



CRDA

CAPACITY ASSESSMENT of SELECTED NGOs

HIV/AIDS Forum

Christian Relief and Development Association (CRDA)

Sponsored by UNAIDS-Ethiopia and Action Aid- Ethiopia

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ACRONYMS

ART	Anti-Retroviral Therapy
AIDS	Acquired Immunodeficiency Syndrome
BCC	Behavior Changing Communication
CDC	Center for Development Consulting
CRDA	Christian Relief Development Association
CSO	Civil Society Organization
DPPC	Disaster Preparedness Prevention and Control
EMSAP	Multi-Sectoral AIDS project
FGD	Focus Groups Discussion
HAPCO	HIV/AIDS Prevention and Control Office
HIV	Human Immunodeficiency Virus
IEC	Information Education Communication
MO	Membership Organization
NGO	Non Governmental Organization
NPF	National Partnership Forum
ODA	Oromia Development Association
ORDA	Organization for rehabilitation and Development in Amhara
OVC	Orphans and Vulnerable Children
PLWHA	People Living With HIV and AIDS
PMTCT	Prevention of Mother To Child Transmission
REST	Relief Society of Tigray
STD	Sexually Transmitted Disease
STI	Sexually Transmitted Infections
UN	United Nations
UNAIDS	Joint UN Programme on HIV/AIDS
UNDP	United Nations Development Program
VCT	Voluntary Counseling Testing

EXECUTIVE SUMMARY

Introduction

Ethiopia has developed important policy and strategic instruments in response to the enormous challenges posed by the epidemic on its socio-economic and political development. The Government issued a policy on HIV/AIDS in 1998 advocating a multi-sectoral approach in response to the epidemic. Beginning in 2001, the Government has developed and implemented a five year Strategic Framework and a three-year multi-sectoral AIDS project (EMSAP). The EMSAP is financed through the World Bank Loan and Government contribution. The Global Fund has also allocated additional resources to support the national initiative. United Nations (UN), bilateral donors and international Non Governmental Organizations (NGOs) are also providing funds to the multi-sectoral response. The national response is designed for implementation by a wide variety of public institutions, private organizations and NGOs, both national and international, civil society organizations and community-based organizations.

The vital importance of a well-designed and jointly-owned strategy was recognized and has led to the formulation of the National Partnership Forum (NPF) by the national HIV/AIDS Prevention and Control Office (HAPCO) and its partners in 2004. The NPF is a coalition of stakeholders working in partnership to effectively implement the National Response Program. Among the most active forums is the NGO Forum which comprises of around 100 NGOs working on HIV/AIDS and is chaired by Christian Relief Development Association (CRDA) and Action Aid Ethiopia.

One of the major objectives of the NGOs Forum is to enhance the capacity and effectiveness of the NGO community in combating the HIV/AIDS epidemic, both programmatically and in public advocacy. The Forum also aims to facilitate information exchange among NGOs to enhance synergy between their interventions and enhance impact. It also facilitates the coordination of activities and promotes linkages and partnerships among them. One of the main tasks is to identify and disseminate best practices of NGOs engaged in the area of HIV/AIDS. With the view of scaling-up the national NGO HIV/AIDS response, CRDA in collaboration with its members and within the context of the Forum objectives, seeks to build the capacity of NGOs engaged in prevention, care and control of HIV/AIDS.

Toward this objective, CRDA in collaboration with Joint UN Programme on HIV/AIDS (UNAIDS), has carried out a capacity assessment study of NGOs. The study was conducted on the programmatic, organizational and advocacy capacity of 63 purposefully selected sample NGOs in 6 regions of the country. Of these selected NGOs, 28 are from Addis Ababa, 14 are from Oromia, 7 are from Amhara, 5 are from Tigray, 5 are from SNNPRS and 4 are from Gambella. The data was collected by teams of researchers using structured questionnaires, focus group discussions, in-depth interviews and discussions with all stakeholders including NGO staff and leaders, People Living with HIV and AIDS (PLWHA), pertinent government authorities and representatives of the NGO and medical community. The capacity assessment focused on both organizational and programmatic elements. In order to carry out the

assessment, key capacity assessment elements were utilized. These include: Governance, Management Practice Service Delivery, and External Relations.

In addition to the specific information on the capacity of NGOs, the general context of the problem of operational environment is incorporated in the assessment report. The assembly of the related data, in conjunction with the aggregate operational environment and the national context, provide the necessary perspective to analyze the scope, dimensions and characteristics of the problems and recommend appropriate capacity building program approaches and strategies. A treatment of these issues will inevitably involve not only the study of micro level NGO work, but also a deeper understanding of the aggregate structure of the NGO operation and the economic, cultural and political landscape in which it functions.

Major Findings

The study has identified important capacity gaps that hinder the design and implementation of effective NGO HIV/AIDS programs. Various pitfalls and weaknesses documented from the analyzed NGOs include:

- A lack of well-trained human resources: The recruitment of appropriate staff that has relevant experience with NGOs, community-based organizations or groups of people living with HIV/AIDS is extremely important in conducting effective HIV/AIDS programs. The lack of such human resources without the means for providing training and skill-upgrading is one of the most important gaps.
- A high turnover of staff was identified in most NGOs. This breaks the continuity of activities and the retention of institutional memory. It also strongly affects organizational capacity and operational performance.
- Inadequate financial resources in most NGOs prevent them from reaching their target population and carrying out their objectives. The lack of funds has in fact been the single most important challenge faced by most NGOs working in the country. The lack of materials for effective implementation of projects including home-based 'care kits' and Voluntary Counseling Testing (VCT) kits causes most NGOs to turn away people needing care and support,
- Crippling dependence on external sources was documented in the majority of NGOs working in most regions. The inability of most NGOs to have the means and expertise for resource mobilization, fund raising and their dependence on funds from external sources renders the projects unsustainable and of limited efficiency.
- Strong financial accountability is witnessed in NGOs' relationships with donors but not in their dealings with the beneficiaries and the Boards. This leads to lack of sense of ownership by the beneficiaries and the target groups leading to their limited participation resulting in a lack of sustainable projects.

- NGO boards were found to be weak and inactive. For most NGOs in the regions the boards were located in the Capital with no means of participating in the implementation of projects and monitoring and evaluation of outcomes.
- Management was also found to be highly personalized, without team spirit and with fragmentation in the different departments resulting in a lack of collaborative efforts.
- Most NGOs have identified the need for effective community mobilization and the importance of participatory approaches in projects' implementation among the community members and target groups. While most NGOs acknowledge the importance of creating a sense of ownership and participation by the beneficiaries, few have the know-how and mechanisms to make this effective.
- Most NGOs analyzed in this study were indigenous grassroots organizations with limited resources, expertise and appropriate monitoring and evaluation systems. Monitoring and evaluation is rudimentary at best in most NGOs.
- The disparity in the number of NGOs present in the rural and urban areas was noted. Most NGOs are clustered in large cities and urban areas with an almost complete absence of NGOs in remote areas of the country despite a higher than average prevalence of poverty, communicable diseases and HIV/AIDS. Projects aimed at strengthening the capacity of rural households in their struggle to cope with the economic and social constraints caused by the epidemic were found to be limited in number and scope.
- The provision of social assistance programs by NGOs to target a wider group of households based on both poverty and AIDS indicators can only be achieved best by working through communities themselves in identifying those most in need. This needs to be adapted by most NGOs in the country as there are already existing indigenous traditional community mechanisms that only need to be strengthened.
- There is need to closely monitor the situation in communities so that policies and programs can be designed that are responsive to the new challenges that arise as the epidemic progresses.
- Regional disparities in NGO initiated HIV/AIDS programs are also noted. Most NGO projects are concentrated in relatively more developed and better infrastructure resourced regions leaving the remote and peripheral regions under-served.
- The underlying problems making rural households vulnerable to the impact of HIV/AIDS through strategies aimed at poverty reduction need to be incorporated for effective prevention and control programs against HIV/AIDS. These include rehabilitation and expansion of essential services such as primary education, preventive health care, access to potable water, sanitation, improved access to land, credit, markets, protection against droughts through the introduction of irrigation and the creation of more wage employment opportunities for the poor and landless.

- Most local NGOs working in the same regions were found to be duplicating each others' efforts. Even though their collective efforts are contributing much to the mitigation of the impact of the epidemic, the existent community-based organizations and NGOs should strive for integration by supplementing or complementing each others' response. An accompanying study on best practices of NGOs gives numerous examples of such cases.

Strength and Success Elements

Ethiopian NGOs working in the areas of HIV/AIDS have many strengths and certain encouraging features. Among these are:

- Understanding of Context

Many of the NGOs studied have a competent working understanding of the context of the fight against HIV/AIDS in the country. There is a coherent frame of reference, a set of concepts which are guiding these organizations in their work. By understanding context, we mean that NGOs not only understand the nature, scope and severity of the problem but are fully aware of the interplay between HIV/AIDS and the crushing poverty, ignorance, stigma and discrimination, official neglect and denial of the effect and impact of the scourge. They know the cultural milieu they work in and can easily distinguish which approach, strategy and method will succeed and which will not. This is important as organizations which do not have a complete understanding of the context they work in will be incapacitated, regardless of how many other skills and competence they may have.

- Attitude, Vision and Commitment

Together with and understanding of context, many NGOs have evolved a determined and sympathetic attitude in their work. There is a "can do" attitude and a sense of confidence that they can shape the circumstances and challenges they face in their work. Put another way, these NGOs have not given up because of the enormity of the HIV/AIDS problem nor are they playing the victim. Rather they are determined to exert some control and they believe in their capacity to affect their circumstances. Such self-confidence and can-do attitude is particularly strong among PLWHAs. It is their visible presence and active participation that is partly responsible for changing attitudes towards the disease and a scaled up response in prevention and care by government and donors.

Another observable aspect of attitudinal change is the acceptance and sympathy of many organizations towards those afflicted by HIV/AIDS. There is significant shift from earlier blame-focused attitude towards more compassion and understanding of the beneficiary / client population. Such attitude is not only a question of morality, fairness or justice, but an important basis for effective program actions by the organizations.

The interaction between understanding of the particular context and appreciation of the hapless situation of the victims has resulted in unique organizational vision among NGOs working in HIV/AIDS. Understanding and responsibility has led most organizations to a sense of purpose and an almost missionary zeal to tackle the

problem. Talking to many of the staff working in these NGOs, one senses an inner inspiration which is harnessed and focused.

The energy and enthusiasm of staff and management has developed particular ways of doing things- habits, norms, routines and mind sets. These factors, in turn, have become a tremendous power force over the functioning of the organizations. They are the aspects of organizational functioning, which are not readily observable, but exert much more influence than the more readily visible realities of structure, procedure, resources or skills.

- **Functioning within constraints**

It was mentioned above that NGOs working on HIV/AIDS are constrained by lack of technical skills, finances, equipment office space, and so on. However, many organizations were observed in attempting to counter the effects of resource deprivation through organizational attitude. Instead of lamenting about lack of resources, many organizations are trying to overcome the problem by judicious utilization of the limited resources they have. Such an attitude is important because it dispels the common misunderstanding displayed by many incapacitated organizations. The thought that they would become capacitated if they had access to sufficient material resources, and experience has shown that by and large, those organizations which complain about their lack of resources which attribute their failure to those organizational features, lack the ability to counter these problems, whereas those organizations that accept the lack of resources and attempt to remedy them gain the ability to overcome or compensate for the constraints.

- **Voluntarism**

It is important to note that because of their perceived dedication and commitment, NGOs working on HIV/AIDS sector have been able to attract many un-paid volunteer workers. Despite the fact that many of these volunteers do not have financial means and are often unemployed and destitute, they have undertaken voluntary work with NGOs. While volunteers work in all spheres of NGOs, their presence is particularly visible and their impact is felt much more in the areas of patient care and combating stigmatization and discrimination in HIV/AIDS work in the country. Innovations such as group homes and community parenting of children orphaned by HIV/AIDS, which are largely undertaken by volunteers, are distinct features of the work of NGOs. Wide spread use of volunteers is one of the strength and success element of Ethiopian NGOs working in the areas of HIV/AIDS. That needs to be encouraged in the future.

- **Programs rooted in local culture and traditional institutions**

One of the most encouraging success elements of NGOs working on HIV/AIDS is their increasing propensity towards programs rooted in local culture and incorporation of traditional institutions. Most NGOs have begun to devise programs that use local traditional institutions such as Idirs, Equbs, extended families, and faith based organizations such as churches and mosques, for delivery of services. These institutions not only have tremendous reach but have legitimacy and acceptance among the population. For example, over half of the population of Ethiopia belongs to one or more Idirs. NGO's that operate in collaboration with these institutions have distinct advantages; communicating information, mobilizing participation, influencing behavior

and building up community capacity. Idirs have been particularly important in identification of their patients, provision of services to these patients and recruitment of volunteers. Similarly, the extended family system is invaluable in taking care of HIV/AIDS orphaned children and provision of home based care for AIDS patients. Most NGOs studied organize coffee ceremonies as a method of attracting the society specially the youth into their anti-HIV/AIDS clubs. Entertainment programs such as theatres, drama, and music which give lesson on HIV/AIDS are included in these programs. Most NGOs told that these programs were by large successful. Beneficiaries of the NGOs, i.e. people living with the virus, give lessons on these ceremonies about the severity of the virus, and about the usage of condoms so that the spread can be brought to an end.

Process and Instruments for NGO Capacity Building

Capacity can be developed in different ways and, in fact each dimension of capacity will require a different mix of both traditional, mainly training and the use of non-conventional instruments and processes in an integrated, coordinated and concentrated manner. Capacity building should be comprehensively approached to include acquisition and utilization, and should focus on the institutional, organizational and environmental or attitudinal dimensions. The processes and instruments for capacity building should include:

- **Training and other skills enhancement programs:** Training and other skills enhancement programs in the form of seminars, workshops are useful instruments for human and organizational capacity building. Such exercises could be formal or informal with stress on methods, sequences and performance criteria relevant for effectiveness in planning and implementation of development projects and programs. Skills enhancement should form part of the process of design, implementation and evaluation of a program or project cycle. In expanding the delivery capacity of NGOs, the involvement of communities becomes a critical factor. Involving communities to work out solutions does not come naturally and would require the training of NGO officials, both management and technical staff, to design the format and modalities for facilitating community action. This would entail how to get beneficiaries to take initiatives; to get themselves and the community to be involved in a committed way calls for facilitation skills. Development of facilitation skills as part of human resources development is necessary for development of attitudes, perceptions and procedures.
- **Experiential learning:** Experiential learning allows for a combination of knowledge and attitude development, as well as practical experience in carrying out activities on the ground. It allows for the acquisition and utilization of skills, change in behavior/attitude and application of knowledge on on-going activities. The usefulness of this process is that it could be programmed as an integral part of service or product delivery. The use of expert assistance to transfer knowledge and skills could be explored in the delivery arrangements.
- **Promoting and strengthening partnerships:** Among NGOs is a valuable instrument for enhancing all forms of capacity for advocacy and influencing operational management, monitoring and evaluation as well as for mass mobilization and collective action. The promotion of partnership as a capacity building process enhances dialogue and cooperation, which in turn enables

NGOs to respond collectively on issues at the macro level. Partnership should also be used as an instrument to foster coordination, avoid unnecessary duplication and expand operation.

- **Promoting the formation/strengthening of alliances among NGOs:** This process again can lead to the enhancement of capacity to take on issues at the macro level and also allows NGOs to close their ranks, thus enabling them to speak with one voice, bigger and better. The creation of networks in the form of umbrella and networking arrangements would enhance joint action, representation of common interest, provision of training and experiential learning opportunities. The value of networks should be viewed as a powerful tool and force through which individual and collective interests and views could be obtained; it enhances the participatory process. The task of change agent played by NGOs requires network, both information and assertion in strength building which can be an effective means for constructive engagement and partnership building.
- **Launching an effective communication and information dissemination program:** The launching of an effective communication and information dissemination program could be an appropriate response to improving NGOs' communication strategy skills. This is a valuable instrument for the sharing of experiences, expertise and information networking, keeping in touch with each other, and obtaining information to monitor developments taking place in the local and international community. The main emphasis of such an instrument should include its usefulness in enhancing the following capacities: advocacy and influencing, mass mobilization and collective action and for providing outreach. Such a program could embrace audio and visual format and includes the use of newsletters, newspaper publications, radio talk shows, theatre and drama, video recordings all aimed at enhancing advocacy.

NGO impact in national policies

For NGOs, advocacy is the core of their mission. NGOs throughout the country have to live up to the challenges of change and transformation reaping through the nation. The goals of development are now broader than ever, cross-cutting national, regional, and international boundaries, so also is participation in the process, be it shaping policy, implementation of programs or projects and benefits; these must also be enlarged to include the people. These all call for ways to catalyze, empower, and strengthen NGOs. It entails the development of vision and a commitment to monitor the usefulness of policies, programs and government institutional machinery.

In all of these, capacity for advocacy is critical if NGOs are to address adequately and legitimately, issues of interest to society at large. If advocacy is to become an important and legitimate strategy, it would require skills and abilities to:

- Carry our research to document, analyze and interpret political and socio-economic developments;
- Promote peoples' power in development including group formation;
- Search for answers/alternatives, initiate change and generate active participation, and define collective goals;

- Encourage informed participation of all people in the community in developments in the political, social and economic spheres;
- Inculcate new values and behavior that promotes a high sense of community responsibility and ownership of their destiny.

Planning for effective lobbying and advocacy activities

In the following, we offer some guidelines on how NGOs can operationalize this new vision of influencing and shaping policies through lobbying and advocacy. The recommendation presented here under is based on their experience gained from many years of advocacy work of NGOs in other countries.

Recruit appropriate staffing There is a tendency towards insularity within the NGO sector, to talk only with those who ‘speak the same language’, but influencing policies and practices clearly necessitates forging new working relationships – for example with government and other officials at both national and local levels. This requires changes in the NGO’s own staffing. For example, staff involved in advocacy should not be closely identified with any anti-government factions and should appear politically mature. Those who are well connected to senior decision makers or who command broad public respect are important allies.

Build broader coalitions The NGO, if it has an open mind, may also find that the issues are not quite as clear cut as they seem on the surface, and that it has a lot to learn from others who know the issue or the country well. These factors indicate the need for NGOs to build much broader coalitions than they are accustomed to, working closely, for example, with the academic community, with the business sector, with politicians, trade unionists, religious leaders and others who have access to the ears that need ‘bending process’ requires.

Choose the issue carefully The campaign focuses must genuinely be relevant to the poor, it must be supported by Southern partners, it must arise from the direct experience of the NGO, and it must be a subject on which the NGO is generally viewed as an authority. There must be clear policy objectives, which are conceivably winnable, and this may mean, pragmatically, the setting of intermediate goals. For Northern NGOs there should be some evident connection between their own countries and the issue.

Construct the expert case For NGOs to maximize their impact in the mainstream development debate the first step must be a disentangling of experience from a personal political conviction. An NGO case based on a faithful account of its own experience is a powerful one, but when experience is biased towards support of previously held positions this is transparently so to those the NGOs seek to influence.

Therefore, it is essential that NGOs use the analysis of known authorities on the subject, recruit convincing allies to the cause (for example involve respected academics in meetings with officials), ensure that all analysis and statements are scrupulously accurate, and ensure that prescriptions proffered are realistic and workable. Often, NGO authors will spend months researching and writing a report, but will throw together some recommendations with relatively little thought; most readers will give much more attention to the recommendations than to the analysis.

Balance opposing forces Avoiding dialogue because this risks compromising one's position is unrealistic and immature. Social change is about compromise because it is about balancing opposing forces – typically the tension pulling towards reform versus the resistance of the status quo. A pressure group which achieves a significant reform may be well satisfied with the progress – and say so publicly – even if only 20 per cent of its demands have been met. This does not imply that the group has dropped or lost faith in the remaining 80 per cent, rather that it considers it politic to consolidate the initial gains.

Increase policy leverage Strategic NGOs need to convince others on the development stage of the validity of their new influencing role. They must seek to be consulted on policy issues and be prepared, for example, to serve on government commissions. This process can have major ramifications for NGO leaders. In some countries, they have been persuaded to leave the NGO sector and to move into government. This should not be seen as a 'selling-out' but as building a more effective platform on which to make the NGO case.

Generate public support No matter how well-argued the case, decision-makers may not be persuaded to change the policy in question because they are preoccupied with matters they perceive as higher up the political agenda. Hence the second prong of an effective advocacy strategy is often essential; mobilization of public support. For this, a 'human-interest' angle is necessary for attracting media attention, support from TV celebrities and other communications specialists should be sought, and a comprehensive communications strategy should be carefully planned. For public campaigning, it is important to decide carefully the tone to be adopted, appropriate 'pegs' must be selected (such as demonstrations alongside official meetings, or specially planned events). Actions that supporters are asked to take must be carefully selected, realistic, and adequately resourced, including systems of 'rewards' so that the supporters feel valued and valuable.

1. CHAPTER ONE – INTRODUCTION AND BACKGROUND

1.1 Introduction

Ethiopia is among the countries with the highest HIV/AIDS incidence and prevalence.¹ Globally, Ethiopia has the 16th highest HIV/AIDS prevalence and ranks third for the number of people living with the virus. One out of every 11 people in Ethiopia lives with the virus². The primary causes of transmission are heterosexual intercourse, mother to child transmission and harmful traditional practices.

Ethiopia has developed important policy and strategic instruments in response to the enormous challenges posed by the epidemic on its socio-economic and political development. The Government has issued a policy on HIV/AIDS in 1998 advocating a multi-sectoral approach in response to the epidemic. In addition, the Government has developed a five year Strategic Framework and a three year EMSAP to implement the policy in 2001. The EMSAP is financed through the World Bank Loan and Government contribution. The Global Fund has allocated additional resources to support the national initiative. UN and bilateral donors and international NGOs are also providing funds to the multi-sectoral response. The national response is designed for implementation by a wide variety of public institutions, private organizations and NGOs, both national and international, civil society organizations and community based organizations.

The vital importance of a well-designed and jointly owned partnership was recognized and led to the formulation of the NPF by the national HAPCO and its partners in 2004. The NPF is a coalition of stakeholders working in partnership to effectively implement the National Response Program.

The forum has brought together various partners, including:

- The Donor's Forum (to date is composed of 27 bilateral and multilateral HIV/AIDS organizations)
- The NGO's Forum
- The Network of People Living with HIV/AIDS
- Faith Based Organizations (4 major religions are represented individually)
- Business coalition
- Employer Coalition
- Youth representatives
- The media Forum

The NGOs' Forum comprises of around 100 NGOs working on HIV/AIDS and is chaired by CRDA and Action Aid Ethiopia. CRDA is an umbrella organization for over 250 national and international organizations in the country. These agencies are involved in HIV/AIDS, development, relief and rehabilitation activities; and work closely with local government bodies and communities.

¹ CIA World Fact book, 2006

² National AIDS Council, 2001

One of the major objectives of the NGOs Forum is to enhance the capacity and effectiveness of the NGO community in combating the HIV/AIDS epidemic, both programmatically and in public advocacy. The Forum also aims to facilitate information exchange among NGOs to enhance synergy between their interventions and enhance impact. It also facilitates the coordination of activities and promotes linkages and partnerships among them. One of the main tasks is to identify and disseminate best practices of NGOs engaged in the area of HIV/AIDS. With a view of scaling-up the national NGO HIV/AIDS response, CRDA in collaboration with its members and within the context of the Forum objectives, seeks to build the capacity of NGOs engaged in prevention, care and control of HIV/AIDS.

Toward this objective, CRDA has collaborated with UNAIDS and has signed an agreement for financial sponsorship from UNAIDS to conduct the assessment. CRDA has sub-contracted the capacity assessment exercise to the CDC to carry out capacity assessment study of NGOs.

As per the assignment, CDC has carried out a study on the programmatic, organizational and advocacy capacity of 63 purposefully selected sample NGOs in 6 regions of the country. The data was collected by teams using structured questionnaires, focus group discussions, in-depth interviews and discussions with all state holders including NGO staff and leaders, PLWHA, pertinent government authorities and representatives of the NGO and medical community.

The study results are presented in this report. This study has compiled and analyzed data collected on the capacity of local NGOs engaged in HIV/AIDS prevention, control and treatment. The report has six parts, which includes; introduction and background, methodology, description of capacity of NGOs engaged in prevention and control of HIV/AIDS, and overall analysis of capacity of the local NGOs studied. This is followed by a presentation of strength and success elements of these NGOs and a brief discussion of how NGOs capacity is constrained by the legal and institutional framework of the operation environment and the broader national, social and political context. The final part presents concluding remarks and suggests ways by which the forum can promote and facilitate capacity building of NGOs engaged in HIV/AIDS work.

1. 2 Background

Ethiopia has a rich tradition of associational life. Voluntary associations (often called community-based organizations) have been encouraging community solidarity and addressing members' needs for help. Edir (community associations for burials), Equb (community savings and credit associations), and Debo (voluntary community labor groups) are some of the many traditional community-based associations in Ethiopia. These groups have managed to survive the many political, social and economic changes of the past decades. Particularly in rural areas, they still remain credible institutions to which people turn in times of needs, hardship and affliction. They were also breeding grounds for the country's modern NGOs.

According to some reports, as of 2003, there are some 500 relief and development-oriented NGOs registered with the Ministry of Justice. An additional 100 or so may be operating unregistered. Taking Ethiopia's population of 60 million-plus in consideration

and compared to other African countries such as Kenya, South Africa and Senegal, the number of Ethiopian NGOs is relatively small. The majority of NGOs were formed after 1991 and hence are relatively new and inexperienced. Roughly 70% to 80% are urban-based, some 90% of their activities are carried out in the five largest regions in the country: Oromia, Amhara, Southern People's Nations and Nationalities, Tigray and Addis Ababa. Administrative regions along the borders with Sudan and Somalia are particularly under-served and in need of help from the NGO community³.

Estimates from the United Nations Development Program (UNDP) and Disaster Preparedness Prevention and Control (DPPC) (a government NGO regulation agency) indicate that roughly 5% of external assistance is being brought into the country via NGOs. CRDA, the major national association of NGOs, as well as the Ministry of Foreign Affairs, estimate the real figure is closer to 25%. In either case, it is clear that NGOs in Ethiopia generate significant foreign support here, perhaps close to \$ 150 million per annum. With little or no government help, and few domestic donors and/or other assistance locally available, most NGOs must seek most of their funding abroad. This makes the projects of most NGOs dependent on external funds and unsustainable.

1.3 NGOs Engaged in HIV/AIDS Work

Ethiopian NGOs have been active in the response to HIV from the beginning of the epidemic. Their role has been critical in catalyzing regional and national action and mobilizing funding from bilateral and multilateral sources. While the NGO forum has about 100 members, it is estimated that nearly twice NGOs are involved in combating the epidemic.

In Ethiopia, belated commencement of anti-HIV/AIDS initiatives, with respect to the global response has been noted, contributing to the high HIV/AIDS prevalence in the country. The earliest evidence of HIV infection was noted in 1984, and the first AIDS cases were reported in 1986.⁴ With respect to recordings made, there was a rapid increase in the prevalence of HIV/AIDS amongst the adult population in the 1990s. It was estimated that PLWHA rose from 3.2% in 1993 to 7.3% by the end of 1999.⁵ Substantial work has been done around the country by NGOs in an attempt to combat the epidemic. A lot of funding has been received which has contributed to prevention, care and support as well as ART provision. NGOs have significantly participated in both the EMSAP and the Global Fund Program utilizing nearly one third of the funding. In the areas of advocacy and treatment, Ethiopian NGOs lag behind significantly in comparison to other African countries. Some activities are being initiated by NGOs, organizations and networks, working in the areas of advocacy and lobbying.

The activities of local NGOs working in Ethiopia focus on the NSF's priority intervention areas⁶ when dealing with HIV/AIDS related activities, including: the care and support of PLWHA, the youth, women, commercial sex workers, refugees, orphans and vulnerable children. Other activities include the care and control of Sexually Transmitted Infections (STIs) and Prevention of Mother To Child Transmission (PMTCT), Information Education Communication/ Behavior Changing Communication (IEC/BCC), VCT and advocacy on

³ Ministry of capacity building, 2005

⁴ The Kaiser Family Foundation, 2005

⁵ Ministry of Health, 2000

⁶ UNAIDS/WHO, 2006

the rights of vulnerable members of the society. In addition to the extensive work on HIV/AIDS, development projects designed to alleviate poverty and develop urban and rural infrastructures are being undertaken among people living with the virus.

In Ethiopia, like in most countries of the world, communities have emerged with shared concerns to prevent the spread of the virus, to care for those affected by HIV/AIDS and to advocate for health and human rights. Community-level action initiated by persons infected or affected by HIV has played a major role in the national response to the epidemic. Impressive community coping mechanisms in the country responding to HIV/AIDS, poverty, famine and natural and man-made disasters, through the use of traditional and grassroots organizations such as Edirs, have been noted. Local NGOs reinforcing existing community initiatives and nurturing new ones as they establish themselves, have rapidly emerged contributing directly to effective national response.

The major barrier to the undertaking of HIV/AIDS programs in the country is stigma and discrimination. Local NGOs in Ethiopia have tried to address this through advocacy work. Extensive public awareness creation is being done by NGOs which covers effective prevention, care and support of those that have been affected and infected along with non-discrimination.

Projects aimed at susceptibility reduction of at-risk groups such as the youth, women and Orphans and Vulnerable Children (OVCs) have been initiated. The goal of such programs is to combine clear and accurate information on reproductive health, Sexually Transmitted Diseases (STDs), and HIV/AIDS with participatory activities to equip and empower them with skills, motivation and support to sustain existing safe behavior while changing unsafe behavior. The value of a large-scale peer education system for the different sectors of the society has been noted and widely employed.

There is a whole generation of orphaned children growing up without parental guidance in the country. These vulnerable groups are at increased risk of acquiring the virus themselves. Strategies aimed at curbing the rapidly rising number of orphans include prevention of new infections in adults, prevention of mother to child transmission of HIV/AIDS and initiation of Anti-Retroviral Therapy (ART). The care and support of these groups together with economic empowering strategies, aim at reducing their risks of acquiring the virus.

Institutional settings identified by the NGOs which provide opportunities for collective action to strengthen HIV/AIDS prevention and care efforts include schools, health care facilities, and the workplace. But the most important channels of communication, targeted by many local NGOs to carry out advocacy on the rights of people infected and affected by the virus together with care and support, are religious institutions. These establishments have gained the trust of thousands of people as they have provided moral leadership. In Africa, religious leaders confronted HIV/AIDS early on in the epidemic, and religious institutions were among the first to care for the sick and dying.

In a country whose economy is mostly dependent on agriculture for employment as well as export, NGOs targeting the rural community with integrated development and HIV/AIDS programs are emerging. These programs promote technologies that make optimal use of available resources, research systems developing technologies that can improve productivity given the labor and capital constraints, improving the incomes of affected households through income generating activities, and better targeting of support

to households that are highly vulnerable. These measures aim to strengthen the capacity of rural households to cope with HIV/AIDS by improving their access to limited resources.

In the following chapters, we will present an assessment of the capacity of national NGOs in implementing HIV/AIDS related programs and development activities. The chapters also aim to identify gaps in the capacity of NGOs and suggest ways by which the Forum can promote and organize capacity building programs for the NGOs.

2. CHAPTER TWO – METHODOLOGY

2.1 Methods

The capacity assessment was conducted with the full participation and active involvement of all stakeholders. The participatory approach used in this assignment will not only enrich the assessment and analysis of Forum member NGOs but will also enhance the sense of ownership of the stakeholders and strengthen the planning and implementation of capacity building initiatives of the NGO community.

In order to undertake the capacity assessment process, local NGOs working in different regions of the country were analyzed. The sample was selected from the regions most affected by HIV/AIDS which included Addis Ababa, Nazareth and Jimma from the Oromia region, Mekelle from the Tigray region, Bahir Dar from the Amhara region, Awassa from the SNNPR, and Gambella.⁷ A Prevalence rate was selected because it provides a good predictor of AIDS related activities of NGOs. Other variables such as geographic distributions, regional variations, levels of socio-economic development, extent of commercial sex activities, etc., were also used to select study locations.

A list of NGOs working in the prevention, control and treatment of HIV/AIDS in the various regions of the country was obtained from DPPC. The sample of Addis Ababa was randomly selected from the list, whilst the sample for the regions mostly included all available NGOs due to the limited number of existent NGOs working on HIV/AIDS.

2.2 Research Questions

The capacity assessment focused on both organizational and programmatic elements. In order to carry out the assessment, key capacity assessment elements were utilized. These include:

Governance

- Board
- Constituency
- Leadership
- Mission and Goals

Management practice

- Organizational structure
- Administrative procedures
- Human Resource management
- Work organization
- Financial management and control
- Planning and budgeting
- Information System and reporting

⁷ The prevalence rate information was obtained from the national Ministry of Health publication that tracks HIV/AIDS conditions in the country. Ministry of Health, AIDS in Ethiopia, Fourth Edition October 2002, Addis Ababa, Ethiopia

Service delivery

- Sectoral expertise
- Program design and formulation
- Program implementation capacity
- Skill mix of staff
- Monitoring and evaluation
- Constituency participation

External relations

- Constituency relations
- Inter-NGO collaboration
- Government partnership
- Donor collaboration
- Local resource mobilization
- Medial and public relations

2.3 Data Collection

Literature review

A survey of sources available in the contemporary research knowledge systems was carried out. The key object was to inform the review and the study of the current and up-to-date knowledge about the role and function of NGOs in combating HIV/AIDS. A thorough literature review will save time and resources and will help frame the right questions in conducting the assignment.

Document review

A comprehensive review of existing documents was carried out and information pertinent to answering the questions posed above was collected. This data mainly comes from existing records and other qualitative and quantitative sources of information. Some of this information can be generated from official reports. The sources include NGOs, government agencies, statistics offices, private organizations, research institutes, international organizations, etc. Various content and trend analysis techniques were used to extract the relevant data from the documents.

Sample survey instruments

Sample survey instruments include personal interviews, administered through structured questionnaires. Depending on the theme studied, different questionnaires have been addressed to different individual organizations and government institutions related to the issues. Sample survey generated data was supplemented by the information collected through secondary techniques. Obtaining opinions about the current state and future prospects of NGOs in the HIV/AIDS area helps answer some of the assessment and evaluation needs to be carried out. Seventy-five surveys were conducted with NGOs working in the area of HIV/AIDS.

Key informant interviews

Key informant interviews were held with certain knowledgeable personalities from various walks of life. This include government officials, community leaders, officials of government agencies private sector operators, academics and others considered having particular insight to the issues pertinent to NGOs and HIV/AIDS. Key informant interviews provide a qualitative complement to the sample survey questionnaires.

Focus group discussions

Focus group discussions were held with relevant government officials, community leaders, NGO staff, service users, PLWHAs and other pertinent stakeholders. The objective was to get the broadest possible opinions, crosschecking and verifying the findings with those directly involved with the NGO's services. Focus groups discussions differ from key informant interviews as they afford more debate and follow-up and are conducted in-group settings.

2.4 Data Analysis

The information collected through review of documents, personal interviews and group discussions were analyzed quantitatively. Data collected through structured questionnaires was edited, coded and analyzed using statistical software. Data obtained from secondary sources was analyzed using context analysis techniques.

In addition to the specific information on the capacity of NGOs, the general context of the problem of operational environment is incorporated in the assessment report. The assembly of the related data, in conjunction with the aggregate operational environment, and the national context provide the necessary perspective to analyze the scope, dimensions and characteristics of the problems and recommend appropriate capacity building program approaches and strategies. A treatment of these issues will inevitably involve, not only the study of micro level NGO work, but also a deeper understanding of the aggregate structure of the NGO operation and the economic, cultural and political landscape in which it functions.

A mapping exercise was also undertaken in order to identify existing NGO programs related to HIV/AIDS and development activities. This matrix, which has a record of the NGOs' services and establishments by activities, size and budget, helps to collect basic information quickly and inexpensively.

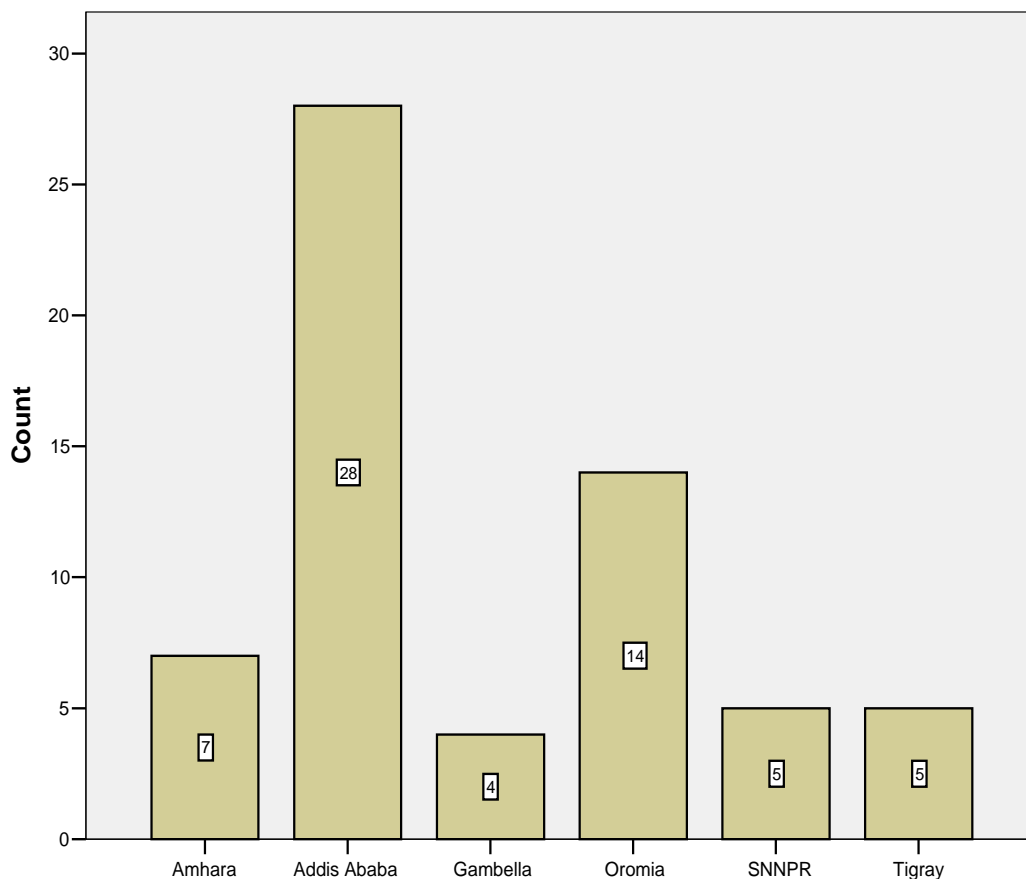
Finally, capacity building suggestions are developed which focus on facilitating service delivery in the most efficient and optimal manner while equipping NGOs with usable and practical set-ups that would enhance their performance. The emphasis was on innovative specialized modules that are cost-effective, user-friendly, transparent and accountable.

3. CHAPTER THREE – FINDINGS

3.1 Regional and Spatial Distribution of NGOs

In the assessment of the capacity of NGOs, a total of 63 national NGOs were selected across a number of regions in Ethiopia. Of these selected NGOs, 28 are from Addis Ababa, 14 are from Oromia, 7 are from Amhara, 5 are from Tigray, 5 are from SNNPRS and 4 are from Gambella. The graph below illustrates the spatial distribution of the NGOs that were included in the study. As a result of the vast number of NGOs present in Addis Ababa, only a random sample was selected to represent Addis Ababa, however, the regional representation included all NGOs available.

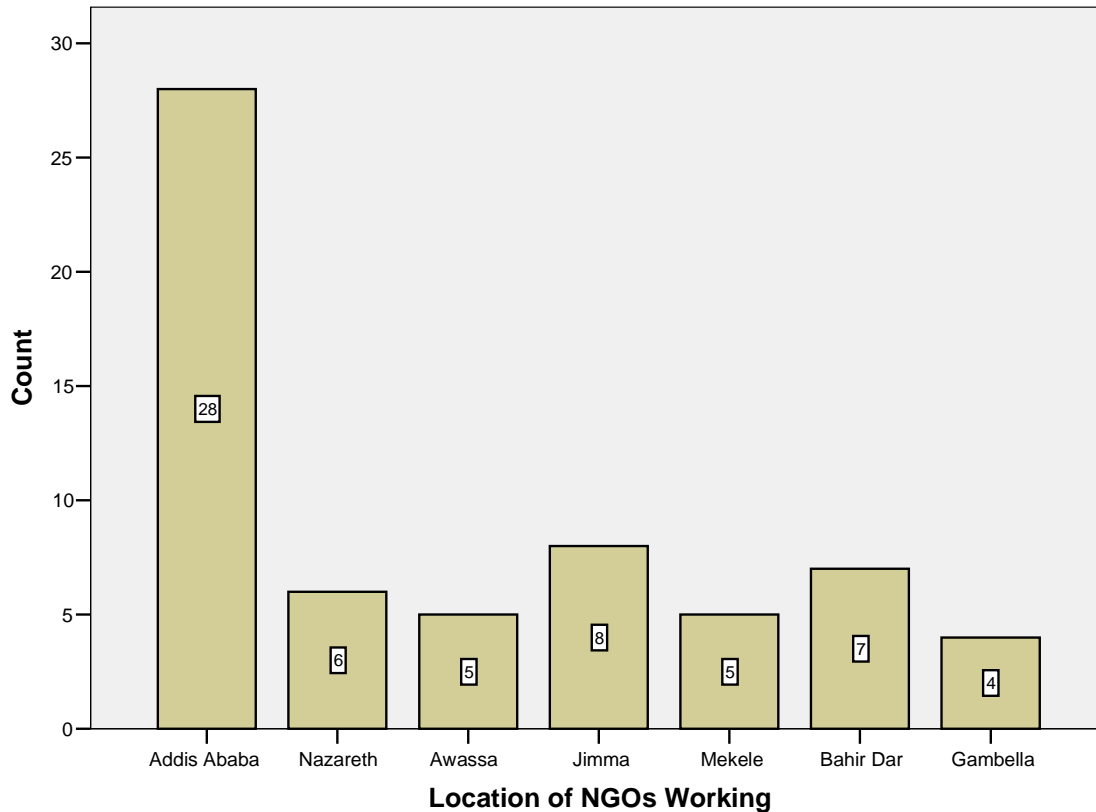
NGOs by Region



From the information in the graph, it is evident that there exists great disparity in the regional distribution of NGO operation. After Addis Ababa, the Oromia region possesses the next highest number of NGOs with 14 out of the total 63 NGOs studied (22.2%). Followed by Amhara with 7 (11.1%), Tigray and SNNPR with 5 (7.9%), Gambella with 4 NGOs working in HIV/AIDS activities (6.3%). Gambella was the region with the lowest level of NGO working in HIV/AIDS activities. Data obtained from other sources confirms the sample finding. The remote and relatively underdeveloped regions of Afar, Somalia

and Benishangul have much fewer NGOs operating than Central regions such as Addis Ababa and Oromia.⁸

NGOs Location/ Urban Vs Rural



The spatial differentiation between urban centers regarding the location of participating NGOs demonstrates that Addis Ababa is the largest city serviced (44.44), while Gambella is the lowest with 6.35%. Addis Ababa is in itself, not a region hence its matching percentage by region. However, the Gambella region and city percentage match, indicating only one town is represented. If we link the above percentages to their region, we note that Nazareth, Awassa and Jimma consist of 30.16% which is greater than the Oromia regional percentage; thus, selected NGOs in Oromia were concentrated in urban centers greater than other regions. Moreover, while Mekelle represents Tigray with 7.94% and Bahir Dar represents Amhara with 11.11, we note that each region was represented by only one city. The data clearly indicates that NGO programs are concentrated in cities and towns leaving rural communities underserved.

Types of NGOs

The review and assessment carried out in preparing this report revealed a wide variation in what a “Non Governmental Organization” or “NGO” means. This in itself could result in confusion and a considerable amount of misunderstanding. For some, the term

⁸ The Civil Society Capacity Building program, MOCB,2005

“NGO” embraces a huge diversity of institutions operating in civil society who possess a variety of social, political, civil, sporting, religious, business, cultural and recreational purposes. To others, they are voluntary in nature and operate independently out of state control for non-profit and non self-serving in aims and related issues. For the purpose of this publication, the term NGO is taken to mean non-profit, non-statutory intermediary organizations with a legal identity and plays distinctive roles in addressing the development concerns and issues through funding, technical advice, advocacy, and as implementing agents.

The following are the three types of NGOs that are assessed in this study:

- The first are Membership Organizations (MOs), which are set up by and meant to benefit the members themselves and are controlled by them. Good examples of such organization in Ethiopia are the Edirs (assistance groups for burials) and PLWHA associations.
- The second type of NGO is the intermediary service organization. They often function through the support of foreign donors. They are extensively involved in implementing projects in the field for benefits of communities that are considered impoverished and disadvantaged. As a rule, they are third party serving organizations and are legally banned from benefiting their members.
- The third type of NGOs focus on networking. Networking NGOs provide service to others and to stakeholders by lobbying for and advocating greater services to people affected by different types of man-made or natural problems affecting their livelihood. They are usually organized as networks of sectoral service providers such as HIV/AIDS, education, environment, etc.

It is difficult to designate the exact type of each NGO assessed through this study since there are mixes of all three types. However, of the 63 NGOs studied, the majority are those of the type of Intermediary Service Organizations. These are those who provide different social and development services to communities financed mainly by donors. For the objective of implementing aggressive and comprehensive HIV/AIDS plans and programs, Intermediary Service Organizations or NGOs are priority because they have already acquired experience in the provision of services. Therefore, the NGOs covered in this study are generally of the intermediary service organizations.

Legal Status and Working Modality

All the 63 studied NGOs are legally registered and licensed by the NGO Registration Bureau of the Federal Ministry of Justice. NGOs that drive any funding from external sources or operate projects and programs in two or more regions are required to register and obtain licenses from the NGO Registration Bureau of the Ministry of Justice. NGOs working in single regions need only obtain license from the regional Bureau of justices. All sixty three NGOs studied in this assignment work in more than one region.

Once NGOs complete their registration process, they are directed to the Disaster Preparedness and Prevention Commission (DPPC) for appraisal of their project/program proposals. DPPC assesses whether the program/project proposals are in-line with the

national development plans or not. It is required to give feedback on issues related to the economic benefit of the project, its cost effectiveness, capital *vis-à-vis* recurrent budget allocation, participation of intended beneficiaries and environmental impact of the proposal programs/ projects.

Following DPPC approval, NGOs are directed to pertinent line Ministries, which technically supervises and periodically monitors the NGO activities. The line ministry monitors whether action plans are followed or not, people's participation is being practiced or not and financial resources are being utilized in accordance with initial budget or not. The line Ministry, in collaboration with the implementing NGO, must conduct mid-term and end-term evaluations of projects and review audited reports of the project at the end of every budget year.

Length of Service

Information has been collected concerning the length of time the assessed NGOs have been in service. Of the 63 NGOs, 58 of them have provided the length of time they have been in service. The following table provides a summarized view of the length of time the NGOs have been in service; the time has been grouped into four levels as shown hereunder.

No. of years of Service	No. of NGOs	%
Between 1 and 5	8	12.69
Between 5 and 10	20	31.75
More than 10	30	47.62
Not available	5	7.94

It is to be noted here that only 12.69% of the NGOs are those established in the last five years. However, 47.62% of the NGOs have been in service for more than 10 years. Discussions with key informants and focus group participants indicate that the longer the length of service of the NGO the more capacity they have. Such NGOs have matured over time and have developed their overall project implementation strategy to greater levels of maturity. They possess greater in-depth knowledge of local realities and are able to provide better service to beneficiaries. Those NGOs that have been in service from 5 to 10 years are 31.75% of the 58. They are building the capacity of their institutions to provide greater impact and contribute to sustaining stakeholders' livelihoods. Though they lack the capacity of those NGOs that have been active for more than ten years, they bring an infusion of fresh ideas, methods, and approaches that will germinate into maturity, thereby, providing intended results of their organizational objectives. These figures clearly show the disparity of experience between NGOs. However, it is encouraging to know that the majority of NGOs possess longevity of experience which is imperative in providing effective and efficient performance services to the national HIV/AIDS plans and programs. Continuing is essential in HIV/AIDS related intervention as the epidemic can only be fought over a longer period of time.

3.2 Organizational structure

Almost all the organizations have indicated that they have a board. Most NGOs are managed by a chief executive officer who is appointed and supervised by the board. The executive officer is supported by technical and support staff. Since many NGOs have shortage of staff they do not have departmentalized structures, wherein similar activities are grouped into departments, divisions or sections. This is understandable because most of them are small, with the total number of staff being, in the majority of cases, less than 20 permanent staff. The majority of NGOs have job descriptions for the positions identified to carry out the activities of their respective organizations.

Often overall project or program impact is directly stunted by ineffective management or boards. Data obtained from the survey questionnaires generally provides a good assessment of boards, while FGDs are skeptical about the efficiency of boards. FGDs indicate that boards are weak and ineffective, lacking sufficiently strong and involved leadership. The ultimate recipient of any project or program are its stakeholders and any initiative plagued by poorly managed or weak boards ultimately reduces the beneficial impact upon the impoverished and marginalized. Impotence from the top level filtrates downwards throughout the entire NGO. Boards are often impotent and weak due to the fact that accountability is only rigorous with donors; in most cases the source of funding. It was noted that very often, boards are not viewed with importance and are given little respect. In response to questions regarding organizational structure, nearly all respondents said that their organization has good structures in which the responsibilities are clearly defined, operation plans correspond to the NGO goals and the objectives are understood by the staff.

Operational performance

Regarding performance of their organizations, most respondents replied that financial management is fairly good, accounting procedures are adequate and budgets are appropriately used. The following percentages indicate the operational performance noted in all the NGOs considered in the study.

Adequate Accounting procedures	65%
Finance managed properly	81%
Appropriate use of Budget	71%

In terms of program of work, respondents reported that their NGOs have clear program objectives (87%), objectives correspond to National HIV/AIDS plans and realistic and affordable project plans are developed. However, when asked about the communities understanding and involvement in the projects, only 28% said that the targeted beneficiaries understand the objectives of projects and programs implemented in their communities. Below some of the responses obtained have been summarized:

The main goals of the NGO are being achieved

Responses		Frequency	%	Valid %	Cumulative %
Valid	Very Good	30	47.6	49.2	49.2
	Good	24	38.1	39.3	88.5
	Satisfactory	7	11.1	11.5	100.0
	Total	61	96.8	100.0	
Missing	System	2	3.2		
	Total	63	100.0		

Staff meetings are effective

Responses		Frequency	%	Valid %	Cumulative %
Valid	Very Good	32	50.8	50.8	50.8
	Good	26	41.3	41.3	92.1
	Satisfactory	5	7.9	7.9	100.0
	Total	63	100.0	100.0	

Projects are well planned

Responses		Frequency	%	Valid %	Cumulative %
Valid	Very Good	33	52.4	52.4	52.4
	Good	26	41.3	41.3	93.7
	Satisfactory	4	6.3	6.3	100.0
	Total	63	100.0	100.0	

Senior management staff are involved in discussions and planning projects

Responses		Frequency	%	Valid %	Cumulative %
Valid	Very Good	39	61.9	62.9	62.9
	Good	19	30.2	30.6	93.5
	Satisfactory	3	4.8	4.8	98.4
	Poor	1	1.6	1.6	100.0
	Total	62	98.4	100.0	
Missing	System	1	1.6		
	Total	63	100.0		

The rest of the staff is involved in discussions and planning projects

Responses		Frequency	%	Valid %	Cumulative %
Valid	Very Good	26	41.3	41.3	41.3
	Good	26	41.3	41.3	82.5
	Satisfactory	9	14.3	14.3	96.8
	Poor	2	3.2	3.2	100.0
	Total	63	100.0	100.0	

The local community is involved in discussions and planning projects

Responses		Frequency	%	Valid %	Cumulative %
Valid	Very Good	24	38.1	38.1	38.1
	Good	18	28.6	28.6	66.7
	Satisfactory	12	19.0	19.0	85.7
	Poor	9	14.3	14.3	100.0
	Total	63	100.0	100.0	

Teamwork is encouraged

Responses		Frequency	%	Valid %	Cumulative %
Valid	Very Good	43	68.3	69.4	69.4
	Good	17	27.0	27.4	96.8
	Satisfactory	2	3.2	3.2	100.0
	Total	62	98.4	100.0	
Missing	System	1	1.6		
	Total	63	100.0		

Information is shared freely among all staff members

Responses		Frequency	%	Valid %	Cumulative %
Valid	Very Good	36	57.1	57.1	57.1
	Good	22	34.9	34.9	92.1
	Satisfactory	5	7.9	7.9	100.0
	Total	63	100.0	100.0	

Throughout the different tasks of both boards and management, we can clearly see that the majority of NGOs are effectively conducting activities towards intended objectives, providing sound leadership and human resource management, encouraging staff to greater motivation, are effectively communicating throughout both the institution and the community. These findings indicate that boards could improve their focus on addressing the needs of communities, that financial judgment, while good, could also be improved. Management of NGOs is, in general, excellent. Throughout the majority of NGOs, staff feel that their respective institution is managed extremely well. Others note room for improvement while a minority indicates their dissatisfaction.

3.3 Human Resources

The human resource structure looks into the total number of permanent staff and qualifications of staff. As we have seen above in the tables demonstrating the differentiation in size of the selected NGOs, some NGOs have vast human resources while others have very few. Details found on human resources are demonstrated below.

There is efficient human resource development and training

Responses		Frequency	%	Valid %	Cumulative %
Valid	Very Good	10	15.9	15.9	15.9
	Good	24	38.1	38.1	54.0
	Satisfactory	18	28.6	28.6	82.5
	Poor	11	17.5	17.5	100.0
	Total	63	100.0	100.0	

There is no gender discrimination in training opportunities

Responses		Frequency	%	Valid %	Cumulative %
Valid	Very Good	47	74.6	74.6	74.6
	Good	11	17.5	17.5	92.1
	Satisfactory	5	7.9	7.9	100.0
	Total	63	100.0	100.0	

The methods used by the NGO to recruit personnel are effective

Responses		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Good	38	60.3	61.3	61.3
	Good	18	28.6	29.0	90.3
	Satisfactory	5	7.9	8.1	98.4
	Poor	1	1.6	1.6	100.0
	Total	62	98.4	100.0	
Missing	System	1	1.6		
Total		63	100.0		

Many of the employees stay with the NGO for a significant amount of time

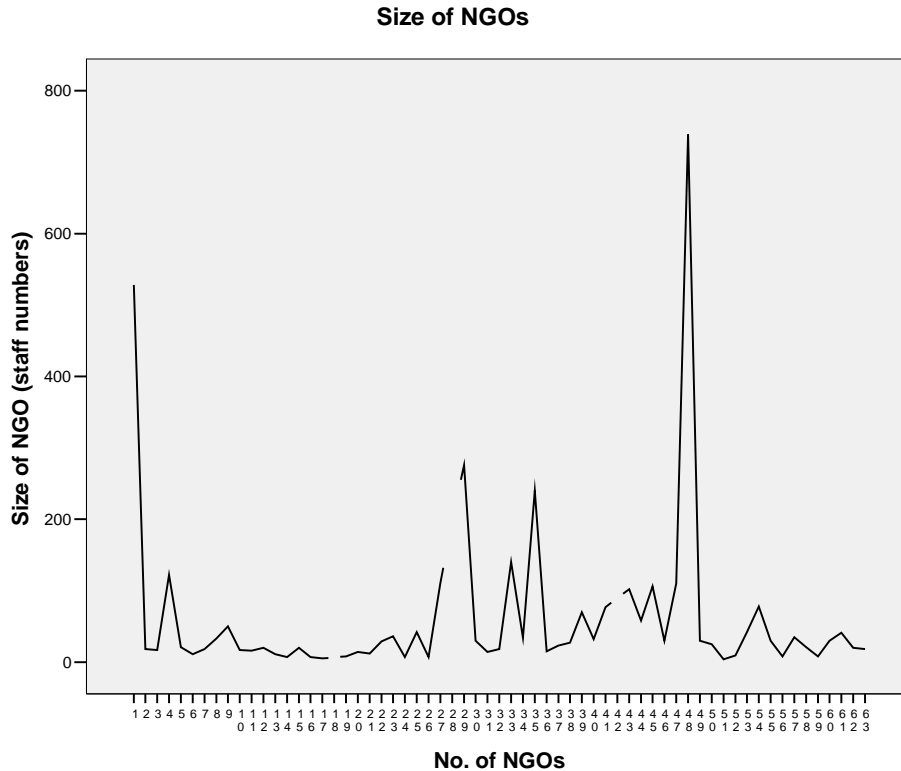
Responses		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Good	21	33.3	34.4	34.4
	Good	26	41.3	42.6	77.0
	Satisfactory	9	14.3	14.8	91.8
	Poor	5	7.9	8.2	100.0
	Total	61	96.8	100.0	
Missing	System	2	3.2		
Total		63	100.0		

In terms of human resource development and training, only 15% said that the system is effective or efficient. This percentage is very small; thus, human resource development may be a matter of concern which could be addressed during capacity building activities.

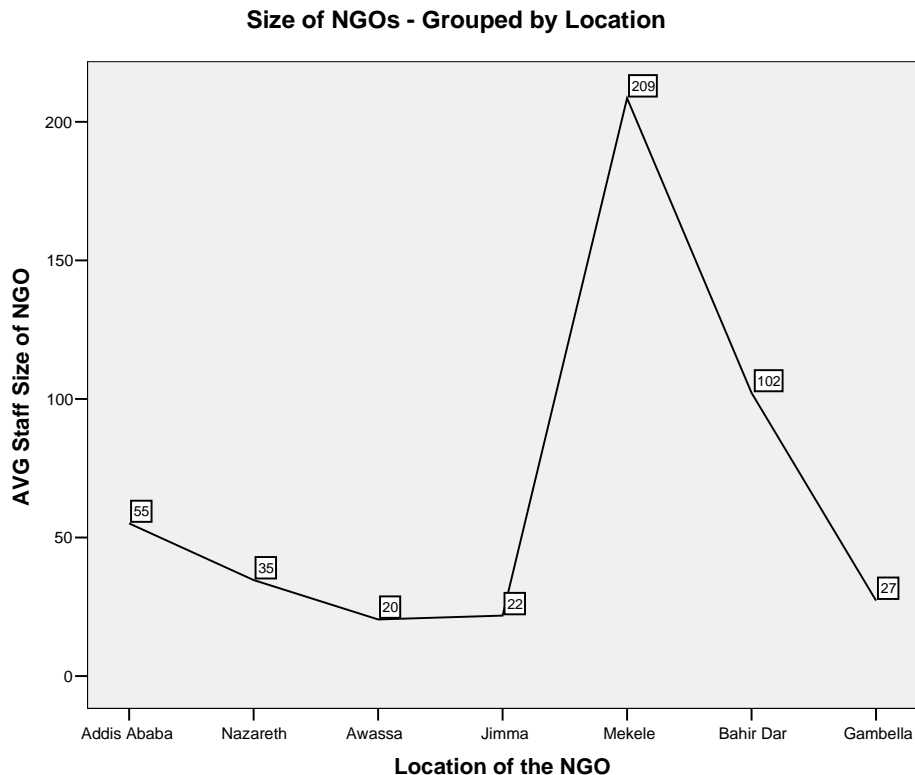
The table below only represents 55 out of the total 63 NGOs that responded to the question regarding the number of permanent staff that work in the NGO.

Number of permanent staff	%
NGOs with less than 10 permanent staff	11.11
NGOs with less than 10 and 25 permanent staff	38.10
NGOs between 25 and 50 permanent staff	25.40
NGOs with more than 50 permanent staff	20.63

The graph below clearly defines the size of each of the 63 NGOs. The vast majority of NGOs hired less than 25 people, and some a mere few. A few larger NGOs had between 50 and 100 staff. Only a few NGOs had more than 200 hundred staff members. One NGO had more than 500 staff while the largest had a little over 800 staff.



The graph below indicates the human resource capacity of NGOs according to region calculated by averages. Though these figures represent the average NGO size, we noted that Oromia possesses the smallest NGOs in Jimma (22), Awassa (20) and Nazareth (35). This may correlate into a greater number of NGOs operating in Oromia. It is interesting to note that Tigray (209) has the largest NGOs on average while Addis Ababa comes third with only 55.



As per the above graph, the majority of the NGOs are those that have between 10 and 50 permanent staff. With appropriately qualified staff, an NGO with 10 to 50 permanent staff that is assisted by volunteers and part-time professionals could very well carry out a fair amount of HIV/AIDS activities and services. Therefore, most of the studied NGOs qualify to take a part in the implementation of the national HIV/AIDS plan.

Many NGOs are currently experiencing a short-fall in staff capacity. A high turnover of staff is reducing the ability of NGOs to function effectively towards their intended objectives. There are many reasons for this, including the growing private sector and the increasing professional labor demands that consequently require increased wages and incentives. Migration also contributes towards the slow leeching of professional staff through the brain drain. Many Ethiopian physicians are said to have migrated out of the country. This constant fluctuation of staff hinders the ability of an NGO to properly build capacity amongst a critical mass of employees. Furthermore, it consistently sets back programs as professional staff seek 'greener' pastures in employment. The time required to advertise new vacancies, interview potential candidates, select them and train them reduces the efficiency of an NGO.

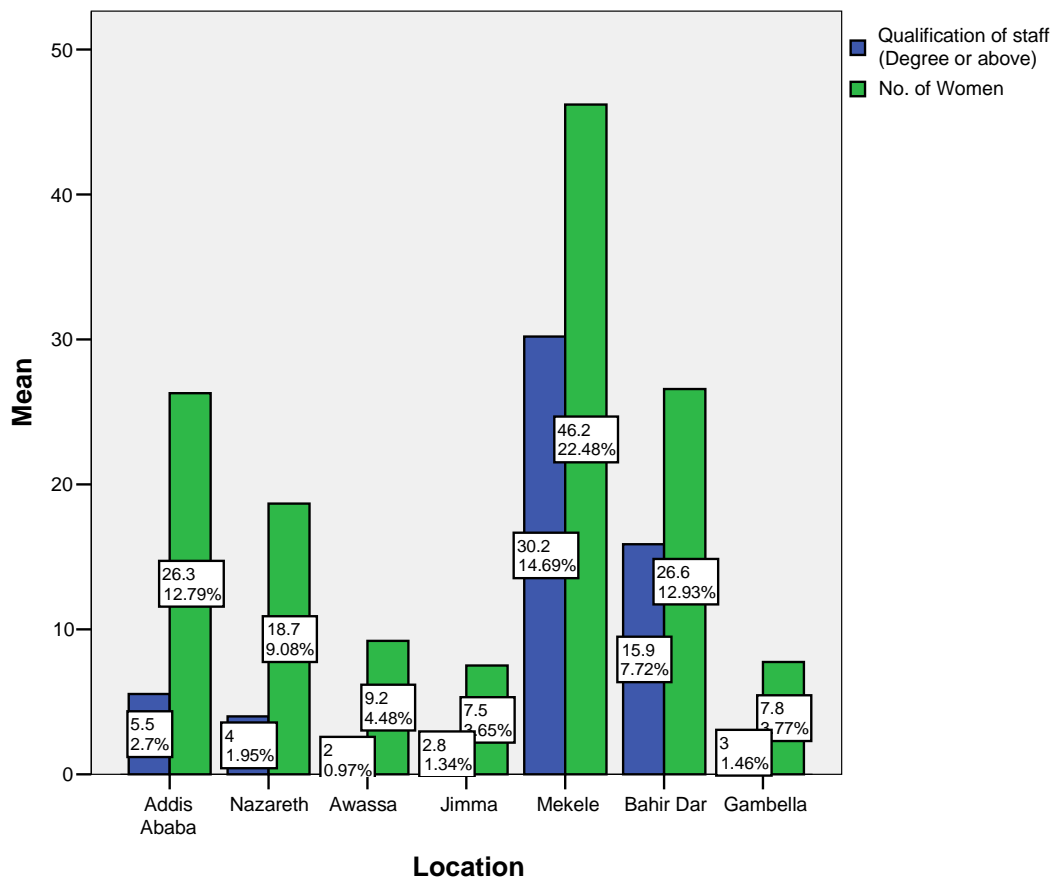
According to the table below, 55 out of the total 63 NGOs responded to questions regarding the qualification of their staff. Accordingly, the total number of permanent staff of the responding NGOs is 3554. Of these, there are 462 (13%) degree holders, 604 (17%) diploma holders and the rest (2488) are mainly school certificate holders contributing a total of 70%.

Qualification of Staff	
Degree	13%
Diploma	17%
School Certificate	70%

Out of the 55 NGOs, only 3 organizations do not have degree holders. The rest of the organizations all have degree holders with a percentage of mostly 10%, and not less than 5%. About 13 organizations have degree holders rating over 20% to 28% of the total number of the permanent staff. Judging from the shortage of supply of university graduates and the unattractive salary of the majority of the NGOs, the number of degree holders is a good start for the implementation of the HIV/AIDS plans and programs.

In addition to this, the majority of NGOs have quite a substantial number of diploma holders. The number of diploma holders is higher than that of degree holders; 60% and 30% respectively. There are only 4 NGOs who have less than 10% degree holders. Furthermore, there are 24 organizations that do not have any diploma holders but have degree holders. There was only one organization noted that had 5 permanent employees who did not have degrees nor diplomas.

The qualifications of employees amongst the NGOs are also gender disaggregated. In the following tables, we highlight the disparity of female representation in NGOs along with the degree of qualification amongst female employees.



The table below summarizes the % of females employed by the various NGOs in the different cities.

Percentage of Female Employees in NGOs according to Cities

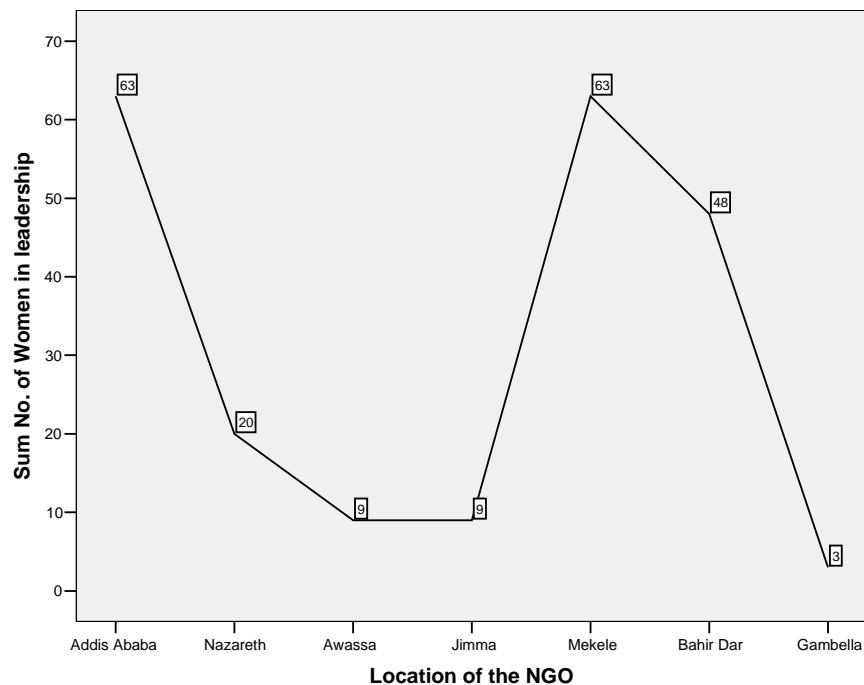
	Total no. of women	%
Addis Ababa	27	43.0
Nazareth	6	9.7
Awassa	5	8.1
Jimma	8	12.9
Mekelle	5	8.1
Bahir Dar	7	11.3
Gambella	4	6.5

As it can be seen, Addis Ababa has the highest number of women working in NGOs whilst Gambella has the lowest. There is very little difference in all other cities; where women account for 8 - 12% of employees. It is clear that female leadership is highly unimportant and needs greater improvement. Most participants from the focus group discussions ascribe this to the tradition and culture of the country.

In order to analyze the extent to which women are marginalized by the NGOs at question, CDC also determined the proportion of women assigned to leadership positions. The graph below visually represents the findings.

Women in Leadership Positions

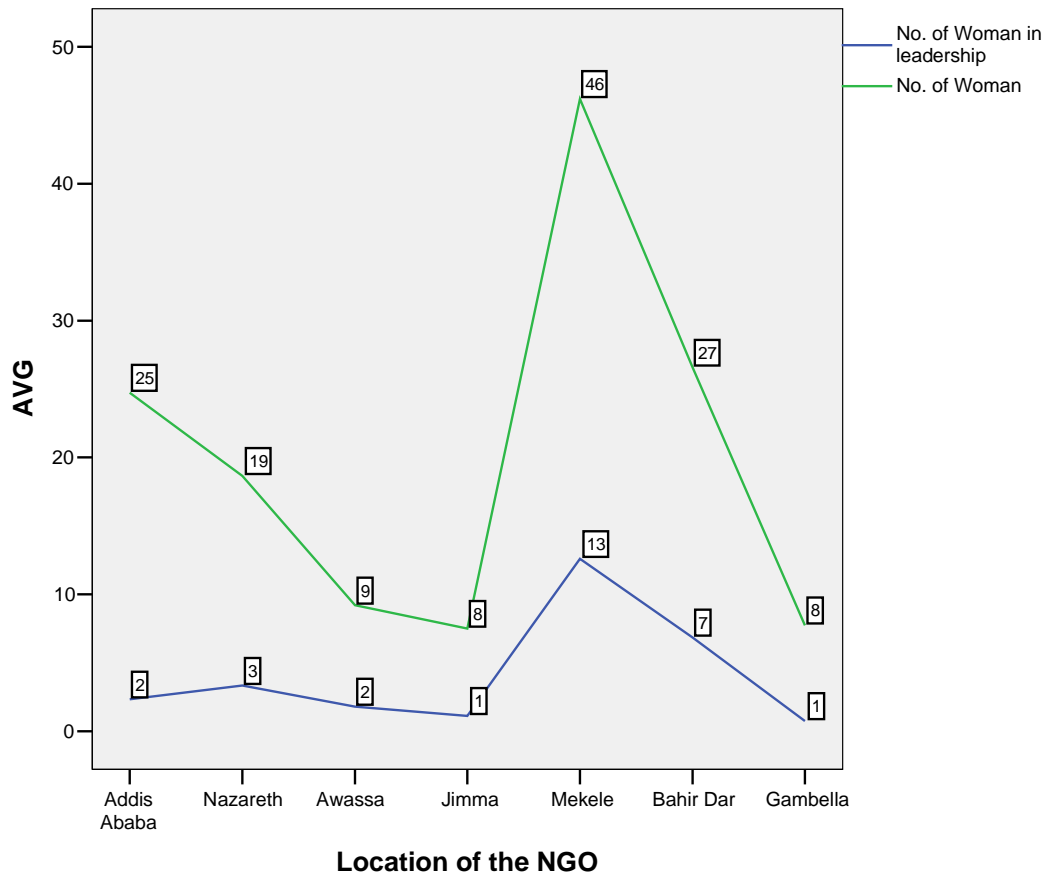
No. Women in Leadership Positon



It was demonstrated that the number of women in leadership positions clearly follows the same population distribution of women working in the selected NGOs. Addis Ababa has the highest number while Gambella has the lowest. Again, relative to the other regions, NGOs in Amhara and Tigray have assigned more women in leadership positions.

The graph below illustrates the average number of women employed in the studied NGOs versus the number of women in leadership positions. This visual demonstration clearly shows the number of women leaders with respect to the number of women hired in the NGOs. Interestingly, Addis Ababa is amongst the lowest while Mekele in Tigray is the highest. The graph illustrates that not only are men favored as employees, women are employed in lower strata jobs when hired.

Total women employed Vs women leaders



3.4 Human Resource Management

Most NGOs have problems in attracting, motivating and retaining the required number of human power with the adequate qualification. There is always shortage of qualified personnel. Staff turnover is very high. Without an adequate work force with the required number and qualification, NGOs cannot effectively fulfill their objectives. Therefore, human resource management is among the priority areas that require the attention of NGOs management. They need to study, plan, organize the means by which they could attract and retain qualified and motivated work force. They have to provide regular training to their personnel to make sure that they have the skills that they need to effectively carry out their respective duties.

HIV/AIDS oriented NGOs suffer greatly from high turnover of staff. This is due to the high demand for professionals in the field which resulted from an increase in HIV/AIDS activities in public and private sectors. NGOs need to be assisted in providing the necessary incentives to retain the staff they currently have through such schemes as training, career paths and increased remuneration.

3.5 Core Services

In essence, none of the studied NGOs was initially established to provide HIV/AIDS services only. On the whole, the HIV/AIDS services were implemented so as to supplement the other existent activities. The majority of NGOs were primarily established to provide different humanitarian services to people affected by man-made and natural disasters, diseases and other problems.

After analyzing the objectives and activities of the NGOs, it was evident that they have a broad spectrum of experiences in different service provision including HIV/AIDS services. It was further noted that the quality of service provision is directly related to organizational capacity.

3.6 Finance and Budget

All the assessed NGOs are donor dependent organizations; thus, they do not have their own source of funding. Without the financing from donor organizations they cannot provide any services. The donors consist of mainly other international NGOs, embassies and governments. Many of the NGOs have standing donors that are willing to provide for properly presented proposals and budgets. However, in the cases where there is a weakness in project preparation, it is difficult to get financing. Donors finance mainly projects. They are generally restricted in financing administrative and capital expenditures. Therefore, many organizations are short of such facilities as transport vehicles, office spaces and administration funds.

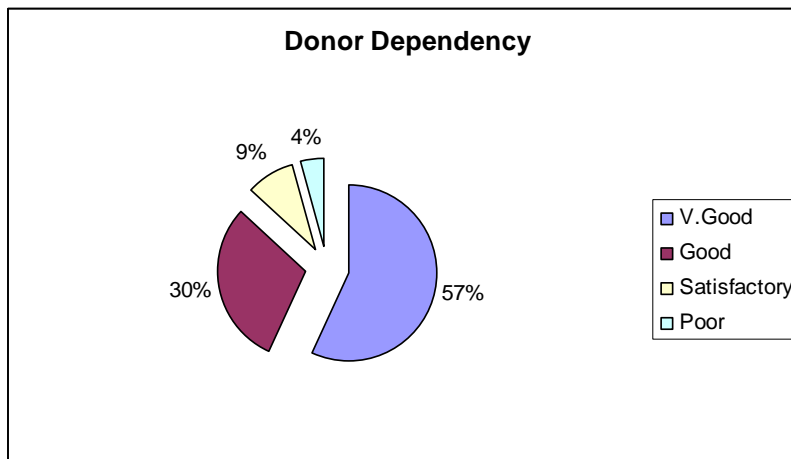
The budgets of 2006 of the assessed NGOs give the following picture. Accordingly, there are a few NGOs that operate by an annual budget of less than 100,000 birr. However, this is a very small amount of money for running an NGO. Fortunately, they aren't many of NGOs that fall in this category. There are also a few big NGOs operating with an annual budget of more than one hundred million birr.

It was found that the NGOs fall in one of the following budget groups:

Question Asked	NGOs	%
Less than 500,000 birr	15	23.8
More than 500,000 and up to 5,000.000 birr	29	46
More than 5,000,000 birr	8	12.7
No Answer	11	17.5

This budget structure shows that a lot of NGOs have acquired experience in handling big budgets to deliver their services. Therefore, this is a strong point to consider during capacity building and for the implementation of the national HIV/AIDS plans and programs. Provided that the NGOs receive the necessary assistance that can strengthen them accordingly, they are likely to be capable of handling increased capacity.

The following pie chart demonstrates the extent to which the NGOs are dependent on external funds. In this case, Participants who answered ‘very good’ insinuated that they are *totally* dependent on donors. Those who answered ‘poor’ suggested that they have other sources of income as well. The ‘good’ and ‘satisfactory’ responses are indicative of donor dependency with respect to the previously mentioned extremes.



The vast majority of NGOs and NGOs are financially dependant upon donors in order to manage, operationalize and effectuate their programs/projects. While donor support is without question necessary in most circumstances, it is critically important to bring innovate solutions in order to avoid creating dependency syndromes. Such conditions of dependency rob any NGO or CSO of its self-sufficiency and sustainability. This in turn, filtrates through to the beneficiaries of programs/projects. Such beneficiaries become marginalized from the participation of project endeavors, have little or no involvement in activities designed to reach intended objectives, and thus, are not part of the collective action prerequisite in any sustainable initiative.

3.7 Effectiveness, Efficiency, and Impact

Effectiveness

A summary of the perceptions that the participants had on the effectiveness of their NGO has been presented in the table that follows. Effectiveness concerns the relationship between achievements and initial objectives set. In other words, efficiency is the extent to which the achievements correlate with targets set. The information below provides an overview of the responses obtained from all the NGOs during data collection.

Questions asked	Percentage			
	Very good	Good	Satisfactory	Poor
You have clear objectives in your projects	88.7	9.7	1.6	0.0
You have comprehensive and measurable outcomes in your project	61.3	35.5	3.2	0.0
There is clear chain of cause and effect that can be seen b/n activities and results	54.8	38.7	6.5	0.0
A high percentage of the target group were reached by efforts made by the NGO	37.1	37.1	17.7	8.1
There have been measurable changes over time as a result of efforts made by the NGO	46.8	46.8	6.5	0.0
The target population have demonstrated or reported satisfaction in the work done by the NGO	41.9	45.2	12.9	0.0

Efficiency

A summary of the perceptions that the participants had on the efficiency of their NGO has been presented in the table that follows. Efficiency concerns the relationship between activities carried out and the results obtained. Factors to be taken into consideration when assessing efficiency include cost-benefit and cost-effectiveness, an analysis of the overall organizational expediency covering methods of programming activities, timeliness in implementation, and financial management. The information below provides an overview of the responses obtained from all the NGOs during data collection.

Questions asked	Percentage			
	Very good	Good	Satisfactory	Poor
Resources are used in a timely and effective manner	53.2	37.1	9.7	0.0
Records are consistent and clearly kept	51.6	41.9	4.8	1.6
Resources are adequate in running the activities of the projects	12.9	38.7	29.0	19.4
There are monitoring and evaluation components towards the activities	51.6	37.1	8.1	3.2
The projects have the capacity to produce results with a minimum expenditure of energy, time and resource	46.8	46.8	6.5	0.0

Impact

A summary of the perceptions that the participants had on the impact of their NGO has been presented in the table that follows. Impact concerns the relationship between the specific objectives and the overall objective of development. The impact on beneficiaries is a result of the potentials the objectives set and the NGO on the whole have. Impact can be positive, negative, sufficient, insufficient, sustainable, non-sustainable, inconsequential or extreme. Fundamentally, all program/project objectives are designed to create positive and sustainable impact. The information in the table that follows provides an overview of the responses obtained from all the NGOs during data collection.

Questions asked	Percentage			
	Very good	Good	Satisfactory	Poor
The results of the activities are permanent	29.5	50.8	19.7	0.0
The project is totally dependent on the original funds received	27.9	29.5	18.0	24.6
There is commitment from local resources	45.2	30.6	19.4	4.8
The skills of the staff are updated regularly	24.2	30.6	35.5	9.7
The NGO is flexible enough to maintain effectiveness in response to the changing needs of the HIV/AIDS epidemic	54.8	30.6	12.9	1.6

3.8 Capacity to Monitor and Evaluate Programs/Projects

The implementation activities posing serious difficulties for NGOs are reporting, monitoring and evaluation. For this reason, very few NGOs bother about monitoring and evaluation. Few have experience in systematically examining activities designed to address specific situations or issues. Capacity to monitor and evaluate is the ability to examine the effectiveness of program implementation in an objective manner. It has been difficult to assess the contributions made by NGOs given the absence of an established evaluation impact. Monitoring and Evaluation are important for the promotion

of organizational excellence, transparency and accountability. Capacity building efforts in this area should aim at:

- The improvement in the accountability of resources and results from activities carried out. This is necessary as donors are demanding greater efficiency in the use of increasingly scarce resources. Such improvement should cover the documentation of expenses, financial and program performance reporting;
- Improving the ability to collect and analyze data regarding target groups and activities to ensure that services offered match community needs;
- Developing a self assessment program which would cover the establishment of key performance indicators (benchmarks) focusing on results, lessons learned (best practices), cost of operation, systems and people and,
- Creation of structures and processes that are enabling and can promote efficiency, such as participatory decision-making, structured consultative meetings.

4. CHAPTER FOUR – ANALYSIS

Analysis of Study Findings

The study findings concerning the major organizational capacity elements were analyzed in relation to the strengths and weaknesses of NGOs assessed in this study. The capacity elements discussed below will help explain the constraints and stumbling blocks that affect NGOs efforts to effectively participate in the fight against HIV/AIDS and will be invaluable in formulating and designing appropriate capacity building programs.

4.1 Regional Disparities

There is a great deal of disparity in coverage and scale of NGO interventions among regions as well urban and rural areas. There are also disparity with respect to finance, human resource, capacities and facilities of NGOs operating in the different regions and urban and rural areas. NGOs are concentrated in regions with higher resources and urban areas leaving disadvantaged regions such as Afar, Somalia, Benishangul and Gambella under-served.

First, the impoverished or limited physical and financial infrastructure in disadvantaged regions, as well as donor preferences, has resulted in fewer NGOs operating in the more populous regions. Second, the capacity for administration in less developed regions is weaker, including government's ability to collaborate with NGOs in actions to fight HIV/AIDS. Combined, these factors contributed to a less effective achievement of fighting HIV/AIDS in these regions compared with others.

There is a need to strengthen the capacity of NGOs in less developed regions. The coverage must be expanded through various incentives that encourage NGOs to work in these areas. Any capacity building initiative must take these regions as priority areas and should aim at strengthening the capacity of NGOs operating in these regions. Similarly, efforts should be directed at strengthening NGOs operating in rural remote areas in order to correct urban bias in NGO operations.

The capacity building initiative needs to acknowledge both the wide disparity in resources, infrastructure and know-how that exist between different regions and the diversity manifested in the social and economic fabric of Ethiopia's different regions. Program design needs to compensate for the former and accommodate the latter. Approaches must be adopted to bring regional differences into the capacity building program design. The first is to design interventions that compensate for capacity shortfalls in the relatively less developed regions by, for example, offering core funding to NGOs that work in relatively less developed regions.

4.2 Organizational Structure

NGOs do not need to have rigid structure. It is important that they operate in a flexible way according to changes and different circumstances. In fact this factor is one of their

comparative advantages. However, they should not work without knowing who is responsible for what. So there is a need for some kind of structure that generally establishes who is responsible and accountable for what. In many small organizations, there are no clear job descriptions for each staff, and functional structures are not differentiated. In addition, when the organization grows to the level where the functional structure is no more adequate, a higher level of structure could be needed to be in place.

The response received to matters concerning organizational structure is that there is a need for organizational development assistance and any capacity building initiative must focus on restructuring several organizations so that they carry out their functions effectively and efficiently. In addition to issues of structures, respondents have mentioned the factors highlighted below as important elements in organizational development.

Governance

This organizational element is very important to an NGO as it promotes policy guidelines to make sure resources are used effectively towards the objective that the NGO is established for. Moreover, it ascertains that essential resources are benefiting the community that they are to serve. Weakness of the board in its responsibility can result in NGOs' lack of effectiveness in accomplishing its objectives.

A number of NGOs have responded to the questions of the effectiveness of their respective boards indicating that they are very good or good. However, on the other side, it was possible to note from the focus group discussions that there are a number of weaknesses concerning their respective boards. Some have even doubted the existence of it. Others said that they do not have a regular meeting and that the boards have not given adequate attention to the affairs of the NGO. Others suggested that the boards need to be replaced by more educated and experienced professionals. Therefore, it is very clear that there is a need for capacity building of boards of NGOs.

Leadership

Leadership is concerned with having or not having an appropriately qualified, committed, motivated and effective leader, who is responsible for the day-to-day activities of the NGO. Having an effective leader greatly matters in determining the success of any organization. The lack of an effective leader would easily lead the organization to become weak in the fulfillment of its organizational objectives.

Many respondents said that, although their leadership skill needs to be upgraded continuously, they already possess good or very good leadership. For those NGOs that lack an effective leadership, steps need to be taken to improve the qualities of the leadership. The boards of each NGO are accountable of making sure that the NGO for which they are responsible has an appropriately qualified, experienced, committed and motivated leader. It is also the duty of each board to make sure that the means are provided by the NGO to attract and maintain such a leader in their respective organizations.

4.3 Inadequate Financial Resources

Many of the NGOs have indicated an inadequacy of financial resources to carry out the number of projects required given the needs of their respective communities. They also indicated that they are almost fully dependent on foreign donor funding. Donor organizations are willing to finance NGOs that have effective management, good and realistic project proposals as well as adequate financial management and accounting procedures. However, in the long run, what the NGOs need to do is to find ways and means by which they could mobilize funding from their beneficiaries and/or through developing income generating activities.

There are various ways of enhancing NGOs capacity to obtain funding from other sources. This holds particularly true for NGOs engaged in HIV/AIDS. Funds committed to NGOs in the EMSAP and the Global Fund have not been utilized by NGOs because of their inability to provide competent project proposals. In addition, there is a need to enhance local NGOs' capacity to access public funds for service delivery activities under sub-contracting agreements with the government. This is particularly important in disadvantaged regions where public agencies are unable to utilize their budget due to capacity limitations.

This study identified several aspects of the fiscal framework governing NGOs that constrain their ability to mobilize and deploy funds. If these deficiencies were rectified, more resources could be generated for changes.

The required changes include allowing NGOs to engage in income generating activities, simpler procedures for exempting NGOs from VAT, allowing NGOs to keep capital equipment to be used for new projects and programs, and reaffirming rights to exemption from tax on imported goods. In addition, allowing tax relief on individual and corporate donations would do much to encourage a culture of philanthropy in Ethiopia, which would generate greater resources for NGO development activity.

4.4 Participation of Target Groups

NGOs need to be accountable to all their stakeholders including their beneficiaries. Currently, most NGOs are accountable mainly to their donors. Although this is important, they should be equally or more importantly accountable to their beneficiaries and other stakeholders. It is apparent that they need to establish stronger relationships with their beneficiaries. They also have to establish good relationships with their respective communities. For this purpose, systematic planning and organization is needed. NGOs need to establish a communication system with the beneficiaries in order to disseminate information on ideas about planned projects, to facilitate acceptance for the projects they wish to implement, to obtain feedback on the development of the projects, for an effective management of the resources planned for the projects, etc. In a similar manner, it is particularly important that they establish effective mechanisms on how to promote the participation of their target beneficiaries.

4.5 Monitoring and Evaluation

NGOs deal with projects that are time, quality and budget bound. Therefore, strong monitoring and evaluation procedures are necessary. Limitations in monitoring and evaluation have been identified in many organizations. This is mainly because of lack of qualified personnel and lack of the proper procedure of monitoring and evaluation. While lack of knowledge is the main reason for weak monitoring and evaluation activities, it is also apparent that most NGO staff do not think of M&E as an important and integral component of the project cycle. They view M&E as unnecessary activity that has to be conducted to meet donor requirements.

As most NGOs do not give the attention needed for monitoring and evaluation, focus should be made in providing the necessary technical assistance and training in adequate monitoring and evaluation procedures. There is also a need to sensitize NGO staff about the importance of M&E in the project cycle.

The study shows that most of the NGOs that have been assessed have been in operation for more than 10 years. During those years, they have developed a substantial amount of experience in providing services and as such have developed certain practices regarding procedures on how to receive requests for services, how to provide those services, how to deal with donors, how to manage their resources, etc. However, these procedures are not systematically developed and established. Most of the NGOs are not in possession of the manuals necessary for the different functions of their organizations. Therefore, they need assistance in acquiring simple, clear and practical procedure manuals for such matters as human resource management (including salary, benefits and incentives issues), finance and accounting, project management, asset management, etc.

4.6 Public and External Relations

NGOs need to inform their respective beneficiaries and the public at large about the importance of the services they provide, what the benefits and impacts of those services are, what assistance and cooperation they need from other organizations, partners and the public at large. While NGOs need a strong public relations network, NGOs do not have adequate expertise and the financial means to carry out effective public relation activities. They need to publish pamphlets and other publications to inform about their activities and accomplishments. In order to launch effective public relation activities, NGOs need financial and technical assistance as well as training and sensitization on the important role of public relations in their work.

4.7 Operational Environment

NGOs capacity is constrained by the operational environment and their performance is affected by a broader political context. The concept of broader political context refers to the legal and institutional framework in which NGOs operate as well as NGO-government relations. In the former, there is a need to analyze the legal and institutional

framework of registration, licensing, monitoring and supervision. For the latter, there is a need for a general relation between government and NGO, in particular operational collaboration and networking between NGOs and the various levels of governance cooperation need to be encouraged so as to produce desirable results in such sectors as HIV/AIDS.

Despite the low-level of government/NGO cooperation, there are a few isolated successful NGO/government collaborations in some regions. Among these, the partnership between the Administration of City of Dire Dawa and the Association of People Living With HIV/AIDS (PLWHA) stands out as a model of government/NGO collaboration. Because of strong leadership and commitment on both sides, PLWHA are afforded public financial assistance such as monthly stipend, education, housing, employment and medical assistance. PLWHA are functioning as a well-organized public interest group and has managed to successfully lobby the City Administration to make resources and services available to its constituency. Part of capacity building must focus on promoting these types of government/NGO collaboration.

Registration and licensing practices

Registration and licensing of NGOs that derive any funding from external sources or operate projects and programs in two or more regions are required to register and obtain license from the NGO Registration Bureau. There are about 1500 organizations registered with the Federal Ministry. NGOs that operate within a single region and derive all their income from domestic sources are required to register with regional justice bureaus.

There is no clear policy for registration of NGOs that are based in the regions. Some are required to register with the newly established Bureau of People's Mobilization while mass movements such as women's associations and youth organizations are required to obtain their licenses from pertinent regional line ministries.

The majority of respondents agree that the process of registration and licensing, both at the federal and regional levels, has improved in the last two to three years. It now takes much shorter time to register and the information requirement has become more manageable. Another major improvement is the extension of the registration renewal period from one year to three years. However, while acknowledging these improvements, respondents suggested that government needs to continue making changes if it is to give optimal services to the NGO community.

The Ministry of Justice has the authority and responsibility to de-register NGOs that do not fulfill the terms of its agreement with the government. In 1995, it has de-registered 40 NGOs and in January 2004, it has de-registered some 65 NGOs for various offences. Some NGO respondents complained that certain NGOs were de-registered on grounds of their active and vocal criticism of the national response program rather than failing to observe the terms of the agreement. They cite the experiences of some NGOs who started treatment programs without government approval as evidence of discriminatory de-registration practices. Some HIV/AIDS NGOs that are critical of government policies at times have been de-registered and reinstated several times.

According to these respondents, undue delays in processing registration applications, requests for unreasonable amounts of information, closer scrutiny of organization's finance and extensive background checks are just some of the means by which the government authorities frustrate and discourage applicants.

Some PLWHA organizations complain that the information they required to submit is too cumbersome and they are required to submit unreasonable detailed information on sources of their income and expenditure of funds.

Monitoring and Supervision of NGO/CSO Operations

Once NGOs complete their registration process, they are directed to The Disaster Preparedness and Prevention Commission (DPPC) for appraisal of their project/program proposals. DPPC assess whether the program/project proposals are in-line with the national development plans or not. It is required to give feedback on issues related to the economic benefit of the project, its cost effectiveness, capital vis-à-vis recurrent budget allocation, preparation of intended beneficiaries and environmental impact of the proposed programs/projects. Decisions regarding region and district of operation are made jointly by DPPC and the NGO.

Following DPPC approval, the NGO is directed to a pertinent line ministry, which technically supervises and periodically monitors the NGO activities. The line ministry monitors whether the project is being implemented in conformity with the agreement, whether action plans are followed or not, people's participation is being practiced or not and financial resources are being utilized in accordance with initial budget or not. The line ministry, in collaboration with the implementing NGO must conduct mid-term and end-term evaluations of projects and review audited financial reports of the project at the end of every year. CSO/NGOs are required to submit status report at the end of every budget year.

4.8 Government-NGO relation

The relationship between the various levels of government agencies and the civil NGO community varies from region to region and is dependent on the nature of the NGO organizations and the types of activities they are engaged in. The party affiliated community mobilization organizations such as REST, ODA and ORDA, have excellent relationships with the state organs and work closely and collaboratively with various public agencies in the regions and woredas.

The human rights and good governance NGOs, and the majority of non-profit interest groups, are locked in adversarial relationships that is characterized by hostility, mutual mistrust and lack of tolerance. Their work is often discouraged and de-legitimized by the state agencies and they in turn perpetually question and challenge the policies of the government, its program and strategies and the practices of its agents and representatives. Service delivery and development NGOs are accepted as long as they function within the rules and regulations and implement programs and projects that are cleared by the state agencies and are within the framework of the official development plans.

Government-NGO relations also vary from region to region. In the Amhara and Tigray regions, where the social mobilization movements dominate the NGO landscape, there is excellent collaboration and cooperation. In the central regions of Oromia and Addis Ababa where the advocacy NGOs are based, the relationship is characterized by some degree of hostility. In the emerging regions of Afar, Benishangul Gumuz, Gambella and Somalia, there is very little interaction between the regional authorities and NGOs. These regions have very weak governance and administrative systems and are in no position to deal with or initiate collaborative activities with NGOs. The administration systems in the regions are in the process of being setup and most bureaus remain vacant or held by temporary appointees. There is a consensus that these regions need to set up basic and functional administrative systems before they start dealing with NGOs.

4.9 Networking and Information flow

Most respondents reported that there is little networking and information exchange between various NGOs. NGOs lack the human power and expertise to effectively network or exchange information.

Respondents suggested that there is a need for NGOs, specifically those operating at the grass-roots level, to find ways to create linkages and expand their networks amongst themselves. This will enable them to share information and develop the strength to play significant advocacy roles at national levels. The creation of networks also has greater importance in avoiding and reducing duplication and competition among NGOs and contributing towards better coordination of their programs. As most of the NGOs' activities are similar in nature, networking may help NGOs to use their experiences, resource and energies in diverse settings to deal with common issues and concerns at all levels for effectiveness of their program.

Government/NGO networking has also not been found adequate, apparently due to long bureaucratic procedures and related packages of requirement, the frequently reshuffling of government officials and the negative and suspicious attitude of governments toward NGOs. These factors are believed to have contributed to the unhealthy relationships between government and NGOs. Consequently, the relationships between government institutions and NGOs are limited to very few formal contacts (irregular meetings and paper exchanges etc).

4.10 Promotion of NGO coalitions, federations and other forms of collaboration

The Ethiopian NGO community is currently both fragmented and disparate. While some networks and umbrella bodies exist, their membership by no means includes all NGOs, and their efforts are often uncoordinated, both with one another and with governments. This fragmentation suggests that at present NGOs will face difficulties organizing themselves into stronger and more coherent groupings, and will require some external support to enable them to do so.

It is therefore proposed that capacity building programs support initiatives already being undertaken and to be undertaken by NGOs by promoting horizontal linkages between NGOs with common interests and vertical structures that will enable more effective NGO engagement with government administrative structures.

4.11 NGO Capacity and Engagement in Policy Analysis and Advocacy

Mechanisms that provide opportunities for dialogue between government and NGOs at all levels are only effective when NGOs have the capability to engage. Evidence suggests that Ethiopian NGOs are not very capable in this regard. Information shortages, resource limitations, lack of understanding of government policies and historical mistrust between government and NGOs have all worked against NGOs capacity to influence policy and hold government to account. One result is the ambiguous legal status of advocacy NGOs and the uneven acceptance by government NGOs rights to comment on and offer alternatives to government policy prescriptions. A particular need is for NGOs to develop capacity to engage with government at Woreda and sub-woreda levels where the majority of transactions between government official and NGOs actors take place and where the impact of national development strategies is greatest.

5. CHAPTER FIVE-STRENGTH AND SUCCESS ELEMENTS

In the previous section, we have outlined those things, which are quantifiable, measurable elements of organizational life, which can be easily grasped and worked with. Material and financial resources, skills, organizational structures and procedures—all those are easily assessed and quantifiable. Ethiopian NGOs working in the area of HIV/AIDS have a long way to go to meet the criteria of capacitated organizations. If however, we turn our attention to the different realm, the realm of the invisible elements of organizational elements, Ethiopian NGOs have certain encouraging features. Of course, organizations may have written statements of vision, of strategy and of value, but these written statements for not in any sense indicate whether an organization has a working understanding of its clients and the objective realities that they live in, they do not indicate the extent to which an organization is really striving to become a learning organization, to what extent it is developing its staff or man-infesting a team spirit or endeavor. They do not indicate the extent to which an organization is reflective, non-defensive and self-critical. In short, these elements of organizational life are ephemeral, transitory, not easily assessed or weighed. They are to a large extent invisible: both to the organization itself as well as to those managers and practitioners who would intervene to build organizational capacity.

Thus the most important elements in organization life, those which largely determine the functioning of an organization, are the elements which are not quantifiable or measurable. It is the less tangible, more invisible aspects of organizational life which largely determine organizational functioning, yet it is on the more tangible, material aspects that most (incapacitated) organization focus. Redesigning structures, building skills or securing resources are secondary to conceptual clarity, focused vision, coherent strategy and enabling culture. It is in these invisible and intangible elements that Ethiopian NGOs working on HIV/AIDS display their strengths. In the following we will outline, what we fell are strengths and success elements of Ethiopian NGOs working in the area of HIV/AIDS.

5.1 Understanding of Context

Many of the NGOs studied have a competent working understanding of the context of the fight against HIV/AIDS in the country. There is a coherent frame of reference, a set of concepts which are guiding these organizations in their work. By understanding context, we mean that NGOs not only understand the nature, scope and severity of the problem but are fully aware of the interplay between HIV/AIDS and the crushing poverty ignorance, stigma and discrimination official neglect and denial of the effect and impact of the scourge. They know the cultural milieu they work in and can easily distinguish which approach strategy and method will succeed and which will not. This is important as organizations which do not have a complete understanding of the context they work in are incapacitated regardless of how many other skills and competence they may have.

5.2 Attitude, Vision and Commitment

Together with and understanding of context, many NGOs have evolved a determined and sympathetic attitude in their work. There is a “can do” attitude and a sense of

confidence that they can affect the circumstances and challenges they face in their work. Put another way, these NGOs have not given up because of the enormity of the HIV/AIDS problem nor are they playing the victim. Rather they are determined to exert some control and believe in their capacity to affect their circumstances. Such self-confidence and can do attitude is particularly strong among PLWHAs. It is their visible presence and active participation that is partly responsible for changing attitudes towards the disease and scaled up response in prevention and care by government and donors.

Another aspect of attitude is acceptance and sympathy of many organizations towards those afflicted by HIV/AIDS. There is significant shift from earlier blame focused attitude towards more compassion and understanding of the beneficiary/ client population. Such attitude is not only a question of morality, fairness or justice, it is important as basis for effective program actions by the organizations.

The interaction between understanding of the particular context and appreciation of the hapless situation of the victims has yielded in unique organizational vision among NGOs working in HIV/AIDS. Understanding and responsibility has led most organizations to a sense of purpose and an almost missionary zeal to tackle the problem. Talking to many of the staff working in these NGOs, one senses an inner inspiration which is harnessed and focused.

The energy and enthusiasm of staff and management has developed particular ways of doing things- habits, norms, routines and mind sets. These factors, in turn, have become a tremendous power and force over the functioning of the organizations. They are the aspects of organizational functioning, which are not readily observed but exert much more influence than the more readily observable realities of structure, procedure, resources or skills.

5.3 Functioning within constraints

We have stated earlier that NGOs working on HIV/AIDS are constrained by lack of technical skills, finances, equipment office space, and so on. However, we have observed many organizations attempt to counter the effects of resource deprivation through organizational attitude. Instead of lamenting about lack of resources, many organizations are trying to overcome the problem by judicious utilization of the limited resources they have. Such an attitude is important because it dispels the common misunderstanding displayed by many incapacitated organizations. The thought that they would become capacitated if they had access to sufficient material resources, experience has shown that by and large, those organizations which complain about their lack of resources which attribute their failure to those organizational features, lack the ability to counter these problems, while those organizations which accept the lack of resources and attempt to remedy them gain the ability to overcome or compensate for the constraints.

5.4 Voluntarism

It is important to note that because of their perceived dedication and commitment, NGOs working on HIV/AIDS sector have been able to attract many un-paid volunteer workers. Despite the fact that many do not have the financial means and are often unemployed

and destitute, they have undertaken voluntary work with NGOs. While volunteers work in all spheres of NGO, HIV/AIDS work in the country, their presence is particularly visible and their impact is felt much more in the areas of patient care and combating stigmatization and discrimination.

Innovations such as group, homes and community parenting of children orphaned by HIV/AIDS, which are largely undertaken by volunteers, are distinct features of the work of NGOs. Wide spread use of volunteers is one of the strength and success element of Ethiopian NGOs working in the areas of HIV/AIDS. That needs to be encouraged in the future.

5.5 Programs rooted in local culture institutions

One of the most encouraging success elements of NGOs working on HIV/AIDS is their increasing tendency of programs rooted in local culture and depends on traditional institutions. Most NGOs have begun to devise programs that use local traditional institutions such as Idirs, Equbs, extended families, faith based organizations such as churches and mosques for delivery of services. These institutions not only have tremendous reach but have legitimacy and acceptance among the population. For example, over half of the population of Ethiopia belongs to one or more Idirs. NGO's that operate in collaboration with these institutions have distinct advantages; communicating information, mobilizing participation, influencing behavior and building up community capacity. Idirs have been particularly important in identification of their patients, provision of services to these patients and recruitment of volunteers. Similarly, the extended family system is invaluable in taking care of HIV/AIDS orphaned children and provision of home based care for AIDS patients. Most NGOs studied organize coffee ceremonies as a method of attracting the society specially the youth into their anti-HIV/AIDS clubs. Entertainment programs such as theatres, drama, and music which give lesson on HIV/AIDS are included in these programs. Most NGOs told that these programs were by large successful. Beneficiaries of the NGOs, i.e. people living with the virus give lessons on these ceremonies about the severity of the virus, and about the usage of condoms so that the spread can be brought to an end.

6. CHAPTER SIX – CONCLUSIONS AND RECOMMENDATIONS

6.1. The Nature and Scope of Capacity Building

The assessment has clearly showed that NGOs needed strengthening in the management of organizations, money, and people. Most noted the need of NGO's for capacity building in coalition building, networking, creating dialogue with Governments, research and advocacy. There is a keen interest among most in the areas of building coalitions across sectors (i.e. with government and the private sector). It is considered important that NGOs be capable of involving their constituency in a participatory manner. In addition, others identified financial sustainability as an area for NGO capacity building.

'Capacity Building,' specifically where it is used in relation to NGOs, is a phrase, which has become increasingly prominent in recent years in the development community. It, however, does not have a commonly agreed upon definition and has not resulted in a commonly agreed range of activities. Like other development 'buzz words,' 'capacity building' is used in different ways by different members or sectors of the aid/intervention community. In this sector of aid/intervention, 'capacity building' initiatives are not guided by a well thought through and conceptually coherent framework that provides universal definition. At one extreme, the accusation is made that it consists of donors setting up irrelevant and arbitrary parameters which they then train NGOs to conform to; at the other extreme it consists of collaborative attention to mutually agreed organization and institutional needs within the context of a full partnership.

In this study we understand 'capacity building' as explicit outside intervention to improve an organization's performance in relation to its mission, context, resources and sustainability. In conceptualizing 'capacity building' for Ethiopian NGOs engaged in HIV/AIDS, we suggest the following:

- Useful distinctions need to be made between "implementation support" which aims simply to improve an organization's service delivery function (i.e. aimed at assisting the NGO to better achieve the donor's mandate) and "capacity building support" which aims to increase an organization's capacity to achieve its own agenda (and views capacity building as an end in itself). A careful analysis of many capacity building programs shows that many interventions categorized as capacity building are in fact implementation support measures initiated by donors.
- Organizational capacity development is the means of strengthening NGO's ability to perform certain functions, such as service delivery. If done well, it results in the end of a viable, sustainable NGO which has an impact consistent with its mission.
- Sectoral capacity development is the means by which a NGO sub-sector (like organizations working in HIV/AIDS) is strengthened so as to have a greater effect on topics or issues of interest to it. If done well, it results in the end because NGOs in that sector (or sub-sector) gain knowledge and work effectively together.

- Inter-sectoral capacity development is the means by which the NGO sector as a whole is strengthened to better interact with other actors or sectors (particularly the State and the private sector). If done well, it results in the end of a more influential NGO sector.
- Different kinds of capacity processes are needed for the different levels of development action, but this is rarely clarified. Actors participating in the strengthening of NGOs need to understand that this involves specific kinds of capacity development targeted at a variety of different kinds of NGOs.
- Capacity building takes time and is best done within a participatory process approach. It is important that NGOs have a voice in determining their capacity building needs but it is useful for donor or intermediary organizations and sector priorities rather than on meeting donor procedural, accounting, and reporting requirements.
- NGOs should have a role in the selection of capacity strengthening providers.
- The capacity building initiative should focus on:
 - a. Developing the management capacity of the partner NGOs: aiming to help managers think strategically, manage change, and learn key management skills;
 - b. Developing local support structures, materials, and models so that the program could be replicated;
 - c. And researching its work and involving partners and consortium members in a debate concerning organizational strengthening of NGOs.

An important issue is who selects the collaborators in capacity building activities. Is it the donor or the organization whose capacity is to be strengthened? Currently it is usually the donor, but increasingly local NGOs are becoming empowered to make this decision.

6.2 Ownership, Commitment, Mandate and Priorities

Ownership

The sense of ownership and a high sense of responsibility by all constituencies of NGOs including grassroots, and at the community level, are important elements of the capacity building process. With ownership of the capacity building process, NGOs and governments have greater commitment to facilitate, monitor and evaluate their endeavors. Taking over ownership serves many purposes: primarily, it allows for the involvement of the constituencies of civil society in the mobilization and sensitization of concerted actions, and secondarily, it increases opportunities for leveraging resources to contribute to and or sustain efforts to build capacity.

Commitment

The success of NGO capacity building endeavors depends to a large extent on commitment and initiative at the national level. This is an important factor and is vital to NGOs' survival, so also is the improvement in the attitudes of public officials who are more concerned with protecting their interests within the state or local levels. There is need to adopt concrete, methodological and political commitment for the wide scale mobilization of NGOs.

Mandate

Mandate is defined in the context of legitimacy, the parameters used to establish whose interest NGOs represent, who are they speaking for, and how they represent the development aspiration and interests of communities. Mandate is the situation/occasion given rise to the birth of an NGO. It is derived from a felt need in the community and is rooted in the desire to respond to these needs. The desire to respond translates itself into the right to address the pressing problems.

Priorities

Success in the NGO sector should be determined by how well certain functions are carried out such as the capacity to plan effectively, to mobilize resources, and to implement development projects and programs. Success also could be determined upon key aspects of structural arrangements, the most successful being those able to perform a range of activities, attracting a large number of members ideally through vertical linkages. A primary goal for building NGOs' capacity in this respect is to enable them to define their own recognition as partners in development.

6.3 Process and instruments for NGO capacity building

Capacity can be developed in different ways and each dimension of capacity will require a different mix of both traditional, mainly training and the use of non-conventional instruments and processes in an integrated, coordinated and concentrated manner. Capacity building should be comprehensively approached to include acquisition and utilization, and should focus on the institutional, organizational and environmental or attitudinal dimensions. The processes and instruments for capacity building should include:

- **Training and other skills enhancement programs:** Training and other skills enhancement programs in the form of seminars and workshops are useful instruments for human and organizational capacity building. Such exercises could be formal or informal with stress on methods, sequences and performance criteria relevant for effectiveness in planning and implementation of development projects and programs. Skills enhancement should form part of the process of design, implementation and evaluation of a program or project cycle. In expanding the delivery capacity of NGOs, the involvement of communities becomes a critical factor. Involving communities to work out solutions does not

come naturally, and would require the training of NGO staff to design the format and modalities for facilitating community action. This would entail how to get beneficiaries to take initiatives; getting themselves and the community to be involved in a committed way calls for facilitation skills. Development of facilitation skills as part of human resources development is necessary for the development of attitudes, perceptions and procedures.

- **Experiential learning:** Experiential learning allows for a combination of knowledge and attitude development as well as practical experience in carrying out activities on the ground. It allows for the acquisition and utilization of skills, change in behavior/attitude and application of knowledge of on-going activities. The usefulness of this process is that it could be programmed as an integral part of service or product delivery. The use of expert assistance to transfer knowledge and skills could be explored in the delivery arrangements.
- **Promoting and strengthening partnership:** Promoting and strengthening partnership amongst NGOs is a valuable instrument for enhancing all forms of capacity for advocacy and influencing, operational management, monitoring and evaluation as well as for mass mobilization and collective action. The promotion of partnership as a capacity building process enhances dialogue and cooperation, which in turn enables NGOs to respond collectively on issues at the macro level. Partnership should also be used as an instrument to foster coordination, avoid unnecessary duplication and expand operation.
- **Promoting the formation/strengthening of alliances among NGOs:** This process again can lead to the enhancement of capacity to take on issues at the macro level and also allows NGOs to close their ranks, thus enabling them to speak with one voice - bigger and better. The creation of networks in the form of umbrella and networking arrangements would enhance joint action, representation of common interest; provide training and experiential learning opportunities and support. The value of networks should be viewed as a powerful tool and force through which individual and collective interests and views could be obtained; it enhances the participatory process. The task of change agent played by NGOs requires networking; both information and the assertion of strength can be an effective means for constructive engagement and partnership building.
- **Launching an effective communication and information dissemination program:** The launching of an effective communication and information dissemination program could be an appropriate response to improving NGOs' communication strategy skills. This is a valuable instrument for the sharing of experiences, expertise and information networking, keeping in touch with each other, and obtaining information to monitor developments taking place in the local and international community. The main emphasis of such an instrument should include its usefulness in enhancing the following capacities: advocacy, influencing, mass mobilization and collective action and for providing outreach. Such a program could embrace audio and visual format and includes the use of newsletters, newspaper publications, radio talk shows, theatre and drama and video recordings, all aimed at enhancing advocacy.

6.4 NGO impact in national policies

For NGOs, advocacy is the core of their mission. NGOs throughout the country have to live up to the challenges of change and transformation reaping through the nation. The goals of development are now broader than ever, cross-cutting national, regional, and international boundaries, so also is participation in the process, be it shaping policy, implementation of programs or projects and benefits; these must also be enlarged to include the people. These all call for ways to catalyze, empower, and strengthen NGOs. It entails the development of vision and a commitment to monitor the usefulness of policies, programs and government institutional machinery.

In all of these, capacity for advocacy is critical if NGOs are to address adequately and legitimately, issues of interest to society at large. If advocacy is to become an important and legitimate strategy, it would require skills and abilities to:

- Carry our research to document, analyze and interpret political and socio-economic developments;
- Promote peoples' power in development including group formation;
- Search for answers/alternatives, initiate change and generate active participation, and define collective goals;
- Encourage informed participation of all people in the community in developments in the political, social and economic spheres;
- Inculcate new values and behavior that promotes a high sense of community responsibility and ownership of their destiny.

Planning for effective lobbying and advocacy activities

In the following, we offer some guidelines on how NGOs can operationalize this new vision of influencing and shaping policies through lobbying and advocacy. The recommendation presented here under is based on their experience gained from many years of advocacy work of NGOs in other countries.

Recruit appropriate staffing There is a tendency towards insularity within the NGO sector, to talk only with those who 'speak the same language', but influencing policies and practices clearly necessitates forging new working relationships – for example with government and other officials at both national and local levels. This requires changes in the NGO's own staffing. For example, staff involved in advocacy should not be closely identified with any anti-government factions and should appear politically mature. Those who are well connected to senior decision makers or who command broad public respect are important allies.

Build broader coalitions The NGO, if it has an open mind, may also find that the issues are not quite as clear cut as they seem on the surface, and that it has a lot to learn from others who know the issue or the country well. These factors indicate the need for NGOs to build much broader coalitions than they are accustomed to, working closely, for example, with the academic community, with the business sector, with politicians, trade unionists, religious leaders and others who have access to the ears that need 'bending process' requires.

Choose the issue carefully The campaign focuses must genuinely be relevant to the poor, it must be supported by Southern partners, it must arise from the direct experience of the NGO, and it must be a subject on which the NGO is generally viewed as an authority. There must be clear policy objectives, which are conceivably winnable, and this may mean, pragmatically, the setting of intermediate goals. For Northern NGOs there should be some evident connection between their own countries and the issue.

Construct the expert case For NGOs to maximize their impact in the mainstream development debate the first step must be a disentangling of experience from a personal political conviction. An NGO case based on a faithful account of its own experience is a powerful one, but when experience is biased towards support of previously held positions this is transparently so to those the NGOs seek to influence.

Therefore, it is essential that NGOs use the analysis of known authorities on the subject, recruit convincing allies to the cause (for example involve respected academics in meetings with officials), ensure that all analysis and statements are scrupulously accurate, and ensure that prescriptions proffered are realistic and workable. Often, NGO authors will spend months researching and writing a report, but will throw together some recommendations with relatively little thought; most readers will give much more attention to the recommendations than to the analysis.

Balance opposing forces Avoiding dialogue because this risks compromising one's position is unrealistic and immature. Social change is about compromise because it is about balancing opposing forces – typically the tension pulling towards reform versus the resistance of the status quo. A pressure group which achieves a significant reform may be well satisfied with the progress – and say so publicly – even if only 20 per cent of its demands have been met. This does not imply that the group has dropped or lost faith in the remaining 80 per cent, rather that it considers it politic to consolidate the initial gains.

Increase policy leverage Strategic NGOs need to convince others on the development stage of the validity of their new influencing role. They must seek to be consulted on policy issues and be prepared, for example, to serve on government commissions. This process can have major ramifications for NGO leaders. In some countries, they have been persuaded to leave the NGO sector and to move into government. This should not be seen as a 'selling-out' but as building a more effective platform on which to make the NGO case.

Generate public support No matter how well-argued the case, decision-makers may not be persuaded to change the policy in question because they are preoccupied with matters they perceive as higher up the political agenda. Hence the second prong of an effective advocacy strategy is often essential; mobilization of public support. For this, a 'human-interest' angle is necessary for attracting media attention, support from TV celebrities and other communications specialists should be sought, and a comprehensive communications strategy should be carefully planned. For public campaigning, it is important to decide carefully the tone to be adopted, appropriate 'pegs' must be selected (such as demonstrations alongside official meetings, or specially planned events). Actions that supporters are asked to take must be carefully selected, realistic, and adequately resourced, including systems of 'rewards' so that the supporters feel valued and valuable.

ANNEX 1 - TERMS OF REFERENCE

The National HIV/AIDS Forum of NGOs (CRDA) Terms of Reference for Capacity Assessment of NGOs

1. Background

Developmental partnership is increasingly acknowledged towards poverty eradication through a growing vigor and leverage, which otherwise is impossible as an individual organization/institution. Cognizant of this fact, CRDA, itself umbrella for 253 NGOs, took the initiative for the emergency of a networking groups/forums, under its legal, institutional and organizational setup. Some of these started functioning as a working groups under various health and development agenda since early 1990's. The CRDA working groups were, later on, transformed into Forums; with better autonomy and institutional set-up to enable them contribute extensively and substantially for the development of the NGO sector in Ethiopia. The National HIV/AIDS Forum of NGOs is one of those Forums established to add value to the fight against HIV/AIDS.

The Forum is initiated in October 2002 and officially launched in May 2003, where membership is not limited tot hat of CRDA, rather to all interested NGOs recognized by the law of the land. By the end of the year 2004, members of the Forum reached 122 NGOs, working exclusively or integrating HIV/AIDS in their other programs. This Forum is anticipated to meaningfully contribute to the national effort, in combating HIV/AIDS, by drawing collective issues of concern, where such as action is required. It is currently run by a steering committee, consisting of 11 members, supported by task forces and a two-person Coordination Unit.

The National HIV/AIDS Forum of NGOs is, not only part and parcel of the National Partnership Forum (NPF), which is consisting over nine groups of actors (like the government Forum, the Employers Federation, Trade Unions, Chamber of Commerce, NGOs, donors, media, FBOs, PLHA, Women's coalition against AIDS, ...), but also is an active against of the NPF with a significant role in its secretariat, along with HAPCO and UNAIDS.

As Capacity building is one of the key focus areas of the Forum, we are planning to assess capacity of member NGOs in implementing HIV/AIDS programs, in order to capitalize on the existing strengths as well as identify and fill gaps in their endeavor to address the epidemic.

2. Justification

Among the 131 member NGOs registered till the first week of March 2005, 72% are National/local NGOs while the rest are international.

When we see the age composition of members, over half of the National NGOs (54%) are established in the last six years period while over three quarters of the international once have long years of experience in operation.

Data on the engagement areas of members shows that 70% of them are involved in prevention work like promotion of IEC/BCC; 83% are engaged and support programs, including OVC; about 16% are engaged in building the capacities of CBOs working with them; and regrettably less than 10% recognize advocacy as one of their intervention areas, which of course is the leading focus area of the Forum.

From the above data, one can see that NGOs are working on the different aspects of HIV/AIDS interventions, from prevention across impact mitigation, with limited involvement in the treatment sphere, of course.

Given the size of National NGOs in the Forum (nearly three quarter) and their lack of experience in operation (as many of them are recently established)- while a lot is needed to be done in the face of the magnitude of the problem- the importance of assessing the capacities of these actors as assisting them to fill identified gaps is of paramount importance, both for the Forums as well as to the National response. Moreover, the result of the assessment will inform and better organize the capacity building interventions by the Forum, as this is one of the three focus areas.

Therefore, it is imperative and timely for the National HIV/AIDS Forum of NGOs to conduct an assessment on the capacity of NGOs in implementation their programs related to HIV/AIDS.

3. Objectives of the Project

The main objective of the project is to assess the capacity of Forum member NGOs, in addressing HIV/AIDS and related social issues, with special emphasis on National NGOs.

The assessment document shall be used as a source of information for advocacy on behalf of and with NGOs for their better access to resource and other necessary arrangements. The Forum shall work on bridging the identified gaps through its capacity building programs, there by promoting advocacy as one of the intervention tools in addressing the epidemic.

Specific Objectives:

- ✚ Identify and promote strengths of current interventions by/ forum members
- ✚ Identify and strive to bridge capacity gaps of Forum members
- ✚ Identify reasons for low engagement in advocacy
- ✚ Share the document with other actors, especially those working with NGOs, for informing their support towards the sector.

4. Methodology:

The consultant team is expected to come up with appropriate methodology for Forum member's reflection, over the prevailing achievements, challenges, coping strategies, and their suggestions for further enhancement of their capacity to better response to the epidemic.

5. Proposed facilitation areas

Capacity assessment, in this context, includes both organizational and programmatic capacities, where active participation of members being central element of the exercise.

Organizational:-

The Org. Structure, leadership, logistics, ability to plan implement, access to resources, sensitivity to trends, etc.

Programmatic:-

Selection of target groups and areas, conducting needs assessment, harmony of interventions, participation level to target groups including acknowledgement and utilization of their local knowledge, gender sensitivity, innovativeness of approaches, attitude towards and practice of advocacy as one of intervention, approaches, attitude towards and practice of advocacy as one of intervention, communication with stakeholders, exchange of knowledge and information with partners, the practice of M&E, etc.

6. Expectation

As such the study document is expected to deliver the following as its minimum:

- ✚ Strength/ success elements in current interventions and available capacity.
- ✚ Gaps/ challenges in organizational and programmatic capacities
- ✚ Coping strategies devised by member NGOs in overcoming challenges and filling gaps.
- ✚ Suggested strategies and specific interventions to help member NGOs and the Forum advocacy and capacity enhancement.

7. Competency required

The facilitation team should have a social science background, at least MSc, preferably with particular experience/ focus on organizational development. Experience in conducting capacity assessment among NGOs and networks are required. The ability to undertake participatory facilitation and documentation will have an advantage in this work.

8. Time frame

Time final output is expected to be submitted in 8 weeks form signing of the contract

ANNEX-2 NGO MATRIX

NGOs MAPPING MATRIX															
No.	Name	Activity Description	Addis Ababa	Nazaraeth	Jimma	Awassa	Mekelle	Bahir Dar	Gambella	Year of Establishment	Size of NGO	Total # of woman in leadership position	Education (Degree & above)	Budget of 2006 (birr)	
1	Action for Development	Poverty Alleviation	x							1997	70	20	1	17	16,000,000.00
2	Arat Kilo Child Care & Community Development	Needy and Vulnerable Children	x							1971	14	5	2	4	1,500,000.00
3	Association for Rehabilitation for Girls	Empowerment of disadvantaged children, girls and women	x							1995	7	5	2	2	135,000.00
4	Integrated Services for AIDS Prevention and Support Organization	Prevention and control of HIV/AIDS	x							1997				5	
5	Love for Children Organization	Orphans and Vulnerable children	x							1999	27	18	5	3	204,932.00
6	Oprah's Children's Care	Care and Support of Orphans						x		1997	18	2	1	0	763,000,000.00
7	Medhanialem Orphans and Destitute Family Support and Training Center	Alleviation of Socio-						x		1994	17	4	0	0	500,000.00

		Economic Problems													
8	Mekdim Ethiopia National Association														
		Care and Support of PLWHA						x		2003	18	9	1	2	746,503.60
9	Organization for Rehabilitation and Development in Amhara (ORDA)														
		Food Security						x		1997	528	114	0	103	84,000,000.00
10	Tesfa Ethiopia Association														
		Prevention and control of HIV and other STDs	x							2004	5	2	0	0	N/A
11	Family Guidance Association														
		Prevention of HIV/AIDS				x					50	24	3	8	1,700,000.00
12	Forum on Street Children														
		Child trafficking		x						1996	43	23	2	6	\$2,108,412
13	Meserete Kristos Church AIDS Prevention Office														
		HIV/AIDS prevention		x						2001	25	18	5	1	55,577.00
14	Nazareth Children's Center and Integrated Development (NACID)														
		OVC		x						1989	528	4	4	6	1,200,000.00
15	Save Your Children Ethiopia														
		Youth		x						1996					
16	Vision Organization for Community Development														
		Poverty Eradication		x						1997	78	46	5	8	3,320,000.00
17	Ethiopian Red Cross Society														
		Disaster Rehabilitation						x		1977	106	30	10	3	1,300,000.00
18	Organization for Social Services for AIDS														
		Prevention of AIDS						x		1994	20	8	1	2	1,500,000.00
19	Tigray Disabled Veterans Association (TDVA)														
		Community-based rehabilitation						x		1995	30	17	2	4	N/A

		creation														
32	Jimma Bonga Catholic Secretariat															
		Women Empowerment			x					1994	11	8	1	3		11,608,308.21
33	Medan ACTS (Jimma)															
		HIV/AIDS awareness creation and care and support and for PLWHAs			x						20	4	1	2		864,087.00
34	Mekdim National HIV Positive persons and AIDS orphans Association															
		Care and Support of PLWHA			x					1993	16	6	2	1		203,017.00
35	Organization for Social Services for AIDS															
		Prevention of HIV/AIDS spread				x				1996	35	15	3	1		770,000.00
36	Organization for Social Services for AIDS															
		Community Mobilization						x		2004	21	6	4	3		1,861,708.99
37	Organization for Social Services for AIDS (JIMMA)															
		Care and Support of PLWHA			x					1989	58	10	3	2		1,061,632.60
38	Participatory Community Support Association															
		Care and Support of orphans	x							2000	8	3		2		N/A
39	Relief Society of Tigray															
		Health Extension Package						x		1987	739	122	0	135		120,000,000.00
40	Tesfa Development Association															
		Prevention and control of HIV/AIDS	x							2000						
41	West Gambella Bethel Synod															
		HIV/AIDS awareness creation and care and support of PLWHA							x	1995	30	10	3	6		136,000.00
42	Hope for Children															
		HIV/AIDS Orphans Sponsorship	x							2001	32	22	8	5		2,409,923.00

ANNEX-3

CAPACITY ASSESSMENT

QUESTIONNAIRE

Questionnaire Guidelines

All questions should be answered using the following guidelines:

1	very good
2	good
3	satisfactory
4	poor

General Information

Name of NGO:		
Person/Position of Person being Interviewed:		
Telephone:		
PO Box:		
House Number:	Woreda (sub city):	kebele:
Date of establishment:	Date of recognition:	
Budget of 2006:		
Total number of staff working in the NGO:		
Total number of women working in the NGO:		
Number of women employed in leadership positions:		
<u>Qualifications of Staff:</u>		
Number of staff with degrees:		
Number of staff with diplomas, certificates, or other:		

GOVERNANCE					
	The Board	1	2	3	4
1	The Board provides overall direction of policy and oversight				
2	The Board is accountable and credible				
3	The Board is composed of members who are committed to the organization				
4	The Board fulfils its responsibilities				
5	The Board respects operational laws (<i>e.g. quorum: decisions will only be made if the minimum numbers of board members are present in decision-making.</i>)				
6	The Board addresses the varied interests of the local community				
Leadership (CEO/Executive Director)					
7	You like working in this NGO				
8	You help guide the NGO to be effective in service delivery				
9	You help guide the NGO to optimize its financial efficiency				
10	You encourage and motivate the staff to do their work				
11	You encourage the staff to participate in decision making				
12	You encourage staff to take initiative and to be self motivated				
13	You have good financial judgment				

MANAGEMENT					
	Organizational Structure				
14	The NGO has a good organizational structure				
15	The responsibilities of all the staff are clearly defined				
16	Operational plans correspond to the goals to be achieved by the NGO				
Mission and Goals					
17	The NGO has clear objectives (<i>what are they?</i>)				
18	The NGO's objectives correspond to the national plan for HIV/AIDS (<i>what is the national plan?</i>)				
19	The objectives are understood by the staff				
20	The objectives are understood by the community				
Finance and budgeting					
21	Accounting procedures practiced are adequate				
22	All the expenses of the NGO are recorded and managed appropriately				
23	The NGO's management is responsible for the appropriate use of the budget				
24	Realistic and affordable project plans are developed				
25	The project plans made are cost-effective				
26	Budgeting is regularly revised by assessing annual operational plans				

	Best Practice Procedures (methods)	1	2	3	4
27	The NGO has a manual with best practice procedures to be used within the NGO				
28	(If yes) The manual is used efficiently				
29	(If yes) The manual is updated regularly				
Human Resource Management					
30	There is efficient human resource development and training				
31	There is no gender discrimination in training opportunities				
32	The methods used by the NGO to recruit personnel are effective				
33	Many of the employees stay with the NGO for a significant amount of time				
Work Organization					
34	The main goals of the NGO are being achieved				
35	Staff meetings are effective				
36	Projects are well planned				
37	Senior management staff are involved in discussions and planning projects				
38	The rest of the staff is involved in discussions and planning projects				
39	The local community is involved in discussions and planning projects				
40	Teamwork is encouraged				
41	Information is shared freely among all staff members				

SERVICE DELIVERY					
Expertise					
42	The required expertise are available in the NGO				
43	The NGO is capable of achieving its desired goals and answering to the needs of the local community				
44	The NGO has an appropriate structure to reach the local community				
45	The NGO makes use of external expertise				
Program Design and Implementation					
46	All programs and services are well defined and fully correspond to the goals of the NGO				
47	Programs are assessed regularly to allow changes to be made when necessary				
Monitoring and Evaluation					
48	The progress made in projects is regularly recorded				
49	The projects are evaluated regularly				
50	(If yes) the information stored is analyzed appropriately				
51	(If yes) the data collected is gathered appropriately e.g. computers, files etc.				
52	Activity reports and lessons learnt are published and disseminated regularly				

	THE COMMUNITY	1	2	3	4
53	The needs of the local community are well understood by the NGO				
54	There are regular surveys to determine the changing needs of the local community				
55	The findings about the local community are integrated in to project planning				
56	The target group is well informed about the aims and desired outcomes of the projects before participating				
57	The local community is regularly involved in the review of the goals of the NGO				
58	Women and marginalized groups in the local community are recognized by the NGO				
59	The priorities of the NGO reflect the needs of the local community				
60	The target population is satisfied by the work done by the NGO				

	EXTERNAL RELATIONS				
61	The NGO's Relationship with the community is				
62	The NGO is seen as a valuable and credible resource to the local community				
63	The NGO is able to attract volunteer support (<i>if so, whose support?</i>)				
64	The NGO and community share a common goal				
Inter-NGO Collaboration					
65	The NGO works with and shares resources with national and international NGOs				
66	The NGO promotes networking between NGOs in Ethiopia				
67	The NGO advocates new ideas and findings to other NGOs in Ethiopia (<i>If yes, which ones?</i>)				
Government Collaboration					
68	The NGO has contact with decision makers in the government				
69	Resources are exchanged between the NGO and the government e.g. training, teaching aids, material resources, etc.				
Donor Collaboration					
70	The NGO has contact with the donor community				
71	The NGO is regarded as being a credible and valuable resource to the donors				
Local Resource Mobilization					
72	The NGO has contact with the private sector for technical, material and human resources				
Media and Public Relations					
73	The NGO is well known by the community				
74	The NGO's opinions and experiences are publicized by the media				
75	The NGO has good public relations				

ANNEX-4

CAPACITY ASSESSMENT

FOCUS GROUP DISCUSSION

GOVERNANCE

- 1) What can you tell us about the NGO's board?
 - Do they manage the NGO well?
 - Do they listen to your suggestions?
 - Do they give you and opportunity to voice your suggestions in decision-making?
 - How often do you have meetings where you exchange your ideas? Who takes part in the meetings?
 - Do you think the Director of the organization is experienced and efficient in the work s/he does?
- 2) What would you change about the NGO's board?

MANAGEMENT

- 3) Are the aims and objectives of the NGO clear and easy to understand by all staff members?
 - What are the NGOs main goals?
- 4) Are the jobs of all the staff members clearly defined?
- 5) Do you feel as though your full capacity is recognized by the NGO?
 - What else do you think you can offer the NGO other than what you already do?
- 6) Are you provided with a good working environment?
 - What would you change?

SERVICE DELIVERY

- 7) Are you satisfied with the work undertaken by the NGO?
 - Do you think that the local community is benefiting from your works?
 - What are you most satisfied about?
 - What would you improve?
- 8) Is there an input from the local community?
 - Does the NGO give the local community a chance to comment on the services provided?
- 9) Do you think that the NGO addresses the needs of the local community?
- 10) Do you think the monitoring and evaluation is satisfactory in the NGO?
- 11) How could the service delivery be improved?

EXTERNAL RELATIONS

- 12) Do you get support from the local community? (in what way? training? teaching aids, material resources, funding, etc...)
- 13) Do you get support from the government? (in what way?)
- 14) Do you get support from other local NGOs? (in what way?)
- 15) Do you get support from international NGOs? (in what way?)
- 16) Where else do you get support? (in what way?)
- 17) What impressions do you think the community and the donors have of your NGO?
- 18) Is the work of the NGO made public to the community in any way?
- 19) Do you think external relations are important for the NGO?
- if yes, how could you improve your relations?