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Acknowledgement

The Programme “Strengthening and Empowering Civil Society for Participatory Forest Management in East Africa (EMPAFORM)”, was able to carry out capacity assessment of community and second level Community Based Organisations. However, it would not have been possible to conduct such capacity assessment without collaboration of various categories of stakeholders. Thanks to CARE Uganda and to Robert Nabanyumya, the Regional Programme Coordinator of EMPAFORM, for the guidance and explanations about the task as well as its link to future activities of the programme. The National Programme Coordinator of EMPAFORM, Doreen Wandera’s assistance in shaping the scope of the exercise enabled a clear flow of work and feed back mechanism between the consultant and the staff. BUCODO’s management helped to provide conducive environment for undertaking the task. The exercise benefited from wealth of information from the staff of EMPAFORM. Thanks for the guidance given by Partrick Tumusiime, the Organisational Strengthening Officer as well as being unavailable whenever there was a need to explain the many questions that the consultant had about the CBOs. His guidance and preparations for the field helped to enable the CBOs to arrange their in-puts and be available for discussion. It was wonderful that Patrick managed to accompany the consultant to the different districts and this enabled him to see for himself what a huge task he has to guide and enhance the capacity of CBOs. Thanks to District officials and the CBOs who participated in the capacity assessment exercise. Officials of the National Forestry Authority at district and sub-county level provide the much needed support on explaining the extent to which they had worked with some of the CBOs and the mobilization efforts they had been able to make at such community levels.

Being a partnership programme that is being implemented as a joint venture of national and international NGOs, operational in 3 countries: Kenya, Uganda and Tanzania, the capacity assessment exercise was able to reflect the gaps, capacity needs and strengths, which other countries can look at as example of the situation of CBOs in Uganda. The exercise was also able to link with the results of the baseline exercise that had just been undertaken by the staff of EMPAFORM in Uganda.

The feed back mechanism that was used in developing this report is also commendable. The process enabled the staff of EMPAFORM, especially the Information officer and Advocacy officer, to check document and provide remarks and comments in ways that enabled the capacity assessment exercise to link with these two sections of the programme that are so vital to the enhancement of capacity strengthening of CBOs. It was enriching to have feed back from Joyce Waititu and we are all thankful for the comments and valuable guidance she provided to the draft report.

Thanks for the funding of this exercise, which was received from the EU Tropical Forest Budget Line. Addressing the gaps, capacity needs and appraising the strengths that CBOs have, will enable the 4-yr programme implementation to succeed in ways that will be joyful to all stakeholder at the end of the scheduled period of March 2009. This report will guide such efforts and success.

List of Abbreviations

LIST OF ACCRONYMS AND ABBREVIATIONS

EMPAFORM	Strengthening and Empowering Civil Society for Participatory Forest Management in East Africa.
CBOs	Community Based Organizations.
NGOs	Non Governmental Organizations.
FAN	Forest Action Network
KEFRI	Kenya Forestry Research Institute.
TFCG	Tanzania Forest Conservation Group.
CFM	Community Forest Management.
OSO	Organizational Strengthening Officer.
RPC	Regional Programme Coordinator.
TOR	Terms of References
NACOPRA	Nature Conservation and Promotion and Association.
NOBUFOCA	North Budongo Forest Communities.
KACODA	Kapeeka Community Development Association.
MAFICO	Mabira Forest Integrated Community Organisation
COFIDA	Conserve for Future and Sustainable Development Association.
SWOT	Strength, Weaknesses, Opportunities and Threats.
V/MG	Vision, Mission and Goals.
UNDP/GEF/SGP	United Nations Development Programme, Global Environment Facility, Small Grants Programme
NAADS	National Agricultural Advisory Services
NFA	National Forestry Authority.

Executive Summary

i) **The EMPAFORM programme**

Strengthening and Empowering Civil Society for Participatory Forest Management in East Africa (**EMPAFORM**) is a partnership programme that is being implemented as a joint venture of national and international NGOs. It operates in 3 countries: Kenya, Uganda and Tanzania. This programme works through partnership that includes FAN, KEFRI and CARE Kenya in Kenya, TFCG and CARE Tanzania in Tanzania, and BUCODO, ACODE and CARE Uganda in Uganda. This 4 year programme is funded within the EU Tropical Forest Budget Line. The main component of this programme is civil society strengthening in ways that will promote a pro-poor approach to the management and conservation of natural forests in East Africa. Community based organisations (CBOs) are the primary target group. This form of organized grouping has been a key strategy that many people in Uganda have used as they try to mobilise themselves to address specific social and economic problems. Through such channels, Uganda has experienced dramatic increase in number of these non-profit, local level organisations. However, this increase has not always been accompanied by an improvement in services or performance. Within the area of Community Forest management (CFM), EMPAFORM is of the view that if these organisations are strengthened and empowered, such action will make the implementation of new forest policy more demand driven, and more equitable in addressing the interests and rights of poor men, women and children.

ii) **Summary of Capacity assessment: Capacity available, gaps and strategies to address Capacity needs**

a) **CBO characteristics and structures**

The assessment exercise found out that the structures that exist are weak as many of them were formed by women and men with limited or no experience in the activities that they wanted to work on. However, those CBOs that had been formed through the Collaborative Forest Management arrangement that is being undertaken under NFA arrangement, illustrated better knowledge of roles of members of the Committees and were organised according to category of forest resource users.

The EMPAFORM capacity assessment identified prospects and challenges in terms of capacity that Community Based Organizations face with reference to their characteristics. First, the CBOs are based at community level, with local membership and as such they can easily operate on specific problems and felt need in the community. Second, all the CBOs were registered at the District level in the office of the Community Officer. However, apart from such a service rendered by the District Community Officer, CBO members did not know what other services to demand from that office and required information about such services. Third, although all CBOs should have a constitution in order to guide their operations, seventy percent (70%) of the CBOs had fairly articulated constitution that illustrated the representation of the different categories of forest resource

users (in cases where they had been established under the CFM arrangement). Fourth, CBOs are operated and managed by the beneficiaries who are local people with little or no management skills. There were cases where some CBOs had staff but these were semi qualified and were working on a part-time basis. There was only thirty percent (30%) of the staff of all the CBOs visited who had the skills and qualifications for the type of work they were engaged in. Fifth, the CBOs have a limited resource base in terms of money, materials and manpower. This limits their operations as well as their sustainability and bargaining power. Sixth, the roles of membership illustrate simple structures mainly showing the roles of the Chairperson, Secretary, Treasurer, and members.

b) Good governance

In terms of good governance, capacity was assessed in terms of four components: Legal identity; vision, mission and goals; leadership; accountability and transparency.

The capacity assessment exercise found out that **Legal identity** was worked on by CBOs through formulating constitutions, registering the CBO and establishing a management structure. Ninety percent (90%) of CBOs that were included in the assessment exercise were registered with a certificate from Community Development Office. Seventy percent (70%) of the CBOs had fairly articulated constitution that illustrated the representation of the different categories of forest resource user (in cases where they had been established under the CFM arrangement). Fifty percent (50%) of the CBOs face ineffective functioning of their boards and committees due to lack of clear indication of duties. Capacity needs were identified to include:

- How to utilize registration as a legally secure document for use in banks, donor requests, etc.
- how to comply with rules and values of constitution that members set-up
- where there is no constitution: how to draft it; what is its importance; what are the key principles of an effective constitution

In general, the capacity assessment exercise of CBOs realized that CBOs lack information, skills and examples of good governance. A guideline was formulated for them by the Organisational Strengthening Officer of EMPAFORM (see appendix 2). It provides the components and characteristics of good governance.

The strategic actions to address the capacity needs on issues of legal identity include:

- increase access to information about the different types of registration of an organization, especially in cases where CBOs are getting to maturity stage and can register with the NGO board;
- train and enhance skills for formulation of a constitution as a legal document as well as strategies to increase participation for female and male members;
- use promotional materials for advocacy on promoting good governance principles for better performance of CBOs.

In terms of the **Vision, Mission and Goals (VMG)**, there was still need to articulate these in terms of achievable outcomes. It was found out that those CBOs, which were formed for a

specific issue such as participation in Community Forest Management had clearer and contributed to effectiveness of the organizational operations. Lack of articulating VMGs was realized to lead to shifting of these intentions in cases where there were growing demands of development and loose focus towards their stated Vision, mission and goal.

Strategic actions in this area include the establishment of a process of “learning from each other” through best practices of well articulated and effectively operational Visions, Missions and Goals; increased involvement of the resource user groups such as bee keeping, ecotourism, pit sawyer, hand craft; enhance skills on effective leadership in CBOs, Mainstreaming of gender and equity (concerns of disabled, orphans, elderly) in management, operational rules and project activities and Group dynamics, team work & feed back

In the area of **accountability, transparency and effectiveness**, the assessment exercise found out that reporting systems between management and members are available in 60% of the CBOs. This is done through meetings and the general assembly. However, since most of such work is done through voluntarism, effectiveness of such systems is affected by availability of funds to undertake activities. Members expect facilitation on transport refund. Effectiveness was also noted to be focused on through participation of different members in the activities of the organization. The assessment exercise noted that female participation in leadership is only available in 50% of the CBOs where the principle of “a third” is applied as required by the Local Government Act. Challenges include lack of clear records, book keeping showing performance improvement; low skills and experience, lack of skills in proposal writing. This affects access donor funding by CBOs.

In terms of transparency and communication between the Board and beneficiaries, there were positive remarks in 80% of the CBOs. They indicated that there was clear communication done in a transparent manner. However, 50% of the CBOs lack clear understanding of decision making (who reports to who, who should demand for accountability & transparency). Challenges exist also due to the requirements that are demanded by Local government to: ensure effective service delivery; declare funds received and for what use; and provide yearly reports of CBOs to Local government. Fulfilment of such demands requires effective and efficient CBO structures and systems, which are lacking.

In terms of effectiveness, there were very few cases where there were start-up funds from donors that could support project design that emphasises local participatory approaches to planning with communities. NACOPRA’s funding from the Small Grant Programme of UNDP enabled planning that was phased and involved participation of communities’ right from the project design stage.

Strategic actions to address the capacity needs in accountability, transparency and effectiveness include the need to increase the participation of women in decision making within the CBO governance; provision of guidelines on decision making, accountability and transparency in CBOs; and formulation of a reporting system that CBOs in the CFM operational areas can follow.

c) **Leadership and management**

These were assessed through focusing on Decision making, Management and Administration. The assessment exercise found out that 30% of CBOs have a decision making body, which is the management team. Due to lack of established staff in 70% of the CBOs, decisions are made by the board in consultation with other members. In such cases, the chairperson has the authority. Capacity gaps existed in 70% of the CBOs where they lacked managerial skills.

Strategic actions towards effective Decision making, Management and Administration require formulation or making use of existing training materials and to provide skills to CBOs on effective management of CBOs; mainstreaming gender and equity in management and administration of CBOs; and provision of management systems that are appropriate to different levels of CBOs in the EMPAFORM programme.

In terms of **Human Resources**, availability of staff was questioned. In cases where CBOs have received funding that caters for staff, there is clear division of roles(20% of CBOs). In other cases, lack of staff is improvised by enrolling volunteers, however they lack experience and skills to perform task of the CBO. Capacity gaps were identified to include: Lack of staff, which leads to lack of activities undertaken and no proposals written; Lack of human resource development planning or even a policy, which affects the operation of activities in the CBOs. Strategic actions to address the capacity needs in Human resource development require EMPAFORM to facilitate the formulation of a guideline on human resource planning for CBOs working on CFM related activities.

There was lack of clear **financial systems** even in case where there are professional people on the board. Financial procedures are neglected by all the CBOs and they tend to be reminded by funders as well as Local government officials. In terms of strategic actions to address the capacity needs in financial management, EMPAFORM should facilitate the formulation of a guideline on financial systems for CBOs dealing with forest resource management and conservation under the CFM arrangement.

d) Programme development and service delivery

The assessment exercise revealed that programme strategies had been formulated for 30% of the CBOs which had been directly assisted by NFA in this activity. Other CBOs requested for information and skills training on how to formulate a strategic plan and a programme. Partnerships with NFA and CBOs therefore helped. It was also found out that only 30% of the CBOs had based their project designs on needs assessed from the communities. Rather, projects were formulated according to the requirements of the sources of funding. In cases where effective service delivery has been undertaken, CBO members lack skills to document lessons learnt in projects undertaken so far and how to replicate efforts in other sites. Strategic actions include the need to formulate guidelines on how to design a programme strategy and use this to plan and fundraise for projects; formulation of guidelines for effective service delivery by CBOs; and documenting cases studies of lessons learnt in projects and planning for their replication.

e) External relations and networking

In terms of **Networking and advocacy**, CBOs have minimal linkages with Central government but more with Local government. Effort has been done by NACOPRA, Kamusiime, MAFICO and NOBUFOCA to collaborate with Local government in areas of forest management and conservation. Capacity gaps exist in case where there is lack of guidelines on how to formalize partnerships; the gains, obligations and responsibilities of different partners. There is lack of capacity to influence sector policies and budgets at Central and Local government level within the area of forestry management.

f) Public relations, communication and information

The main communication system that CBOs have is the channel of sharing information through meetings, especially monthly or during Annual general meeting. NACOPRA and Kamusiime have subscribed to newsletters beyond the one provided through the EMPAFORM programme. Capacity gaps include lack of a management information system at CBO level and in some case even at district level. This hinders CBOs from having effective means of storing and disseminating information. There is limited capacity to produce IEC materials and public relations materials such as fact sheets, submissions to news papers and others. Furthermore, CBOs lack the ability to mobilize external support from private sector, NGOs and other CBOs where they can be able to disseminate information about their work. Feed back mechanism lack in 90% of the CBOs.

Information needs existed and community groups were in urgent need of policy and legal related information needs, especially related to Local government's roles in forest management and what sort of legal provisions that communities could use in cases where they were dealing with conservation of forests on community and private land. The capacity assessment exercise found out that there was much need for knowledge and guidance from the office of the District Forest Officer but such services were not yet reaching the community groups. Technological related information needs mainly included the demand to acquire knowledge and skills on improving the value and quantity of the non-timber forest products especially the medicinal herbs, honey and crafts, fish farming, tree nurseries, plantation management and information on energy conservation methods. Information was also requested for to enable CBOs to know how to register at District level and at the NGO Board in cases where they reach the capacity operate as an NGO. Leadership and community dynamics were two other areas where CBOs wanted information. Apart from seeking to have skills in booking keeping and writing financial reports, CBOs requested for information on good practices in preparing financial reports and examples of how to formulate budgets in relation to stated objectives and activities of a specified project. Another need was that of skills and information on how to package the information and deliver it in ways that would convince the policy and project planners at Local Government level. Apart from that, they also lacked information on how to carry out advocacy, what is the right timing for such activities and what examples can be used for effective methods of negotiating.

- Strategic actions on public relations, communication and information include the need to formulate simplified information materials on the linkages of policy and real activities on the ground as well as translation (in local language) and repackaging of

Government commitments as well as environment and forestry Laws and policies. Strengthen or establish a management information system at the district level, which CBOs can use to store and disseminate information

3) Summary of Conclusions and recommendations

With the results of this capacity assessment exercise, it is clear that the 4-yr programme implementation that is scheduled to end in March 2009, will indeed strengthen civil society in ways that promote a pro-poor approach to the management and conservation of natural forests in East Africa. Being the primary target group for this programme, CBOs will be strengthened and empowered as organizations that have capacity to implement the new forest policy in a more demand driven way, and should strive to ensure that activities and benefits address the interests and rights of poor men, women and children.

The following are the recommendations for strengthening the capacity of CBOs to conserve and manage the forests in a sustainable way with increased benefits to poor men, women and children:

i) Capacity to enhance skills in planning for effective delivery of services by CBOs

Design or adopt training materials and user guidelines that CBOs can use:

- to strengthen organizational aspects of CBOs in terms of: governance, leadership and management, programme development and service delivery; networking, information and communication; influencing policy change and implementation
- to mainstream gender in organizational rules and activities on conservation and management of forests
- to disseminate training materials and guidelines widely at all levels of Local government and else where
- to define and explain the meaning, principles and stages of Community Forestry Management (CFM)
- to address capacity gaps or areas of improvement that include group dynamics; team building; writing constitutions and others needs and gaps.
- to document successes and challenges in CFM related work done by CBOs and learn different methods of disseminating this information among CFM related CBOs and among different countries working with EMPAFORM.
- to start and register community based organizations and the role of local government in supporting the establishment of the CBOs.

Action to be taken by EMPAFORM in collaboration with Local Government officials

ii) Capacity to influence decisions that would contribute to actions towards sustainable management and conservation of forests

Effort should be made to provide advocacy and training materials as well as user guidelines that CBOs can use while dealing with the following:

- to document and package information as well as using it to influence decisions of Central and Local government on:
 - Reporting on the situation of forestry at national level;
 - Allocation of funds and forestry staff to communities
 - Use of community examples of work done to promote CFM efforts.
 - Including the CBO activities in the overall district development Plans.

Action to be taken through collaboration of EMPAFORM, NFA and Local government

iii) **Capacity to increase accessibility to and utilization of information**

- **Policy and legal information:**
- Assist CBOs to develop effective and user-friendly information gathering, storage and dissemination system to enable them to tell their own stories.
- Provide guidelines on how CBOs can demand and have access to those services and how the service providers can deliver to communities. *Action to be taken by CBOs in consultation with Community development officer, probation officers and gender officers at Local government level and with support from EMPAFORM.*
- EMPAFORM should document and provide case studies/examples of best practices and challenging situation of CBOs in implementing CFM.

iv) **Capacity to document information for influencing policy change and improvement in CBO practices**

- EMPAFORM should develop a data bank that includes: List of CBOs working on CFM; work done by CBOs; practices undertaken by CBOs in promoting co-management and community based management of natural forests; achievements in contributing to policy change; strategies undertaken to improve CBO practices in implementing CFM.

v) **Capacity to plan for and implement actions that link forestry to wider economic development and social well-being**

Design training materials, provide skills as well as technical training, and facilitate exchange visits for communities which derive their livelihood from forest resources in order to show them the following:

- To improve on the value and quantity of the products got from non-timber forest based enterprises .This could help increase on the incomes the local people get from sell of medicinal herbs, crafts and other products.
- To make technology choices among those available and adopt appropriate energy saving technologies. This will help reduce on the wood fuel consumption which has a direct effect on the forests.
- To carry out different activities to supplement their sources of income.This should be preceded by appropriate trainings in different activities like; bee keeping, fish farming, plantation management, crafts making and medicinal herbs extraction.

vi) Capacity to establish partnerships for strengthening CBOs to conserve and manage the forests in a sustainable way

Develop and strengthen partnerships between Local Government (Forestry officer, environment officer, community development officer, and Gender officer), CBOs, NFA and EMPAFORM in order to undertake actions that contribute to effective civil society organizations that conserve and manage the forests in a sustainable way with increased benefits to poor men, women and children, through:

- a) Formulate a common agenda and division of roles for different partners in CFM at local levels
- b) Engage and participate in Local government and NFA consultative meetings and policy level negotiations to ensure that adequate attention is paid to sustainable ways of strengthening CBOs within the mandate of Local Governments;
- c) Participate in sector planning, budgeting and monitoring processes of CFM related activities at Local Government levels to advance the community agenda as well as taking into consideration the needs and priorities of female and male forest-resource users.

vii) Capability to mobilise monetary and human resource for CBOs under CFM arrangement

EMPAFORM in collaboration with NFA and CBOs should:

- a) Formulate guidelines that CBOs can use to influence the decisions of Local Governments to make CFM key to local government priority interventions annually, including budget allocation to such activities.
- b) Train and equip CBOs with the knowledge and skills in proposal writing to target funds from donors who are supporting forest related enterprises.
- c) Influence decisions on budgets and expenditure to include activities undertaken by NGOs and CBOs working in specified localities
- d) Work with Technical staff at Local Government level to develop related operation, regulatory, and monitoring systems for the allocated budgets for CBOs working on CFM activities.
- e) Empower CBOs within the EMPAFORM programme with skills of proposal writing and resource mobilization.

1. Background

1.0 Scope of the Programme

Strengthening and Empowering Civil Society for Participatory Forest Management in East Africa (**EMPAFORM**) is a partnership programme that is being implemented as a joint venture of national and international NGOs. It operates in 3 countries: Kenya, Uganda and Tanzania. This programme works through partnership that includes FAN, KEFRI and CARE Kenya in Kenya, TFCG and CARE Tanzania in Tanzania, and BUCODO, ACODE and CARE Uganda in Uganda. This 4 year programme¹ is funded within the EU Tropical Forest Budget Line. The main component of this programme is civil society strengthening in ways that will promote a pro-poor approach to the management and conservation of natural forests in East Africa. Community based organisations (CBOs)² are the primary target group. This form of organized grouping has been a key strategy that many people in Uganda have used as they try to mobilise themselves to address specific social and economic problems. Through such channels, Uganda has experienced dramatic increase in number of these non-profit, local level organisations. However, this increase has not always been accompanied by an improvement in services or performance. Within the area of Community Forest management (CFM), EMPAFORM is of the view that if these organisations are strengthened and empowered, such action will make the implementation of new forest policy more demand driven, and more equitable in addressing the interests and rights of poor men, women and children.

1.2 Objectives of the Programme

The programme aims at ensuring that “natural forests and woodlands in East Africa are sustainably managed and conserved with increased benefits to poor men, women and children in forest-dependent communities”(Programme document). This is in line with what is currently being undertaken in Kenya, Uganda and Tanzania, where there is a process of developing and implementing new forest policy that promotes co-management and community-based management of natural forests. It is the basic premise of this programme that a pro-poor approach to CFM that increases local community control over forest resources and promotes more equitable sharing of the costs and benefits of forest management and conservation can deliver on both conservation and poverty reduction objectives. Equity is an issue at all levels from household to global level where there is a need to challenge the injustice of situations where the benefits of biodiversity conservation accrue mainly to the rich whilst the poor bear most of the cost. More equitable sharing of costs and benefits is also a practical necessity. Where resource use is constrained by national and global interests (e.g. in areas of high biodiversity) a more pro-poor approach is essential if CFM is to succeed (Programme document). Such actions would “empower civil society organizations in ways that promote a pro-poor approach to CFM that is more demand-driven and more equitable in

¹ The programme implementation started in April 2005 and ends in March 2009.

² CBOs are legally registered indigenous groups of people who mobilise themselves to address a specified need or problem within their community. Their work is voluntary and is targeted to development of their community. Such local groupings seek to grow into fully operational organisations that are called NGOs (Non Governmental Organisations).

addressing the interests and rights of poor men, women, and children, and national networks have been established that will institutionalize and reinforce this approach” (Programme document).

The pro-poor approach to CFM that is promoted emphasizes strengthening and empowering community-based organizations (CBOs) that represent community interests and rights in forest management and utilization. Particular emphasis is placed on the interests and rights of poorer households and other marginalized groups within the community, including women.

2.0 The Organizational Strengthening Component

Under this component, the expected result is that governance, management, negotiation, fundraising and networking skills of second level CBOs have been strengthened, emphasizing effective representation of the interests of poorer households, women and other marginalized groups. One of the activities under this theme is to conduct capacity assessments of community and second level CBOs, which will form the basis for organizational strengthening interventions (programme document).

2.1 Objectives of the Organizational Capacity Assessment

The organizational assessments targeted second level CBOs and addressed issues of governance as well as capacity, with a specific emphasis on the interests of the poorer households, women and other marginalized groups. A sample of community level or primary CBOs was also targeted in order to better understand their relationship with 2nd level CBOs, their character and needs and how the programme can better address these needs through 2nd level CBOs. The assessment aimed at forming a basis for the interventions under the organizational strengthening component of the programme, which includes:

- Developing guidelines for establishment of good governance of community and second level CBOs;
- Training for second level CBOs in issues of governance, management, negotiation and fundraising skills;
- Supporting members of second level CBOs in attending external training events
- Training of second level CBOs and national NGOs on networking processes and methodologies.

3. Approach and methods used in organizational capacity assessment of CBOs

On the technical level, the consultant worked closely with the Organizational Strengthening Officer (OSO), who made preparations that were needed for the exercise and was available during field visits. The National Programme Coordinator of EMPAFORM in Uganda and her technical officers were available for consultation during the process of the exercise. At the beginning of the exercise, the consultant discussed with the Regional Programme Coordinator (RPC), on technical issues related to the assessment

i) Planning and justification for their selection of a sample of the CBOs

In terms of planning, the assessment exercise was carried out by the consultant who worked closely with the Organizational Strengthening Officer (OSO). Attention was paid to:

- Ensuring clarity in explaining the purpose of the assessment to the organizations and participants in advance.
- Provision of relevant documents by the organization. These included registration certificates, policy papers, membership roll, evaluation reports, and minutes of important meetings.
- Encouraging participation of key members of the organization in the planning process, especially in terms of selection of participants in the assessment, preparation of logistics for the meeting considering time that would enable both women and men to participate, and
- Use of methods and tools that enabled participation of women as well as men and the youth

Although the entire programme intends to work with about 20- 30 second level CBOs, this initial capacity assessment was undertaken using a sample of CBOs which were selected by EMPAFORM according to a pre-defined selection criterion. The criteria included representation of geographical coverage within which the CBOs selected show focus on national coverage. Apart from this, the TOR indicated that the selection also ensured that various forest types were represented. The following 2nd level CBOs were sampled for assessment as shown in figure 2 below.

Figure 1: Organizations that participated in the Capacity assessment exercise³

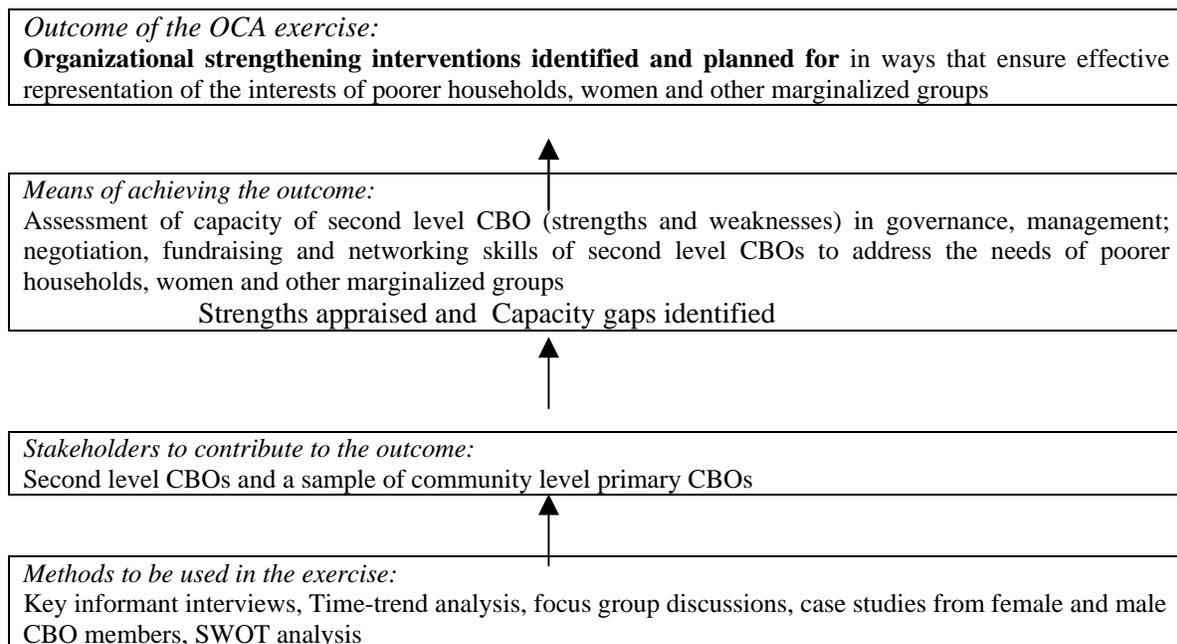
District	Forest Block	Forest type	CBO
Masindi	Budongo	Tropical Natural	i. Nature conservation and promotion and Association (NACOPRA) ii. North Budongo Forest Communities Association (NOBUFOCA) <i>Kapeeka Community development Association (KACODA)</i>
Hoima	Bugoma	Tropical Natural.	<i>Kibale Tukole Bee keepers Association.</i>

³ CBO's indicated in italics were not physically visited but provided information (through the OSO) that has been included in this report. There was also a great opportunity that the staff of EMPAFORM were undertaking a baseline exercise of the CBOs. The information obtained during that exercise, enabled staff to point out information needs that were useful in identifying the capacity gaps in those CBOs which were not visited during the Capacity assessment exercise.

Rakai	Sango-bay	Tropical Natural.	<ul style="list-style-type: none"> i. Nkwale Sango bay Twezimbe CFM Group. ii. <i>Kigazi Tukwatirewamu Forest group.</i> iii. <i>Mugamba Mujanjabula Save the forest Group.</i>
Bushenyi	Kasyoha Kitomi	Tropical Natural.	Kamusiime memorial Rural Development pilot scheme.
Mukono	Mabiira Forest Reserve	Tropical Natural.	<ul style="list-style-type: none"> i. Mabira Forest Integrated Community Organization(MAFICO) ii. <i>Conserve for Future Sustainable Development Association (COFSDA).</i>

The process that was undertaken to plan for and collect information in this activity is summarized in the figure 1 below. A detailed explanation of how the activity was undertaken is then given in the paragraphs that follow.

Figure 2: Illustration of the components of the Organizational Capacity Assessment exercise



ii) Methods used

The methods that were used were chosen in order to enable participants in the assessment exercise at the level of the CBOs to be involved in identifying their capacity needs, think about strategies to address those needs and request EMPAFORM to address those needs. Key informant interviews and focus group discussions were used to enable respondents to discuss

and reflect on the capacity and performance of their organization. Respondents were guided through analysis of strengths and weaknesses to explain issues and areas where they felt they had strength and those that needed improvement. Consensus about a certain aspect was reached by using rating as an assessment tool (See figure 7). Respondents were then able to map the future objectives they wanted. They were able to illustrate their potentials and make suggestions or recommendations that could strengthen their organizations.

The exercise encouraged different categories of women and men to provide information within organizations. In some cases participants were placed in same sex grouping and in other cases, mixed groups of women and men were used. The categories of participants included:

- Board/committee members (*Key informant interviews followed by grouping them in same category group*)
- Members/target group/beneficiaries (*Focus group discussions of mixed groups or women/men only groups followed by fill-in brief questionnaires*)
- Staff if any (*key informant interview*)
- Management if in place (*Key informant interview*)
- Where appropriate involve other outside stakeholders who understand the organization and its work well e.g. forest departments, local government, and NGOs etc (*to join in focus group discussions*).



Participation of both women and men in the capacity assessment was encouraged and the exercise managed to involve the following numbers:

- Nkalwe 11 women and 8 men
- Kamusiime 5 women and 8 men
- BUECA 4 women and 7 men.
- NOBUFOCA 4 women and 21 men
- NACOPRA 5 women and 18 women.
- MAFICO 5 women and 12 men.

iii) Analysis of information

The information was mostly analysed through qualitative assessment by use of thematic areas that relate to organizational capacity strengthening. This enabled identification of strengths and capacity gaps. The themes were constructed from the topics in the checklist that was used for data collection (checklist included in appendix). Quantitative data was only used in cases where there was already researched information in the review of existing materials that are accessible to EMPAFORM. In such cases, attention was paid to descriptive statistics.

4.0 The status of the capacity of EMPAFORM targeted community, and second level CBOs and details of capacity gaps.

The assessment has shown that there are more capacity needs related to challenges CBOs face due to internal organisational problems than those based on the way they plan their projects. The figure below provides a summary of available capacity and gaps as well as suggestions on strategic actions that can be undertaken by EMPAFORM to address the needs identified.

4.1 Capacity available for governance, gaps and strategies to address capacity needs

Good governance was assessed in terms of four components: Legal identity; vision, mission and goals; leadership; accountability and transparency.

i) Legal Identity

Generally the members of CBOs understood the nature of this type of organisation to be a legally registered indigenous group of people and the aim of their mobilization is to work together voluntarily in order to address a felt need in the community. CBO members also indicated that such organizations were established to serve the local communities and 90% of them were operated and managed by the beneficiaries within the locality. Ninety percent (90%) of CBOs that were included in the assessment exercise were registered with a certificate from Community Development Office. Seventy percent (70%) of the CBOs had fairly articulated constitution that illustrated the representation of the different categories of forest resource user (in cases where they had been established under the CFM arrangement).

Due to their locality establishment one would think that this type of grouping would be used by the members to solve problems affecting them at a specified time period. However, the capacity assessment exercise found out that in most cases limited resource base affected the ability of the CBOs to manage and use their legal identity to operate effectively. All of the CBOs included in the assessment had one or two staff members who could not manage all the work and relied on the Board to work on those issues that required clarification or strengthening their legal identity. Capacity needs were identified to include:

- How to utilize registration as a legally secure document for use in banks, donor requests, etc.

- how to comply with rules & values of constitution that members set-up
- where there is no constitution: how to draft it; what is its importance; what are the key principles of an effective constitution



Figure 3: Governance Capacity available within CBOs and strategies to address capacity needs and gaps

Components of the CBO	Effective operations & Capacity available	Capacity needs & gaps	Strategies to address capacity needs & gaps
Governance			
1. Legal identity	<p>-70% CBOs are registered with a certificate from Community Development Office</p> <p>- 70% of CBOs have fairly articulated constitution</p>	<p>-How to utilize registration as a legally secure document for use in banks, donor requests, etc.</p> <p>-Registration of CBOs at the district or sub county level.</p> <p>Registration of NGOs.</p> <p>-how to comply with rules & values of constitution that members set-up</p> <p>-where there is no constitution: how to draft it; what is its importance; what are the key principles of an effective constitution</p>	<p>i) Provide information about the different types of registration of an organization, especially in cases where CBOs are getting to maturity stage & can register with the NGO board.</p> <p>ii) Registration of CBOs</p> <p>iii) Formulate or adopt training materials & provide skills to CBOs on how to formulate a constitution & show importance of including clear decision making rules & forms of participation for female & male members</p> <p>-design promotional materials such as posters, which show examples of key principles of an effective constitution & how to utilize it for better performance of CBOs.</p>
2. Vision, Mission & Goal	<p>Fairly articulated in constitutions of CBOs, especially those CBOs which were formed for a specific issue such as Collaborative Forest Management.</p> <p>However, in 40% of the CBOs where VMGs had been well articulated, members had not internalized them</p>	<p>Very broad & difficult to understand and comply with & contribute to, in cases where CBOs were formed with general social problems. Such CBOs tend to shift with the growing demands of development & loose focus towards their stated V,M,G.</p>	<p>-Facilitate a process of “learning from each other”, where those CBOs with well articulated & effectively operational Visions, Missions and Goals, can guide those with difficulties in formulating appropriate V,M & G.</p> <p>-Exchange visits between & among members can be one of the channels for learning from each other.</p>

	well.		
3. Leadership	80% CBOs have a formal board with committees. Those CBOs which were formed specifically for CFM, have committees that represent forest resource user groups. However, in terms of performance, 50% of the CBOs face ineffective functioning of their boards & committees due to lack of clear indication of duties.	Some CBOs do not have clear indication of duties of the different organs within the constitution thus affect accountability, transparency and participation within the organization. Role Conflicts exist in such cases. - Female participation in leadership is only available in 50% of the CBOs where the principle of "A third" is applied as required by the Local Government Act.	- formulate or adopt training materials and provide skills to CBOs on: i) Effective leadership in CBOs that use the CFM principles to sustainably manage & conserve forest resources. ii) Mainstreaming gender and equity (concerns of disabled, orphans, elderly) in management, operational rules and project activities. iii) Group dynamics, team work & feed back
4. Accountability & transparency	Reporting systems between management & members are available in 50% of the CBOs, especially through meetings/general assembly. However, effectiveness of such systems is affected by availability of funds to undertake activities. Members meet but expect facilitation on transport	Voluntarism is misunderstood & affects exercising responsibility as a member of the CBO. 50% of the CBOs lack clear understanding of decision making (who reports to who, who should demand for accountability & transparency).	-Formulate or adopt guidelines on decision making, accountability & transparency in CBOs. -design an easy to follow reporting system that CBOs in the CFM operational areas can follow. Document best practices & address challenges as frequently as possible.

In general, the capacity assessment exercise of CBOs realized that CBOs lack information, skills and examples of good governance. A guideline was formulated for them by the Organisational Strengthening Officer of EMPAFORM (see appendix 2). It provides the components and characteristics of good governance. The guideline will be used both the community and second level CBOs that seek to improve on their operations and activities by practicing good governance, especially during the process of reviewing or implementing changes in their daily operations and or set up.

Strategic actions

Strategic actions to address the capacity needs on issues of legal identity:

- Provide information about the different types of registration of an organization, especially in cases where CBOs are getting to maturity stage & can register with the NGO board.
- Formulate or adopt training materials & provide skills to CBOs on how to formulate a constitution & show importance of including clear decision making rules & forms of participation for female & male members
- Design promotional materials such as posters, which show examples of key principles of an effective constitution & how to utilize it for better performance of CBOs.

ii) Vision/Mission and Goals (VMG)

All CBOs had well articulated visions, missions and goals and these were reflected in their constitutions. These were even clearer and contributed to effectiveness of the organizational operations in cases where the CBOs were formed for a specific issue such as participation in Community Forest Management. However, the vision, mission and goal were very broad and difficult to understand and comply with and contribute to in cases where CBOs were formed with general social problems. Such CBOs tended to shift with the growing demands of development & loose focus towards their stated Vision, mission and goal.

Strategic actions to address the capacity needs of establishing appropriate Vision/Mission and Goals:

- Facilitate a process of “learning from each other”, where those CBOs with well articulated and effectively operational Visions, Missions and Goals, can guide those with difficulties in formulating appropriate Vision, mission and goal.
- Exchange visits between and among members can be one of the channels for learning from each other.
- Facilitate processes that enable members of the CBO to internalize the VMGs.

iii) Leadership

Leadership responsibilities were clearly illustrated in those CBOs, which had developed themselves overtime, examples of which are NACOPRA, Kamusiime and MAFICO. All CBOs indicated that they have a formal board with committees. Those CBOs which were formed specifically for CFM, have committees that represent forest resource user groups, some of which include: bee keeping, ecotourism, pit sawyer, hand craft. However, in terms of performance, 50% of the CBOs face ineffective functioning of their boards and committees due to lack of clear indication of duties. Some CBOs do not have clear indication of duties of the different organs within the constitution thus affect accountability, transparency and participants within the organization. Role conflicts exist in such cases. The assessment exercise noted that female participation in leadership is only available in 50% of the CBOs where the principle of “a third” is applied as required by the Local Government Act.

Strategic actions to address the capacity needs for leadership include the following:

EMPAFORM should facilitate formulation or making use of existing training materials and provide skills to CBOs on:

- Effective leadership in CBOs that use the CFM principles to sustainably manage & conserve forest resources.
- Mainstreaming gender and equity (concerns of disabled, orphans, elderly) in management, operational rules and project activities.
- Group dynamics, team work & feed back

iv) Accountability, transparency and effectiveness

Reporting systems between management and members are available in 60% of the CBOs, especially through meetings and the general assembly. However, effectiveness of such systems is affected by availability of funds to undertake activities. Voluntarism is

misunderstood and affects exercising responsibility as a member of the CBO. Members meet but expect facilitation on transport refund.

Lack of clear records that can be based on to show performance improvement, combined with low skills and experience in the activities that were set down for specific CBOs, makes it difficult for CBOs to access donor funding. Further more, lack of skills for writing well articulated proposals pose greater challenges to CBOs as funders require such levels of experience. Deeper challenges were realised in cases where CBOs had not yet established books of accounts and lacked effective management systems to handle issues of accountability, transparency and competence. It was also found out that most of the CBOs lack planning guidelines and end up working on activities without specified time schedules, work-plans and indicators of achievement. It was realised to be worse in cases where CBOs have to match work-plans with budgets in ways that donors prefer them to be done. Further more, donor targets become a challenge in situations where CBOs do not know how to phase the projects within the planning process.

In terms of transparency and communication between the Board and beneficiaries, there were positive remarks in 80% of the CBOs. They indicated that there was clear communication done in a transparent manner. However, 50% of the CBOs lack clear understanding of decision making (who reports to who, who should demand for accountability & transparency).

Most CBOs indicated challenges they face from the requirements that are demanded by Local government to: ensure effective service delivery; declare funds received and for what use; and provide yearly reports of CBOs to Local government. Fulfilment of such demands requires effective and efficient CBO structures and systems. Most CBOs indicated that they were worried about their effectiveness and were glad that this assessment of organisational capacity would enable EMPAFORM to pay attention to their capacity needs in various areas of CBO operations.

Constituency Participation was illustrated through the fact that CBOs have to be registered at community level or Local Government level. As such, they have to ensure that the projects are locally owned. However, the assessment exercise found out that there were very few cases where there were start-up funds from donors that could support project design that emphasises local participatory approaches to planning with communities. NACOPRA's funding from the Small Grant Programme of UNDP enabled planning that was phased and involved participation of communities right from the project design stage.

Strategic actions to address the capacity needs in accountability, transparency and effectiveness include:

It is advisable that EMPAFORM facilitates:

- Formulation or encourages making use of already existing guidelines (from other development practitioners) on decision making, accountability and transparency in CBOs.
- Design an easy to follow reporting system that CBOs in the CFM operational areas can follow. Document best practices & address challenges as frequently as possible.

4.2 Capacity available for leadership and management, gaps and strategies to address capacity needs

iii) Decision making, Management and Administration

The assessment exercise found out that 30% of CBOs have a decision making body, which is the management team. In most of these CBOs, the management team is made up of the members of the board and staff. Due to lack of established staff in 70% of the CBOs, decisions are made by the board in consultation with other members. In such cases, the chairperson has the authority. Capacity gaps existed in 70% of the CBOs where they lacked managerial skills. These requested for skills training to enhance their performance. In cases where management systems exist (30% of CBOs), they are in forms of financial accountability, personnel recruitment & retention, administrative procedures. However, there were cases where such systems were not known and understood by all members involved in management. It was further noted that female participation in senior management was minimal and only happened in cases where such a person had unique skills needed by the organization.

Figure 4: Capacity available for leadership and management within CBOs and strategies to address capacity needs and gaps

<i>Components of the CBO:</i> Management & Administration	Effective operations & Capacity available	Capacity needs & gaps	Strategies to address capacity needs & gaps
1. Decision making	30% of CBOs have a decision making body, which is the management team that is made of members of the board & staff. Due to lack of established staff in 70% of the CBOs, decisions are made by the board in consultation with other members. In such cases, the chairperson has the authority.	-70% of the CBOs indicated that they lack managerial skills & requested for skills training to enhance their performance. -in cases where management systems exist (30% of CBOs), they are in forms of financial accountability, personnel recruitment & retention, administrative procedures. However, there were cases where such systems were not known & understood by all members involved in management. -very few women were in management positions & was only found in cases where such a person has unique skills needed by the organization	-Formulate or adopt training materials and provide skills to CBOs on: i) Effective management of CBOs that use the CFM principles to sustainably manage & conserve forest resources. ii) Mainstreaming gender and equity in management and administration of CBOs. Iii) how to design management systems that are appropriate to different levels of CBOs in the EMPAFORM programme.
2. Human resource	- 20% of the CBOs had staff to plan and implement project activities. However this was	Lack of staff leads to lack of activities undertaken and no proposals written.	Facilitate the formulation of a guideline on human resource planning for CBOs working on CFM related

	<p>only possible because such CBOs had received funding from donors, which caters for staff.</p> <p>-in other cases, lack of staff is improvised by having volunteers. Supervision of work is then done by the Board or the founders</p>	<p>Lack of human resource development planning or even a policy, affects the operation of activities in the CBOs.</p>	<p>activities. Include possibilities of sharing of roles between and among the partners that are involved in the CFM activities. This can be one way of dealing with supervision of those CBOs which lack staff but require technical support.</p> <p>Build capacity of volunteers to manage CBOs and improve on service delivery to communities</p>
3. Financial management	<p>Members pay subscriptions and this is the main source of income for CBOs. Some CBOs get funds from donors like UNDP-GEF/SGP,NAADS,VSO. However, CBOs tended to rely on the funds availed at a specific time and do not continue fund raising in time for the following year. CBOs do not also plan for other ways of sustaining projects other than membership fees and specific donor funding. It was found out that in most cases projects do not have continuity after donor funding</p>	<p>Lack of clear financial systems even in case where there are professional people on the board. There is neglect of procedures as most people think that such are not necessary given the smallness of CBO operations.</p>	<p>Facilitate the formulation of a guideline on financial systems for CBOs dealing with forest resource management and conservation under the CFM arrangement.</p>

Strategic actions to address the capacity needs in Decision making, Management and Administration require formulation or making use of existing training materials and to provide skills to CBOs on:

- Effective management of CBOs that use the CFM principles to sustainably manage & conserve forest resources.
- Mainstreaming gender and equity in management and administration of CBOs. This can be done through increasing participation of women in management and building their skills for effective work; planning activities that take into consideration the different roles, needs and priorities for women as well as men; formulating gender focused indicators to inform the monitoring process that enables effective outcomes of the projects, and other strategies.
- How to design management systems that are appropriate to different levels of CBOs in the EMPAFORM programme.

ii) Human Resources

In cases where CBOs have received funding that caters for staff, there is clear division of roles(20% of CBOs). In other cases, lack of staff is improvised by enrolling volunteers. However, members of all the CBOs mentioned that most of the volunteers they use are not experienced. In

such cases, supervision of work is done by the Board or the founders. A few cases were noted where such resource is funded from a donor to obtain qualified volunteers. Capacity gaps were identified to include: Lack of staff, which leads to lack of activities undertaken and no proposals written; Lack of human resource development planning or even a policy, which affects the operation of activities in the CBOs.

Strategic actions to address the capacity needs in Human resource development require EMPAFORM to facilitate the formulation of a guideline on human resource planning for CBOs working on CFM related activities. There is need to include possibilities of sharing of roles between and among the partners that are involved in the CFM activities. This can be one way of dealing with supervision of those CBOs which lack staff but require technical support.

iii) Financial management

In terms of financing, the common source to all CBOs was mentioned to be the subscription by members. Lack of skills for proposal writing affected 90% of the CBOs included in the exercise and those which were consulted in the baseline study of EMPAFORM. There was lack of clear financial systems even in case where there are professional people on the board. Financial procedures are neglected by all the CBOs and they tend to be reminded by funders as well as Local government officials. Most people think that such procedures do not necessary apply to their CBOs, given the smallness of the operations. In terms of strategic actions to address the capacity needs in financial management, EMPAFORM should facilitate the formulation of a guideline on financial systems for CBOs dealing with forest resource management and conservation under the CFM arrangement.

4.3 Capacity available for programme development and service delivery, gaps and strategies to address capacity needs

Within the perspective of organizational strengthening, programme development is a key aspect that determines the progress of the organization as well as the extent to which service delivery is planned for. Programme strategies are extremely essential in this respect. However, the assessment exercise revealed that programme strategies had been formulated for those CBOs which had been directly assisted by NFA in this activity. Other CBOs requested for information and skills training on how to formulate a strategic plan and a programme. The planning of CFM by NFA enabled 30% of the CBOs to start on formulating a programme strategy. It was therefore evident that where partnerships exist in forms that can be used to build capacity of CBOs, then the members are willing to learn and they keep on demanding for other skills, which they realize to be useful due to having been exposed to effective planning tools.

Projects that are designed on the basis of needs assessment have proved to be related to the felt needs of the communities and are appropriate to their working conditions. Apart from that, such projects are sustainable since such interventions are based on the demands of the local level stakeholders. The assessment exercise found out that only 30% of the CBOs had based their project designs on needs assessed from the communities. Rather, projects were formulated according to the requirements of the sources of funding. Limitations to having projects that are based on communities' needs included:

- Lack of guidelines on programme and project formulation;
- Lack of funds to carry out needs assessment that even includes those who are not members of the CBO but are users of forest resources
- In cases where effective service delivery has been undertaken, CBO members lack skills to document lessons learnt in projects undertaken so far and how to replicate efforts in other sites.

Figure 5: Capacity available for programme development and service delivery within CBOs and strategies to address capacity needs and gaps

<i>Components of the CBO: Programme development & service delivery</i>	Effective operations & Capacity available	Capacity needs & gaps	Strategies to address capacity needs & gaps
Programme development & management	<p>-The planning of CFM by NFA enabled some of the CBOs to start on formulating a programme strategy. This was only possible for those CBOs which were directly assisted by NFA in this activity.</p> <p>-only 30% of the CBOs based their project designs on needs assessed from the communities. Rather, projects were formulated according to the requirements of the sources of funding.</p>	Lack of guidelines on programme and project formulation; fundraising; how to document lessons learnt in projects undertaken so far and replicate efforts in other sites.	<p>-Facilitate formulation of guidelines on how to formulate a programme strategy and use this to plan and fundraise for projects</p> <p>- Facilitate formulation of a fundraising guide for CBOs working on the CFM programme. Include possible sources of funding and their requirements. Make use of existing funding through the District development planning system.</p>

Strategic actions to address the capacity needs include:

EMPAFORM should facilitate and supervise the following actions:

- formulation of guidelines on how to design a programme strategy and use this to plan and fundraise for projects
- formulation of a fundraising guide for CBOs working on the CFM programme. Include possible sources of funding and their requirements. Make use of existing funding through the District development planning system
- formulating guidelines for effective service delivery by CBOs,
- Documenting cases studies of lessons learnt in projects and planning for their replication.

4.4 Capacity available for external relations and networking, gaps and strategies to address capacity needs

i) Networking and advocacy

CBOs have minimal linkages with Central government but more with local government. Effort has been done by NACOPRA, Kamusiime, MAFICO and NOBUFOCA to collaborate with Local government in areas of forest management and conservation. Capacity gaps exist in case where there is lack of guidelines on how to formalize partnerships; the gains, obligations and responsibilities of different partners. Apart from that, the assessment noted that there are differences in forest management and conservation agendas for the various categories of communities versus those promoted by Local government offices, especially forestry, environment, gender and community development. There is need for coordination of differing activities that target solving the same problem. There is lack of capacity to influence sector policies and budgets at Central and Local government level.

Figure 6: Capacity available for external relations and networking within CBOs and strategies to address capacity needs and gaps

Components of the CBO: External relations & Networking	Effective operations & Capacity available	Capacity needs & gaps	Strategies to address capacity needs & gaps
1. Networking & advocacy	-CBOs have minimal linkages to Central government. Effort has been done by NACOPRA, Kamusiime, MAFICO and NOBUFOCA to collaborate with Local government in areas of forest management and conservation.	Lack of guidelines on how to formalize partnerships; the gains, obligations and responsibilities of different partners Differences in forest management and conservation agendas for the various categories of communities versus those promoted by Local government offices, especially forestry, environment, gender and community development -lack of capacity to influence sector policies and budgets at Central and Local government level	- Strengthen partnerships for strengthening CBOs to conserve and manage the forests in a sustainable way through encouraging CBOs to strengthening links with Local Government (Forestry officer, environment officer, community development officer, and Gender officer), CBOs, NFA and EMPAFORM -contribute towards formulating a common agenda that clearly shows the roles for different partners in Community Forestry Management at local levels -Facilitate provision of information to CBOs to enable them participating in Local government and NFA consultative meetings and policy level -Provide guidelines on sector planning, budgeting and monitoring processes of CFM related activities to enable CBOs to influence decisions at Central and Local Government levels to advance the community agenda as well as taking into consideration the needs and priorities of female and male forest-resource users. Formation of CBO networks to ease and enhance information sharing between and among CBOs dealing with CFM at the district level, national level and the greater east African region where EMPAFORM is operating from.

2. Public relations, communication & information	<p>The main communication system that CBOs have is the channel of sharing information through meetings, especially monthly or during Annual general meeting.</p> <p>-NACOPRA and Kamusiime have subscribed to newsletters beyond the one provided through the EMPAFORM programme.</p>	<p>Lack of a management information system at CBO level and in some case even at district level. As such CBOs fail to have effective means of storing and disseminating information.</p> <p>- Limited capacity to produce IEC materials and public relations materials such as fact sheets, submissions to news papers and others.</p> <p>-lack of ability to mobilize external support from private sector, NGOs and other CBOs where they can be able to disseminate information about their work.</p>	<p>-Facilitate the formulation of simplified information materials that enable CBOs to have knowledge and information on the linkages of policy and real activities on the ground.</p> <p>-Facilitate translation (in local language) and repackaging of Government commitments as well as environment and forestry Laws and policies, in particular the National Forestry and tree Planting Act 203, The national Forest Plan, the Land Act, The national Forest Policy and the Poverty Eradication Action Plan.</p> <p>- train CBOs to develop case studies that can illustrate their own stories</p> <p>-contribute to strengthening or establishing a management information system at the district level, which CBOs can use to store and disseminate information</p>
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Strategic actions to address the capacity needs in Networking and advocacy include the following:

- Strengthen partnerships for strengthening CBOs to conserve and manage the forests in a sustainable way through encouraging CBOs to strengthening links with Local Government (Forestry officer, environment officer, community development officer, and Gender officer), CBOs, NFA and EMPAFORM
- Contribute towards formulating a common agenda that clearly shows the roles for different partners in Community Forestry Management at local levels
- Facilitate provision of information to CBOs to enable them participating in Local government and NFA consultative meetings and policy level
- Provide guidelines on sector planning, budgeting and monitoring processes of CFM related activities to enable CBOs to influence decisions at Central and Local Government levels to advance the community agenda as well as taking into consideration the needs and priorities of female and male forest-resource users.

ii) Public relations, communication and information

The main communication system that CBOs have is the channel of sharing information through meetings, especially monthly or during Annual general meeting. NACOPRA and Kamusiime have subscribed to newsletters beyond the one provided through the EMPAFORM programme. However, challenges exist in form of capacity gaps that require to be addressed. These include lack of a management information system at CBO level and in

some case even at district level. This hinders CBOs from having effective means of storing and disseminating information. There is limited capacity to produce IEC materials and public relations materials such as fact sheets, submissions to news papers and others. Furthermore, CBOs lack the ability to mobilize external support from private sector, NGOs and other CBOs where they can be able to disseminate information about their work.

Kamusiime CBO had a feedback mechanism that was in form of a forum held once a year to distribute money from the tree nurseries to the members. However, the feed back was not a point of engagement of members in a reflection of lessons learnt from work done. NACOPRA had a good example of having a system of reflecting on lessons learned within the process of implementing their activities and suggesting recommendations that could then be focused on in planning of other projects. It was a forum for communicating results of the project including impacts on women, men and children. That system had worked because the donor (UNDP/GEF/SGP) had a principle of making sure that NGOs/CBOs evaluated their performance. That reflection would then provide a basis for planning future activities by focusing on successes and strategising on how to address the challenges.

In terms of information needs, the capacity assessment exercise enabled CBOs representatives to indicate the challenges they faced and the type of information that is required to improve on their performance. The following categories and details of information needs were identified by the CBOs which participated in the capacity assessment exercise:

iii) Information needs

Information needs existed and community groups were in urgent need of policy and legal related information needs, especially related to Local government's roles in forest management and what sort of legal provisions that communities could use in cases where they were dealing with conservation of forests on community and private land. The capacity assessment exercise found out that there was much need for knowledge and guidance from the office of the District Forest Officer but such services were not yet reaching the community groups. Information about the Land Act 2002 and it implication to community forests was needed just like the provisions and support that the National Forestry Policy 2001, the Plan and the National Forestry and Tree Planting Act 2003, has for those who participate in Collaborative Forest Management. It was encouraging to note that most of the CBO members knew about the poverty focused agenda that the government is following and requested for information about the Poverty Eradication Action Plan (PEAP) and how it relates to forestry.

The Policy and legal related information needs therefore include:

- | | | | |
|-----|--|------|---|
| i) | The role of local government forestry authorities in managing local forest reserves and the forests on community and private land. | iii) | Laws that govern conservation of forests on community and private land. |
| ii) | Services communities can get from the Office of the District Forest Officer. | iv) | The land Act 2002 and it implication to community forests. |
| | | v) | How to register a community land. |
| | | vi) | Procedure of attaining the status of a community forest. |
| | | vii) | The National Forestry Policy 2001. |

(OCA) of CBOs Under EMPAFORM Programme

- | | |
|---|---|
| viii) How the policy supports CFM? | xi) Poverty Eradication Action Plan and how it relates to forestry. |
| ix) What returns does the policy say about the communities involved in CFM. | xii) Role of National Forestry Authority (NFA) in managing forests. |
| x) The National Forestry and Tree Planting Act 2003. | |
| xiii) National Forest Plan. | |

Technological related information needs mainly included the demand to acquire knowledge and skills on improving the value and quantity of the non-timber forest products especially the medicinal herbs, honey and crafts. Information on fish farming, tree nurseries and plantation management skills was sought as well as energy conservation methods. Capacity assessment enabled CBO representatives to realize the need for institutional and management related information needs.

The technological related information needs include:

- | | |
|---|---|
| i) Knowledge on improving the value and quantity of the non-timber forest products especially the medicinal herbs and crafts. | iv) Processing of some products like the herbal medicine and honey |
| ii) How to improve on the quality of the non timber forest products. | v) Knowledge and skills for making modern bee hives as well as carrying out fish farming. |
| iii) Availability of market for the non timber forest products. | vi) Establishing tree nurseries. |
| | vii) Plantation management skills. |
| | viii) Energy conservation. |

Information was also requested for to enable CBOs to know how to register at District level and at the NGO Board in cases where they reach the capacity operate as an NGO. There was no need for members of the CBOs to know what advantages they had in cases where they had already registered with the District Community Development Officer (CDO). What sort of services do they have to demand for from the CDO? What feed back does the CDO require from the CBOs?

The Institutional and management related information needs include:

- | | |
|--|---|
| i) Registration of Community based Organizations. | more actively involved in CBO work? |
| a. How to register community based organizations. | b. Team building. |
| b. Advantages involved in registering community based organizations. | iii) Booking keeping and writing financial reports. |
| ii) Leadership and community dynamics. | a. How to prepare financial reports |
| a. How to involve and motivate community members to get | b. Preparing budgets. |
| | c. Basic knowledge in book keeping. |
| | iv) Record keeping. |

(OCA) of CBOs Under EMPAFORM Programme

- v) List of potential donors in the country to finance income generating activities and proposals related to forestry.
- vi) Proposal writing and resource mobilization.

Leadership and community dynamics were two other areas where CBOs wanted information. Information about how to involve and motivate community members to get more actively involved in CBO work was considered to be key towards ensuring effective operation of the CBOs. Information and skills about team building and networking was considered to be one of the strategies for enabling the members of the CBOs to improve on their working relationships.

Apart from seeking to have skills in booking keeping and writing financial reports, CBOs requested for information on good practices in preparing financial reports and examples of how to formulate budgets in relation to stated objectives and activities of a specified project. Examples of good practices in record keeping were considered to be essential for provision of a reference point from which CBO members could obtain a guideline. Fundraising was considered to be key in enabling operation of activities. There was a need for CBOs to obtain a list of potential donors in the country who could finance income generating activities and proposals related to forestry. However, CBO members realized that such proposal would not be fit for funding if members lacked skills and information about proposal writing and resource mobilization.

CBO members felt that they had a big role to play in enabling the Local Governments to know and take into consideration the needs of communities as well as to make use of the achievements in the communities in order to improve on livelihoods. However, CBO members lacked skills on how to package the information and deliver it in ways that would convince the policy and project planners at Local Government level. Apart from that, they also lacked information on how to carry out advocacy, what is the right timing for such activities and what examples can be used for effective methods of negotiating.

Advocacy related information needs include:

- i) Need for advocacy and negotiation skills.
- ii) Methods in negotiation

Strategic actions

Strategic actions to address the capacity needs in public relations, communication and information include the following:

- Facilitate the formulation of simplified information materials that enable CBOs to have knowledge and information on the linkages of policy and real activities on the ground.
- Facilitate translation (in local language) and repackaging of Government commitments as well as environment and forestry Laws and policies, in particular the National Forestry and Tree Planting Act 2003, The National Forest Plan, the Land Act, The National Forest Policy 2001 and the Poverty Eradication Action Plan.

- Train CBOs to develop case studies that can illustrate their own stories
- Contribute to strengthening or establishing a management information system at the district level, which CBOs can use to store and disseminate information

4.5 Ranking of available capacity and capacity needs

With reference to the above explanation of findings on capacity assessment of CBOs working with EMPAFORM programme, the assessment exercise enabled CBO members to rank the capacity available and where there is need to enhance the skills, information and practical action. The capacity available was indicated as an area where the CBO has strength or was fair, and the areas where there was need for enhancement of capacity, was indicated as that one which is weak or very weak (see figure 7 below). As this report moves towards the recommendations, EMPAFORM is guided to make use of the matrix below in order to plan for capacity strengthening of the specific CBOs. The matrix illustrates that the CBOs are not homogeneous. They vary according to capacities available and capacity need. It is advisable to pay more attention to those areas where CBO are very weak and those which are weak. Effort should be made to use examples from CBOs which have strengths in areas where others are weak. Such networking will enable sustainable linkages between and among CBOs as they learn from each other. There should also be continuous documentation of best practices as well as situations of change from “weak” to “strong” capacity.

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CBO.	DISTRIC T	CAPACITY GAPS / NEEDS IDENTIFIED IN THE CBOs VISITED DURING THE OCA									
		Legal identity	Vision, Mission & Goals	Leaders -hip	Accounta- bility & Transpa- rency	Decisio n Making	Human Resourc e	Fina- ncial Manag e- ment	Prog. Devt & Manage - ment	Net- Worki ng & Advoc a-cy	Public relations, commu- nication & inform- Ation.
Mabiira Forest Integrated Community Org (MAFICO)	Mukono	3	4	3	3	3	4	3	4	3	3
Conserve for Future Sustainable Devt Assoc (COFSDA)	Mukono	2	2	2	2	3	2	1	2	2	1
Nkalwe Sango Bay Twezimbe CFM Group	Rakai	3	2	3	1	2	1	1	2	2	2
Kigazi Tukwatirewa mu Forest Group	Rakai	3	2	3	1	3	2	1	1	2	3
Mugamba Mujanjabula Save the forest Group.	Rakai	3	3	2	2	3	2	1	1	2	2
Kamusii Memorial Rural Devt Pilot Scheme (KMRDPS)	Bushenyi	3	4	3	3	3	3	3	4	3	3
BUECA	Bushenyi	1	3	2	3	3	2	2	2	2	1
Nature Conservation & Promotion Assoc (NACOPRA)	Masindi	3	4	3	3	3	3	2	3	2	3
North Budongo Forest Communities Assoc (NOBUFOC A)	Masindi	3	3	3	3	3	1	2	2	3	2
Kapeeka ommunity Devt Assoc (KACODA)	Masindi	1	2	2	1	2	2	1	1	1	1

Figure 7: Capacity needs: Ranking of the Capacity Needs in the CBOs visited during OCA exercise

Key:

- 1- Organization is **very weak** in this area
- 2- Organization is **weak** in this area
- 3- Organization is **Fair** in this area
- 4- Organization **has strength** in this area
- 5- Organization **has most strength** in this area.

5. Recommendations and way forward

The following are the recommendations for strengthening the capacity of CBOs to conserve and manage the forests in a sustainable way with increased benefits to poor men, women and children:

i) Capacity to enhance skills in planning for effective delivery of services by CBOs

Effort should be made to design or adopt training materials and user guidelines that CBOs can use while dealing with the following:

- How to strengthen organizational aspects of CBOs in terms of: governance, leadership and management, programme development and service delivery; networking, information and communication; influencing policy change and implementation
- How to analyze and consider differences in roles, needs, responsibilities and decision making power for women and men in activities undertaken by CBOs as well as dealing with women's empowerment and rights. Effort should be made to disseminate these widely at all levels. EMPAFORM should consult Local government officials, especially the community officer and gender officer to find out what materials are available at local level.
- How to define and explain the meaning, principles and stages of Community Forestry Management (CFM)
- How to address capacity gaps or areas of improvement that include group dynamics; team building; writing constitutions and others that may come-up as felt capacity needs for the communities. New materials should be developed in cases where there are no already existing materials that address these gaps.
- How to document successes and challenges in CFM related work done by CBOs and learn different methods of disseminating this information among CFM related CBOs and Local government where they operate and among different countries working with EMPAFORM.
- How to start and register community based organizations and the role of local government in supporting the establishment of the CBOs.

Action to be taken by EMPAFORM in collaboration with Local Government officials

iv) Capacity to influence decisions that would contribute to actions towards sustainable management and conservation of forests

Effort should be made to provide advocacy and training materials as well as user guidelines that CBOs can use while dealing with the following:

- How to document and package information as well as using it to influence decisions of Central and Local government on:

- Reporting on the situation of forestry at national level;
- Allocation of funds and forestry staff to communities
- Use of community examples of work done to promote CFM efforts.
- Including the CBO activities in the overall district development Plans.

Action to be taken through collaboration of EMPAFORM, NFA and Local government

iii) **Capacity to increase accessibility to and utilization of information**

- **Policy and legal information:** In order for CBOs to have knowledge and information on the linkages of policy and real activities on the ground, there is need to translate (in local language) and repackage all of Government Commitments as well as environment and forestry Laws and policies, in particular the National Forestry and Tree Planting Act 2003, The National Forest Plan, the Land Act, The National Forest Policy 2001 and the Poverty Eradication Action Plan.
- There is need to assist CBOs to develop effective and user-friendly information gathering, storage and dissemination system to enable them to tell their own stories.
- **Services available** at Local government, Ministry and private sector level: Effort should be made by CBOs to collect information from Local government level indicating the forestry, economic and social related services that are provided by the Local government, ministries and private sector. Such information should include guidelines on how CBOs can demand and have access to those services and how the service providers can deliver to communities. *Action to be taken by CBOs in consultation with Community development officer, probation officers and gender officers at Local government level and with support from EMPAFORM.*
- **Case studies from other countries and districts:** Effort should be made by EMPAFORM to document and provide case studies/examples of best practices and challenging situation of CBOs in implementing CFM. Such case studies/examples should not only be from districts in Uganda but also other countries within EMPAFORM programme. These case studies should provide examples that CBOs in the EMPAFORM programme can learn from and replicate successful methods and practices. EMPAFORM News, as newsletter, is a wonderful effective channel of information that can be used to disseminate the documented case studies. Effort should also be made to package such best practices in forms that are easily accessible to CBOs in smaller forms with messages that they are familiar with. Posters and action-oriented messages (do this but –do not do that) can easily be utilized by CBOs.

iv) Capacity to document information for influencing policy change and improvement in CBO practices

- EMPAFORM should develop a data bank that includes: List of CBOs working on CFM; work done by CBOs; practices undertaken by CBOs in promoting co-management and community based management of natural forests; achievements in contributing to policy change; strategies undertaken to improve CBO practices in implementing CFM.

v) Capacity to plan for and implement actions that link forestry to wider economic development and social well-being

Effort should be made to design training materials, provide skills as well as technical training, and facilitate exchange visits for communities which derive their livelihood from forest resources in order to show them the following:

- How to improve on the value and quantity of the products got from non-timber forest based enterprises .This could help increase on the incomes the local people get from sell of medicinal herbs, crafts and other products.
- How to make technology choices among those available and adopt appropriate energy saving technologies. This will help reduce on the wood fuel consumption which has a direct effect on the forests.
- How to carry out different activities to supplement their sources of income. But this should be preceded by appropriate trainings in different activities like; bee keeping, fish farming, plantation management, crafts making and medicinal herbs extraction.

vi) Capacity to establish partnerships for strengthening CBOs to conserve and manage the forests in a sustainable way

EMPAFORM should develop and strengthen partnerships between Local Government (Forestry officer, environment officer, community development officer, and Gender officer), CBOs, NFA and EMPAFORM in order to undertake actions that contribute to effective civil society organizations that conserve and manage the forests in a sustainable way with increased benefits to poor men, women and children, through:

- d) Formulating a common agenda and division of roles for different partners in Community Forestry Management at local levels that is based on the policy and legislation of forest management
- e) Engaging and participating in Local government and NFA consultative meetings and policy level negotiations to ensure that adequate attention is paid to sustainable ways of strengthening CBOs within the mandate of Local Governments;

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- f) Participating in sector planning, budgeting and monitoring processes of CFM related activities at Local Government levels to advance the community agenda as well as taking into consideration the needs and priorities of female and male forest-resource users.

vii) Capability to mobilise monetary and human resource for CBOs under CFM arrangement

EMPAFORM in collaboration with NFA and CBOs should:

- a) Formulate guidelines that CBOs can use to influence the decisions of Local Governments to make Community Forest Management key to local government priority interventions annually, including budget allocation to such activities.
- b) Train and equip CBOs with the knowledge and skills in proposal writing to target funds from donors who are supporting forest related enterprises.
- c) Create awareness about the need for Community Forestry Management among policy makers and implementers at Local Government level in ways that can influence decisions on budgets and expenditure to include activities undertaken by NGOs and CBOs working in specified localities
- d) Work with Technical staff at Local Government level to develop related operation, regulatory, and monitoring systems for the allocated budgets for CBOs working on CFM activities.
- e) Empower CBOs within the EMPAFORM programme with skills of proposal writing and resource mobilization. This could help realize and put in place other non timber forest income generating activities that may divert the people away from timber.

APPENDICES

Appendix 1: Figure 7: Summary of capacity available in CBOs, gaps identified and strategies to address the capacity needs

Components of the CBO	Effective operations & Capacity available	Capacity needs & gaps	Strategies to address capacity needs & gaps
Governance			
1. Legal identity	<p>-70% CBOs are registered with a certificate from Community Development Office</p> <p>- 70% of CBOs have fairly articulated constitution</p>	<p>-How to utilize registration as a legally secure document for use in banks, donor requests, etc.</p> <p>-Registration of CBOs at the district or sub county level.</p> <p>Registration of NGOs.</p> <p>-how to comply with rules & values of constitution that members set-up</p> <p>-where there is no constitution: how to draft it; what is its importance; what are the key principles of an effective constitution</p>	<p>- provide information about the different types of registration of an organization, especially in cases where CBOs are getting to maturity stage & can register with the NGO board.</p> <p>-Registration of CBOs</p> <p>-formulate or adopt training materials & provide skills to CBOs on how to formulate a constitution & show importance of including clear decision making rules & forms of participation for female & male members</p> <p>-design promotional materials such as posters, which show examples of key principles of an effective constitution & how to utilize it for better performance of CBOs.</p>
2. Vision, Mission & Goal	Fairly articulated in constitutions of CBOs, especially those CBOs which were formed for a specific issue such as Collaborative Forest Management. However, in 40% of the CBOs where VMGs had been well articulated, members had not internalized them well.	Very broad & difficult to understand and comply with & contribute to, in cases where CBOs were formed with general social problems. Such CBOs tend to shift with the growing demands of development & loose focus towards their stated V,M,G.	<p>-Facilitate a process of “learning from each other”, where those CBOs with well articulated & effectively operational Visions, Missions and Goals, can guide those with difficulties in formulating appropriate V,M & G.</p> <p>-Exchange visits between & among members can be one of the channels for learning from each other.</p>
3. Leadership	80% CBOs have a formal board with committees. Those CBOs which were formed specifically for CFM, have committees that represent forest resource user groups. However, in terms of performance, 50% of the CBOs face ineffective functioning of their boards & committees due to lack of clear indication of duties.	<p>Some CBOs do not have clear indication of duties of the different organs within the constitution thus affect accountability, transparency and participation within the organization. Role Conflicts exist in such cases.</p> <p>- Female participation in leadership is only available in 50% of the CBOs where the principle of “A third” is applied as required by the Local Government Act.</p>	<p>- formulate or adopt training materials and provide skills to CBOs on:</p> <p>i) Effective leadership in CBOs that use the CFM principles to sustainably manage & conserve forest resources.</p> <p>ii) Mainstreaming gender and equity (concerns of disabled, orphans, elderly) in management, operational rules and project activities.</p> <p>iii) Group dynamics, team work & feed back</p>
4. Accountability & transparency	Reporting systems between management & members are available in 60% of the	Voluntarism is misunderstood & affects exercising responsibility as a member of the CBO.	-Formulate or adopt guidelines on decision making, accountability &

	CBOs, especially through meetings/general assembly. However, effectiveness of such systems is affected by availability of funds to undertake activities. Members meet but expect facilitation on transport refund.	50% of the CBOs lack clear understanding of decision making (who reports to who, who should demand for accountability & transparency).	transparency in CBOs. -design an easy to follow reporting system that CBOs in the CFM operational areas can follow. Document best practices & address challenges as frequently as possible.
Components of the CBO	Effective operations & Capacity available	Capacity needs & gaps	Strategies to address capacity needs & gaps
Management & Administration			
1. Decision making	30% of CBOs have a decision making body, which is the management team that is made of members of the board & staff. Due to lack of established staff in 70% of the CBOs, decisions are made by the board in consultation with other members. In such cases, the chairperson has the authority.	-70% of the CBOs indicated that they lack managerial skills & requested for skills training to enhance their performance. -in cases where management systems exist (30% of CBOs), they are in forms of financial accountability, personnel recruitment & retention, administrative procedures. However, there were cases where such systems were not known & understood by all members involved in management. -very few women were in management positions & was only found in cases where such a person has unique skills needed by the organization	-Formulate or adopt training materials and provide skills to CBOs on: i) Effective management of CBOs that use the CFM principles to sustainably manage & conserve forest resources. ii) Mainstreaming gender and equity in management and administration of CBOs. Iii) how to design management systems that are appropriate to different levels of CBOs in the EMPAFORM programme.
2. Human resource	- 20% of the CBOs had staff to plan and implement project activities. However this was only possible because such CBOs had received funding from donors, which caters for staff. -in other cases, lack of staff is improvised by having volunteers. Supervision of work is then done by the Board or the founders	Lack of staff leads to lack of activities undertaken and no proposals written. Lack of human resource development planning or even a policy, affects the operation of activities in the CBOs.	Facilitate the formulation of a guideline on human resource planning for CBOs working on CFM related activities. Include possibilities of sharing of roles between and among the partners that are involved in the CFM activities. This can be one way of dealing with supervision of those CBOs which lack staff but require technical support. Build capacity of volunteers to manage CBOs and improve on service delivery to communities
3. Financial management	Members pay subscriptions and this is the main source of income for CBOs. Some CBOs get funds from donors like UNDP-GEF/SGP,NAADS,VSO. However, CBOs tended to rely on the funds availed at a specific time and do not	Lack of clear financial systems even in case where there are professional people on the board. There is neglect of procedures as most people think that such are not necessary given the smallness of CBO operations.	Facilitate the formulation of a guideline on financial systems for CBOs dealing with forest resource management and conservation under the CFM arrangement.

	continue fund raising in time for the following year. CBOs do not also plan for other ways of sustaining projects other than membership fees and specific donor funding. It was found out that in most cases projects do not have continuity after donor funding		
Components of the CBO	Effective operations & Capacity available	Capacity needs & gaps	Strategies to address capacity needs & gaps
Programme development & service delivery			
Programme development & management	-The planning of CFM by NFA enabled some of the CBOs to start on formulating a programme strategy. This was only possible for those CBOs which were directly assisted by NFA in this activity. -only 30% of the CBOs based their project designs on needs assessed from the communities. Rather, projects were formulated according to the requirements of the sources of funding.	Lack of guidelines on programme and project formulation; fundraising; how to document lessons learnt in projects undertaken so far and replicate efforts in other sites.	-Facilitate formulation of guidelines on how to formulate a programme strategy and use this to plan and fundraise for projects - Facilitate formulation of a fundraising guide for CBOs working on the CFM programme. Include possible sources of funding and their requirements. Make use of existing funding through the District development planning system.
External relations and Networking			
1. Networking & advocacy	-CBOs have minimal linkages to Central government. Effort has been done by NACOPRA, Kamusiime, MAFICO and NOBUFOCA to collaborate with Local government in areas of forest management and conservation.	Lack of guidelines on how to formalize partnerships; the gains, obligations and responsibilities of different partners Differences in forest management and conservation agendas for the various categories of communities versus those promoted by Local government offices, especially forestry, environment, gender and community development -lack of capacity to influence sector policies and budgets at Central and Local government level	- Strengthen partnerships for strengthening CBOs to conserve and manage the forests in a sustainable way through encouraging CBOs to strengthening links with Local Government (Forestry officer, environment officer, community development officer, and Gender officer), CBOs, NFA and EMPAFORM -contribute towards formulating a common agenda that clearly shows the roles for different partners in Community Forestry Management at local levels -Facilitate provision of information to CBOs to enable them participating in Local government and NFA consultative meetings and policy level -Provide guidelines on sector planning, budgeting and monitoring processes of CFM related activities to enable CBOs to influence decisions at Central and Local Government levels to advance

			the community agenda as well as taking into consideration the needs and priorities of female and male forest-resource users. Formation of CBO networks to ease and enhance information sharing between and among CBOs dealing with CFM at the district level, national level and the greater east African region where EMPAFORM is operating from.
2. Public relations, communication & information	The main communication system that CBOs have is the channel of sharing information through meetings, especially monthly or during Annual general meeting. -NACOPRA and Kamusiime have subscribed to newsletters beyond the one provided through the EMPAFORM programme.	Lack of a management information system at CBO level and in some case even at district level. As such CBOs fail to have effective means of storing and disseminating information. - Limited capacity to produce IEC materials and public relations materials such as fact sheets, submissions to news papers and others. -lack of ability to mobilize external support from private sector, NGOs and other CBOs where they can be able to disseminate information about their work.	-Facilitate the formulation of simplified information materials that enable CBOs to have knowledge and information on the linkages of policy and real activities on the ground. -Facilitate translation (in local language) and repackaging of Government commitments as well as environment and forestry Laws and policies, in particular the National Forestry and tree Planting Act 203, The national Forest Plan, the Land Act, The national Forest Policy and the Poverty Eradication Action Plan. - train CBOs to develop case studies that can illustrate their own stories -contribute to strengthening or establishing a management information system at the district level, which CBOs can use to store and disseminate information

Appendix 2: Guidelines for Good governance in Community and Second level Community Based organizations under the EMPAFORM Programme: Establishment and strengthening of CBOs working on CFM

By Patrick Tumusiime
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1. Introduction

1.1 What the guideline is about.

This guideline is part of the Organisational strengthening component of EMPAFORM. During the capacity assessment exercise of CBOs in EMPAFORM, it was revealed that CBOs lack skills and knowledge of good governance. It is due to such a need that this guideline is being formulated. It also provides the components and characteristics of good governance.

1.2 Purpose of the guideline and how to use it:

Who are the targeted users?

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It can be used by both the community and second level CBOs that seek to improve on their operations and activities by practicing good governance.

How do CBOs use it and at what stage?

This guide may be used during the process of reviewing or implementing changes in their daily operations and or set up. It may be useful to various CBOs at the different stages of development.

2. Establishing a CBO

2.1 Definition and characteristics of CBOs

i) What is a Community Based Organization?

It is a legally registered indigenous group of people who have come together voluntarily to address a felt need in the community.

This means, a Community Based Organization is a way or a means of solving problems affecting a given group of people in given area at a given time.

ii) Characteristics of Community Based Organizations.

- They are community based-meaning they exist where they operate and operate where they exist.
- Membership of the CBO is local.
- Run and managed by the beneficiaries who are local people.
- The rules or constitution of this CBO is fluid or loose.
- Mostly registered at the District level.
- Lay a strong claim on representation.
- Address a felt need in the community.
- In most cases its made up of a group of small self help groups.
- They have a limited resource base in terms of money, materials and manpower
- Their structures are simple, informal or semi formal in most cases..
- Their staff are normally semi qualified and work on a part-time basis.
- They have limited bargaining power due to poverty.
- Their level of influence is localized.

iii) Formation of CBOs.

Different CBOS are formed in different ways as explained below;

1. A group of people in a community out of the desire to solve or address a felt need can come together voluntarily, combine resources and later turn into an organized group to be termed as a CBO after registration with the relevant authority.
2. A federation of many small CBOs can come together to form a network which is thought to have many advantages over the individual small groups. This combination will see the birth of another CBO after registration with the Authorizing body.
3. Donors can also induce the formation of CBOs especially if the means of giving assistance demands a CBO to be in place as a requirement. This is common especially in Developing countries where people look at development as coming from the side of donors.
4. Government can also cause community members to come together as a CBO as a measure of ensuring organized delivery of assistance and support to the society as well as fostering grass root oriented development the seeks to empower the locals take charge of their own development process.

iv) Stages of growth and characteristics of a CBO.

The table below provides some of the important characteristics of the different CBOs have as they continue to grow.

Inception/birth stage	Formative stage	Development Stage	Maturity Stage.
<ul style="list-style-type: none"> ▪ No clear objectives/vision ▪ Vision held by a few people ▪ A lot of energy-vision holders think they can achieve the mission soon. ▪ No/ limited resources ▪ Little or no documentation. ▪ Low level of cohesion ▪ Roles are undefined. ▪ Low community participation ▪ Very limited contact with the outside community. ▪ Active voluntarism ▪ Commitment of those involved is high. 	<ul style="list-style-type: none"> ▪ Drafting of constitution, rules, roles , regulations elections etc. ▪ Hold elections. ▪ Periodic meetings are held. ▪ Acquire a name. ▪ A few activities though haphazard. ▪ Membership increases with very high expectations ▪ Some resources are generated from within. ▪ Basic structure is in place. ▪ Leadership and management is synonymous ▪ Conflicts begin to emerge. <p>Some register with lower authorities.</p>	<ul style="list-style-type: none"> ▪ They have democratically elected leaders. ▪ Become more serious on he task ▪ Clearer vision and shared by more people. ▪ Organization is dynamic. ▪ Increase in communication and participation ▪ Attracts a lot of interest from out side ▪ More qualified people start to get involved. ▪ Some tangible benefits start to be got by some members. ▪ Networking is higher. ▪ Records are kept. ▪ Roles are clarified and conflicts resolved. ▪ Regular meetings with specific agenda. 	<ul style="list-style-type: none"> ▪ Start losing vision ▪ Financial stability ▪ Projects are many both ongoing and completed. ▪ Loss of creativity ▪ Conflicts re emerge ▪ A sense of we have reached. ▪ Bureaucracy creeps in-too many controls. ▪ Need for reflection and renewal.

2.2 Vision and Mission of CBOs.

2.2.1 How to formulate a Vision and Mission of an Organization.

A vision defines a desired future and helps guide all who accept and understand it. This brings up an important question: whose vision is it? A Chairperson's personal vision can automatically become "shared vision" in a CBO -- temporarily, due to positional power -- but for it to have lasting power, that vision must be made explicit (written down), with skillful discussion among the members of the organizations.

A vision is a **realistic, credible, attractive future for [an] organization**. The right vision for an organization, one that is a realistic, credible, attractive future for that organization, can accomplish a number of things for the organization:

- **It attracts commitment and energizes people.** This is one of the primary reasons for having a vision for a community based organization: its motivational effect. When people can see that the CBO is committed to a vision-and that entails more than just having a vision statement-it generates enthusiasm about the course the CBO intends to follow, and increases the commitment of people to work toward achieving that vision.
- **It creates meaning in members' lives.** A vision allows people to feel like they are part of a greater whole, and hence provides meaning for their work. The right vision will mean something to everyone in the organization if they can see how what they do contributes to that vision. Consider the difference between the hotel service worker who can only say, "I attend meetings and pay membership fee," to the one who can also say, "I'm part of a team committed to becoming a lead CBO in providing quality conservation skills to our community."
- **It establishes a standard of excellence.** A vision serves a very important function in establishing a standard of excellence. In fact, a good vision is all about excellence. A vision so characterized by lack of a striving for excellence would not motivate or excite anyone about that organization.

- **It bridges the present and the future.** The right vision takes the organization out of the present, and focuses it on the future. It's easy to get caught up in the crises of the day, and to lose sight of where you were heading. A good vision can orient you on the future, and provide positive direction. The vision alone isn't enough to move you from the present to the future, however. That's where a strategic plan comes in. A vision is the desired future state for the organization; the strategic plan is how to get from where you are now to where you want to be in the future.

2.2.2 MISSION -- Why does this matter? Working with Purpose and Meaning

An organization's mission or purpose is the answer to the question "why?" Different questions follow; For example

Why are we doing this? Brings out purpose, motives, and intentions.

What's very important about our work? Begins to identify the values and interests that drive the Community Based Organization.

With what aspects of this work do I most identify? Is there a cause or purpose -- the bigger picture beyond the work itself? In a way, a "mission" is the motivational aspect of vision: it defines and clarifies "why does the vision matter?" and implies a set of governing values or principles. Much of what motivates and inspires people to make meaning and take action is contained in this "why" aspect. A mission statement is usually meant to define internal motivation -- it's meant to align and engage the agents or actors in the organization.

2.3 A CONSTITUTION.

In simple terms, a constitution is a set of common rules and values for all citizens and members of a given organization or CBO in a given place at a particular time.

It is a tool and an agreement between or among individuals/organizations spelling out what each party should adhere to.

i) Types of constitutions.

(a) Group laws/rules-social services (b) State constitutions (c) Company Acts (d) Societies Act (d) Co-operative Act.

ii) Importance of a constitution in a Community Based Organizations.

- It plays a very important role of promoting harmony among the different people who have come together.
- It guides the operations and activities of the members as it spells out what to do or not to do.
- It spells out the roles, responsibilities and duties of the various organs and office bearers.
- It articulates the groups' mission and objectives.
- Promotes accountability and transparency within the Organization.
- It encourages participation by all members as it defines clearly roles and responsibilities.
- Provide a foundation for a free and just society where the rights of all members are respected and promoted.

Drafting a constitution

As already outlined above, the importance of a constitution in an organization can not be underrated and so, a lot of care has to be exercised in drafting this constitution. Drafting a constitution is done differently in different organizations for various reasons like resources available, expertise and the level of the

complexity of the community based organization. In some organizations, the service of legal personnel can be got at a cost to be met by the initiators of the vision; while in others, it is done by a group of people (Committee) mandated by the general assembly. This committee should at least have a person or co opt a member with slight or fair legal knowledge.

After the constitutional committee has prepared the first draft of the constitution, it should present the draft copies of the constitution to members so that minor issues and mistakes are corrected and or brought to the attention of the committee. Once this has been done, and comments of the different members have been taken care of, the final draft should now be put before the general Assembly for review and addition of any relevant comment before the final copy of the constitution is prepared for approval and adaptation by the general assembly

A good constitution has to be drafted in regard to the following principles.

a) Participatory principle.

The people going to affect or to be affected by the constitution should be involved in drafting the constitution. The lame, elderly, children, women and the poor should all be consulted.

b) Impartiality principle.

It should benefit and treat all members equally regardless of their age, sex, religion, cultures, race, ethnic background and or physical disability.

c) Consistence principle.

No article, section or paragraph in the constitution of the organization conflict with the existing government constitution at all times.

d) Sacrosanct principle.

All activities, operations and behavior of the members in the organization should be governed by the constitution. Where the interests of an individual seem to conflict with those of the organization, the provisions in the constitution should prevail.

e) Simplicity principle.

The constitution should be very simple and easy to be understood by all members of the organization.

f) Durability principle.

The constitution should be able to stand a test of time. This does not suggest or imply rigidity but it ability to remain unchallenged unquestioned for a reasonable time.

Components of a good constitution.

a. Preamble

- | | |
|--|---|
| <ol style="list-style-type: none"> 1. Name of the organization. 2. Mission Statement 3. Aims and Objectives. <ol style="list-style-type: none"> a. Short term objectives b,Longterm Objectives. 4. Means of accomplishing the objectives - Activities. 5. Organs of the Organization: i) General Assembly (ii) Patron (iii) The Board of Directors (iv) The Executive (v) Secretariat (vi) Committees (vii) Sub committees. 6. Functions of the Organs. 7. Elections | <ol style="list-style-type: none"> 8. Tenure /Duration of committees, sub-committees and other office bearers.. 9. Meetings: General Assembly; Board meetings; Executive meetings; Committees meetings; Sub-Committees meetings. 10. Accountability. 11. Decision making authority. 12. Fundraising and Expenditure. 13. Savings/Bankers. 14. Appointment of staff. 15. Disciplinary actions and dismissal of staff. 16. Dissolution of the organization 17. Interpretation of the constitution. 18. Amendments. |
|--|---|

Duties and Responsibilities of the Different Organs of the Organization.

It is always important to have all the duties of the organs well written in the constitution. This will increase on the level of accountability and transparency in the organization while on the other hand it will reduce on the level of conflicts that arise as the organization starts to expand in its operations. In this document, I have only highlighted on a few roles of some office bearers in the organization as well as the board.

Roles of a Chairperson.

The Chairperson has the chief responsibility for the organizations successes.

Here are some of the guidelines to assist you draw up or update your chairperson's roles.

- | | |
|--|--|
| a) To act as the Head of the organization or the chief executive.. | e) He/she shall act as a link to other organization. |
| b) He/she shall coordinate all activities of the organization. | f) He/She shall work toward maintaining and uplifting the image of the organization. |
| c) To call, head, and preside over all executive meetings. | g) He/shall be an ex-officio to all other committee meetings. |
| d) He/she shall prepare and present up to date status reports about the organizations in the general assembly and any other for as its deemed necessary. | h) He/she shall be a principal signatory to the account(s) of the organization. |
| | i) To under take and ensure implementation of the decisions of the general assembly. |

Roles of the Vice Chairperson.

- a) To assist and Deputize the Chairperson when he/She is absent or when delegated by the chair person.
- b) To carry on any other duty as assigned by the Chairperson.
- c) To carry on any other duties as assigned by the general assembly.

Roles of the Treasurer.

- | | |
|--|---|
| a) Controlling the finances of the organization. | f) Collect and receive al monies approved by the executive or the general assembly. |
| b) Report to the chairperson how the money is being used. | g) Keep members informed about the finances of the organization. |
| c) Draw up a budget for the year to be approved by the general assembly. | h) Make sure the books and the or prepare an annual financial report. |
| d) Keep up date records of all money that goes in and out of the organization. | i) Any other responsibility as assigned from time to time by the chairperson. |
| e) Keep the organization informed about how much of the budget has been spent. | |

NB. Because the treasurer deals with finances,s/he is one of the most important people in the organization. You must make sure your organization chooses someone who can do bookkeeping and who pays attention to detail for this job.

Roles of the Secretary.

- | | |
|---|--|
| a) He/she shall handle all correspondences of the organization. | c) S/he shall keep all membership records in the organization. |
| b) S/He shall keep and be the custodian of all records of the organization. | d) Shall take minutes of the executive meetings. |

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- e) She/he shall always communicate to members the schedule of meeting and their respective agendas.
- f) He/She shall be a signatory to the bank account for the organization.
- g) She /he shall coordinate the daily activities of the organization.

N.B the secretary is the person who does the administrative work of the organization.

Roles of the organs like the board, the general assembly, the patron, the executive director, and committees .

Patron.

- a) She /He shall act as an advisor to the executive and the organization.
- b) Shall link the organization to the outside for purposes of achieving the goals and objectives of the organization.
- c) Shall carry out any other work as assigned by the general assembly.

NB. The work of the patron is just advisory and so the executive is at liberty to either adopt or drop his advise.

Roles of the General Assembly.

- a) Act as a supreme decision making body of the organization.
- b) To elect members to represent various interests to the board.
- c) To dissolve the board.
- d) To review annual progress of the organization.
- e) To approve major changes in the structure and activities of the organization.:

Roles of the Board

- a) Developing a strategic plan.
- b) Supporting the leadership and development of the organization.
- c) Providing financial oversight and do fundraising.
- d) Maintain community and organization relation ship
- e) Ensuring the organization undertakes its work.
- f) Managing its own activities.
- g) Any other responsibility as assigned by the general assembly.
- h) Providing information from the outside that will help considering strategic options.

N.B for avoidance of role conflict, the following table provides a clear cut difference between the roles of management and the board.

The figure below shows the difference there is between the roles of the management and the board.

Strategic Planning	
Board Responsibilities	Management Responsibilities
Form strategic planning committee. Define process and develop a schedule for completing the plan.	Participate in strategic planning process.
Develop the organization's mission statement.	Help the board define the mission statement by soliciting input from other staff and communicating their ideas to the board.
Provide information from the external environment	Collect and analyze program and service data and

that will help in considering strategic options.	present results to the board.
Make strategic decisions.	Recommend strategic options.
Approve operational plan and budget that reflects strategic decisions. Periodically review operational plan and budget.	Develop the operational plan and budget for board consideration. Implement the operational plan.

Source: International Civil Society Association-New Dheli Publications.

Why is a Board important?

Boards are often required by law. A board of directors is often a legal requirement for a nonprofit or for-profit organization. Organizations that serve the public and do not operate for any individual's personal gain are usually eligible for special concessions and immunities, such as tax exemptions. These organizations are usually required to have a governing board to ensure that the activities of the organization continue to focus on serving the public.

Boards provide oversight functions. In exchange for indirect financial assistance from the government, governments often require that a group of individuals voluntarily serve on a board of directors and act as guardians of the "public trust." This structure makes the organization's management accountable to a diverse group of people who have the general interest of the organization at heart, are not directly involved in the individual activities of the organization, and, due to the voluntary nature of the board, can effectively provide financial oversight since no personal financial gain is involved. This ability of the board to remain objective is critical to its effectiveness in guiding the organization.

Boards promote the organization's cause. In addition to fulfilling legal requirements, a community based organization may need a board of directors made up of individuals who support the organization's mission, believe in it, and seek to promote it. Advocating for the organization and its cause is an important function of the board and involves promoting the mission and goals of the organization within the community and with the government.

Boards help to raise funds. The ability to raise funds is an important measure of a board's effectiveness in serving an organization. Board members who are influential in the community can often successfully elicit major contributions from a variety of private and business sources. Building an active group of financial supporters who regularly donate money to the organization will increase the resources available to implement programs, making it easier for the organization to fulfill its mission and achieve its objectives.

Roles of the executive director or secretary.

The executive director should do always handle the following:

- A report of revenue and expenses (income statement) compared to the budget, with explanations of any significant variance;
- A cash flow projection update;
- A balance sheet showing the financial position of the organization at that time;

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- A report on the number of current clients compared with the number projected, and compared with the number in same period of the previous year, and in previous quarters of the current year;
- A report on information, education, and communication (IEC) activities and outcomes;
- A report on fund raising activities and results;
- A report on public and community affairs activities and results;
- Develop and keep a list of critical issues that might affect the stability of the organization.

What are Committees

A committee is a group of people assigned a particular task at a particular time.

A committee can as well be described as a team at work seeking to achieve or accomplish a given goal or task in a given time.

Why are committees formed

- Save on time.
- Build and improve relationships among or between members.
- They are a tool for delegation.
- Help to motivate members in a large group.
- They help members realize and develop their full potential.
- Committees increase on participation.
- Committees can handle tasks in detail.

Qualities of a good committee member.

The chair person when forming committees should always consider some of these qualities.

- A committee member should have a commitment to the mission of the organization.
- That member should have the enough time to put in the committees work.
- A committee should have the skills of judgment; ability to take risks, making budgets, setting priorities all these portray.
- She/He should show leadership potential.
- She/he should be creative and have a vision for the long term course of the organization.
- A committee member should understand the operations of a voluntary sector and the general environment where the organization is operating from.

Some of the attributes of an effective committee member.

- Undermines the staff and fellow committee members.
- Uses the organization to satisfy ones personal needs.
- Come unprepared for meetings.
- Remains uninformed and pronounces accordingly.
- Wastes people's time.
- Develops conflict of interest.
- Yields excuses but not results.
- Does not believe in team work.

GROWING FROM CBO TO NGO.

As CBOs continue to operate, it becomes necessary to graduate to another stage of becoming a non governmental Organization in order to expand on the area of influence and operations.

REGISTERING AN NGO.

The registration of a non Governmental Organization is covered under the NGO Registration statute No.5 of 1989 and a Statute-NGO regulation 1990. These provide for a Registration Board in the Ministry of Internal Affairs in Kampala called the NGO Board made up of 14 members appointed by the minister. The Board can reject NGO applications; deny renewal or approval of operations of a given NGO.

Requirements for registration.

1. A letter recommending the organization written by the local council Chairman. On the same letter, the Chairman LCII, LC III and the Resident District Commissioner (RDC) should each endorse their signatures and stamps.
2. Written recommendations from two (2) sureties or recommenders from the related technical areas.
3. A work plan and an itemized budget showing the activities to be undertaken during the first year of the work plan attached.
4. Two (2) Copies of the constitution or BY-laws or rules specifying the purpose of which they are to be utilized. All these should bear signatures of the members who agree to them and should have a dissolution clause.
5. An organizational chart or administrative chart. Showing its leadership.
6. Registration fee of 15,000 Uganda Shillings payable when all requirements are in place.
7. A filled registration form 'A'. See form attached marked 'A'
8. One manila file having the filled documents with contacts of the NGO to be well indicated on.
9. A written letter from the NGO member showing the District of operation. This name appears on the Certificate once the NGO is registered.
10. Reserve a name with Registrar General's office at the Ministry of justice.

N.B. The Board sits once every month and so, any NGO registering should expect a registration certificate after once month of handing in its papers unless otherwise.

This registration helps you to become legal and you can as well get support or help from donors using the Registration certificate.

RENEWAL OF REGISTRATION OF AN NGO.

Requirements

1. Fill form marked 'F'
2. An annual report after renewal.
3. Balanced sheets or Audited Accounts reflecting how the NGO has spent on its projects in the past.
4. An endorsed work plan and budget for one year-RDC.
5. No renewal fee is charged for this.

REGISTRATION AS A CBO.

Requirements.

1. A constitution or BY-laws or Rules endorsed by members.
2. List of Executive members.
3. A filled application form from the Community Development Office.
4. Reserve a name with District Commercial officer or Registrar of Companies. This helps in opening up a bank account.

REGISTRATION AS A COMPANY limited by Guarantee.

Requirements.

1. A certificate of Registration form NGO Board.
2. Articles and memorandum of Association.
3. Signed resolutions from members.
4. Filled forms
5. Registration fee.

3. **GOOD GOVERNANCE**

The concept of "governance" is not new. It is as old as human civilization. Simply put "governance" means: **the process of decision-making and the process by which decisions are implemented (or not implemented)**. Governance can be used in several contexts such as corporate governance, international governance, national governance and local governance

Since governance is the process of decision-making and the process by which decisions are implemented, an analysis of governance focuses on the formal and informal actors involved in decision-making and implementing the decisions made and the formal and informal structures that have been set in place to arrive at and implement the decision

Good governance has 8 major characteristics. It is participatory, consensus oriented, accountable, transparent, responsive, effective and efficient, equitable and inclusive and follows the rule of law. It assures that corruption is minimized, the views of minorities are taken into account and that the voices of the most vulnerable in society are heard in decision-making. It is also responsive to the present and future needs of society.

Participation

Participation by both men and women is a key cornerstone of good governance. Participation could be either direct or through representatives. It is important to point out that representative democracy does not necessarily mean that the concerns of the most vulnerable in society would be taken into consideration in decision making. Participation needs to be informed and organized. This means freedom of association and expression in the organization.

Rule of law

Good governance requires that the constitution and or rules and regulations are enforced impartially. It also requires full protection of human rights, particularly those of minorities. Impartial enforcement of the constitution requires an executive that is very impartial.

Transparency

Transparency means that decisions taken and their enforcement are done in a manner that follows rules and regulations laid down in the constitution. It also means that information is freely available and directly accessible to those who will be affected by such decisions and their enforcement. It also means that enough information is provided and that it is provided in easily understandable forms.

Responsiveness

Good governance requires that the organization and processes try to serve all stakeholders within a reasonable timeframe.

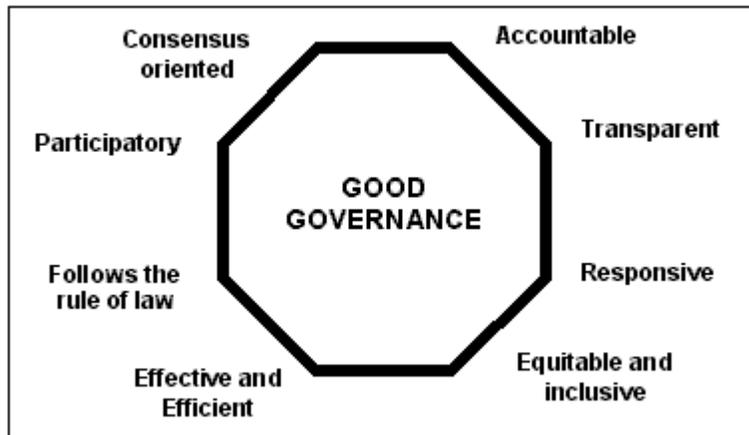


Figure 1: Characteristics of good governance

Consensus oriented

There are several actors and as many view points in a given society. Good governance requires mediation of the different interests in society to reach a broad consensus in society on what is in the best interest of the whole community and how this can be achieved. It also requires a broad and long-term perspective on what is needed for sustainable human development and how to achieve the goals of such development. This can only result from an understanding of the historical, cultural and social contexts of a given society or community.

Equity and inclusiveness

An organization's well being depends on ensuring that all its members feel that they have a stake in it and do not feel excluded from the mainstream of organization. This requires all groups, but particularly the most vulnerable, have opportunities to improve or maintain their well being.

Effectiveness and efficiency

Good governance means that processes and institutions produce results that meet the needs of society while making the best use of resources at their disposal. The concept of efficiency in the context of good governance also covers the sustainable use of natural resources and the protection of the environment.

Accountability

Accountability is a key requirement of good governance. Not only governmental institutions but also the private sector and civil society organizations must be accountable to the public and to their institutional stakeholders. Who is accountable to whom varies depending on whether decisions or actions taken are internal or external to an organization or institution. In general an organization or an institution is accountable to those who will be affected by its decisions or actions. Accountability cannot be enforced without transparency and the rule of law.

Pillars /cornerstones of Good governance.

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As already put above, good governance is characterized by

Transparency.

Accountability.

Predictability/Responsiveness.

Participation.

To ensure that good governance becomes a practice and a culture of the organization, management has to reflect upon these questions set under each pillar/cornerstone of good governance.

Participation

- How are group members represented in group?
- Are women, children, poor and the disadvantaged included in the group (Social inclusion)?
- What is the level of general members' participation in planning and implementation of activities?
- How actively do women, children, poor and the disadvantaged participate in planning, equitable decision making process and implementation of community decisions?
- Are there structures within the organization that cater for the participation of the women, children, poor and the disadvantaged?

Accountability

- How often does the group have meetings (General assembly)?
- What is the role and responsibility of the group?
- Does the group have a concept of the role and responsibility of the group?
- How does the group communicate to general members?
- How does the group take decisions?
- Do members take responsibility for the results of their actions?

Transparency

- Is minuting done and shared among the group members?
- Does the group display decisions and financial statements?
- Does the group managed to conduct audit their account annually?
- Has the group practiced Public Hearing and Auditing System?
- Are members allowed to have access to the audit reports and audited books of accounts?

Predictability

- Does the group manage to revise their Operational Plan and Constitution to address the major issues of women, children, poor and the disadvantaged like gender and equity?
- Does the group trust upon Community Forestry legislations and guidelines?
- Does the group participate in policy advocacy campaigns?
- Is the group clear about and committed to their vision, mission and goal?
- Does the group know the ultimate vision of the organization?.

N.B Ideas about “good governance” may vary from place to place and from time to time.

Appendix 3: Checklist of questions used for capacity assessment and information gathering

Organizations are requested to provide information on the following the key areas that the capacity assessment

A. GOVERNANCE

1. Legal Identity

- a. Is the CBO registered?
- b. Is it legally secure?
- c. What is its ability to fulfill its legal obligation?
- d. What level of benefits does it derive from its legal status?
- e. Does it have a constitution?
- f. How was the constitution formulated?

2. Vision/Mission and Goals (VMG)

- a. How, why and by whom was the organization formed?
- b. What is the purpose for the organization's existence?
- c. Is there a sense of purpose that binds those involved?
- d. Is there a clear and written V-M-G that provides focus and direction? Is it understood and internalized by all involved in the organization?
- e. What strategies, programmes and activities are being employed to achieve the VMG?
- f. Are the programmes and activities linked to the VMG of the organization?
- g. Have core values been developed and are they incorporated in the organizational culture?
- h. Do policies reflect the (VMG), of the organization?

3. Leadership

- a. Does a formal and functioning board or committee exist?
- b. What is the level of diversity in the board/committee?
- c. What interest groups do they represent?
- d. What is the composition/qualification of the board/committee?
- e. Is the board/committee clear of its roles and responsibilities?
- f. Does the board/committee have authority of making decisions independently of the founder members?
- g. Are the board/committee members accessible?
- h. Are they committed to the cause of the organization?

3.1 Accountability

- i. What mechanisms of accountability does the organization have?
- j. Do the leaders and members adhere to the mechanisms of accountability?

3.2 Transparency

- k. Does the board/committee communicate clearly to the beneficiaries and in a transparent manner?

4. Constituency Participation

- a. Does the organization have a presence on the ground or mandate?
- b. Is there a well-defined constituency base? How is the constituency base defined?
- c. If it is a membership based organization, who are the members?
- d. What is the basis of membership (any joining fee and annual renewals)?
- e. Are membership fees and annual subscription fees affordable?
- f. What kind of support or services does the organization provide to its members?
- g. Are the beneficiaries/members involved in the organization's activities?
- h. Are their needs integrated with the organization's plans?
- i. Do the beneficiaries/members feel responsible for and own the organization and its activities, including benefits?
- j. What is the level of women's and youth participation in the programme activities?

B. LEADERSHIP AND MANAGEMENT**5. Management and Administration**

- a. Who makes decisions in the organization?
- b. How are decisions made (team based, consultation, one man, consensus, and majority vote)?
- c. Who has authority for what?
- d. Are there management rules? are they known and understood by all involved in management?
- e. Does the management possess adequate managerial skills?
- f. Is leadership and management appointment based on competence and professionalism?
- g. Is there gender balance in senior leadership/management positions?
- h. What management systems exist e.g. financial, personnel, admin?

6. Human Resources

- a. Any staff in place?
- b. What is the staff composition?
- c. Are the roles of different staff clear to them?
- d. How are they supervised in their work?
- e. Any human resource development planning/policy?
- f. Is teamwork encouraged? Who decides what is to be done?

7. Financial management

- a. What are the organization's financial obligations? (rent, salaries, allowances, projects/initiatives etc)
- b. How does the organizations meet these obligations?
- c. Are members/beneficiaries aware of such obligations and how they are met?
- d. How is money raised from membership fees and annual subscriptions put into use?
- e. Are members/beneficiaries aware of such income?
- f. Any financial system in place- who keeps the money and how? What are their levels of financial skills?
- g. Any existence and utilization of financial policies and procedures?
- h. Is utilization and allocation of funds done according to established procedures and agreed upon plans?
- i. Any inventories and assets register?
- j. Any budgeting skills?

C PROGRAMME DEVELOPMENT /SERVICE DELIVERY**8. Programme development**

- a. Does a clear programme strategy exist?
- b. Are projects/initiatives designed on the basis of needs assessment?
- c. What plans are there for sustainability of interventions?
- d. Does the organization possess internal capacity to write quality proposals?

9. Programme management and implementation

- a. Are communities involved in project/initiatives implementation?

- b. Extent to which their views are taken into account during project implementation?
- c. Are action plans developed, and used?
- d. Are gender and equity strategies included in all aspects of project development and implementation?
- e. Any efforts to ensure project replicability and scaling up?
- f. Does the organization use and apply any lessons learnt?

10. Monitoring and evaluation

- a. How does the organization assess the impact of its activities in relation to the vision, mission and goals?
- b. What kind of evaluative framework exists, if any?
- c. Are the beneficiaries actively involved in regular project reviews and impact assessment?
- d. Any reports done? How often, their quality?

D EXTERNAL RELATIONS AND NETWORKING

11. Networking and advocacy

- a. Is the organization credible with communities?
- b. Does it have linkages with the government?
- c. Any collaboration and partnership with other civil society organizations?
- d. What the organizations relationship with the donors, if any?
- e. Is it a funding relationship or otherwise? For what projects.
- f. Any strategic alliances and partnerships built at the local, regional and national levels?
- g. Is the organization able to organize or contribute to knowledge sharing or advocacy through seminars and workshops?
- h. What is the organization's ability to influence public policy?

12. Public relations and communication

- a. What type of communication system is in place?
- b. How do individuals communicate with each other?
- c. How does the organization communicate with its beneficiaries?
- d. Does any management information system exist (email, phone, internet, etc)?
- e. Is the organization able to produce IEC materials?
- f. Is the organization able to relate and interact with the media?
- g. Ability of the organization to produce any PR materials (fact sheets, press statements etc)?
- h. Ability of the organization to mobilize external support from the corporate sector, civil society, or the public at large?