PARTNER DEVELOPMENT GUIDELINE

Principles and **VALUES** for organisational development

Operational elements in the cooperation with **PARTNERS**

CHECK LIST and working guideline for staff

ORGANISATIONAL DEVELOPMENT

April 2010
DanChurchAid
Organisational Development Guideline

This concise guideline presents DanChurchAid's background and principles for organisational development (section 1). The next section outlines key operational considerations, which are based on lesson learned. Section 3 is an action oriented guideline to help and guide DCA staff in regional offices in their work with partners on organisational assessment processes.

Use of the guideline is meant to be flexible – read and use what is relevant for your work with partners!

Section 1 and 2 gives an overall picture and can be shared with a wide range of actors (besides DCA staff) i.e. DCA partners and their boards, sister agencies, external consultants, facilitators and various back donors. Section 1 and 2 should be read and understood before initiating any organisational development process. Section 3 specifically targets DCA colleagues who are directly engaged in or need to provide qualified and substantial support to partners that have engaged in organisational assessment processes. Here you will find what DCA can and can not do; a check list on roles and responsibilities, reflection on funding issues and on sharing of lessons learned.

The annexes contain different models to understand different organisations, how organisations develop, change management issues, tools for organisational assessments, and various tools for monitoring of organisational changes as well as a reading list.

Since DCA aims to harvest new experiences and adapt to frequently changing contexts (or environments), the guideline will be updated on a regular basis. This hand book is intended to supplement the ACT International Guide for Organisational Capacity Assessments (2008).

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Experiences and lessons learned on organisational development from various sister agencies, consultants, ACT Int. and other INGOs have been crucial for this guideline. Thanks to INTRAC and Christian Aid in U.K.; to ICCO and MDF in the Netherlands; to Swedish Mission Council; Norwegian Church Aid and other Danish INGOs such MS/ActionAid Denmark, Danish Red Cross and Ibis.

DCA principles for organisational development

1.1 Background and definition

The global NGO environment is constantly changing e.g. with new developments in policies, new external demands, new donor requirements or restrictions, new potential target groups, new competitors and new possibilities for alliances and collaborations. Just like living organisms do in evolutionary development, organisations have to continuously adapt and change themselves to the surrounding environment to be relevant and sustainable. Inflexibility or a static mode of operation will sooner or later lead to the decay of the organisation.

Theory on organisational development suggests that progressive organisations have a high adaptation capability to new conditions. Genuine and authentic organisational development is much more likely to happen when it is based on a constant learning process for people within the organisation and when there is an open dialogue between the involved stakeholders before, under and after a major process of organisational changes. Finally, organisational development is very often seen as an organic and people-centred process that must be based on mutual trust, confidence and professional communication.

However, experience from 'real life' organisational changes in DCA, among our partners and sister agencies has taught us that organisational changes seldom follow theory or the ideal path! Organisations and the context in which they work are so different from case to case. Organisational - as well as personal changes are far from easy and change processes must be handled with care, patience and leadership. Relevant examples from DCA's own back yard are the changes towards working more rights-based, gender oriented, and the ongoing decentralisation from DCA H.Q. to regional offices in South. Since 2008, DCA has also been adapting its work to the Humanitarian Accountability Partnership (HAP) standards and benchmarks for transparency, participation, accountability and complaints.

Please refer to annex 1 and 2 for various models to understand organisations and how they develop.

1.2 DCA's values in organisational development

In DCA organisational development means: *"creating conditions in which people-centred learning and change can take place from within an organisation to improve a rights-based commitment and gender equity at all organisational levels"*. It is important that DCA's core values are integrated in our approach to as well as our own organisational development. In concrete terms, this means that our own organisational development as well as support to partners' organisational development should always aim at being people-centred and gender sensitive; it should pay attention to relationships and partnerships, and finally it must aim at increasing a rights-based commitment.

a) <u>People-centred and gender sensitive approach</u>

DCA and our partner organisations are composed of people (staff), and we serve and represent people (right holders), and organisations like DCA and its partners will only change if the people change as well. Experience tells us that change is a complex, dynamic and often rather slow process. Feelings of the involved and the affected people fluctuate - at times people are exhilarated, at others they are frightened or scared for their future. Some believe and adapt easily to changes; others pay lip service to a change process but they don't really believe in it and can quietly and unintentionally sabotage a change effort. Others may even choose to leave the organisation.[1]

When we approach organisational change, we sometimes forget people's emotions and feelings. We inadvertently treat organisations as lifeless objects – or logical machines as an engineer would do. But organisations are 'living systems', as they are made up of human beings and develop their own culture. The organisational culture is not easily seen or measured and can be compared with an iceberg – only a small part of it is visible above the surface, the rest of it lays hidden below the surface. However, organisational culture is still – more or less consciously – of great importance to the organisation's work methods, priorities, behaviour, motivation and final results. Organisational development is fundamentally a process of human change and good organisational development and should therefore:

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[1] Refer to annex 3: "The Process of Transition" and "50 ways of Avoiding Change"

- Acknowledge that people within an organisation differ in responsibility, influence, experience, position in the organisation and individual capacity. Do not assume that people in an organisation are a holistic group – merely try to ensure representation from as many different people as possible in a change process.

- Consciously engage peoples' feelings and emotions throughout a change process. Individual and organisational behaviour is influenced by rational thinking and intellect, but also by feelings, emotions and even faith. Make room for and include these feelings and emotions, instead of neglecting them, which again will provide useful insights in reasons for resistance and solutions to increase ownership.

- Use self-awareness as a critical first step in a change process. We do not change unless we realise where we are. Self-awareness and reflection for individuals and organisations is essential in promoting a change process. It may vary from a formal organisational assessment procedure, to more informal notions of 'taking stock'; to facilitated discussions of 'Where are we?' to intensely personal reflections, such as taking a 'fearless moral inventory'.

- Promote and visualize hope and trust. Organisational development has to bring hope that the change will result in a better state than today, which will inspire people to change. Hope and trust are key elements in overcoming inherent human fear and resistance.

- Places organisational 'values' at the core of a change process and appeal to people's behaviour. Good organisational development has a desire to align organisational values with people's behaviour.

- Include a gender- and power perspective in the change process. The way people behave and change in organisations is influenced by their gender, but yet gender is often treated as a discrete organisational development topic. An organisational assessment as well as development process should include gender disaggregated data and should assess the power relations in the organisation from a gender perspective. Analysis often reveals a dissonance in power i.e. the majority of decision-makers and top managers are male. This is an important insight for the organisational change process to should consider and deal with in the best way possible.

b) Relationship- or partner driven approach

It is imperative for DCA to work with cooperative partners with whom we share common values, perspectives and mutual trust. In an organisational development perspective this means that DCA strives to support and strengthen partners to fulfil their mandate as vibrant, professional, transparent and accountable civil society actors, often in very complicated and challenging contexts. DCA also strongly requests partners to give input to DCA's own organisational development, to keep DCA relevant, professional, up to date, transparent and accountable in the Danish and European context. Partners can influence DCA through the Core Group, which acts as an advisory group to DCA's Board and Council; but also at the programme platform meetings and through a strategic dialogue with DCA's regional offices. When the partnership is trustworthy, both parties also have a proactive role in voicing problems and challenges that eventually will appear down the line and together find a doable solution.

It is absolutely vital to emphasise that every partner organisation is unique and cannot be understood and analysed from a "blue print" or "one fits all" perspective. This is the basic starting point for DCA in our work with organisational development.

DCA's partners cover many types of organisations from small local community based organisations, national human rights and advocacy networks, faith based organisations, old and new organisations. These organisations also differ in structure, vision, aim, size, capacity, leadership, staff etc. Every organisation is a unit in itself, but the unit also interacts with the surrounding world; in other words it affects and is affected by its outer environment. Moreover, an organisation's ongoing development for growth, relevance and sustainability is thus largely dependent on the interaction between its "inner" life and the constantly changing "outer" environment. Without such interaction the organisation would soon become dormant and irrelevant.

In other words there is a vast diversity, different levels of maturity and historical background among DCA's partners, which must be taken into consideration before considering organisational development. Please refer to various 'organisational models' in annex 1; one model is useful for some types of organisations, whereas others are useful for other types.

Focus on partnership means that DCA does not regard organisational development as something that DCA can "do to our partner" in a top-down manner. Good organisational development is:

- Not a tool for DCA to increase their partner's efficiency, but DCA can take up problems that we see/experience with the partner and vice versa.
- Based on a concrete and expressed need by the partner.
- Founded on mutuality and trust with an ongoing and continuous exchange of learning.
- Where ownership is taken by the organisation itself and not pushed by external actors.

Be aware that formal and informal power relationships also affect organisational development work. In cases where a partner organisation receives financial support for its organisational development from DCA, this may consciously or un-consciously give DCA a position of 'power' relative to its partner. If these power relations are not handled correctly, they may prevent or obstruct an open and creative process. This can be even more difficult when DCA also wants to be involved in the organisational development itself. It is difficult to play both these roles at the same time without inadvertently also directing the process.

One example of overcoming power relations is to conduct parallel organisational assessments i.e. a DCA regional office and one partner do it together. This requires a mature and trustful partnership but can then open up for mutual sharing of lessons learned as process progresses.

In addition, during the initial process of identifying key questions for organisational assessment, too much involvement by DCA can create a problem. There is a risk that DCA's own interest in the process (for example to get better written reports or more efficient evaluations) will become the focus of the organisation process. It is important that DCA (as northern based agency) understands this problem and learn to work with it. Otherwise, there is a risk that organisational development instead of strengthening will undermine and distort the power dynamics.

c) Rights-based commitment[2]

The third important value in DCA's approach to organisational development is the adherence to a rights-based commitment in our work. Rights-based management relates to applying the values and principles of human rights in an organisation – from council, board, top management and middle management. Rights-based management bases organisational policies, systems, and processes on values such as dignity, respect, responsibility, participation, equity, fairness and transparency. It is also about promoting human rights throughout the organisation in communication, personnel policies, assessments and monitoring, financial planning and investments.

As rights-based organisations, DCA and our partners are accountable to our supporters, staff, networks and communities/right-holders; we set clear goals, measurable objectives and performance standards and have strong feed back and monitoring mechanism. We make best use of available resources to achieve the greatest impact for the target groups and their rights. Systems for feed back include regular appraisal of staff performance, measuring programme impact and gathering of feed back from right holders.

A rights-based organisation educates the public and influences people in power so they meet their obligations to respect, protect and fulfil human rights. It focuses on the problems and violations faced by the most marginalised and discriminated people groups, and rights-based work with others towards common goals. See the "RBA tree" in annex 1 for a visual understanding. The rights-based values are here seen as the "roots of our organisation", and they must influence all what we do from programmes and projects to systems and structures, the way we relate with external actors, human resource, management style and culture as well as the governing entities such as board or council. Examples of areas that organisational development could look at with a commitment to rights are:

- Focuses on non-discrimination and social equity at all levels in the organisation.
- Works towards increased diversity and equal opportunities in our organisational policies, systems, procedures and practices.
- Challenges to ensure that relevant accountability mechanisms exist for addressing the grievances of all staff members and partners.
- Ensuring transparent criteria through which staff can access various positions and entitlements.
- Ensuring equitable access for all staff members to opportunities for development and advancement.
- Challenges to enable and support adequate and relevant participation of staff in major decisions that can affect their environment.

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[2] See "DCA Cross-Cutting Policy on Rights-Based Commitment" for more details.

- Calls on our board, management and staff to be respectful of the rights of other staff members and staff working for our partners.
- The use if a rights-based framework in analysis and strategies – both in projects and programmes and in organisational development. (A detailed questions list can be found in annex 1)

Check list on three overall values when discussing organisational development with partners:

    I.   Are we taking a people-centred and gender-sensitive approach?
   II.   Are we adhering to a relationship and partnership approach?
  III.   Are we taking a rights-based commitment approach?

Operational elements in organisational development

Once the above mentioned general values have been discussed internally and with the partner, and provided there is a mutual understanding of these, it is time to move on to the operational elements of an organisational development process. Below are seven issues, which should be carefully discussed before the process is initiated.

2.1 Ensure buy-in from the leadership and organisational commitment to change

An organisational development process will only work if the organisation but especially the management/leadership has taken responsibility for the problem and has been part of the process of defining the need and a possible solution. Organisational development has to emerge from a recognized need of the parties concerned. If the parties involved do not see that there is something to gain from organisational development or if they feel they have too much to lose, they will not be committed to it. As a result, little will change.

Authentic ownership and commitment can be attained only if the parties concerned are involved in the work from the start. Authentic ownership is needed because change requires commitment. Organisational development shifts relationships and power, which disturbs the comfortable status quo. An organisation's leadership and board are critical players in such a change process. They have to engage in the process to give it legitimacy, energy and to be successful. On the other hand, there is also a risk in managing the process solely from above without the members, or grass roots, being involved. Ownership and commitment is important at all levels within the organisation, and remember that acquiescence to a process is not the same as ownership. See annex 3 as inspiration to individual behaviour in change processes.

Knowledge in how to manage a change process will therefore be absolutely necessary. A change process basically has four phases: motivating for change, organising the transition; implementing the change and consolidating the change. One important area to be aware of is the skill to analyse possible reasons to why people may resist a change. Dealing with resistance is the most difficult component of a change process. Annex 3 will provide details of change management process, analysis of change as well as dealing with resistance to change.

2.2 Contextualise the approach

Organisational development does not take place in a vacuum, but in a specific context. All organisations exist in a surrounding context that establishes the norms and conditions under which they must function. Organisational development needs and solutions are powerfully influenced by both the culture and the context. For example, throughout sub-Saharan Africa the onslaught of HIV and AIDS is decimating capacity forcing organisations to address new and complex needs. Experience from countries in 'transition', emerging from a long period of autocratic rule, has shown that these countries are likely to have particular organisational development needs in terms of 'collective decision-making' and leadership development.

The development sector inherently involves situations where people work across cultures and contexts. When facilitating organisational development processes those from different cultural backgrounds therefore need to be particularly aware of the way in which they interpret and respond to various organisational situations. It is important to start by respecting local forms of knowledge; behaviour, exploring what organisational development means in each particular culture; and identifying safe, comfortable forms of inclusive reflection, learning and change which already exist. Be aware that concepts used in your own culture, may have a different meaning or interpretation in other cultures.

2.3 Develop a clear, long-term change strategy

Taking a strategic approach to organisational development means that the partner and DCA must have a rather clear understanding of what they want to achieve through the process. Try to visualize the goal and discuss benefits compared to the present situation. It is important to start by identifying which questions are of immediate interest and explore some of the deeper issues behind them. People must be committed to a desire for change. A knowledgeable, external consultant or facilitator with experience in leading such a process of change can be of great assistance during this process.

Another important aspect is time. Changes take time and an organisational development process cannot be forced to happen but has to be allowed the time it needs. More technical capacity development efforts can be scheduled and carried out in a short time, but a successful organisational development process has no clear end – learning

and development become a natural part of the organisation's life. Organisational development is about conscious, not un-conscious change and builds on self-reflection and active work on and within the organisation concerned. Focus is on <u>humans and relationships</u> – not on physical resources. The work method is <u>process-focused</u> rather than the expert approach – it is a question of a <u>long-term</u> and continuous process of change, rather than ready-made solutions and quick results.

2.4 Organisational development and capacity building activities

Be aware of the difference between organisational capacity building and individual capacity building – and how they connect. <u>Organisational capacity building</u> is a conscious intervention to improve an organisation's effectiveness and sustainability in relation to its mission and context,[3] whereas <u>individual capacity building</u> normally focuses on individuals to improve their competence and thus their performance in the organisation.

The ideal approach is that the two types of capacity building are interlinked and that neither of the two capacity building approaches should be "stand alone activities". They should be planned together and implemented within an overall <u>organisational development plan</u>. A major learning over the last decade or two is that this is very often not the case. DCA has supported various capacity building efforts for partners but they were typically focusing on individuals and often project oriented i.e. seen as some sort of training of various partner staff primarily to improve implementation of DCA funded projects.[4] Another typical observation was that such trainings were rarely coordinated with the partner's other partners/donors.

In future DCA will engage in a dialogue with partners so that future capacity building activities are included in a long-term organisational development plan which the <u>partner, DCA and other possible donors/partners have developed and agreed upon</u>.

However, DCA will in some cases continue to initiate and fund various targeted capacity building activities for partners that do not have such an organisational development plan. Examples are weak or small partners who have a request for urgent need to upgrade staff skills in various fields, or because DCA has a strategic long-term interest in this partner and wants to help the partner with capacities like anti-corruption, complaint mechanisms, HAP or the like. Such partners have not yet developed (or had the required time) to look at their own organisational capacities (or the lack of them) such as the structures and cultures of the organisation, the management style and skills, its basic values, vision and purposes, and even its constituency relationships and ownership issues. In these cases, DCA should still aim to support the partner in conducting an organisational assessment and development of a long-term organisation development plan, depending of course on the perspective of the particular partner cooperation.

2.5 Use and develop good local organisational development facilitators

Good practice organisational development often benefits from having <u>external facilitators</u> and often it is even better if these are <u>local</u>. Local facilitators tend to understand the context and culture much better; are on-hand to provide necessary follow-through and contribute to sustainable local provision of organisational services and they are important assets. In many places, however, there is a lack of good quality local organisational development facilitators. This is why it is so important to use those that do exist and develop others. It is important that external facilitators receive their assignment directly from the partner and not from a donor.

The <u>art of facilitation</u> means knowing when to intervene in organisational and group processes, and when not. It means knowing how to be assertive without being directive; how to be nurturing without being flaccid; how to draw some people out and reduce the imposition of others; how to get an organisation or group to observe itself and find its own solution; how to help without imposing. It means being able to observe the whole and focus on specifics at the same time. In essence, it means finding the correct balance between non-directive group counselling and directive intervention where necessary. It also means the ability to really listen carefully, non-judgementally, empathically and actively.

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[3] Rick James: "People and Change. Exploring Capacity-Building in NGOs", INTRAC NGO Management and Policy Series No. 15, page 8, 2002
[4] Numerous training events have been organised and funded over the years in relation to all sorts of topics, ranging from financial administration, advocacy skills, gender awareness, project cycle management, strategic planning, LFA, Sphere standards, Do No Harm and Rights Based Approach, complaints mechanism- and anti-corruption systems.

2.6 Funding the implementation of change and follow-up

Organisational development focuses on the implementation of change, not just the planning of it. We (i.e. DCA, other sister agencies, other donors and the partner in questions) need to fund the management of change and follow-up, not just the organisational assessment. Too often DCA and other donors have funded organisational development planning events, such as strategic planning sessions, but then the funding suddenly stops. Often nothing is planned or provided for the change process itself. But the real work of change, which only takes place back in the organisation, has not yet begun.

We all have experience of participants returning inspired from training, but either the weight of work, or the lack of opportunity or authority inhibits any change. We know organisations which have planned to change their strategy and drop certain activities, only to get overtaken by the need to secure funding to pay salaries. But our individual and organisational busyness precludes organisational development. We expect quick immediate results preferably with numerical proof of impact. But the opportunity to implement change needs time.

DCA's ambition is to support one to two full organisational development processes (globally) during the next couple of years – meaning DCA will fund an organisational assessment and also fund the long-term organisational development plan afterwards. DCA will facilitate that such a plan is coordinated and co-funded with other sisters/donors – and hereunder – learn from the Capacity Development Initiative in ACT International.

2.7 Monitor, evaluate and learn

Monitoring and evaluation of an organisational development process is important to find out what difference the organisational development is making; to assess progress according to plan and hereunder revise or adjust as we proceed; to consider further inputs/resources; to report to donors as well as to have organisational learning and documentation for our institutional memory and to be accountable.

Monitoring and evaluation are necessary to reflect on and to consciously and continuously learn from our experiences in order to change and improve our organisational development work in the future. To become a "learning organisation" is central to organisational development.[5] Measuring changes in organisational capacity is certainly not an easy task. But the 'best' is easily the enemy of the 'good'. Frequently, extremely time-consuming and expensive monitoring and evaluation processes are designed, but never implemented. Clearly there are major issues regarding attribution or difficulties in measuring intangible changes in relationships, but these can be mitigated to a degree. It is better to undertake a more limited and qualified evaluation, rather than none at all – refer to the Ripple Model[6] in annex 4.

Even a basic impact assessment can add real value to the organisational development process. It is possible to use the results from an organisational assessment as baseline for further development - but treat it with care. You cannot always rely on data/interviews from the assessment as people do not always answer according to reality. So make sure to cross check results before setting baseline standards.

Make sure to mutually agree on milestones and set a timeline – the "ladder of change" (annex 4) could be one example.

Check list on seven operational elements before planning organisational development:
- I. Have we ensured buy-in from leadership and organisational commitment to change?
- II. Are we taking a contextualised approach?
- III. Are we taking a long-term strategic approach?
- IV. Are we supporting capacity building activities within an overall organisational development plan – if possible?
- V. Are we using and developing local organisational development facilitators?
- VI. Will we (and sister agencies) finance the implementation of change and follow-up?
- VII. How will we monitor, evaluate and learn from this process?

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[5] See Bruce Britton/INTRAC: "Organisational Learning in NGOs: Creating the Motive, Means and Opportunity", Praxis Paper No. 3, 2005.

[6] Rick James: "People and Change", 2002

Specific working guideline for DCA staff

This section is in particular targeting representatives (e.g. external consultants and facilitators) and staff of DCA working closely with DCA partners before entering into an organisational development process.

3.1 What DCA should do and not do

DCA has drawn a line of demarcation between our involvements in capacity building initiatives, organisational assessment as opposed to our involvements in a more long-term organisational development process.

DCA can finance and take a participating role in organisational assessments
An organisational assessment involves raising awareness of what a healthy organisation would look like and agreeing on where the organisation is today in relation to the "desired picture". Establishing the gap between the ideal and the current situation is the essence of organisational assessment.

DCA can finance and participate in an *organisational assessment process* i.e. offer budget support, be actively involved as observer/learner in e.g. a steering committee or assessment team – provided that the partner agrees. DCA should always strive to create ownership and buy in from especially the partner but also from other sister agencies and donors. The question: "who actually sees a need for an organisational assessment?" will always pop up! There is no fixed answer or a rule of thumb to this question. The "need for an assessment" can be raised by the partner itself, by DCA or another agency/donor – or in combination of all parties. The nature of the partnership (level of trust, history together, communication- and negotiation skills etc.) will determine the need for an assessment. If DCA (diplomatically) raises a need for an organisational assessment with a partner, it is still our aim to ensure that ownership is in place within the partner before the assessment process is commencing. Refer to DCA's own organisational change processes as example to highlight that we also have to change on a regular basis.

Various assessments tools and examples are presented in annex 5. DCA staff's role in the various steps of such an organisational assessment is outlined below in a check list.

DCA can finance but not participate in long-term organisational development plans
The results of an organisational assessment will pinpoint the needed type of interventions, a time schedule and the required processes for implementing these interventions – typically summarised in a *long-term organisational development plan*.

DCA can finance the implementation of an organisational development plan but not participate in any steering committees or action-oriented implementation teams, so the partners may have their own 'room for manoeuvre' to implement the various steps of such a development plan and because DCA has learned that external actors should not get into the "machine room" of our partners. General learning from the field of NGO organisational developments also concludes that way too many organisational development processes have been too "donor driven" so DCA wants to stay clear of such processes in the future.

When it comes to DCA's financial commitment to an organisational development plan, the next question will be "for how long and with how much can DCA finance an organisational development plan?" This should be coordinated with other sister agencies as well as DCA's management. DCA's ambition for 2010 and 2011 is to support one to two long-term organisational development plans.

DCA can (still) initiate and fund capacity building initiatives
Even though our strategic aim is that most capacity building efforts should be within a long-term organisational development plan, DCA may in some cases continue to initiate and fund targeted various capacity building activities for partners that do not have such an organisational development plan.

Short courses under the Partner Platforms or DCA courses in anti-corruption, complaint mechanisms, HAP, ProLog or the like can be initiated and funded by DCA. In these cases, DCA should still aim to ensure ownership and also support the partner in conducting an organisational assessment and development of a long-term organisational development plan (in the future).

3.2 Roles and responsibilities when supporting a partner's organisational assessment

The following table outlines the possible roles and responsibilities of a DCA programme officer, a DCA Representative and DCA H.Q. in supporting an organisational assessment (OA) of a partner organisation. It divides the organisational assessment process into three main stages: <u>before</u>, <u>during</u> and <u>after</u> the OA. The process assumes that the partner has ownership to and is in control of the organisational assessment, which may be facilitated by an external consultant. The process described also assumes that DCA is at least partly funding the partner OA. The roles and responsibilities (i.e. 'who is doing what?') are not "carved in stone" - each DCA office can decide their own division of work.

1) Before the OA: the preparation phase

What needs to be done	What the DCA regional representative can do	What the DCA programme officer can do	What DCA H.Q. can do
Consider conducting an organisational assessment.	Raise the issue with the DCA partner.	Follow up afterwards and be responsible for the day-to-day work with the assessment.	Support and advice to RR and PO.
Develop a common understanding of 'organisational assessment' and 'capacity building' between organisation and partner.	In the discussion refer to values and operational elements in the DCA hand book.	Ensure that there is a common understanding during the process.	Provide alternative reading material on Organisational Assessment and Capacity Building.
Decide whether to conduct an organisational assessment at this time.	Explain what DCA sees as the potential benefits and costs.		
Choose relevant OA method.		Share DCA methods on OA with the partner.	Help and support PO in case other OA methods are needed.
Develop a shared understanding of the purpose of the OA.	Surface assumptions and concerns. Be transparent about DCA's agenda.	Support with details.	
Conduct a risk analysis.		Contribute to or be observer in a risk analysis.	
Learn from previous organisational assessments.		Together with partner look into previous organisational assessments for lessons learned.	
Gain donor support for the organisational assessment.	Encourage other sister agencies and possible external donors to support the organisational assessment besides with DCA.	Open up for dialogue with other POs in the sister agencies.	
Agree on who will fund the OA and support the agreed capacity building interventions.	Explore donor commitment to fund the OA and agreed capacity-building recommendations.		
Establish "buy-in" and ownership from the partner organisation's leadership (senior managers and Board)	Be in constant dialogue with the partner's senior management and board concerning ownership.	Encourage and support middle management in relation to buy-in.	
Clarify expectations between partner and DCA.		Ensure that expectations of organisational support for the OA are realistic and aligned with DCA's priorities.	

What needs to be done	What the DCA regional representative can do	What the DCA programme officer can do	What DCA H.Q. can do
Agree ToR and budget for the OA. Clarify roles and responsibilities.	Overall approval.	Negotiation of ToR and budget for the OA with the partners. Agree on division of work.	Help with formats and guidelines. Comments on TOR in some cases.
Decide on the model for understanding organisations and the OA process to be used. Decide whether a ready-made tool should be used and if so which one. Decide which capacities will be examined in the organisational assessment.		Suggest possible models from this hand book, OA processes and tools that could be used. Agree on which capacities or/and basic issues to be examined in the organisational assessment.	Can provide other models and tools if needed.
Agree who will lead the process.	RR and management of the partner agree on this.		
Decide who to facilitate the process. Decide whether an external consultant should be involved.		Clarify who will facilitate the process. Identify possible external consultants with partner. Agree on consultant.	Contacts to external consultants.
Decide which stakeholders will be involved.		Suggest stakeholders who should be involved. Discuss with the partner.	
Establish an OA team. Ensure that the team is balanced and that adequate time is freed up for the team's OA responsibilities.		Encourage the establishment of an OA team with broad representation from the partner's various levels and staff with adequate time to be part of the team.	
Decide on time schedule and logistics.		Agree on a schedule and arrange logistics. Ensure that there is a realistic timeframe for the OA.	
Conduct contextual analysis.	Follow and read it.	Contribute to the contextual analysis as one of the stakeholders.	
Decide who will have access to the organisational assessment report.		Agree with partner on who should have access to the organisational assessment report.	

2) During the OA: data gathering, analysis & validation

What needs to be done	What the DCA regional representative can do	What the programme officer can do	What DCA H.Q. can do
Launch the OA in order to ensure mutual understanding of the purpose and process of the OA.	Attend and explain that DCA is supporting the OA process.	Attend the launch together with RR, explain details on why DCA is supporting the partner OA.	
Gather views from agreed internal and external stakeholders.	Ensure sister agencies are also asked.	Ensure that all agreed stakeholders are involved in the process. Contribute with views to organisational assessment as a stakeholder. Facilitate access to colleagues in DCA (if necessary).	
Conduct document study.		Make relevant DCA documents available for document study.	
Analyse findings and documents and make them available for feedback.	Ensure that organisational assessment has complied with the agreed ToR and DCA data. Follow-up on findings and give DCA's feed back.	Comment on findings in relation to PO's responsibility.	PPU may support RR (if requested by RR) with analysis of findings.
Feed back on findings and recommendations to staff			
Validate findings and recommendations.	Give detailed comments on findings and recommendations.		
Agree priority issues for capacity building.	RR and partners management.		
Review and learn from the organisational assessment process.	Contribute to the reflection process.	Contribute to the reflection process. Document learning concerning how best to support OA of a partner and share with colleagues in DCA.	Collect lessons learned and share with other DCA offices and internally in DCA H.Q.

3) After the OA: planning and implementation of an organisational development plan

What needs to be done	What the DCA regional representative can do	What the programme officer can do	What DCA H.Q. can do
Devise an action plan for capacity building (including resource and support requirements, responsibilities and timeline).	Represent DCA in this process in terms of final decisions on resources from DCA. Ensure sister agency representation and support.	Contribute to the action planning.	DCA in Copenhagen may provide short-term courses or trainings.
Establish an implementation team for the capacity building action plan.		Provide guidance for the composition of the team.	
Implement capacity building action plan.		Ensure that agreed resources for capacity building are made available by DCA. Offer coaching, mentoring, accompaniment if appropriate/needed by partner.	
Agree on milestones and indicators for monitoring of implementation.	Suggest milestones and indicators in cooperation with partner management.		
Monitor the implementation of the capacity building action plan. Identify changes in prioritised capacity areas. Identify unintended changes.	Make sure that donors follow-up on their commitments and keep them informed of progress.	Suggest how monitoring could be undertaken e.g. regular 'After Action Reviews'. Ensure that monitoring of the capacity building action plan is carried out.	
Review progress of capacity building after agreed period. Revise capacity building action plan if necessary.	Provide resources for the review if required.	Ensure that review takes place.	
Report back to donors on progress made in implemention of the capacity building action plan.	Read the final report. Discuss it with other donors or sister agencies.	Comment on details in the report.	

3.3 DCA funding consideration in relation to OA and OD

Clarification of funding of the organisational assessment and of the long-term development plans is crucial before starting negotiations with a partner.

Regional offices should discuss assessments with one or two partners (as a start or test period) in order to fully understand the possible resource and capacity implications for the DCA regional office. Parallel assessments processes of a DCA office and one partner could also be a solution and then share lesson learned.

DCA shall aim at involving other donors/sister agencies in co-financing of both the assessment and implementation of the plan.

Budgets for organisational assessment can be included in DCA's programme budgets (cross cutting budget line) or in the partner project budget in the same way as budgets for capacity building and evaluations. In DCA this is normally done the year before planned implementation.

3.4 How do we ensure sharing and documentation of lessons learned?

- DCA regional offices shall upload documents on the Intranet as done with normal projects and programme docs. Hopefully, the new Intranet can facilitate an interactive learning point?!
- DCA regional offices shall ensure that learning from ongoing organisational assessments and development plans are shared among staff in the office, as well as among the partners – provided that there are no confidentiality restrictions – e.g. on Programme Platform meetings.
- PPU in H.Q. will collect organisational assessments reports and ensure cross organisational learning in DCA e.g. through the Programme Forum events in International Department.
- PPU in H.Q. will share experiences with and learn from sister agencies, ACT, APRODEV and other INGOs as well as Danish NGOs

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You can contact the Programme Policy Unit with any pertinent ideas, needs, experiences or points of view you feel might enrich DCA's practice in attempting to support partners' work on OA and OD.

The annexes found below are a few good "examples" presented to illustrate what we mean with e.g. models to understand organisations and how they mature. There are of course a lot more different models, but they are not presented here. Please contact PPU if you more!

Annex 1

When working with organisations, their change and development, different models can be used to describe or visualize, analyse and diagnose organisations. Models will, however, always be a simplification of the real and complex world, where multiple internal and external factors constantly influence each other. Usefulness of models depends on the specific context and situation, as well as the basic organisational questions we want to answer and not least the user's know-how and ability to use the models.

Below three useful models are presented to understand organisations: the Four Circles Model, the Onion Skin Model and the Integrated Organisation Model. The models can help to answer the relevant questions that are posed when looking at organisations. Further, the usefulness of the models depends to a large extent on the specific situation, the questions posed and the user's know-how and ability.

The Four Circles Model[7]

From a sociological perspective, organisations consist of a group of people united around a shared vision and joint aims and objectives. One way of highlighting the essential features of an organisation is using the image of three different, but interlocking circles within a wider circle. The three overlapping circles illustrate the interrelatedness between different parts of the organisation where a change within one circle will affect the others. The model also shows clearly that any organisation exists within a wider context and is usually profoundly influenced by that surrounding context:
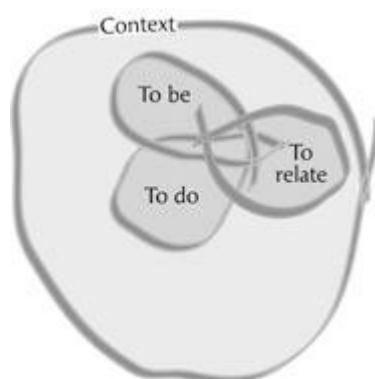
The **'To be'** circle focuses on the organisation's inner state and conditions – the organisation's vision, basic values, identity, aims, objectives, structures, resources and systems. The '**To do'** circle focuses on the organisation's performance or achievements – what the organisation does, which for many of DCA's partners is the project- and programme activities. The '**To relate'** circle focuses on the organisation's external contacts, its relations with other actors in the surrounding environment.

The **Context Circle** shows how an organisation exists within a specific environment or context. This context continuously affects the organisations life and circumstances. In order to understand an organisation there is a need to see and read the organisation as an inter-related whole, within its context. Taking such a sociological perspective, some distinctive features of organisations are highlighted:
- Organisations are formed by human beings for a joint aim or purpose.
- Organisations can be changed (their direction, role, structure etc.).
- Organisations are clearly delimited social constructions, but at the same time are strongly influenced by their context.
- Organisations are time-bound – they have a beginning and an end.

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[7] Source: INTRAC, UK and Swedish Mission Council

The Onion Skin Model[8]

The Onion Skin model represents a cross-section through the 'To Be' circle of the Four-Circle model.
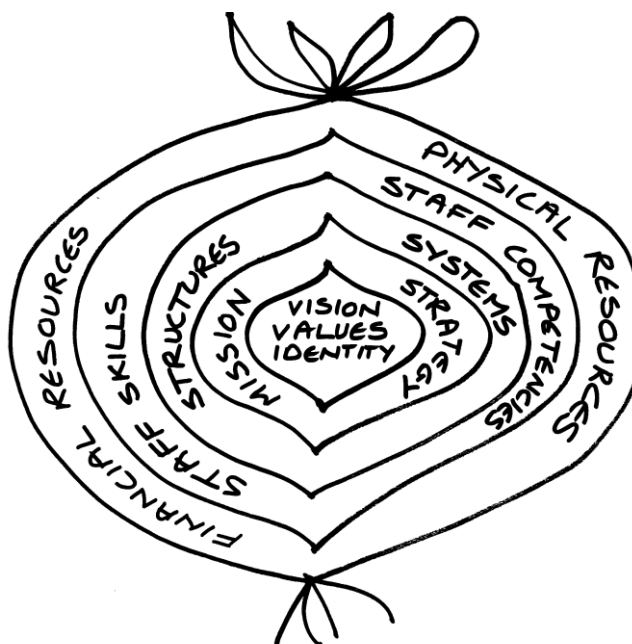
The outside and most visible layer of the onion represents the physical and financial resources that an organisation needs – the money, the buildings, the vehicles and equipment. Inside that layer are the human skills and knowledge required to carry out the organisation's work – the individual staff competencies and abilities. Within that are the structures and systems (such as monitoring and evaluation, HR, IT, fundraising and financial management systems) needed to make the organisation work. Getting closer to the centre are the mission and strategy of the organisation – what it wants to achieve and how it plans to do so. Finally – right at the centre – we find the heart of the organisation: its identity, values, and its vision of the future world it is trying to shape. This model is based on the ideas that there is a need for coherence and consistency between the different layers and that any changes in one layer are likely to have implications for the other layers. The onion-skin model also emphasises the importance of ensuring that the heart of the organisation is sound before embarking on a capacity-building process aimed at the other layers. Remember: "The onion grows (and roots) from the heart"!
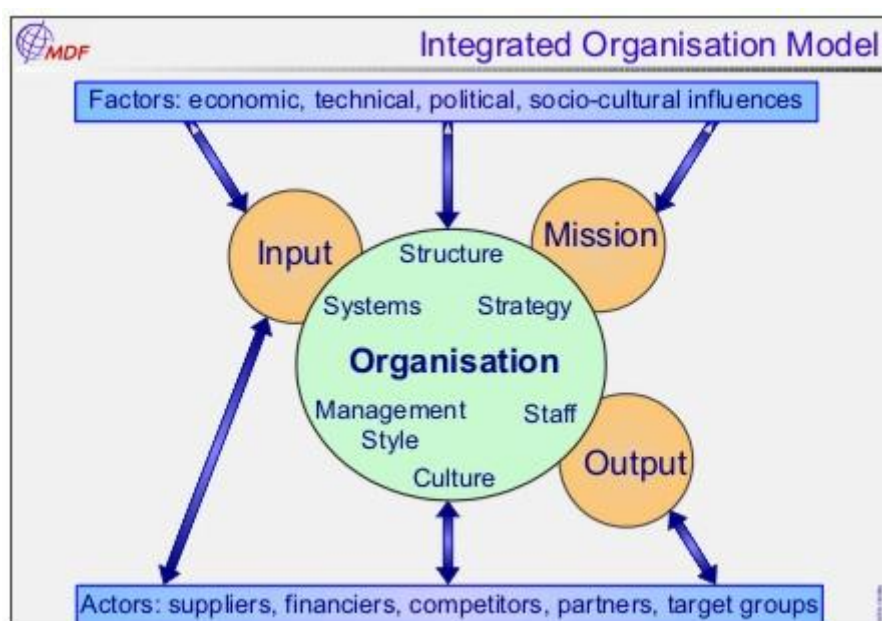
The Integrated Organisation Model[9]

Compared to the above two models, the Integrated Organisation Model (IOM) is relatively more complicated. This model can be applied to describe, analyse and diagnose organisations. The IOM is an integrated (or integral) model to emphasise the interrelationships of the different elements of an organisation. Although the elements can to a certain extent be treated separately, they are all connected to each other and - ideally - in balance. When there is no or no clear balance (fit) between the different elements within an organisation or organisational unit, the organisation will not function optimally and the need for organisational change will be or become apparent.

The IOM offers an overall tool to put the various elements of an organisation in their place, being it a government department, a non-government organisation, a local government, a NGO or a private enterprise wherever in the world. If you look at organisations using this model you wouldn't overlook the most important elements.

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[8] INTRAC, United Kingdom
[9] MDF, the Netherlands

Integrated Organisation Model (MDF)

The Integrated Organisation Model consists of 5 external components: mission, output, input, general environment and specific environment and 6 internal components. The external components, mission, outputs, inputs factors and actors describe the environment of the organisation or have strong relations with this environment. The internal components describe the internal organisational choices.

External organisation elements

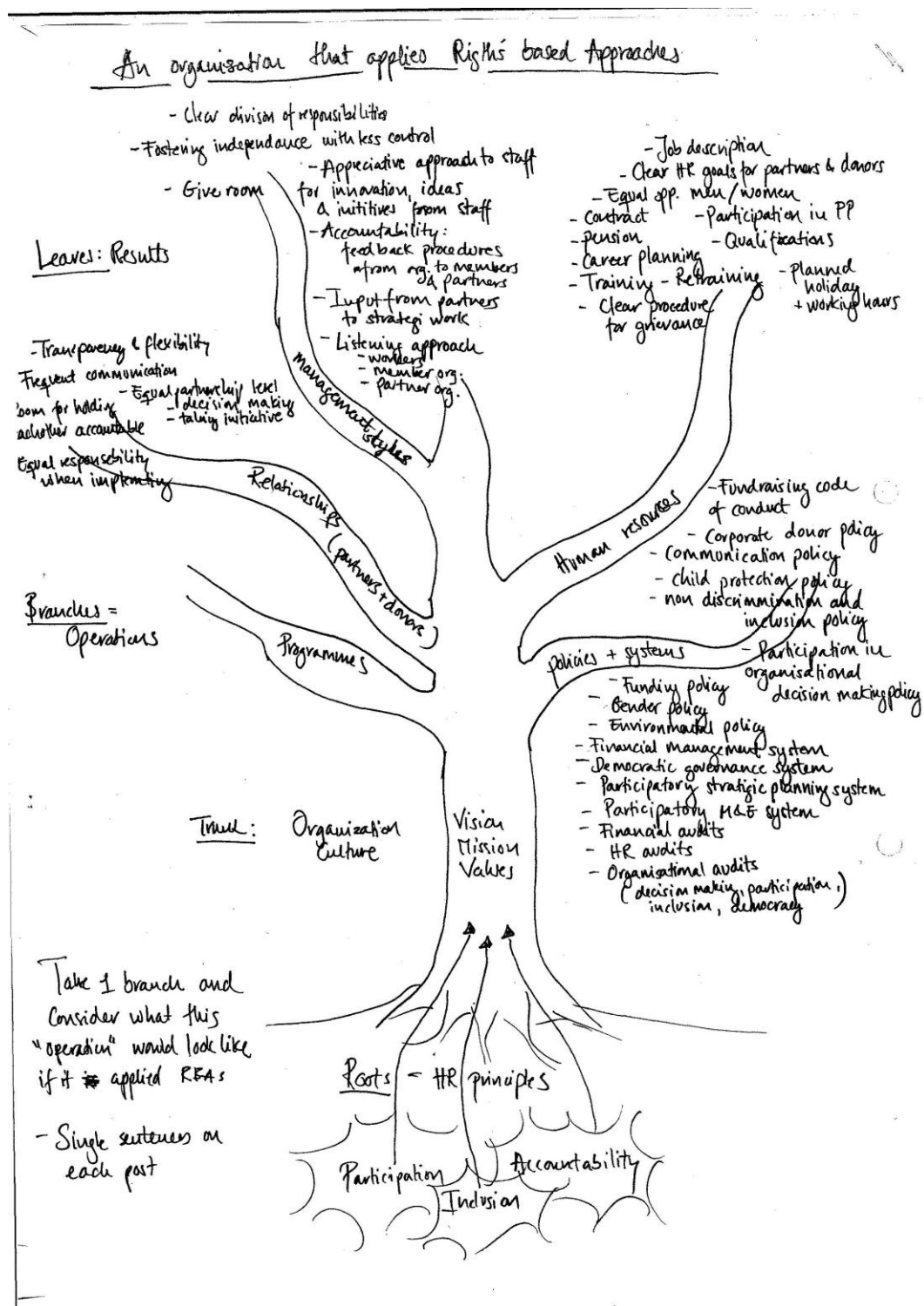| Mission	The mission of an organisation is its 'raison d'être', or in other words, the overall objective(s) and main approach that explains why the organisation exists and what it wants to achieve with which means.
Output	The output of an organisation comprises all material and immaterial products and services delivered by the organisation to its various target groups (clients, partners, right-holders, customers).
Input	The inputs of the organisation include all the resources available for generating the products and services of the organisation. This is: staff; buildings and installations; equipment, tools and materials; services of third parties; information and knowledge; finances and natural environmental resources.

Institutional elements

Factors	With general environment is meant the complex set of political, economic, technical, social and cultural factors that influences this (type of) organisation.
Actors	The specific environment comprises of the relations with those actors that the organisation is directly dealing with, such as formal/vertical linkages; target groups; competitors; suppliers of inputs; policy makers and regulators.

Internal organisation elements

Strategy	Strategy refers to the way the mission is translated into concrete objectives and approaches.
Structure	The structure of an organisation can be defined as the formal and informal division and coordination of activities and responsibilities.
Systems	The aspect of systems comprises the internal processes that regulate the functioning of the organisation.
Staff	The component staff refers to all activities, rules and regulations related to staff motivation and utilisation and development of staff capacity.
Management style	The style of management can be described as the characteristic pattern of behaviour of the management.
Culture	The culture of an organisation is defined as the shared values and norms of people in the organisation.

Model to understand organisations that applies Rights Based Approach:

An organisation that applies Rights based Approaches

Leaves: Results

- Clear division of responsibilities
- Fostering independance with less control
- Give room
- Appreciative approach to staff for innovation, ideas & initiatives from staff
- Accountability: feedback procedures from org. to members & partners
- Input from partners to strategi work
- Listening approach
  - workers
  - member org.
  - partner org.

- Job description
- Clear HR goals for partners & donors
- Equal opp. men/women
- Contract
- Participation in PP
- Pension
- Qualifications
- Career planning
- Training - Retraining
- Clear procedure for grievance
- Planned holiday + working hours

- Transparency & flexibility
- Frequent communication
- Room for holding activities accountable
- Equal responsibility when implementing
- Equal partnership level
  - decision making
  - taking initiative

Relationships (partners + donors)

Management styles

Human resources

Branches = Operations

Programmes

Policies + systems

- Fundraising code of conduct
- Corporate donor policy
- Communication policy
- child protection policy
- non discrimination and inclusion policy
- Participation in organisational decision making policy
- Funding policy
- Gender policy
- Environmental policy
- Financial management system
- Democratic governance system
- Participatory strategic planning system
- Participatory M&E system
- Financial audits
- HR audits
- Organisational audits (decision making, participation, inclusion, democracy)

Trunk: Organisation Culture

Vision Mission Values

Take 1 branch and consider what this "operation" would look like if it applied RBAs

- Single sentences on each part

Roots = HR principles

Participation   Accountability
        Inclusion

Below is a flavour of areas that may be looked into or reviewed when aiming at more rights-based culture and systems within an organisation:

First question:
➢ Do all Board members and staff have a basic understanding of the principles and standards of human rights?
➢ Are they committed to these standards?

Then ask into the following areas:

Accountability
- Are we accountable to the people we are working for, or just to our donors, the board of directors, our supporters and the government? Accountable to whom – internally and externally?
- What are the organisational accountability mechanisms towards partners and communities? How does the organisation report to partners and communities?
- Is the organisation addressing the situation to understand the needs of the right-holders?
- Are we carrying out stakeholder analysis and are we addressing the impact of our work?
- What are mechanisms for organisational accountability?

Participation and empowerment
- How participatory is the organisation? How are right-holders and partners involved in organisational decision-making? Who makes the important decisions? How easy does information travel up and down in the organisational hierarchy? Are organisational procedures helping or blocking participatory approaches to the work?
- Is the organisation listening to and consulting with right-holders and partners in assessments and monitoring?
- Is the organisation providing information/being transparent about its work to right-holders?
- Are stakeholders involved in organisational decisions that affect them?
- Do all programmes promote people's right to information, expression, decision making and association?

Equity, inclusion and non-discrimination
- Does the workforce in the organisation (and that of its partners) reflect the diversity of society according to gender, age, disability, ethnicity, social hierarchy (such as caste) and religion?
- Is diversity seen in different levels/hierarchy of the organisation?

Organisational structure, culture, policies and systems
- Do the organisational values reflect rights-based thinking?
- Is the language that the organisation use in policies, guidelines, reports, meetings and other communications proper rights focussed?

Do the following reflect our rights focus and priorities:
- Proposal formats
- Grant periods?
- Planning cycles?
- Monitoring and evaluation systems?
- Participatory and rights-based programme development and design?
- Identifying constituencies and duty bearers?
- Rights-based monitoring?

Management styles and decision-making processes
- Is the management style participatory, transparent and inclusive?
- How is delegation handled?
- How are problems and conflicts within the organisation and with partners resolved?
- What does leadership mean in the context of the organisation? Is staff informed, encouraged, motivated and guided; or is the management style more traditional?
- Are policies for complaint mechanisms and protection/sexual harassment in place and enforced?
- Gender Equity Policies and –Audits?

Human resource management
How does the organisation measure up the following:
- Performance managements systems (are the setting of work objectives more directly linked to rights-based programming)?
- Learning and staff development plans?
- Career path planning (within the organisation) to retain those with rights-based skills?
- Recruitment (rights-based fit and values) of staff and consultants?
- Introduction to new staff (rights-based orientation and training)?
- Job descriptions?
- Supervision?
- Staff safety and security?
- Compensation?
- Grievance procedures?
- Job satisfaction and stress levels?

Financial management

Are human rights principles reflected in:

- ➢ Fund raising strategies, styles and methodology?
- ➢ Our investments and donors?
- ➢ Budgeting and financial management?

Annex 2

Below are models to visualize how organisations change or mature – either as a natural process over time or as a result of deliberate intervention. Focused capacity building or organisational development is sometimes needed to help the organisation when they get stuck or to take them into a next and better phase.

In summary the organisational change/development models can be used to help target your organisational development efforts, use as a self assessment tool and self reflection, communication about where the organisations is now and where you would like it to be in the future. They visualize the development and where we do not want to go.

The **Life Cycle**[10] is one simple way of describing organisational change where time and effectiveness are the parameters. Below characteristics, problems and possible solutions for each stage is described.
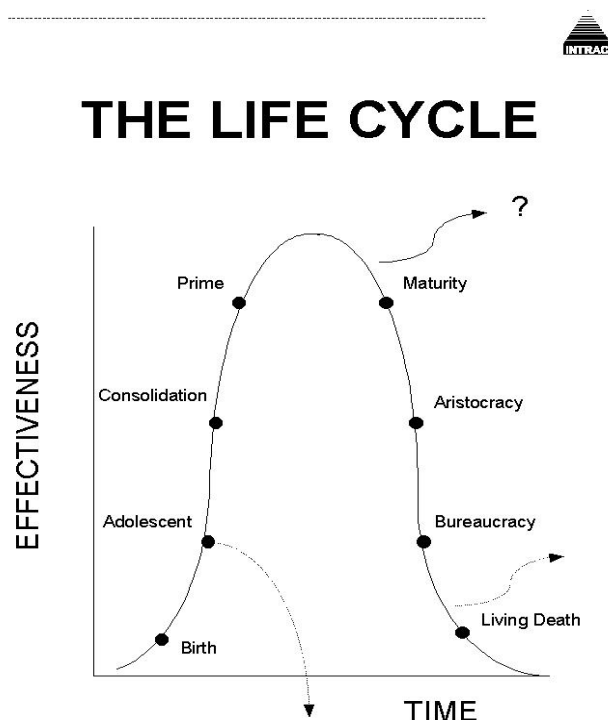
Embryo stage

At this stage it is just an idea and the organisation is not yet born. The founder is in the process of building commitments and relations. The idea behind the NGO is a perceived need rather than an identified constituency need. The problem at this stage is it may be completely impossible to implement the idea so the potential organisation may come to nothing. The solution is to make reality testing of the idea and nurturance of the embryonic organisation by existing NGOs and back donors.

Infancy stage

The organisation has formally been born! Only very basic policies/systems are developed at this stage. The organisation lacks experience (no track record or documentation). It is opportunity driven and is very vulnerable to changes in the external environment. The major problem at this stage is "infant mortality" i.e. it dies before it has proven to be relevant. The solution is funding and this is normally attractive as the organisation receives inexpensive support from other organisations in the environment.

Go-Go stage

The organisation finds many more opportunities for diversification but has little experience of prioritising. All staff knows what everybody else is doing – there is good communication and coordination. Each person shares responsibilities with the others and it is very participatory. Typical problems at this stage are the "Founder's Trap (smothering the newly emerging organisation with 'love' and preventing it from developing its own independent life); a danger of diversifying too soon and becoming overstretched; as well as it may start unrealistic ventures,

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[10] INTRAC, presented by Maureen O'Flynn at the DCA workshop, April 2009

which the organisation is not able to implement. Some solutions are sharing of responsibility with other members and it has to learn to prioritise.

Adolescence stage

This is a stage of change – but can also be an emotional re-birth without the founder. Change of leadership may take place bringing about a change of organisation culture. There is emphasis on developing administrative systems requiring different skills and the recruitment of new staff.

Founder may 'buy' members' commitment and create a split in the membership. There may be conflict between 'old timers' and 'newcomers'. The problems at this stage can be rebellion against the founders, premature aging, internal conflicts and doubt expressed about the way the organisation is working. To counteract such problems, members can be re-energised, procedures can be institutionalised and it is wise to promote open communication lines for issues to be discussed immediately.

Prime stage

At this stage there is a strong 'results orientation', and a balance of self-control, flexibility and responsibility has been reached. The organisation has an institutionalised vision and creativity in all its work and the strategic approach is strong: knows what it is doing, where it is going and how to get there. Problems may be that an inward focus may develop; there may be internal conflict(s); reduced commitment and interest declines. Some doubt may arise about whether the organisation's priorities are right. Possible solutions to this are decentralisation of decision-making power, diversification of activities - if necessary and a strong focus on human development.

Maturity stage

The organisation is still strong, but also losing flexibility and creativity. It takes fewer risks and becomes unwilling to change. Provides fewer incentives to visionary thinking and new ideas are received without enthusiasm. There is lower expectation for growth and the organisation starts focusing on past achievements instead of future visions. This stage is seen as the "end of growth"-period and as the start of decline (watch for signs to take corrective measures). The problem is clearly lack of vision and the solution should be a renewal of the vision.

Aristocracy stage

Greater proportion of the budget is spent on administrative control systems. The culture is emphasis on how things are done rather than what and why things are done. Low internal innovation and visible decline of performance! In other words: formality at the expense of functionality. The organisation is stagnated and needs an external shake-up.

Early bureaucracy stage

Much conflict: focus on internal battles. Emphasis on who caused the problem rather than what to do with problem. Members do not feel responsible for what is happening. Performance declines and concerns are not directed for growth of organisation, but survival or self-interest of individuals in the organisation. The major problems at this stage are lack of credibility with its constituency; and search for 'scapegoats' (people on whom to blame the organisation's problems whether or not they are responsible). A solution is to invite an external consultant to take a major look at almost all aspects of organisation. Shedding Senior Staff may be necessary at this stage.

Bureaucracy stage

Nothing of any importance gets done. The organisation dissociates itself from its environment and focuses mostly on itself; consequently it is difficult for outsiders (especially constituents) to gain access. Only remaining systems are administrative rules and regulations. Members know the rules but do not remember why they exist - they only answer "it is a policy". Unless revived death is imminent at this stage. The problem is lack of activity and "Red Tape", and by this time death may be the best solution.

Death stage

Organisation expires (either quietly in its sleep or painfully if the members are not prepared to move on) and it may not accept that death is near. Very often, the earlier lessons from the organisation may be lost. Someone should provide a fitting funeral and mourn the organisation's demise.

The **Linear Development Model**[11] is another model to understand how organisations change and is seen in the figure below. It describes three different phases i.e. the pioneer, delegation and integration phases.
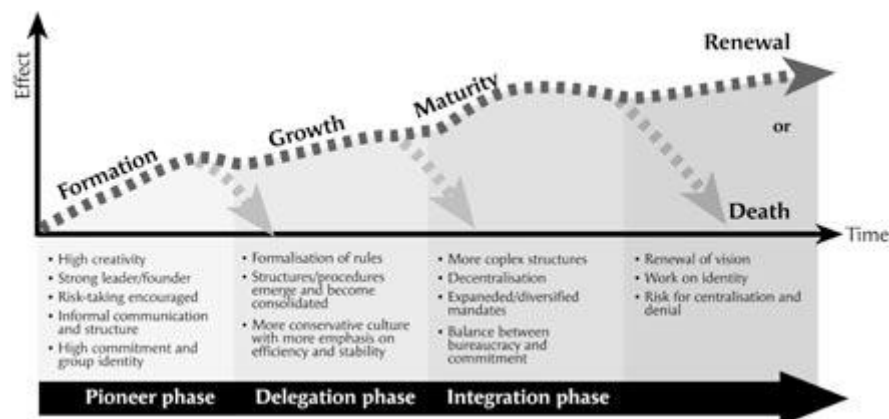
Pioneer Phase: An organisation begins in a pioneer phase, often with a strong, charismatic leader and a strong commitment to "the cause". It is informal and energetic. It feels like 'family'. It lacks structures and systems for things like reporting and evaluation. In this first stage, the organisation often experiences strong success, decision-making is easy to do, the organisation grows and there is a strong sense of commitment. After a while, however, there is a need for greater formality. The leader cannot be involved in everything. Structures and systems are necessary to ensure continuity. This leads the organisation towards some form of crisis.

Delegation phase: The organisation begins to develop its own systems and structures for decision-making, priorities and work methods. There is greater division of labour and specialisation. Initially this works well, the actors involved see the organisation developing a clearer form and structure, there is continuity in decision-making and reporting and a clear division of tasks and responsibilities occur. After a while though, bureaucracy takes over and suffocates the once strong commitment. The organisation now experiences a new crisis.

Integration phase: The organisation struggles to find a balance between commitment and empathy for the organisation's aims, objectives and values and the necessary bureaucratic systems and structures. This balancing act is something that the organisation will have to keep working with for the rest of its life, with recurrent identity crises and periods to work through these. The mature organisation must continuously fight against declining commitment and dedication. If commitment and vision weaken, the organisation will have to find ways to renew itself – the organisation needs to recreate and renew the original commitment and the power of its vision. If it fails in this, there is a great risk that the organisation will lose efficiency and in the worst case, it will slowly begin to "die". In these situations, organisational development can be a tool to help the organisation to work on its situation, to choose how it wants to develop and handle the changes ahead.

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[11] Inspired by Bearbuk, G (1972); Kruse, S-E (1999); Intrac; CDRA.

Annex 3

50 ways of Avoiding Change:

1. We have already tried it.
2. We heard that x organisation has already tried it.
3. We have never tried anything like *that* before.
4. I have never heard of *anyone* trying that before.
5. We haven't the money.
6. We haven't the time.
7. We haven't suitable staff.
8. We would like to do it but the users / beneficiaries would be too upset by it.
9. I would like to but the Chief Executive (Finance manager, programme officers, desk officers, field staff, drivers, cleaners) would never stand for it.
10. That is no doubt suitable in the corporate world but NGOs are not like that.
11. That's an American idea isn't it?
12. I can see it would be better in the long run but I have got too much to do right now to contemplate any change.
13. We have got a better idea.
14. But our organisation does not work like that.
15. I would never get it through the committee / board / senior management team.
16. Not if it means another committee.
17. We have turned down similar ideas before.
18. It's not consistent with our values.
19. It's not consistent with our image.
20. It's all right in theory, but ...
21. It's not intellectually respectable.
22. Who are you to suggest ideas?
23. I'm wanted on the other line.
24. Yes we should talk about this. I have my diary here, how about next July?
25. The donors would not accept it?
26. Yes, when we move to our new building.
27. Well, the post of x is vacant at the moment. Perhaps when we get that post filled we can look at it again.
28. You don't understand the history behind this.
29. I haven't had a chance to read your suggestions in depth, but it seems over-ambitious.
30. ... but its the first year of our five year strategic plan.
31. ... but its the last year of our five year strategic plan.
32. We don't have a policy as such, but if we did this would not be allowed.
33. Well now, let's see. I don't know which committee this should go through.
34. You obviously have not read the report on ....
35. Ho! Ho! I must say you are optimistic.
36. I'm sure you are right but I am retiring next year.
37. Look, the whole thing is going to be different next year anyway.
38. Who gave you permission to suggest this?
39. We hope to make an appointment of someone who could look into this sort of thing in (vague date over five years away).
40. If it's not broken, why try to fix it?
41. You seem to have completely overlooked ...
42. I can think of many other ways the money could be spent to more advantage.
43. I am afraid your proposal did not raise sufficient support within the organisation.
44. Can you summarise it in a couple of sentences for me.
45. There is no evidence to suggest that this will work.
46. This is outside your terms of reference.
47. We are waiting for the report of the x Committee.
48. Who have you been talking to?
49. Prepare me another report with more detail on ...
50. Leave it with me!

The Process of Transition
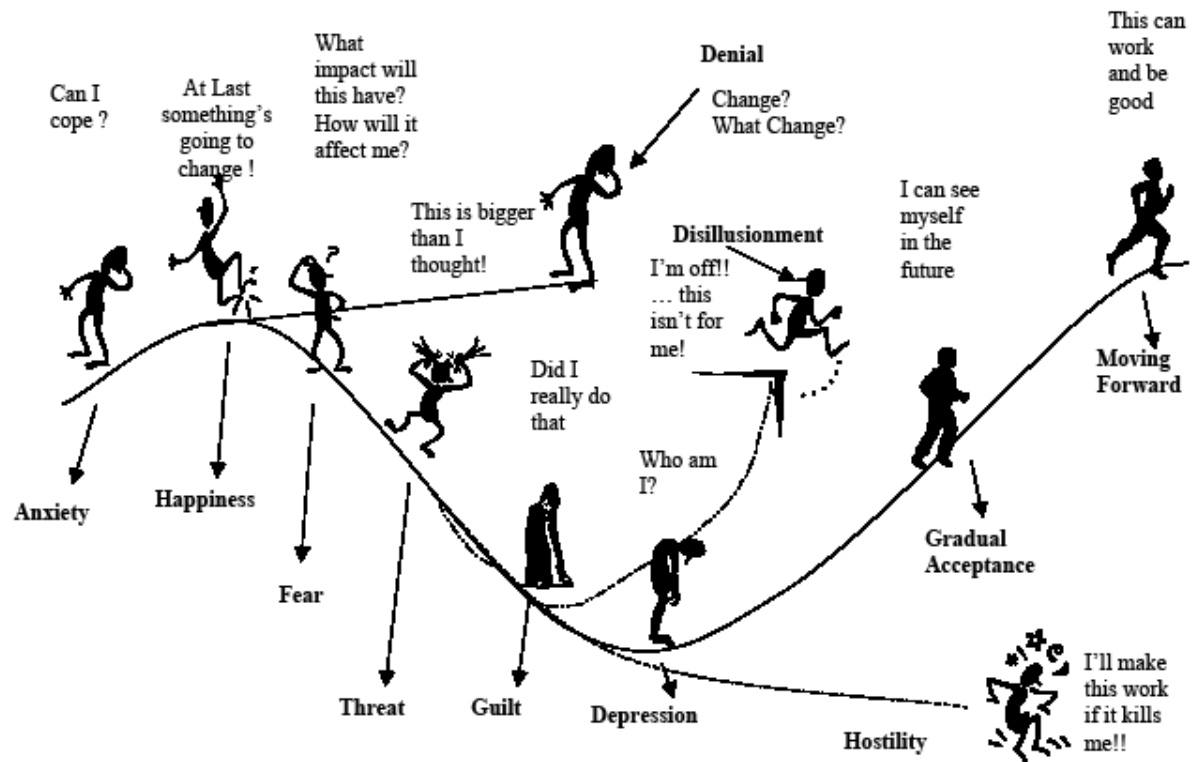
Phases of a change process[12]

If we look at a change process we can define four major phases. The four basic phases and the related key elements are the following:

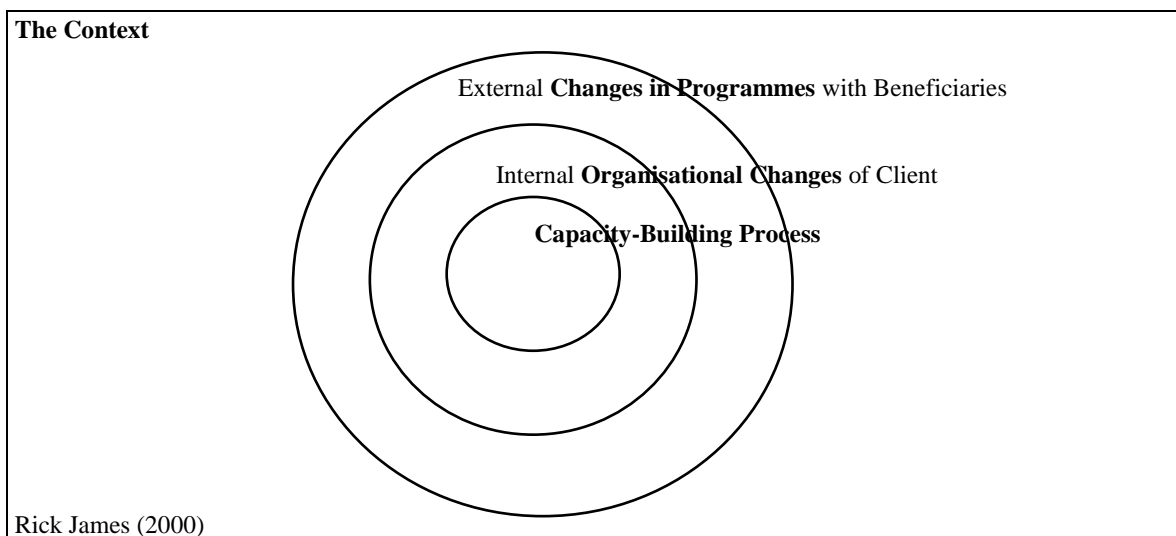| Phases	Key elements
1. Motivating change	Creating awareness and willingness to change - change drivers - purpose / vision - supportive power and faith in the realisation - communication and information - building coalitions
2. Organising the transition	Creating commitment to change - transition plan / a clear process - expectations management - assessing readiness - analysing resistance to change - work through teams, create ownership
3. Implementing change	Developing the ability to change - offer supportive means - develop momentum - create short term wins - identify and address hindrances
4. Consolidating change	Institutionalise new approaches - prevent that 'old' behaviour reoccurs - develop procedures and co-ordinating mechanisms

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[12] Source: MDF, the Netherlands.

Annex 4

The 'ripple' model of capacity building[13]

To develop an effective M&E system requires a clearly established conceptual framework that shows how inputs are eventually linked to outcomes and impacts. One framework INTRAC has developed to assist M&E of capacity-building initiatives is the Ripple Model.

In its most basic form this model illustrates the three main levels at which you can monitor and evaluate a capacity-building intervention. The **capacity-building intervention** is like a drop of rain which lands in water - the ripples flow outwards to bring about changes at the internal **organisational level** of the client and then ultimately to the **level of the beneficiaries** of the client. The size and direction of the ripple is influenced by (and in turn influences) the **context** in which it moves.

The Context

External **Changes in Programmes** with Beneficiaries

Internal **Organisational Changes** of Client

Capacity-Building Process

Rick James (2000)

Just as a ripple becomes smaller and more difficult to see the further out it goes, so it becomes more and more difficult to attribute any changes at beneficiary level to the original capacity-building intervention. As Peter Oakley asserts, 'as a project moves from inputs to effect, to impact, the influence of non-project factors becomes increasingly felt thus making it more difficult for the indicators to measure change brought about by the project'. As you move outwards the less control the original capacity-building provider has on what happens. Obstacles, such as an intransigent programme manager, or 'the cyclone of donor funding trends' obviously can have a major impact on the ripple.

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[13] Source: Rick James: "Practical guidelines for monitoring and evaluation of capacity-building". INTRAC Occasional Papers series, (2001)

The ladder of change[14]

One method that has the potential to provide some rigour to the M&E of abstract concepts is a "ladder of change". Ladders of change can be applied in any situation, but may be most useful when involving large numbers of organisations (for example in a network) or dealing with wider societal areas such as civil society capacity or civil society space. Developing a ladder involves sitting down with a number of different stakeholders and developing a short description of the current situation. This then becomes the middle rung of the ladder. Successive statements are then developed to show how the situation might get better or worse over time. The exercise can be repeated at regular intervals to show if change has occurred. If so, contributory factors are then investigated. A hypothetical ladder showing the capacity of a network to influence government policy is shown below (current situation in bold).
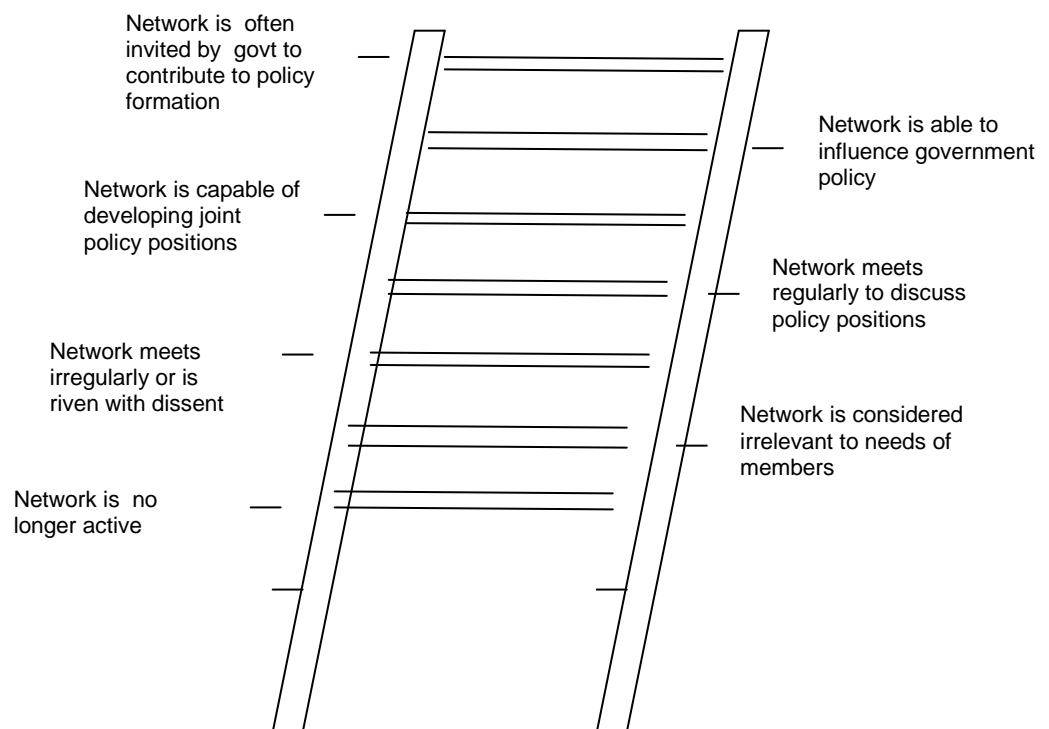
Some have also called for more innovative M&E techniques to be used. For example Reeler (2007, p19) argues that *'the techniques of artists, the use of intuition, metaphor and image enables not only seeing but inseeing, or the ability to have insight into the invisible nature of relationships, of culture, of identity etc.'* Others argue that qualitative elements of change can be captured through participatory exercises such as drawing, characterisation and role play. However, this research did not uncover any examples of organisations widely using these kinds of alternative methods.

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[14] Source: Nigel Simister: "Monitoring and Evaluating Capacity Building: Is it really that difficult? INTRAC Paper, 2010

Annex 5

Choosing an Organisational Assessment Method[15]

Once the necessary pre-conditions are met, a number of choices have to be made about the choice of OA methodology. The following factors are designed to help with making those choices:

1. The method must relate to the purpose
Where assessment is to develop a capacity building initiative, a more comprehensive approach is needed. Where assessment is to convince donors of competence, demonstrating a track record using, for example, an Institutional Footprint Analysis that concentrates on performance and impact may be sufficient.

2. The degree of organisational complexity
If the organisation is large, diverse, geographically spread, multi-donor, or operating on a scale that concerns government, it is likely to be complex and require a sophisticated OA method. If the organisation is small, tightly-focused, works in a limited geographical area with a well-defined population group and is funded from a small number of sources it is likely to be less complex and a more simple structured discussion method may be adequate.

3. Budget available for the organisation assessment
There must be a sensible relationship between the purpose of the OA and the funds required for it. Common sense should suggest what is or is not appropriate. Care should be taken to include the 'hidden' costs such as staff time but these may be balanced against the 'ownership' benefits of participation and the potential capacity-building nature of a well-implemented OA process.

4. Capacity of the organisation to carry out the OA
If the organisation does not have the necessary capacity to carry out a self-assessment, it will need support from an outside source. Care should be taken about the selection of a skilled, neutral outsider, particularly if the purpose of the organisational assessment is in any way perceived as being related to funding decisions.

5. Level of crisis/stability
Indicators of crisis (such as internal conflict, high staff turnover, widespread internal dissatisfaction, withholding or withdrawal of funding and adverse media coverage) may justify a very thorough OA that may seem out of proportion to the degree of organisational complexity. If the crisis is acute, some drastic measures may be called for alongside a commitment to undertake an OA on which to build a solid foundation for the future. Sometimes it may be better to wait until the crisis is over before starting an OA.

6. Fragility/vulnerability
At particular stages in an organisation's life, in-depth investigation can be handled without difficulty. At other times this is not possible or may undermine a fragile organisation in its early stages of development. At such times, a less probing organisation assessment may be called for.

Factors that could influence the OA of a 'partner' organisation:

1. The nature of the relationship your organisation has with the 'partner' organisation.
2. The size and geographical spread of the 'partner' organisation.
3. Its position on the life cycle.
4. Its history (successes and failures and the reasons for them).
5. The origins of the 'partner' organisation.
6. The culture and the level of trust within the partner organisation and between the partner and your organisation.
7. The level of the 'partner' organisation's self-awareness.
8. The availability of finances and time to carry out an OA.
9. The 'partner' organisation's systems and structures.
10. Differences of opinion/internal conflicts/internal dynamics.

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[15] Source: Adapted from Fowler, Alan (et al) 1995, Participatory Self Assessment of NGO Capacity, INTRAC Occasional Papers Series No 10, Oxford: INTRAC

11.	Levels of skill/competencies to carry out the OA.
12.	Relationship of the 'partner' with the donor organisation.

Tools for organisational assessment

DCA has gathered various tools for organisational assessments at the Intranet:

http://intranet.dca.dk/International Department/GroupPDU/Strategy/Organisational Development/Organisational Assessment Tools

Each tool of course has its positive and negative elements, depending on the concrete situation and organisation. PPU can share these with you on request as well as send the tools as attachments if you cannot access the folder.

Annex 6

Reading List - Organisational Development and Capacity Building

Title	Author	Date	Publisher	Summary	ISBN
Striking a Balance: A Guide to Enhancing the Effectiveness of Non-governmental Organizations in International Development	Alan Fowler	1997	London: Earthscan / INTRAC	Excellent book on the management of NGOs which covers strategy, sustainability, partnership and other relationships, organisation development, design and structure, human resources, finance and funding, capacity building and organisational learning.	1 85383 325 8
The Virtuous Spiral: A Guide to Sustainability for NGOs in International Development	Alan Fowler	2000	London: Earthscan / INTRAC	Examines how NGOs can achieve sustainability through enduring impact, continuity of funding and organisational viability. Emphasises the importance of adaptability. Explores regeneration through organisational learning, organisational change and leadership. useful sections on indicators for sustainable development and the stages of capacity building.	1-85383-610-9
Enhancing Organisational Performance	Charles Lusthaus, Marie-Helene Adrien, Gary Anderson and Fred Carden		Ottawa: IDRC	Model and tools for organisational self-assessment especially aimed at NGOs. Examines performance, external environment, organisational motivation, and organisational capacity.	0-88936-870-8
Capacity-Building: An Approach to People Centred Development	Deborah Eade	1997	Oxford: OXFAM	Examples of specific and practical ways in which NGOs can carry out capacity building initiatives. Looks at capacity building of individuals, organisations and networks. Also has a chapter on capacity building in emergency situations.	0-85598-366-3
The Dance of Change: The Challenges of Sustaining Momentum in Learning Organisations	Peter Senge, Art Kleiner, Charlotte Roberts, Richard Ross, George Roth and Bryan Smith	1999	London: Niocholas Brealey	Source book of ideas on organisations, change and the development of learning organisations.	1-85788-243-1
Demystifying Organisation Development: Practical Capacity-Building Experiences of African NGOs	Rick James	1998	Oxford: INTRAC	Case examples of OD consultancy from African NGOs which focus on capacity-building. Examines the role of OD consultants; cross-cultural issues; key success factors.	1 897748 35 3

Title	Author	Date	Publisher	Summary	ISBN
Strengthening the Capacity of Southern NGO Partners	Rick James	Undated	Oxford: INTRAC	The result of research into approaches used by Northern NGOs to develop the capacity of Southern NGO partners. Concludes that the two most popular strategies are institutional funding and management training.	
Power and Partnership: Experiences of NGO Capacity-Building	Rick James, Ed	2001	Oxford: INTRAC	Examines NGO partnership and capacity building in the field of development. Draws a series of conclusions for developing a capacity building strategy.	1-897748-59-0
Managing Organisational Change	Roy McLennan	1989	Prentice-Hall	An excellent series of short, pithy articles on organisational development and the management of change. Worth buying.	0-13-547308-X
The Earthscan Reader on NGO Management	Edwards, Michael and Alan Fowler (Eds)	2002	Earthscan	Excellent and comprehensive collection of difficult-to-get-hold-of and 'classic' articles on NGO vision, values, strategy managing growth and change, strengthening governance, participation, partnering and capacity building, organizational learning, mobilizing resources, gender, human resources and leadership.	1 85383 848 9
From the Roots Up – Strengthening Organizational Capacity through Guided Self Assessment	Gubbels, Peter and Kathryn Ross	2000	World Neighbors	Excellent and very practical book on organisation assessment and capacity building. Packed with useful tools.	0 942716 10 8
Learning for Change: Principles and practices of learning organisations	Britton, Bruce	2002	Swedish Mission Council	A guide to NGOs as learning organisations. Includes conceptual models, barriers to learning, tools for learningand practical indicators and strategies. Available for download from www.missioncouncil.se	
Praxis Paper No. 7 Building Analytical and Adaptive Capacities for Organisational Effectiveness	Sorgenfrei Mia and Rebecca Wrigley	2005	INTRAC Praxis Programme	The paper suggests that by facilitating an understanding of analytical and adaptive capacities, and how they can be strengthened, we may help CSOs increase their effectiveness. It offers a cross-disciplinary review of current thinking about analytical and adaptive capacity, drawing on literature from fields such as organisational learning and change, strategic management, systems thinking and complexity theory. It then proposes practical considerations which may guide future efforts to develop the analytical and adaptive capacities of CSOs.	
Tools for Development	DFID		DFID	Practical collection of tools such as stakeholder analysis, visioning, risk analysis and problem trees and how to use them in the development context. Can be downloaded from www.dfid.gov.uk	
Finding Our Way	Margaret J. Wheatley		Berrett-Koehler	Excellent - if unconventional - book on leadership, change and organisations – Highly recommended	9781576754054

Title	Author	Date	Publisher	Summary	ISBN
Images of Organization	Gareth Morgan		Sage Publications, Inc	Excellent introduction to organisational theory. Introduces organisations as machines, brains, organisms, etc. Should be in every change agent's library.	
Guide to Organisation Design	Naomi Stanford		Profile Books Ltd	Very thorough book that introduces models for understanding organisations as well as a wide perspective on the elements of organisational change.	9781861978028
Understanding Organisations	Charles Handy		Penguin	Good Basic introduction to organisations. Well written though now somewhat dated.	
Managing Without Profit: The Art of Managing Third-sector Organisations	Mike Hudson		Penguin Books Ltd	Very good, practical introduction to management and organisations written specifically for the non-profit sector.	0140269533

The "Barefoot Guide to Working with Organisations and Social Change" (http://www.barefootguide.org/download.htm) is a practical, do-it-yourself guide for leaders and facilitators wanting to help organisations to function and to develop in more healthy, human and effective ways as they strive to make their contributions to a more humane society. It has been developed by the Barefoot Collective in 2009.

Article: "The baobab metaphor for sustainable organisational development at the grassroots", by Jolanda Buter & John P. Wilson, Development in Practice, Volume 13, Number 1, February 2003.