or what is being done in the Project, and those that measure outcomes.

Process indicators track the progress of the Project. They help to answer the question, "Are activities being implemented as planned?" Some examples of process indicators are:

- Number of trainings held with health providers
- Number of outreach activities conducted at key population locations

Outcome indicators track how successful Project activities have been at achieving Project objectives. They help to answer the question, "Have Project activities made a difference?"

Some examples of outcome indicators are:

- Percent of female sex workers using condoms
- Number and percent of trained health providers offering counselling services to key population
- Number and percent of new HIV infections among key population

*Step 3: Define Data Collection Methods and Timeline*

After creating monitoring indicators, it is time to decide on methods for gathering data and how often various data will be recorded to track indicators. This should be a conversation between Project staff, stakeholders, and donors. These methods will have important implications for what data collection methods will be used and how the results will be reported.

The source of monitoring data depends largely on what each indicator is trying to measure. The Project will likely need multiple data sources to answer all of the Project timing questions.

Below is a table that represents some examples of what data can be collected and how.

| Information to be collected | Data source(s) |
|---|---|
| Implementation process and progress | Project-specific M&E tools |
| Service statistics | Facility logs, referral cards |
| Reach and success of the Project intervention within audience subgroups or communities | Small surveys with primary audience(s), such as provider interviews or client exit interviews |
| The reach of media interventions involved in the Project | Media ratings data, broadcaster logs, Google analytics, omnibus surveys |
| Reach and success of the Project intervention at the population level | Nationally representative surveys, Omnibus surveys, DHS data |
| Qualitative data about the outcomes of the intervention | Focus groups, in-depth interviews, listener/viewer group discussions, individual media diaries, case studies |

Once it is determined how data will be collected, it is also necessary to decide how often it will be collected. This will be affected by donor requirements, available resources, and the timeline of the intervention. Some data will be continuously gathered by the Project (such as the number of trainings), but these will be recorded every six months or once a year, depending on the M&E plan.

*Step 4: Identify M&E Roles and Responsibilities*

The next element of the M&E plan is a section on roles and responsibilities. It is important to decide from the early planning stages who is responsible for collecting the data for each indicator. This will probably be a mix of M&E staff, research staff, and Project staff. Everyone will need to work together to get data collected accurately and in a timely fashion.

Data management roles should be decided with input from all team members, so everyone is on the same page and knows which indicators they are assigned. This way when it is time for reporting there are no surprises.

Once all of the data have been collected, someone will need to compile and analyse it to fill in a results table for internal review and external reporting. This is likely to be an in-house M&E manager or research assistant for the Project.

The M&E plan should include a section with details about what data will be analysed and how the results will be presented. Do research staff need to perform any statistical tests to get the needed answers? If so, what tests are they and what data will be used in them? What software Project will be used to analyse data and make reporting tables? Excel? SPSS? These are important considerations.

Another good thing to include in the plan is a blank table for indicator reporting. These tables should outline the indicators, data, and time period of reporting. They can also include things like the indicator target, and how far the Project has progressed towards that target. An example of a reporting table is below.

| Indicator | Baseline | End of period 1 | Lifetime target | % of target achieved |
|---|---|---|---|---|
| | | | | |
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*Step 6: Plan for Dissemination and Donor Reporting*

The last element of the M&E plan describes how and to whom data will be disseminated. Data for data's sake should not be the ultimate goal of M&E efforts. Data should always be collected for particular purposes.

**Conclusion**

After following these 6 steps, the outline of the M&E plan should look something like this:

- Introduction to Project
  - Project goals and objectives
  - Logical Framework
- Indicators
  - Table with data sources, collection timing, and staff member responsible
- Roles and Responsibilities
  - Description of each staff member's role in M&E data collection, analysis, and/or reporting
- Reporting
  - Analysis plan
  - Reporting template table
- Dissemination plan
  - Description of how and when M&E data will be disseminated internally and externally

- End -