International HIV/AIDS Alliance

FRONTIERS PREVENTION PROJECT

Supporting community action on AIDS in developing countries

NETWORK CAPACITY ANALYSIS

A toolkit for assessing and building capacities for high quality responses to HIV

Workshop facilitation guide

Civil society organisation capacity analysis series

Building the organisational, HIV technical, and policy capacity of civil society organisations is key to planning and delivering high quality responses to HIV. The International HIV/AIDS Alliance (the Alliance) works with its civil society partners to ensure that they have the skills and strategies needed to make effective contributions to national HIV efforts as implementers and supporters of community-based action.

The Alliance has developed a series of toolkits to support the capacity analysis and capacity development of the following types of civil society organisation:

- **community-based organisations (CBOs)**
- **non-governmental organisations (NGOs)**
- **networks**
- **intermediaries (organisations that support CBOs, NGOs and networks).**

These toolkits provide structured approaches to the participatory identification of capacity building needs and planning of responses. They allow users to generate both quantitative and qualitative baselines which can be used to track progress in organisational development.

The Alliance also publishes a range of complementary materials on organisational development, technical HIV issues, and policy and advocacy, which can be used to support capacity development efforts subsequent to analysis. To view these resources, please visit the Alliance website **www.aidsalliance.org** and the NGO support website **www.ngosupport.net**

Frontiers Prevention Project
The Frontiers Prevention Project is a multi-country prevention-focused initiative which aims to slow the spread of HIV and support populations that are key to the epidemic in responding to the HIV related challenges they face. It focuses on low prevalence countries that are put at risk by growing epidemics, working specifically in Cambodia, Ecuador, India, Madagascar and Morocco.

Funded by the Bill and Melinda Gates Foundation, the project has made an important contribution to increasing knowledge of HIV and how to prevent it, improving access to and the quality of treatment for sexually transmitted infections, and the creation of community-based organisations and networks of people living with and affected by the virus.

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The Civil Society Development team at the Alliance secretariat commissioned this toolkit and it was produced by the Communications team.

The International HIV/AIDS Alliance has been working at the forefront of the civil society response to HIV since 1994. During this time we have witnessed many courageous efforts of community groups in over 40 countries worldwide to mitigate the impact of AIDS and slow the spread of HIV among the most marginalised and vulnerable in their community.

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To order Alliance publications, please go to **www.aidsalliance.org/publications** or email **publications@aidsalliance.org**

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Contents

1 Introduction

What is this toolkit?

The overall aim of this toolkit is to build the skills required by civil society networks to develop and strengthen their capacity. It can be used by networks to help identify their capacity building needs, plan technical support interventions, and monitor and evaluate the impact of capacity building. It provides a structured approach to generating both quantitative and qualitative information about the situation of the organisation at the time of analysis. The resulting outcomes can also be used to track progress when developing capacity.

Why was this toolkit developed?

Civil society networks play a vital role in supporting and developing key services required to respond to the HIV epidemic.

Those networks that represent communities key to the dynamics of HIV transmission are particularly important, specifically in their involvement in decision-making and programming around HIV. These communities commonly experience high levels of stigma and discrimination, are routinely denied services, and are disproportionately infected with and affected by HIV. The Alliance uses the term 'key populations' to refer collectively to sex workers, gay and other men who have sex with men, and injecting drug users, because these groups are significant for two reasons. They are key to patterns of HIV transmission and to preventing and mitigating the impact of HIV and AIDS. It is anticipated that this toolkit will be of particular use to these networks of key populations.

Networks are traditionally supported by donors and NGO support organisations through a mix of restricted project-based funding, advocacy and profile-raising opportunities. Such support often allows only limited opportunities for networks to develop their own institutional capacity. This is partly due to a limited understanding of the structures, systems and resources that are important if networks are to meet their objectives in a sustainable manner.

The intention of this toolkit is to contribute to a better understanding of what makes for successful, well-functioning networks, and to the development of methodologies for analysing and building their capacity.

How can this toolkit be used?

This toolkit is the third in a series of civil society focused capacity analysis toolkits produced by the Alliance with the support of USAID and The Bill and Melinda Gates Foundation. The first two toolkits are specific to community-based organisations (CBOs) and to non-governmental organisations (NGOs). They are available to order and download from: **www.aidsalliance.org/publications**

In order to respond to the different needs and situations of networks, this network capacity analysis toolkit has been produced as two separate publications. The first is a detailed **workshop facilitation guide,** and the second, a **rapid assessment guide**. As a general rule, the workshop facilitation guide can be used, where resources and aspiration allow, to structure, deliver and report on a two- to three-day workshop. Alternatively, the rapid guide can be used to plan, steer and collect outcomes of a meeting or teleconference where, due to specific needs or limited resources, the aim is to do a more rapid capacity analysis.

What do the toolkits cover?

Capacity can be seen as a function of many different factors: individual capabilities, ways of organising, cultural norms and physical assets all combine to enable a network to work towards its mission. The toolkits emphasise the value of a variety of factors contributing to capacity, and identify six key areas that are particularly important to civil society networks engaged in HIV programming and policy work:

A Involvement and accountability
B Leadership
C Knowledge and skills
D Internal communication
E Advocacy, policy and external communication
F Management and finance

For the majority of networks, working in specific geographical areas or with specific key populations, all six areas of capacity will complement and reinforce each other, and together combine to enhance the sustainability, quality, integrity and impact of activities.

2 Which toolkit is the best for my network?

Rapid assessment guide	Workshop facilitation guide
➔ Can be used by all networks to understand what they are able to do well and what they need to do better.	➔ Can be used by all networks to understand what they are able to do well and what they need to do better.
➔ For use by new, local level and/or informal networks. It does not require high literacy levels.	➔ For use by new and established networks. It requires facilitation either by an internal staff member or by an external facilitator.
➔ Can be used during a meeting with a group from the network. The meeting would last approximately four hours.	➔ Involves an initial planning meeting followed by a workshop lasting roughly two to three days.
➔ Can also be used as a questionnaire for network leaders, staff, members, and others outside the network as appropriate. The questionnaire can be completed by one person interviewing another (face-to-face or over the telephone), or by an individual themselves.	➔ Uses a cross-section of staff from within the network to work through group exercises and then score each capacity area. Additionally, there is a selection of validation tools with external stakeholders using interview formats to validate results and gain a different perspective on the network.
➔ Has guidance notes to help networks through the process.	➔ Has detailed notes on conducting the group exercises, how to facilitate the workshop and how to conduct the external interviews.

3 Using the toolkit

This toolkit provides guidance and tools to help analyse the network's capacity. The sections are:

Section 3.1: **Defining the purpose of the capacity analysis –** Whether your network is planning to facilitate the analysis internally or to use external facilitators, an important first step is for the network leadership and facilitators to discuss and agree the purpose of the capacity analysis.

Section 3.2: **Planning the capacity analysis workshop –** You should clearly define the aim and scope of the capacity analysis from the outset. Staff and stakeholders should be involved in an initial meeting to clarify why capacity is being analysed, how the analysis will be done and how the results will be used.

Section 4: **Developing a profile –** A concise profile of the network may provide useful reference information. A profile template suggests key information that may be collected.

Section 5: **Workshop sessions –** Each session involves a discussion-based activity, followed by a group scoring exercise. Each area of capacity has an associated set of indicators that participants use to rate their own organisation's capacities.

Section 6: **External review –** Stakeholder organisations can provide valuable insights into whether internal perceptions of capacity are shared by those outside the network. This section provides thirteen sets of indicators designed for scoring by external stakeholders. It would be helpful to ask a variety of organisations to complete these to ensure a 360-degree view of the network; for example, NGO/CBO member organisations, other networks, and donors or organisations providing support to the network.

Section 7: **Document review –** An analysis of network documentation can provide objective evidence with which to verify discussion-based results. This section provides a template for reviewing the completeness and quality of relevant supporting documents.

Section 8: **Capacities report –** The analysis should generate rich discussion and much information about the network. The report template aims to capture these findings in detail, as well as the agreed action plan. This report could have many uses: to provide a baseline for evaluating future capacity development; to inform prospective donors; and as a valuable internal reference for the future.

➜ Aim

To hold a meeting to clarify why capacity is being analysed, how the analysis will be done and how the findings will be used.

3.1 Defining the purpose of the capacity analysis

➜ Introduction

The first stage is to hold a meeting to clarify why capacity is being analysed. Whether your network is planning to facilitate the analysis internally or to use external facilitators, an important first step is for the network leadership and facilitators to discuss and agree the purpose of the capacity analysis. You can then explain why the analysis is being conducted, and clarify the process. It is important to take as many opportunities as possible to ensure that everyone in the network feels happy, open and comfortable with the process.

➜ Guidance

You will need to discuss and decide the following:

1. What is the overall purpose of the capacity analysis and what specific objectives will it achieve? The purpose and objectives need to be agreed and documented so that they can be shared with the participants and facilitators.

   The purpose of the analysis could be:

   - to identify needs and plan capacity building
   - as an intervention in itself to help the network better understand capacity
   - to take a 'snapshot' of the organisation that can be used to mobilise technical and financial support for organisational development
   - a combination of the above and others.

2. Who will manage the process and facilitate the workshop? Will external facilitators be used?
3. How will the capacity analysis information help the network plan capacity building efforts in the future?
4. Should the capacity analysis information be used (as a baseline) to evaluate increase in capacity over time?
5. How will the capacity analysis report be used? You could use it to mobilise support from others to build the capacity of the network. It could also be a valuable way of showing the network's strengths to donors and other stakeholders.
6. What process and methods should be used? Discuss if and when you will:
   - develop an organisational profile
   - need to adapt the facilitation guide to suit your needs
   - conduct external interviews
   - review organisational documents using the checklist.

➜ Aim

To plan an effective capacity analysis workshop.

➜ Checklist of workshop materials

- ✔ Flipcharts, marker pens, sticky labels, Sticky-Stuff or Blu-Tack
- ✔ Flipchart showing the scoring scale 1 to 5 (see page 17)
- ✔ Handouts of each capacity area listing the indicators
- ✔ Visual aids or information to support the facilitation of participatory activities
- ✔ Equipment and capacity analysis report template (see page 62) for the documenter

3.2 Planning the capacity analysis workshop

➜ Introduction

The workshop brings together network representatives, including members, staff and leadership as relevant. Over three days, participants analyse how the network is working, what it is achieving, and allocate scores on a series of indicators relating to capacity. The sessions in the workshop are structured to allow individual perceptions to be compared with the collective opinion of participants.

➜ Instructions

The following steps should be discussed and planned with the leadership of the network and the workshop facilitators:

1 Arrangements

- Agree on a budget for the workshop and identify who will be responsible for financial management (agreeing expenditure, arranging reimbursements and allowances as necessary, etc.).
- Choose a date for the workshop. To analyse all areas of capacity suggested in this toolkit, as well as review key documents and conduct some interviews, you should allow three days for the workshop (see suggested timetable, page 7).
- Identify and book an appropriate venue that can comfortably accommodate the participants (decide whether they will have tables as well as chairs), facilitators (and their equipment), documenter (with a chair, table and power socket as necessary) and plenty of room for small group work (expect between two and four small groups) depending on the number of participants and how the participatory activities are organised. The ideal workshop room is quiet, temperature-controlled, has natural light, plenty of wall space for attaching flipcharts, power sockets, extra lighting and lots of space.
- Make arrangements for food and refreshments to be provided.
- Select and invite the facilitators, participants, documenter and translator well in advance of the workshop (see below). Make arrangements for the facilitators to have materials (access to a photocopier, flipchart paper and pens, etc.).
- Buy workshop materials such as flipchart paper, pens, sticky labels, Blu-Tack, Sticky-Stuff, etc.

2 Select and invite the participants

The activities described for this facilitation guide assume that all participants are from the same network. If more than one network is represented at the workshop, this will affect the selection of participants, instructions and time allocated for activities, as well as the number of facilitators, etc. A workshop for one network should include up to five participants from each of: a) the membership, b) the staff, c) the leadership and d) the Board. For an effective workshop, aim for between 8 and 20 participants. Ensure that there is full representation based on gender, geography, and other issues relevant to the network (e.g., sexuality, those infected and affected by HIV, those representing local and national levels, etc.). Make sure that enough participants are involved to adequately represent different perspectives.

➜ Suggested timetable

The sessions are intended to be flexible, and may vary in length depending on the size and complexity of the network. It may be possible to complete the whole analysis in two or two and a half days. Where more than one network is invited, or where translation is required, it may take a full three days to run the workshop.

Day 1

09.00 –10.30	Introduction to the capacity analysis workshop
10.30 – 11.00	Tea break
11.00 – 13.00	Involvement and accountability
13.00 – 14.00	Lunch
14.00 – 16.00	Leadership
16.00 – 16.30	Tea break and networking time

Day 2

09.00 – 10.30	Knowledge and skills
10.30 – 11.00	Tea break
11.00 – 13.00	Internal communication
13.00 – 14.00	Lunch
14.00 – 16.00	Advocacy, policy and external communication
16.00 – 16.30	Tea break and networking time

Day 3

09.00 – 10.30	Management and finance
10.30 – 11.00	Tea break
11.00 – 12.00	Management and finance
12.00 – 13.00	Anything to add?
13.00 – 14.00	Lunch
14.00 – 16.30	Review and plan for action
16.30	Close

Note that the external interviews and workshop debrief will need to be scheduled. The external interviews can be carried out prior to the workshop or at the end of the workshop day. The workshop debrief needs to be scheduled as soon as possible after the workshop to utilise the time of the facilitator(s) and documenter.

Also make sure that the participants are well briefed with a written invitation, including workshop dates, venue, travel arrangements, travel expenses and reimbursement, daily allowance, summary of workshop purpose, expected outcomes, who will see the capacity analysis report, who will facilitate, expectations of participants (length of working day, full and active participation each day), etc. Include any necessary clarifications. For example, if participants are invited to share the perspectives from the local level of a national network, make sure it is understood that the network will be analysed as a whole and not their local networking activities in isolation.

3 Select and invite the facilitators and documenter (and translator, if necessary)

Facilitators

- You can choose internal or external facilitators for your capacity analysis workshop.
- Two facilitators are recommended, but one would be adequate as long as a back-up facilitator was prepared and available in case of emergency.
- They need to be experienced in participatory methods, be familiar with organisational development terminology, be sensitive to issues affecting network members (sickness, weak literacy skills, need for translation, etc.), and have some understanding of how networks function.
- They should meet before the workshop to liaise with the network leadership, documenter and translator, as necessary.
- They need to get to know each other and agree on a way of working, familiarise themselves with this facilitation guide and make any necessary adaptations, read the network organisation profile, allocate responsibilities, prepare materials and visit the venue.

Documenter and translator

- The documenter can be external or internal to the network.
- He or she must be able to understand the outputs they are required to produce and be confident to take responsibility for developing these outputs.
- He or she should be well briefed (see Section 8, Documenting a capacity analysis workshop report), given appropriate resources for the task, and be well positioned in the venue to see and hear what is happening.
- He or she should be seen as part of the facilitation team. The facilitators should take responsibility for generating clear conclusions for the documenter to record.
- A translator should be used as appropriate. Translation issues should be discussed with the facilitators and documenter prior to the workshop.

4 Developing a profile of the network

➜ Aim

To document information about the history, scale and work of the network for use by the workshop facilitators and inclusion in the capacity analysis report.

➜ Introduction

If the analysis is being conducted by external facilitators, it is vital that they meet with the network's leaders to access all relevant background information. Developing a profile of the network includes documenting its background, detailing its main activities, and highlighting some key achievements and challenges. It can provide vital information and future reference for the facilitators of the workshop as well as other future providers of technical support.

A good understanding of the network will help the facilitation team to ask relevant, probing and sensitive questions during the assessment process. This will, in turn, help the network to find out more about itself. If the analysis is being conducted internally, it may also be worth developing an organisational profile, as this will provide valuable information for the capacity analysis report.

Use the checklist on the next page to document the profile of the network. Answer questions as fully as possible, with examples and quotes if possible. If there is not enough space, additional information should be documented separately. The information asked for should be viewed as a checklist, so not all questions in the checklist may apply to your network.

Often it is most useful for someone from within the network leadership to complete the organisational profile before the workshop. This gives the facilitator time to absorb the information, clarify any points and ask follow-up questions. The organisational profile should be checked by someone else within the network before it is considered final. An external facilitator may be interested to see some of the network's key documents, such as a strategic plan or donor report.

CHECKLIST FOR A NETWORK ORGANISATIONAL PROFILE

1. Name/title of the network
Include the full title of the network and its abbreviation if there is one, e.g. National Forum of Networks of People Living with HIV/AIDS in Uganda (NAFOPHANU).

2. When the network was established

3. Contact details of the network
Include the name of the network leadership (e.g. Executive Director/Co-ordinator and Chair of the Board) and all the contact details for the network (physical address, postal address, telephone/fax numbers and email, if relevant).

4. Location
Include the main office location and network chapter[1] locations, if relevant. If the offices are hosted by other institutions, give details.

5. Network strategy and structure
The network vision, mission (or statement of purpose) and objectives (if developed); basic organisational structure (e.g. whether there is a Board of Trustees); management structure, any member committees or external advisory groups, etc.

6. Network beneficiaries
Who does the network aim to benefit? Include criteria for network membership (current or recovering intravenous drug users) and other beneficiaries of network activities.

7. Human resources
Number of full-/part-time paid staff (specify how many are also network members). Number of full-/part-time unpaid staff (specify how many are also network members). Number of network members.

8. Financial resources
Approximate annual income/turnover; list major donors.

9. Support
Who does the network receive technical support from?

10. Overview of activities
Who does the network work with and who does it try to influence? What is the focus of its activities?

11. Project activities
Activities carried out, and details, e.g. if the activity is advocacy, who was involved in the planning, who was the target, what action was taken and how often, etc.

For example:
Advocacy for improved access to care, collaborating with the Human Rights Consortium, to influence the Ministry of Health and overseas donors. Activities were planned during a network meeting between the network co-ordinator and key network staff and members held during the 2006 ICASO conference. Activities from March to December 2006 included media campaigns (radio and print), lobbying MPs, and international email bulletins (SAfAIDS, Communication Initiative and STOP AIDS). Activities were implemented by the network co-ordinator, policy officer and two network members.

12. Key achievements
What are the network's key successes?

13. Main challenges
What has the network found difficult or challenging? What are the main problems and issues that it faces?

14. Lessons learned
What would the network do differently or the same, based on its experiences?

15. Future plans
What are the future directions of the network? Include any plans to scale up activities by expanding coverage or addressing new issues.

16. Date and name of person completing the profile
Include the date the network profile was written and who by. This is useful so that others know how up-to-date the information is and who to contact for any clarifications.

[1]A chapter refers to a district or local-level part of a national network.

Developing a profile of the network

1. Name/title of the network

2. When established

When was the network set up?

When was the network legally registered (if relevant)?

3. Contact details of the network

4. Location

Where is the network leadership based?

What geographical area does the network try to cover?

5. Network strategy and structure

The network vision, mission (or statement of purpose) and objectives (if developed); basic organisational structure (e.g. whether there is a Board of Trustees); management structure, any member committees or external advisory groups, etc.

6. Network beneficiaries

Who does the network aim to benefit? Include criteria for network membership (current or recovering intravenous drug users) and other beneficiaries of network activities.

7. Human resources

Number of full-/part-time paid staff (specify how many are also network members). Number of full-/part-time unpaid staff (specify how many are also network members). Number of network members.

8. Financial resources

Approximate annual income/turnover; list major donors.

9. Support

Who does the network receive technical support from?

10. Overview of activities

Who does the network work with and who does it try to influence? What is the focus of its activities?

11. Project activities

Activities carried out, and details.

12. Key achievements

What are the network's key successes?

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What has the network found difficult or challenging? What are the main problems and issues that it faces?

14. Lessons learned

What would the network do differently or the same, based on its experiences?

15. Future plans

What are the future directions of the network? Include any plans to scale up activities by expanding coverage or addressing new issues.

16. Date and name of person completing the profile

/ /

INTRODUCTION TO CAPACITY ANLAYSIS

➜ Aim

To discuss the workshop aims, objectives, expectations, ground rules, agenda and timetable with the participants and introduce them to the concept of capacity and the way it will be analysed during the workshop.

➜ Time

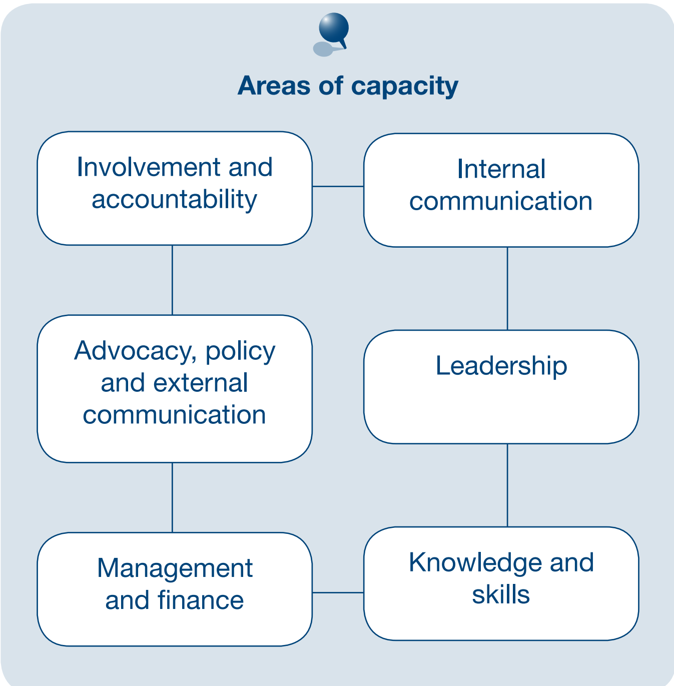
1 hour 30 minutes

➜ Introduction

The main focus of the session is to introduce participants to the concept of capacity. They need to understand how different types of capacity are relevant for their network, and be clear about how these will be analysed during the workshop. This is particularly important, as participants will be from different backgrounds. They may have different perspectives and experiences, and this may be the first time they have been asked to discuss them openly in front of the network's leadership.

➜ Instructions

1 Before the workshop, prepare a flipchart with the purpose and objectives of the capacity analysis workshop, and a diagram of the areas of capacity.



2 Start by asking participants to introduce themselves and say what their expectations are. Discuss the purpose and objectives of the workshop, ground rules and confidentiality issues. Remind participants representing local-level networks or chapters within a national network that the activities will not focus on their local capacity in isolation, but the national network as a whole.

3 Ask participants what they understand by the word 'capacity'. Ask them to write the main areas of capacity for a network on separate sticky labels, stick these up on a wall and then work together to group the labels into categories. Remind participants that the focus is on the network and not just local-level capacity.

4 Show the flipchart with the areas of network capacity and discuss their meaning and relevance for the group.

5 Compare these categories to the participants' responses:
- Did the participants suggest any capacities that do not fit into any of the boxes? Discuss if and how these areas of capacity could be assessed for the network. (Note: this could be done in the final session of the programme.)
- Do any of the boxes show capacities that were not suggested?

6 Display and explain the workshop timetable and structure of the sessions (covering each area of capacity, developing an action plan and debriefing on the workshop).

7 Explain how each session will work:
- activity to explore relevant information
- individual scoring of indicators
- group scoring of indicators.

8 Introduce the scoring system to the participants (see page 17). Either practise an example or leave extra time during session 5.2 to explain the scoring system again and check that participants understand how the indicators should be scored.

9 Explain how the results will be recorded and who will receive the results.

10 Explain that capacity building action plans will be developed at the end of the workshop. The outputs of the workshop activities will be used to inform this planning.

11 Ask permission for photographs to be taken and published. Note which individuals do not give permission.

GUIDANCE FOR SCORING INDICATORS

1 Discuss the indicator to make sure participants understand it.

2 Each participant should individually score the capacity of their network (without discussion) using a 1-5 ranking as follows:

1	2	3	4	5
very poor	poor	average	good	very good

In cases where there is a clear yes or no answer, then 1 should be used as 'no' and 5 used as 'yes'.

3 Each participant should write the score on the back of a sticky label. These labels act like votes, with each participant's recommended score for the indicator.

4 After all scores have been written, collect all the labels.

5 On a flipchart draw a scale of 1-5 and indicate how many votes there are for each score by sticking the labels up next to the corresponding score. Do not stick any labels up until all have been collected. By writing on the back of the sticky labels the handwriting is not revealed, thereby maintaining confidentiality.

6 Looking at the individual votes, the group should decide on a collective score. The most common score may be the obvious score, but if there is a lot of variation this might require some discussion.

7 Here is one way to facilitate discussion to reach collective agreement:
   1 Ask one volunteer who scored high to explain their reasons.
   2 Then ask one volunteer who scored low to explain their reasons. Challenge each other and discuss!
   3 Now see if people have changed their minds after listening to these arguments.
   4 As a last resort, vote again, and use the score with the most votes.

8 **No half-marks allowed! –** this is an easy compromise that might prevent some valuable discussions over disagreements.

9 Repeat this process for all indicators.

10 Finally, review all the scores for the group of indicators and identify the most common score. This is the summary score for this capacity area.

11 The documenter should record the individual scoring and group scoring for each indicator, and then the final summary score for each group of indicators. He or she should highlight where there is agreement between the individual scores and group scores for each indicator and write notes from the discussion to document any important issues that emerge. Once the summary score is recorded, the documenter should highlight any indicators that score higher or lower than the summary score and include any key issues that are important to reflect the capacity of the network.

➜ Facilitators' notes

- Remind participants that they need to be honest and realistic. The capacity assessment process is committed to strengthening weak areas; thus low scoring is not 'bad', but reflects areas the organisation needs to develop in the future.
- Explain that many indicators include the phrase 'Network leadership and staff'. 'Leadership' means people with leadership roles at all levels within the network, and 'staff' means any paid or unpaid workers with specific, clearly articulated roles within the network.
- The indicators refer to 'members'. Members are individuals that are 'signed up' members of the network, whether active or inactive. It is assumed that members are also beneficiaries of its work and that they are able to informally represent the views of most of the network's intended beneficiaries. If this is not the case, then reference to the network's beneficiaries may need to be included among the indicators or as separate indicators.

INVOLVEMENT AND ACCOUNTABILITY

➜ Time

2 hours

➜ Introduction

Involvement means taking an active part in a group's processes and activities. There isn't a correct level of involvement for a member of a network; this will depend on many factors, including how much free time he or she has, their skills, motivation, knowledge and confidence. The active involvement of a core group of members is important for most networks, as they do not have many paid staff. Involvement from the network membership also ensures that the network addresses real needs and that network activities are carried out at all levels across all geographical areas.

Accountability means having to report, explain and justify how you carried out a task after an event and being subject to sanctions. It means understanding who the network exists to support and being committed to serving their needs above all others, and in a transparent way. This means being able to identify the needs of the network beneficiaries (usually represented by network members), provide input into planned activities and demonstrate eventual impact.

Networks that are accountable are more likely to have the active involvement of beneficiaries (primarily their members), which, in turn, allows the network to be accountable. This is a reciprocal relationship that should be protected, because once the circle of reciprocity is broken it can be one of the hardest problems to fix.

➜ Instructions

1. Facilitate a brainstorm of the meaning of 'involvement' and 'accountability' in relation to network members (and beneficiaries, if these are different). Ask why they are important for networks of populations key to the epidemic.
2. Ask participants whether the network monitors the involvement of its members and its accountability. If yes, then allow time for methods and findings to be shared and proceed directly to scoring the indicators. If not, then continue with instruction 3.
3. Explain that participants will work on activities in small groups of approximately six people.

   Half the participants will:

   develop a 'layers of involvement' diagram. Show the participants the example on the next page. Ask the group to define the different layers of involvement for their network. Then ask them to assign a percentage of the membership that is involved at each level. Discuss how the members can, or should, be encouraged to be more actively involved in network activities and processes.

   The other half will:

   explore how accountability is achieved within the network. Ask participants to draw a diagram of an ideal accountable network. Ask them to make sure that their diagram shows how accountability is achieved by indicating how members are involved in decision-making, how the network staff or activity leaders share successes and lessons learned, etc. Once the ideal diagram has been developed, ask the participants to create another diagram, which shows the situation in their own network. If time permits, the participants can discuss aspects of their network that need to be strengthened to improve accountability.
4. Divide the group of participants into half. Divide each half into smaller groups of approximately six people, if necessary. Assign one of the above activities to each group to complete.
5. Ask group representatives to share their work and encourage feedback.
6. Distribute and score the indicators for this capacity area (see Guidance for scoring indicators, page 17).

➜ Facilitators' notes

- For instruction 2, you may prefer to use the definitions suggested in the brainstorm and then ask the participants if they are useful or they would like to make changes.
- For instruction 5, make sure each group is supported by a facilitator or nominated participant with strong facilitation skills. Check that each group has understood the activity before they begin.

LAYERS OF INVOLVEMENT

This is a simple way of defining how many 'layers' of involvement your network has, and seeing how members participate in the network. The idea is not to judge members, but to understand that people are involved in different ways. It may help to keep the diagram simple – three to five layers is probably enough.

For example, a lobbying organisation used the following numbered participation levels for its evaluation:

1 (Inner circle)
Very regular, shared communication and debate/discussion, and input. Part of the decision-making process. Trusted. Has regular dialogue with own government.

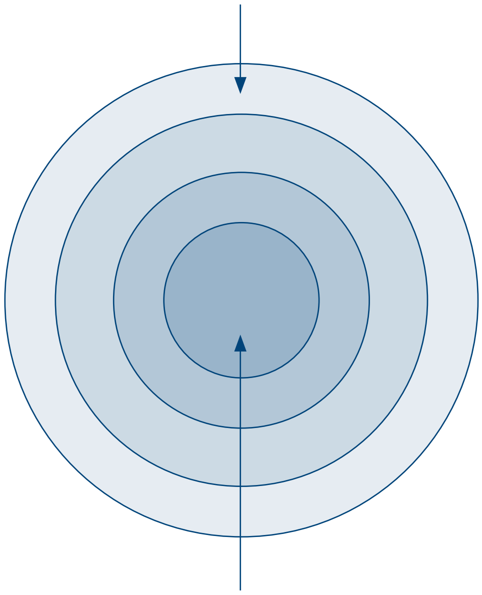
2 (Second layer)
Regular communication/input, active with own government, trusted but not party to confidential information.

3 (Third layer)
Regular sharing of communication both ways. Active on appeals.

4 (Fourth layer)
Share information.

5 (Outer ring)
Recipient of information.

The outer ring indicates a more remote and less involved relationship with the network.



The inner circle indicates a more active and involved relationship.

Scoring indicator 2.1 Involvement

Indicator	Score
The network has systems in place that allow all members to be involved in network activities and processes	
The network leadership and staff encourage the involvement of members in network activities and processes	
Members know how they can be involved in network activities and processes	
The network leadership and staff are aware of the factors that limit members' ability to be involved in network activities and processes	
The network leadership and staff have taken active steps to overcome factors that limit members' ability to be involved in network activities and processes	
Summary score	

Scoring indicator 2.2 Accountability

Indicator	Score
The network strategic plan clearly identifies the network's priority beneficiaries (usually the members and those in the community represented by the members)	
The network strategic plan is developed utilising processes that represent the views of beneficiaries	
Policy and procedure documents and monitoring and evaluation reports are shared with the Board, staff and membership (and beneficiaries, if different) and input is encouraged	
Procedures for ensuring accountability to the membership (and beneficiaries, if different) are clearly documented and disseminated	
Actively involved members are invited to attend the network's annual general meeting or other annual review meeting	
Summary score	

LEADERSHIP

➜ Time

2 hours

➜ Introduction

The network's leadership are the people that have been given responsibility for ensuring its success in line with its purpose. Key leadership roles and responsibilities include:

- ensuring that the network has a clear strategy, plans and resources to achieve this strategy
- managing other network staff and involving the membership
- ensuring effective internal and external communication and information sharing
- monitoring and evaluating the network's processes and impact.

An effective network leader typically has the following characteristics:

- modest and able to accept when wrong
- interested and respectful of the opinions of others
- patient, honest, positive thinking and unbiased
- dynamic, knowledgeable and confident
- determined and likeable.

An ideal network leader typically has the following skills:

- effective communication (good at negotiating, listening, motivating, representing, writing and documenting for different audiences)
- advocacy
- research (knowing how to gather information and how to analyse it to generate knowledge)
- consultation and participatory learning
- decision-making
- strategising (analysing the broader environment and identifying opportunities)
- resource mobilisation and management (fundraising, mobilising people to support the network, accessing material goods, asset management, etc.)
- conflict management (preventing and solving disputes)
- training and mentoring
- use of communications technology (phones, fax, computers, etc.)

The leadership of a network is often associated with the senior staff (such as the network co-ordinator) or the chair of the Board. In reality, the leadership rarely falls into the hands of one person. Different people will manage different networking tasks. For example, in formalised networks, the strategic direction will be led by the Board; co-ordination of activities and communication will be led by the network co-ordinator or senior staff person; specific network activities may be led by anyone within the network who has been delegated this responsibility; and there are layers of leadership co-ordinating network activities and processes at the local level.

➜ Instructions

1. Introduce the topic of leadership using the introduction. What does it mean and why might it be important for networks of populations key to the epidemic?
2. In small groups or in plenary, ask the participants to list the ideal characteristics (such as patience) and skills (such as decision-making) of network leaders.
3. Share the group work if necessary.
4. Ask the participants to identify who is included in the leadership of their network, and then identify their strengths and weaknesses using the lists from the introduction or those generated by the participants. Write the ideas on a flipchart.
5. Distribute and score the indicators for this capacity area (see Guidance for scoring indicators, page 17).

Scoring indicator 3.1 Leadership

Indicator	Score
The network leadership understand their different roles and responsibilities	
The network leadership consult others when they should do so	
The network leadership delegate appropriate tasks	
The network leadership provide adequate training and mentoring to ensure effective leadership throughout the network structure	
The network leadership have strong communication skills (for internal and external communication)	
The network leadership ensure the effective development of the network's strategy and action plans	
The network leadership motivate members to be involved and contribute to network activities	
The network leadership manage the network's resources effectively (including human resources)	
Summary score	

KNOWLEDGE AND SKILLS

➜ Time

1 hour 30 minutes

➜ Introduction

There will be a wide range of knowledge and skills within the network leadership, staff and membership. Different knowledge and skills are needed by individuals with different roles and responsibilities. With limited paid staff, the network needs to make sure that the knowledge and skills that exist throughout the network are put to good use, shared and kept up-to-date.

The network therefore needs to:

- know what knowledge and skills it needs
- know what knowledge and skills exist
- make sure that the existing knowledge and skills are used
- make sure that knowledge and skills gaps are addressed.

Key individuals within the network need to be knowledgeable on issues of interest to the network (for example, free medical services available to sex workers). This knowledge may come from shared ideas and experiences within the network or from external sources. It is important that knowledge is regularly updated so that the most recent evidence or information can be provided.

The skills of the network leadership, staff and members also need to be known, utilised and strengthened so that the network can perform to the best of its ability. Skills training can be provided by those within and outside the network.

➜ Instructions

1 Introduce the topic of network knowledge and skills using the introduction.

2 Facilitate a discussion with the participants about knowledge in their network:
   - *What knowledge does the network need to be effective?*
   - *How can the network access or generate the knowledge it needs?*
   - *Do the network leadership and staff use these approaches to keep their knowledge up-to-date?*

   Collect ideas from the participants and write them on a piece of flipchart paper.

3 Explain that participants will work in small groups to answer the following two questions and then share their ideas:
   - *What realistic, practical steps can a network take to find out what skills members have that could be useful to the network?*
   - *How can a network ensure that the skills of members are used for the benefit of the network?*

4 Divide the participants into small groups of no more than six and ask them to answer the above questions. Make sure a facilitator is nominated to lead the group.

5 Bring the groups back together. Ask one group with strong activity outputs to present their work and then ask the other group members to add any additional ideas. Facilitate a brief discussion as necessary.

6 Distribute and score the indicators for this capacity area (see Guidance for scoring indicators, page 17).

Scoring indicator 4.1 Knowledge

Indicator	Score
The network leadership and staff know what up-to-date knowledge is needed for the network to be effective	
The network leadership and staff access appropriate knowledge (from within and outside the network) regularly enough to keep the network up-to-date	
The network leadership and staff have absorbed adequate up-to-date knowledge to run the network successfully	
The network leadership and staff share knowledge regularly enough to keep the network membership up-to-date	
The network leadership and staff regularly collect information and knowledge from members at least four times a year	
The network leadership and staff regularly share information and knowledge with members at least four times a year	
Summary score	

Scoring indicator 4.2 Skills

Indicator	Score
At least once a year, the network reviews which skills are needed for the network to function	
At least once a year, the network reviews which skills need strengthening for the network to function	
The network leadership have good skills for networking*	
The network leadership and staff regularly identify the relevant skills of members	
The network leadership and staff proactively motivate members to share their skills with the network**	
The network leadership and staff proactively utilise members' skills**	
The network provides at least one specific opportunity a year for the Board, staff and members to share skills	
The network organises external trainers to strengthen the skills of the leadership, staff and members as necessary for the success of the network***	
Summary score	

* Use the results of the skills assessment activity from session 4, step 3 to score this indicator.

** 'Proactively' means taking the time and energy to make something happen rather than only responding to a situation once it arises.

*** Make sure the score reflects the needs of the network and not what individuals within the network would like for their own benefit.

INTERNAL COMMUNICATION

➜ Time

2 hours

➜ Introduction

Internal communication is a vital capacity for a network. It is crucial for the network to be able to co-ordinate its activities, monitor and evaluate its work, build solidarity among members, co-ordinate resources, and share information, knowledge and experience.

In many cases, network members are geographically dispersed and have poor access to communications technology. This means the network must have a clear plan for how everyone will communicate with each other – management, staff and members.

Communications technology includes landline telephones, mobile phones, fax, computers, email, postal service, etc. The communications technology used will vary depending on the needs of the network, cost, skills and the infrastructure in each location. Hazards and problems relating to the use of communications technology need to be addressed so that communication can be consistent; for example, power cuts and power surges, erratic internet service, computer viruses, maintenance of technology, theft, etc.

Face-to-face communication can be enormously beneficial to a network. Networks need to consider cost-effectiveness, issues of confidentiality and, for some populations key to the epidemic, the risks of exposure to the police.

➜ Instructions

1 Ask the participants to brainstorm the different types of communications technology that are useful for internal communication. List the ideas on a flipchart.

2 Facilitate a discussion about what kind of communication needs to take place between who within the network.

3 Ask the participants to identify the skills, attitudes and processes needed for internal communication to be a success. Ask them to work in pairs for this. Each pair should address either skills, attitudes or processes.

4 Invite the pairs to share their ideas and collect them on a flipchart.

5 Explain to the participants that they will now complete a SWOT analysis (strengths, weaknesses, opportunities and threats) of their internal communications capacity. The analysis should include the perspective of everyone involved in the network; for example, local-level members, local leaders, national-level leadership and staff, Board/advisory committee, etc. The results of instructions 1 and 4 should be available to help the group with this work.

6 Make the following guidance available to the participants:

A **SWOT** analysis helps us to consider ourselves (internal) and our environment (external).

Strengths refers to the network's own strengths concerning effective internal communication.

Weaknesses refers to the network's own weaknesses concerning effective internal communication.

Opportunities refers to the opportunities outside the network concerning effective internal communication.

Threats refers to the opportunities outside the network concerning effective internal communication.

7 Develop the SWOT analysis with the participants in a plenary session.

8 Distribute and score the indicators for this capacity area privately and collectively (see Guidance for scoring indicators, page 17). Remind participants that the 'leadership' includes leaders at all levels of the network, and 'staff' includes paid or unpaid individuals with specific roles at all levels.

➜ Facilitators' notes

- Before the activity begins, make a flipchart of the guidance included in instruction 6.
- If instructions 1-4 generate thorough outputs and good discussions (or if time is short), the SWOT analysis may not be needed and participants can move on to scoring the indicators.

Scoring indicator 5.1 Communications technology

Indicator	Score
The network leadership and staff have adequate communications technology to process information and communicate with members	
The network leadership and staff have adequate skills to use the communications technology effectively	
The network leadership and staff have planned for the hazards and problems associated with using communications technology	
The network uses appropriate communications technology which encourages, rather than discourages, members' involvement	
Resources for communications technology are used in the most effective way to achieve the network's overall purpose	
Summary score	

Scoring indicator 5.2 Internal communication

Indicator	Score
The network leadership and staff are motivated to ensure that internal communication is as effective as possible	
The network has addressed, as far as possible, the difficulties of information sharing across distances, languages and differing literacy levels	
The network uses internal communication mechanisms and procedures that define what should be communicated, when, how and to whom	
The network leadership and staff have adequate skills to facilitate internal communication and motivate others to communicate	
The network members are motivated to share information with other members, leadership and staff	
Summary score	

ADVOCACY, POLICY AND EXTERNAL COMMUNICATION

➜ Time

2 hours

➜ Introduction

Advocacy is a process of influencing people in positions of power (be they individuals, groups or institutions) to bring about change in policies, laws and practices.

Advocacy and policy work allows networks of key populations to change their environment to bring improved access to services, greater possibilities for mutual support and self-help, opportunities to collaborate with others in society, and a reduction of stigma and discrimination.

Advocating on your own network's behalf can be particularly effective, as you know your own problems and needs. It is important for networks to make sure that they have processes to identify the real needs and problems their members face (and other potential beneficiaries), so that they can use this as evidence with which to influence the views and decisions of those in power.

External communication includes representing the network and exchanging information, knowledge and experience with those outside the network (including potential members, public, officials and other organisations). Representing the network means speaking or acting on behalf of the network leadership, staff and members.

External communication is linked to advocacy and policy work because the way the network leadership, staff and members relate to others affects how the network is perceived, and therefore how successful it can be. It is important that external communication is as professional as possible. This means being rational, listening to others, being clear and consistent in your messages, being approachable and presentable, and sharing information and ideas effectively.

➜ Instructions

1 Briefly discuss the meaning of advocacy, policy and external communication and why they might be important to networks of populations key to the epidemic.

2 Explain that participants will work in two groups. One will focus on advocacy and policy and the other on external communication.

3 Ask the first group to think about a specific advocacy or policy action implemented by the network. Ask the group to draw a diagram, picture or poster showing what went well, what did not, and why. Ask the groups to analyse all three of the following aspects of their advocacy or policy action: research about the issue, planning the action, and implementation.

4 Ask the second group to create a graph of the highs (good external communication) and lows (poor external communication) of the network's external communication. The group should identify real events over time that caused these highs and lows and write them on the graph.

5 Ask a representative from each group to present their work.

6 Distribute and score the indicators for this capacity area (see Guidance for scoring indicators, page 17, as necessary).

➜ Facilitators' notes

For instruction 4, the group can choose their own time period and way of presenting the information. The easiest way of presenting the information is to have a graph with the time along the bottom and highs and lows represented by the height of the graph. Then plot key events and label them – they can add details if they wish or just discuss the details in their group.

Scoring indicator 6.1 Advocacy and policy

Indicator	Score
The network has conducted at least one advocacy or policy action to change the attitude, policy or practices of an influential person or institution	
The network asks members to identify the problems and needs to be addressed through advocacy or policy work	
The network conducts adequate research to find evidence to support its advocacy and policy work	
The network targets its advocacy and policy work effectively to the audiences that are most likely to be able to effect change	
The network presents evidence in a consistent and relevant way for different target audiences	
The network uses appropriate methods to reach specific target audiences	
The network has adequate skilled individuals to carry out its advocacy and policy work	
The network works with other organisations to strengthen its advocacy and policy work where appropriate	
The network evaluates the results of its advocacy and policy work to improve future work	
Summary score	

Scoring indicator 6.2 External communication

Indicator	Score
The network has a process for deciding which external audiences are a priority for external communication	
Relevant information is analysed and shared with external audiences in a timely and relevant way	
The network has an agreed way to decide who is appropriate to represent it* on different occasions	
The network leadership and staff represent the network in a professional** way	
The network members (excluding the leadership and staff) represent the network in a professional way	
Confidentiality is respected, including personal information, photographs and opinions	
Summary score	

* See definition of 'represent' in the introduction to this section.

** See definition of 'professional' in the introduction to this section.

MANAGEMENT AND FINANCE

➜ Time

2 hours 30 minutes

➜ Introduction

This session covers four major areas of management and finance, including:

- governance, strategy and structure
- activity management, monitoring and evaluation (M&E) and reporting
- financial management and sustainability
- administration and human resources.

Large, complex and formal networks will need more management and finance systems than smaller, newer or informal networks. All networks need an agreed strategic direction and purpose, roles and responsibilities, and effective management of resources.

➜ Instructions

1 Before the start of the activity, decide whether the participants' literacy levels are sufficient for them to complete this activity comfortably (if English is a second or third language, then this may be difficult). If you think they will not be able to complete it comfortably, then start at instruction 11. Some sections or indicators may need to be adapted to be relevant to the network being assessed. Adapt the time needed as necessary.

2 Prepare an example scoring scale, and print out and cut into strips the discussion statements on pages 34-37.

3 Introduce the term 'organisational capacity'. Discuss what it means and why it might be important.

4 Divide participants into two groups, A and B. Try to include a balance of seniority and experience in each group.

5 Ask the main network leader and the person responsible for administration of the network (if separate) not to participate but be available as a resource person.

6 Ask each group to take a flipchart sheet and draw lines to split it into three columns, headed: 'Completely True', 'Partly True', 'Not True'.

7 Distribute the discussion statements to the groups:
- Give group A the discussion statements: governance, strategy and structure.
- Give group B the discussion statements: activity management, monitoring and evaluation.

8 Ask the groups to discuss each statement and stick it in the relevant column of the flipchart. Ask them to discuss the reasons why a statement may be only partly true or not true so they can identify what they need to address in the future.

9 There may be areas where participants are unsure; for example, on the way the Board functions, compliance with local regulations, etc. Encourage them to consult with the network co-ordinator or other staff as necessary.

10 Bring everyone back together and ask each group to present their findings.

11 Distribute and score the indicators for these capacity areas (see Guidance for scoring indicators, page 17).

12 Now follow the same process for discussion statements: financial management and sustainability (one group) and discussion statements: administration and human resources (the other group), and distribute and score the indicators.

➜ Facilitators' notes

- If the workshop group is too small, or participants do not have enough knowledge or background to complete this exercise in small groups, this activity could be done with everyone together.
- The main network leader and the person responsible for administration should not participate in the groups, so that they can act as resource people to encourage open discussion without fear of criticising or offending anyone. They need to be available to both groups to answer any questions they might have.
- Often the participants may place statements in the 'Completely True' column without much thought – but facilitators should challenge the group to look carefully at the wording in the whole statement and consider whether it is, in fact, completely true. For example:

  Statement: All necessary activity reports are completed and sent to donors on time. Ask: *Do all necessary project reports always get completed? Do they always get to the donor on time?*

DISCUSSION STATEMENTS

Governance, strategy and structure

An independent Board (or committee or some other system) supervises the network leadership and takes responsibility for all actions of the network. There is a document to guide this supervision process	The network has a written and costed strategic plan that has been revised within the last three years
The Board has at least six voluntary (unpaid) members with limited terms of office (e.g. only appointed for two years)	All annual work plans and budgets are developed to match the strategic plan
The Board includes representatives from 'the community' that the network represents (e.g. the Board of a network of sex workers should include someone who is or has been a sex worker). No more than 75% of Board members are of one gender	The network has a documented organisational structure (organogram)
Board meetings take place at least every six months, with at least 70% of Board members attending. (Note: these meetings may be face-to-face or 'virtual', i.e. using communications technology)	The leadership delegate tasks and share information with everyone regularly and do not try to do everything themselves
Board members fundraise for the network and can provide legal, medical and management advice	The leadership share network policy documents, financial and narrative reports with members for validation
The network has a written and costed strategic plan that has been revised within the last three years	The network is properly registered according to local regulations. The Board and leadership ensure that the network complies with all local reporting, tax and labour requirements

DISCUSSION STATEMENTS

Activity management, monitoring and evaluation (M&E) and reporting

All activities follow all stages of the project cycle: • needs assessment • designing activities and developing indicators • planning activities and budgeting • regular monitoring • evaluation of activities and outcomes • revising activities based on evaluation outcomes. All stages of the project cycle include consultation with relevant network staff, members and external stakeholders (such as beneficiaries outside the membership, or other institutions)	The network has a monitoring and evaluation system: • network members collect and submit accurate monitoring data on time • collected data is collated, analysed and produced in reports at least every three months • monitoring reports are used by the network to review and update work plans at least every three months • the M&E system is clearly documented and functions fully.
Activities are developed in line with the network's strategic mission, goals and objectives	All necessary activity reports are completed and sent to donors on time
Indicators have been identified for each objective/ goal. All objectives are SMART (specific, measurable, achievable, relevant, time-based)	The network completes evaluation reports at the end of every activity and distributes these to relevant audiences, including management, the Board and donors
All activities are documented as part of the network work plan. These are reviewed and updated by network members, staff and leadership at least every three months	Activity reports are compared to financial expenditure reports to ensure that activities match with expenditure
All activities have documented budgets. These are reviewed against expenditure and updated every three months	Network members implementing activities together communicate at least once a week to review and co-ordinate work

DISCUSSION STATEMENTS

Financial management and sustainability

All financial transactions are recorded with relevant receipts and supporting documentation	The leadership compare expenditure against budgets for activities and overheads at least every three months and investigate any variances with staff
All staff clearly understand the procedures for how: • income is received and accounted for • money is held in bank accounts • goods are purchased • network members claim expenses • suppliers are paid • network staff are paid	An external audit is conducted at least every 18 months and includes a review of management practices. Recommendations made in audits are implemented
All these financial policies and procedures are documented in a manual	The network always has enough cash to pay for things on a day-to-day basis
Budget holders have been clearly identified for different areas of expenditure and are aware of their responsibilities	The network's main funder provides no more than 65% of its total funds. The network has many sources of income, including its members
The leadership prepare an overall budget for the network as part of the annual planning process	The network can develop successful proposals and wins over 50% of bids applied for
Systems are in place to prevent fraud, such as: • two signatures are required for every cheque • regular audits of stock/inventory take place • strict procedures are in place governing purchase of goods and services	The network tries to ensure that its activities and services can be sustained without external funding
All expenditure is accounted for under different account categories and different donors' funds	The network engages in external communication with beneficiaries, the media, other networks and coalitions of organisations
	Funders and external organisations invite the network to contribute to discussions and policy development

DISCUSSION STATEMENTS

Administration and human resources

It is clear who is responsible for administrative work, such as paperwork, office maintenance, transport, paying suppliers, organising events and workshops	All job descriptions are: • clearly defined • documented • regularly reviewed
All administrative procedures are documented in a manual	The differing roles and responsibilities of the Chair of the Board and the network co-ordinator are clearly described within the job descriptions
The procedures for administrative tasks are understood by everyone and always followed	There are clear procedures for: • how the work of staff (and members) is evaluated • how feedback is given. These procedures are documented
There is a policy for recruitment, including: • how positions are filled (internal and external candidates) • how people are interviewed • how job offers are made. This policy is documented	There are clear procedures for: • how staff and members are disciplined • how staff and members make grievances against the network. These procedures are documented
There is a policy on salaries and promotions, including: • how salaries are structured • how pay rises are given • how promotions are made. This policy is documented	There are clear procedures for how unpaid staff are managed, including: • recruitment and induction • training • payment of incentives/stipends • potential involvement in different aspects of network activities over time. These procedures are all documented

Scoring indicator 7.1 Governance, strategy and structure

Indicator	Score
The network is legally registered	
The network has a Board* and a document explaining its responsibilities and how it should be managed	
The Board* membership is diverse, representative, and has adequate knowledge, experience and skills to support those that lead the network	
The Board* is effective and committed to the network	
The network has a documented, up-to-date strategic plan, clearly understood by all staff and actively involved members	
The organisational structure is effective for delegating responsibility and sharing information between staff and members	
Summary score	

* If the network does not have a Board, decide prior to the capacity analysis workshop whether to replace this term with a more appropriate term, or whether to allow these indicators to score 1.

Scoring indicator 7.2 Activity management, monitoring and evaluation (M&E) and reporting

Indicator	Score
It is clear how all activities contribute to the network's strategic goals	
All activities are well planned, implemented and monitored	
All activities are included in a work plan and budget, which are regularly reviewed (at least every three months)	
The network has a fully documented M&E system	
Evidence is regularly collected to monitor all activities/objectives	
Monitoring reports and end-of-activity evaluation reports are always completed and sent to stakeholders and donors on time	
Learning from M&E work is used to strengthen future network activities	
Work is organised and information shared with necessary staff and members through regular meetings and/or other channels of communication	
Summary score	

Scoring indicator 7.3 Financial management and sustainability

Indicator	Score
All financial procedures are well documented	
There have been no cases of fraud or misuse of funds in the last two years	
It is clear who is responsible for budgets for different activities	
An annual budget is prepared for the network as a whole	
An audit is completed at least every 18 months by an independent organisation or donor	
The network accounts separately for funds from different donors	
The network has not run short of cash to pay suppliers or salaries in the last two years	
The network is financially sustainable with a diverse funding base	
Summary score	

Scoring indicator 7.4 Administration and human resources

Indicator	Score
Administrative responsibilities are well understood, documented and followed	
All procedures for managing the involvement of staff and members are well developed and documented	
All specific roles (paid or unpaid) have job descriptions that are documented, regularly reviewed and relevant to their actual work	
There is a documented system for managing the performance of staff and members with specific roles	
The network has an HIV and AIDS work-place policy	
The provision of skills training is based on the network's needs and time off, and financial support is provided	
The network has a procurement policy that is understood and followed	
Summary score	

ANYTHING TO ADD?

➜ Time

30 minutes

➜ Introduction

A quick activity at the end of the assessment to collect any thoughts that have not been raised elsewhere in the workshop.

➜ Instructions

1 Distribute two cards to each participant.

2 Ask each participant to take some time to think carefully and then write down two ideas they have about 'How to strengthen our network'. Ask them to write clear ideas using full sentences. Stress that they should be ideas that have not already been brought up during the workshop or that have been overlooked or under-considered. It should be made clear to the participants that their suggestions may be summarised, anonymously, in the final report on the workshop.

3 Once the participants have finished writing down their two ideas, collect the cards from the group. Shuffle the cards.

4 If you have time, read out the ideas but do not allow a discussion. Otherwise, hand the cards to the person responsible for writing the capacity analysis report.

REVIEW AND PLAN FOR ACTION

➜ Time

2 hours 30 minutes

➜ Introduction

A capacity assessment can only be useful if the network is genuinely committed to building on its strengths and tackling its weak areas. Developing an action plan together helps to share ideas for how to strengthen the network and gives the network leadership clear guidance.

➜ Instructions

1 Explain that the aim of this session is to review all the capacities that have been analysed, and develop plans to build capacity where gaps have been identified.

2 Hand out copies of the capacity indicators used during the workshop with the individual and group scores included. Ask each participant to mark one indicator, from each group of indicators, which they feel is the priority for further strengthening.

3 Calculate the most commonly identified indicator for each group of indicators. You should have 13 priority indicators to address in total.

4 Split the participants into small groups and ask them to develop a suggested capacity building action plan to strengthen the indicators allocated to their group. Give the following instructions to help them develop the action plan.

5 Draw the table below. Start by writing one indicator in the first column and then discuss the following questions, filling in the action plan as you progress:
   - *Why has this been identified as a weakness?*
   - *What action could be taken to strengthen the network in this area?*
   - *How urgent is it?*
   - *Who will take responsibility for this? Do they need external help, or is it something they can develop themselves?*
   - *Are there any resources that could help in this?*

6 Do the same with the remaining indicators.

7 Discuss what the next steps should be:
   - when the report will be written and how it will be distributed
   - if you plan to conduct any follow-up interviews with other stakeholders
   - how you will agree conclusions and the action plan with the network leadership
   - how to follow up on the actions agreed.

8 Ask participants:
   - *What have they found interesting or new in the workshop so far?*
   - *Has the workshop raised any issues or questions they want to follow up with each other, after the workshop*?

9 Thank the group for their participation.

➜ Facilitators' notes

Before the action planning, agree with the workshop organisers whether the participants' action plans will be used as suggestions for the network leadership and staff to consider, or whether they are concrete action plans that will be put in place if possible. Inform the participants of this decision prior to the action planning activity to prevent any misunderstanding.

Capacity building action plan – completed example

Indicator	**Need** Weakness identified	**What/How?** Action needed to strengthen weakness	**When?** Now/soon/ later	**Who?** On our own/with others	**Resources required**
The network has tried to find and network with other organisations to understand how it could collaborate or improve its advocacy campaign	The network has weak advocacy skills and yet has not worked with other institutions to implement its advocacy work	Need to assess which institutions might work with the network to implement advocacy work. Consultation with NGO consortium and Policy Project required	Decision to be made during the World AIDS Day Candle Light Meeting	Network co-ordinator to consult with the national NGO consortium and the Policy Project. Co-ordinator to make suggestions to the Executive Committee and membership	None

WORKSHOP DEBRIEF

➜ Time

2 hours

➜ Instructions

1 Plan a meeting with the network leadership, including the senior staff and representatives from the Board or Executive Committee.

2 Discuss any areas where they would disagree with the score decided in the workshop. Why do they disagree? Go through and discuss each indicator and record any differences in the report.

3 Discuss whether there are any parts of the capacity building action plan that they would change or disagree with. Why? These should also be recorded in the report.

4 Discuss any feelings or concerns on the overall process. Did they think it was useful?

5 Plan the next steps for the immediate future. Agree when the final report will be prepared to present back and sign-off (no later than two weeks after the workshop).

6 Conducting external interviews

➜ Introduction

The following questionnaire can be used to conduct external interviews to get a different perspective.

Select the interviewer and interviewees carefully. In many cases, the interviewer will have to explain terms and concepts that are only relevant for large and established networks. Make sure that the interviewer is equipped to do this and that the interviewees have adequate literacy levels to make the interview successful. The interviewees will need to know the network very well to be able to score many of the indicators.

When conducting interviews, it is important that the interviewer establishes a good trusting relationship with those being interviewed. Nascent networks will likely score quite low in many of the areas of capacity. It is important that the people being interviewed see this in the context of the needs of their particular network and its stage of development.

This questionnaire template should be used with the indicators for each capacity. For each indicator, ask the interviewee (or group) how they would score the network and ask them to give their reasons why. If the interviewee does not have enough information to assess the capacity of the network, then ‘N/K’, for ‘Not Known’, can be written in the score box.

CAPACITIES ANALYSIS QUESTIONNAIRE

Name of interviewee(s)

Job title and organisation of interviewee(s)

Interview conducted by

Date of the interview / /

Score guide
The network's capacity in relation to this indicator is:
In cases where there is a clear yes or no answer, then 1 should be used as 'no' and 5 used as 'yes'.

1	2	3	4	5
very poor	poor	average	good	very good

Score each indicator using the above system. Decide on a summary score for each group of indicators by selecting the most common score. Add any important comments.

Scoring indicator 2.1 Involvement

Indicator	Score
The network has systems in place that allow all members to be involved in network activities and processes	
The network leadership and staff encourage the involvement of members in network activities and processes	
Members know how they can be involved in network activities and processes	
The network leadership and staff are aware of the factors that limit members' ability to be involved in network activities and processes	
The network leadership and staff have taken active steps to overcome factors that limit members' ability to be involved in network activities and processes	
Summary score	
Comments	

Scoring indicator 2.2 Accountability

Indicator	Score
The network strategic plan clearly identifies the network's priority beneficiaries (usually the members and those in the community represented by the members)	
The network strategic plan is developed utilising processes that represent the views of beneficiaries	
Policy and procedure documents and monitoring and evaluation reports are shared with the Board, staff and membership (and beneficiaries, if different) and input is encouraged	
Procedures for ensuring accountability to the membership (and beneficiaries, if different) are clearly documented and disseminated	
Actively involved members are invited to attend the network's annual general meeting or other annual review meeting	
Summary score	

Comments

Scoring indicator 3.1 Leadership

Indicator	Score
The network leadership understand their different roles and responsibilities	
The network leadership consult others when they should do so	
The network leadership delegate appropriate tasks	
The network leadership provide adequate training and mentoring to ensure effective leadership throughout the network structure	
The network leadership have strong communication skills (for internal and external communication)	
The network leadership ensure the effective development of the network’s strategy and action plans	
The network leadership motivate members to be involved and contribute to network activities	
The network leadership manage the network’s resources effectively (including human resources)	
Summary score	

Comments

Scoring indicator 4.1 Knowledge

Indicator	Score
The network leadership and staff know what up-to-date knowledge is needed for the network to be effective	
The network leadership and staff access appropriate knowledge (from within and outside the network) regularly enough to keep the network up-to-date	
The network leadership and staff have absorbed adequate up-to-date knowledge to run the network successfully	
The network leadership and staff share knowledge regularly enough to keep the network membership up-to-date	
The network leadership and staff regularly collect information and knowledge from members at least four times a year	
The network leadership and staff regularly share information and knowledge with members at least four times a year	
Summary score	
Comments	

Scoring indicator 4.2 Skills

Indicator	Score
At least once a year, the network reviews which skills are needed for the network to function	
At least once a year, the network reviews which skills need strengthening for the network to function	
The network leadership have good skills for networking	
The network leadership and staff regularly identify the relevant skills of members	
The network leadership and staff proactively motivate members to share their skills with the network**	
The network leadership and staff proactively utilise members' skills	
The network provides at least one specific opportunity a year for the Board, staff and members to share skills	
The network organises external trainers to strengthen the skills of the leadership, staff and members as necessary for the success of the network	
Summary score	

Comments

Scoring indicator 5.1 Communications technology

Indicator	Score
The network leadership and staff have adequate communications technology to process information and communicate with members	
The network leadership and staff have adequate skills to use the communications technology effectively	
The network leadership and staff have planned for the hazards and problems associated with using communications technology	
The network uses appropriate communications technology which encourages, rather than discourages, members' involvement	
Resources for communications technology are used in the most effective way to achieve the network's overall purpose	
Summary score	

Comments

Scoring indicator 5.2 Internal communication

Indicator	Score
The network leadership and staff are motivated to ensure that internal communication is as effective as possible	
The network has addressed, as far as possible, the difficulties of information sharing across distances, languages and differing literacy levels	
The network uses internal communication mechanisms and procedures that define what should be communicated, when, how and to whom	
The network leadership and staff have adequate skills to facilitate internal communication and motivate others to communicate	
The network members are motivated to share information with other members, leadership and staff	
Summary score	

Comments

Scoring indicator 6.1 Advocacy and policy

Indicator	Score
The network has conducted at least one advocacy or policy action to change the attitude, policy or practices of an influential person or institution	
The network asks members to identify the problems and needs to be addressed through advocacy or policy work	
The network conducts adequate research to find evidence to support its advocacy and policy work	
The network targets its advocacy and policy work effectively to the audiences that are most likely to be able to effect change	
The network presents evidence in a consistent and relevant way for different target audiences	
The network uses appropriate methods to reach specific target audiences	
The network has adequate skilled individuals to carry out its advocacy and policy work	
The network works with other organisations to strengthen its advocacy and policy work where appropriate	
The network evaluates the results of its advocacy and policy work to improve future work	
Summary score	

Comments

Scoring indicator 6.2 External communication

Indicator	Score
The network has a process for deciding which external audiences are a priority for external communication	
Relevant information is analysed and shared with external audiences in a timely and relevant way	
The network has an agreed way to decide who is appropriate to represent it on different occasions	
The network leadership and staff represent the network in a professional way	
The network members (excluding the leadership and staff) represent the network in a professional way	
Confidentiality is respected, including personal information, photographs and opinions	
Summary score	

Comments

Scoring indicator 7.1 Governance, strategy and structure

Indicator	Score
The network is legally registered	
The network has a Board and a document explaining its responsibilities and how it should be managed	
The Board membership is diverse, representative, and has adequate knowledge, experience and skills to support those that lead the network	
The Board is effective and committed to the network	
The network has a documented, up-to-date strategic plan, clearly understood by all staff and actively involved members	
The organisational structure is effective for delegating responsibility and sharing information between staff and members	
Summary score	
Comments	

Scoring indicator 7.2 Activity management, monitoring and evaluation (M&E) and reporting

Indicator	Score
It is clear how all activities contribute to the network's strategic goals	
All activities are well planned, implemented and monitored	
All activities are included in a work plan and budget, which are regularly reviewed (at least every three months)	
The network has a fully documented M&E system	
Evidence is regularly collected to monitor all activities/objectives	
Monitoring reports and end-of-activity evaluation reports are always completed and sent to stakeholders and donors on time	
Learning from M&E work is used to strengthen future network activities	
Work is organised and information shared with necessary staff and members through regular meetings and/or other channels of communication	
Summary score	

Comments

Scoring indicator 7.3 Financial management and sustainability

Indicator	Score
All financial procedures are well documented	
There have been no cases of fraud or misuse of funds in the last two years	
It is clear who is responsible for budgets for different activities	
An annual budget is prepared for the network as a whole	
An audit is completed at least every 18 months by an independent organisation or donor	
The network accounts separately for funds from different donors	
The network has not run short of cash to pay suppliers or salaries in the last two years	
The network is financially sustainable with a diverse funding base	
Summary score	

Comments

Scoring indicator 7.4 Administration and human resources

Indicator	Score
Administrative responsibilities are well understood, documented and followed	
All procedures for managing the involvement of staff and members are well developed and documented	
All specific roles (paid or unpaid) have job descriptions that are documented, regularly reviewed and relevant to their actual work	
There is a documented system for managing the performance of staff and members with specific roles	
The network has an HIV and AIDS work-place policy	
The provision of skills training is based on the network's needs and time off, and financial support is provided	
The network has a procurement policy that is understood and followed	
Summary score	

Comments

7 Reviewing network documents

The aim of this exercise is to validate and check workshop findings by reviewing the completeness and quality of relevant documents. The checklist below can be used by the network to review its own documents or to prepare documents for review by facilitators. Not all of these documents may be held by the network or be easily available. Access to some documents may be limited or denied, as they are confidential. Documents might be reviewed for quality, completeness, how recently they have been reviewed or updated and how well they have been disseminated within the network. Space is provided to capture comments on each document.

DOCUMENT REVIEW

- [ ] Strategic plan or document stating the network's vision, mission, goals, objectives and values
- [ ] Organogram showing the network's structure and positions that are filled
- [ ] Constitution/by-laws of Board or management committee
- [ ] Fundraising strategy/action plan
- [ ] Sample job descriptions
- [ ] Volunteer policy/procedures
- [ ] HIV and AIDS work-place policy
- [ ] Human resources procedures manual
- [ ] Evidence of a salary system/volunteer expenses system
- [ ] Financial policies and procedures
- [ ] Annual audit report, quarterly and annual financial reports
- [ ] Monitoring/progress reports/evaluation reports
- [ ] Documented lessons learned for internal and/or external audiences
- [ ] Evidence of impact on policy through advocacy work
- [ ] Media coverage
- [ ] Evidence of a monitoring and evaluation system/ framework

8 Documenting a capacity analysis workshop report

The report should include the following:

- completed network organisational profile – pages 10-15
- completed capacity analysis report template – page 62
- results of the document review – page 60
- list of workshop participants, facilitators, documenter and translator, and their contact details
- workshop timetable.

A final interview with the Chair of the Board and/or co-ordinator of the network should clarify:

- Has capacity been reflected accurately in the report?
- How will the findings be shared with the rest of the staff?
- Do they want to share the report with other stakeholders (e.g. donors, Board, etc.)?
- What are the immediate next steps and actions, specifically:
  - *How will the capacity building action plan be finalised, implemented and monitored?*
  - *What assistance do they need to implement any action points?*
  - *What technical support can be offered?*

Any major changes should be written into the report. Otherwise, arrange for the report to be signed and returned by the Chair of the Board and/or co-ordinator of the network. Arrange for sufficient copies to be made available to the network.

CAPACITY ANALYSIS REPORT TEMPLATE

Network name, address, contact details

SECTION A: Approval and sign-off

This report has been written and prepared by
(Documenter's name)
Signed
Date / /

This report has been prepared on behalf of
(Person who 'employed' the documenter)
Signed
Date / /

This report has been reviewed and agreed by
(Network representative such as the Chair of the Board or network co-ordinator)
Signed
Date / /

SECTION B: Conclusions, recommendations and action plan

Overall conclusions, concerns and feedback from the leadership of the network (from the debrief meeting)

Facilitator's comments, recommendations for capacity building and actions to be taken (also use action plan on the next page)

Capacity building action plan

Indicator	**Need** Weakness identified	**What/How?** Action needed to strengthen weakness	**When?** Now/soon/later	**Who?** On our own/with others	Resources required

SECTION C: Summary capacity scores

Note: where external interviews were also conducted, add a column to collect these scores.

	Summary workshop individual scores	Summary workshop group scores	**Notes** (indicators that scored significantly higher or lower than the summary score; reasons for big differences between individual and group scores; issues raised during external interviews)
2.1 Involvement			
2.2 Accountability			

Summary score for Involvement and accountability
(To be completed by external facilitator based on all evidence gathered)

Comments/reason for recommended score/issues to follow up

3.1 Leadership			

Summary score for Leadership
(To be completed by external facilitator based on all evidence gathered)

Comments/reason for recommended score/issues to follow up

4.1 Knowledge			
4.2 Skills			

Summary score for Knowledge and skills
(To be completed by external facilitator based on all evidence gathered)

Comments/reason for recommended score/issues to follow up

5.1 Communications technology			

	Summary workshop individual scores	Summary workshop group scores	**Notes** (indicators that scored significantly higher or lower than the summary score; reasons for big differences between individual and group scores; issues raised during external interviews)
5.2 Internal communication			

Summary score for Internal communication
(To be completed by external facilitator based on all evidence gathered)

Comments/reason for recommended score/issues to follow up

6.1 Advocacy and policy			
6.2 External communication			

Summary score for Advocacy, policy and external communication
(To be completed by external facilitator based on all evidence gathered)

Comments/reason for recommended score/issues to follow up

7.1 Governance, strategy and structure			
7.2 Activity management, M&E and reporting			
7.3 Financial management and sustainability			
7.4 Administration and human resources			

Summary score for Management and finance
(To be completed by external facilitator based on all evidence gathered)

Comments/reason for recommended score/issues to follow up

SECTION D: Workshop narrative report*

Document notes on discussions that took place and information arising in each session

2. Involvement and accountability

Attach diagram of layers of involvement

Attach diagram of network accountability

Summary of interesting discussion points

3. Leadership

	Strengths	Weaknesses
List of leadership characteristics		
List of leadership skills		

Summary of interesting discussion points

4. Knowledge and skills

Attach answers to the discussion questions

* Where only interview(s) conducted, replace this section with completed interview questionnaire.

Summary of interesting discussion points

5. Internal communication

Attach lists of communications technology, skills, attitudes and processes

What communication needs to take place, and between whom

Summary of interesting discussion points

Strengths	Weaknesses
Opportunities	Threats

6. Advocacy, policy and external communication

Attach photographs or copies of the advocacy/policy diagrams and external communications graphs

Summary of interesting discussion points

7. Management and finance

7.1 Governance, strategy and structure – summary of interesting discussion points

7.2 Activity management, M&E and reporting – summary of interesting discussion points

7.3 Financial management and sustainability – summary of interesting discussion points

7.4 Administration and human resources – summary of interesting discussion points

Insert table of discussion statements, noting whether statements were agreed to be 'Completely True', 'Partly True' or 'Not True', and any additional comments.

Additional comments

9 Other capacity analysis resources

The Aspen Institute Rural Economic Policy Program (1996) *Measuring community capacity building – a workbook-in-progress for rural communities*

Brown, L. et al. (2001) *Measuring capacity building*, MEASURE Evaluation, Carolina Population Center, University of North Carolina at Chapel Hill, USA

Carroll, T.F. and West Hartford, C.T. (1992), *Intermediary NGOs: the supporting link in grassroots development*, Kumarian Press

Christian Reformed World Relief Committee (1997), *Partnering to build and measure organizational capacity*

Edwards, M. and Fowler, A. (eds) (2002), *The Earthscan reader on NGO management*, London: Earthscan

Foster, G. (2002) *Community capacity assessment tool*

Fowler, A. (1997), *Striking a balance: a guide to enhancing the effectiveness of non-governmental organisations in international development*, London: Earthscan

Gubbels. P. and Koss, C. (2000) *From the roots up: strengthening organisational capacity through guided self-assessment, World Neighbours field guide*, World Neighbours, USA

Horton, D. et al, International Service for National Agricultural Research (ISNAR), The Netherlands; International Development Research Centre (IDRC), Canada; ACP-EU Technical Centre for Agricultural and Rural Cooperation, The Netherlands. *Evaluating capacity development, experiences from research and development organizations around the world*, www.isnar.cgiar.org

International HIV/AIDS Alliance (2004) *NGO capacity analysis – a toolkit for assessing and building capacities for high quality responses to HIV/AIDS*

International HIV/AIDS Alliance and The Core Initiative (2005) *CBO/FBO capacity analysis: a tool for assessing and building capacities for high quality responses to HIV/AIDS*

James, R. (1998) *Demystifying organisation development: practical capacity building experiences of African NGOs*, Oxford: INTRAC

Levinger, B. and Bloom, E. (1988) *Participatory organizational evaluation tool (POET)*, Education Development Center and Pact

Lusthaus, C. et al. (1999) *Enhancing organizational performance: a toolbox for self-assessment*, IDRC

Management Sciences for Health, *Management and organizational sustainability tool (MOST)*, www.msh.org

Middleberg, M.I. (1993) *Assessing management capacity among non-governmental organizations*, Care Population Program

Oxfam Australia, *Partner assessment forms*

PACT Cambodia (1998), *Management assessment tool*

PACT Ethiopia, PACT Zambia, *Organisational capacity assessment tool (OCAT)*

Pact, Inc and the Education Development Center (1997) *Discussion-oriented organizational self-assessment (DOSA)*

Santé Familiale et Prévention du SIDA (SFPS), *SFPS NGO assessment tools*

UNAIDS/UNITAR AIDS Competence Programme, www.unitar.org/acp/

USAID Center for Development Information and Evaluation (2000), *Recent practices in monitoring and evaluation: TIPS: measuring institutional capacity*

USAID Madagascar, *USAID Madagascar institutional capacity questionnaire*, www.capacity.org

VanSant, J (2000) *A composite framework for assessing the capacity of development organizations, prepared for USAID*

World Learning (1995) *Institutional assessment instrument*

A global partnership:
International HIV/AIDS Alliance
Supporting community action on AIDS in developing countries

Civil society organisation capacity analysis series

The Alliance has developed a series of toolkits to support the capacity analysis and capacity development of the following types of civil society organisation:

- **community-based organisations (CBOs)**
- **non-governmental organisations (NGOs)**
- **networks**
- **intermediaries (organisations that support CBOs, NGOs and networks).**

The Alliance also publishes a range of complementary materials on organisational development, technical HIV issues, and policy and advocacy, which can be used to support capacity development efforts subsequent to analysis. To view these resources, please visit the Alliance website **www.aidsalliance.org** and the NGO support website **www.ngosupport.net**

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