**Pact**

# INSTITUTIONAL STRENGTHENING
# AND GRANT MANAGEMENT

*Proceedings of the workshop*
*Reflection and Pre-Organizational Capacity Assessment*

*26–31 July 1999*
*Landmark Hotel*
*Nairobi*

Pact/ISGM/MWENGO

# Contents

## Abbreviations, acronyms, terms

| | |
|---|---|
| AAYMCA | Africa Alliance for Young Men's Christian Association |
| CECORE | Centre for Conflict Resolution |
| CIKSAP | Centre for Indigenous Knowledge Systems and Byproducts |
| civil society organization | non-governmental and non-religious organization |
| CPMR | conflict prevention mitigation and response |
| GHAI | Greater Horn of Africa Initiative |
| HASP | Horn of Africa Support Project |
| IGAD | Intergovernmental Authority on Drought |
| ISGM | institutional strengthening and grant management |
| MWENGO | Mwelekeo wa NGO |
| NGO | non-governmental organization |
| OCA | organizational capacity assessment |
| PINGO | Pastoralist Indigenous NGOs |
| RFA | request for applications |
| SAG | strategic action grant |
| SALTLICK | Semi-arid Lands Training in Livestock Improvement Centres of Kenya |
| USAID | United States Agency for International Development |

## Scope of the workshop

The reflection session covers the following:

- Common understanding of conflict in the context of the 10 countries covered by the Horn of Africa Support Project (HASP)
- Food supplies and factors that contribute and mitigate to food insecurity
- Role of NGOs and community-based organizations in conflict mitigation and response and food security
- Conflict and food security as challenges facing institutional strengthening (ISGM) and grant management for HASP

The pre-organizational capacity assessment process (pre-OCA) is more specific on the institutional strengthening needs of development partners. It will focus on—

- Generic approaches to NGO and CBO capacity building
- Understanding OCA—its history, use and potential
- OCA—examples from real life: South Africa, Ethiopia, other
- OCA—application and implications for the ISGM–HASP process
- ISGM–HASP OCA: tool development, plans and commitments

The workshop provides an overview of the following:

- background, context and purpose of the Greater Horn of Africa Initiative and the HASP project
- the results of the first ISGM grant application
- the two areas for which the grant is meant—food security and conflict mitigation and response—discussed in the context of the potential roles of civil society—NGOs, private voluntary organizations and community-based organizations in the Greater Horn of Africa region

## Program

### Monday, 26 July
Arrival of guests

### Tuesday, 27 July

| | |
|---|---|
| Morning | Welcome and introduction |
| | GHAI, HASP–ISGM |
| | Workshop objectives, expectations and design |
| Mid-morning | First ISGM grant process and observations from it |
| Afternoon | Conflicts and food security—status and causes, experiences, initiatives, interventions in managing conflicts and sustaining food security (group sessions) |
| Late afternoon | Experiences, initiatives, interventions in managing conflicts and sustaining food security (group sessions) |

### Wednesday, 28 July

| | |
|---|---|
| Morning | Recap and announcements |
| | Reports and feedback |
| | Pre-award process |
| Mid-morning | Synthesis of group sessions |
| | Strategies: general, traditional, combination |
| Afternoon | Role of NGOs in food security and CPMR |
| | Next steps (group sessions) |
| Late afternoon | Reports and feedback |

### Thursday, 29 July

| | |
|---|---|
| Morning | Recap and announcements |
| | Networking, information sharing |
| | Capacity building and institutional strengthening: definitions |
| Mid-morning | Current capacity: approaches, instruments and tools |
| Afternoon | OCA—history, application, examples |
| | OCA—relevance and application to ISGM (group sessions) |
| Late afternoon | Reports and feedback |

### Friday, 30 July

| | |
|---|---|
| Morning | Recap and announcements |
| | OCA development—overview, process, content |
| Mid-morning | OCA components (group sessions) |
| Afternoon | Indicators (group sessions) |
| Late afternoon | Monitoring and evaluation in the OCA context |
| | Announcements |
| | Way forward and wrap up |
| | Evaluation and closing |

### Saturday, 31 July
Departure

## Official opening

As chief of party of Pact/MWENGO ISGM (Pact/Mwelekeo wa NGO/Institutional Strengthening and Grant Management) Program in Kenya, Dr Bill Polidoro opened the workshop and welcomed all participants. He then presented Anne Marie Watrin, program manager of Horn of Africa Support Project (HASP), Kenya. Ann gave a brief background of that organization and of the Greater Horn of Africa Initiative (GHAI). The former is a project supporting only African indigenous initiative, for which it has US$ 18 m set aside. US$ 10 m is already with the Pact/MWENGO ISGM program while the rest of the money is meant to support IGAD (Intergovernmental Authority on Drought) in its work to promote development within the member states. The Greater Horn of Africa Initiative was started by the US government in 1994 to try to solve problem of food security and prevent or manage conflict in the Greater Horn region. It is a collaboration between the US State Department and USAID.

The presentation resulted in the following discussion:

### Questions and Dr Polidoro's answers

Q  In your brief summary of the vision of the program vis-à-vis institutional strengthening, I was struck by the fact that so much of this program started outside of what we think of as an institution and ends with cooperation between us as individuals and organizations. What would be your comments on the program outside of what we typically think of as institutional strengthening and what we typically think of as networking and innovation?

A  This is an open question for the group. It seems that where the biggest obstacles lie is not in the more traditional technical areas such as organizational development. To focus on financial management, accounting systems and so on is fairly straightforward. There are standard international accounting procedures, balance sheets and flow charts. It is important for every organization to have a competent person working on these things so as to produce prompt, accurate reports. It is not that part of work in institutional strengthening that is difficult. It is the non-technical area that is harder. It has to start with some dialogue. I would like to open a conversation and have people talk about those issues a little bit, because you do face real obstacles from governments in the region and from donors as we focus on some of the institutional strengthening issued in such areas as financial management or governance of your organization. There may be a difference in point of view between the director and the board of directors, or the director and the staff or the financial people, and we need to understand those obstacles better.

Does anyone have any thoughts about those issues now?

Q  How has institutional capacity been assessed, especially concerning organizations that did not already have an existing project but were relying on projects to be assigned to them from time to time?

A  I feel that we underutilize existing talents, both institutional and individual. That is one reason that Pact works with African organizations, wanting to contribute to achieving the results towards good management that we pointed out. If there are

any donors out there, then they would be able to work in coordination with people in organizations such as MWENGO and Pact, which have an international reputation in this area.

Another issue is about ways of defining accountability. Achieving the results you yourselves want and responding to your client come foremost. USAID now focuses on results, and I think you could go a long way in stressing the fact that results are really what you are after. Work with Pact and MWENGO so that you can make the case of the quality of work that you are doing. That might help get more money for your program's general operation rather than just support for its projects.

We are not always assured that when we give you general operating support we are going to get something out of it.

## Introduction

The Regional Workshop on Institutional Strengthening and Grant Management (ISGM) was held 26–30 July 1999 at the Landmark Hotel, Nairobi It was organized by ISGM, Pact and MWENGO Kenya. Over 20 participants from NGOs and civil society organizations (non-governmental and non-religious) from eastern and southern Africa attended the workshop. The overall aim of the workshop was to share experience in the two main areas of food security and conflict prevention and mitigation among the participants from the region. The workshop also provided a platform for the participants to develop informal networking and plan ways to build capacity in public, private and civil society alliances.

## Specific objectives

- To share experience in food security and conflict resolution among NGOs representatives and other stakeholders in institutional strengthening and grant management

- To share understanding and affirm commitment to food security and conflict prevention management and resolution

- To explore possibilities of cooperating, coordinating and collaborating in food security and conflict prevention management and resolution

- To build trust between and among stakeholders in food security and conflict prevention, management and resolution in the region

- To introduce organizational capacity assessment (OCA) and obtain consensus on it.

## Expectations of participants

- Definition of institutional and capacity building

- Elaboration of principles of GHAI/HASP

- Evaluation of proactive development of responsive frameworks

- Definition of the link between food security and conflict prevention, mitigation and response (CPMR)

- Definition of particular conflict mediation skills through participation of communities

- Explanation of how MWENGO and Pact define capacity building for African NGOs

- Explanation of how OCA is relevant to the ISGM process

- Discussion of institutional self-monitoring ethics

- Evaluation as a process in light of community, regional or African needs

- Analysis of community participation in decision-making

The workshop was arranged in 16 sessions over a 4-day period.

Session 1 included the opening ceremony and introductory remarks from the conveners. The objectives and expectations were stated during the session. Session 2 consisted of observations and review of the first ISGM grant processes, drawing examples from what had been done in Ethiopia. Sessions 3 and 4 consisted of participants discussing experiences in managing conflicts and sustaining food security.

Session 5 was a recap of activities of the previous day's discussions and feedback reports. Session 6 was a guided group discussion on strategies of managing conflicts and sustaining food security. Sessions 7 and 8 consisted of discussions of the roles of civil society organizations in food security and conflict prevention, management and resolution.

Session 9 dealt with a review of objectives and current status of capacity building and institutional strengthening, and approaches, instruments and tools of achieving capacity including organization capacity assessment (OCA). Sessions 11 and 12 were group discussions on OCA application, history and relevance to ISGM. Sessions 13, 14 and 15 were an overview of OCA development, focusing on processes and content, and drawing examples from the Ethiopian experience, followed by group discussion on OCA components and framework.

The final session was a presentation on networking using information technology and a closing speech by the convener from ISGM Nairobi. At the end of the workshop, evaluation forms were distributed to all the participants, the results of which will be incorporated in the final report of the workshop proceedings.

## Theme: Review of first ISGM grant process

*Presented by Dr Bill Polidoro and Jack McCanna, Pact–ISGM, Kenya*

The presenter stated that getting an ISGM grant involves three stages by ISGM—
- drafting of the request for applications (RFA)
- evaluation of applications
- award

The request for applications has three phases—

- general framework and eligibility
- application format
- evaluation criteria

The decision to grant funds to an NGO applicant is given by an advisory council appointed by USAID Kenya, which then gives the go-ahead to Pact-ISGM if the proposal is approved. The advisory council uses certain criteria, laid down by the US government, to approve funds. Some NGOs do not qualify, because although their proposals may be good, they have not met one or two of the set procedures. Pact-ISGM sometimes holds discussions with the NGO when a proposal gets to the pre-award stage where the NGO is offered funds but on certain conditions.

## Theme: Conflict and food security in the Greater Horn of Africa region

### Status and causes of conflict

- Disagreement
- Confrontation
- Friction
- Misunderstanding
- Different opinion

### Definition

Conflict is the state of tension that exists when one party perceives that its goals, needs and desires or expectations are being blocked by another party.

Conflict occurs when "B" perceives that "A" is *purposely* making an effort to *offset* B's effort by some form of *blockage* that will result in *frustrating* B in attaining desired goals or furthering B's interest.

### General causes

- Resources
- Seasonal migration of people
- Traditional rivalry (within community)
- Territorial disputes
- Traditional authority
- Abduction
- Differences in values and beliefs

### Causes

- State-driven—political elites may instigate this kind of conflict

- Resource-driven—results from scarcity of resources in the region and could sometimes become political

- Ethnicity—ethnic nationalists may want to get their own governmental structure; can also be state driven

- Religion—religious extremists, thinking they are holier than others

## Intervention strategies

- Analytical framework
  - the fact that pastoral people have potential for conflict (according to Dr Makhoha)
  - any intervention should be two-track—governmental and non-governmental
  - prevention of conflict by educating the community
- Build structures for conflict prevention, that is, early warning systems
  - media
  - socialization
  - local elders
  - good governance

## Programs possible in region

- Conflict resource center—a floating structure not belonging to any country in particular
- Human Rights Court—IGAD should be encouraged to take a bigger role in intervening in conflict matters

## Discussion on Prof. Makhoha's presentation

Participants brought up the following points:

- Conflict may exist between the community and institutions, for example, between the community and the Ministry of Natural Resources regarding land disputes, water, wildlife conservation.

- Some participants did not agree with Prof. Makhoha that pastoralism and religion were sources of conflict in only this region. Examples of religious conflicts in European and Asian countries were given.

- Poverty was also included as a source of conflict.

- A Human Rights Court or a Conflict Resource Center would not work without good governance since we do not have a system to sustain the centers.

- Dialogue can also be used as a way to defuse conflict.

Prof. Makhoha responded to participants and explained that he did not mean that pastoralists are troublemakers. But it is their culture to raid cattle and move from place to place, which creates conflict because of different culture and beliefs.

# Food security or insecurity in the Greater Horn of Africa region

*Presented by Monica Opole, Centre for Indigenous Knowledge Systems and Byproducts (CIKSAP), Nairobi*

## Criteria for determining food security

- Availability
- Accessibility
- Quantity

- Well-balanced diet
- Ease of preparation
- Culturally acceptable

## Pre-award process

*Presented by Jack McCanna, Pact–ISGM, Kenya*

There are three stages
- Request for applications
- Evaluation
- Award

### Pact's interests

- -regional application
- -format from initial objectives of request for applications

Any remaining questions about the organization by the advisory council or ISGM are answered at the pre-award stage, which is a two-day process.

- Review of USAID regulations
- Cost principles (budget/planning)
- Budget

Even when the budget is approved, it could still be rejected by USAID. There are mandatory standard provisions for non-US, non-profit organizations. Copies are provided one week to make sure the application conforms to these provisions.

- Survey of the general management structures and procurement policies. See how the management of the grant will be undertaken by planning together with Pact–ISGM.

- Financial aspect—accounting procedures need to be in place, either manual or computer: internal control and documented procedures, segregation of duties, who approves what.

- Audit plan— do the auditors review account books? Control of funds.

- Budget—cash flow, what is needed, and projections. Budget needs to be negotiated and advances (monthly or quarterly) agreed upon.

### Questions and discussion

Q  Some NGOs are eligible to apply but have no capacity to run a project because they have no funds to cover overhead expenses, which are necessary for the operation of the organization. Can these NGOs be considered?

A  You may have indirect costs. There would be need to look at past financial statements to get a picture of the indirect costs.

Q  USAID is not the only funding organization and there are others with fewer technical requirements. Is it possible to hire an accountant so as to comply with USAID requirements?

B  Whatever amount is applied for, the same rules will apply.

One participant responded to the comment on USAID having too many technical requirements by pointing out that all donor organizations have requirements and conditions that must be complied with.

Q  There are people who are doing a very good job but they cannot meet the technical requirements. Can they be assisted?

A  Sure, it is not only the compliance of regulations issue that matters, but also the proposal itself matters. But the NGO applicant must try to meet the regulations fully.

*Suggestions and comments by participants*

- Pact–ISGM should build a relationship by meeting with the NGOs face to face in order to assess them for grants. They should also build trust among themselves.

- Some of these NGOs have very little money but handle very big commitments and should therefore be assessed according to their capacity.

- Focus on the capacity of the NGOs applying and how capacity can be built. Staff from Pact–ISGM should help the NGOs meet these regulations fully.

- Mr McCanna explained that Pact–ISGM is just a contractor with USAID, and as such has to justify to USAID any special conditions for awarding funding to high-risk recipients.

- It is not a secret that USAID regulations are strict, and Pact has to comply with them. If NGOs are to benefit from the funding the following steps could be followed—
  - ask the donor to handle the grant money (a decision that can cause difficulties when a sudden need arises)
  - comply with the regulations
  - learn to play the game
  - never give up in providing information feedback
  - ask Pact to negotiate with USAID on behalf of the applicant

- This is a new program for USAID and Pact/MWENGO; therefore, at this starting point the fund should be flexible.

## Theme: Role of civil society organizations in food security and conflict prevention and response

Participants were given an opportunity in plenary to present their experiences on two themes, based on 1) one or two of their best involvements pertaining to food security and 2) what factors make their involvement possible. Highlights of the presentations and plenary discussions are as follows:

## Country experiences

*Chair: Dr Mohammed Mussa*

*Rapporteur: Mr Kiiza Asaba*

### Uganda

The Ugandan participants covered the following topics relating to their involvement in food security and conflict mitigation and response:

- Relief supplies
- Storage
- Inputs
- Distribution

The emerging issues from the above experiences were—

- Liberalization of markets
- Open policy to foreign intervention
- Getting local communities to participate
- Building of silos in strategic areas for food storage
- Distribution of improved seeds and restocking of cattle

### Tanzania

The Tanzania participants discussed—

- Food distribution
- Distribution of seeds and heifers to female-headed households
- Persistent drought

These are factors that makes community involvement necessary and critical.

### Ethiopia

Ethiopian participants presented the following points on their involvement in food security:

- Needs assessment and targeting the poor
- Program formulation
- Identification of specific areas o f operation
- Supplies of inputs
- Food for work programs
- Restocking the pastoralists

The following factors made the above involvement possible:
- Community participation
- Enabling environment
- Donor contributions

### Kenya

The Kenyan participants noted the following constraints in food security that need attention:

- Distribution of food in rural areas to very poor and malnourished families
- Work with female-headed households
- Lack of enough flour leads to use of porridge as the only meal for the whole family

Other factors needing attention for the optimal operation of NGOs:

- Existence of favorable policies on registration of NGOs
- Tax relief
- Community participation
- Food storage and distribution

The Kenyans mentioned the following as problems in improving food security:

- Lack of funds
- Non-existence of regional networks dealing with food security
- Political and economic differences among stakeholders
- Lack of strategic planning and failure to clearly define goals

## Conflict issues

Participants exchanged experiences they had had in working to establish a peace infrastructure from the bottom up. The experiences were made possible by—

- An approach of community ownership
- Good knowledge of peace building frameworks and skills
- Commitment of parties concerned to build peace
- Inclusiveness of all stakeholders in the peace process (non-religious orientation)
- Understanding of the partners' funding availability
- Silent diplomacy—quietly building relationships rather than seeking publicity

## Problems experienced

- Reluctance of peace advocates to collaborate with each other
- Some aggressors sometimes work against bringing about peace
- Desire of some to claim glory or seek publicity
- Impatience of the some participants and actors

## How these problems were overcome

- Engaging in dialogue
- Preaching patience and understanding
- Creating enough trust among participants and urging them to accompany concerned parties instead of dictating to them

## PINGO experience—Tanzania

PINGO, Pastoralist Indigenous Non-governmental Organizations, is engaged in human rights and advocacy work. It aims to foster development and gender equity among the Maasai community.

### Initiative

Transform some traditional customs, such as a widow not being able to inherit property, through education of traditional leaders.

### Challenges

- Changing the well-established tradition
- Disseminating information among the Maasai community in both Kenya and Tanzania

### Overcoming the challenges

What has been done is the following:

- Invite traditional leaders from across the borders to attend meetings
- Reconcile two candidates to agree on which one will take the seat in parliament

### Initiative

Involve the elders (traditional leaders) to mediate and reconcile the two parties in disagreement. This was successful because the elders could move from one district to the other to mediate where mediation is necessary.

### Problem

- Collaboration with the government is difficult.

### Overcoming the challenge

- Deal directly with community leaders

## Experience of the Africa Alliance for Young Men's Christian Association

*Presented by Michael Makale*

The Africa Alliance for Young Men's Christian Association (AAYMCA) works on conflict issues in 10 countries including Rwanda.

### Rwanda experience

Ethnicity: the office was closed following leadership wrangles
Initiative: problem-solving between the two groups in disagreement

Making it successful—

- Balancing the board
- Strengthening the capacity of the board
- Clarifying the structures by amending the constitution
- Initiating joint programs and projects
- Using an external audit
- Involving the government

*Problems*

- Opaqueness of the structures
- Competition for leadership
- Physical threats

*Overcoming the challenges*

- Involvement of the administration
- Create awareness among the conflict parties about their common interest
- Restructuring
- Fresh job application for everybody and appoint new team based on merit
- Intervention of a third party

A separate presentation was given by a representative of African Alliance of YMCA's Mr M. *Makale* citing his experience in Sudan. The African Alliance of YMCA made a great breakthrough in creating an atmosphere of understanding, mutual trust and respect. Its major progress was the relief provision of training facilities for displaced people in Khartoum. The people have had a long period of suffering from economic hardship, unfavorable political and religious environment, and poor climate.

Through its initiative, the AAYMCA with the assistance of the United Nations has trained people in skills that can give them employment.

## Experience of the Centre for Conflict Resolution

*Presented by Stella Sabiti, Uganda*

The Centre for Conflict Resolution (CECORE) works on request. It is usually called upon to deal with cases of torture of refugees in camp. It creates awareness of human rights.

*Principle*

Always separate the conflict from the people.

*Initiative*

Awareness on alternative to physical punishment in the refugee camp.

## Experience of SALTLICK, the Semi-Arid Lands Training in Livestock Improvement Centres of Kenya

*Presented by Nicholas Loupa*

*Initiative*

Educate pastoralist communities on an alternative way of making money giving them training and creating development centers. Provide good markets for the members.

### Making it successful

- Stimulate employment to absorb the idle youth
- Avoid the destruction of the environment that is caused by charcoal burning
- Start micro enterprises, for example, small kiosks for selling livestock drugs, improvement of cattle
- Settle people

### Problems

- Trying to alter people's traditional lifestyle
- Coping with a harsh environment
- Political and economic interference
- The arms trade

### Questions and answers

Q   Are these conflicts purely national in scope and area, that is, do they involve more than one country?

A   There was a cross-border element in Tanzania and Kenya. In a Kenya project where Maasai and West Pokot people were involved, the element of violence caused by insecurity was discussed.

Other conflicts or potential conflicts—

- Ugandan rebels abducting refugee Sudanese women and children
- Women left alone in the camps because men were away most of the day

### Suggestion

Mohammed Mussa suggested that there should be a third group, besides the two on food security and CPMR, to discuss the link between conflict and food security. Participants contributed as follows—

- Humanitarian assistance is a source of trust, but it can also be a source of conflict if it is mishandled.

- Land utilization—conflict between community (pastoralists) and government when government develops pastoralist land, such as for irrigation schemes, and the pastoralists end up with nowhere to go. Government claims it needs the land for food for the nation.

- Food security begins at the household level before it goes to national level.

## Synthesis on group discussions

### Issues arising

- Land and resource management issues are the center of conflicts.
- More reactions were expected on cross-border issues considering the regional aspect of the program.

- Police harassment is commonly experienced by communities living in cross-border areas.
- Border rules and regulations should be relaxed.
- Issue of marginalization should also have come out more strongly in the discussion, but did not.
- It is understood that migratory species of wildlife must move across borders, but the need of livestock to move from one border area to another is not understood.
- Networking and advocacy are needed to eliminate these problems.
- In Kenya, private land ownership is highly valued, and title deeds can be used to get loans, and this has put pressure on collective resource utilization.

Q  How can we implement different ways of involving the community? Do NGOs stimulate the process?

- Community can take leadership in issues.
- Political conflicts in Burundi, Rwanda and other areas interfere with work. At local level it is not easy to share experiences; cross-border conflicts also affect fieldwork.
- Food security needs to be addressed more directly.
- How do we move from the micro level to macro and beyond?
- Food security can be enhanced with better access to funds.
- Community involvement is crucial for both issues of food security and CPMR.
- Create awareness of the link between relief or welfare and development.

How can the participants improve food security?
- Visualize where an organization is coming from and where it is headed. Assess needs before moving—what does the community say? The problem has become regionalized, and our mandate must be reviewed. Look at where we were 10 years ago and where we are now going.

- A coherent strategic plan is needed—activities are not flowing.

- How much government there is varies from region to region and country to country. In the absence of government, can we sustain good community values and how do we assess them?

- Resource mobilization—some organizations do not have strategic plans, or they have plans but do not keep to them and keep shifting to the "hot thing" of the day. Some NGOs have shifted goals and objectives since they are not getting funding, changing to what donors are currently more interested in.

- If NGOs appear desperate and helpless, donors will do what they want with them. NGOs should therefore decide what they really want to do instead of ending up doing what they are not cut out to do.

- It is not good to appear hopeless and willing to accept anything. A situation was narrated where money was offered and the NGO was asked to use it for whatever project they wished. The money was from the gay community and the organization was expected to defend gay rights. The strings attached to the donation were unacceptable.

- The donor community has also been affected and has become like a fashion house, where everyone is wearing what is in fashion.

- Local organizations should be encouraged to mobilize resources locally as well as internationally.

## Food security—experiences in the village

*Presented by Monica Opole, CIKSAP*

More often than not, we learn of a situation where people say they are hungry. But the majority of households are self-sufficient. We worked with six communities but wondered how we could mainstream their food requirements. There is usually a balanced diet at every mealtime in agricultural households. Foods like cassava, sweet potatoes, and especially mushrooms, which are high in micro-proteins and calcium. The food base is dependent on local culture. Women-headed households must deal with food insecurity. Food security should start in the household.

### Situations of conflict leading to food insecurity

Ms Opole made the following comments:

- When developing a food security program, consider starting at the micro level.

- As many as 800 species may be consumed in a single community. The Luhya, for example, eat many foods including termites that other communities disapprove of.

- Food consumption depends mostly on culture; there is usually a replacement or alternative where a certain food is not acceptable.

- Giving displaced people what they are not used to eating is not the solution. Some participants said giving maize to people who do not know how to cook ugali or porridge was a waste. When Somalis were given maize to grind into maize meal instead they used sacks of maize to create barriers to fence off their homes, because the immediate danger was fear of attack from bandits.

Q   Relief is from international organizations who are not aware of local needs. As a challenge, can we as individual and local organizations begin to play a bigger, more understanding role? Why don't organizations purchase local foodstuffs according to the needs of the community?

A   Relief food comes from farmer support programs. United States farmers do not usually grow white maize, millet, and other African local staples. The recipients usually get what the donor countries are growing. Local organizations should challenge this situation.

- When drought looms, people tend to move away from their homes; therefore, it becomes difficult for relief workers to tell the signs of famine and without help the stricken communities continue moving on.

- Experts should try to provide a weather forecast for the rural people that would enable them to plan for the different seasons.

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- Experts should try to provide a weather forecast for the rural people that would enable them to plan for the different seasons.

- In a refugee situation, the food brought from outside may be staples such as maize and beans, while the refugees have been accustomed to eating meat.

## Peace and conflict resolution

*Presented by Dr Sultan Somjee*

The peace project he has been involved in examines indigenous modes of peace and conflict resolution. The project is six years old and deals with about 19 societies. They work on traditional knowledge and have now set up about five peace museums. They use NGOs as mediators of peace. The organization also works on peace trees and currently has 10 Maasai peace trees documented. Indigenous methods of peace building are not addressed much in Africa— rather, conflict issues are outlined. Dr Somjee spoke on traditions of cultural peacemaking among the Maasai of the Purko section of the Mara.

*Questions and answers*

Professor Makhoha commented that he now understood why Dr Somjee was provoked by the picture he had given on conflict, having listened to him speak on cultural peace among the Maasai. Dr Somjee created a small heaven and feeling of peace and calm with his article. Professor Makhoha said this article shows that we can socialize those in the harsh cosmos to become humble and agreeable.

Dr Mohammed Mussa also gave an account of the traditional Ethiopian peacemaking process—

- Each side is given ample time to talk in their own language.
- Rules and regulations are set by the disputants.
- Both parties are involved in electing the mediators.
- Both sides must be satisfied; neither should be embarrassed or humiliated.
- Mediators are fair and patient with both sides.
- The mediators follow up, making sure that the peace resolutions are implemented.

Q  Do you see any potential for this method of resolving conflict being replicated elsewhere in the region?

A  There is a possibility that this could be done; the potential exists. Also, peacemakers could work with Christian and Muslim beliefs.

*Constraints to the replication of indigenous peace building*

- Urban educated people try to impose their standards and measure by them.
- Usually only men are involved in the peace talks—women are excluded.
- The process is not documented, which may make replicating it more difficult.

*Comments on issues of conflict*

Sometimes, when treaties were signed in a particular building, the building becomes a monument.

Influencing policy makers is effective. During the Vietnam war, American universities through shaping public opinion helped the government to end the conflict.

When ethnic clashes occurred in Molo, the traditional method of resolving conflict was used. The side pleading for peace cut green grass and approached their enemies with it. Since green grass is a symbol of peace shared among many Kenyan communities, this gesture helped to reduce the conflict.

A way of peacemaking in Uganda was to use a bush from which the juice was extracted, mixed with water, and taken around for everyone to sip. Sometimes one of the parties would not agree to partake if they had strong cultural differences. But whenever they did, conflict was transformed.

In a group session analyzing ways of achieving regional peace and food security, participants expressed hopes in the following:

- Formation of a US-supported Democratic Greater Horn of Africa.
- Reuniting of people displaced by famine or strife, with or without property.
- Mobility allowed.
- People happy and interacting freely across borders.
- Belief in the general goodness of human beings.
- Examining community participation at local and national levels.
- Adequate food available throughout the year.
- Freedom from refugee life.
- Dismantling of refugee camps.
- People interacting freely around the world, using one currency.
- No more wars.

To achieve their highest hopes, the participants noted the need for the following strengths or qualities:

- Openness
- Transparency
- Belief in community as a resource
- Patience
- Positivity
- Being born again
- Total commitment
- Empathy
- Understanding and appreciation of situations
- Being a role model
- Resource mobilization
- Working in coordination with others
- Personal sacrifice—denying oneself without martyrdom
- Having confidence in what you are doing
- Respect and honesty
- Trust
- Determination

After providing the above list of hopes for achieving peace and food security, the facilitator defined the responsibilities of organizations working in these two areas for the ISGM–GHAI. He pointed out that while the individual NGOs are responsible for

being catalysts for community ideas, vehicles for networking, advocating for peace, establishing regional conflict resolution centers and reintegrating refugees, ISGM–GHAI has the responsibility of identifying and reinforcing the existing capacity of NGOs, providing access to resources, and acting on mutually agreed principles.

However, it was recognized that each organization was unique with respect to its geo-political situation in the region and therefore had specific roles in resolving conflicts and improving food security. To analyze these specific roles, the participants were divided into groups representing the organizations originating from countries to the east and to the west of Lake Victoria area and countries in the Greater Horn of Africa. Each group was asked to make a list of roles necessary for building peace and improving food security. The outputs of the task were presented as follows:

### Points listed by West Victoria group

- Community empowerment
- Advocacy through dissemination of information
- Attitudinal change
- Hope building
- Role modeling
- Constancy
- Emancipation of communities from dependency syndrome
- Link peace and food security initiatives
- Advocacy for peace

If the principle of African ownership is to become a reality then our experiences and priorities should inform the principles, policies and practices of ISGM and GHAI.

### Points listed by East Victoria group

- Peace in the organization itself—dialogue was emphasized rather than imposing issues
- Respect
- Sensitivity
- Fairness
- Willingness to listen and learn from others
- Correcting deviations
- Discipline within the organization
- Create team spirit
- Commitment to the organization

### Role of ISGM in building peace according to workshop participants

- Ensure that grants reach actual need
- Ensure that we implement our projects to the best of our ability
- Advise ISGM in the direction it should take
- Encourage networking and partnership
- Identify our weakness and strengths
- Identify our training needs as institutions
- Make proper use of available resources
- Be accountable and transparent in our activities

### Role of Greater Horn of Africa group

- Connecting and sharing experiences
- Facilitating joint activities
- Networking with our partners
- Pointing out potential conflict situations
- Ensuring that NGOs play complementary roles—not work as competitors
- Campaigning against importation and manufacture of arms in the region
- Advocating for the rights of marginalized communities

### General discussion

What role can we play to build peace and food security?

- Empower local communities by creating awareness and instilling confidence that they can do without external intervention, not rely on hand-outs.

- Lobby in halls of power to influence governments.

- Advocate for peace to enhance food security, as conflict is a prime cause of food insecurity.

- Create awareness that there is an alternative to armed conflict.

- Work with the media who by their reporting increase tension, to make them aware that they can play a role in promoting peace.

- Play a role in helping to peacefully resolve the differences that cause conflicts.

- Promote activities carried out by women, which will help to enhance food security.

- Work for peace by advocating for women and children, and all vulnerable groups, so that they do not live in.

IGAD is highly politicized and cannot be relied on for help—for example, what has it done for Ethiopia and Eritrea, who are members? MWENGO is more effective in the field.

On the first session of day 3, a review of objectives and current status of capacity building and institutional strengthening was made, and approaches, instruments and tools of achieving capacity were discussed.

During the session on assessing capacity within different organizations, the facilitator asked the participants to define capacity according to their perceptions. They did so as follows:

- Ability
- Means
- Skills
- Knowledge
- Resources
- Experience
- Competency

They were asked to discuss how their various organizations strengthen capacity. The participants felt that capacity is strengthened by:

- Acquiring new skills
- Acquiring resources
- Improving existing skills
- Practicing what skills we have
- Sharing experiences
- Networking
- Being innovative
- Identifying our strengths and weaknesses
- Practicing self-analysis and criticism
- Appreciating what we have learned from experience
- Encouraging participation in achieving goals and objectives
- Sharing information
- Building good structures
- Improving operational efficiency and effectiveness
- Determining constituency (being clear about who you are working for)
- Defining who you are helping
- Being creative
- Working as a team
- Providing a safe environment for operations
- Changing behavior, for example, being adaptable
- Promoting transparency
- Improving or updating systems and structures
- Being accountable and transparent to donors and beneficiaries

Having defined capacity, the participants were divided into three groups to undertake the following tasks:

- to discuss and make a list of existing capacities
- to assess the existing capacities
- to provide the approaches and tools of measuring capacities

The results of the group discussions are presented below:

*Group 1* identified the following existing capacities:

- Ability to find out needs from community
- Transport to the community
- Sharing of experience
- Encouragement of community participation
- Financial accountability to beneficiaries and donors
- Project formation
- Operational research
- Environmental impact
- Training
- Evaluation
- Base office, enabling field work
- Ability to penetrate and work with the needy
- Mobility

- Computer, office and communications
- Management
- Networking on natural resources issues, formal and informal events (big and small events) that bring people together
- Advocacy
- Staff
- Information and documentation
- Acquisition of new skills and resources
- Creativity
- Provision of a safe environment
- Ability as an indigenous organization to assess community needs
- Public cooperation and understanding among organizations

*Group 2* compiled the following list:

- Skills of staff within the organization
- Organizational output
- Ability for the organization to reach grassroots
- Input at local community
- Office equipment
- Sustainable activities
- Ability to attract resources
- Effective communication channels
- Increased community awareness

*Group 3* provided the approaches and tools of measuring the capacities of their organization. In their view capacity was measured by—

- Training and output
- Communities getting in touch with the organization's office, asking for services
- Numbers of computers, office accessories, vehicles and availability of email service
- Number of meetings held with communities
- Ability to show impact of grassroots activities
- Increased funding for the organization—an indicator of accountability and transparency

Participants were then asked to identify three of the most beautiful aspects of the Greater Horn of Africa in terms of people, geography, and flora and fauna. Participants pointed out that—

- Livestock was one of the most important aspects and a dominant factor in the livelihoods of majority of the human populations in the region.

- Diversity was considered as another important aspect, as the region teems with diverse ethnic cultures and socio-political structures.

- Unity and the existence of remarkable degree of tolerance, with the potential to serve a common good in the region, were considered an important aspect in the region that would contribute to long-term coexistence among the different ethnic groups.

The participants were then divided into three discussion groups, each named for one of the above attributes: Livestock, Diversity and Unity. Each group was told to identify its capacity. The output of the group discussions are presented as follows:

### Livestock group

The key capacities emerging from this group discussion were—

- Expertise (skills, experience)
- Networks (sharing, fundraising, exchange)
- Service delivery (coordination, orientation, structures, systems)

Several issues were raised in questions and discussion. The participants wanted to know how the above attributes can be measured. The following were given as the indicators:

*Expertise indicators*
- Performance appraisal systems
- Feedback (reports from beneficiaries, self assessment and evaluation)

*Networking indicators*
- Increase in funds
- Quantity, quality and frequency of information flow
- Demand for services and reference

*Service indicators*
- Assessment of results
- Evaluation of programs and projects
- Feedback reports from stakeholders

### Diversity group

- Networking
- Community participation and mobilization
- Expertise
- Accountability and transparency of both donor and beneficiaries
- Needs assessment

### Unity group

- Determination from the community of its needs
- Transparency to the communities
- Sharing of experiences
- Encouragement of community participation
- Accountability
- Project formulation
- Operational research
- Assessment of environmental impact
- Training
- Base office
- Participatory planning, monitoring and evaluation

## Theme: Monitoring and evaluation in organizational capacity assessment

The topic of monitoring and evaluation was introduced by *Robert Morin* and *Radya Ibrahim*. They described the concepts, emphasized the necessity of these practices in organizations, and shared their experiences in applying organization capacity assessment (or OCA) to achieve project goals. They then asked the participants to define each concept. They made the following points:

Monitoring involves—

- Continuous assessment
- Tracking and checking activities
- Follow up
- Assessment of progress
- Constant checking and policing
- Making regular visits to the people

Evaluation involves—

- Assessment of results of performance, which must be done both at the start and at the end of project
- Evaluation of data to see that the goals are achieved and also as a basis for taking the next step
- Assessment of programs—regular measurement of results, for example, every six months

Participants commented that some organizations feared evaluation, because negative results might bring on donor criticism.

The distinction was made between evaluation, which entails looking at the whole project, and auditing, which is one part of evaluation, concerning only its financial aspect.

Reporting involves—

- Feedback on presentations
- Telling people what you are doing
- Documentation and information dissemination
- Showing accountability

Impact involves—

- Change, either positive or negative
- Results that make a difference

It emerged during the discussion that there can be no universal definition of these terms; thus it is important to seek a common definition any time these terms are used.

The presenters further said that the above points are relevant in clarifying specific activities within the monitoring and evaluation processes. For example, monitoring involves tracking the material and human-resource inputs that go into an activity. During the monitoring process, all project activities should be recorded as quantifying indicators.

## The meaning of evaluation

The presenters pointed out that evaluation is a broad term. Among the questions it should answer is how many people are trained in a project ? It should address the issues of efficiency and effectiveness, such as how well you are doing. Efficiency and effectiveness should be looked at together, for example spending money effectively. Efficiency refers to how well you are using inputs and achieving targets (that is, getting value for money) and if you are using resources optimally. To emphasize this point, an example was given of family nutrition in two villages A and B using the same amount of resources. The results were that in village A, US$ 100 provided 10 households with adequate nutrition whereas in village B the same resources (inputs) provided only 6 households.

## Project monitoring, evaluation, reporting

Monitoring and evaluation are systems indicators. Several steps are involved in designing a system of monitoring, evaluation and reporting. The following prerequisites were identified:

- It is necessary to determine the level for which the system is to be designed, for example, at project level.

- It is important to identify the objectives of the project—what you want to achieve.

- It is also important to identify the activities you will undertake to achieve your objectives.

- It is imperative to know what you hope to get out of the project and what you need to put in to get it.

- It is important to find out what information the stakeholders need and for what purpose.

- It is necessary to determine what specific data elements are required, for example the capacity of the organization, then what indicators need to be used to deal with gaining that information.

- It is necessary to develop instruments or tools for collecting data. This is required when you start implementing the system.

Inputs to be monitored include—

- Human and technical resources
  - number of people
  - number of days project requires
  - type of expertise
  - cost or value
  - source
- Materials and equipment
  - type
  - cost or value
- Training and skills enhancement
  - methodology

- cost or value
- number of trainees
- number of training days
- location and gender
- Support funds
  - type of grants
  - value of grants
  - recipients
  - advances or balances, overdrafts

Results should be monitored at three stages: immediate, intermediate and ultimate.

After the facilitator's presentation, the participants were asked to give the reasons for monitoring and evaluating a project. They mentioned the following reasons:

- To know where we are, that is, the status of the project
- To know whether we are moving in the right direction
- To respond to the external examiners, for example donors
- To learn from what we have done in order to duplicate the experiences of successful projects elsewhere
- To detect potential problems
- To assess the relevance of the project
- To strengthen the methods or approach being applied
- To evaluate the impact of the project
- To make the project sustainable
- To contribute to the development of theories
- To attract more resources, such as funding

In addition to the reasons above that the participants gave, there was general agreement that a dominant reason for monitoring and evaluation is for improvement, especially in the following areas:

- Planning for use of development assistance and implementing it
- Effectiveness of management
- Learning from experience
- Joint planning and programming
- Accountability

The participants emphasized the importance of involving all the stakeholders at different stages of the processes to get balanced reporting.

During the discussion the participants pointed out that another element of monitoring and evaluation was assessment, and it is applicable to the following:

- Understanding of the project, its goals and objectives
- Ongoing project activities
- Knowing whether the project is being conducted as planned
- Reviewing project successes and failures, their impact, and how to improve the project

Another issue that emerged during the plenary discussion was the feeling by majority of the participants that development programs are often driven by donor demands with no regard to the needs of the supposed beneficiaries. The participants felt that there

was need to harmonize development programs to the specific needs of the community. Some of the ways to address the conflict of interests between donors and beneficiaries—

- Informing the donor of community needs

- Striking an understanding between donor and beneficiaries by agreeing on a common agenda

- Refusing donor funds if they cannot be used in an appropriate manner

- Getting both donors and beneficiaries to participate in undertaking the project

- Determining a time frame of needed activities and assessing it to obtain a baseline before implementation

## OCA history, application and examples

*Opened by Robert Morin*

Mr Morin gave a brief history of OCA, touching on the concepts of project evaluation, objectives and activities as related to the region. He said that one of the main objectives was to assist in ensuring growth and capacities of organizations. He recapitulated the subject of the review process and emphasized the importance of monitoring and evaluation. He further pointed out that to implement activities, inputs are necessary and achieving project goals depends on monitoring the inputs.

Inputs can also be monitored through training workshops and by use of different methodologies. Inputs have to be quantifiable and measurable.

The concluding topic in this presentation was the issue of ethics as part of capacity building in an organization. The presenter stressed that ethics, as standards of behavior or a code of conduct, can be instilled to improve capacity in an organization. He mentioned the following as constituents of ethics:

- Good behavior
- Honesty
- Trust
- Integrity and sincerity

He added that ethics are necessary for effective and efficient running of organizations because they will improve—

- financial management
- human resource management

At the end of the presentation, participants discussed the emerging issue of shortages in grant allocations and funds disbursement to suit the project activities. Some of the solutions to the problem were seen in the following suggestions:

- Have a joint account to ensure accountability and effectiveness of project accounts.

- Maintain continuous communication between the donor and implementers of the project.

- Develop a regional code of conduct for all organizations.

To illustrate the history and application of organizational capacity building, OCA, and the project outcome since its inception in the region an example was given of Ethiopia, and the presenter invited Mr Berhanu Berke to share his experience in a case study.

## Case study: Pact Ethiopia

*Presented by Mr Berhanu Berke*

Mr Berhanu Berke described applying OCA in an NGO known as the Ethiopian NGO Sector Enhancement Initiative. It was started in 1995 and registered in May 1996. It focuses on the following areas:

- Food security and rural development
- Democracy and governance
- Street children and orphans
- Education
- Health (pilot project)

Its activities include provision of—

- training and mentoring
- technical assistance and advisory support

A strategic action grant (SAG) is one that assists in supporting secondment of personnel such as experts and consultants. Under SAG are also commodity and activity grants, the latter for the purchase of computers and photocopiers. Pact is relatively new in Ethiopia; it started its activities when NGOs flocked into Ethiopia after the 1984 famine. In an effort to assess the status of NGOs in Ethiopia, Pact conducted the first needs assessment in 1995 to determine its own mode of intervention that would lead to the fulfillment of NGO requirements.

Capacity assessment was carried out to—

- Build trust between Pact as a foreign organization and NGOs in Ethiopia.
- Gain commitment of the NGOs so that the project could have a positive impact, and OCA was an instrument for doing this.
- Build partnership with the NGOs sector in Ethiopia, so that they feel that they are members of the system.
- Encourage NGO self-assessment by working together with them.
- Know existing capacities of the NGOs. This diagnosis was necessary because no NGO was sure of its capacity at that time.
- Establish a database of records of activities of different NGOs.
- Assess the impact of the program in Ethiopia.

During this foundation laying in Ethiopia, external consultants were brought to work with the Pact staff A workshop in which operational methods were designed was held in 1996, bringing together NGOs and local and external consultants. The presenter pointed out that there had been an undertaking of OCA involving 35 partners, which began in 1995 and was concluded in 1996. The findings of the undertaking were sent back to the NGOs for assessment and finalization and kept as confidential reports. The