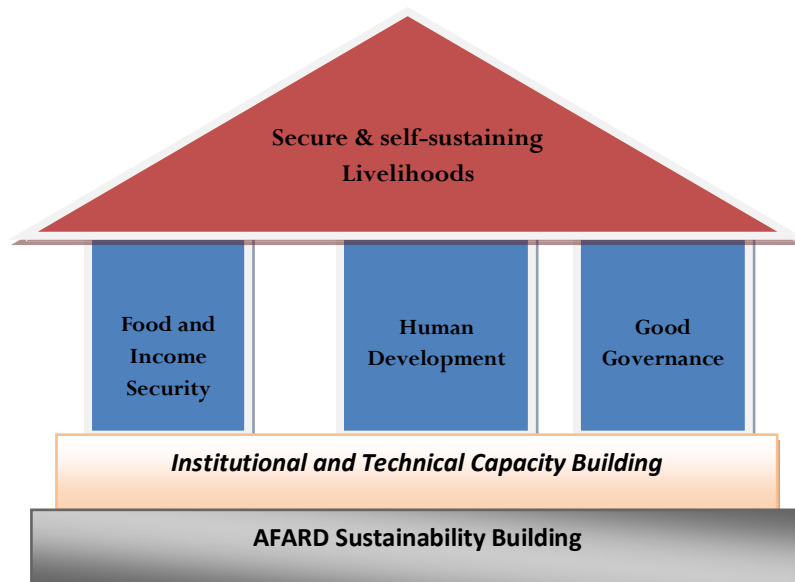


WEST NILE DEVELOPMENT INITIATIVE (WENDI)

(Transforming Livelihoods)

OPERATION GUIDELINES 2009-2015



Prepared by:
Agency for Accelerated Regional Development
(AFARD)

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LIST OF ACRONYMS

AFARD	=	Agency for Accelerated Regional Development
BO	=	Beneficiary Organization
CBO	=	Community Based Organization
CDO	=	Community Development Officer
CFP	=	Concept Framework Paper
DLG	=	District Local Government
LLG	=	Lower Local Government
M+E	=	Monitoring and Evaluation
MO	=	Member Organization (used interchangeably with BO)
NAADS	=	National Agricultural Advisory Services
NADN	=	Nebbi Area Development Network
NGO	=	Non Governmental Organization
OVC	=	Orphans and Vulnerable Children
PC	=	Procurement Committee
PLWA	=	Persons Living with HIV/AIDS
POCA	=	Participatory Organizational Capacity Assessment
PWD	=	Persons with Disabilities
UGX	=	Uganda Shillings
VA	=	Village Association
WENDI	=	West Nile Development Initiative

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1 INTRODUCTION

Gorta's support to the West Nile region dates back to the 1990's. Then small isolated projects generated by largely elites with minimal participation of would-be beneficiaries were funded. This started to change from 2000 onwards when AFARD began to undertake assessment, mentoring, and from 2007, coordinating roles. The West Nile Development Initiative (WENDI) is therefore a confirmation to deepening the empowerment of Beneficiary Organizations (BOs) who are largely rural, illiterate, and poor people (many of whom are women). It is concerned with: (i) a consolidated funding; (ii) for an integrated rural development; (iii) through a credible agency (AFARD); (iv) targeted at empowering marginalized communities to fight the varied forms of livelihood insecurities the people in West Nile region are faced with. In this global approach to fighting poverty and hunger, WENDI will also seek within 2009-2015 to promote the Visibility, Impact, and Sustainability of Gorta support in the West Nile region.

This part, therefore, gives attention to background information about WENDI and why this guideline became inevitable for the effective management of the programme.

1.1 About West Nile Development Initiative (WENDI)

It is now a known fact that for various reasons, the more than 1.9 million people in West Nile are twice as poor as an average Ugandan is. As a result, WENDI was formulated to transform the livelihoods of the people in West Nile by focusing on fighting against food and income insecurity; human underdevelopment; and bad governance while building AFARD's sustainability. The formulation process was highly participatory and consultative, involving Beneficiary Organizations (BOs) and local leaders.

In the next 7 years, WENDI aims at '*empowering rural marginalized communities in West Nile to transform their energies for the attainment of secure and self-sustaining livelihoods*'. In rural marginalized communities, we target as many households in a village as is possible. We look at their empowerment as an inclusive process of enabling them gain voice and choice to identify, prioritize, commit to, access critical resources and work for the well-being of their households and village. Their livelihoods are considered secure and self-sustaining when they can withstand stresses and shocks without falling back into the current state of desperations and systems are in place (organizational, environmental, socio-economic) to ensure long-term derivation of benefits.

1.2 About Gorta

Gorta (the Irish word for extreme hunger) was founded in 1965 under the aegis of the Department of Agriculture as the agency with responsibility for tackling hunger through small-scale agricultural development projects in the developing world. From its formation, Gorta's approach to the reduction of poverty and the elimination of hunger has been through helping people in developing countries

grow their own food especially through direct small and rural projects' support. Gorta's vision is "a world where there is no hunger and where the poorest communities have the means to create a prosperous future for themselves and their children". Herein, hunger is addressed from a broader focus such as food and water security that sustains life; healthcare that saves lives; education that empowers; and livelihoods that create prosperity in a manner that strives to achieve sustainable social, environmental, and economic justice for all.

1.3 About AFARD

The Agency for Accelerated Regional Development (AFARD) is a local professional, not-for-profit, non-denominational NGO. It was formed in July 2000 by professional sons and daughters of West Nile because: **First**, the west Nile region is the poorest in Uganda with over 6 in ten people living below US\$ 1 a day. **Second**, many development interventions have been 'external to local context' and imposed. **Third**, decentralized governance has not made people citizens of the state. **Finally**, the high human resource flight of natives of the region has continued to limit innovations and enthusiasms to work for self-development. Thus, the vision of AFARD is "a prosperous, healthy and informed people of West Nile" and the mission is "to contribute to the moulding of a region in which the local people, including those who are marginalized, are able to participate effectively and sustainably and take a lead in the development of the region".

1.4 Why this Guidelines

The shift in Gorta funding from a fragmented piece-meal isolated project approach to a consolidated area-based and integrated rural development approach shifted centres of responsibilities from the hitherto stand-alone BOs to AFARD that is now solely responsible for: (a) the identification of BOs; (b) conducting annual planning with selected BOs; (c) receiving and accounting for funds; (d) disbursing funds to BOs; (e) capacity building; (f) monitoring, evaluation and reporting; and (g) building alliances with other agencies like local governments, research and academic institutes, and the market.

Effectively delivering on all these responsibilities requires a transparent system for selecting BO; and a learning and adaptive project management approach. This guideline is therefore developed to facilitate the work of both AFARD and the BOs in ensuring that plans and budgets are developed and managed effectively and efficiently with optimal visibility, impacts, and sustainability.

1.5 Structure of the Guidelines

This guideline is structured in 9 parts starting with this part that gives background information about WENDI and the guidelines.

Part 2 presents the modalities for operationalizing WENDI.

Part 3 explains how BOs are to be identified and formalized for WENDI implementation.

Part 4 emphasizes on Regional Planning and Budgeting methods and best practices.

Part 5 focuses on Implementation Management.

Part 6 dwells on Financial Management.

Part 7 explores in depth Progress Monitoring and Evaluation.

Part 8 grounds on Progress Accounting and Reporting.

And , part 9 specifies Exit Conditions and Strategies.

1.6 Users of the Guidelines

The primary users of this guideline are first, AFARD for facilitating, mentoring, and accounting for WENDI implementation. Second are the BOs for effectively managing their individual projects. Finally, both Gorta and local government officials may use this manual in facilitating community-driven development initiatives.

1.7 How to use this Guidelines

This manual pivots on a successful management of the project cycle especially for users with minimal project management skills. It gives more attention to 'how can' rather than 'what is' approach so that the expected outputs are produced timely. Thus, in order to make good use of the guidelines, it is important that the users pay attention to what the relevant part is focusing on – the processes and outputs.

For the BOs, using this guideline means that each part must be read with reference to their Constitution, approved Annual Plans and Budget; and Network Code of Conduct (annex 1); and WENDI Stakeholders' Roles and Responsibility Guidelines (annex 2).

2 WHO IS ELIGIBLE TO BENEFIT FROM WENDI

In as much as Part 1 provided a critical overview of WENDI, its implementation modalities deserve attention. This part therefore provides a valuable description of the critical unit to which WENDI services are targeted at the healthy, productive and wealthy home model.

2.1 WENDI Focus – Healthy, Productive and Wealthy Home Model

The centre of life in West Nile is in the home; the foundation of a family. Having a healthy, productive and wealthy home is a goal that appeals to everyone because it is where parents, children, and dependants live. However, what makes a home worthwhile is what comes out of the kitchen/cook stove. The occupant of a home without a cook-stove is considered a dependant on his/her parents/guardians.

This means that in every home, the kitchen department must be effectively operational to sustain life. Food provides the fuel for life. Without adequate food (normally 3 meals a day – morning, lunch, and supper), the productivity of a household is reduced in all spheres. Children lose effective school participation while parents' ability to sustain food production and income generation declines. Yet, no one home can produce all the food it needs. It has to be able to buy what it does not produce from the market. Thus, a home must also be able to generate income by whatever means lest it will miss accessing income-driven consumptions. This explains why WENDI is pre-occupied with food and income security.

The ability to sustain such a high level of productivity of own food as well as generating adequate incomes in part depends on the health status of the family members. People need not fall sick frequently in order to maintain steady work days. The scenario in West Nile is that the main causes of morbidity (as well as mortality) are otherwise preventable. Improper safe water and sanitation chain management cause over 80% of illnesses. Likewise, HIV/AIDS pandemic is taking a greater toll on especially fisher and urban communities largely from unsafe sexual practices. Fighting such burdens to life is the focus of the human development pillar of WENDI particularly the safe and healthy home focus.

Further, within the current global economy, a home also needs various competencies to survive. Children need to access formal education and (young) adults need to acquire marketable skills with which they can access waged employments. It is this outlook that drives WENDI to include education in its human development focus.

Finally, no home is an island. Members of the home belong to many collectives – call them community-based groups – driven by varied reasons amongst which is risk pooling. Undoubtedly, most of these groups are either opportunistically founded or are too weak to bring benefits to their members, who neither have a shared vision nor are their energies directed towards a rewarding enterprise. Above all, many leaders once elected turn such groups into personal properties with which they do as they please thereby curtailing the ability of the groups to grow and deliver benefits.

At a higher level, the groups operate within a wider community. However, their ability to interface with decentralized local governments is inhibited on the one hand by their ignorance of what local governance entails and, on the other hand by actors in local government who thrive on opaque operation. It is in this view that WENDI sees good governance promotion as cardinal in building synergies between food and income, and human development from within a given locality.

From the above scenario, it can be said that a home is happy if it is optimally endowed to provide for the needs of every member. This is only possible if all departments in the home are functioning optimally to ensure the day-to-day needs of every member is met.

Thus, WENDI wants to see beneficiaries who are active citizens having households (and their individual members and groups) that are food and income secure; ably exhibiting improved human development; and citizens actively engaged in good governance promotion. These households must be able to grow, afford, and equitably eat good food; accumulate adequate cash and in-kind savings to meet current needs and buffer future shocks and stresses; practice safe water and sanitation chain management with low susceptibility to preventable morbidity and mortality; and exhibit voice and choice in the governance of their groups and communities.

Seen in this light, WENDI works at household, group and community levels fighting root causes of livelihood insecurity that are embedded in food and income insecurity, human underdevelopment, and bad governance. These are in line with AFARD's vision of "A Prosperous, Healthy and Informed people of West Nile region of Uganda". Herein, **Prosperity** is about adequate income for a life above the US \$ 2 per day purchasing power parity ceiling and able to allow for both cash and in-kind savings to buffer shocks and stresses in the future. **Health** is about tackling preventable diseases and better nutrition. And **Informed** is about enhancing voices of and choices for the weak.

2.2 Best-bait Outreach Approach

All the above noted facets of denials and exclusion to a dignified life are typical characteristics of marginalized communities and interest groups who AFARD targets. Within those communities, AFARD works with people who are concerned about their specific development problems, are doing something however small about those problems, and are willing to try new ideas for improving their livelihoods. These are people whose rights deserve enhancement because they are already yearning to live a better life without the common mentality of 'government must provide a handout'. All they need are opportunities and an igniting to embark on the struggle for a better life.

It is due to this philosophy that AFARD works with already existing committed groups/communities (call them Community Based Organizations – CBOs – or in some cases Village Associations –VAs). Often, new groups are also formed where the hunger for poverty reduction is high yet no collective solidarity organization exists. Meanwhile, where existing groups are small, request for expansions are negotiated and implemented. The inherent reasons for doing so are cost-effectiveness, bigger outreach and visibility, consolidated impacts, and the promotion of community safety net systems akin to the region.

Finally, all BOs who have been approved to benefit from WENDI automatically become members of their District Network; an arena where all BOs converge to share experiences, challenges and chart the way forward for successful implementation of WENDI as well as discipline errand BOs.

3 BENEFICIARY IDENTIFICATION, ASSESSMENT, AND FORMALIZATION

In Part 2 we pointed out that the best outreach strategy of WENDI is through community organizations – small and big alike operating as risk buffer mechanisms in many parts of West Nile. This part explains the dynamics to be accomplished to ensure that only credible and committed organizations are partnered with.

3.1 Beneficiary identification and validation

West Nile has suffered from 3 decades of political instability both within and outside of it. As such, in many parts of the region, the varied shocks and stresses compelled many like-minded people to form themselves into community based organizations. Some unscrupulous people (especially elites) have also exploited the situation to form 'briefcase' organizations. Meanwhile, a number of humanitarian and rehabilitation agencies have also been operating in the region, albeit on reducing scales. As a result, a large number of community groups exist and to know which one is legitimate and credible AFARD identifies potential BOs through rigid criteria devoid of invitation (by mainly opportunists) or directions (by especially god-fathers). Consultation with key stakeholders is absolutely important but the final decision to take on a group rests with AFARD. Below is the criteria used to vet a potential BO.

Selection criteria: BOs are selected basing on:

- BOs that are located in disadvantaged areas (poverty effect gains);
- BOs already formed by the members for their own goal and are known to exist (self-drive gains and community support) ;
- BOs that are not currently receiving funding/support from other development agencies (inclusion benefits);
- BOs that are located closer to where AFARD is already working (administrative costs and visibility gains);
- BOs willing to get involved in community wide projects. This also means that where the membership of an existing BO is small, they are willing to embrace new entrants and the resultant reorganization (collective effort for bigger gains);
- BOs that are free from religious and political affiliations (non-partisanship & pro traditional ecumenism);

- BOs having mixed membership (equity gains);
- Commitment to the spirit of self-help and own development and the realization of impact;
- In poor areas where no BOs exists but the people are willing to form groups (replication of efforts); and
- The BO formally accepts an offer of entry into WENDI.

3.2 Participatory Organizational Capacity Assessment (POCA)

The identification of any BO is as good as a guarantee that it will be partnered with. Its capacity therefore deserves assessment in order for AFARD to add value to the organizational management ability. At this point, a POCA is conducted at the BO site using a standard impact-driven indicator as are shown in Template 1 below. BO members are encouraged to discuss each indicator in different groupings – leaders, youths, women, etc, so that the final score is an agreed upon status by all members. This approach avoids the common practice among many BO leaders of overrating their capacity to impress AFARD forgetting that they finally will lose out from capacity building opportunities.

Scoring POCA

Each of the POCA indicator is scored on a Yes=1 and No= 0 basis. The final score is computed by dividing the actual number of Yes by the expected score for the topic as below:

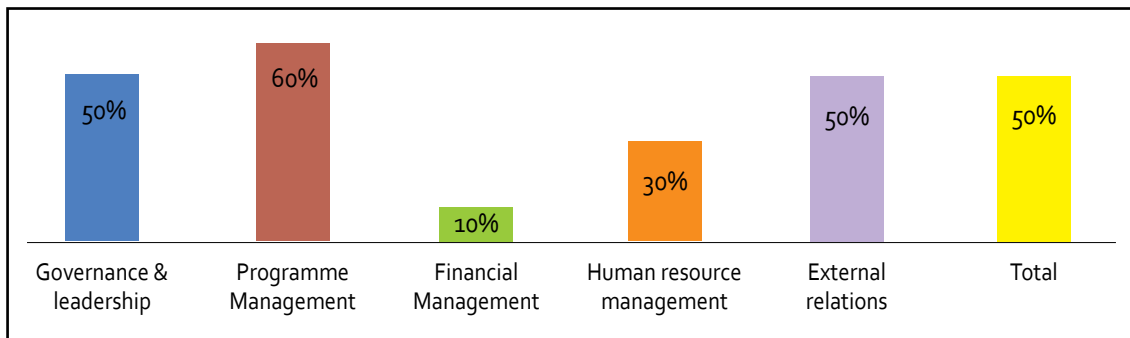
Table 1: POCA Calculation table

Topics	Expected scores	Actual score	% score
1. Governance & Leadership	10		
2. Programme Management	11		
3. Financial Management	10		
4. Human Resource Management	6		
5. External Relations	3		
Total	40		

From Figure 1 below it can be observed and recommended that:

Existing capacity	Recommendations
<ul style="list-style-type: none"> • Overall Dei PTC has an average capacity to perform its core business although: • It core strengths lies in its programme management, external relations and governance and leadership. • It suffers most from an exceptionally weak financial and human resource management gaps. 	<ul style="list-style-type: none"> • Urgently conduct financial management training at the commencement of project implementation. • Develop the skills with which members can perform their group and own activities. • Build on the external relations the group has to leverage diversification of resource base

Figure 1: Example of Dei Post Test Club POCA findings



Template 1: POCA Instrument

**WEST NILE DEVELOPMENT INITIATIVE
(WENDI)**

PARTICIPATORY ORGANIATIONAL CAPACITY ASSESSMENT SHEET

Name of Beneficiary Organization:.....

Date of Assessment Name of Facilitator.....

Governance and leadership	Yes/No
1. A written constitution in place and signed by all the members	
2. All members are knowledgeable about exit conditions in the constitution	
3. Leaders and members make decisions jointly	
4. At least a third of the leadership are women	
5. Over the years leadership positions have been rotated with gender sensitivity	
6. The vision, mission and values are understood by all members	
7. Management provides regular open financial and programme accountability to members	
8. All group members have met their membership obligations	
9. Monthly minuted meetings are held	
10. Has own office space	
Programme Management	
11. There is a written agreed upon annual work plan and budget (AWPB)	
12. Activity schedules are developed for each activity	
13. Routine monitoring of activities is carried out	
14. Feedback on monitoring is provided to all members and stakeholders	
15. Monitoring results is used for planning for the next quarter	
16. Group members are satisfied with group current activities	
17. Has 4 acres of land under cultivation	
18. Has own produce store	
19. Adheres to approved plans	
20. Submits periodic reports on agreed upon time	
21. Effectively manages community wide projects	
Financial management	
22. Approved financial management guidelines exists	
23. A functional book keeping practice in place that is known by all members	
24. The group has diverse funding sources	
25. Disburses group loan fund transparently in the open	
26. Has a loan repayment rate $\geq 95\%$	
27. Has saved \geq UGX 20 million	
28. Are group members quarterly updated about their bank balances	
29. There is an asset inventory which is updated and depreciated	
30. Adheres to Fund Utilization Form	
31. Submits true and correct financial reports	
Human resources management	
32. Members have specialized skills to undertake partner's activities	
33. Members are supportive towards each other	
34. Has at least 5 frontline farmer advisors	
35. Has at least 5 frontline community preventive health advisors	
36. An internal arrangement exists to handle conflicts among members	
37. A guideline for managing member's exit exists	
External relations	
38. The partner has established links with government and other agencies	
39. The partner is fully supported by the community it serves	
40. Effectively engages with lower local government during budgeting processes	

3.3 Beneficiary formalization

While the POCA exercise provides a good avenue for AFARD to understand the BO capacity and its informal dynamics, it is important that a potential partner is made a legal entity so that it can sue and also be sued. To do so, the following are undertaken:

- a. *Induction of BOs on the roles and responsibilities of the different WENDI stakeholders:* This is a formal induction of the BO about WENDI, the rules of engagement, the roles and responsibilities of the key stakeholders including their own and the immediate activities to be accomplished.
- b. *Constitution making:* For those BOs without a Constitution, the members are taken through a process of making their own Constitution. Often, the Lower Local Government (LLG) and the Community Development Office (CDO) is involved in this exercise. For those who already have constitutions, a review is done to assess their suitability in the WENDI context and whether or not all members know all or at least the key clauses in the Constitution.¹ But a copy of the Constitution must be filed with AFARD.
- c. *Election of leaders:* Given that the POCA exercise and the Roles and Responsibility induction exercises revealed the leadership challenges ahead of the BO, elections or confirmation of new and old leaders respectively are done using relevant provisions in the Constitutions. WENDI needs drivers who are committed, far sighted, honest and good listeners.
- d. *Registration with LLGs:* To be legally legitimate, BOs are encouraged to register, using the membership and subscription fees they have mobilized from their members, with the CDO in their respective LLGs. A certificate of registration is issued while a copy of the BO Constitution is filed at the LLG for future reference (like soliciting support in conflict resolution or sourcing for funding). A copy of the registration certificate must be filed with AFARD.
- e. *Opening of Bank Accounts:* Finally, that WENDI does not dispense hard cash to its BOs, every BO is provided with authorization by AFARD to open a Bank Account with a bank institution nearer to them.² The account number is then provided to AFARD Finance Department for on-use (see part 6.2).

¹ In both instances, attention is put on articles related to the Vision, Entry, Exit, Benefit sharing, Leadership, and Committeeship.

² The essence of this authorization is grounded in the working agreement that AFARD finally signs with every BO before disbursing funds to it. This is done to guarantee AFARD express authority over the BO Accounts in the event of fraud.

4 REGIONAL PLANNING AND BUDGETING

Once the required number of BOs for the year has been identified, they join the old groups that deserve continued support in a regional planning and budgeting process. AFARD facilitates this process always in collaboration with LLG officials and other development professionals of its choice. The planning starts with the BOs upward until the regional plan and budget is consolidated, reviewed, and approved. This part is devoted to explaining how this is done.

4.1 Concept Framework Paper development

Once a BO has completed its formalization process, AFARD undertakes to develop with it a **Concept Framework Paper (CFP)**. This framework (see Template 5 below) is a summary statement of the various results each BO would like (and can commit) to achieve in 7 years. This document summarizes the group's vision and aspirations over a 7-year period and breaks it down in 4 development stages: Start-up year; Year 1-2; Year 3-4 and Year 5-6.

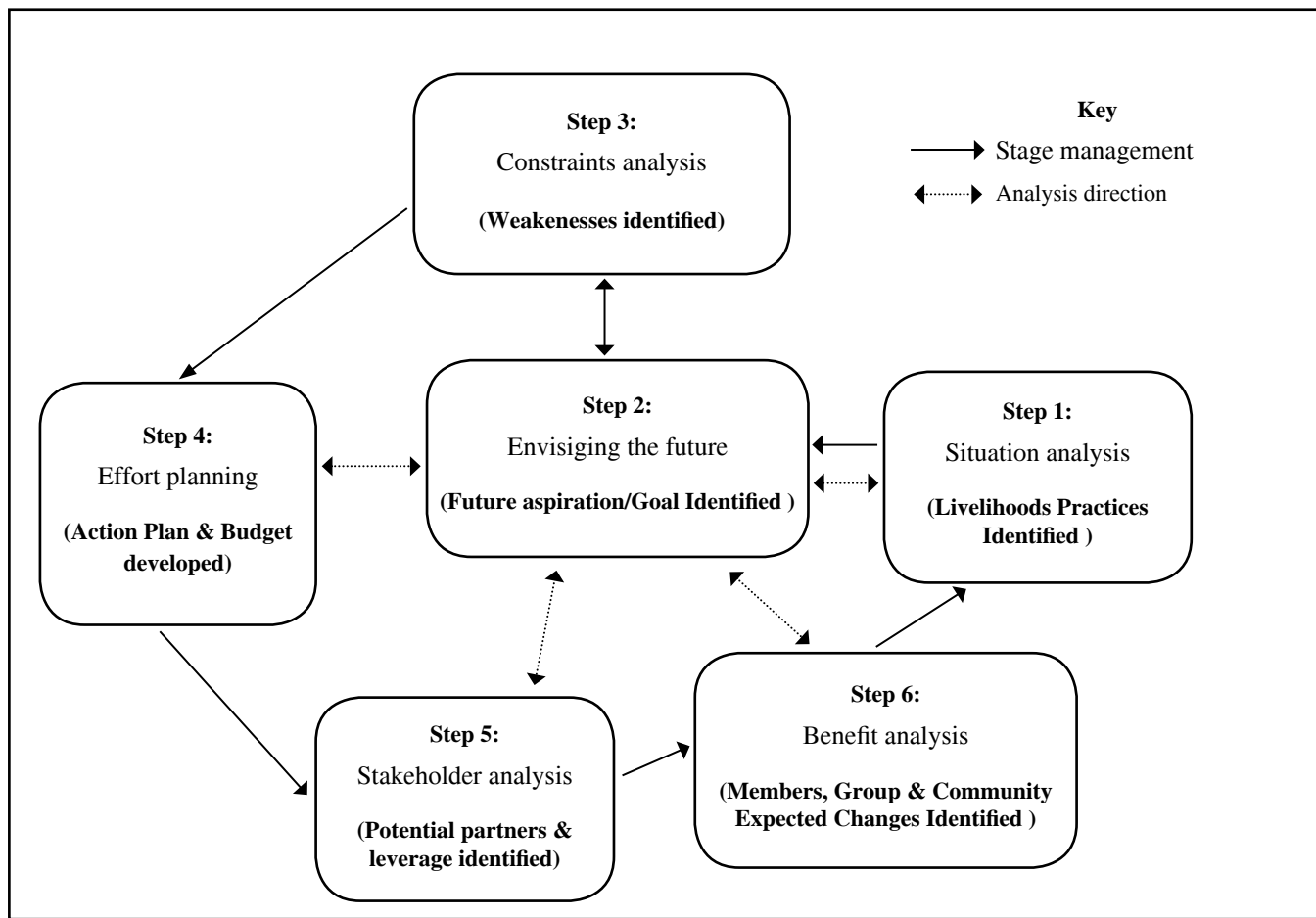
Important to note in developing the CFP are that, first, members need to be familiar with, and focused on, the targets they set for each stage as these targets are what they will be measured against. While such targets may change over the years, the vision and general direction are not likely to change. Second, members must own the concept so that they can commit to it. Finally, as a broad development focus, CFP will identify needs that are broader than WENDI can handle. The result therefore provides an opportunity for linkage building with other stakeholders and BOs are encouraged to actively look elsewhere for resources WENDI does not provide.

Developing the concept

In line with Gorta's **Step-wise Development Approach (SDA)**, CFP is developed in a highly participatory manner. Participants in this process are advised not to confine their dreams and aspirations only to the BO membership given that WENDI is articulated to benefit household, group and community levels. The involvement of community leaders and other NGOs in the process is of paramount importance in enriching the plans and making them realistic.

Figure 2 below summarizes the various steps that are undertaken in coming up with a CFP for any BO. These steps present a variation from the traditional planning paradigm where impacts are not deliberately envisaged. In this planning process, an impact-driven approach is the key as every BO is encouraged not to resign to lamenting about its current situation of desperation. Rather, the approach encourages them to aspire for a future they have all along dreamt about. Instead of looking at current situation as the roadblocks to a dignified life, participants are facilitated on how to see strengths and opportunities on which to build, and gaps that they have to bridge.

Figure 2: Concept planning steps



As can be seen from Figure 2 while the steps run from 1-6, the cardinal planning point is Step 2. In WENDI, all planning aspects are seen from the perspective of the BO Aspirations/Goal. What is of importance is the extent to which every step ties well with the goal. For instance, instead of looking at which stakeholders exist broadly, we narrow down to specifically looking at those who can support our actions towards the goal.

Below Table 2 presents a brief on the various steps. A word of caution is that, this Guideline does not intend to dwell into explaining the various Participatory and Strategic Research and Planning Approaches (that can be found elsewhere). Rather, it focuses on briefly explaining methods we deem relevant for our use.

Table 2: Summary methodological approaches and results in concept planning+

Steps	What it is about	Who are involved	How it is done	Output
1. Situation analysis	This step focuses on exploring how the people live their daily lives and with what outcomes.	BO members Community leaders Development agencies in the area	<ul style="list-style-type: none"> Ask the people to describe their community by exploring (see Template 2): <ul style="list-style-type: none"> What their ethnicity, religion, and its social relations are What life is like in a typical homestead in 24Hrs and in varying seasons (depending on the year) How money, food and nutrition is accessed and utilized Access to basic services like safe water and sanitation, education, health, roads, etc The negative/positive trends their lives have taken over the last few years and possible reasons Also ask the participants, for old CBOs, to provide critical information about their organization like: <ul style="list-style-type: none"> When it was formed, by who and why How it is governed and changes if any in leadership, why (note the names of the leaders and their telephone contacts) The legality of the BO and its interface with government and other development agencies (also noting why such relationships have not yielded as expected) What it has been doing and with what successes and constraints Beware to collect corroborating information from institutions and other development agencies in the area. 	<i>Prevailing livelihood practices identified</i>
2. Envisioning the future	This is about looking at a positive life in "paradise" by exploring what "I/We" LOVE to have in order to LIVE as .. "angels" in heaven	BO members Community leaders Development agencies in the area	<ul style="list-style-type: none"> Ask the people to describe the kind of life they have all along wished to live and cherish and <ul style="list-style-type: none"> Explore what a good life looks like in their own perception (as women, youths, men, leaders, OVCs, PWD, PLWA....) Through dialogue and ranking methods, prioritize in order of importance the 1st 3 good life focus for which the people can stake their lives 	<i>Future aspirations/goals identified</i>
3. Constraint analysis	Emphasis here is paid on exploring why the community has not been able to achieve their listed life desires all these years	BO members Community leaders Development agencies in the area	<ul style="list-style-type: none"> For each prioritized desired good life, explore what the constraining factors (both internal and external to the community) have been. Note that the key issue here is that, had these factors not been in place, would life have been any better? (see part of Template 3 column 2) 	<i>Weaknesses curtailing the achievements/goal of aspirations/goal identified</i>

Steps	What it is about	Who are involved	How it is done	Output
4. Effort planning	The focus here is how to achieve those desired "good life" using local strengths	BO members Community leaders Development agencies in the area	<ul style="list-style-type: none"> Ask the participants on (see part of Template 3 column 3): What solutions do we have for solving the constraints that have been curtailing our successes? <ul style="list-style-type: none"> To what extent can we ably address the solutions? What can we do on our own? What do we need help from others over? How much would it cost us? 	<i>Annual plan and Budget developed</i>
5. Stakeholders analysis	Herein we explore who (organization) exists out there that we can work with to achieve our progress	BO members Community leaders Development agencies in the area	<ul style="list-style-type: none"> Ask the participants to explore from the list of solutions provided as direct routes to their goal (see part of Template 3 column 4): <ul style="list-style-type: none"> Which organization in their area is doing the same? How can leverage be built with them in our best interests? 	<i>Potential partners and leverages identified.</i>
6. Benefit analysis	This last step focuses on identifying realistic benefit (outcome/impact) targets for individual members, the partner group, and their community.	BO members Community leaders Development agencies in the area	<ul style="list-style-type: none"> Finally, ask the participants to identify the evidences they will show once they have implemented all the activities identified in step 4 and spent considerable time, money and efforts as signs that they have reached their destined good life: <ul style="list-style-type: none"> At individual member household levels(see Template 4) At their group level At their entire community level Aggregate these change indicators into a simple concept paper (see Template 5) 	<i>Members, group, and community expected change indicators identified</i>

Template 2: Life on Buvuma Islands

The 52 Buvuma Islands constitutes Buvuma county that is part of Mukono district. The county is bordered by Jinja district and Tanzania. It is inhabited by people of diverse origin and their lifestyle can be summarized as:

- There is high dependency on one activity like farming (in Busamuzi & Nairambi) and fishing (in Bugaya & Bweema). While crops are shared with vermin (monkeys, wild rats, birds) and are destroyed by cassava mosaic, banana wilt, and coffee wilt, fishing along the shores with rudimentary kits is no longer yielding yet deep water fishing is a preserve of rich individuals and fish factory agents.
- Many people have only one meal a day. This is composed of tiny silver fish (locally called 'mukene') and boiled cassava/maize meal both for lunch and super. Balanced diet is considered a luxury given the inability to diversify foods.
- Hardly all children going to schools either because the available schools are too far away (35 km in Bweema) or are simply inaccessible due to poor roads and bad weather (in Busamuzi & Nairambi).
- There is inaccessibility to modern health facilities either because of too long distances (45km in Busamuzi) or due to the perpetual lack of medicine and qualified staffs. Pregnant women are delivered primarily by traditional birth attendants. Antenatal services are hardly used while self-medication is a common practice. To get better treatment one has to travel to the mainland which on a local engine boat (given that the speed boat is simply exorbitantly expensive) is both risky and time consuming. It is common knowledge that people often die from otherwise curable diseases.
- Largely no access to safe water and safe sanitation exists. Fishing villages called 'camps' are the worst hit. For instance, Ziiru and Liibi camps in Bugaya sub county with 1500- 2000 people have no single latrine. People simply use the bilharzia-ridden lake water where they also defecate. Healthy home and village facilities are simply not common.
- Hardly is Central and District Local Government – centres for decentralized development services delivery - present other than the LC 3 government. In some islands, the Chief Administrative Officer – head of civil service in the district – has never stepped a foot while the Chairman LC 5 only reached once in more than 10 years. Such a situation has a bearing on government budget allocation for the areas; quality services assurance as supervision is known to be lacking; and it was not surprising that the District NAADS officer we met in Bugaya sub county confessed that 'I have been in Mukono district for the last 7 years but today is my first time to come on the island'. And aware that NAADS is the current central government's drive to modernize agriculture for poverty reduction in rural areas one wonders 'where Buvuma Island and its poverty is positioned'.
- No contact with development partners like NGOs exists. In Bugaya and Bweema sub counties the word NGO is a new slogan.

In all, Buvuma is an isolated and marginalized county that appears as a different part of Uganda, if at all. In Bweema sub county with 15,000 people the District Local Government provides an annual budget support of only Ushs 10 million, what the Sub county Chief noted as "far below even my annual income from salaries and other sources" and he continued, "how can I deliver services to all these people with such an amount that must pay salaries, councillors' emoluments besides development projects?" No wonder, he concluded, "I have to span the construction of just a VIP latrine into 2 financial years". The area has a lost generation as no children's education is a priority. The hands-to-mouth lifestyle is so arduous to secure. With minimal income, livelihood assets' improvement or accumulation hardly exists. This has trapped the population in a generational livelihood insecurity (call it 'poverty trap') that deserves bond-breaking.

Template 3: Key development gaps, constraints, solutions, and actors

Core Issue	The gaps	Constraints	Proposed solutions	Other actors involved (and leverage to build)
Household food and incomes security	<ul style="list-style-type: none"> • The people practice mixed farming – crop and livestock • Main crops grown are cereals and tubers and animals reared are small ruminants • Work is allocated by gender • Land sizes are very small • Many crops are destroyed by pests and diseases • And yields are extremely low • And off/non farm activities are very few 	<ul style="list-style-type: none"> • Local varieties inherited from fore fathers are the ones in use • Indigenous knowledge is the center price of production • Extension services are hard to find • Despite the sand loan soils, family labour is the main energy relied on • credit scheme exists in the area to energize diversification of livelihood activities 	<ul style="list-style-type: none"> • Provide improved varieties of crops and livestock • Provide extension services • Provide animal traction technology • Mobilize the community for revolving fund scheme and provide booster fund 	<p>NAADS Programme (collaborate with in buying quality seeds)</p> <p>Caritas (hold exchange visits to learn new ideas)</p>
Safe water and sanitation	<ul style="list-style-type: none"> • People primarily use unsafe water sources – seasonal streams and the river • It is only women who trek the long distance in search for water • All homesteads are not safe • Many children also lack safe personal hygiene practices • Malaria is the chief killer of pregnant women and children 	<ul style="list-style-type: none"> • No safe water point exists in the area • The knowledge about safe water and sanitation chain management is very limited • Lack of mosquito nets • Local government outreach to the area is limited 	<ul style="list-style-type: none"> • Provide safe water and sanitation facilities • Conduct community sensitization & education on the values of safe water and sanitation • Provide mosquito nets • Enforce community bye-laws 	<ul style="list-style-type: none"> • None

Template 4: Individual Members' Result Commitment & Tracking Register

**WEST NIILE DEVELOPMENT INITIATIVE
(WENDI)
MEMBERS' RESULT COMMITMENT AND TRACKING REGISTER**

(Period: Year.....; Month..... to).....

NAME OF GROUP.....

PROJECT LOCATION:(District).....(Sub county).....(Parish).....(village)

DATE APPROVED/REVIEWED:.....

Name of beneficiary	Sex	Age	Religion	Education	Marital status	Number of people in the households		Occupation	List of 3 top things member wants to achieve in the year			
						Males	Females		Priority 1	Priority 2	Priority 3	

Note: This form must be filled for every eligible member in the BO.

Template 5: A Concept Paper Format (of Rhinocamp Parish Gorta Program)

<p style="text-align: center;">WEST NILE DEVELOPMENT INITIATIVE (WENDI)</p> <p style="text-align: center;">CONCEPT PAPER FOR<Name of BO> FOR THE PERIOD FROM (year) TO(year)</p>		
Vision	A poverty free Rhinocamp Parish	
Goal	By the end of year 7, all the 100 benefiting households in Ledriva Community are food and income secure	
Sector	Income security	Food security
5-6 years (2013-14)	<ul style="list-style-type: none"> The group has UGX 20 million loan portfolio in circulation Members have saved at least UGX 5 million Members have permanent houses All children are in good schools No member lives by begging 	<ul style="list-style-type: none"> Members eat at least 4 meals in a day Members have better food storage
3-4 years (2011-12)	<ul style="list-style-type: none"> The group has UGX 10 million loan portfolio in circulation Members have at least UGX 2 million each Members have livestock (5 cows each) Members able to pay dowry fully Members experience no wife beatings Contributions to the church/mosque increased 	<ul style="list-style-type: none"> Members eat balanced diet Members share food equitably between women and men and children Food production increased by 70% Mothers are free from stress based on worries for food
1-2 years (2009-10)	<ul style="list-style-type: none"> Members have off-farm businesses Members have at least UGX 1 million each Members have descent clothing (with shoes) and household facilities (radio, bicycles, telephones) 	<ul style="list-style-type: none"> Food production increased by 50% Members have at least 4 improved goats Member's grow only improved crop varieties
Now (2008)	<ul style="list-style-type: none"> A revolving fund established Business skills provided 	<ul style="list-style-type: none"> Improved seeds provided Improved livestock breeds provided Extension services provided
Last years' achievements	<ul style="list-style-type: none"> Mobilized Christian community Started collective education for better life 	<ul style="list-style-type: none"> None
Current situation	<ul style="list-style-type: none"> People earn UGX 2,000 per market day (twice a week) from the sales of papyrus mats (cut in the river and loaded on risky canoes by women) Many businesses are petty because of lack of startup and build-up funds There is also limited skills in small business management No financial services exists in the area 	<ul style="list-style-type: none"> People eat only one meal a day (and at times one meal in two days) Farming is of local varieties of crops and animals and yields are too low Improved farming skills is lacking as there is virtually no extension services

4.2 Action programming

Once the concepting process is finalized, action programming must also be conducted together with all the members in a participatory manner. This stage of action programming is concerned with translating the ideas in the CFP into a format that should guide the practical implementation of the prioritized solutions.

It is not acceptable for leaders, or the elite within the BO, by virtue of the literacy and numeracy capability they have, to single handedly generate activities and budgets on behalf of group members. Doing so from experience has shown that:

- It makes members unaware of what their actual plan and budget is.
- Unaware members are unable to own their plan.
- Unaware members are also unable to commit their efforts to the plan implementation.
- It allows leaders to implement the plan (but especially the budget) with impunity. Cases of under procurement or non-distribution of inputs emerged in the past to the extent that some leaders diverted group funds.
- It hampers addressing collective accountability responsibility, as members cannot hold their leaders accountable for whatever (in)actions has been undertaken on their behalf.
- In such a situation, leaders end up fidgeting with progress reports as they simply account alone (so that they are not questioned for what appears in the report but were not actually implemented).

Therefore, planning must be done together involving all the members so that the plans are generated, owned, and are committed to by all the members. And the plans must conform to WENDI planning framework that is based on Gorta's planning cycle that is:

- Year 1 contains action plan for only 1 year (the ignition phase).
- Subsequently, all planning is done on a 2-year basis (Year 2-3; 4-5; & 6-7).

Basing on the above, Template 6 below provides a format of an Annual Plan. In filling this template it is important to remember that:

1. Actions are planned basing on identified objectives (smaller goals that can be achieved either in a year or within 2 years as are stated in the CFP). Therefore, treat each objective independent of the other.
2. List all the activities that were identified and prioritized as solutions to a given constraint to the attainment of a better thematic issue discussed.
3. For each activity, indicate the target (in numerical terms) that was agreed upon as adequate for achieving the objective. This should be spelt down by quarter so that it will be easy to budget for and monitor performance. In case you are planning for 2 years, this should be done with a total of 8 quarters.³
4. Under responsible column, fill in the person who is responsible for that activity. Caution should be taken here to desist from allocating all tasks to either the Chairperson or the Executive members. Roles should be equally shared by all members so that everyone has a chance to take a lead programme management (see what POCA under Part 2 asks for).

³ Note that the common pitfall with target setting relates to the desire to bulk all activities in the first quarter. This expresses how opportunistic many BOs are because they simply want money there and then. Be cautious, especially with farming-based BOs, to set targets in line with the prevailing farming seasons because it will help with getting money at the right time instead of having unspent funds on a bank account.

5. Under budget, fill in the sum value of the cost estimated to implement the activity to completion. Like under target, when planning for 2 years, state each year's budget independent of the other. Experience here has shown that when this is not done well many leaders fail to know how much should be spent when and in the end they spend even what should have been used in year 2 in year 1. However, the budget figures must be filled in last after the budgeting stage explained in 4.3 is accomplished.
6. Finally, under results, state what will be produced. WENDI provides fund for inputs that are required to produce results (changes in the lives of members, the group and the community). This should be spelt out clearly so that at the end of implementation we are able to say, "yes we did it or we wasted our efforts with no/minimal returns".

4.3 Budgeting

After the activities and their respective targets have been set for each year, the budgeting stage is perhaps the most cumbersome one. It is concerned with giving financial value to all the activities that have been listed as necessary for achieving a given objective.

Template 7 below provides a format for budgeting that is used in WENDI. This format is premised on zero-based budgeting principle where every activity is costed basing on the inputs that are required to implement it and at the prevailing market price. This is contrary to the common practice that many BOs use where they allocate a bulk budget for an activity. For instance, should they plan that they want to supply 100 households with improved rice seeds, they will simply say "allocate UGX 3 million". If you ask them how they arrived at the UGX 3 million, all that they will say is "don't mind about that". This kind of budgeting is dangerous if we should take keen interest in cost efficiency because we may either under-budget leading to inability to accomplish an activity or over-budget with frauds and low absorption capacity as the consequences. It is for this reason that WENDI budgeting requires us to be near precise with how much we will spend on every activity both for uniformity and cost efficiency reasons.

As has been hinted above, budgeting looks at allocating resources as efficiently as possible. To do so, filling in the template below requires that you:

1. Develop a comprehensive list of all inputs required for every activity. Once this is done, a summary of all the inputs (and their quantity) should be developed.
2. Use the summary list to conduct a market survey to ascertain the prevailing market prices for each of the items. This is done in order to have a uniform costing for same items within the budget.

Armed with the above information, you can then proceed to fill in the various columns as follows:

- Under Objective 1 – Copy the exact objective as is stated in the Annual Plan.
- Under activity – State the number as is in the Annual Plan.
- Under resources – list all the inputs required to implement the activity e.g., the seeds listed in the templates. You can then see that from the template members of Congambe need seeds and transport for delivering the seeds to their site.
- Under unit – state the number of beneficiaries who will receive the inputs.
- Under type – indicate whether the input will be distributed to members or will be used on group plot.
- Under quantity – indicate how much of the input each beneficiary will receive.
- Under description – show the nature of the input requested.

- Under unit cost – show how much it cost to buy each quantity of that input.
- Under total cost – simply multiply the unit X quantity X unit cost to get the overall cost for the input.
- Finally, you will need to spread the budget over the year as per when each unit is needed. This is because as can be seen from the template, Congambe group does not need the entire UGX 11.1 million at once. This is where another caution is needed to ensure that the funds allocated for the quarter corresponds with:
 - ◊ The time at which the activity is most suited to be implemented.
 - ◊ The target set for the period in the Annual Plan. Should you have an input that is needed for more than 2 quarters, simply divide the total cost by the total quantity and multiply by the target for the quarter.

Template 6: An Annual Plan Format

WEST NILE DEVELOPMENT INITIATIVE

(WENDI)

ANNUAL PLAN FOR<name of group>

(Period: Year:..... Month..... to

PROJECT LOCATION:(District).....(Sub county).....(Parish).....(village)

DATE APPROVED:.....

Activity	Target				Responsible	Budget				Results			
	Qtr 1	Qtr 2	Qtr 3	Qtr 4		Qtr 1	Qtr 2	Qtr 3	Qtr 4				
Objective 1:													
Objective 2:													

Template 7: A Budget Format

CONGAMBE GORTA PROJECT

Objective 1: Increase household food production										
Resource	Unit	Type	Quantity	Description	Unit Cost (UGX)	Total Cost (UGX)	1-3 months	4-6 months	7-9 months	10-12 months
<i>Activity 1.1: Provide agro-inputs</i>										
Cassava cuttings	20	Members	3	bags	15,000	900,000	900,000			
Irish potatoes	20	Group	5	bags	80,000	8,000,000			8,000,000	
Beans	20	Members	25	Kgs	3,000	1,500,000		1,500,000		
Vehicle hire	1	Vehicle	1	hire	700,000	700,000	100,000	200,000	400,000	-
						11,100,000	1,000,000	1,700,000	8,400,000	-
Total for Objective 1						11,100,000	1,000,000	1,700,000	8,400,000	

4.4 Regional integration

Once all the BO plans and budgets have been finalized, AFARD:

- Re-evaluates the market prices quoted by the BOs.
- Unifies the different costs from the same markets.
- Consolidate the various BO plans and budgets into one solid budget as is below in Table 3.

This aggregation process is aimed at arriving at a draft budget for the year. By so doing, AFARD gets an opportunity to start a discussion with Gorta (Programme Officer or Country Representative – Uganda) about how much Gorta is willing to offer in the year to the region.

Table 3: Summary crop production budget

Group level initiatives	Caci	Alionyanya	Total	€	Input Qty
Project number					
<i>A: Crop production improvement</i>					
Cassava cuttings	10,000,000	10,000,000	228,825,000	88,010	15,255
Irish potatoes			144,000,000	55,385	1,800
Bean/Soya beans	7,500,000	7,500,000	116,685,000	44,879	38,895
Groundnuts	6,900,000	6,900,000	116,683,600	44,878	25,366
Maize			26,357,500	10,138	10,543
Simsim			29,313,800	11,275	5,531
Onion/Garlic onion			15,960,000	6,138	228
Rice			13,480,000	5,185	6,740
Transport			30,800,000	11,846	
Spray pump			1,855,000	713	29
Hoes	600,000	600,000	24,140,000	9,285	4,023
Pangas			2,430,000	935	1,215
Slashers/Wheelbarrow			460,000	177	230
Gumboats			225,000	87	15
Animal traction bulls			11,400,000	4,385	8
Animal traction kits			11,700,000	4,500	9
Seedlings/assorted seeds			3,800,000	1,462	3,800
Rice hurler/Maize mill			23,300,000	8,962	2
Crop production + value addition	25,000,000	25,000,000	801,414,900	308,237	

4.5 Plan and budget validation

The advantage of the above discussion is to ensure that AFARD does not overshoot the budget. Once a tentative budget ceiling is agreed upon, a plan and budget validation meeting is organized at the District Network level. In this meeting, always attended by the Coordinators/Chairpersons together with their Accountants/Treasurers, two things are done. First, BO leaders are briefed on what their initial plans and budgets were and they are asked to ascertain whether or not it was what they discussed. Second, aware of the budget ceiling, the leaders are tasked to adjust their budgets.

Once this is finalized, AFARD simply effects the adjustments and presents the plan and budget to its Board of Directors for approval (and or adjustments if any) before the final copy is presented to Gorta.

5 IMPLEMENTATION MANAGEMENT

Part 4 elaborated the entire planning processes from the start at the BO levels up till the final submission to Gorta. Once the annual plan and budget is with Gorta, it takes some time for it to be approved. However, once the approval is finalized implementation starts immediately. This part thus explains how implementation is managed at the various levels and what should be done by every implementation stakeholder right from the District Network coordinated by AFARD to BO members. The essence is to promote team work, cost savings and transparency while at the same time building capacity of BO members for self-management.

5.1 District Network meeting

In each district where WENDI is operational a District Network (like the Nebbi Area Development Network and Yumbe Area Development Network for now) is established once the BO membership reaches 10 or more (for cost efficiency gains). These networks have a common Code of Conduct (see annex 1) that guide their operations among which is regular meeting to chart the way forward.

Before any implementation starts, an area Network meeting is convened by AFARD. This meeting is attended by BO leaders (preferably the Chairperson/Coordinator and Treasurer/Accountant). In the meeting, AFARD team (composed of internal staffs and outsourced experts) discusses:

- The plan and budget for the period for every member on a theme by theme basis.
- Other activities that will be implemented directly by AFARD.
- Expectations from every BO and its members.
- Expectations from AFARD.
- Fund availability for the year and quarter.
- How to conduct big procurements.
- When to do what at the network level (like scheduling reporting, meetings, and also trainings).

It is only after this meeting that AFARD allows every BO to kick-start its internal implementation processes. This is done to ensure that every BO conforms to the expectations of the year and work in unison with others.

5.2 Briefing local governments

Aware that WENDI in part gap fills local governments' constitutional mandate of enhancing services delivery, AFARD undertakes to debrief local government leaders about WENDI. This is done through:

- The circulation of WENDI brochures.

- The submission of AFARD's Annual Plan and Budget to various local governments where WENDI is implemented so that as a requirement they can be integrated into the local governments' 3-year Development Plan.
- Organizing district and lower local government level debriefing meetings in which WENDI is discussed and leverage building options are explored with the various sector heads under which WENDI thematic focus falls.
- Participating in district sector meetings so as to deepen the working relations with sector heads, staffs, and other stakeholders.

5.3 Briefing BO members

While debriefing local government is all about accountability and building leverage, experience has shown that regardless of the participatory planning approach much of the implementation information conclave with leaders. In deed as information is power, often many BO members are ignorant of what their approved projects are (see 4.2 for the pitfalls).

In order to increase on the awareness and knowledge of every BO member about WENDI generally and their project in particular as well as to build ownership and democratic leadership, AFARD also undertakes to meet with every BO membership at their site on a date agreed upon to debrief members about their plan and budget for the year; what they are expected to do and achieve; and the generally accepted practice.

5.4 Big project contracting

To build BO's capacity for future self-management, WENDI has adopted two procurement options – **big procurement** and **small procurement**. While the former is discussed here, the latter is discussed under 6.3 below.

Note that **big procurement** is simply used to refer to procurements that for economy, expertise, and quality assurance reasons are conducted at the network level. It has nothing to do with the cash size spent on the input procurement.

In effecting big procurement, the following must be adhered to:

- During the district network meeting:
 - ◊ The items to be procured are jointly identified and listed as approved for big procurement approach.
 - ◊ A Procurement Committee (PC) for each listed item composed of 2-3 BO representatives is selected while AFARD technical staff for the sector acts as a guide to the Committee. Where no expertise exists within the network members and AFARD, like in the procurement of motorcycles, an independent person (a mechanic) is co-opted.
- The PC then sets a date for their meeting in which they discuss how to conduct market surveillance besides the costing used during the budgeting time.
- Once the PC has collected adequate market price information, they meet to select where to buy. In this meeting, they also discuss their coordination cost.
- The PC then formally writes to all the BOs who are to procure the items stating the market price and the coordination cost. This letter acts as a payment request note to the BOs.

- Once the BOs have received the note, they meet to formally approve the procurement thereby allowing their leaders to process and pay the funds to the PC.
- With the funds paid (often 50% and only at times 100%), the PC undertakes to order the items, receive them, and deliver to the BOs who acknowledge receipts of the items.
- In the event that a 50% down payment was made, the delivery acceptance then compels the BO leaders to effect payment of the outstanding balance.
- The PC is also expected to avail all the BOs with full accountability documents (receipts and reports) indicating how much each BO paid so that the BOs who were demanding the items have a full accountability filed for the items procured.

5.5 Detailed activity planning and work sharing

Planning is one thing and implementation is another. When money arrives, BOs are advised not to rush and start withdrawing money. There is need to clarify the approved plan to all the members and to schedule each activity rightly otherwise funds will be withdrawn and spent wrongly. Experience has shown that many BOs who rush to get funds from the bank end up misspending (always over spending even on things that their fellow colleagues spent less on and this is a sign of fraud).

What is expected of every BO are:

- The BO Executive Committee members must meet first to schedule when to hold a beneficiary meeting. In this meeting:
 - ◊ The leaders who participated in the District Network meeting are required to brief their fellow executive members on the agreed upon positions (dos and don'ts) of the network.
 - ◊ The Executives should draw the agenda of the BO meeting, fix dates and time that is convenient for all members and ensure that all members are informed about the programme.
 - ◊ The Executives should also identify the activities that fall under administration that they will present to the other members for approval.
- The BO membership meeting must be held and a minute recorded. The meeting attendance list must also be filed. In this meeting, members will have to discuss their ¼ plan and budget by:
 - i. being informed of the approved plans and budget for the year and quarter. The onus is on the leaders to make their members aware of the plans and all the funds (balance on account and newly approved funds) so that implementation is planned harmoniously.
 - ii. reviewing the plans' workability in the period. During annual planning, activities may be planned for a period yet at the time such activities are supposed to be executed the conditions have changed. Take a case of farming where seeds may be required in February yet rain may fail to come at that time making it risky to procure the seeds;
 - iii. developing sub activities for each approved activity given that the approved plans always have lead activities like procuring seeds excluding what else must be done first before seeds

are procured;

- iv. allocating tasks under each sub activity to various members so that many people are given a chance to participate in the plan implementation;
- v. setting the right time when to execute the (sub) activities so that members efforts are deployed at the right time for the right investment;
- vi. approving the funds for the activity while taking a keen note on what the prevailing market price is. This is done to ensure that funds are spent economically and where savings are made it is used to further the BO goal rather than allowing a few “clever leaders” cheat the BO members.

Template 8: Detailed Quarterly Work and Financial Plan

**WEST NILE DEVELOPMENT INITIATIVE
(WENDI)**
DETAILED QUARTERLY WORK AND FINANCIAL PLANS

ACTION PLAN AND BUDGET FOR<name of group>
(Period: Year:..... Month..... to

PROJECT LOCATION:(District).....(Sub county).....(Parish).....(village)

DATE APPROVED:.....

BUDGET APPROVED BY GORTA FOR THE PERIOD:..... FUNDS AVAILABLE ON ACCOUNT..... TOTAL BUDGET

Approved Activity	Target	List of sub activities	Date of implementation			Responsible person (by sub activity)	Approved budget by Gorta	Approved budget by members/ network	Variance
			Month 1	Month 2	Month 3				
Objective 1:									
Objective 2:									
Total									

"MUST DO" in making and implementing the quarterly plan

1. The activity must exist in the approved WENDI annual plan. Only these approved activities are funded by WENDI and are what all Coordinators/Chairpersons sign agreements to spend money on.
2. Any change in the approved plans must first be communicated to AFARD for approval before effecting the change
3. The money must be available. No BO should borrow money in anticipation of what WENDI will offer because both Gorta and AFARD only commit to providing funds as and when it is available.
4. The BO MUST only withdraw the money that the group approved for the activities needed at the time. No money that will not be used immediately should be withdrawn.
5. Responsibility for activity implementation should be distributed to members based on competence and gender. Sharing of roles is also an opportunity to train members to become responsible and therefore rotation of roles is a good practice.
6. Responsibility for administration will be shared between the Coordinator/Chairperson, Accountant/Treasurer also) and other Executive members. This will elicit greater transparency and commitment.
7. The work plan must be copied and distributed to all the BO members so that they can refer to each item cost as and when required.

6 FINANCIAL MANAGEMENT

Up to this point AFARD, all BOs, and local governments are aware of what WENDI will do in the year. All preparations to swing into action are also ongoing or are done. What remains to 'catalyze' the process is the disbursement of funds. In this part, emphasis is put on how WENDI funds will be transparently managed starting with disbursement of funds through to small procurements and finally to input distribution and bookkeeping.

6.1 Fund disbursement by Gorta to AFARD

The approval of WENDI Annual Plan and Budget is always followed by two critical things:

- First, the signing of a formal agreement between Gorta and AFARD. This agreement details how much money Gorta is committed to provide, when available, in the year; when funds will be disbursed; when reports are expected; and the strict spending adherence to the approved budget.
- Second, as AFARD signs its part of the agreement accepting the conditions therein, Gorta disburses the first tranche on to AFARD account. This fund is consolidated for the entire period.

To note is that under WENDI, Gorta strictly disburses funds onto AFARD Account as opposed to the past when every BO received funds directly from Dublin. This is because AFARD is solely responsible for the effective utilization of, and accountability for, the funds.

6.2 Fund disbursement by AFARD to BOs

Just like AFARD adheres to Gorta conditions, the BOs are expected to adhere to AFARD's conditions if a successful implementation is to be achieved. Consequently, AFARD:

- Signs an agreement with all the BOs specifying the roles and responsibilities each party is expected to play. Critical in this agreement is the express authority AFARD has in blocking and claiming refunds from BO accounts in case of fraud.
- Disburses funds for the quarter to the BO Account using Telegraphic Transfer methods. In this way funds for all compliant BOs are disbursed at once while BOs with issues to be followed up are engaged into a dialogue to explore what next. It is only after such issues are resolved that funds will be disbursed.

6.3 Requesting for funds within BOs

As soon as AFARD Finance Department has transferred funds to BO bank accounts, the BO leaders are informed by both telephone calls and short messages (SMS). They are also reminded that they can

start spending their funds on their approved activities BUT following agreed upon procedures both at the network and within WENDI accepted management practices.

Thus, the receipt of funds on any BO account is no straight license to spend it. Some core processes MUST be followed to ensure that funds are utilized rightly. Below are what BOs are expected to do before withdrawing and after spending any WENDI funds.

The accepted mandatory procedures

The following practices MUST be adhered to when implementing activities approved by Gorta, AFARD, and the BO members (see 5.5 above):

1. The people who were given responsibilities for activities (see under the column "Responsible" in the Detailed Quarterly Action Plan) are expected to work as a team but they elect a Chairperson.
2. The Chairperson using the authorization given unto his/her team by the BO Members meeting will put a request for money to perform the activities assigned to them. The request should be at the time agreed upon. The minute of the BO meeting MUST be attached to this request.
3. The request is made by filling a form (See Template 9 below) provided by the Coordinator/Chairman or Accountant/Treasurer.
4. The Coordinator/Chairman and the Accountant/Treasurer will then approve the request signifying their confirmation that the request has been made in line with the approved plan and what was agreed in the planning meeting.
5. This process will then allow the Coordinator/Chairman and the Accountant/Treasurer to process the payment by:
 - Writing a cheque to the tune of that amount. In the event that money request were made and a joint withdrawal is to be made using a single cheque, details of the various requests must be shown very clearly.
 - Cashing the cheque with their bank. However, before any cheque is cashed, it must be photocopied for filling with the requests for which it was written.
 - In situations where cash from the bank is withdrawn by the Coordinator/Chairman for office running, such money must be delivered to the Accountant as soon as the drawee arrives back home. No Coordinator/Chairman MUST keep any money because it is not her/his role to do so.
 - Paying the money to the responsible person by ensuring that:
 - ◇ No Coordinator/Chairman is allowed to effect any payment. It is only the responsibility of the Treasurer/Accountant to do so.
 - ◇ No payee MUST receive any payment through the Coordinator/Chairman because experience has shown that it leads to sidelining of the Accountants/Treasurers and is likely to lead to diversion of funds by Coordinator/Chairman let alone encouraging a junta management system characterized by dishonesty and intimidation by the Coordinator/Chairman.

- ◇ The payee MUST sign for only the sum of money s/he received for the activity.
6. Once the “responsible” received the money s/he should link up closely with the Coordinator/Chairman and fellow team members to ensure that there is a smooth execution of the activity assigned to them.
 7. On completing the activity, the “responsible” files a report of implementation and attaches relevant receipts, attendance lists, etc, as evidence to the Coordinator/Accountant. Where it is not possible to get a receipt, the recipient of the money must sign in a BO printed cash payment voucher/sheet, which can be used as evidence during accountability (See templates 10 & 11).
 8. The Coordinator/Chairman, on receiving the report, will hand it over to the Accountant/Treasurer who MUST check the authenticity of the accountability and if s/he is satisfied, signs that it is reviewed as a correct report. Should the accountability defer from what was paid for, the responsible person MUST be tasked to refund the unaccounted for money. And any such refund plus balances remaining after procurement must be banked on to the BO account and the Bank Slip attached to the accountability form.
 9. Finally, the reviewed as correct report MUST then finally be “confirmed” by the Coordinator/Chairman as correct. The Coordinator/Chairman is personally held liable for any insufficient accountability. By signing the Fund Utilization Format (i) S/he acknowledges this personal responsibility and (ii) this concludes the handling of that specific transaction.

Handling activities not included in the original plan

It may become necessary to engage in activities that were not included in the original proposal or an activity may need to be modified, abandoned altogether or replaced by another better option. The following steps MUST be adhered to:

1. The general meeting should discuss the activity and present in its Minute a valid resolution explaining:
 - Why the modification or replacement. Leaders are encouraged to explore in-depth why the first option presented in the approved plan can no longer work.
 - Clearly the source(s) of funds.
2. The resolution will then wait for a presentation for discussion in the subsequent District Network meeting before it can be implemented. If the activity cannot wait for the network meeting, the minutes/resolution is presented to AFARD.
3. If AFARD deems the change “not significant”, AFARD may give a go ahead to implement the proposed activity but later brief the network about the activity in the next meeting.
4. Major changes are exceptionally acceptable because it will involve a process where AFARD has to engage afresh with the BO especially where there is a change in objectives and targets that finally affects their Concept and WENDI’s direction.

6.4 Small procurement management

Small procurements is a term used to refer to what every BO can procure on its own without causing any big financial loss or compromising the input quality. Often, this includes readily available inputs

as well as processes where a lot of BO members' efforts are required to ensure that the inputs are bought.

It is mandatory that such procurements follow the below guides that have been informed by past experience:

- Such item to be procured must have been approved in WENDI Annual Plan.
- BO meeting must also have approved its procurement in its Action Plan for the quarter.
- A Procurement Committee must be set up composed of ordinary BO members.
- No Executive Committee member, especially those who are signatories to the BO Bank account are mandated to engage in any procurement (except for administrative items like stationery, airtime, and fuel, among others).
- The Procurement Committee's access to funds and its utilization MUST be in conformity with the regulations laid down under 6.3 above.

Template 9: Fund Utilization Form

..... **GORTA PROGRAMME**

FUND UTILISATION MEMO **Serial no.....**

Request made by:

.....

Date: -----/-----/-----

Re: Request for Ushs ----- (in words -----
-----)

Purpose: -----

Approved by:

Name 1: Title Sign Date

Name 1: Title Sign Date

Cheque No: used for withdrawal.

Minute number of meeting allowing this request dated is attached.

Name of payee Sign Date

Report filed by Sign Date

Receipts verified by Sign Date

I hereby confirm that the report on the use of money above:

a) Is correct and has been filed

b) All receipts are attached to this form

c) Feedback was given to the other members (on date)

Name :----- Title -----

Sign : ----- Date -----/-----/-----

Template 10: Attendance sheet Format

**WEST NILE DEVELOPMENT INITIATIVE
(WENDI)**

<Name of BO>

ATTENDANCE SHEET

Date of Event..... Name of Facilitator.....

Reason for Event.....

S/N	Name	Sex	Title	Signature
1				
2				
3				
4				
..				

Template 11: Payment sheet Format

**WEST NILE DEVELOPMENT INITIATIVE
(WENDI)**

<Name of BO>

PAYMENT SHEET

Date of Payment..... Name of Payer.....

Reason for payment.....

S/N	Name	Amount	Signature
1			
2			
3			
4			
--			

6.5 Distribution of inputs

It is required above that procurement of inputs is done transparently and by non-executive leaders. Every Procurement Committee (PC), assigned with any procurement task should therefore ensure that they work as a team in buying the needed items and safely delivering and storing it at an agreed upon location (within the BO oversight roles).

Because it is recommended that inputs must be procured as and when they are to be used, therefore, no input should be procured and stored for more than 1 week. This must be done to reduce on the risk of bulk withdrawal of funds as well as input mismanagement.

Within the 1-week period the following should be done:

- The Executive Committee must meet and fix a date for distribution of inputs and they should ensure that all BO members are mobilized for the event.
- On the fixed date, all inputs must be distributed in public in the presence of every BO member both for transparency and public accountability reasons. Doing so will ensure that:
 - ◊ The right inputs are procured and in the right quantity.
 - ◊ Every BO member receives what is due to her/him instead of being apportioned inputs at the discretion of a few leaders.
 - ◊ The possibility of connivance between the PC and Executive members to defraud the BO is reduced.
- Every BO member only signs on the Input Distribution Form (see Template 12) for what s/he received instead of being intimidated by some leaders to append their signatures even for what they have not received.
- A copy of the Input Distribution Form must be attached to the following:
 - ◊ The BO Fund Utilization Form to complete the activity accountability.
 - ◊ Quarterly report that is submitted to AFARD.

Template 12: Input Distribution Form Format

<p>WEST NILE DEVELOPMENT INITIATIVE (WENDI)</p> <p><Name of BO></p> <p>INPUT DISTRIBUTION FORM</p> <p>Name of input..... Date of Distribution.....</p>			
S/N	Name	Quantity	Signature
1			
2			
3			
4			
--			

6.6 Bookkeeping

Money well spent without records is as good as money misappropriated. Therefore, WENDI management requires every BO benefiting from its funding to keep a simple and clear record of its transactions. This simplicity is without compromising the quality of the records. Rather, it is intended to provide opportunity for majority of the BO members who are semi-literate to be able to see and comprehend what transactions were conducted when, involving how much money, and whether or not the balance in the bank does balance with that at the group book of account.

For this simple bookkeeping the following are required:

1. Fund Utilization Form (see template 9) and the procedures are explained under 6.2.
2. All transactions must start from the bank.
3. All cash received must be receipted by use of a receipt book (see Template 13). This book must be serialized in order to avoid fraud and misstatement of incomes.
4. Any funds used must be entered into the Cash and Bank book that captures both bank and cash transactions (see Template 14 below).

7 RESULT-BASED MONITORING AND EVALUATION

Gorta is funding WENDI primarily to empower marginalized communities to hasten the pace of transforming their livelihoods from a perpetual state of insecurity into one where they exhibit secure and sustainable livelihoods. Whether this aspiration is farfetched it is only evidence-in-time that can prove us right or wrong. Therefore, there is need to secure such evidences that can show whether or not progress is being made in the livelihood curve. It is therefore inevitable to Monitor and Evaluate (M+E) WENDI. Thus, in this part, emphasis is put on explaining WENDI monitoring and evaluation focus and methods that are preferred.

7.1 The focus of monitoring and evaluation

Figure 3 summarizes what tracking of WENDI performance will focus on, namely:

- i. What were **invested** (inputs) by Gorta, AFARD and the BO members with attention to how well inputs are maximally utilized and in cases of any savings made how they contribute to the success of the intervention.
- ii. What we set out to **do** (outputs) both at AFARD and BO levels each quarter and year so as to ascertain performance effectiveness.
- iii. What we set out to **achieve** (outcomes and impacts) in relation to the desired changes in the lives of BO members, growth of the BOs, and the fit of the community within the broader national development progress.

Important to note are:

1. While the M+E of (i) and (ii) above will be routinely done throughout the programme lifespan, that for (iii) shall be undertaken only periodically starting with conducting an outcome/impact-driven baseline survey in 2009 followed by a mid-term evaluation to be done in 2012 and finally a terminal evaluation to be conducted in 2015.
2. M+E indicators will be used with flexibility. While the programme M+E framework provide a standard set of M+E indicators developed during the Concepting processes undertaken with all BOs, this expert driven approach will be run side by side with listening to the voices of the beneficiaries especially with change process narratives and attributions. New change dimensions will not be ignored but integrated so that BO member knowledge and experiences of change over time takes a central stage in the entire M+E processes.

7.2 Preferred M+E methods

The following methods will be used in monitoring and evaluating WENDI over the 7 year period.

7.2.1 BO meetings

Every BO is expected to conduct its group meeting monthly in order to plan activities, mobilize resources, account for work done, and explore what is not working in order to plug implementation challenges. However, such meetings must be minuted and filed together with the attendance list. Serious emerging issues should, however, be tackled as emergencies and not wait for the monthly meeting

7.2.2 BO Committee field visits

For BOs active in farming, regular field visits is one of the ways of verifying whether seeds and planting materials together with the accompanying skills training are being correctly used. It is from the report of this committee that adoption of best farming practices can be verified. Critical times for such visits include – pre-planting to assess field size; immediately after planting to assess compliance with recommendations; midseason to assess application of practices, pre-harvest to assess possible harvest; and finally post harvest to assess actual harvest and storage pest control. AFARD expects reports on these stages and efforts will be made by AFARD staffs to join the field visits

7.2.3 AFARD extension staff visits

AFARD employed or outsourced staffs are also expected to not only deliver trainings but MUST also visit BO fields to see for themselves and provide on-site support regarding the utilization of best practices as well as the prospects of variety promotions. Likewise, for those not in farming, the extension staff are required to see evidences of performance like the loan fund books.

7.2.4 AFARD top management spot visits

Regular spot visits by AFARD especially the PD and FAM to be abreast with BOs – management, performance and challenges will be conducted. These visits will be scheduled with the BOs and also conducted as surprise visits in order to see things in their natural setting.

7.2.5 AFARD Board field visits

Bi-annually AFARD Board conducts a field visit to few selected BOs in order to interact with them. This is both an identity building initiative and on-spot audit exercise to experience what AFARD is doing together with the accompanying benefits and challenges.

7.2.6 Quarterly BO review meetings

Every quarter, BOs will be expected to conduct in-house review exercise. During this review, BOs are expected to assess:

- The extent to which they achieved their set targets for the period and explain any variation therein.
- How funds were spent vis-à-vis the targets achieved.
- How much funds they contributed as local contributions to co-support WENDI funding.
- Income generation project performance.

- Group growth status.
- Observable changes in the lives of the members.
- What challenges they faced and how they innovatively solved them.
- What lessons they learned from implementing their action plan for the period.

The final report (see the format under Template 14) of this participatory meeting is what the BO leaders are expected to submit to AFARD for compilation into the Programme Quarterly Report for the period.

7.2.7 Quarterly District Network meetings

Following the BO review meetings is the District Network meeting that is also to be held on a quarterly basis. This meeting discusses in-depth all the issues addressed by the BO review meetings and on top of which it adds the general management issues.

A summary of this report adds onto the thematic performance report that AFARD will submit to Gorta before disbursement of the next quarter funds.

7.2.8 Bi-annual AFARD review meetings

Left to themselves, many BOs are not able to conduct a comprehensive and rigorous review. That is why bi-annually (in May/June & November/December) AFARD personnel (comprising of both programme and finance staffs) after a joint orientation meeting will meet with every BO at its site to explore beneficiary satisfactions or lack of it, through discussing in-depth, observing, and probing whether or not WENDI support is facilitating a process of making life any better. During such sessions:

- Oral histories of some beneficiaries about their most significant changes (+/-) due to their project as is experienced in their lives will be collected.
- Case studies of some innovations will also be collected for further follow-up action.
- Challenges and lessons collected in this process will provide a basis for rethinking (to replicate, stall, or adjust) upcoming programming.
- At the end of year, Template 4 will also be used to assess to what extent BO members achieved their expected individual goals

7.2.9 Annual financial audit

The Board of AFARD annually conducts a comprehensive audit of all funds and resources AFARD expend in a year through an accredited external independent audit firm. From 2009 onwards, the auditors with the coming into force of WENDI will also be required to assess the extent to which BOs are managing money well let alone whether there are changes, positive or negative, from WENDI.

However, this will not prevent Gorta from sending its independent auditor to audit WENDI on the terms agreed upon by them. What AFARD would expect in this case is receiving a copy of the audit report.

7.2.10 Annual organizational assessment

While almost all the thematic focuses of WENDI takes time to get embedded in the lives of the BO members for them to be considered long term impacts, it will be critical that annually all BOs as the conduits through which WENDI is being principally implemented undergo a POCA in order to scan their growth path.

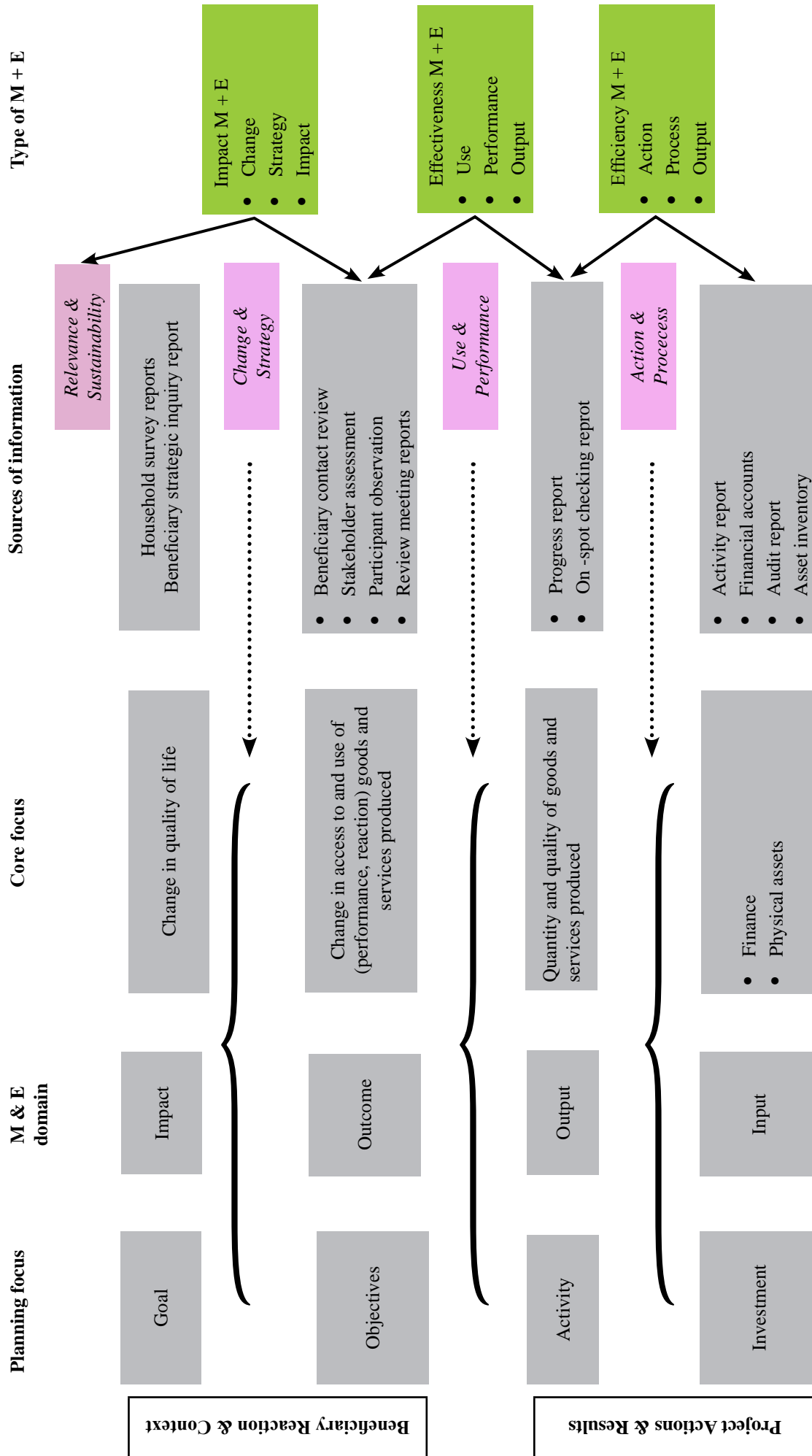
7.2.11 Household surveys

Given the huge costs (time, funds, logistics, and efforts) associated with this method, it will mainly be used during the baseline, mid-term and terminal evaluation studies. This will be targeting the collection of quantitative data for a difference-in-difference method analysis of the scope of changes attributable to WENDI.

7.2.12 Photography and video

AFARD together with Gorta's Communications Department will design a process management strategy of taking photos and videos that can help visualize WENDI. Every BO will by year 2-3 be taken through participatory photography training in order that they can collect and document their own sets of photos that can tell their story better.

Figure 3: WENDIM+E focus



8 ACCOUNTING AND REPORTING

Emphasis in all the preceding parts have been placed on how well AFARD and BOs are expected to manage WENDI within the principles of best practices and produce satisfactory results – outputs, outcomes, and impact. These results in themselves are insufficient for WENDI to continue receiving Gorta funding unless they are accounted for.

Thus, accountability herein refers to:

- i. The effective participation of WENDI stakeholders in all processes of the programme formulation, implementation, monitoring and evaluation. While this is aimed at giving voice and choices to the poor marginalized communities, to especially local governments it is aimed at building a sense of responsiveness and leverage; and
- ii. Open access to and the transparent provision of information in useable format to the public about WENDI without falsification. This information includes plans, study reports, funds, inputs, personnel, management guidelines, performance direction and status, and BOs and their operations. Only information about personnel, Board decisions, internal administration, and what the Board deems can put AFARD at risk will be treated as confidential.

This part, therefore, dwells on how WENDI accountability and reporting will be managed. It ends by providing a reporting format for use by both the BOs and AFARD within the programme life span.

8.1 Accounting focus

Accounting for WENDI on the various facets of M+E will focus on:

<i>Focus 1: Implementation effectiveness</i>	Herein attention will be paid on the participation of stakeholders as well as the provision of information regarding the various projects being supported. It will not be limited, as usual, to only success stories. Rather, a balanced view of both succeeding and failing projects will be provided.
<i>Focus 2: Budget management prudence and efficiency accounting</i>	WENDI will delve to ensure that annual programme budgets are broken down by BO, LLG, and sector. This information will be circulated to the various stakeholders.
<i>Focus 3: Local contributions assessment</i>	Local ownership of WENDI support is important if sustainability is desired. As such, information about local contribution directly to co-fund projects or to enhance project scope like by BO revolving fund will also be generated.
<i>Focus 4: Implementation challenges, innovations and lessons</i>	AFARD is a learning organization. Its staffs are not shy to talk of their failures because as the adage goes 'once beaten twice shy'. Thus learning and growing from such experiences is important. This level of honesty will also be expected from the various BOs and shared with others.

8.2 How and to who WENDI will account

It is evident from part 1 and 2 that WENDI has a number of stakeholders – Gorta, AFARD, DLGs, LLGs, and BOs among others that compels WENDI to adopt a multi-dimensional focus of accountability. Given such diversity, WENDI strives for a multi-stakeholder accountability using a multi-channel communication strategy. Table 4 below presents a summary of the various stakeholders to whom accountability will focus and how best that can be done.

Table 4: WENDI Accountability stakeholders and preferred methods

Stakeholders	Key issues	Key methods
BO Members	<ul style="list-style-type: none"> • Programme presence • Annual plans and budgets • Implementation dos & don'ts • Outcomes and impacts • Challenges, innovations and lessons 	<ul style="list-style-type: none"> • Erecting sign posts • Participation in planning processes • Feedback meetings • Availing copies of approved plans and budgets • Circulating fliers, posters, newsletters, magazines, and videos • Sharing implementation reports
AFARD management & Board	<ul style="list-style-type: none"> • Visibility of programme • Annual plans and budgets • Implementation progress and leverage • Financial management • Outcomes and impacts • Challenges, innovations and lessons 	<ul style="list-style-type: none"> • Team leading planning processes • Sharing copies of approved plans & budget • Sharing progress reports • Financial audits • Participating in sector stakeholders meeting • Newspaper articles • Radio & TV programmes
Local governments	<ul style="list-style-type: none"> • Visibility of programme • Annual plans and budgets • Implementation progress • Financial management • Outcomes and impacts • Challenges, innovations and lessons 	<ul style="list-style-type: none"> • Erecting signpost • Participating in planning, implementation and monitoring processes • Sharing copies of approved plans & budgets • Sharing progress reports • Circulating magazine, posters & newsletters • TV & Video production • Radio and TV programmes
Gorta	<ul style="list-style-type: none"> • Visibility of programme • Annual plans and budgets • Implementation progress • Financial management • Outcomes and impacts • Challenges, innovations and lessons 	<ul style="list-style-type: none"> • Erecting signposts • Approving annual plans & budgets • Sharing implementation and financial audit reports • Undertaking field monitoring visits • TV and Video production
Peer agencies	<ul style="list-style-type: none"> • Programme outreach and focus • Outcomes and impacts • Challenges, innovations and lessons 	<ul style="list-style-type: none"> • Participating in stakeholder meetings • Sharing progress reports • Circulating magazine, posters & newsletters • Newspaper articles

8.3 Reporting Format

The approval of WENDI annual plan and budget by Gorta represents a commitment to fund the programme. However, the continuity of disbursement of funds is contingent on the timely submission of an acceptable report. In this regard, AFARD is mandatorily required by Gorta in line with the project

agreement to submit quarterly reports. However, the submission of AFARD is dependent on the timely submission of acceptable reports by the various BOs.

Thus, while the reporting responsibilities lie in the hands of so many independent authorities, it is deemed necessary to ensure that every actor presents a report in the same format. The essence of doing so is to ensure that the harmonization of the different BO reports together with that of AFARD into one solid WENDI periodic report is made easy. Thus, Template 14 below presents the format in which the periodic reports will be prepared.

Two points of importance deserves attention here, namely:

1. During the reporting for each quarter (1-4) each group will prepare an independent report only for its activities in the quarter.
2. However, during quarter 4, every BO will be required to prepare, first, a report for the quarter, and finally to integrate all its reports for the 4 quarters into 1 annual report (for both activities and finance as well as the other complementary information).

The primary issues in this reporting are:

- Background information on the BO and its activities.
- The progress in the implementation of the activities prioritized for the period.
- How the budget has been managed in view of the activities planned.
- What local contributions (in cash or in kind) the BOs have been able to make towards their project.
- What thematic observable changes are being seen and appreciated by the BO members and communities.
- What thematic challenges are being experienced and how are they being solved or recommended to be solved.
- What innovations/success stories are there worth talking about.
- What lessons were learnt in the period to guide how interventions should be made working.

Template 15: WENDI Reporting Format

**WEST NILE DEVELOPMENT INITIATIVE
(WENDI)**

<Name of BO>

QUARTERLY REVIEW REPORT

(Period: Year:.....; Month:..... to) (village)

PROJECT LOCATION:(District).....(Sub county).....(Parish).....(village)

DATE APPROVED/REVIEWED:.....

Background information												
Have you attached a copy of Input Distribution Form?												
Activity Progress Assessment												
Activity	Target	Activity Progress Assessment			Budget management Audit			Explanations	Variance	Actual expenditure	Explanations	
		Achievement	Variance	Explanations	Approved budget	Actual expenditure	Variance					
Have you retained a copy of this report?												
Yes												
No												
Crop production improvement (Quantity of inputs distributed)												
Cassava cuttings												
Irish potatoes												
Beans/Soya beans												
Groundnuts												
Maize												
Simsim												
Onion/Garlic onion												
Rice												
Spray pump												
Hoes												
Pangas												
Slashers/Wheelbarrow												
Gumboots												
Animal traction bulls												
Seedlings/assorted seeds												
Rice hurler/Maize mill												

Activity	Activity Progress Assessment				Budget management Audit			
	Target	Achievement	Variance	Explanations	Approved budget	Actual expenditure	Variance	Explanations
Livestock improvement (Number procured and distributed)								
Boer/Mubende goats								
Local goats								
Chicken								
Bee hives								
Enterprise development								
Amount of Seed fund secured								
HIV/AIDS prevention & mitigation								
Village Volunteers identification								
Village Volunteers Training								
Youth centre construction & furnishing								
Awareness seminars								
Life skills for youth								
IEC production and dissemination								
Video shows								
Drama shows								
Support village volunteers								
Support mobile village testing								
OVC support								

Activity	Activity Progress Assessment				Budget management Audit			
	Target	Achievement	Variance	Explanations	Approved budget	Actual expenditure	Variance	Explanations
Capacity building initiatives (number of people)								
Trained in Agronomy								
Trained in Livestock management								
Trained in Savings and credit management								
Trained in IGA management								
Trained in Sanitation chain management								
Attended HIV/AIDS awareness								
Trained in Bee-keeping								
Trained in Animal traction								
Attended Nutrition education								
Trained in Gari technology								
Inducted on WENDI								
Trained in Participatory and accountable leadership								
Trained in Financial management & reporting								
Trained in Implementation monitoring & reporting								
Participated in exchange visits								
AFARD sustainability								
Consultant's fee								
House construction								
Network operations								
Regional baseline survey								
Debrief district leaderships								
Quarterly network reviews								
Bi-annual BO based review								

Activity	Activity Progress Assessment				Budget management Audit			
	Target	Achievement	Variance	Explanations	Approved budget	Actual expenditure	Variance	Explanations
Community wide projects								
Mosquito nets								
Safe water source drilling								
Classroom construction								
Teachers house construction								
VIP latrine								
Equipments								
Motor cycles								
Video sets								
Solar systems								
Digital cameras								
Laptop computers								
Phone/modem								
Administration cost								
				Telephone and internet cost				
				Office Stationery				
				Print media production				
				Board visit				
				Motor vehicle & equipment maintenance				
				Audit cost				
				Personnel costs				
				Staff training				
				Total budget				
Report written by (Secretary):	Finance Report compiled by:				Report Approved by:			
(Name & signature of Secretary)	(Name & signature of Treasurer/Accountant)				Name, signature and Stamp of Chairman/Coordinator)			

UNPLANNED ACTIVITIES

Please state unplanned for activities in the Annual and Action Plan that were implemented in the reporting period.

State the activity	Amount (UGX) spent	Source of funds

LOCAL CONTRIBUTION ANALYSIS

Please state in monetary terms what local contributions you made to the effective implementation of the Action Plan in the reporting period.

Items contributed	Actual value (in UGX) of the items	How was the value calculated

IGA PROJECT REPORTS

For projects that were to generate income, please state in monetary terms how much money the projects were able to make during the implementation of the Action Plan in the reporting period.

Activity	Investment made	Profit earned this quarter only

GROUP GROWTH AND COMPLIANCE STATUS

Indicators	BO Status (Yes/No)
1. Leaders and members make decisions jointly	
2. Monthly minuted meetings are held	
3. Leadership is rotated with 1/3 women membership	
4. Solves own conflict without external recourse	
5. Have own office space	
6. Have 4 acres of land under cultivation	
7. Have at least 5 frontline farmer advisors	
8. Have at least 5 frontline community health advisors	
9. Have own produce store	
10. Have asset inventory detailing all BO assets	
11. Adheres to approved plans	
12. Adheres to Fund Utilization Form	
13. Submits WENDI periodic reports on set dates	
14. Submits true and correct financial reports	
15. Has saved \geq UGX 20 million	
16. Has a loan repayment rate of \geq 95%	
17. Effectively manages community wide project	
18. Engages with lower local government during budgeting processes	

Template 16: Community Health Frontlines Advisors Quarterly Report Form

Name of beneficiary organisation.....
 Report filed by Report verified by
 Date of report.....

Parameters	Key aspects to report on	Performance status
Assessment of health needs	Number of assessment for safe water conducted	
	Number of assessment for Safe Sanitation conducted	
	Number of assessment for HIV/AIDS conducted	
Planning for health education	Number of planning sessions for Safe water held	
	Number of planning sessions for Safe Sanitation held	
	Number of planning sessions for HIV/AIDS held	
Mobilisations for health education	Number of mobilisation for safe water held	
	Number of mobilisation for safe sanitation held	
	Number of mobilisation for HIV/AIDS held	
Community education on health on issues	Number of sessions held	
	Number of male sensitised	
	Number of female sensitised	
Participation in community actions	Number of safe water events	
	Number of safe sanitation events	
	Number of HIV/AIDS events	
Reporting & accountability	Submitted reports to BO (Yes/No)	
Exemplary leadership	Number of CHFA who drink water from safe source	
	Number of CHFA who have pit latrines	
	Number of CHFA who tested for HIV/AIDS	
Advocacy for community health	Number of sessions held	
	Number of leaders reached	
Bye-law enforcement	Number of households visited	
	Number of culprits taken to court	
	Number of cases won	
	Number of beneficiaries expelled	
Initiating innovations	Name of new idea initiated	
Leverage building	Activities implemented with government officials	
	Activities implemented with non-BO members	

THEMATIC OBSERVABLE CHANGES

Themes	Observable changes	What caused these changes?
Sustainable Agriculture		
Microenterprise and Micro-credit Development		
Water and Sanitation		
HIV/AIDS Prevention and Mitigation		
Education		
Institutional Development		
Citizenship Building		

THEMATIC CHALLENGES AND SOLUTIONS

Themes	Challenges experienced	Proposed solutions
Sustainable Agriculture		
Microenterprise and Micro-credit Development		
Water and Sanitation		
HIV/AIDS Prevention and Mitigation		
Education		
Institutional Development		
Citizenship Building		

THEMATIC INNOVATIONS AND LESSONS LEARNT

Themes	Explain with examples any success story you experienced	State the lessons learnt (positive or negative)
Sustainable Agriculture		
Microenterprise and Micro-credit Development		
Water and Sanitation		
HIV/AIDS Prevention and Mitigation		
Education		
Institutional Development		
Citizenship Building		

9 EXIT CONDITIONS AND STRATEGY

No donor will help forever. So is the lifespan of WENDI. There must be a time when the direct funding from WENDI to the BO has to dwindle or cease altogether. By having this in mind, WENDI implementation takes a keen interest on developing an exit strategy early enough so that the BOs are prepared to learn how to stand on their own. This part, therefore, focuses on explaining how and when to exit as well as the special conditions that may warrant a sudden stoppage of further funding.

9.1 The organizational growth curve

Building on our experiences in working with BOs over the last 9 years, the proposed WENDI 7-year period is adequate to have a BO, to grow into a mature organization able to carry on effectively with its core business and generate greater benefits to its members and the community it serves. Seen in this way, WENDI time frame can be seen as able to provide for the following:

1. Year 1 = Startup year

Here a BO starts to come to terms with the reality of being selected for WENDI funding. Often in a world of stiff competition for grants, many BOs are not sure whether or not funding will be steady, if at all it comes. Besides, they have a lot of apathy as to whether or not the vision they have set for themselves is realizable. During this “doubting Thomas” time, AFARD undertakes to re-organize the groups through Trust and Partnership building in order for them to build self-belief for effective participation in WENDI programme. As such, WENDI funding in this year is offered with its priorities oriented to:

- a. Intensive capacity development support for organizational “best practices” development – transparent and accountable leadership, financial management, monitoring and reporting.
- b. Maximum investments into inputs requisite for the BO core business in order to kick-start collective action and responsibility. Attention here is also paid on energizing the start up of sustainability building so that in whatever the BO does it is able to reflect on its ability to generate “own funds” that it can use in the future should WENDI funding reduce or cease altogether.
- c. Support for critical community-wide projects without which investments in (a) & (b) above are rendered ineffective. The healthy, productive and wealthy home model that WENDI promotes leverage in part on wider community support like having safe water sources that benefits the entire community.
- d. Initializing and energizing BO credit schemes with minimal support in order to start the sustainability building initiative. This is only offered to BOs that have started from the time of their formalization to show commitment to and working towards initiating (or already have a running) credit scheme.

2. Year 2 = Awakening year

During this year, BOs undertake to self-reorganize themselves after realizing that they are primarily responsible for their destiny because WENDI is simply a partner in their quest for a better livelihood. Thus, funding priorities will be for:

- a. Continued capacity development support especially for the core BO business areas.
- b. Increased investments into production inputs in order to increase productivity and self-sustenance.
- c. Continued support to community wide projects that are closely linked to the core goal of the BO concept.
- d. Top-up/Booster fund for BO credit scheme for it to grow with a stable portfolio wherefrom interests earnings can 'jazz-up' the lending business without negative effects of any minimal inevitable delayed repayments.

3. Year 3 = Take-off year

During this stage, AFARD expects a group to demonstrate a self-sustenance drive as evidence of relieving Gorta to fund other BOs in the region. This is because after 2 years of support to food production they have largely solved the problem of household food security. Members should have also deepened their engagement in viable income generation activities. Meanwhile governance and management is already satisfactory. As such, funding focus will tilt towards:

- a. Minimal backstopping capacity building support that are direly needed.
- b. Zero/minimal support for farm inputs
- c. Promotion of value-addition (marketing and processing) initiatives in the production chain management of enterprises that were under promotion.
- d. Zero support for credit schemes as BO loan funds should ideally operate from what they have accumulated over the years.
- e. Minimal support for community wide projects since many households will be able to support community initiatives or access services from anywhere without encumbrances.

4. Year 4 = Deepening year

At this stage, a BO is expected to have settled down with what makes it able to effectively conduct its core business without relying more on external support. Own funds have grown to acceptable levels. Funds from WENDI will therefore be directed to:

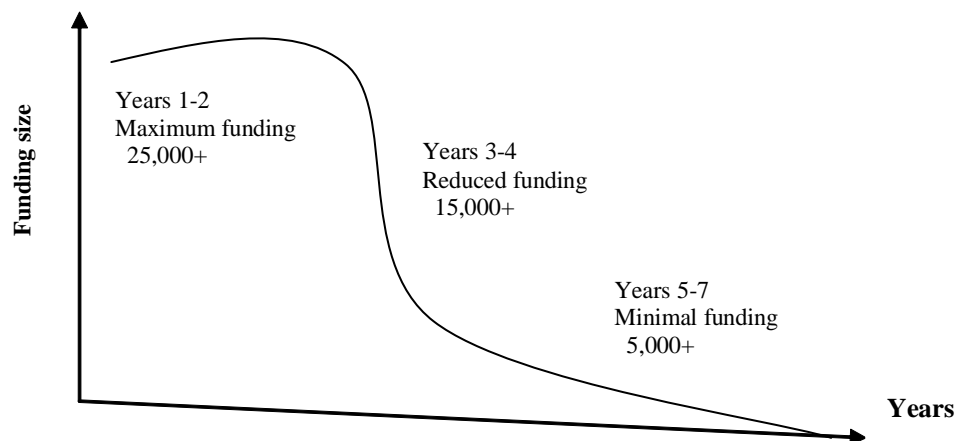
- a. Minimal support to critical backstopping capacity building.
- b. Minimal support to inputs and value-addition initiatives.
- c. Zero support for credit schemes.
- d. Minimal support for community wide projects.

5. Year 5-7 = Maturity year

In these years, a BO is deemed to have matured. WENDI's focus is on smooth exit strategy as well as critical follow-up actions given that the BO is self-sustaining. Thus, funding will prioritize:

- One-off support to critical initiatives that deepen self-sustenance.
- Critical follow-up capacity building initiatives.

Along this line, WENDI funding is envisaged to take the below curve:



9.2 Why exit?

The merits of exit that commences ideally from year 5 on-wards and or in extreme cases in year 4 depending on performance are:

- To free resources for access to other BOs and hence promoting allocative and redistributive equity in other poverty pockets in the region.
- To ensure that local ownership and sustainability of BO undertakings are embedded in their way of life.
- To hasten the spirit of working for self- development.
- To weed off laggards who are simply opportunistic to siphoning WENDI funding for gains other than changing the lives of BO members as well as the organizational growth.

9.3 When does WENDI exit

As is spelt out in the organizational growth curve, by 2012 the dropping-out, weaning off, or graduation of BOs out of WENDI funding will commence. BOs will be graded as (i) laggards for those who in 3 years cannot achieve the basic benchmark; (ii) taken-off and stabilizing; and (iii) mature.

Template 17: WENDI Programme Compliance and Exit Checklist

Name of group:..... Year of Gorta support:

Indicators	Evidence	BO Status (Yes/No)
1. Leaders and members make decisions jointly	Ask for a decision made and check the BO meeting minute	
2. Monthly minuted meetings are held	Count the number of filed minutes	
3. Leadership is rotated with 1/3 women membership	Ask for the names of the Committee members	
4. Solves own conflict without external recourse	Ask for evidence of a conflict solved and how	
5. Have own office space	Physically see the office	
6. Have 4 acres of land under cultivation	Physically see the field	
7. Have at least 5 frontline farmer advisors	Ask for the names of the advisors	
8. Have at least 5 frontline community health advisors	Ask for the names of the advisors	
9. Have own produce store	Physically see the store	
10. Have asset inventory detailing all BO assets	See the inventory and assets therein	
11. Adheres to approved plans	Ask about changes faced in last plan implementation	
12. Adheres to Fund Utilization Form	See how the form is filled and filed	
13. Submits WENDI periodic reports on set dates	See date of report submission versus Network set dates	
14. Submits true and correct financial reports	Ascertain through public audit using one Fund Utilization Form whether or not what are in it are true and correct	
15. Has saved \geq UGX 20 million	See Reserve Savings book	
16. Has a loan repayment rate of \geq 95%	See loan ledger book	
17. Effectively manages community wide project	See if O+M in supported projects are working well	
18. Engages with lower local government during budgeting processes	Ask for what the group has put before LLG for support	

9.4 Grading of Programme Compliance performance

All BOs are expected to score 18/18 (100%) as a sign of full maturity. However, for 3 consecutive years, we expect that every BO should have achieved a take-off maturity for a normal exit planning process. Those that have not shall be considered as laggards and will be subjected to forced exit as is shown below in Table 5.

Table 5: Forced and Normal Exit Compliance status by year 3

Status	Laggards	Take-off stage	Mature stage
Indicator			
Score	< 65%	>65- 90%	>90%
Exit strategy	Forced exit with termination of funding support	Capacity building to bridge gap and prepare for sustainability (on the normal exit planning)	Weaning off continues with room for critical one-off project funding (and WENDI relation continues)

9.5 Caution to AFARD Staff

1. All BOs should be made aware of and ensured that they internalize the exit strategy.
2. All BOs should be made to sign a commitment to the exit strategy.
3. Participatory reviews of the Programme Compliance and Exit status should be on a quarterly 4. by and with the BOs.
5. Annual compliance review status should be used as a basis for capacity building and funding allocation with effective communications to the BOs.
5. The Programme Compliance and Exit checklist should become part of the reporting format.
6. Build rapport with the BOs to ensure that their organizational growth is owned by them.

9.6 How to exit

From the above, it is evident that WENDI exit will take:

- a. A simple stoppage of funding to a BO when it has failed to demonstrate the worth of investing in it for 3 years. Under such a situation, AFARD top management will from year 2 inform a BO of its poor performance and urge it to effort up.
- b. For BOs that have demonstrated take-off and maturity, WENDI support plan for self-development will be planned for during the annual planning processes. AFARD will then maintain a close collaboration with such BOs to ensure that the one-off supports are offered but also to learn from them 'the route to organizational success' and use such lessons to replicate what works in other BOs.

9.7 Conditions for immediate exit

It is also important for BOs to know that AFARD has the right in selecting and dropping who should benefit from WENDI funding, and that being a BO is in itself inadequate to benefit perpetually from WENDI funding. Continued funding is more attached to walking our commitment to produce results. In WENDI a simple analogy of a patient is used. Take a case of one who is sick and has gone to the hospital for treatment. The admission of this person is a sign that her/his sickness is grave and warrants a closer medical attention. However, if the doctors try all means possible to remedy the ailment, they may be left with no alternative than to advise the patient to try elsewhere. In our rural hospitals, often one is informed that s/he has what needs traditional medicine that does exist at home. In short the patient is released from admission to either go and die at home or seek alternative medicine.

In the same vein, the selection of the BO among many by AFARD for WENDI funding is evidence that AFARD wants to play the doctors role of attempting to cure the root causes of the livelihood insecurities using multi-prong approaches. Should such an effort fail to yield fruits in 3 years, AFARD sees it fit to allow the BO to try alternative remedies to their problems. Accepting a failure is not seen as a sign of cowardice, rather as an honest acknowledgement that perhaps alternatives out there can be better than what WENDI has on offer. Therefore, BOs that will fail to demonstrate the acceptable benchmarks below will be subject to immediate exit:

9.7.1 Commitment to work

Working in a BO setting requires collective responsibility to do what is agreed upon. This goes hand in hand with the level of cohesion that members have as well as the belief they share in fighting own poverty and hunger. In BOs where members simply **do not**: (i) attend meetings regularly; (ii) turn up for trainings; and (iii) attend to group work, signs are that they will prioritize their household gains at the expense of the collective benefits to buffer future risks embedded in their groups. This is like a group where people have simply collected their problems to reap solutions personal to themselves and not their group. That such a BO will eventually die is evidence enough for WENDI to spare no time to waste with such a BO.

9.7.2 Transparent and prudent management

Many BOs are formed by a few foresighted people. Yet once such a BO has gained access to funds the “historical leaders” clump hard to reaping benefits for themselves. They handle all other BO members at ransom and hardly involve members in decision-making or in accounting for whatever has been done. Such a BO also is simply a route to personal enrichment; a luxury WENDI cannot afford.

This aspect also calls for the fact that the most effective link between AFARD and BOs is WENDI funding. This fund is tagged to critical inputs that are seen as conduits to reaching a BO goal and AFARD’s vision. Therefore, a prudent management of this fund is of paramount importance. BOs that can hardly account for funds they have received are at the verge of tainting AFARD’s reputation and credibility. And those who file false accountability fall in the same soup –expulsion.

9.7.3 Timely reporting

WENDI funding is contingent on timely reporting. This means that unless all BOs have filed in their reports, AFARD will simply file ‘a partial report’. Such a scenario may compel Gorta to restrict its disbursement and in the long-run endanger the programme. BOs that do not adhere to reporting deadline will start by failing to receive the next quarter funds and subsequently self-exit from WENDI operation. The deadline of submitting periodic reports to AFARD 2 weeks from the date of formal submission by AFARD to Gorta will be strictly followed.

9.7.4 Sustainability

It is hoped that BOs will not expect support forever, neither will the donor be willing to give that support endlessly. Like a father would love a child who will finally fend for her/himself, AFARD desires that all WENDI BOs develop and implement sustainability options from which they can allow for the involvement of others. The core indicator herein is on how much funds a BO has generated within 3 years. Those without UGX 20 million at the least will be considered laggards who simply want to be fed forever. This is a luxury too costly for WENDI.

9.7.5 Visible impacts

Finally, all the toiling in WENDI is aimed at transforming the livelihoods of the BO members, organizational growth of benefiting BOs and spill over benefits to the wider communities where we work. On this note, in every BO, a rigorous monitoring and evaluation of what is changing in the lives of the people will be done to ensure that:

- Households and their members are food secure, have adequate incomes, are healthy and productive, and have a high literacy level.
- Benefiting BOs are growing into take-off or maturity stages.
- BO members have voice and choice beyond their BO confines but act like citizens in their various local governments.

Annex 1: NEBBI AREA DEVELOPMENT NETWORK (NADN)

CODE OF CONDUCT

26 July 2006

BACKGROUND

The Nebbi Area Development Network (hereafter called NADN) has its origin in the 2006 Gorta-Ireland visit to Nebbi (Uganda). To promote a coordinated Step-in Development Approach, eight partner organizations were initially identified and funded by Gorta. However, to ensure that these partners effectively realized their 'dreams' of promoting local development, a network that would act as a hub for their capacity building for impact-oriented development was initiated by the member organizations.

AFARD was given the task to spearhead and house this network. This is seen as the basis for bringing to the network, active members with effective and efficient capacity to operate sustainable organizations able to impact on their constituencies. By implication, NADN is aimed at enhancing organizational management and programme technical capacities of its member organizations.

Vision: A knowledgeable and poverty free Nebbi District/Diocese.

Mission: To contribute to building a self-reliant community with secure livelihoods through food security, health security, entrepreneurship development, vocational training and savings and credit promotion.

The various themes specified in the mission statement are pursued from a human rights perspective and cross-cutting issues of gender, environment, and HIV/AIDS are mainstreamed.

Objectives

The overall objective of NADN is: "A vibrant action-based advocacy, all inclusive, transparent, sustainable and impact-oriented network built in Nebbi district".

The specific objectives are:

- Organizationally competent network membership built.
- A fully-fledged and functional network secretariat is established.
- The network and MOs advocate and lobby development partners
- Improved networking and linkages among member organizations and between civil society organizations and development partners.
- Learning and knowledge management promoted among network members.

Strategic principles

- Responsive and demand driven, serving the needs of the poor.
- Mainstream issues such as gender, HIV/AIDS and the environment
- Operational niche are based on comparative advantage
- Promotes organizational and programmatic synergies
- Collective action and decision-making

Membership

The NADN is not a paid-for membership organization. Its membership, for now, is ONLY open to all civil society organizations working with funding support from Gorta-Ireland but ultimate beneficiaries do not discriminate (on basis of tribe, gender, religion, etc).

Benefits to Members

- *Sharing experiences*: It gives an opportunity for MOs to meet, share, analyze and mentor each other.
- *Capacity building*: It provides opportunities for both management and technical capacity building.
- *Policy advocacy*: It also provides a strong ally in holding Government accountable for pro-poor policies and out comes.
- *Synergetic reference point*: It provides a hub for the interface of local and international actors.
- *Creative Networking*: It provides avenue for creativity, dialogue and testing innovative and authentic ideas.
- *Improved accountability and visibility*: It provides a platform for being known as active agents of change.
- *Fundraising*: The Forum also designs and implements fundraising and financial sustainability strategies in such a way as to avoid dependency.

Ultimate beneficiaries

The diversity of NADN membership is also reflected in the array of beneficiaries of the network. 1) The member organizations who are service providers and derive the benefits listed above. 2) The services end-users who include church leaders, poor women and men, Orphans and Vulnerable Children (OVCs), and the youths.

THE CODE OF CONDUCT

In order to promote NADN members' credibility, legitimacy, and integrity, this Generic Code of Conduct provides a mechanism for collective discipline, regulation, and restraint for all Member Organizations. Designed in conformity with the Code of the Uganda National NGO Forum, the Code of Conduct

enshrines NADN core values/principles.

All members of NADN are required to subscribe to this Code as a MUST and will sign an Acceptance Form as a formality. From then, a member shall implement, and shall be bound by, the provisions of this code under the registered relevant laws of Uganda, until membership ceases.

The Values, Culture and Identity of member organizations

NGOs shall be held accountable always for the values of:

- Voluntarism and service above self. This philanthropic spirit all development work and interventions during emergencies. Such support shall not be in the interest of self and of individual aggrandizement of member organization staff or volunteers.
- Listening and seeking to understand the views of all stakeholders along the principles of participatory development.
- Collective action and responsibility.
- Accountability and transparency.
- Mutual respect and non-interference, but fair and equitable engagement for the settlement of conflict in matters regarded internal to a particular NGO.
- Equity and gender sensitivity.
- Respect for Human Rights.

Operationalization of the Code of Conduct

Given the size of the NADN membership, this Code of Conduct shall be implemented by all member organizations individually in their work and periodically in an assessment of members' performance. No special committee shall be put to enforce it.

Aims and Objectives of the Code:

- To guide towards conformity with the values, culture and identity of NADN.
- To act as a guide for MOs to remain at all times consistent with the provisions of the constitution under which such NGOs are registered.
- To answer calls of such marginalized members of society, through activities designed to address such marginalization provided that such activities are backed by the support of the beneficiaries of such action.
- To maintain good working relationship with the various levels of a constitutionally constituted government and local authorities.
- To sort out through dialogue and co-operation acts that are likely to result into abuse, duplication of efforts and wastage.

Institution guiding principles/ particular elements of the Code:

The core guiding principles for the Code of Conduct are as hereunder:

1.0 *Adherence to Generally Acceptable Accounting Principle (GAAP)*

1.1 All MOs shall account for all funds received as required under Gorta funding modalities.

1.2 Failure to account shall be construed as lack of honesty and misfit in public trust and hence a contravention of the provisions and spirit of this Code and can lead to blocking of such accounts by NADN.

1.3 Overtime, MOs shall cause their receipts and expenditures to be audited by reputable and fully registered Audit firm. But where such is not possible, the books of accounts shall be open to scrutiny by authorized persons (for instance AFARD accountants).

2.0 *The Non-profit principle*

All people working for NADN MOs shall not seek to get what amounts to self-interest or aggrandizement. Examples include: selfish use of MO's assets, award of contracts, undeserved allowances and business for a profit motive. It also follows that savings made on any transactions will be declared and later put to another use.

3.0 *Transparency in Communication*

All MOs shall endeavor, at all times, to be transparent and accountable to all relevant stakeholders. Information on plans, budget, performance, and audit, challenges, etc, shall be shared with all stakeholders. Documentation is therefore emphasized and best practices will be shared among members.

4.0 *Participatory Governance*

As MOs exist for their self- or distant-services users, MOs shall involve their beneficiaries in their decision making process like planning, implementation, procurement, monitoring and evaluation. Regular attendance of network meetings is a key prerequisite for participatory governance and network members are required to come to such meetings with written briefs that include achievements of the quarter and plans for the next quarter.

Effect of the Code:

The Code of conduct shall be deemed to have effect on all MOs once formal endorsement is made.

Coming into force

This code came into force on approval by the Network meeting held in AFARD 'Payot' on 25th July, 2006.

Review and Amendment of the code

The Code of Conduct will be reviewed annually by the network members to take into consideration emerging issues and amendments made where needed.

Annex 2: ROLES AND RESPONSIBILITIES OF WEST NILE DEVELOPMENT INITIATIVE (WENDI) PRIMARY STAKEHOLDERS

Prepared by:

Claire Martin
Project Officer (i/c Uganda)/Gorta

Wilfred Cwinyai
Community Development Manager/AFARD

December 2008

Why this document

This document, hereafter referred to as Roles and Responsibilities Guidelines, is intended to specify to all stakeholders – primary and otherwise – of West Nile Development Initiatives (WENDI) how this development programme with GORTA funding will be administered starting January 2009. Its key objectives are: (i) to ensure that every primary stakeholder clearly understands its roles and borders; in order to (ii) enlist harmonious operations by all stakeholders. The coming into force for this Roles and Responsibilities Guidelines is because of the shift in Gorta funding from a fragmented approach prior to October 2008 into a consolidated approach from January 2009. Besides, this guidelines also came about because under the new Consolidated Funding Approach, AFARD will play a key Coordination and Accountability role contrary to its hitherto consultancy services. From January 2009, AFARD will undertake to ensure effective Visibility, Impact, and Sustainability of Gorta funding in West Nile region and Uganda.

Thus, this guideline starts by giving a brief on Gorta (the funding agency), AFARD (the Coordinating agency) and the old and current support outreach. It ends by clarifying the core roles and responsibilities that Gorta and AFARD have deemed fit for the success of WENDI.

However, worth pointing out is that should any primary stakeholder find it difficult to work under such Guidelines it is free to resign from the partnership. Any such process of resignation will be managed by AFARD and the organization in an amicable manner to ensure that no funds and project logistics are lost. Finally, this guideline will be used in recognition of the bigger Operational Guidelines that will be developed in 2009 (covering planning, budgeting, financial management, monitoring and reporting).

Rules of engagement in 2009

Starting January 2009, Gorta will fund a holistic plan for the region called the West Nile Development Initiative (WENDI). This plan is currently being developed by AFARD. The plan presents the holistic strategic direction for the upcoming 7 years but will be broken down into individual beneficiary 1-year plans of the 51 CBOs (highlighted above). The plans and budgets are developed by the beneficiaries with technical support from AFARD and where applicable, with Local Government technical staffs. The plans are designed to alleviate poverty in the households of the members of the 51 beneficiary organizations as well as their beneficiary group and community levels.

However, the successful implementation of WENDI will only come when all the stakeholders are clear about their roles and responsibilities and the relationships amongst them. The key WENDI stakeholders are GORTA, AFARD, and the 51 benefitting CBOs. The tertiary stakeholders are the wider catchment communities that will benefit from community wide projects and the District and Lower Local Governments in whose areas the projects are being implemented.

The roles and responsibilities of different stakeholders

A: GORTA

GORTA is the major funder of the West Nile Development Initiative. It is expected to:

- i. Provide AFARD with the requisite information regarding its operational vision, mission, objectives, strategies and procedures and changes therein.
- ii. Inform AFARD early enough regarding available funds and policy focus or changes.
- iii. Receive a consolidated plan for West Nile, discuss with AFARD and approve the final budget and disbursement schedule.
- iv. Disbursed funds for individual Beneficiary Organizations' (BOs) project directly to BOs' accounts.
- v. Disburse Community wide projects, network operations and capacity building funds to AFARD.
- vi. Receive consolidated WENDI bi-annual and annual reports and any other feedback reports from AFARD.
- vii. Complement AFARD's capacity to deliver sustainable services.
- viii. Formulate visibility guidelines and ensure the provision of multi-media documentation.
- ix. Audit and evaluate the efficacy of the WENDI management and performance.
- x. Conduct periodic (annual) visits to Uganda and the region.
- xi. Account about WENDI nationally and globally.
- xii. Link AFARD to centers of innovations and excellence.

B: AFARD

As the lead agency and Coordinating agency of WENDI, AFARD will:

- i. As the official representative of Gorta in Uganda, be the preferred (but not necessarily the exclusive) medium through which GORTA will communicate with, and account to, stakeholders in Uganda.
- ii. Jointly with Gorta identify new BOs to benefit from WENDI using agreed upon criteria among which are; poverty targeting, experience of the local situation, and opinion of local leaders.
- iii. Explain to the various stakeholders what WENDI (and GORTA funding) is all about, that is, entry and exit conditions and the dos and don'ts.
- iv. Determine the number of years spent with any BO. In principle, support is expected to decline as the years advance given that sustainability building is the basis for support. Thus, the 7 years of engagement is not mandatory. The sustainability and exit questions will be managed by AFARD and the beneficiaries.

- v. Recommend the termination of any BO subject to internal discussions with the affected BO and the Area Network.
- vi. Undertake all Capacity Building initiative including but not limited to research, training, institutional development, networking, and value chain development. This will involve capacity building needs assessment, response action design, material design, sub contracting (if need be) of service providers, services delivery, reporting, and evaluation. This initiative is aimed at ensuring value-for money and quality assurance.
- vii. Coordinate the building of linkages between Gorta and beneficiaries with universities, research institutes, markets, industries, and local government.
- viii. Facilitate BOs to develop 7-year change vision and annual action plans and budgets.
- ix. Integrate all BO plans and budget into a consolidated Annual Plan and Budget that should be approved by AFARD Board of Directors and later on discussed with and approved by Gorta and communicated to all stakeholders at the right time.
- x. Sign a tripartite agreement with the individual BOs and GORTA under which there is the stipulation of how the funds will be used as well as the conditions for and consent to adjustments.
- xi. Manage capacity building funds to ensure that relevant services are delivered timely, professionally and in a coordinated manner.
- xii. Manage the funds for community wide projects to ensure that services are delivered in accordance with approved laws of Uganda and in the right quality. This may entail linking for technical guidance with the various departments of governments where such projects fall.
- xiii. Periodically monitor BO progress of both activities and impacts. This may entail on-spot supervision visits and participatory review meetings.
- xiv. Audit the fund utilization of the various BOs to ensure compliance with approved plans and budgets as well as best financial management practices.
- xv. Receive reports from BOs, verify their authenticity and compile a comprehensive report for the region for on submission to Gorta, BOs and the district and lower local governments.
- xvi. Set up and coordinate District-based networks (where BO number from 10 and more) as the central operational unit. Herein rules and regulations will be discussed and approved, codes of conducts will be agreed upon and enforced, and managerial issues discussed. The AREA network is a mandatory forum where WENDI beneficiaries interact to share not only the good, but also wash insider dirty linens.
- xvii. Hold quarterly district area network meetings that bring together all BOs in the district in order to assess and share achievements, challenges and lessons. Herein also joint procurements are planned and executed. Besides, grievances including those against AFARD and GORTA are also discussed openly.
- xviii. On detecting any deliberate and willful violation of the tripartite agreement by the BO, for instance in cases of financial dishonesty and willful misrepresentation of facts (especially financial and inputs),⁴ reserves the right to block the BO account, suspend further withdrawals until the

⁴ Such cases are included in the Code of Conduct to which all beneficiaries of GORTA funding automatically owe allegiance.

matter is resolved. Should AFARD feel that the situation is beyond redemption, the BO will be recommended for termination to the network and Gorta.

- xix. Contract external auditors under terms stipulated in its Management and Operations Guidelines. The audit reports will be discussed by AFARD Board of Directors and shared with Gorta and other stakeholders.
- xx. Promote according to Gorta visibility guidelines the visibility of Gorta and WENDI.

C: Beneficiary agencies

Every BO is a recipient of funds meant for poverty reduction in West Nile region. As a beneficiary agency from WENDI, every BO will be mandatorily expected to:

- i. Ensure that it is autonomous and independent in its operation. This autonomy entails having:
 - a. Its own operational constitutions and elected leadership.
 - b. A status of being duly registered with the area local government.
 - c. Its own bank account in a formal financial institution.
- ii. Develop a 7-year change vision and annual plan and budget operationalizing such vision.
- iii. Sign a tripartite agreement with Gorta and AFARD under which it will commit to work under WENDI guidelines.
- iv. Become, mandatorily, part of the Area Network and accept to be governed by the Network Code of Conduct.
- v. Work with the network as its primary channel of communication with GORTA and AFARD without jeopardizing routine contacts with AFARD.
- vi. Accept (in)direct facilitation through formal training, mentoring and other such methods deemed appropriate by AFARD. Such facilitations include, but are not limited to, technical assistance in planning and budgeting, governance, management as well as specialized project operational enhancement.
- vii. Inform AFARD about any person(s) they know within or nearby the group with the skills considered beneficial to their operation and possibly the Area Network. AFARD will then apply the routine administrative system to vet and make use of the person(s).
- viii. Practice a transparent system of management of both programmes and finances. Records shall be kept free from falsification and will be open for inspection anytime by AFARD and Gorta. Should concoction of figures, misrepresentation of facts, and misuse/stealing of funds, among other unethical practices be discovered, further investigation will be subjected with the aim of improvement and/or termination. In the meantime, utilization of funds will be suspended.
- ix. Accept that failure to do the right things because of skills and knowledge gaps shall be looked at as learning points that require improvement. But routine abuse under the pretence of such gap shall be dealt with as dishonesty.
- x. Undertake, as a mandatory function, to participate honestly and truthfully in all district network meetings as a member with equal rights as any other beneficiary.
- xi. Conduct regular internal meetings to plan, allocate and share work, reflect on performance, iron out conflicts, and strengthen its vision.

- xii. Provide to AFARD its correct bi-annual and annual reports of progress and funds utilization at the time agreed upon by the Area Network. Failure to do so will lead to no further disbursement of funds and eventually termination. However, copies of the same reports must also be given to their lower local governments' concerned departments.
- xiii. Share its best practices and learn from other network members so as to promote mutual learning and replication of best practices. Resistance to change may be construed as isolation that will warrant termination.
- xiv. Accept to grant autonomy to beneficiaries at an appropriate time agreed upon jointly with the beneficiaries and AFARD especially for those working under Church-based leadership.

D: Local government

- i. Mandate AFARD to operate in its area of jurisdiction.
- ii. Verify the authenticity of the BOs.
- iii. Discuss with AFARD areas of possible outreach.
- iv. Integrate WENDI plans and budgets into its 3-year rolling plan.
- v. Receive and verify reports and integrate them into their periodic performance reports.
- vi. Provide technical quality assurance to BO and community wide projects.
- vii. Using Poverty Action Fund monitor BO operations.