# ORGANISATIONAL CAPACITY BUILDING TOOLKIT

Child Safeguarding, Finance & Administration,
Leadership & Management and Access for
the Most Vulnerable

SERVE
Solidarity in Action

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# Safeguarding

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## 1.1 INTRODUCTION

During the course of 2017 staff and volunteers from Young Africa's bases in Botswana, Namibia, Mozambique and Zimbabwe gathered at their respective centres for training workshops on Child Safeguarding. These training events were a component of the SERVE/Young Africa - Building Capacity to Advance Young Africa 2017-2019 programme, funded through the European Union Erasmus+ programme. SERVE[1] – a development-focused non-profit based in the Republic of Ireland – and Young Africa[2] – a confederation of affiliated organisations that operate skills centres, youth (self-) employment programmes and community activities – have worked in partnership for several years. Other components in the programme included finance and administration, leadership and management, and youth work training modules.

Based on their previous partnership work, both organisations wanted to enhance Young Africa's capacity to deliver good outcomes for young people. The main focus of Young Africa's day-to-day operations is on supporting young people to gain skills-based training and entrepreneurial experiences through Technical and Vocational Education Training (TVET). The Erasmus+ project had a particular emphasis on enabling its centres to meet the needs of young people experiencing marginalisation and disadvantage, and as a result another component of the programme was a pilot personal development programme at Young Africa Zimbabwe called Achieve. This initiative focused on supporting young people who don't meet the entry criteria for Young Africa's TVET courses to get to the point where they are able to apply.

SERVE has built a reputation in the area of capacity building and shown itself to be responsive and flexible to the needs of its partners. Both organisations share the understanding that in order to meet the needs of young people most effectively, Young Africa needs to ensure the standardisation of key functions across their centres and attend to its development in 3 areas: people, practice and organisation. A key motivation to include safeguarding as part of this capacity building programme was to pursue best practice in line with a rights-based approach to safeguarding and work with children and young people. Safeguarding training was considered not merely as a compliance issue to uphold the law or satisfy donors, but the Erasmus+ programme was also grounded in the idea that such training investment maximises Young Africa's effectiveness to support and train as many young people as possible. It therefore helped build organisational capacity as well as the individual capacity of Young Africa staff. Enhancing professionalisation and improving competency enables the organisation as a whole to work towards its own sustainability.

Please see SERVE's companion Global Youth Work Toolkit (available at **www.serve.ie/serve-erasmus-partnership**) which outlines our best practice approach to engaging in youth work.

[1] http://www.serve.ie/          [2] https://youngafrica.org/

## What is the purpose of this document?

This document has been developed as an introductory primer highlighting what safeguarding is, why it is important and core principles informing safeguarding practice. It is hoped that leaders and managers in non-profit organisations working with children and young people are assisted by the information provided here, particularly where they are in the early stages of developing their own child protection policy.

**It must be emphasised that this document is not intended to substitute a certified training programme on safeguarding** – such training is critical for anyone working with children and young people whether in a paid or voluntary capacity and is recommended as a vital next step to apply safeguarding standards. Moreover Young Africa's staff and volunteers benefitted greatly from the time they set aside to participate in the training workshop, not least because of the opportunities to share and exchange information and experiences within the group as well as obtaining concrete information on sound practices. The trained facilitators used an interactive approach using group exercises to cement learning and aid application to participants' settings. Their knowledge of the participating organisations enabled them to tailor the content while also ensuring clarity on best practice.

No document can replace such a valuable experience, and a training event marks the beginning of a learning process where ongoing training and review will prove beneficial. Indeed in some contexts there is a requirement for youth workers, social workers, teachers and others in regular contact with children and young people to complete refresher safeguarding training every 3 years. However the intention is that this document serves as a succinct outline of key information and provides a practical starting point for non-profit organisations working with children and young people seeking to promote the welfare of children and young people.

It should also be noted that Young Africa has benefited from developing its own Child Protection Policy that sets out key procedures and protocols in order to standardise processes across its affiliate organisations. As sample child protection policy is included in the Appendices of this document.

## Acknowledgements

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E: chris.friendsofafrica@gmail.com

Compiled, researched & written by: Deborah Erwin
E: debs@deboraherwin.org          W: www.deboraherwin.org

Graphic Design: Andy McClelland
E: hello@andymcclelland.co.uk          W: www.andymcclelland.co.uk

## 1.2 WHAT IS CHILD PROTECTION & SAFEGUARDING?

**Child protection** is the process of protecting individual children identified as either suffering, or likely to suffer, significant harm as a result of abuse or neglect. It involves measures and structures designed to prevent and respond to abuse and neglect.

**Safeguarding** is the action that is taken to promote the welfare of children and protect them from harm. Safeguarding means protecting children from abuse and maltreatment, preventing harm to children's health or development.

### What is child abuse?
"Child abuse is a global problem that is deeply rooted in cultural, economic and social practices."
**(WHO 2015)**

Child abuse exists in all countries, communities and is expressed in personal values, beliefs and practices and also through wider societal, cultural and institutional systems and processes that mean children are abused and denied their right to a safe, secure happy and healthy childhood. Statistics for children globally include:

- 13 million children are orphaned as a result of AIDS.
- 1 million children worldwide live in detention.
- 180 million children are engaged in the worst forms of child labour.
- 1.2 million children are trafficked every year.
- 2 million children are exploited via prostitution and pornography.
- 2 million children are estimated to have died as a direct result of armed conflict since 1990.
- 300,000 child soldiers at any one time.

### Why is safeguarding important?
When organisations in contact or working with children and young people implement a child protection policy and apply safeguarding practices, they are proactively taking steps to prevent child abuse, protect children and promote their welfare. Safeguarding is about putting the welfare of children first and respecting their rights.
Part of a child-centred approach to work with children and young people...

### The Legal Context of Safeguarding
**The United Nations Convention on the Rights of the Child** (UNCRC)[3] is the most widely ratified international treaty on human rights[4] and sets out 54 articles on the civil, political, economic, social and cultural rights of children everywhere. According to the UNCRC a child

[3] https://www.unicef.org/crc/ & https://www.unicef.org/rightsite/files/uncrcchilldfriendlylanguage.pdf (in child-friendly language)
[4] All United Nations member states have ratified the UNCRC except the United States of America.

is anyone under the age of 18. The UNCRC is binding in international law and governments are held accountable to their implementation of the convention and the status of children's rights in their country through a periodic reporting mechanism to the UN Committee on the Rights of the Child. Consequently the UNCRC provides a legal basis at the international level for efforts to ensure the protection of children.

Some of the key rights outlined in the UNCRC that relate directly to child protection and safeguarding are listed below:

### Article 1 (definition of the child)
Everyone under the age of 18 has all the rights in the Convention.

### Article 3 (best interests of the child)
The best interests of the child must be a top priority in all decisions and actions that affect children.

### Article 12 (respect for the views of the child)
Every child has the right to express their views, feelings and wishes in all matters affecting them, and to have their views considered and taken seriously. This right applies at all times, for example during immigration proceedings, housing decisions or the child's day-to-day home life.

### Article 16 (right to privacy)
Every child has the right to privacy. The law should protect the child's private, family and home life, including protecting children from unlawful attacks that harm their reputation.

### Article 19 (protection from violence, abuse and neglect)
Governments must do all they can to ensure that children are protected from all forms of violence, abuse, neglect and bad treatment by their parents or anyone else who looks after them.

### Article 27 (adequate standard of living)
Every child has the right to a standard of living that is good enough to meet their physical and social needs and support their development. Governments must help families who cannot afford to provide this.

### Article 34 (sexual exploitation)
Governments must protect children from all forms of sexual abuse and exploitation.

### Article 36 (other forms of exploitation)
Governments must protect children from all other forms of exploitation, for example the exploitation of children for political activities, by the media or for medical research.

## Policy Responses to Child Protection & Safeguarding

Many nations have legislation that sets out requirements to safeguard children and policy structures to provide a system of child protection. For example, in the Republic of Ireland the Children First Act 2015 sets out statutory obligations for organisations providing services to children regarding child protection. This legislation emerged from national guidance first published in 1999 called, Children First: National Guidelines for the Protection and Welfare of Children, which was most recently reviewed and updated in 2017. This guidance promotes the protection of children from abuse and neglect and sets out definitions of abuse, and signs for its recognition. It explains how reports about reasonable concerns of child abuse or neglect should be made by the general public and professionals to Tusla, the national Child and Family Agency in Ireland. It sets out what organisations need to do to keep children safe and describes the obligations under the Children First Act 2015 and to whom they are attached. The Children First Guidance also places an overall corporate responsibility on Irish organisations working with children, whether in the public, private or voluntary sector to safeguard children using their services. The Guidance sets out the best practice that organisations should adhere to in order to keep children safe. Furthermore organisations and those working with children are by law under the Children First Act 2015 to report serious concerns in relation to child abuse or neglect in writing to Tusla.

It is essential for the process of developing a Child Protection Policy and implementing safeguarding best practices in your organisation that you are fully aware and compliant with the national legislation, policy directives and child protection system relevant to your setting.

## Standards for Safeguarding

In addition to legal and policy requirements and in different national, organisational and thematic contexts, organisations in contact or working with children and young people will be encouraged to meet certain safeguarding standards. Sometimes such standards can serve as a baseline for practice if your organisation is in the process of developing its own Child Protection Policy. There are four International Child Safeguarding Standards as outlined by Keeping Children Safe[5]:

### Standard 1: Policy
The organisation develops a policy that describes how it is committed to preventing and responding appropriately to, harm to children

### Standard 2: People
The organisation places clear responsibilities and expectations on its staff and associates and supports them to understand and act in line with these

[5] https://www.keepingchildrensafe.org.uk/how-we-keep-children-safe/accountability/accountability

**Standard 3: Procedures**
The organisation creates a child-safe environment through implementing child safeguarding procedures that are applied across the organisation

**Standard 4: Accountability**
The organisation monitors and reviews its safeguarding measures

**General principles**
In addition different policies and child protection systems will often be informed by certain principles. The international safeguarding standards outlined above are based on the following set of principles:

:: All children have equal rights to protection from harm.

:: Everybody has a responsibility to support the protection of children.

:: Organisations have a duty of care to children with whom they work, are in contact with, or who are affected by their work and operations.

:: If organisations work with partners they have a responsibility to help partners meet the minimum requirements on protection.

:: All actions on child safeguarding are taken in the best interests of the child, which are paramount.

**Further Reading:**
DAVEY, C. (2012) The role of safeguarding in child protection systems – is your house in order? [online] Available from: https://www.keepingchildrensafe.org.uk/how-we-keep-children-safe/capacity-building/resources/role-safeguarding-child-protection-systems-0

KEEPING CHILDREN SAFE (2014) Child safeguarding standards & how to implement them. [online] Available from: https://www.keepingchildrensafe.org.uk/sites/default/files/resource-uploads/KCS_STANDARDS_2014.pdf

## 1.3 TYPES OF ABUSE

There are different types of abuse; those outlined below are the main four types:

### Physical abuse

:: Beating, slapping, or hitting

:: Pinching, biting, choking, or hair pulling.

:: Pushing, shaking, kicking, or throwing

:: Burning with cigarettes, scalding water, or other hot objects

### Sexual abuse

:: Fondling - Touching or kissing a child's genitals, making a child fondle an adult's genitals.

:: Violations of bodily privacy - Forcing a child to undress, spying on a child in the bathroom or bedroom.

:: Exposing children to adult sexuality - Performing sexual acts in front of a child, exposing genitals, telling "dirty" stories, showing pornography to a child.

:: Commercial exploitation - Sexual exploitation through child prostitution or child pornography.

### Emotional abuse

:: Name calling

:: Labeling

:: Verbal

:: Put downs

:: Blackmail

### Neglect

:: Physical – such as not providing food, shelter or supervision

:: Educational – such as a failure to educate the child or attend to special needs

:: Medical – such as not providing medical or mental health treatment

:: Emotional – such as failure to provide psychological care or permitting the child to use alcohol or other drugs

As highlighted in the introduction, certified training is a vital component of implementing best practices in safeguarding. Such training also allows for an exploration of cultural norms in relation to child protection that helps to unpack what constitutes abuse and potential causes for concern regarding abuse. Given that not all cases have simple yes/no answers, it is vital to have a qualified trainer deliver training in order to provide clear information about the application of safeguarding standards and principles, and how to respond to allegations of abuse. Ultimately where a member of staff or volunteer in your organisation believes a child to be at immediate risk of abuse, they must respond and act immediately.

## 1.4 KEY COMPONENTS OF A CHILD SAFEGUARDING POLICY

### Statement of Commitment
Examples of what to include:

:: Definition of 'child'

:: Recognition of international, regional and local instruments guiding policy

:: Recognition of children's universal right to protection

### Persons expected to abide by the policy

:: Those with whom an organisation has a contractual agreement e.g. staff, volunteers, consultants, other stakeholders making use of the organisation's facilities or premises etc.

:: Children and communities are not expected to abide by the policy but are beneficiaries of the policy.

### Rules for staff/Behaviour expected of staff

:: Outlines behaviour expected of staff for the purpose of keeping children safe

:: Outlines what staff should and should not do

:: Highlights the conduct of staff in regard to child safeguarding

### Reporting procedures for internal and external concerns
Internal concerns are those where persons covered by the policy are alleged perpetrators or act in breach of the policy. External concerns are abuses usually that are considered criminal by law and perpetrated by persons not covered by the policy.

This section should outline:

:: To whom and how staff and representatives etc. report child safeguarding concerns

:: Procedures for reporting allegations of breach of the policy by staff

:: Procedures for reporting allegations of abuse by outsiders

:: Key principles and practice, for example, immediate reporting, confidentiality

You can never handle all external concerns thus it is important to make a decision over what your organisation can handle, for example, only receive external concerns for the purposes of referring them to other service providers in the field if they have not already been reported to the appropriate offices.

### How to inform children, communities, partners, staff of the policy

:: Consider staff induction, periodic training

:: How to inform children and communities on conduct to expect of staff and how they can raise concerns over inappropriate behaviour by staff

### How to prevent harm to children, for example, through risk assessment

:: How often risk assessments are conducted, how to use information from the risk assessment

:: What are the other ways of preventing harm to children that you will employ?

## Important Considerations

### Annual roll-out plan of the child safeguarding policy

:: It is important to have an annual roll-out plan on how and when you will be implementing activities of the child safeguarding policy, e.g. finalisation of the policy, endorsement of the policy by the Board of Directors, staff training in the child safeguarding policy, training of volunteers, refresher training etc.

### Child Safeguarding Focal Persons

:: It is imperative that you have child safeguarding focal persons who will take the lead in rolling out the annual plan and handle concerns

:: The Director/President should be ultimate person responsible for the policy, however they need to work with other staff in rolling out the policy

### Policy Review

:: Ideally the policy should be reviewed after every 3 years

A sample policy is included in Appendix 1.

## 1.5 USEFUL LINKS

### Keeping Children Safe

https://www.keepingchildrensafe.org.uk/
Keeping Children Safe's mission is to work with organisations to safeguard all children from exploitation, abuse and violations of their human rights. It advocates for the universal adoption and monitoring of international standards on safeguarding, build the capacity of organisations to safeguard children and work to advance a global movement of organisations committed to ensure that their staff, operations and programmes do no harm to children. The KCS website includes a useful resource library: https://www.keepingchildrensafe.org.uk/how-we-keep-children-safe/capacity-building/resource-library

### United Nations Convention on the Rights of the Child

https://www.unicef.org/crc/

**Appendix 1**
## 1.6 SAMPLE MODEL CHILD PROTECTION POLICY

This sample policy should only be used as a guide. Each agency that comes into contact with children must develop their own policy to fit in with their organisation.

The agency believes that all forms of abuse and exploitation suffered by children are unacceptable. The agency accepts that steps must be taken to protect families from those adults who might seek to gain trust and access to young children through the agency's work. The possibility of staff, donors or partners abusing children is one that the agency takes seriously and is committed to working to prevent.

Child protection is a corporate and an individual responsibility. All staff will be made familiar with the need for a child protection concern in all that we do. Associations with anyone found to be engaging in abusive and exploitative relationships with children will be broken.

### 1. Recruitment & Training

1.1 All prospective employees, volunteers and board members will be informed of the agency's child protection policy. They will be asked to sign a declaration of criminal convictions as part of the application process.

1.2 All applicants will be subject to police checks.

1.3 For all applicants a reliable character reference will be obtained, and particular attention will be given to any area of concern relating to child protection.  During the interview process applicants will be asked about previous work with children.

1.4 All applicants for overseas posts or work involving overseas travel will also be interviewed by a Child Protection Officer as part of the selection process.

1.5 All staff, volunteers and board members will receive training about the agency's Child Protection Policy.  They will be given a copy of the policy and will be required to sign a declaration that they have received and understood it.

1.6 Individuals who are hired as independent contractors will be given a copy of the agency's Child Protection Policy and required to sign a declaration that they have received and understood it.

1.7 Volunteers with the agency will be monitored by the Team Leaders to whom they are assigned to ensure that confidential information concerning children is not misused.  Where there are concerns managers should inform the Director of Human Resources, who will investigate further.

1.8 Any member of staff, volunteer or board member travelling abroad for the first time, for whatever reason, will be interviewed by a Child Protection Officer, to ensure his or her suitability for the trip.

1.9 Staff visiting the field for prolonged periods, including overseas contract staff, will be given briefing by a Child Protection Officer on the incidence and indicators of child abuse.

## 2. Behaviour Protocols

2.1 Behaviour protocols are rules of appropriate and proper behaviour, which are designed to protect children but are also intended to protect adults from false accusations of inappropriate behaviour or abuse. These protocols apply to employees, volunteers, board members, contractors, sponsors and any visitors to the agency's projects.

2.1.1 Agency personnel and visitors must not stay alone overnight with one or more children or minors, whether in staff accommodation, project premises or elsewhere.

2.1.2 Agency personnel and visitors should not hire minors as "house help" or provide shelter for minors in their homes. A minor is defined as a child under the age of 18 years.

2.1.3 Agency personnel and visitors must not fondle, hold, kiss, hug or touch minors in an inappropriate or culturally insensitive way. To avoid misunderstanding, it is recommended that a child be asked for permission before holding hands.

2.1.4 Where possible and practical, the "two-adult" rule, wherein two or more adults supervise all activities where minors or children are involved and are present at all times, should be followed. If this is not possible, Agency staff members are encouraged to look for alternatives such as being accompanied by community members on visits to children.

2.1.5 Agency personnel need to be aware that they may work with children who, because of the circumstances and abuses they have experienced, may use a relationship to obtain "special attention". The adult is always considered responsible even if a child behaves seductively. Adults should avoid being placed in a compromising or vulnerable position.

2.1.6 Inappropriate behaviour towards children is grounds for discipline.

2.1.7 Agency personnel must be concerned about perception and appearance in their language, actions and relationships with minors and children.

### 3. Procedures for Reporting Suspected or Actual Abuse of Children in [Organisation Name] Projects

3.1 Should a member of agency staff receive any information about, or observe, actual or suspected abuse at a project site he or she must immediately inform the agency's director. Where appropriate the matter will be referred for further investigation.

3.2 Any member of staff who has knowledge or suspicion that a child is at risk must report this to the Director of Human Resources, who will determine what action to take.

### 4. Communications about Children

4.1 Communications about children should use pictures that are decent and respectful, not presenting them as victims. Children should be adequately clothed and poses that could be interpreted as sexually suggestive should be avoided. Language that implies a relationship of power should also be avoided. However, we also recognise there are times when children are in reality victims, for example, of famine. In such cases the child's dignity should still be preserved whilst presenting the reality.

4.2 Web sites and other promotional materials should not use scanned images of children without formal permission of the agency office responsible for the project and the parent(s)/guardian(s) of the child. This permission should be in writing.

4.3 Child personal and physical information that could be used to identify the location of a child within a country should not be used on agency web sites or in any other form of communication about a child.

4.4 Individuals or organisations requesting the use of agency resources such as videos or photographs should be required to sign an agreement with the agency as to the proper use of such materials. The agreement will include a statement that any use of such materials for purposes other than what is agreed upon could subject the borrowing individual or organisation to legal action. Furthermore, failure to adhere to the agreed upon use of the material will result in the immediate termination of the agency's permission to use the subject materials and/or require immediate return of all materials provided by the agency as well as any copies of such materials.

### 5. Partner Organisations

5.1 Any agreement between the agency and partner organisations which provide services to children will require assurance that child protection policies and procedures are in place, acknowledging that lack of such policies can place children and the agency at risk.

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# Finance & Administration

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## 2.1 INTRODUCTION

In October 2017 directors and administrators from Young Africa's centres in Botswana, Namibia, Mozambique and Zimbabwe gathered for a training workshop on Finance and Administration. This training event was a component of the SERVE/Young Africa - Building Capacity to Advance Young Africa 2017-2019 programme funded through the European Union Erasmus+ programme. SERVE[1] – a development-focused non-profit based in the Republic of Ireland – and Young Africa[2] – a confederation of affiliated organisations that operate skills centres, youth (self-) employment programmes and community activities – have worked in partnership for several years. Other components in the programme included safeguarding, leadership and management, and youth work training modules.

Based on their previous partnership work, both organisations wanted to enhance Young Africa's capacity to deliver good outcomes for young people. The main focus of Young Africa's day-to-day operations is on supporting young people to gain skills-based training and entrepreneurial experiences through Technical and Vocational Education Training (TVET). The Erasmus+ project had a particular emphasis on enabling its centres to meet the needs of young people experiencing marginalisation and disadvantage, and as a result another component of the programme was a pilot personal development programme at Young Africa Zimbabwe called Achieve. This initiative focused on supporting young people who don't meet the entry criteria for Young Africa's TVET courses to get to the point where they are able to apply.

SERVE has built a reputation in the area of capacity building and shown itself to be responsive and flexible to the needs of its partners. Both organisations share the understanding that in order to meet the needs of young people most effectively, Young Africa needs to ensure the standardisation of key functions across their centres and attend to its development in 3 areas: people, practice and organisation. At a baseline level finance and administration training supports implementation of sound finance, administration and human resources policies and procedures thus aiding compliance with donor and statutory requirements. Furthermore the Erasmus+ programme was grounded in the idea that investing time in building Young Africa's organisational capacity as well as the individual capacity of its staff members and introducing best practice methods in finance and administration maximise its effectiveness to support and train as many young people as possible. By enhancing professionalisation in the area of finance and administration through strengthening understanding and knowledge, and improving competency, the organization as a whole is working towards its own sustainability.

Please see SERVE's companion Global Youth Work Toolkit (available at **www.serve.ie/serve-erasmus-partnership**) which outlines our best practice approach to engaging in youth work.

**What is the purpose of this document?**

This document has been developed as a reference guide that highlights some key protocols for good practice in finance and administration with particular relevance to non-profit organisations. It is hoped that managers and administrators are assisted by the information provided here and can use it to measure against practices in their own organisations.

**It must be said that this document is not intended to substitute any kind of certified training programme on finance or administration.** Young Africa's staff benefitted greatly from the time they set aside to engage in the week-long workshop, not least because of the opportunities to share and exchange information and practices within the group as well as obtaining concrete information on sound practices. Getrude Sibanda, who delivered the training, balanced both theory and practice using group exercises to cement learning and aid application to participants' settings. Her knowledge of the organisation enabled her to tailor the content accordingly. There were also opportunities for participants to share their knowledge on specific topics with their peers e.g. finance and administration for a franchising model. No document can replace such a valuable experience, and indeed a training event marks the beginning of a learning process where ongoing training and review will prove beneficial. However the intention is that this document serves as a succinct outline of key information and provides a practical starting point for other non-profit organisations seeking to attend to their organisational capacity in the area of finance and administration as a means of achieving their missional goals.

It should also be noted that Young Africa has benefited from developing a Finance and Administration Manual tailored to its financial and administration needs in order to standardise processes across its affiliate organisations. This manual includes a number of templates such as a Petty Cash Reimbursement Form or a Fixed Asset Register. Particularly where non-profit organisations are of a significant size and perhaps have a number of sites or centres, it is recommended that such a manual is compiled to create a standardised system of financial and administrative practices.

"Young Africa is about to be transformed through improved systems and administration. Participants internalised the processes and by narrating their own current situations, realised where they will improve and by when."

(Trainer)

### What is included in this document?

This document serves as a reference guide highlighting some key protocols for good financial and administrative management for non-profit organisations with regard to a range of core functions such as budgeting, cash management, procurement, reporting to funders, asset management and audit.

"The training was useful for those starting out in providing clarity on how to manage finance and resources and how to ensure they maintain acceptable standards of accountability even if they are a small team. For the centres that have bigger operations the training was also very useful because it gave an opportunity to benchmark and reflect on 'where are we and where should we be?'"

(Young Africa Hub Manager)

## 2.2 BUDGETING

# "Failure to plan is planning to fail..."

### What is budgeting?

:: Budgeting is about the creation of a financial plan that is linked to the organisation's work plan – it allows for the allocation of financial resources to achieve activities set out in the work plan.

:: Budgets provide a standard by which to measure performance, encourage planning, and allocate resources in accordance with funding source requirements.

### Why is budgeting important?

:: Budgeting enables managers to plan for the level of funding required and avoid under- or overstatement of project costs.

:: Budgeting enables relevant departments/personnel to be aware of the financial implications of their planned activities within a given timeframe.

### Types of budgets

:: **Zero-based budget** – This kind of budget starts from scratch to estimate revenue and expenses and is not based on any prior period's performance.

:: **Historical budget (recommended)** – This budget considers previous activities in the actual income and expenses of the organisation and contemplates changes based on the year's work/ strategic plan. It can increase or decrease the figures from the previous year by a set percentage.

:: **For the Operations Account** – This budget sets out the revenue represented by internally generated funds.

:: **Funds from donors** – This is a budget that has been submitted with a funding proposal and is based on the amount to be received.

### Recommendations for Budgeting

:: Preparation time: The budget should be developed well in advance at least 3 months in advance of the following year's budget – this allows for input from all departments, compilation, reviews and approvals by the Director and Board of Trustees. Aim to have it signed off around 3 weeks before the start of the new financial year.

:: Prepared by: The Finance & Administration Officer with input from the Director, Programme Manager and departmental heads.

:: Include comparisons: Monthly financial reports should have a comparison between budget and actual. Variance reports provide help in improving decision-making for the remaining budget period.

:: Shifting amounts between budget lines – note that this is easier with budget headings for operational activities, but with donor budgets express written permission has to be sought, and terms and conditions have to be followed.

:: Assumptions: It is helpful to include some assumptions as a guide to budgeting and note down justifications.

## Key Components in Budgeting

### Income Budgeting

:: Use the prior year's actual income received as your starting point.

:: Assess if all the prior year income sources will still apply and at the same levels in the coming year, then adjust accordingly. For example, is there room to increase revenue from services you deliver without affecting the viability of contracts?

:: Add a percentage to prior year figures taking into account the operating economy and ability by clients to pay.

:: Have a complete and accurate database for all income contributors and calculate how much is likely to come in. Keep the estimates reasonable.

:: If your available budget is not likely to be adequate for the activities named in your organisation's work plan, identify new sources of funding or income-generating projects.

:: Estimate expected dates and amounts of revenue to be generated e.g. venue hire peak periods may be in the festive seasons. Then compare expected dates & amounts of revenue to estimated expenses.

### Budgeting Expenses

:: Use the prior year's actual income and expenses incurred as your starting point.

:: Assess if all the prior year's expenses will still apply and at the same levels in the coming year, then adjust accordingly.

:: Estimate the cost and resources required to achieve each objective in the organisation's work and strategic plans.

:: For recurrent expenditure e.g. utilities, you may decide on a percentage – depending on the operating environment and other economic indicators.

:: For goods, services and other supplies for new programmes – actual activities can be taken from the work plan and prices checked in the market. A percentage can be built into the budget to cushion any unforeseen changes in the coming year.

:: For capital expenditure (acquisition of assets whose useful lives are greater than the current period) check prices in the market. State these individually since they have a huge impact on financial performance.

:: Payroll – Decide what percentages to award based on the income bases, the collective bargaining processes and the labour market in general. Incorporate these in the budget.

:: Include a Contingency Amount in the budget – This refers to the money set aside to cover any unforeseen expenses. Contingency expenses are required because any organisation or project can face an uncertainty because of which certain costs are incurred. As a standard practice, the contingency amount is usually 10% of the total budget.

**Donor Specific Budgeting – European Union**
Regarding grants and restricted Funds from the European Union, the following is recommended:

:: Provide a narrative clarification of each budget item demonstrating the necessity of the costs and how they relate to the action (e.g. through references to the activities and/or results in the description of the action).

:: Provide a justification of the calculation of the estimated costs. Note that the estimation should be based on real costs or on simplified cost options if allowed (this may be described a set of 'Guidelines for Grants Applicants' provided by the funder).

:: Note that some donors ask grantees to match contributions e.g. European Union grants often require 80:20 match-funding so you have to plan for how you will meet this requirement out of the organisation's internal funds.

:: It is vital to consider your organisation's capacity to fulfil the administration requirements of the grant, both in terms of the necessary technical skills and time – particularly if it is a large grant from a significant funder that mandates multiple control measures. Remember that it can be easy to write a good proposal but fail to implement so plan ahead for how you will manage the administration of each grant you receive.

:: Ensure compliance with donor requirements – this is an obvious point but one that requires deliberate effort. Always read all guidance and terms of conditions provided by donors in full.

"Better financial management through following the finance and administration procedures means that you know your financial status, can manage cash flow, you know everything – and all of that contributes to sustainability of the projects."
(Young Africa Director and training participant)

## Donor Specific Budgeting – European Union Example

| Activity | Annual Budget EUR | Justification |
|---|---|---|
| Project Manager salary 100% | 12,000 | Oversees implementation, performance, donor reporting |
| District Coordinators x3 @ 50% | 9,000 | Assist at district level – Project Manager and M&E |
| Trainers x3 @ 100% | 13,000 | Training delivery |
| Finance & Administration Officer @ 100% | 6,000 | Overall financial reporting/accounting |
| Director @ 20% | 6,000 | Overall in charge of programming |

### TRAVEL

| | | |
|---|---|---|
| Motorcycles x3 | 4,500 | For District Coordinators |
| Evaluation Costs – baseline | 2,000 | To establish benchmarks for reporting |
| Expenditure Verification | 5,000 | As per donor directive – before submission of final report |
| T35 truck | 20,000 | For mobile training equipment to provinces |

## Sample Budget Format – Donor

| | All Years | | | | Year 1 | | |
|---|---|---|---|---|---|---|---|
| **Expenses** | **Unit** | **# of units** | **Unit rate (EUR)** | **Costs (EUR)** | **Unit** | **# of units** | **Unit rate (EUR)** | **Costs (EUR)** |
| 1. Human Resources | | | | | | | | |
| 1.1 Salaries – local staff (gross amounts) | | | | | | | | |
| 1.1.1. Technical | | | | | | | | |
| 1.1.1.1 Project Coordinator | Per month | 24 | 350 | 8400 | Per month | 12 | 350 | 4200 |
| 1.1.1.2 Project Officers x3 | Per month | 24 | 280 | 20160 | Per month | 12 | 280 | 10080 |
| 1.1.1.3 Field Workers x12 | Per month | 24 | 175 | 504000 | Per month | 12 | 175 | 25200 |
| 1.1.1.4 Cooperative micro-finance expert @ 40% | Per day | 300 | 56 | 16800 | Per day | 150 | 56 | 8400 |
| 1.1.1.5 Gender specialist @ 50% | Per day | 360 | 50 | 18000 | Per day | 180 | 50 | 9000 |
| 1.1.1.6 Counsellor @ 50% | Per day | 360 | 45 | 16200 | Per day | 180 | 45 | 8100 |
| 1.1.1.7 Legal Specialist @ 50% | Per day | 360 | 50 | 18000 | Per day | 180 | 50 | 9000 |

### A Summary of Budgeting Workflow Best Practice

All funding proposals for your organisation should have an approved budget. Follow this process with each proposal:

:: Where possible, use prior actual performance as a starting point, under the guidance of the work/strategic plan.

:: Be reasonable in income estimates

:: Anticipate expenses adequately

:: Seek approval from the Director and Board of Trustees

:: Stick to the budget – as far as possible

:: Comply with donor budgeting requirements.

### Questions for reflection

Use the following questions to help you put the learning from this chapter on budgeting into practice:

1. What is your understanding of a budget?

2. Why is it important for projects/affiliates within your organisation to have budgets?

3. How are you currently doing budgets in your organisation/department?

4. What factors do you consider for income i.e. income sources?

5. What are your main expenditure items and what factors do you consider when budgeting?

6. Who prepares the budgets in your organisation? Why?

7. Which departments in your organisation are key in giving input to budget preparation?

8. Who reviews the budgets in your organisation?

9. Who approves the budgets in your organisation?

# 2.3 PROCUREMENT

### Core Principles of Procurement

Purchases of goods and services should be done in a way that:

:: Maximizes the value received from the use of funds.

:: Is transparent to all stakeholders, who should have equal access to information on procurement opportunities, processes and results.

:: Ensures quality service delivery by obtaining the right product, at the right time, and in the right place.

:: Removes inefficiencies by standardizing processes

Procurement is to be done in accordance with international best practice in terms of the following core principles:

:: Openness

:: Transparency

:: Fairness

### Approval Levels

The following tables provide guidance on the appropriate approval levels i.e. identifying who has authority to sign off on purchases for both goods and services based on the cost of those goods or services.
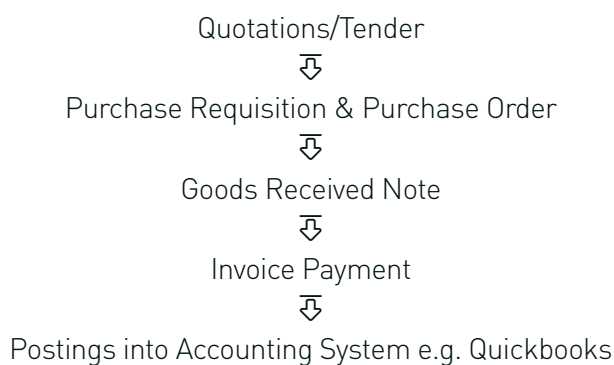
### Approval Levels – Goods

| Total Procurement Value | Means of Procurement | Approval Authority |
|---|---|---|
| $0 up to but not including $200 | Requisition, payment by petty cash | Programme Manager/Director |
| $200 up to but not including $500 | Purchase requisition, quotation, payment by bank transfer or cheque | Director |
| $500 up to $5,000 | Purchase requisition, quotations, purchase order, payment by bank transfer or cheque | Director |
| $5,001 up to but not including $20,000 | Invitational competitive procurement (minimum of 3 suppliers are invited to submit a bid), purchase requisition, quotations, purchase order, payment by bank transfer | Management Board |
| $20,000 or more | Request for proposal/ request for tender. Purchase order, payment by bank transfer | Management Board |

**Approval Levels – Services**

| Total Procurement Value | Means of Procurement | Approval Authority |
|---|---|---|
| $0 up to $500 | Requisition, quotation, cash, payment by bank transfer or cheque | Director |
| $500 up to $5000 | Open competitive process, at least 3 quotations, contract, payment by bank transfer or cheque | Director (Note that external auditor services should be procured by the management Board regardless of the procurement value) |
| $0 up to $5,000 up to but not including $20,000 | Request for proposal, at least 3 quotations, payment by bank transfer or cheque | Management Board |
| $20,000 and over | Request for proposal/ request for tender, payment by bank transfer | Management Board |

**Requisition Workflow**

Quotations/Tender

⇩

Purchase Requisition & Purchase Order

⇩

Goods Received Note

⇩

Invoice Payment

⇩

Postings into Accounting System e.g. Quickbooks

**Purchase Requisition**

:: Raised by user department based on work plan and budget.

:: Approved by the Programme Manager, after checking their work plan and their program budget.

:: Details goods/service specifications/quantities

:: Sent to Finance Department (depending on the level of authority)

:: Quotations/tender

:: Raising of the Purchase Order to supplier

## Purchase Orders

The Purchase Order should detail the following information:

:: The supplier

:: Quantity

:: Description of the item or service

:: Unit price

:: Total value

Purchase Orders should not be split to circumvent predetermined approval limits.

## Receipt of Goods/Services

:: A **Goods Received Note** should be signed by the person receiving the goods and verify that the quantity and condition of the goods are as per the order.

:: In the case of services, the staff member who initiated the order for the service should sign the invoice (materially correct) to confirm that the service has been done to his/her satisfaction. They should also sign a Certificate of Completion.

:: Regular ongoing expenditures do not require a purchase order/requisition form. The appropriate signing authority must approve invoices for these expenses. These expenditures include but are not limited to: utilities, cell phones, telephones, taxes, payroll and leases.

## Tender process

For goods/services that are US$20 000 and above the organisation should formally and openly invite tender bids for the supply of such goods and services.

## Rationale for tenders:

:: To provide an environment that encourages interest and competitive offers from suitably qualified and experienced suppliers of goods and services

:: To obtain a fair price and best value

:: To secure a supplier with capacity to undertake and meet the required scope, time, cost and quality parameters

## Responsibility

A Tender Board should be established that is chaired by a designated member of the Management Board and reviews all tender submissions. The Board of Trustees shall make the final approval in awarding tenders.

## Procedure

:: Tender preparation – to be done by the Procurement Committee

:: Product/service definition and scoping i.e. who, what, where, why, when, how – if a service is required be clear about your aims and objectives.

:: Minimum specification for tenderers detailed i.e. requisite qualifications and experience.

:: Tender submission documentation specification – i.e. what information is required from the tenderer? Examples include examples of previous work, CV, references.

:: Selection process specified e.g. are tender submissions scored according to a given weighting such as value for money, relevant experience, methodology? Are suppliers interviewed?

## Tender period

It is recommended that the Procurement Committee establishes a tender period that allows for completion of the following steps:

<div align="center">

Call for tenders through public media or acceptable media

⇩

Responding to Invitations to Tender & Developing the Commercial Offer

⇩

Tender Meetings & Enquiries

⇩

Amendments to Tender Documents

⇩

Submission & Closing of Tenders

</div>

## Tender assessment

<div align="center">

Tender analysis

⇩

Tender clarification

⇩

Award

⇩

All Procurement Committee members should sign the tender selection and award letter.

</div>

**Questions for reflection**

Use the following questions to help you put the learning from this chapter on procurement into practice:

:: What are the best procurement methods you know?

:: Why is it important to have prudent procurement methods?

:: What could go wrong in procurement?

:: What are the potential sensitives regarding procurement in your organisation and in donor relations?

:: What is the difference between a purchase requisition and purchase order? What information should each contain?

## 2.4 PAYMENTS

### Internal Controls

:: The bank mandate (i.e. the list of people who can sign on behalf of the organisation) should be approved by the Board of Trustees. Any amendments shall be as per this Board's resolution.

:: As a general rule, the officer in charge of processing the payments in the accounting system should not be a bank signatory.

:: The use of validation stamping is recommended in order to demonstrate approvals at each stage of an invoice's processing, payment and eventual posting into the accounting system.

:: The Director should approve all expenditures within the parameters set by the annual operating budget as per the set approval levels, with the exception of his/her own expenses, which should be approved by a designated Management Board member given signing authority.

### Payments

:: Payments should be based on original invoices (never against a supplier's statement or final demand); these are to be retained by the organisation and filed.

:: Where a supplier insists on issuing a pro-forma invoice pending full payment of the amount, the payment should be processed and the original invoice immediately obtained accordingly. Exceptions may include VAT, and other standing statutory remittances.

### Accounting

Where practicable each donor should have their own separate Purchase Requisition Book, Purchase Order book and voucher number sequences in their respective companies in your organisation's accounting system. This will enhance easy compilation of donor reports and ensure clear audit trails. The donor Project Contract Number should be quoted on each relevant invoice as a way of distinguishing the documents.

### Payment Processing

The Finance Department is the single point of contact for centralized payment purposes. Only payment requests supported by the following approved documents should be processed:

:: Purchase Requisition

:: Purchase Order

:: Quotations / Tender

:: Contract – where applicable

:: Delivery Note

:: Original Invoice

Following receipt of goods and the respective invoice, the invoice should be stamped with a Validation Stamp and the following approved documents attached with it in preparation for payment:

:: Purchase Requisition (Accounts Copy)

:: Quotations or award decision – from tender evaluation (whichever is applicable) or sole source justification

:: Purchase Order (Accounts Copy)

:: Delivery Note (where applicable)

:: Goods Received Note

:: Original Invoice

Approved invoices should be paid by their due dates to avoid penalties.

**Additional documentation required for specific payments:**
**Payments for services:**

:: Contract

:: Time sheets

:: Proof of settlement by the contractor

:: Proof of completion of works e.g. Certificate of completion

**Payments for trainings and workshops:**

:: Training budget breakdown as per work plan

:: Training programme

:: Attendance registers as proof of attendance including full names, identity numbers, contact details, signatures, and any other relevant details. The actual participants should sign the registers themselves for all the trainings.

:: Training/ workshop report

## Payment Methods

| Amount | Method | Approval | Accounting |
|---|---|---|---|
| Less than USD200 | Petty Cash | Director | The voucher should then be posted into the accounting system by the Finance and Administration Officer.<br><br>The sequential voucher number generated from the system should be written on the top right hand corner of the invoice. |
| USD200 and over | Cheque or Bank Transfer | Submit relevant documents to the cheque signatories, Director & Programme Manager | |
| | Online banking/ electronic funds transfer (EFT) | The Finance and Administration Officer should make the payment based on the approved supporting documents stating the supplier's name and invoice number, and then send the batch to the Director and the Program Manager for signatories to authorise the payment. | |

Payments by **credit cards** should be accompanied by relevant supporting documentation. Credit card statements should be reconciled to supporting documentation monthly.

## 2.5 PETTY CASH & CASH MANAGEMENT

### Petty Cash

Your organisation should aim to keep a Petty Cash float with an agreed amount e.g. USD200. The cash should be kept in a lockable box or safe and the keys should be kept on the custodian's person. All cash should be disbursed for the intended purpose and these funds should be used only when cash is the most cost-efficient method of payment.

Staff Responsibilities

The **Cashier/Custodian** is to be responsible for:

:: Disbursing cash from the petty cash box

:: Documenting expenditures and keeping receipts

:: Replenishing the account when it runs low

:: Safeguarding the cash

The Cashier/Custodian's supervisor i.e. the **Finance and Administration Officer**, is to  be responsible for:

:: Reviewing the requests for reimbursements

:: Checking procedural compliance, the monthly reconciliations

:: Recommending the annual petty cash review to the Director

The **Director** approves:

:: Any request related to the creation or termination of a petty cash fun

:: Reimbursements and bank requests (together with the co-signatory)

:: Changes to designated Custodians

:: Setting up new petty cash limits

### Petty Cash Request Voucher

:: This is raised by the requesting department, authorised by the respective Head of Department, and taken to the Cashier for payment.

:: The recipient shall sign for the cash

:: The voucher should show the nature of the expenditure.

## Purchasing items with Petty Cash

:: You need to obtain an original official receipt that details the Items purchased, their cost and the total. This is submitted to the Cashier who will attach it to the Petty Cash Request Form. If there is change, note it on the form and place it back into the box.

:: The Cashier should maintain a spreadsheet where individual disbursements are recorded.

:: Petty Cash Reimbursement Form - This is submitted to Finance & Administration Officer with all receipts attached. The petty cash should be counted and reconciled (beginning with amount less voucher amounts) before it is replenished.

:: A withdrawal should be made in the required amount to bring petty cash back to the approved level. Once the cash has been withdrawn, it is the custodian's responsibility to keep track of funds in the box.

## 2.6 REVENUE, BANKING & RECEIVABLES

### Receipting & Banking of Funds

:: All cash received either as cash, cheques, direct deposits or via mobile banking, should be receipted.

:: All receipted funds should be banked intact by the next working day.

:: Each department should have its own receipt book ranges, and no other departmental receipts should be receipted in another department's receipt book.

:: The receipts should be sequentially pre-numbered and completed sequentially in triplicate and distributed as follows: -

:: Top/ Original Copy – for the Payer,

:: Middle copy – to be attached to the Daily Cash Summaries Report

:: Fast copy – to be retained in the receipt book

:: Receipts should be completed in full and any alteration must be signed for by the person raising it (Cashier). No alterations or original ink appending is allowed on the carbon copy of receipts.

:: Cancelled receipts – all 3 copies should be cancelled and all retained in the receipt book.

:: Daily Receipt Summaries should be completed by the Cashier. These shall be analysed per department.

:: Cash not yet deposited shall be locked in a safe.

:: Use of receipting module in your organisation's accounting system such as QuickBooks

:: Finance & Administration Officer to do postings into your accounting system

:: Grants also to be receipted

### Security of Receipt Books

:: Receipt books are security items

:: Keep a receipt book register

:: Record withdrawals and reconcile balance

:: Keep them locked away

:: Restrict access

:: Location should be free from damage e.g. water etc.

## Grant Income

:: To be receipted also (sometimes it's a direct bank transfer)

:: The Director is the contact person for donors

:: Negotiations to be done by the Director and a designated member of the Management or the Board of Trustees.

:: Contracts to be signed by the Director

## Accounts Receivables

:: Create a database for all income sources

:: Raise invoices monthly and post into your accounting system

:: Procedures on follow-ups

:: Monthly aged analysis report to be presented to the Director as part of the Management Accounts package.

## Internal Controls

### Segregation of Duties:

:: Individuals receiving cash into the office should not be involved in authorizing and recording bank deposits in the accounting records.

:: An officer receiving cash or making deposits should not be involved in reconciling the bank accounts.

:: An officer who has physical control of the asset cannot be involved in checking and reconciling (e.g. a cash custodian).

:: No one individual should control or perform all key aspects of a transaction or event.

:: In cases where duties cannot be effectively separated, like in smaller affiliate organisation, detailed controls should be substituted by increased review or supervision as an alternative control activity that can help prevent or reduce the risks.

:: The cross-check or 'four-eye' principle entails that a procedure be checked and co-signed by a second person.

## 2.7 BOOKKEEPING & ACCOUNTING SYSTEMS

A recommended accounting system for bookkeeping is QuickBooks™ allowing for double entry bookkeeping.[3]

Using QuickBooks™ there should be 2 separate companies:

1. Office/Operations Company
2. Project Company (Each project with own separate company)

Accounts should be prepared using the Accrual Basis. Each transaction must be documented in the form of a voucher.

Entries into QuickBooks should be made based on vouchers that are ready for posting:

:: 'Received by" stamp

:: Date of issue

:: Description of the transaction

:: Value

:: Consecutive/sequential number in the voucher system (voucher number)

:: Signature of officer issuing voucher

:: Certification of review including signature and date (material and arithmetic accuracy)

:: 'Paid by' stamp – to prevent re-cycling.

:: Account allocation (Debit and Credit)

:: Confirmation of posting by the Administrator

Depending on the number of transactions entries can be posted either:

:: Daily as they are received (preferred), or

:: Accumulated and posted once a week.

### Donors & Bookkeeping

Donors often include a requirement for accurate accounting and financial administration in grant contracts. For example:

"The Contractor agrees to ensure that the Grant is properly administered, that activities funded under the budget shall be recorded fully and accurately and that funds shall be assigned to the program only by persons empowered by the Contractor to do so..."

European Union Requirements:

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[3] https://quickbooks.intuit.com/

:: Use double entry bookkeeping

:: Keep accurate and regular accounts

:: Maintain separate accounts for the Action

:: Reports to be easily reconciled to the source documents.

The donor will always want to see the following:

:: Accurate/regular accounts – double entry accounting

:: Transactions that can easily be traced back to source docunments

:: For the European Union you need to disclose interest accruing to their funds

:: Ledgers

:: Payroll/contracts/time sheets

:: Fuel Consumption

:: Proof that taxes/VAT have been paid or cannot be reclaimed.

:: Procurement procedures – tenders/tender evaluation/award etc.

:: Contracts, order forms, Goods Received Vouchers

:: Training reports, time sheets, transport tickets

:: Attendance registers (participants' lists) for seminars/workshops etc.

:: Invoices/receipts/proof of payments

:: Proof of settlement/certification of completion

# 2.8 REPORTING REQUIREMENTS & DONORS

**Reporting Requirements**

The following reports (at the minimum) are to be produced monthly by the Administrator for review by the Director:

:: Statement of Comprehensive Income

:: Statement of Financial Position

:: Bank reconciliation Statement

:: Cash-flow Statement

:: Accounts Receivable – aged analysis

:: Accounts Payable Report – aged analysis

The reports should include financial commentary, highlights and key performance indicators. Narrative reports should come from Programs Manager for review by the Director.

**Reporting Currency**

:: The reporting currency should be the functional currency of the country.

:: Transactions in foreign currency being translated at the rate ruling on the date of transaction. This is averaged in accounting systems like Quick-books to give the average rate.

:: For donors – the exchange rate is to be calculated as per the contract. E.g. With European Union funding the monthly accounting rate of the euro for the relevant dates are available to access from InforEuro[4].

**Reporting Requirements – Donors**

:: Read and understand donor requirements in the contract. If there are any unclear clauses, ask before signing the contract.

:: Draw up the financial reports in the donor's format, currency and at the requisite frequency.

:: As a general rule, customise the Chart of Accounts to include all items specified in the budget.

:: It is recommended that a dedicated a bank account is opened for each donor to make accounting for donor funds and reporting easier.

:: Funds should not be diverted to support any other expenditure that is not foreseen in the contract. Such a breach may lead to suspension or termination of aid by the donor.

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[4] http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/index_en.cfm

:: Funds should be utilised during the stipulated implementation period, even if the donor may deposit them in advance.

:: As a general rule, terms and conditions of the Grant Contracts should be observed as they are.

## Bookkeeping & Meeting Donors' Reporting Requirements

:: In accounting systems such as QuickBooks you can create a budget either:

    :: From start – manual inputting

    :: Or using prior year performance

:: Each expense incurred for the donor is posted beside its respective budget.

:: At any particular time, reports that track actual financial performance and compare it to the original budget can be generated. Therefore there is no danger of overspending.

:: Where the donor specifies a reporting format other than the accounting system you use e.g. an Excel Spread sheet, export the report and make sure that:

    :: The formulas are accurate

    :: There are no forecasting errors

    :: The report format shows the following (at minimum):

        :: Organisation Name & Name of Report

        :: Contract Dates & Project Title

        :: Total Grant Amount

        :: Reporting Period

        :: Report date

        :: Average rate of exchange

## Spreadsheet Example

| Item | Budget per contract | Actual expenditure incurred | Cumulative costs before current period | Cumulative costs from start of implementation to current | Variance (Budget-Actual) | Explanation |
|------|---------------------|------------------------------|-----------------------------------------|------------------------------------------------------------|---------------------------|-------------|
| Salaries | | | | | | |
| Technical 100% | 4224.00 | 1760.00 | 1056.00 | 2816.00 | 1408.00 | |
| Simulated Roof | 1320.19 | 1144.95 | 0 | 1144.95 | 175.24 | |
| Prep for Solar Dept. | 880.13 | 350.00 | 539.13 | 889.13 | -9.00 | |
| Curriculum prep/manual devel. | 2000.00 | 200.00 | 1700.00 | 1900.00 | 100.00 | |
| Solar Installation | 3000.00 | 900.00 | 2000.00 | 2900.00 | 400.00 | |
| Total Direct Costs | 11724.32 | 4354.95 | 5295.13 | 9650.08 | 2074.24 | |
| Contingency 7% | 820.70 | | | | | |
| Total | 12545.02 | 4354.95 | 5295.13 | 9650.08 | 2074.24 | |

## Examples of Donor Requirements

:: Use the grant only for its intended purpose

:: If you make any amendments to project design or start/end dates you need to inform the donor in writing – if stated in contract and if not stated, do not change.

:: Examples of European Union - specific requirements:

    :: Interim and final reports to cover whole action regardless of European Union contribution (if 80% of the project's overall costs).

    :: The European Union may require additional information from time to time and this shall be submitted within 30 days of request. Therefore, prepare monthly reports consistently, so that when such a request comes, it is easy to submit and meet the deadline).

:: Eligible costs are those that are:

>> :: Incurred during the implementation period (not earlier, not after though funds can be deposited before the actual implementation date)

>> :: Budgeted for

>> :: Identifiable, verifiable and recorded in accounting system

>> :: Comply with sound financial management

:: Contingency funds are only to be used with prior written approval

:: Indirect costs such as administration costs should be included in the budget as a percentage

:: Exchange rates are listed by InforEurope[5]

:: Ineligible costs include:

>> :: Debts/ interest charges

>> :: Costs declared but borne by another beneficiary

>> :: Currency exchange losses

:: Reports – both financial and narrative – are usually required by specified dates. If the dates are not specified, maintain the habit of producing monthly donor reports to enable additional requests for reports to be met.

:: Some donors may require official receipts and bank statements to be sent to them within 2 weeks of any transfer of monies.

:: Some donors may contract an independent auditor, so prepare audit schedules and supporting documents for all transactions as you go along.

:: The table below provides an example of a Declaration of sources of funds:

| | | Amount EUR |
|---|---|---|
| Applicant Contribution | | 200,000.00 |
| | | |
| Other contributions (other donors etc) | | |
| Name | Conditions | |
| IYF | | 10,000.00 |
| SERVE | | 20,000.00 |
| | | |
| Revenue from the Action (To be inserted if applicable & allowed by the guidelines) | | 40,000 |
| In-kind contribution: Donated Vehicles (SERVE) | | 8,000.00 |
| Interests from pre-financing EU funds | | 1,500.00 |

[5] http://ec.europa.eu/budget/contracts_grants/info_contracts/inforeuro/index_en.cfm

:: Where the contract states that unspent funds are to be returned – be faithful, transparent and return this monies because this will open more opportunities in future, it creates trust – do not try to justify abuse of the funds.

:: As stated in the chapter on procurement, you need to operate in accordance with best practice in terms of fairness, openness, and transparency.

## Grounds for Termination of Funding Contracts

:: Conflict of interest, related party transactions, corruption

:: Fraud/misappropriation of funds

:: Using the funds before the agreed implementation period

:: Failure to fulfil obligations/meet objectives without justification

:: Bankruptcy

:: Incomplete/falsification of statements and reports

:: Failure to submit reports on time

:: Failure to account for funds

:: Illegal payment practices

:: Failure to meet obligations relating to payment of social security contributions or taxes in accordance with legal provisions of the country of operation.

:: Any other breach or frustration of the contract.

## Implications of Termination

:: Students/beneficiaries lose the opportunity of empowerment

:: Abused funds or unused funds at the time of termination have to be paid back to the donor. The payment may be paid in full or in instalments.

:: Civil/criminal charges

:: Interest charges for delayed refunds

:: Battered reputation in the entire non-profit sector.

:: Other donors may withdraw funding and and there may be no future funding opportunities.

## Best Practice

:: Conform to donor contracts to the letter

:: Continuously engage with the donor during course of implementation – keep communication lines open

:: Flag any unclear processes on time or before taking action, and seek clarification with the donor

:: Attend all donor information sessions/trainings.

:: Meet the reporting deadlines

:: Report as per the donor's specified format – do not circumvent and justify

:: Stick to best practices even if the donor does not specify regarding procurement, trainings, HR principles etc.

## Regulatory Compliance Policy And Procedures

:: All financial reports and activities must comply with country-specific statutory laws and regulations, internal policies and appropriate standards.

:: The Finance and Administration Officer will ensure that the statutory payments and returns are remitted on the prescribed dates.

:: The Finance and Administration Officer shall furnish appropriate returns to effect any changes in directorship or physical location of the organization.

:: The Finance and Administration Officer shall offer advice to the Director and the Management Board on the legal or tax implications of any programs, or financial transactions the organisation may seek to embark on.

## Questions for reflection

Use the following questions to help you put the learning from this chapter on reporting into practice:

:: What is the importance of reading and understanding the contract terms and conditions before signing?

:: What are (1) the immediate (2) the future implications of not complying to the donor terms and conditions?

:: What is the worst thing that can happen?

:: Where are the key vulnerabilities in the financial and administration practices of your organisation?

## 2.9 ASSET MANAGEMENT

:: All assets with an original acquisition value of USD100 or more and that have a life span of at least 1 year, shall be capitalised and tagged with a pre-numbered tag identifying it as your organisation's property.

:: Donor-specific fixed assets shall have their tags pre-fixed with the donor's name.

:: Land shall be re-valued once a year by a professional valuation expert.

:: A Fixed Asset inventory should be completed at least once a year, or as specified by the donors and the 'four-eye' principle shall apply, i.e. 2 officers have to be involved in the count.

| ASSET | LIFE SPAN - YEARS |
|---|---|
| Land | - |
| Buildings | 50 |
| Furniture & Fittings | 10 |
| Machinery | 10 |
| Motor Vehicles | 5 |
| Computer & Office Equipment | 3 |

:: Only planned and budgeted for fixed assets should be purchased.

:: The procurement process shall be as per Policy.

:: All fixed assets should be insured with a reputable insurance company.

:: Asset Inventory Sheet - back door of each office, listing all items in that office.

:: Depreciation - straight-line method

### Fixed Asset Register

:: Fixed Asset identification/number

:: Date received

:: Voucher number in your organisation's accounting system

:: Asset description

:: Category e.g. furniture, motor vehicles etc.

:: Serial number/vehicle registration number

:: Purchase price in the original currency and when converted to the working currency

:: Location

:: Condition

## Asset Disposals

Asset disposals take place at the end of their useful life or as determined by management. Approval is necessary by the Management Board/Board of Trustees depending on the value.

## Methods of Asset Disposal

:: Sale to outsiders – Assets disposed of in this manner will be sold after soliciting for three or more competitive bids.

:: Offering to employees – The property list will be posted on the organisation's bulletin boards. Employee bids should be sealed and received not later than a specified date and time by the Director.

:: Donations – The Management Board approves all assets earmarked for donations to identified beneficiaries.

:: Auction – A reserve price should be determined by the Finance and Administration Officer and approved by the Director before forwarding assets to the auctioneers.

:: Donor-funded assets – If contractually specified these should be disposed of or handed over according to the contract.

## 2.10 FILING, PROJECT CLOSURE & INDEPENDENT AUDIT

### Filing Structure
:: A FILE – Organisation / Structure
:: B FILE – Contracting
:: C FILE – Budget Finances
:: D FILE – Personnel
:: E FILE – Materials / Equipment / Inventory
:: F FILE – General Correspondence
:: G FILE – Other Reports

### Project Closure Processes
:: All donor-funded projects should be formally closed out as per the contract with the donor. This helps to maintain open channels for future engagements.
:: A project is closed out when the work programme as contained in the donor contract has been completed and the donor is provided with the final audited financial and narrative reports and other deliverables as specified in the contract.
:: The project assets should be handed over, donated, disposed of, or retained as specified in the contract.
:: In all instances the Management Board signs the closure report, which will list the reports submitted and incorporate closing comments from the donor.

### Independent Audit
:: It is recommended that an external audit take place at least once a year and the Management Board should contract this.
:: The audit should commence at least within 60 days of the close of the financial year.
:: Audit firms should be rotated after every 3 years.
:: The conduct, methodology and frequency of external audits for donor-funded projects should be as stipulated in the contract with the donor.
:: The Management Board/Board of Trustees should initiate 'Requests for Proposals' from at least 3 reputable firms, as per the Procurement Policy.
:: The Engagement Letter should be signed by the Chairperson.
:: The Director and the Finance and Administration Officer are responsible for the audit schedules and checks that all documents are available and properly filed. In addition they coordinate the audit process and attend to the audit queries. They provide management comments to issues and recommendations raised during the audit.
:: The audit report should be addressed to the Management Board Chairperson.
:: The Director and the Finance and Administration Officer are responsible for implementing corrective measures and should report within 30 days of the issuing of the report. This shall be submitted to the Management Board as evidence of corrective measures taken.

# Leadership & Management

## 3.1 INTRODUCTION

In June 2018 directors and managers from Young Africa's centres in Botswana, Namibia, Mozambique and Zimbabwe gathered for a training workshop on Leadership and Management. This training event was a component of the SERVE/Young Africa – Building Capacity to Advance Young Africa 2017-2019 programme, funded through the European Union Erasmus+ programme. SERVE[1] – a development-focused non-profit based in the Republic of Ireland – and Young Africa[2] – a confederation of affiliated organisations that operate skills centres, youth (self-) employment programmes and community activities – have worked in partnership for several years. Other components in the programme included safeguarding, finance and administration, and youth work training modules.

Based on their previous partnership work, both organisations wanted to enhance Young Africa's capacity to deliver good outcomes for young people. The main focus of Young Africa's day-to-day operations is on supporting young people to gain skills-based training and entrepreneurial experiences through Technical and Vocational Education Training (TVET). The Erasmus+ project had a particular emphasis on enabling its centres to meet the needs of young people experiencing marginalisation and disadvantage, and as a result another component of the programme was a pilot personal development programme at Young Africa Zimbabwe called Achieve. This initiative focused on supporting young people who don't meet the entry criteria for Young Africa's TVET courses to get to the point where they are able to apply.

SERVE has built a reputation in the area of capacity building and shown itself to be responsive and flexible to the needs of its partners. Both organisations share the understanding that in order to meet the needs of young people most effectively, Young Africa needs to ensure the standardisation of key functions across their centres and attend to its development in 3 areas: people, practice and organisation. The Erasmus+ programme was therefore grounded in the idea that investing time in building Young Africa's organisational capacity as well as the individual capacity of its staff members and introducing best practice methods in leadership and management maximise its effectiveness to support and train as many young people as possible. In addition to enabling Young Africa to work towards realising its vision and mission, leadership and management training helps to foster the organisation's sustainability.

Please see SERVE's companion Global Youth Work Toolkit (available at **www.serve.ie/serve-erasmus-partnership**) which outlines our best practice approach to engaging in youth work.

"It is necessary to have good leaders & managers within YA. We have major obligations towards the youth, personnel, donors and other stakeholders. We simply cannot fail!"

(Young Africa Director and training participant)

[1] http://www.serve.ie/          [2] https://youngafrica.org/

### What is the purpose of this document?

This document has been developed to outline some of the key learning from the leadership and management module highlighting specific leadership, management and supervision models that were particularly relevant and helpful for Young Africa's directors and managers. It is hoped that leaders in other non-profit organisations are inspired by these different ways of thinking about leadership and management tasks and are encouraged to take time to reflect on their own professional and organisational development.

**It must be said that this document is not intended to substitute any kind of certified training programme on leadership and management.** Young Africa's staff benefitted greatly from the time they set aside to engage in a 3-day workshop. Susan Morgan from Ulster University, who delivered the training, applied an interactive and experiential approach guiding the participants through a range of exercises, group work and discussion to help them get to grips with the training content and reflect on its application in their various settings. No document can replace such a valuable experience, however it can serve as a succinct outline of key information and provide a practical starting point for other non-profit organisations seeking to build their capacity in the area of leadership and management as a means of achieving their missional goals.

### What is included in this document?

This document is split into 3 main parts, each addressing the topics of leadership, management and supervision. Each part starts with a brief introduction followed by three key approaches to the topic and a number of suggestions for reflection interspersed throughout encouraging the reader to take stock of their own skills and ways of working, as well as organisational practices in light of the models highlighted. There is also signposting to sources and further reading material including tools that can be used to aid reflection such as questionnaires.

"Many of the unspoken and unanswered questions or situations were discussed in groups and I believe this will allow us to work better together as a team."

(Young Africa Director and training participant)

## 3.2 VISION, MISSION & VALUES

Before we go any further it is important to clarify what we mean by the terms vision, mission and values because these provide a foundation for any organisation and are vital for strategic planning. Thinking through how these are expressed in your organisation will aid your reflection on your role within your organisation and enable you to be strategic as a leader and a manager.

### Vision

A vision is a clear and inspirational hope for the future. It's the long-term change that the organisation would like to see brought about in an ideal world, as a result of its work.

### Mission

An organisation's mission statement expresses the following:

:: The core message of the organisation's purpose and reason it exists;
:: What the organisation is trying to do, why, and for whom.

### Values

The ethos of an organisation is the set of beliefs and principles that guide its work. Other terms for ethos are the philosophy or values of an organisation.
The values of the organisation will guide all aspects of its programmes and activities in terms of principle and practice.

**REFLECT:**

:: What are the stated vision, mission, and values of the organisation you work with?

:: Are they expressed succinctly e.g. can you describe your organisation's vision in one sentence?

:: To what extent is your day-to-day work consistent with the missional aims of your organisation?

:: What values do you bring to your work? In what ways does your organisation practice its values?

Further information on developing vision, mission & values is available here:
http://www.diycommitteeguide.org/resource/vision-mission-and-values

## 3.3 LEADERSHIP

### What is leadership?

The following quotations provide a variety of ways to think about leadership:

'Leadership is a process of social influence in which one person can enlist the aid and support of others in the accomplishment of a common task.' (Martin Chemers)

'Leadership is communicating to people their worth and potential so clearly that they are inspired to see it in themselves.' (Stephen Covey)

'Leadership is influencing people to take action.  In the workplace, leadership is the art of getting work done through other people.  Leadership is... highly situational: anyone might step forward to lead, given the right circumstances.' (Daniel Goleman)

'A leader is one who knows the way, goes the way, and shows the way.' (John C. Maxwell)

'Leadership is not about a title or a designation. It's about impact, influence and inspiration. Impact involves getting results, influence is about spreading the passion you have for your work, and you have to inspire team-mates and customers.' (Robin S. Sharma)

'Becoming a leader is synonymous with becoming yourself. It is precisely that simple and it is also that difficult.' (Warren Bennis)

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**REFLECT:**

:: Which of these quotations resonates most strongly with your understanding of leadership?

:: What aspects of leadership are missing from these quotations?

:: How would you define leadership?

## Ways of thinking about leadership

### A. Classical Leadership

The following are considered four 'Generations' or 'Formations' of Leadership Theories: Trait, Behavioural, Situational, & Transformational Leadership. Broadly the classical view of leadership positions leaders within a hierarchical structure and accords them with certain qualities that make them stand out from others. Through this lens leaders are the focal point for solutions, provide vision as well as giving direction.

### Traits of Leaders

In this understanding of leadership it is thought that some people have particular personality characteristics that define them as leaders and that by possessing these traits it is possible to exercise leadership in any given situation. The work of psychologist John Gardner from his book, On Leadership, first published in 1989, provided an illustration of this idea. He outlined a number of attributes that he observed to be present in leaders based on his study of organisations and leaders in North America:

:: Physical vitality and stamina

:: Intelligence and action oriented judgement

:: Eagerness to accept responsibility

:: Task competence

:: Understanding of followers and their needs

:: Skill in dealing with people

:: Need for achievement

:: Capacity to motivate people

:: Courage and resolution

:: Trustworthiness

:: Decisiveness

:: Self-confidence

:: Assertiveness

:: Adaptability/flexibility

One of the issues with this approach to leadership is that it minimises the influence that the setting has on a person's leadership abilities. Is it reasonable to expect that the same person will exercise leadership in the same way regardless of whether they are running a retail shop or running a country? Moreover is it necessary to have all of these traits to be a good leader? Are there qualities that are missing?

**REFLECT:**

:: What do you think are the pros and cons of this understanding of leadership?

**TOOL**

Use the tool available here to reflect on your leadership characteristics, then discuss with a colleague – do they agree?

https://www.go2itech.org/HTML/TT06/toolkit/.../
LeadershipCharacteristics.doc

## Leadership Behaviours

Another school of thought considers leadership in terms of how you behave – especially towards your followers – so that this behaviour is what defines your leadership. Researchers grouped together patterns of behaviour to create a range of leadership styles of which the main ones are:

1. Concern for task – a results-driven approach to organising activities and people in order to achieve specific objectives and be as productive as possible
2. Concern for people – understanding followers with regard to their needs, interests, capacities, development rather than in terms of what they can achieve
3. Directive Leadership – leaders make decisions and followers are expected to obey instructions
4. Participative Leadership – leaders involve others in decision-making

Some theorists have felt that a participative and person-centred approach to leadership yields the most satisfaction for followers. However similarly to the focus on traits for good leadership, the focus on behaviours means that the context is ignored and there is no room to consider if a particular style will always be successful regardless of who you are working with or the setting.

**REFLECT:**

:: What do you think are the pros and cons of this understanding of leadership?

**TOOL**

The Blake Mouton Managerial Grid offers a way to think about the task versus person orientation - https://www.mindtools.com/pages/article/newLDR_73.htm

## Situational Leadership

In this approach to leadership theory it is thought that what is needed in leadership changes from situation to situation, in other words the context determines the leadership style and the extent to which the leader can bring control and influence. A specific model of this comes from the work of Fred Fiedler called the Fiedler Contingency Model through his study of the personality and characteristics of leaders, and it provides a way to assess 'situation favourableness'.

The first element of the model involves consideration of your leadership style – are you more task-oriented or more interested in building relationships with those you lead? It is suggested that where leaders have the respect of their followers, followers will better support them. The second element reflects on the nature of the task and the extent to which it is structured or more fluid. Here the idea is that the more clearly defined and specified the task, the greater the influence the leader can bring to the job. Thirdly the leader's 'position power' – the power they have been given by their organisation, which might include power to reward or punish subordinates – will also strengthen their influence in the situation.

Building on the contingency approach, Paul Hersey, a behavioural scientist, and Ken Blanchard, a leadership expert, together developed a theory identifying four different leadership styles for application in contrasting situations:

"**Telling** (high task/low relationship behaviour). This style or approach is characterized by giving a great deal of direction to subordinates and by giving considerable attention to defining roles and goals. The style was recommended for dealing with new staff, or where the work was menial or repetitive, or where things had to be completed within a short time span. Subordinates are viewed as being unable and unwilling to 'do a good job'.

**Selling** (high task/high relationship behaviour). Here, while most of the direction is given by the leader, there is an attempt at encouraging people to 'buy into' the task. Sometimes characterized as a 'coaching' approach, it is to be used when people are willing and motivated but lack the required 'maturity' or 'ability'.

**Participating** (high relationship/low task behaviour). Here decision-making is shared between leaders and followers – the main role of the leader being to facilitate and communicate. It entails high support and low direction and is used when people are able, but are perhaps unwilling or insecure (they are of 'moderate to high maturity' (Hersey 1984).

**Delegating** (low relationship/low task behaviour). The leader still identifies the problem or issue, but the responsibility for carrying out the response is given to followers. It entails having a high degree of competence and maturity (people know what to do, and are motivated to do it)."
(From Doyle & Smith 2001)

A situational perspective on leadership has its limitations and one of the main critiques of the Fiedler model is the assumption that leaders are fixed in their leadership style and cannot be flexible with it. Furthermore these situational theories are not cognisant of cultural factors and how leadership might be exercised differently in different cultural contexts.

**REFLECT:**
:: What do you think are the pros and cons of this understanding of leadership?

**TOOL**
A reflective tool using the Fiedler Contingency Model is included here: **https://www.mindtools.com/pages/article/fiedler.htm**

## Transformational Leadership

Transformational leadership is the fourth generation of classical leadership theory, which understands leaders as change agents and leadership as a transformative activity. Within this approach there are two aspects: transactional leadership where followers' efforts are rewarded based on their self-interest in order to get the job done, and transformational leadership where the focus is on increasing followers' understanding of the significance of the task and encouraging them to focus on the success of the team or organisation rather than individual gains.

Using the writing of Bernard Bass, a management and leadership academic, and Peter Wright, an occupational psychologist, Doyle & Smith (2001) provide the following overview of transactional and transformational leadership:

"The **transactional** leader:

:: Recognizes what it is that we want to get from work and tries to ensure that we get it if our performance merits it.

:: Exchanges rewards and promises for our effort.

:: Is responsive to our immediate self-interests if they can be met by getting the work done.

The **transformational** leader:

:: Raises our level of awareness, our level of consciousness about the significance and value of designated outcomes, and ways of reaching them.

:: Helps us transcend our own self-interest for the sake of the team, organization or larger polity.

:: Alters our need level (after Maslow) and expands our range of wants and needs."

While some feel that transactional leadership is opposite to transformational leadership, some believe that leaders should draw on both approaches to get the best results.

**REFLECT:**

:: What is a leader?

:: Can you choose to be a leader?

:: What is the leadership style of the organisation/your personal leadership style?

:: What impact does your leadership style have on staff and young people within your organisation?

### B. 7 Habits of Highly Effective People – Stephen Covey

Stephen Covey was an educator, author, businessman, and keynote speaker from the USA most well-known for his book, 'The 7 Habits of Highly Effective People'. His work offers an understanding of leadership that is based on principles such as fairness, integrity, honesty, and human dignity rather than techniques or styles.

The first three habits are concerned with moving from dependence to **independence**, also termed 'self-mastery' in Covey's work:

1. **Be Proactive** – The first habit is about taking responsibility for your life. You can't keep blaming everything on your parents or grandparents. Proactive people recognize that they are 'response-able.' This habit recommends working from your circle of influence and seeking to expand it.

2. **Begin with the end in mind** – Habit 2 is based on imagination – the ability to envision in your mind what you cannot at present see with your eyes. It is based on the principle that all things are created twice. There is a mental (first) creation, and a physical (second) creation. This habit encourages envisioning of what you want in the future so that you can work and plan accordingly.

3. **Put first things first** – 'First things' are those things you, personally, find of most worth. If you put first things first, you are organizing and managing time and events according to the priorities you established in Habit 2. This means that you need to distinguish between what is important and what is urgent - priority should be given in the following order:

   1) Important and Urgent
   2) Important and not Urgent
   3) Not Important and Urgent
   4) Not Important and not Urgent

The next three habits talk about **interdependence** i.e. working with others:

4. **Think win-win** – The concept of 'win-win' sees life as a cooperative arena, not a competitive one. It is a frame of mind and heart that constantly seeks mutual benefit in all human interactions understanding that a 'win' for all is ultimately a better long-term resolution than if only one person gets their way. 'Win-win' means agreements or solutions are mutually beneficial and satisfying.

5. **Seek first to understand and then to be understood** – If you're like most people, you probably seek first to be understood; you want to get your point across. And in doing so, you may ignore the other person completely, pretend that you're listening, selectively hear only certain parts of the conversation or attentively focus on only the words being said, but miss the meaning entirely. This habit encourages the use of empathetic listening to genuinely understand the other person as this will compel them to listen and open to being influenced by you.

**6. Synergise** – Synergy is the idea that 'two heads are better than one'. This is the habit of creative cooperation. It is about teamwork, open-mindedness, and the adventure of finding new solutions to old problems.

The seventh habit brings attention to continuous improvement in both the personal and interpersonal spheres of influence:

**7. Sharpen the Saw** – Focus on preserving and enhancing the greatest asset you have – you. It means having a balanced program for self-renewal in the four areas of your life: physical, social/emotional, mental, and spiritual.

In 2004 Covey published a book titled, The Eighth Habit, emphasising the value of interdependence over independence. He describes the 8th habit as:

**8. Find your voice and inspire others to find theirs** – the word 'voice' here refers to 'unique personal significance' and Covey contends that the leaders needed now and in the future are people who encourage others to find their voice.

**?**

**REFLECT:**
:: Which of the habits described above is particularly meaningful for you in your leadership development?

## C. Emotional Intelligence – Daniel Goleman

Daniel Goleman is an author and science journalist best known for his writing on Emotional Intelligence, which he describes as "the ability to manage ourselves and our relationships effectively" (2000). In his book from 1995, Emotional Intelligence: Why It Can Matter More Than IQ he illustrates that it is as important as IQ for success both personally and professionally. He outlines 5 key components of emotional intelligence:

1. Self Awareness
2. Self Regulation
3. Motivation
4. Empathy
5. Social Skill

Goleman provides a primer on four of the components in this way:

### Self-Awareness

:: Emotional self-awareness: the ability to read and understand your emotions as well as recognize their impact on work performance, relation-ships, and the like.

:: Accurate self-assessment: a realistic evaluation of your strengths and limitations.

:: Self-confidence: a strong and positive sense of self-worth.

### Self-Management

:: Self-control: the ability to keep disruptive emotions and impulses under control.

:: Trustworthiness: a consistent display of honesty and integrity.

:: Conscientiousness: the ability to manage yourself and your responsibilities.

:: Adaptability: skill at adjusting to changing situations and overcoming obstacles.

:: Achievement orientation: the drive to meet an internal standard of excellence.

:: Initiative: a readiness to seize opportunities.

### Social Awareness

:: Empathy: skill at sensing other people's emotions, understanding their perspective, and taking an active interest in their concerns.

:: Organizational awareness: the ability to read the currents of organizational life, build decision networks, and navigate politics.

:: Service orientation: the ability to recognize and meet customers' needs.

## Social Skill

:: Visionary leadership: the ability to take charge and inspire with a compelling vision.

:: Influence: the ability to wield a range of persuasive tactics.

:: Developing others: the propensity to bolster the abilities of others through feedback and guidance.

:: Communication: skill at listening and at sending clear, convincing, and well-tuned messages.

:: Change catalyst: proficiency in initiating new ideas and leading people in a new direction.

:: Conflict management: the ability to de-escalate disagreements and orchestrate resolutions.

:: Building bonds: proficiency at cultivating and maintaining a web of relationships.

:: Teamwork and collaboration: competence at promoting cooperation and building teams.

(From Goleman, D. (2000) Leadership That Gets Results. Harvard Business Review OnPoint. [online] Product Number 4487. Available from: http://www.powerelectronics.ac.uk/documents/leadership-that-gets-results.pdf)

In 2000 Goleman published an article, Leadership Gets Results, highlighting a comprehensive research study surveying almost 4000 managers from around the world. This found that there are 6 main leadership styles, each of which reflects different aspects of emotional intelligence. The research also demonstrated that the most successful leaders are able to use most of the styles and will adopt specific styles to best address the demands of any given situation. The challenge is to use them "in the right measure, at just the right time". Table 1 below provides an at-a-glance summary of the 6 leadership styles.

**Table 1: The Six Leadership Styles At A Glance**
(From Goleman, D. (2000) Leadership That Gets Results. Harvard Business Review OnPoint.
[online] Product Number 4487. Available from: http://www.powerelectronics.ac.uk/
documents/leadership-that-gets-results.pdf)

|  | COERCIVE | AUTHORITATIVE | AFFILIATIVE | DEMOCRATIC | PACESETTING | COACHING |
|---|---|---|---|---|---|---|
| The leader's modus operandi | Demands immediate compli-ance | Mobilises people towards a vision | Creates harmony and builds emotional bonds | Forges consensus through participation | Sets high standards for performance | Develops people for the future |
| The style in a phrase | "Do what I tell you." | "Come with me." | "People come first." | "What do you think?" | "Do as I do, now." | "Try this." |
| Underlying emotional intelligence competen-cies | Drive to achieve, initiative, self-control | Self-confidence, empathy, change catalyst | Empathy, building relation-ships, communica-tion | Collaboration, team leadership, communica-tion | Conscient-iousness, drive to achieve, initiative | Developing others, empathy, self-awareness |
| When the style works best | In a crisis, to kick start a turn-around, or with problem employees | When changes require a new vision, or when a clear direction is needed | To heal rifts in a team or to motivate people during stressful circum-stances | To build buy-in or consensus, or to get input from valuable employees | To get quick results from a highly motivated and competent team | To help an employee improve perform-ance or develop long-term strengths |
| Overall impact on climate | Negative | Most strongly positive | Positive | Positive | Negative | Positive |

**REFLECT:**

:: In what ways have the models outlined above expanded your understanding of leadership?

**TOOL**
This MindTools.com article includes a number of practical suggestions to enable you to reflect on the various aspects of emotional intelligence: **https://www.mindtools.com/pages/article/newLDR_45.htm**

# 3.4 MANGEMENT

## What is Management?

The following quotations provide a variety of ways to think about management as a distinct function from leadership:

'Management is doing things right; leadership is doing the right thing.' (Peter F. Drucker)

'Effective leadership is putting first things first. Effective management is discipline, carrying it out.' (Stephen Covey)

'Management is a set of processes that keep an organisation functioning. They make it work today – they make it hit this quarter's numbers. The processes are about planning, budgeting, staffing, clarifying jobs, measuring performance, and problem-solving when results did not go to plan...[Leadership] is about aligning people to the vision, that means buy-in and communication, motivation and inspiration.' (John Kotter)

Traditionally leadership and management are thought of in contrasting ways with managers understood as having subordinates and leaders understood as having followers. While managers may be required to take a more short-term approach to their day-to-day work of 'getting things done', and leaders may prefer to keep a long-term view in order to work towards realising a vision, ultimately both management and leadership techniques are required for organisational success. This section on management picks out three models that will help both managers and leaders attend to the vital work of task and people management.

**REFLECT:**

:: Why it is important to reflect on the difference between management and leadership?

:: In your experience what kind of situations call for a manager and what kind of situations call for a leader?

:: Do you lead or do you manage?

**For further reading:**

Changing Minds (2002-18) Leadership vs. Management. [online] Available from:
http://changingminds.org/disciplines/leadership/articles/manager_leader.htm

Gupta, A. (2004) Leadership Vs Management. [online] Available from: http://practical-management.com/Leadership-Development/Leadership-Vs-Management.html

Ratcliffe, R. (2013) What's the difference between management and leadership?
The Guardian. 29th July 2013. [online] Available from: https://www.theguardian.com/careers/difference-between-leadership-management

**Three Key Management Models:**
**A. X & Y**

Douglas McGregor was a social psychologist and management academic who focused on personal development and motivational theory. He was known for his X-Y theory, which he published in his book, The Human Side of Enterprise, in 1960. This theory remains core to thinking around organisational development and organisational culture today, particularly in terms of providing a principle to inform a positive and proactive management style. Essentially the X-Y theory proposes that there are two main ways to manage people. Theory X is based on a traditional view of management that is hierarchical and leans towards micro-management through an authoritarian style. By contrast Theory Y recognises the creativity and motivation that is inherent in people and seeks to tap into what employees can offer through supporting them to grow and develop thus motivating them to help achieve the organisation's objectives. It is this second approach that is considered to bring about better performance and results.

**Theory X**

:: The average employee is lazy

:: Employees dislike work and will try to do as little as possible

:: To ensure that employees work hard, managers should closely supervise people

:: Managers should create strict work rules

:: Managers must implement a well-defined system of rewards and punishments to control employees.

**Theory Y**

:: Employees are not lazy and given the chance they will do what is good for the organisation

:: To allow employees to work in the organisations interest managers must create a work setting that that provides opportunities for workers to exercise initiative and self direction

:: Managers should decentralise authority to employees

:: Make sure employees have the resources necessary to achieve the organisation's goals.

**REFLECT:**

:: To what extent does your approach to management draw from Theory X or Theory Y?

:: What actions might you take to take a Theory Y approach in your management tasks?

:: Reflect on the strengths and weaknesses of your current management practice in terms of your knowledge, skills, and values.

:: What do you think is central to your own leadership and managerial values?

## B. Fayol's 14 Principles

Henri Fayol was a French mining engineer and director from the late 19th century to the early 20th century and is considered a pioneer of modern management methods through his development of a general theory of business administration. In particular he developed a set of 14 principles, which he published in a book, General and Industrial Management, in 1916. The principles, which are presented as statements of truth or logic, offer a guideline approach to a range of management activities such as planning, decision-making, coordination, and process management.

1. **Division of Work** – When employees are specialized, output can increase because they become increasingly skilled and efficient.

2. **Authority** – Managers must have the authority to give orders, but they must also keep in mind that with authority comes responsibility.

3. **Discipline** – Discipline must be upheld in organizations, but methods for doing so can vary.

4. **Unity of Command** – Employees should have only one direct supervisor.

5. **Unity of Direction** – Teams with the same objective should be working under the direction of one manager, using one plan. This will ensure that action is properly coordinated.

6. **Subordination of Individual Interests to the General Interest** – The interests of one employee should not be allowed to become more important than those of the group. This includes managers.

7. **Remuneration** – Employee satisfaction depends on fair remuneration for everyone. This includes financial and non-financial compensation.

8. **Centralization** – This principle refers to how close employees are to the decision-making process. It is important to aim for an appropriate balance.

9. **Scalar Chain** – Employees should be aware of where they stand in the organization's hierarchy, or chain of command.

10. **Order** – The workplace facilities must be clean, tidy and safe for employees. Everything should have its place.

11. **Equity** – Managers should be fair to staff at all times, both maintaining discipline as necessary and acting with kindness where appropriate.

12. **Stability of Tenure of Personnel** – Managers should strive to minimize employee turnover. Personnel planning should be a priority.

13. **Initiative** – Employees should be given the necessary level of freedom to create and carry out plans.

14. **Esprit de Corps** – Organizations should strive to promote team spirit and unity.

**REFLECT:**

:: Which of these principles are particularly resonant for challenges you are facing as a manager currently?

:: What are the different sorts of values present in these principles?

:: What actions might you take to make these principles a reality in your organisation?

:: Set aside time to consider what strategies you can put in place to address current management challenges in your organisational setting.

**TOOL**

Competing Values Management Practices Survey – This survey draws from a book by Quinn, Faerman, Thompson, McGrath and St Claire called Becoming a Master Manager: A Competing Values Approach (6th edition published in 2015). It enables reflection on your behaviours with regard to management activities and can help identify where your management style leans in terms of collaboration, innovation, control and direction. The survey is available to download here:

https://www.albany.edu/womeningov/programs/nlny/CVF%20Management%20Leadership%20Assessment.doc

## Team Roles – Belbin

'A team is not a bunch of people with job titles, but a congregation of individuals, each of whom has a role which is understood by other members.' (Belbin.com)

Meredith Belbin is a management theorist known for his work in identifying 9 different roles that enable teams to be successful in achieving their objectives. Broadly the 9 roles fit into one of 3 categories: Action Oriented, People Oriented, and Thought Oriented. Belbin argues that having a better understanding your orientation in a team setting will enable you to enhance your contribution to your team and that having a team of people who reflect the 9 roles will create a balanced team that allows for different strengths and weaknesses and reduces conflict.

### 1. Team Leaders

:: **Co-ordinators** – Co-ordinators are respected leaders. Help everyone focus on the task. Can be seen as excessively controlling.

:: **Shapers** – Lots of energy and action, challenge others to move forward. Can lack sensitivity.

### 2. Creative Thinkers

:: **Monitor/evaluators** – See the big picture. Think carefully but may lack energy and ability to inspire others.

:: **Plants** – May solve difficult problems; might have poor communication and might ignore detail.

:: **Specialists** – Bring expert knowledge and skills; but may be disinterested in the broader elements of the task itself.

### 3. Negotiators

:: **Implementers** – Well organised and predictable; take basic ideas and make them work in practice. Can be slow and indecisive.

:: **Completer/finishers** - See things through to the end. Iron out wrinkles; make sure everything works; might worry too much; might not trust others to complete.

### 4. Company Workers

:: **Resource Investigators** – Explore new ideas with energy; too optimistic and then lose energy after initial surge.

:: **Team Workers** – Care about people and how the team members are getting on together. Good listeners and work to resolve social problems; as a result might have difficult making decisions.

**REFLECT:**

:: Reflect on teams you have been part of – which have been successful and which less so? What factors do you feel attribute to their success or failure?

:: Which of the roles described above can you relate to? Can you think of examples of scenarios where you have displayed the behaviours attached to these roles?

:: How might understanding these different roles enhance team harmony and effective collaboration?

**TOOL**

The 'Belbin Team Inventory' or 'Belbin Self Perception Inventory' is a behavioural test used to help identify your preference for the nine team roles described above. As the test is copyrighted there is a cost attached to its usage but more information can be found here: **https://www.belbin.com**

## 3.5 SUPERVISION

### What is Supervision?

The following quotations provide a variety of ways to think about supervision:

'Basically it consisted of two professional workers who met together, and whose exchanges were about work. Through the exchanges the supervisor helped the worker to learn – to understand himself better in his job, to become more competent, and to understand how to supervise.' (Joan Tash)

'The essentially managerial aspects of managers' work is their responsibility for monitoring and improving the work of others; their managerial effectiveness is determined by their capacity to improve the work of others. If managers are not able to make this contribution, then what value are they adding? The only ultimate justification of managers' existence is the improvement of the work of their subordinates. If managers fail in this way they fail as managers.' (Graeme Salaman)

'While the manager may have in mind the needs of the agency; and the practice teacher or college supervisor the needs of the student-worker, their fundamental concern in supervision lies with the quality of service offered by the supervisee to their clients. In other words, supervision focuses on the work of the practitioner.'(Mark Smith)

Emerging from the work of charitable social organisations in the 19th century, supervision is an area of practice common to a number of helping professions such as social work, nursing, counselling and youth work. Broadly it can be understood in three ways:

1. **Administrative supervision** – This is sometimes also known as 'managerial' supervision where the supervisor's role is focused on ensuring work is done well, efficiently and to a particular standard through adherence to or implementation of policies and procedures.

2. **Educational supervision** – the focus here is on the worker's knowledge, attitudes and skills to do the job and in some contexts it might create an emphasis on reflective practice to help the worker engage with how they are working with clients or their decisions around particular methods or interventions.

3. **Supportive supervision** – This style of supervision places emphasis on the worker's wellbeing, morale and job satisfaction, often in terms of stress prevention or management.

Many people with line management responsibility will find that there is considerable overlap between the three functions described above and often it will depend on the purpose of supervision whether it's to help serve the needs of the organisation, the organisation's clients or beneficiaries, or the worker themselves.

In the sphere of youth work, Joan Tash – an English youth worker and tutor – was influential for her contribution to youth work training and professional development, particularly supervision. She highlighted the need for supervisors to develop skills in four key areas:

1. 'The ability to learn from the worker about himself and his work. This involved techniques such as observing, listening and questioning.

2. The ability to assess needs (to use knowledge acquired from learning and to know when and how to use it). The techniques involved here included observing, listening, questioning, relating knowledge to previous knowledge, analysing and drawing conclusions.

3. The ability to convey acceptance and support of the worker. This involved techniques such as listening, paying attention, using words which recognize the feelings and problems expressed, or which help a worker think about himself and his situation at the situation at the point from which he wants to go.

4. The ability to help a worker learn. The techniques involved included questioning, exploring statements, reflecting, exploring a situation, suggesting choices, drawing out more information, more factors, crystallising, summarizing, relating, conceptualizing, using records. Questioning in order to help the worker use all these techniques for himself.'

(From Smith, M. K. 2007)

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**?**

**REFLECT:**

:: How do the definitions above enhance your understanding of supervision?

:: How would supervision be beneficial to you, your organisation, your colleagues, and the clients or beneficiaries of your organisaton?

:: What skills do you need to work on to provide effective supervision for the team members for whom you are responsible?

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**For further reading:**
Smith, M. K. (1996 – 2011) 'The functions of supervision', The Encyclopaedia of Informal Education. [online] Available from: http://infed.org/mobi/the-functions-of-supervision

## Three Models for Supervision

### A. The GROW Model

As a coaching model developed in the 1980s by Sir John Whitmore, the GROW model can be used to support individuals in goal-setting, problem-solving and action-planning. GROW is an acronym for Goals, Reality, Obstacles and Options, and Will, and provides a 4-step process ideal for line managers to use with team members they supervise to support their professional development and growth.

| G | Goal | The goal is the end point, where the client wants to be. The goal has to be defined in such a way that it is very clear to the client when they have achieved it. |
|---|------|---|
| R | Reality | The current reality is where the client is now. What are the issues, the challenges, how far are they away from their goal? |
| O | Obstacles | There will be obstacles stopping the client getting from where they are now to where they want to go. If there were no obstacles the client would already have reached their goal. |
|   | Options | Once Obstacles have been identified, the client needs to find ways of dealing with them if they are to make progress. |
| W | Way Forward | The Options then need to be converted into action steps, which will take the client to their goal. These actions outline the way forward. |

MindTools.com suggests different questions you can use to coach a member of your staff team through each stage of the process:

### GOAL

:: How will you know that your team member has achieved this goal? How will you know that the problem or issue is solved?

:: Does this goal fit with her overall career objectives? And does it fit with the team's objectives?

### REALITY

:: What is happening now (what, who, when, and how often)? What is the effect or result of this?

:: Have you already taken any steps towards your goal?

:: Does this goal conflict with any other goals or objectives?

## OPTIONS

:: What else could you do?

:: What if this or that constraint were removed? Would that change things?

:: What are the advantages and disadvantages of each option?

:: What factors or considerations will you use to weigh the options?

:: What do you need to stop doing in order to achieve this goal?

:: What obstacles stand in your way?

## WILL

:: So, what will you do now, and when? What else will you do?

:: What could stop you moving forward? How will you overcome this?

:: How can you keep yourself motivated?

:: When do you need to review progress? Daily, weekly, monthly?

:: Finally, decide on a date when you'll both review his progress. This will provide some accountability, and allow him to change his approach if the original plan isn't working.

(From MindTools.com: https://www.mindtools.com/pages/article/newLDR_89.htm)

**REFLECT:**

:: How might the GROW model be helpful for you in seeking to provide supervision to your team members?

## B. The CLEAR Model

Peter Hawkins is a leadership expert and consultant and in the 1980s he developed a model for use in coaching settings called the CLEAR model. This is an acronym for:

:: Contracting

:: Listening

:: Exploring

:: Action

:: Review

The model is similar to the GROW model and provides a pathway for coaching or supervision sessions. It is intended to guide the conversation between the coach and coachee as they seek to address a specific situation in the workplace:

1. **Contracting:** Opening the discussion, setting the scope, establishing the desired outcomes and agreeing to ground rules.

2. **Listening:** Using active listening and interventions, and helping clients develop their understanding of the situation and generate personal insight.

3. **Exploring:** Helping clients understand the personal impact the situation is having on them and challenging them to think through possibilities for future action in resolving the situation.

4. **Action:** Supporting the clients in choosing a way ahead and deciding the next step.

5. **Review:** Closing the intervention, and reinforcing ground covered, decisions made, and value added. Wherever possible, the client summarizes her actions, insights, and self-reflections at this stage. The coach also encourages feedback from the client on what was helpful about the coaching process, what was difficult, and what she would like more or less of in future coaching conversations.

(From Taylor & Crabb)

**REFLECT:**

:: How might the CLEAR model be helpful for you in seeking to provide supervision to your team members?

:: What kind of questions might you use at each stage of the CLEAR model?

## C. Six Categories of Intervention – John Heron

John Heron is an independent consultant, writer and researcher who developed a framework to aid analysis of how we help others whether as leaders, managers or coaches. He identified six different ways in which we intervene with others which broadly fall into two styles: authoritative – where we are more directive about what the team member should do, and facilitative – where we support the team member to discern their way forward. None of the six categories are deemed to be more effective or appropriate than the others, because different situations will call for different responses, and it is recommended to think through the different options when preparing for a particular situation to figure out the most appropriate strategy.

### Authoritative Interventions

:: **Prescriptive** – You explicitly direct the person you are helping by giving advice and direction.

:: **Informative** – You provide information to instruct and guide the other person.

:: **Confronting** – You challenge the other person's behaviour or attitude. Not to be confused with aggressive confrontation, 'confronting' is positive and constructive. It helps the other person consider behaviour and attitudes of which they would otherwise be unaware.

### Facilitative Interventions

:: **Cathartic** – You help the other person to express and overcome thoughts or emotions that they have not previously confronted.

:: **Catalytic** – You help the other person reflect, discover and learn for him or herself. This helps him or her become more self-directed in making decisions, solving problems and so on.

:: **Supportive** – You build up the confidence of the other person by focusing on their competences, qualities and achievements.

(From Blakey, J. 2012)

**REFLECT:**

:: In what kind of situations will it be most appropriate to call on each of the interventions described above?

:: Which of the styles above are you most confident to apply? Why do you think this is?

:: What might be the benefits of being able to 'mix and match' the styles you use?

**TOOL**
You can download a self-assessment questionnaire
based on Heron's Six Categories of Intervention here:
http://challengingcoaching.co.uk/wp-new/wp-content/
uploads/2012/08/Heron-questionniare.pdf

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SERVE
Solidarity in Action

# Achieve
# Access
# Programme

SERVE
Solidarity in Action

## 4.1 INTRODUCTION

In 2016 international development partners SERVE[1] – a development-focused non-profit based in the Republic of Ireland – and Young Africa Zimbabwe – one of several Young Africa[2] affiliate organisations that operates skills centres, youth (self-) employment programmes and community activities, worked together on a funding proposal to the European Union's Erasmus+ programme to pilot a new personal development programme for young people called 'Achieve'. This initiative became a key component within a wider programme, the SERVE/Young Africa - Building Capacity to Advance Young Africa 2017-2019 programme funded through the European Union Erasmus+ programme. The other components of the programme included a range of training modules in child safeguarding, finance and administration, leadership and management, and youth work in for staff and volunteers from Young Africa's bases in Botswana, Namibia, Mozambique and Zimbabwe.

Based on their previous partnership work, both SERVE and Young Africa Zimbabwe wanted to enhance Young Africa's capacity to deliver good outcomes for the most marginalised young people. The main focus of Young Africa's day-to-day operations across its affiliates is on supporting marginalised young people to gain skills-based training and entrepreneurial experiences through Technical and Vocational Education Training (TVET). The Erasmus+ project had a particular emphasis on enabling its centres to meet the needs of young people experiencing the greatest marginalisation and disadvantage, and as a result the Achieve pilot programme was designed to focus on supporting young people who don't meet the entry criteria for Young Africa's TVET courses to get to the point where they are able to apply.

"I see something big for my future. I used to let myself down but now I have pulled up my socks and got back on track, what I say – I will do it."

(Achieve participant, 2018)

"As long as you are still living there is no barrier, there is nothing that can hold you back as long as you are still breathing, as long as you keep pushing and keep doing what you have to do until you reach that goal you will get there."

(Achieve participant, 2018)

[1] http://www.serve.ie/
[2] https://youngafrica.org/

## What is the purpose of this document?

This document forms part of the wider programme's dissemination strategy in seeking to share key learning from the various training components and offering a practical starting point for other non-profit organisations wishing to attend to their organisational capacity. Given that staff at Young Africa Zimbabwe had developed the Achieve programme in response to an observed need for additional support among disadvantaged young people struggling to access education and training opportunities, the intention is to highlight how this programme works to encourage other youth-focused non-profit organisations to develop initiatives that respond to such needs and that support young people to return to education and training.

# 4.2 THE ACHIEVE MODEL

### Understanding the Need

As noted in the introduction, the Achieve programme was developed in response to a very specific need where Young Africa Zimbabwe staff members were encountering many young people unable to meet the entrance criteria for their range of Technical and Vocational Education Training (TVET) courses. A number of barriers stood in their way including a lack of qualifications, a lack of income and the necessary financial resources to pay for school or course fees or transport, while some were lacking in emotional support or confidence to pursue further training or employment opportunities. As a result the core concept of Achieve was to deliver an access course utilising youth work methodologies to build confidence, enhance skills, promote communication skills thus preparing young people without formal qualifications to make the transition to a formal learning environment.

The Achieve pilot programme consisted of 3 main phases:

**a)** Recruitment

**b)** Programme Delivery

**c)** Evaluation

The recruitment process started at the end of 2017/early 2018 before the programme started in March 2018 and finished in early December 2018 allowing staff to take stock and review evaluation data. There was capacity to have 21 young people on the programme. Each phase is described below.

### Recruitment

It was decided to seek to recruit underprivileged young people aged 15-25 years and to pay particular attention to the recruitment of underprivileged young women. Young people in the following categories were targeted as part of recruitment efforts:

:: Academically not qualified to attend formal technical training programmes

:: Financially unable to pay for tertiary education

:: Unable to attend training unless they also have a place to stay while in training (young people without parents/guardians, street children, young people from outside the geographical area)

Staff at YA Zimbabwe partnered with other small organisations working with underprivileged young people to inform young people of Achieve and invite them to take part. This collaborative approach was critical to the success of the recruitment phase in reaching young people who would benefit from the programme.

Please see SERVE's extensive companion Global Youth Work Toolkit (available at **www.serve.ie/serve-erasmus-partnership**) which outlines our best practice approach to engaging in youth work, and which significantly influenced the approach taken on the Achieve Programme.

## Programme Delivery

It is essential to note that Young Africa very deliberately applied youth work methodologies to the delivery of Achieve because it was felt that the use of informal and non-formal approaches would enhance the staff's capacity to engage with the target group of young people experiencing marginalisation and potentially in 'at risk' situations while also supporting the young people's capacity to engage with the programme content and get the most out of it. Achieve comprised a number of different elements outlined below and initially was scheduled to consist of 12 days in total spread over 10 months.

## Induction

This introductory session brought the participants together for the first time to meet mentors and each other and to learn the purpose of the course.

## Teambuilding Residential

The first key event of Achieve was a 2-night/3-day residential for the whole group where they engaged in a range of teambuilding activities, built relationships with each other and the mentors, and shared their hopes and expectations for the programme. In addition the young people were supported to explore their values, beliefs and aspirations and to consider their personal capabilities, strengths and areas that they wished to improve on. This residential was an essential part of building the young people's capacity to take part in the group work processes used in the remaining elements of the programme.

## Personal Development & Life Skills Workshops

A number of workshops enabled the young people to explore a variety of topics to support their personal development, learning and growth. These sessions were interactive using a mixture of group work and individual activities, presentations and role-play. Subjects covered included:

### Facing Barriers & Building Resilience
Identifying personal barriers to learning and employment, situational and wider community barriers, what builds resilience and practice skills to build resilience.

### Communication Skills
Identifying skills that will enable participants to articulate their views and opinions to peers and prospective employers.

### Identifying & Dealing With Conflict
Exploring causes and consequences of conflict at a personal and education/work-based level; approaches to handling conflict and skills development.

### Decision-Making

To ensure students can consider options open to them, to consider consequences and to make decisions for their own good as well as the common good.

### Application Form & Interview Skills

Filling in application forms, CV creation, interview preparation, mock interviews.

### Presentation Skills

Designing a presentation, communication and presentation skills, teamwork, group presentation activity.

## Young Africa Campus Day

The group were given the opportunity to tour all the training departments at the Young Africa Zimbabwe campus in order to learn more about available training opportunities in Young Africa, to widen their horizons and to promote confidence in their ability to achieve their goals.

## Mentoring

Participants were given the chance to meet with a Mentor for one hour per month for 3 months for personal development support and to review their personal action plans. The intention of these sessions was to increase confidence, enhance reflection skills, help build resilience, improve time management and communication skills, and to support the young people to take ownership for their own personal growth and learning. This mentoring component was included because of how it has been shown to be effective in ensuring that young people maintain the motivation to achieve the goals they set for themselves.

## Action Planning

Alongside the mentoring support, each of the participants were encouraged to create personal action plans through setting personal goals, outlining ways to meet these goals and defining clear timescales for necessary actions.

## Presentation Day

The Presentation Day represented an opportunity for the young people to use the knowledge and skills attained during the programme, and in particular their communication and presentation skills.

## Celebration Event

The celebration event brought together the participants, their families, mentors and prospective employers to celebrate the achievements of the young people.

## Programme Evaluation

Given that Achieve was a new initiative for Young Africa, evaluation was always going to be a critical component of the programme in order to follow the young people's development and to identify key learning for any consequent iterations of Achieve. An external evaluator was contracted by SERVE to evaluate the wider Capacity Building Programme including Achieve. This evaluator designed an evaluation process that was grounded in the project's aims that had been identified by staff from the outset. These included:

:: Increase confidence and improve motivation to succeed

:: Support young people to overcome barriers towards their future employment

:: Help young people to engage in education and training

:: Support young people to improve their personal and social development

:: Award a qualification recognized by education and training providers on completion of the programme

:: Help young people who are furthest away from education, employment and training to find access to it

:: Support young people with multiple disadvantages to fulfill their potential

Using these project aims to get a sense of Achieve's desired outcomes, the external evaluator built a Logic Model (see Table 1 on page 9) as a visual overview of the planned activities and expected results of the programme. By focusing on the programme's intentions a range of indicators were identified that would demonstrate the extent to which the programme was successful in reaching its aims. These indicators then shaped the development of evaluation instruments to track change for the participants and gather feedback from Young Africa as well as participants' parents. As a result the evaluation of Achieve comprised the following instruments to gather both quantitative and qualitative data on the programme:

:: Baseline, mid-programme and end-of-programme evaluation surveys completed by participants

:: Baseline and end-of-programme evaluation surveys completed by participants' parents/guardians

:: Mid-programme and end-of-programme evaluation surveys completed by Young Africa Zimbabwe and mentors working on the programme

:: Two focus groups were carried out with the participants mid-way and at the end of the programme

:: A mid-programme one-to-one interview was carried out with one member of staff

The evaluation was also designed to take note of any other evidence demonstrating the successes of Achieve and progress against its objectives such as director/staff reports, actions plans, CVs and so on.

| INPUTS<br>Resources used to carry out a programme | ACTIVITIES<br>The actual work or services of a programme | OUTPUTS<br>The accomplishments/ products/ services of a programme – what can be counted | OUTCOMES<br>Changes that occur as a result of participation in the activities and reaching the accomplishments | INDICATORS<br>Ways of knowing that the outcomes have been achieved |
|---|---|---|---|---|
| Funding – Erasmus+ | Recruitment of young people aged 15-25 without formal qualifications, particularly underprivileged young women | 20/45 young people complete Access course of skills & training | Increased confidence & motivation | Participant recordings & Feedback<br>Staff Feedback<br>Facilitator/Trainer Feedback<br>Programme Reports<br>Directors' Quarterly Reports<br>Toolkit |
| Partnership – Serve & Young Africa | Delivery of an Access Course with support for personal and social development via: youth work methodologies, residential, teambuilding, group work, workshops, mentoring, presentations, role-play, campus visit, celebration event | 20/45 young people gain a qualification recognized by education & training providers | Enhanced skills – including improved communication skills – of young people to access education, employment and/or training opportunities & increased capacity to overcome barriers to employment | |
| Staffing:<br>Programme Delivery – Young Africa, Mentors<br>Funding Oversight – Serve;<br>M&E – Serve/Young Africa, External Evaluator | Content to include:<br>• Values & beliefs<br>• Personal development<br>• Resilience<br>• Communication skills<br>• Handling conflict<br>• CV creation & Interview skills | Participants are ready to enter TVET or other learning environment | Exchange of best practice across YA campuses | |
| | | | Enhanced relationships across partner countries | |
| Expertise re employability & business franchise model | | | | Achieve pilot participants gaining accreditation |
| Training Venue, Residential Venue, Logistics & Hospitality | | | | Achieve pilot participants joining TVET programmes or other education/training initiatives |

## 4.3 USEFUL RESOURCES

As a youth work methodology with informal and non-formal education approaches was central to the conception and delivery of the Achieve programme it is worth checking out some of the following resources:

### Educational Tools Portal

This multilingual educational portal is intended for all youth actors with no language or cultural barrier.

### Global Youth Work Toolkit

SERVE produced a Global Youth Work Toolkit, which includes youth work training to provide skills, methodologies and understanding of best practice and youth leadership training. This toolkit has enabled SERVE to bring best practices in youth work across the island of Ireland and in its partner countries. It provides a framework for working with partners to develop their capacity to provide meaningful youth work. In addition, the toolkit provides completed programmes for engaging with young people to build their leadership skills, assist in their personal and social development, and strengthen their resolve to engage positively in their community and country.

http://www.serve.ie/our-work/added-value/youth-leadership/

### Infed

The infed website was established in 1995 by the YMCA George Williams College, London, as an open and not-for-profit resource. The aim is to provide a space for people to explore education, learning and social action – and in particular the theory and practice of informal education, community learning and development, specialist education, social pedagogy and lifelong learning.

www.infed.org

### SALTO-YOUTH

SALTO stands for Support, Advanced Learning and Training Opportunities for Youth. It works within the Erasmus+ Youth programme, the EU programme for education, training, youth and sport. SALTO-YOUTH is a network of six Resource Centres working on European priority areas within the youth field providing non-formal learning resources for youth workers and youth leaders and organising training and contact-making activities to support youth-focused organisations. Each Resource centre highlighted on the SALTO website showcases a range of publications, resources and training opportunities relevant to those working with young people on a range of topics. It is worth noting that the SALTO-EuroMed Resource Centre is in charge of compilation and dissemination of educational tools and practices in the field of youth and training and hosts these on an Educational Tools Portal.

https://www.salto-youth.net/about/

http://educationaltoolsportal.eu/