

GUIDE C

Training Guide and Supporting Documents

Capacity Development of District Unions



DRAFT



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1. Introduction

This guide contains tools and materials that can be used when developing capacities of District Unions. The District Union is the core implementing body at district level to manage, coordinate implementation and provide technical support to the iSAVE inclusive economic empowerment programme.

This guide is for the iSAVE Manager and Programme Officers, who will be spearheading and monitoring the capacity development process of the District Unions. The first section describes the main components of capacity, the other sections will dive into the Capacity Assessment Tool, the Capacity Development Plan, and some training materials that can be used when guiding the District Unions. We will focus on Monitoring and Evaluation, Financial Management, Training for Board Members – Strategic Development, and Resource Mobilization.

2. Capacity Assessment Tool District Union

The tool can be found in annex C. 1

Introduction

The Capacity Assessment Tool (CAT) for District Unions is designed to assess the capacity of the district unions, to monitor and evaluate change. The results of the assessment will provide input to make a capacity development plan. The assessment will also raise awareness of the district union about their capacity and make it possible to measure the effectiveness of capacity development efforts. All districts that are part of the iSAVE programme will undergo a CAT assessment.

It is important to explain to the DU that the CAT assessment is NOT an audit, but rather an activity to develop a capacity development plan. It is good to inform the DU, including the Programme Assistant and Administrative Assistant, that the team will need to look at financial records, manuals, attendance records, minutes of Board Meetings, AGMs, planning documents, strategic plan and so on.

Participants

The Chair, Treasurer and Secretary should participate in the assessment. In addition, at least two more DU members should be present, preferably the Focal Persons of the iSAVE programme. In total there should be a minimum of five participants, and a maximum of eight. Other interested members can participate in the feedback and discussion session.

Please note: the Programme Assistant, Administrative Assistant or any other staff paid by the project is NOT supposed to be part of the assessment. They will be involved in the evidence-based assessment.

Requirements of the assessment team

The team consists of two members, one assessor or facilitator and one reporter. The assessor and the reporter need to have a thorough understanding of the CAT. The assessor also needs to have good facilitation skills and experience with organizational development. Also the assessor should be able to support the District Union team to translate the findings to a practical level of concrete activities that will be included in the capacity development plan.

The reporter will be responsible to complete the CAT form AFTER the assessment - integrating all the notes taken in the boxes of the assessment sheet, fill in the worksheet on areas of strengths and weaknesses and enter the action plan.

Scope of the Capacity Assessment Tool

The tool is looking at five different capabilities of the District Union:

1. *Capability to deliver organizational objectives*: looks at human resources and systems that should be in place to sustain economic empowerment activities
2. *Capability to balance coherence and diversity*: looks at consistency between strategic objectives and activities. It also addresses the diversity of the economic empowerment activities
3. *Capability to commit and act*: looks at adherence to the content of the constitution, and level of participation of the DU membership
4. *Capability to relate and attract resources*: looks at relationships and resource mobilization, as well as transparency about income and expenses
5. *Capability to adapt and self-renew*: looks at data collection and the use of these data, as well as ability to adapt to changes in environment

Process

Preparation: the assessment should be announced at least two weeks in advance. It should be clear what the objectives of the assessment are (see top of document), how much time it will take and who should be present.

Self-assessment: the assessment team will conduct the assessment with the group of five to eight DU representatives together. The scores will be given on the basis of consensus. It is very important to make notes of the discussions that take place, and on the basis of which criteria the score is given by the group.

Evidence based assessment: After the self-assessment is completed, the group will be asked to wait for one hour. During this one hour the assessment team will sit with the Programme Assistant who will prepare supporting documents. Together with the PA and after observation of the documents the evidence-based scores will be filled in.

Discussion of the findings: the visualization of the findings will be shown and explained to the group. Differences between evidence-based and self-assessment scores will be explained. Areas with lower scores will be highlighted together with the group and translated into action.

Timing

The CAT will be conducted once at the beginning of the year of 2015 (baseline), and once at year end (progress)

The CAT assessment will take about half a day. Roughly the self assessment will take one hour, evidence based assessment will take one hour (including preparation of discussion session), discussion of result will take two hours.

Presentation of the findings

The excel file has two dashboards. The dashboard for the baseline shows the results of the self-assessment in relation to the results of the evidence-based assessment.

The dashboard has two visualizations: a spider-web and a bar diagram. It is assumed that the bar diagram is easier to understand for the DU members.

The overall result will be discussed in terms of what we see and what this means. It will help raise awareness of the DU about their capacity. The second dashboard shows the difference between baseline and progress assessment, this will give insight on the progress made.

3. The development of capacity development plan

The basis for the capacity development plan will be prepared during the discussion of the self assessment results as described in chapter 2. The facilitator will, together with the group, list the main areas that need improvement (all the elements that scored 1 or 2 in the evidence-based assessment) which will be written on a flip chart as a check list for the action planning.

Note: areas of strength can be used as opportunities!

After this the facilitator will discuss with the group the possible action points that are to be addressed in upcoming year. Please note that it is important that:

- The actions are realistic and concrete;
- It is discussed who will be responsible to implement and/ or follow up on this action;
- Any support needed from the side of NUDIPU is clearly noted, but no promises should be made if we are not sure that they can be fulfilled;
- All the areas that had a 1 or a 2 should somehow been addressed in the action plan.

It should be explained to the DU that this is a draft plan. This draft plan will be sent to the DU for further discussion and refinement. It is a DU capacity development plan, and the responsibility of the DU to make things happen.

The action plan includes a column where notes can be made on the progress and as such the format can also be used for monitoring progress. When new actions are identified these can also be added.

A possible format for the capacity development plan and monitoring tool can be found in annex C. 2.

4. Components of capacity development

In this section we will elaborate more on the components of capacity development, as are incorporated in the capacity assessment tool. Each of the sections will have reference/ training material that can be used to train and coach the DU staff.

4.1 Capability to deliver on organizational objectives

This capability includes the knowledge, expertise and experience required to sustainably implement the iSAVE Programme and achieve the results aimed for. This includes technical, logistical skills and also managerial capacity. The way the organization is organized can enable or obstruct performance. The systems and procedures such as financial systems and the project management cycle need to support the staff in their technical tasks. Concretely it means that the DU should have a skilled and capable human resource base with expertise in the areas of:

- We Can Manage groups operations
- Entrepreneurship – development of business plans
- Financial management and administration
- Human Resource Management
- Project Cycle Management

All information around We Can Manage group operations can be found in a separate training guide: Guide B: Establishment and Capacity Building of We Can Manage Groups. Information around entrepreneurship training will be prepared in a separate guide.

Financial management

Financial management is the planning, directing, monitoring, organizing, and controlling of the financial resources of an organization. The element of planning is directly related to the organization's budgets. Directing, monitoring and controlling ensure that the money is spent according to the planned budget. Amongst other things a financial manual describes:

- How to check whether money is spent according to the planning
- The systems that need to be in place
- The procedures that must be followed
- And who is in charge of approvals

A template of a financial manual can be found under **annex C3**. It can be customized for use by the DU with support of NUDIPU financial department. **Annex C4** describes some practicalities in relation to **financial management**. This information can be used as hand outs for future reference when training DU staff.

Human resource management

Staff and volunteers are the most crucial part of the day-to-day running of the DU. To get the most out of the team, it is important to have all expectations clear, expectations from the management as well as of every staff member. Consider questions like:

- How much time can team members put in?
- Are they flexible in their availability?
- Do they expect to be paid a salary?
- Do they expect reimbursement of costs? If yes, then which specific costs?
- What expertise do they bring in?
- What do they want to do?

Contract and Job Description

To formalize such expectations a basic contract with a job description is a helpful tool. This can be a brief document in which the following elements are described:

- Name, age and contact details of the staff/volunteer.
- Who does the staff member report to on what and when?
- What is the expected time input per week?
- Which payments have been agreed on (if applicable)?
- When should such payments (if any) be made to the staff/volunteer?
- Date when the contract was made and signed.

- Clear list of tasks and responsibilities.

The contract and job description are written by the management team and discussed with the staff member/ volunteer. If the staff member/ volunteer agrees with the content, both parties sign the document (template can be found as **Annex C 5: Contract and Job Description**).

Appraisal

Once a year, the HR responsible of the DU Board has individual meetings with each staff member to discuss the past and coming year, to redefine expectations from both ends and see if contract and job descriptions are still accurate.

The HR responsible of the DU Board, writes a brief report after the meeting and describes any agreement that was made in this meeting. The staff member will get a copy of the appraisal report (for a template see **Annex C 6: Appraisal Form**).

Administration/ filing

What are records?

Records are letters, contracts, minutes, emails and many other different formats which document the activities of the DU. To work as a successful organization, it is important to operate in a structured way when it comes to managing information. It also helps the DU to have evidence of activities conducted and it ensures continuity of operations as well as institutional memory.

Managing records – what are some of the aims?

The DU staff should ask themselves the question “If I am not around can every record I made or worked on, be quickly and easily located by someone else?”

Systems should be organized in such a way that the answer to this question is “YES”.

The records management system should:

- Provide the right information to the right person at the right time in the most efficient manner.



Who is responsible?

Within the DU the Administrative Assistant will be in charge of keeping the records.

Folders needed

The DU must have a separate folder for each of these elements:

- Financial records;
- HR and staff records (contracts, job description);
- Project records, e.g. iSAVE programme (with separation tabs for different elements: 1) contract, 2) project budget, 3) minutes, 4) letters, 5) reports, etc.). Make a separate folder per project!;

D. Other (add more folders depending on the type of DU activities).

Hard copy and soft copy

Also create subfolders for all DU files stored on a computer (separate Finance, HR matters and project issues!).

Make sure to always have (signed) hard copies of the important project files. For instance, do not only keep DU's signed contract and project budget in an e-mail, but print it out and save it in the right folder.



Be consistent in filing!

Always use the same logic and make it possible for others to understand the system. Use consequent naming and locations for storing.

Project Cycle Management

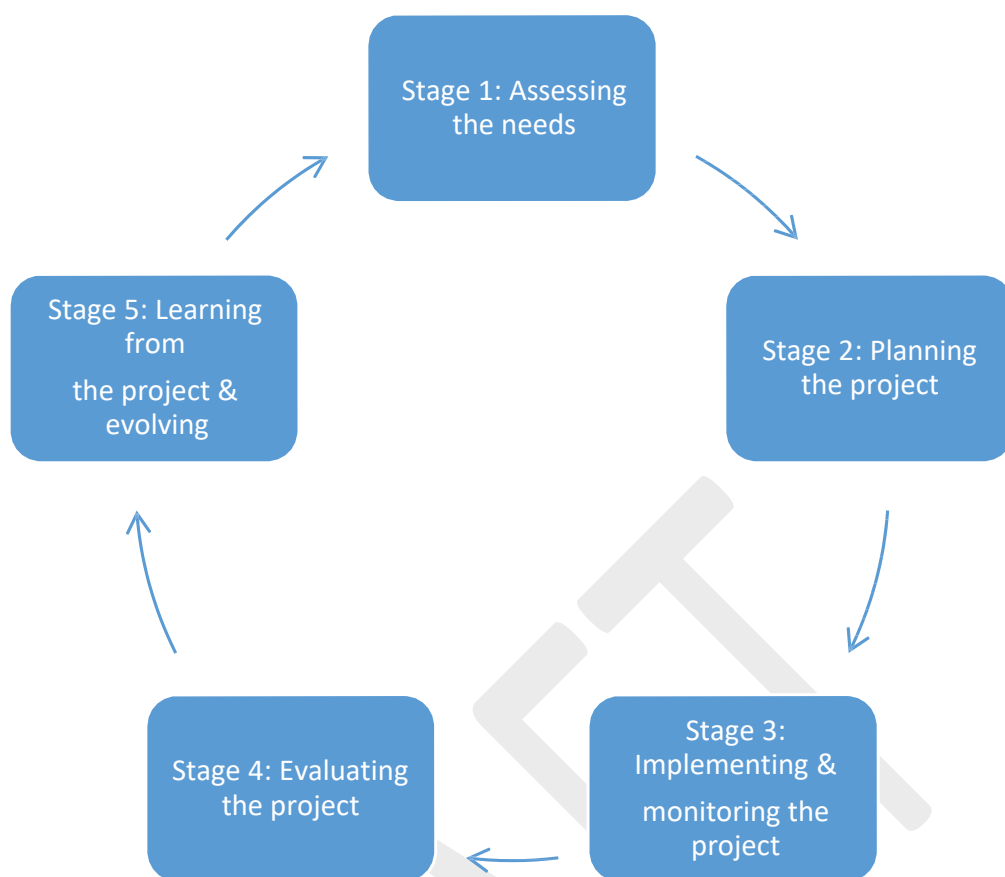
The project cycle helps to understand how to organize our work so that it is based on real needs, is well planned, monitored and evaluated, and allows us to learn from every project to improve future work. The figure below shows the essential stages of a project cycle.

There are two main reasons for us to follow each stage of the project cycle while managing our work:

- Aspects of our work are changing all the time;
- We must try to continuously learn and improve our work.

What do we need to keep in mind?

- Do not assume the needs of the target population. When wanting to develop a project always check whether the solution is actually addressing real needs! Do realize that the target group is diverse (boys, girls, different ages, different ethnic groups, different abilities...). See also the next heading on context analysis.
- Before planning the project always think twice about whether the DU is the right organization to implement the project and who else is out there working on the same issues. See also the note on stakeholder mapping.
- Make sure that monitoring is ongoing, and that information feeds into the activities!
- Do not omit to learn from a project; even if funding has ended it is important to learn from the results.



4.2 Capability to balance coherence and diversity

This is a prerequisite for a resilient organization. By ensuring availability of a broad variety of skills, perspectives and visions among DU members and divisions, the organization develops the flexibility to react adequately to different situations. However, diversity needs to be balanced against coherence in order to avoid the risk of fragmentation and disintegration and to prevent the organization losing focus. This capability also looks at consistency between strategic objectives and activities and addresses how diverse the EE activities are. Concretely it means that the DU should have a:

- Strategic plan in place;
- This strategic plan (and each programme that is developed) should be based on a sound context analysis and analysis of the target group and stakeholders;
- A Strengths, Weaknesses, Opportunities and Threats analysis (SWOT);
- Stakeholder mapping.

Strategic planning

A strategic plan is a document that communicates the goals of the DU and the actions needed to achieve those goals. In a strategic planning exercise – the DU, the Board, members and other stakeholders – will define who the DU serves, what it does, and why.

A strategic planning process is an organizational management activity that is used to:

- Set priorities;
- Focus energy and resources;
- Strengthen the DU's operations;
- Ensure that volunteers, employees and other stakeholders are working toward common goals
- Establish agreement around intended outcomes/results; and
- Assess and adjust the direction in response to a changing environment.

Effective strategic planning articulates not only where an organization is going and the actions needed to make progress, but also how it will know if it is successful.

A strategic planning document should at least have the following chapters:

- 1. Mission statement:** Declaration of why the DU exists as an organization (expression of Purpose and aspiration, addressing both what it seeks to accomplish and how).
- 2. Vision statement:** Statement on the higher goal of the DU.
- 3. Stakeholder mapping:** Overview of the stakeholders, including their relationship with the DU and their complementary roles.
- 4. Context analysis (figures):** A general picture of the area concerned, its population, policy, geographic, sectorial and context.
- 5. Unique selling point:** Describes what the DU is best at compared to others.
- 6. Action plan:** Explains how a goal will be accomplished, where does the DU want to be in five years and how will it approach this (include partners, stakeholders).
- 7. Financial assessment:** Is a rough financial planning and a description of the planned strategy to mobilize resources.

In addition to the above, the following components can be added:

- 8. Guiding principles:** Statements which are enduring, passionate and distinctive core beliefs. These are guiding principles that never change and are part of the strategic foundation.
- 9. Objectives:** Long term objectives answer the question of what the DU must focus on to achieve its vision, short term objectives state 'what, when, and who' and are measurable.
- 10. SWOT:** A SWOT is a summarized view of the strengths, weaknesses, opportunities, and threats.

Context analysis

This is a checklist: the DU should only mention what is relevant for the DU. The information needed is primary and secondary of nature. Primary information has to be generated for example, by going to specific sub-counties, have focus group discussions with potential beneficiaries; secondary information is already available on the Internet, in documents, books, newspapers or other publications. Please note that the context analysis section should not be too long, but concise and selective in what information is important to mention in a strategic document.

Physical aspects of the district

- Geographical location
- Other relevant information that relates to natural environment and resources

Institutional aspects

- Health system
- Educational system
- Presence of Non-governmental institutions
- Legal and political context related to persons with disabilities

Social aspects

- General population information
- Statistics on persons with disabilities, divided by impairment, age and gender
- Description of organization of the community/ies
- Government system and disability structures
- Access to a Health system
- Access to an Educational system

Economic aspects

- Major economic activities
- Employment
- Infrastructure (transport, electricity, water)

Analysis Target Group and Stakeholder mapping

Target group

In the strategic plan it is important to give a detailed analysis of the target group of the work of the DU, persons with disabilities. Things that could be described:

- Age distribution: with focus on percentage of young persons with disabilities;
- Gender: with specific attention to some of the issues experienced by girls with disabilities;

- Types of disabilities: with attention to some of the specific challenges persons with different types of disabilities meet;
- Ethnicity;
- Economic well-being (wealth distribution, main sources of income);
- Health/ access to rehabilitation and assistive devices;
- Education (level of schooling, issues of access);
- Rural – Urban ratio;
- Access to government programmes.

Stakeholder mapping

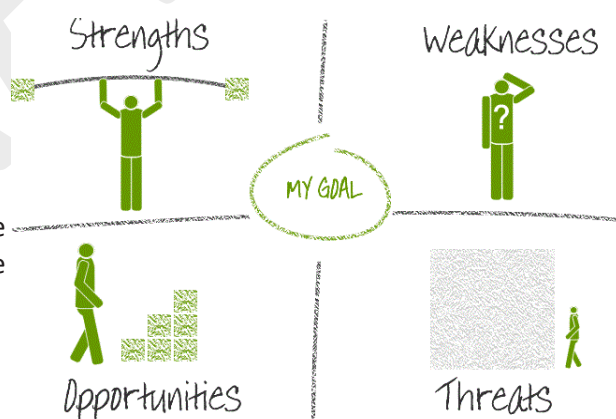
- List organizations/ networks/ groups of individuals that play a role in improving health, livelihood and well-being of persons with disabilities, with a focus on DPOs;
- Describe the role these stakeholders play;
- Mention relationships the DU already has with these stakeholders;

A Strengths, Weaknesses, Opportunities and Threats analysis (SWOT)

A SWOT analysis or matrix is a useful technique for understanding the Strengths and Weaknesses of the DU. Also it is helpful for identifying the Opportunities open to the project or organization and the potential Threats that exist.

A SWOT analysis has internal factors that are:

- **Strengths:** the characteristics of organization or project that give it an advantage over others.
- **Weaknesses:** the characteristics that place organization or project at a disadvantage relative to others.



And external factors which are:

- **Opportunities:** the elements that an organization or project could exploit to its advantage.
- **Threats:** the elements in the environment that could cause trouble for the organization or the project.

To complete a SWOT, the DU could try to write down the answers to the following questions.

Strengths

- What advantages does the organization have?
- What does the organization do better than anyone else?

- What unique resources can the organization draw upon that other organizations can't?
- What do people in the market see as the organization's strengths?

Consider the strengths from both an internal perspective, and from the point of view of the stakeholders and the target group.

Weaknesses

- What could the organization improve?
- What should the organization avoid?
- What are other people likely to see as weaknesses?

Also here, consider this from an internal and external basis.

Opportunities

- What good opportunities can the organization spot?
- Useful opportunities can come from things such as:
 - Changes in government policy related to the field;
 - Changes in social patterns, population profiles, lifestyle changes, and so on;
 - Local events.

A useful approach when looking at opportunities is to look at strengths and wonder whether these open up opportunities. Alternatively, look at weaknesses and ask whether it is possible to open up opportunities by eliminating them.

Threats

What obstacles does the organization face?

- What are other DUs doing?
- Could any of the organization's weaknesses seriously threaten the organization?

4.3 Capability to commit and act

This capability looks at adherence to the content of the constitution, and level of participation of the DU membership. It is about the capability of the DU to organize itself and to motivate and engage its staff to work energetically towards common goals. The organization and its members are aware of its legitimacy, keep a clear focus and have confidence to address challenges. Concretely it means that the DU should:

- Have in place a well formulated constitution that is regularly revised.
- Organized regular Annual General Meetings.
- A capable Board, with board members who are clear on tasks and responsibilities.

Constitution

A constitution is the foundation upon which the District Unions should be built. It should contain all the key agreements made by members on how the union will work and it is legally binding on the executive and members of the union.

It should tell the following:

1. **Why** the union exists, its purpose and objectives;
2. **Who** the union's key constituency and stakeholders are, who should benefit from its work; and
3. **How** the union intends to work, its broad principles and the basic structures for decision making and getting the work done as well dealing with the finances and assets of the organization.

The constitution should be clear and simple so that members understand their rights and responsibilities, the union executives understand their mandate and how to be accountable and members of the public understand why the organization exists and how it operates

The constitution should have detailed and clear sections on:

- The purpose of the organization: why the union exists, who should benefit from its work and how they should benefit.
- The objectives of the union: what it intends to achieve.
- The type of organization: for e.g. not-for profit or voluntary association.
- The membership of the organization (Different disabilities, gender consideration): Who may become a member and the duties and rights of members. How to join, and how members can resign or be expelled.
- The structures and main procedures of decision-making in the organization:
 - Annual general meetings and other meetings;
 - Elections and appointments for the different structures of the organization;
 - Their powers and functions;
 - Who makes what decisions;
 - How the organization is governed and how decisions are made;
 - How it is organized to get the work done.
- The roles, rights and responsibilities of people holding specific positions and of the different structures: what different individuals or structures are responsible for, to whom they account.
- The term of office for the leadership positions must be clearly spelt out.
- How the finances and assets of the organization are controlled so that no money or resources that belong to the organization can be abused or misused.
- Financial year and audit process that tell us when the annual financial account will be finalized and audited and who the report will go to.
- Closing down the organization: what process must be followed and what will happen to the money and assets of the organization.

Annual General Meetings

Annual General Meeting (AGM) is a formal meeting of all the members of District Unions and it should be described in the union's constitutions. AGM is a legal requirement. Presentation on annual accounts is one of the most important agenda in the AGM. The constitution should specify the notice period the Executive Committee should give to its members about when and where the AGM will be held.

The Chairperson of the Executive Committee usually acts as Chairperson for the AGM. If the Chairperson's position is vacant, someone else among the Executive Committee should agree to Chair the meeting at the start. It is important to take minutes of the AGM in order to follow up on actions at a later time. The constitution should specify the number of members an organization needs to have present in order for the meeting to be valid.

A Capable Board

Board roles

The board is extremely important for the DU and as such it is essential that every board member is well aware of responsibilities and duties. The following are some of the main roles within a board:

The Board Chair

The board chair leads the board, ensures its effective operation, maintains the board's strategic focus, monitors its overall performance and manages its relationships. Board chairs play a vital role in ensuring that board members, stakeholders and the community as a whole have confidence in the board's leadership and discharge of its functions. The chair should be familiar with the disability sector and the district disability structures, as well as the portfolio of the DU. Qualities of a good Board Chair are:

- Listening and consensus building
- Objectivity and fairness
- Trustworthiness and honesty
- Good time keeping
- Dedication and loyalty
- Good faith towards the organization
- General business aptitude

The Board Members

Board members need to understand the purpose, function and responsibilities of the board. They also need to familiarise themselves with their statutory and legal obligations and be mindful to act only within their authority. Board members may also need specific skills relevant to a particular board's requirements, such as resource mobilization, and building partnerships. It is vital that board members remain informed about the activities of the DU to be able to make informed and conscientious decisions. Board members should follow the lead of, and support, the board chair and be aware of the expectations for conduct regarding board matters. Board members also need to work constructively and cooperatively with other board members and stakeholders, and maintain effective working relationships with the board's secretary.

The Board Secretary

The board secretary is usually a male or female member with disability, and when an iSAVE programme is running, this will usually be assisted by the Programme Assistant or the Administrative Assistant. The Programme Assistant or the Administrative Assistant are charged with providing direct support to the board. At least this will include providing administrative support such as organizing logistics taking meeting minutes, and circulating relevant documents for the board meetings.

Board structure

Appropriate board structure is vital for ensuring good governance. Board structure refers to the size and composition of the board, including its independence, the presence of representative members and the balance of gender, disability, territorial representation, age, skills and experience.

When determining composition of the board consideration should be given to the:

- Competency mix of board members, at least looking for skills in the field of entrepreneurship and business development, financial control and resource mobilization;
- Length of service of current board members;
- Diversity of board members, at least looking at disability, gender and age.

Decision making

The board exerts authority through effective decision making. The board needs information delivered in a timely manner to make informed decisions. In some situations, the board or individual board members may seek independent and external professional advice to perform their duties appropriately. Boards are encouraged to consider and reflect on four questions when making decisions. The questions are:

- Are we doing the right thing?
- How would others judge our actions?
- How could our actions impact on others?
- Should we discuss this with someone else?

Board effectiveness

Relationships within the board should be characterised by a healthy level of trust, respect, goodwill, energy and openness to debate and an equal distribution of power. Regardless of the nature of debate, the board should retain a single unified voice in any internal or external communications following discussions. The Board should meet with sufficient frequency to effectively conduct their responsibilities. Meeting effectiveness can be assisted by:

- Developing an annual calendar of governance tasks;
- Preparing agendas;
- Providing board members with advance notice of board meetings;
- Circulating papers in advance of the meeting;
- Conducting meetings in a manner that permits frank and open discussion;
- Taking accurate and appropriate minutes which record a sufficient level of detail;
- Maintaining a list of decisions, a record of the actions and progress against them.

Duty of Loyalty: A board member must act in the best interests of the DU and not for their personal benefit. To avoid impropriety or the appearance of impropriety, a board member must disclose to the Board any potential conflict of interest and refrain from participating in any decision of the Board in which they have such a conflict. A board member should not borrow money from the DU nor can they authorize the DU to loan money to any officer or other board member of the DU.

Confidentiality: A board member should not disclose information about the DU's activities unless the Board decides to make the information public, or unless the information is a matter of public record.

Attendance: A board member should demonstrate his/her commitment to the DU by regularly attending Board meetings and meetings of the committees to which the board member has been assigned. This will allow the board member to stay informed of activities and, in turn, the DU will benefit from the skills he/she brings to the Board. Being a member of the Board is a personal responsibility, which cannot be delegated to others.

4.4 Capability to relate and attract resources

This capability looks at relationships and resource mobilization as well as transparency about income and expenses. Relates to the ability to initiate and maintain relationships with other organizations and individuals and to be able to attract support and resources for its continued existence. An organization does not stand on its own but by building relationships, its legitimacy and position can be consolidated and effectiveness can be enhanced. Concretely it means that the DU should:

- Have the capacity to mobilize resources to have a diverse resource base;
- Be transparent about use of resources;
- Be able to lobby for inclusion of persons with disabilities in development programmes of partners or government programmes.

Resource mobilization

When we talk about resource mobilization we do not only mean financial resources. Resources include:

- Money
- Time
- People
- Goods or in kind donations/assets
- Voice, especially in advocacy initiatives
- Influence / Trust
- Information

Resource mobilization is about identifying organizations or people who share the same values with the DU and build strong, long-term relationship with them. This needs an understanding of potential donors and inform them about the DU's work. It is good to involve them by, for example, inviting them for a field visit. Also, formal memoranda of understanding and/or contacts need to be signed, closely followed up and maintained.

When interacting with potential donors they need to be engaged with the DUs work. Some tips:

- Be realistic and inspiring;
- Create enthusiasm;
- Emphasize what the raised resources will accomplish;
- Prove the argument that the donor needs to give so that the programme can achieve its mission;
- Consider the interests and concerns of potential stakeholders;
- Brainstorm and discuss any questions potential partners might ask.

The following checklist might assist the DU when preparing for effective resource mobilization. How does the DU demonstrate the following?

- By having a clear sense and commitment to it's vision and mission —who they are, where they are going, and how their mission relates to the communities served;
- By adopting an innovative approach and programmes that yield results;
- By showcasing evidence of past accomplishments;
- By being accountable and transparent. Effective management and leadership by the board members and staff will ensure that these qualities shine forth;
- By adopting solid financial systems that safeguard the resources, including adequate financial controls that demonstrate good management and builds trust;
- By building solid reputation, credibility, and demonstrate ability to add value to donors' objectives;
- By having mutual respect and knowledge-sharing between the organization and the community it benefits, as well as other stakeholders;
- By attracting, creating and sustaining new resources, especially those based in the local community;
- By being cost effective and cost competitive.

Transparency and accountability

Transparency relates to open communication with internal and external stakeholders about the organizations financial situation and health. When a DU starts to ask for membership fees of the WCM groups, it is required to be open about how these contributions are spent. If not, there is a high risk of members becoming inconsistent in the payment of the fees.

An accountable organization is an organization that responsibly serves its members and the community at large, has proper financial management in place and is able to report back to donors and the membership on how funds are spent. It is important to realize that funds come as a product of healthy and good relationships.

Lobby for disability inclusion

An important task of a DU is to lobby for disability inclusion. This can be done by addressing mainstream development organizations, to ensure that persons with disabilities are part of their programming. DUs can also target representatives of local government departments to ensure that persons with disabilities are included in health, education and livelihood programmes. It works well to provide:

- Disability awareness training;

- Do a disability inclusion audit, to identify throughout the programme cycle how persons with disabilities can be included and what is needed to do so;
- Provide technical support and coaching to the organizations or responsible officers to follow up.

4.5 Capability to adapt and self-renew

This is a key requisite for organizational sustainability and is about the ability of the organization to continue to be relevant, effective and efficient within a changing environment and towards changing needs. It requires combining short-term responsiveness with the ability to learn from data. Concretely it means that the DU should:

- Have an M&E system in place including data collection tools;
- Regularly review the data collected together with relevant stakeholders;
- Ensure that lessons learned feed into planning of next period;
- Prepare progress updates for the Board.

Information about the M&E system and sharing of data for regularly review can all be found in Guide E: Monitoring, Evaluation, Learning and Reporting in the iSAVE Programme.

Annex C1: Capacity Assessment Tool District Union

General information								
Name of District Union								
Location								
Who were present (use one box for each)	Person 1	Person 2	Person 3	Person 4	Person 5	Person 6	Person 7	Person 8
Name of facilitator								
Name of notetaker								
Date of assessment	10/7/2014							
	1: not in place	2: planned to be in place	3: starting to be in place	4: partly in place	5: fully in place	Score self assessment	Score after checking evidence	Evidence
Capability to deliver on organizational objectives								
1. To what extent does your organization have a skilled and capable human resource base (paid and not paid) to implement the Economic Empowerment Program?	No staff in place to implement the EEP	There is a plan to make sure that skilled and capable staff are in place	Some trained staff but not for all elements of EEP; board members are not yet knowledgeable on the content of the EEP	There is trained staff in place for the EEP, but paid by the program; no sustainability measures	We have paid staff in place who can also be paid after phase out of the EEP; we also have trained volunteers and network of experts			Education level of staff, Level of applying skills, Relevant training, Years of experience on the subject.
2. To what extent is the DU membership informed about EE and involved EE program implementation?	No information for and involvement of members	Consultative meetings are planned but not yet implemented	We have informed our membership in meetings; no involvement in monitoring or cost sharing	Membership informed; involved in monitoring or cost sharing	Membership informed; involved in monitoring and cost sharing in the areas of implementation			Consultative meetings, Local involvement in monitoring visits, Examples of cost sharing/ contributions
3. To what extent are enabling conditions in place (office space, equipment....) that allow you to do your work well?	Lack of enabling conditions seriously affects the quality of our work; we have no immediate solutions in place	As 1, but there are concrete plans to improve this	Some conditions are in place that help us to our work well; but we still experience problems	Most conditions are in place; but most of them depend on funding from one project.	Enabling conditions are in place; funded from diverse sources of income to enhance sustainability			Office rented/ owned? Funded by which funds, Kind of equipment available, Means of transport, Power supply, Security
4. To what extent does your organization realize/ achieve implement its plans?	No workplans in place	Workplans in place but most elements not achieved; deviations not explained	Workplans in place, most elements achieved but not timely; deviations not explained	Workplans in place and plans achieved, but not timely and deviations not explained	Workplans in place; timely implementation and achievement of results. Where deviations these are clearly explained			Reports, Work plans and Budgets where deviations from the plans this is explained
5. How would you describe the quality of your organization's financial Management Capacities?	No financial manual; no qualified financial staff; financial reports are not audited/ audit findings not followed up	No financial manual; Audit by NUDIPIU but capacity to follow up findings not in place; plans to hire qualified financial staff	No financial manual; auditing only through NUDIPIU; Qualified financial staff but linked to funding of one donor	Financial manual in place no full compliance; audit findings only through NUDIPIU; Qualified financial staff	Financial manual in place, plus full compliance; external audit and follow up of findings; Qualified financial staff that is linked to more than one (source of) funding			Financial manual and compliance, Audited (by whom?) financial Reports, Follow up on the management letter
Average score for this component						0	0	
Capability to balance coherence and diversity								
6. Do any of your documented organization's strategic objectives relate to EE and do you act accordingly?	The organization does not have a strategic plan; or does not include EE	Planning to revise/ develop strategic plan; to include EE objective	Strategic plan is there with EE objective but no fund allocations and clear representation in workplans	Strategic plan is there with EE objective incl fund allocations and clear representation in workplans; but no M&E framework that follows up on achievements	Strategic plan is there with EE objective incl fund allocations and clear representation in workplans; with M&E framework that follows up on achievements			Strategic plan/objectives, Activity reports, M&E plan/ log frame

[illegible]

14. Do you have long term and complementary partnerships with other development initiatives in the field of EE	No partnerships with other development initiatives	There is contact with other development initiatives but not collaboration in the field of EE	There is at least one example where the DU has worked together with another development initiative in the field of EE	There are partnerships with other development initiatives which are not only a one off collaboration	There are long term and complementary partnerships, confirmed by MoU or by other documentation means			Joint meetings in the past year , Memorandum of understanding, examples of where organizations complement each other, Regular meetings with MFIs, NAADS, FO and other stakeholders contributing to EE activities
15. To what extent do you have diverse sources of funding for EE activities?	Only one source of funding: NUDIPU	Only NUDIPU funding, but resource mobilization strategy is in place/ at least one proposal is being developed for EE for another donor	Apart from NUDIPU funding, other proposals are being developed/ also some additional funding from Local government	Apart from NUDIPU/ Local government, one other donor has come in to fund for EE; not sufficient to run EE activities	Diverse sources of funding for EE, sufficient to run EE activities and expand gradually			Funding agreements, bank statements, Audit reports, nr and types of donors (government/ non government) Resource mobilization strategy
16. To what extent do you share the results of your economic empowerment activities with other stakeholders?	No evidence of sharing of results of EE activities	At least one example (out of the list under evidence) of how results of EE activities are being prepared for sharing; still in development	At least one example (out of the list under evidence) of how results of EE activities have been shared	At least two examples (out of the list under evidence) of how results of EE activities have been shared	Results of EE activities are shared in reports, newsletters/ articles, website and annual report			Reports, news letters, website Evidence of presentations held Mention in annual report
17. To what extent are you able to influence your partners to include people with disabilities in their programs?	No evidence of any activities to ensure that PWD are included in mainstream EE programs	We talk with development partners about inclusion but no evidence of any influence	At least one example of how the DU has influenced a mainstream organization to pay attention to PWD	At least one documented example of how the DU has influenced a mainstream organization to include PWD in livelihood activities	Multiple examples of where the DU has relationships with mainstream development organizations on inclusion; at least one confirmed by MoU			Examples of relationships with mainstream development organizations where inclusion has been part of the discussion, documented examples of changes in practice that evidence enhanced inclusion, MoUs
18. How is information about income and expenses of DU shared with membership and other stakeholders?	Information about income and expenses of DU is not shared with membership and other stakeholders	Financial report is shared on partners meeting and in budget conference of the district local government; not with subcounties	Financial report is shared on partners meeting and in budget conference of the district local government and with subcounty membership	Financial report is shared on partners meeting and in budget conference of the district local government and with subcounty membership; this includes clear accountability on how membership fees and contributions are used	As E, also including the salaries/ benefits of the DU board and staff			Financial reports, presentation of financial report in AGM and GA meetings, salaries/benefits of board members and DU staff are documented and shared
						0	0	
Capability to adapt and self renew								
19. To what extent do you collect different types of data to inform the economic empowerment program?	No M&E system in place; no data collection/ documentation	Some records are kept but not in a regular and systematic way	Quarterly data are collected but not disaggregated by disability	Quarterly data are collected; disaggregated by disability, only output data	Quarterly data are collected; disaggregated by disability. M&E system in place that also looks at outcome/ impact data			Quarterly data collected Data on economic empowerment initiatives Nr of PWD/ Types/ gender/ remote, urban/ ages Impact at household level Coverage of the program Nr of members that have been included in mainstream development programs and financial services

Annex C2 Capacity Development Plan format

Capacity development plan, year ...				WHEN?				WHO?	Status of Activity
No.	Identified actions	Support needed (technical advice, coaching, training etc.)	Expected outcomes	Q1	Q2	Q3	Q4	Person responsible	[Write date of monitoring, and information on what has been done]
A. Capability to deliver on organizational objectives									
B. Capability to balance coherence and diversity									
C. Capability to act and commit									
D. Capability to relate and attract resources									
E. Capability to adapt and self renew									

3. FINANCIAL MANAGEMENT POLICIES AND GUIDELINES

3.1 Accounting

Financial Year: The calendar year, 1 January to 31 December, is used as the Financial Year
Functional Currency: The functional currency is Ugandan Shilling (UGX)

The FM shall maintain financial records in physical and electronic form. Physical records include receipt books, cheque books, income file, payment vouchers (PV) file, bank statement file. FM will also keep track of the general ledger, which is the backbone of any accounting system and holds financial and non-financial data for an organization. Transactions from various subsystems are eventually recorded in the general ledger.

Subsystems that eventually feed into the general ledger are as follows:

- Petty Cash Transactions
- Bank Transactions
- Receipts
- Credit Purchases
- Payroll
- Journal Vouchers

3.2 Internal Control Measures

Follow these internal control measures to reduce the risk of misappropriation of funds:

- Any cheque written must be signed and approved by the authorized representative (team leader/FM);
- Every payment above [UGX 150,000] must be by cheque;
- Cash holding in the office should be discouraged to avoid loss through negligence and theft;
- Petty cash should be kept in a locked safe to the maximum of [500,000 UGX];
- The FM and the team leader must ensure that bank reconciliations are done every month by the 15th of the following month;
- Unannounced petty cash counts should be done regularly at least twice a month [by the team leader].

3.3 Bank Account

The bank account is the major store of funds for the DU: secure and convenient to conduct financial transactions through banks (i.e. cheque, inter-bank transfer, etc.). Cheque signatories are responsible for the financial transactions that they authorize including the disbursement and receipt of cash. The signatories shall critically review all documentation before they authorize anything.

The bank signatories are as follows:

- Team leader (fill in the right name and function for the DU)
- Finance Manager (fill in the right name and function for the DU)

Cheque books are kept in the safe under the supervision of the FM and closely monitored by the team leader. The payee and reason for payment must appear on each cheque counter foil.

3.4 Cash Payments

Cash requires a system of procedures and policies that maintain adequate control, as follows:

- All cash receipts must be received during official working hours;
- All cash receipts must be deposited in the bank no later than the day after the cash was received; bank deposit slips must be kept in the bank file;
- All cash receipts must be supported by a requesting document signed by the respective staff member;
- Staff handling cash should prepare regular cash counts and make cash count statements which must be approved by the FM;
- All disbursements, except petty cash should be made by pre-numbered cheque;
- A Payment Voucher must support all disbursement, also in case of handling petty cash;
- All vouchers and supporting documents should be submitted for authorization before cheques are signed.

3.5 Petty Cash

Petty cash is meant to pay for small one off purchases, mostly urgent items such as stationary, stamps, photocopying, etc. Regular or budgeted items (such as water, electricity, asset purchase, kitchen costs, staff salaries) should not be paid out of the petty cash float.

The petty cash fund held by the FM shall not exceed UGX 500,000 at any time unless approval to hold more is granted by the team leader.

Petty cash should be controlled as follows:

- Have a separate petty cash book to record all petty transactions;
- The maximum payment from petty cash is UGX 150,000 per transaction;
- Payments from petty cash require documentation before payment is made, being:
 - o Signed and approved payment requisition document (by team leader)
 - o Signed receipt of payment document (by recipient);
- Petty cash receipts and vouchers must be stamped « PAID » and filed in a separate file;
- DO NOT borrow money from petty cash;
- The cash fund shall be operated on imprest (advance) basis; reimbursement shall follow the standard payment procedure:
 - o i.e. request by FM for a cheque payment to petty cash;
 - o To get a signed approval from the team leader.

3.6 Payments

All purchases or advances must be requisitioned for by submitted a detailed activity budget (see item 3 with supporting documents (see item 15), then forwarded to the team leader who has to approve by signing the document, before any (cheque) payments are prepared.

The staff member receiving the money will sign a form of receipt of the money, indicating at least: name, date of payment, activity number, purpose of the expenditure and the amount paid.

Payment Vouchers (PV) will be prepared by the FM for all expenses incurred based on approved requisitions. The PVs with all its supporting documents stamped « PAID » will be recorded in the cash and or bankbooks and then filed sequentially.

4. FRAUD, CORRUPTION AND CONFLICT OF INTEREST

This part of the policy describes the responsibilities of staff members, volunteers and consultants in observing and upholding the DU's position on bribery, fraud and corruption. It gives information and guidance on how to recognize and deal with bribery and corruption issues. All staff members must read, understand and act in accordance with this part of the policy. By signing their contract, DU staff automatically commits to following the practice described in this section of the policy.

The following terminology is used:

Corruption	The abuse of public or private office for personal gain
A bribe	An inducement or reward offered, promised or provided in order to gain any commercial, contractual, regulatory or personal advantage.
Fraud	A wrongful or criminal deception intended to result in financial or personal gain.

4.1 Fraud and Corruption

It is the responsibility of the team leader and the management team to monitor the internal systems to make sure that high standards are applied and brought to the attention of the staff. Monitoring the systems includes

- An adequate separation of duties (more than one employee is involved in key tasks);
- Proper authorization procedures (transactions must be approved); and
- Independent monitoring and checking of data and documentation (checks and balances).

Any suspected irregularities or fraud will be referred to the team leader and the management team and those will be thoroughly investigated.

4.2 Bribes and Gifts

Staff members must not engage in any form of bribery, either directly or through any third party. Also staff members shall never directly or indirectly accept or agree to receive a financial or other advantage as a reward for the performance of duties. It makes no difference whether the advantage is for the staff member or a third party.

Staff members are prohibited from using their position, facilities or property for personal or commercial gain. They are prohibited from accepting or soliciting, directly or indirectly, any gift, favour, entertainment, loan, commission or any other item of monetary value from a person who:

- Has sought or is seeking to obtain contractual business or financial relations with the DU;
- Appears to be offering the gift with expectation of obtaining advantage or preferential treatment in dealing with the DU.

These are criminal offences which will lead to termination of the employment.

In addition to the above, staff members must not offer or give any gifts or hospitality to any public employee or government officials or representatives, or politicians or political parties. Also, the DU does not approve of making donations on behalf of the organization, whether in cash or kind, in support of any political parties or candidates. Such donations can be perceived as an attempt to gain an improper advantage.

4.3 Conflict of Interest

All staff members, as well as all volunteers, peer educators, interns and consultants are expected to act in the DU's best interest and should not have any personal or business interest that may conflict with their responsibilities.

In case a conflict of interest does arise, it must be disclosed in writing immediately to the team leader. In such cases, the staff member will need approval from the team leader to stay involved in the relevant activities. The staff member involved in those cases will not participate in active decision making in the respective business.

In cases involving the team leader, the management team must be informed in writing and be in charge of taking a decision on the way forward.

All of the above decisions must be confirmed in writing and stored in the HR folder of the DU under the respective staff member.

In case of situations where a conflict of interest arises, the team leader will share with the DU's management the nature of the relationship (s) between staff member and the respective business or organization as well as the agreed way forward for the specific situation.

4.4 Protection and Whistle Blowing Act

Staff members who refuse to accept or offer a bribe, or those who raise concerns or report wrongdoing of others, are sometimes worried about possible repercussions. The DU aims to encourage openness and will support anyone who raises genuine concerns in good faith under this policy, even if they turn out to be mistaken.

Special reference is made to the Uganda Whistle blowers Protection Act, 2010, which provides for:

- The procedures by which individuals, in both private and public sector, may in the public interest disclose information that relates to irregular, illegal or corrupt practices;
- The protection against victimisation of persons who make disclosures;
- Related matters.

The DU's management team will ensure that no one suffers any damaging treatment as a result of refusing to take part in bribery or corruption, or because of reporting their suspicion that an actual or potential bribery or other corruption offence has taken place, or may take place in the future.

Annex C4 Financial Management

Financial Management

Financial management is the planning, directing, monitoring, organizing, and controlling of the financial resources of an organization.

The element of planning is directly related to the organization's budgets that shows how you have planned and how the money will be spent. Directing, monitoring and controlling ensures that the money is spent according to your planned budget:

- How do you check this?
- Which systems are in place?
- What procedures must be followed?
- Who is in charge of approvals?

The above is described in a separate Finance Manual.

Book Keeping

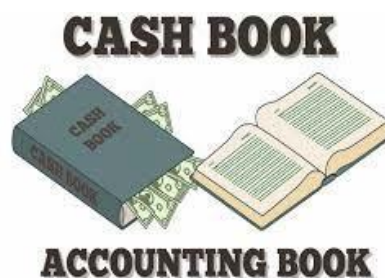
An important component of financial management is the book keeping: organizing files, check of expenditures against budget, making payments, organizing receipts etc. This hand-out provides a simple introduction to book keeping for people who are relatively new to the area. It explains the basic principles, and how to put them into practice.

The cashbook

A cashbook is a list of all your financial transactions and includes payments and receipts. A cashbook is the most important accounting book. It records the basic information used to build up a complete set of accounts. The following details should be entered in the cashbook for each transaction:

- the date
- a description
- a reference number
- the activity number
- and the amount

Many cashbooks have **receipts** on the left and **payments** on the right. But it can also be organized with receipts and payments amounts columns next to each other, and a running balance column. Whatever way: cashbooks always contain the same basic information and they contain all information on money received and spent.



At the end of the month the balance is carried forward to the next month. This is the starting position for the new month. This 'balance carried forward' should be the same as the amount of money in the safe at the end of the month. If it is not, then either a payment or a receipt has been made but not recorded in the cashbook, or money has been taken or added to the safe. If so: check!

A bankbook

A bankbook

Keep a separate accounting book to record the details of all your bank transactions, this book should describe exactly what is happening in each cash account and bank account. The bankbook has almost exactly the same format as the cashbook, the only difference is an extra column used to record the cheque numbers of all payments made. The bankbook is completed in exactly the same way as the cashbook.

It is important to remember that transfers made between cash and bank must be recorded in both account books. A transfer from cash to bank for instance is recorded in the cashbook as a payment. And in the bank book, the amount is recorded as a receipt.

Payment vouchers

In a cash or bank book, each transaction is given a reference number. For payments, this is normally done using payment vouchers. Every payment should be given its own payment voucher. You write down details about the payment on the payment voucher, this provides a summary of the transaction and assigns a unique reference number to each payment. The reference number makes it easy to track records from the cashbook to the supporting documents.

Minimum information for a payment voucher:

- 1) A unique number for the payment voucher (numbered sequentially)
- 2) The date of the payment
- 3) The payee (person receiving the payment)
- 4) A description of what you paid for
- 5) The amount of the payment; and
- 6) The activity code

If no printed payment vouchers are available, then you can assign each payment a number.

Payment Voucher		
PV No: _____		
Amount: _____		Date: _____
Method of Payment		
Cash: _____	Cheque: _____	
To: _____		
The Sum of: _____		
Being: _____		Payee: _____
Approved By: _____	Paid By: _____	Signature _____

Payment Voucher Template

Payment vouchers should be produced in **duplicate**.

- File the first copy in the accounts records with the supporting documents; and
- Keep the second copy in the payment vouchers book.
- This gives you an extra record of all payments made in the vouchers book, along with the record in the cashbook.

Every payment must be supported by a **receipt** and an **invoice** where available.

- Receipt is the proof that payment really happened and that goods/services were bought.
- Invoice describes goods/services that were received. If you have no invoice, the goods/services received should be described on the receipt.

Receipt vouchers Any income received should be documented on a receipt voucher. This must state: its own unique number (numbered sequentially), the date of the receipt, the name of the person or organization

giving the money, a description and the amount. Receipt vouchers should be produced in triples

- One copy for the person giving you the money (signed by who received the money)
- Second copy is for your accounting records (with supporting documents attached if necessary)
- Third copy should be left in the book.

Books of unused receipt vouchers should be stored in a secure place.

Supporting documents

Each transaction must have supporting documents filed for it. Supporting documents include:

- Internal documents like vouchers and requisition or authorization forms, and
- External documents like receipts or invoices from suppliers, and bank statements.

These files are a crucial part of any set of accounts!

How to file the supporting documents?

- The documents should be filed as follows:

A. Per objective

A1: Subdivision for each activity under that objective¹¹

Month For activities that run for a couple of months it is strongly recommended to use dividers for each month

- The documents filed for each transaction should include:
 - Authorization (can be on the payment voucher or is an attached requisition form)
 - The payment voucher and supplier receipts, invoices, or other evidence of payment, all stapled together

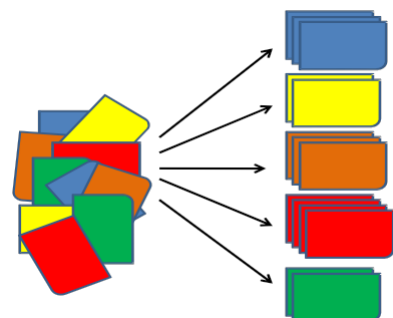
Producing Accounts and Summarizing information

Keeping good records is an important part of your accounting system. However, they only give details of individual transactions. They do not provide any overall picture of how much money was spent on what, and where money was received from. To do this, the information contained in the cashbooks must be summarized.

Activity codes

The categories used to summarize your payments are labelled with activity numbers, this helps you to allocate the different expenditures to each of your activities.

It is important that every transaction recorded in the cash and bankbooks is given its proper activity number. You can do this by adding an extra activity number column on the cash and bankbooks.



Make your summary

¹¹In that way, you can, for each activity, easily check your expenditures against the budget

Make your summary

Check your expenditures against the set budget per activity by adding the expenses per activity. Take the information from both your cashbook and your bankbook.

From this summary, it is easy to see how much has been spent and received. It provides a clear breakdown of how the money was spent, and where it came from. This is useful for your final report to the donor.

Accounting Golden Rules

- **Record everything** that you do. Any other person must be able to follow all of your accounts just from what you have recorded, with no additional explanation.
- **Be organized.** Make sure that all of your documents are properly filed, and all procedures are followed.
- **Be consistent.** If you do things one way in one month, then do them the same way in the next month.
- **Keep the books up to date.** Do not let them go for more than a week without making sure that they are up to date. Fill in all the proper books as the transactions happen, without letting a backlog build up.
- **Do not get stuck on one point.** If one thing is being very difficult, then make a simplifying assumption that will allow you to move on. Discuss it with your colleague as soon as possible.

Annex C5 Contract and Job Description

STAFF CONTRACT

This contract is made this day of **[date]**, between

[DU name] (hereinafter referred to as **[fill in the name of DU]**)

Located in **[address]**, represented by **[name and title of manager]**

and

[fill in name] (hereinafter referred to as **staff member**)

Place and date of birth:

Phone number:

For working at the [DU] in the position of [fill in position] in [location].

[DU] and staff member have agreed the following:

1. Start Date and Duration

- 1.1. Staff member will start his/her activities on [fill in day].
- 1.2. This contract is valid until [fill in date]. At least 10 days before the end of this contract, the staff member and [name manager] will discuss achievements of the past period and decide on if this contract will be prolonged.

2. Responsibilities

- 2.1. Staff member will carry out the tasks as outlined in the Job Description (attached to this contract).
- 2.2. Staff member will report back to [name and position of DU manager]
- 2.3. Staff member agrees to perform the tasks with the degree of skill and diligence required for this position.

3. Working Hours

- 3.1. Staff member and [DU] have agreed on the following working days: [fill in day(s) of the week] and working hours [fill start and end time].
- 3.2. Staff member will work from [DU]'s office and report at work no later than [time].
- 3.3. In case of illness or unforeseen complications staff member will immediately call and inform [name DU staff].

4. Payment and Reimbursements

- 4.1. Staff member and [DU] have agreed that staff member [will/will not] be paid for the work carried out. (insert if applicable: The agreed salary per month is [xx UGX] and will be paid at the [beginning/end] of the month)
- 4.2. Expenses made by the staff member need prior written approval from [name DU manager].

- 4.3. Reimbursement of approved expenses made will only be done based on the receipt of the expenses made. For expenses for which receipts are hard to acquire special approval is needed from [name DU staff].

5. Confidentiality and Conflict of Interest

- 5.1. Staff member will respect the confidentiality of any information provided by the DU and not share such information with others.
- 5.2. During the term of this contract, the staff member shall not be engaged in any side jobs which may compete directly or indirectly with [DU].
- 5.3. Staff member is bound to the DU's best interest during the term of this contract. He/she will notify [name manager] of any possible or potential conflict of interest which may result from his/her activities and shall only carry out such activities after written approval of the management team of [DU].

6. Termination

- 6.1. This contract may be terminated by staff member or [DU] by giving at least 2 months' notice.

Signed by:

Staff member

Name: _____

Title: _____

Date: _____

Signature: _____

[fill in DU]

Name: _____

Title: _____

Date: _____

Signature: _____

Annex 1: Job Description

Annex 1: JOB DESCRIPTION

Function: [fill in title]
Report to: [fill in name and title]
Location: [fill in where staff member will work]

Purpose

The [function] is primarily responsible for [describe responsibilities (planning/ finance/ communication/ fundraising etc.)].

Roles and Responsibilities

The [function] is in charge of the following tasks:

- Add what is relevant
- Add what is relevant
- Add what is relevant
- Add what is relevant
- Add what is relevant
- Add what is relevant
- Add what is relevant

Skills and Competencies

The [function] should have the following skills and competencies:

- (Social and communication skills)
- (ability to manage staff)
- (written and verbal expression skills)
- (fluent in English and local language)
- (planning and organizational skills)
- (financial background)
- (ability to network, lobby and advocate on behalf of DU)
- (knowledgeable in context and culture of Uganda)
- (valid driving permit)
- Add what is relevant
- Add what is relevant
- Add what is relevant
- Add what is relevant

APPRAISAL FORM

Function: [fill in title]
Report to: [fill in name and title]
Location: [fill in where staff member will work]

Staff member: [name] Job title: [title]
Manager: [name] Date: [date]

Date of last annual appraisal: [date]

Appraisal

Board member to have a list of comments summarizing the staff member's achievements

Performance over period against objectives

Evidence of success or failure in meeting set aims/targets

Objectives for next period

Set defined goals for the [define period]

Additional comments by staff member

Include a summary of the feedback of the staff member

Training requirements

How can the staff member's skills/knowledge be improved?

Signed by:

Staff member

Name: _____
Title: _____
Date: _____

Signature: _____

[fill in DU]

Name: _____
Title: _____
Date: _____

Signature: _____

Report to be written by Board Member
Keep a signed copy of this document on file.