



**Strengthening Governance and Capacity Building of  
Community Organizations of The Poverty Alleviation Fund  
(PAF) 2 project**

**Project Completion Report**

**BY**

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**TO**

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## Acronyms

CARTA	Citizen Action for Result, Transparency and Accountability
CBS	Central Bureau of Statistics
CO	Community Organization
CSO	Civil Society Organization
DC	District Coordinator
DDC	District Development Committee
FM	Frequency Modulation
FSCN	Friends Service Council Nepal
GAAP	Governance and Accountability Action Plan
GoN	Government of Nepal
IGAS	Income Generating Sub-Project or Activities
M&E	Monitoring and Evaluation
MoF	Ministry of Finance
MoLD	Ministry of Local Development
NPC	National Planning Commission
NPR	Nepalese Rupee
OCAT	Organizational Capacity Assessment Tool
OPMCM	Office of the Prime Minister and Council of Ministers
PAF	Poverty Alleviation Fund
PO	Partner Organization
PTF	Partnership for Transparency Fund
SM	Social Mobilizer
SN	Serial No
SSCIP	Small Scale Community Infrastructure Project
TOR	Terms of Reference
TPM	Third Party Monitoring
VDC	Village Development Committee

## Table of Contents

1.	Executive Summary .....	7
2.	Background.....	7
2.1	Description of PAF-2.....	7
2.2	Gaps and Accountability Issues Addressed by the CARTA Sub-project .....	7
2.3	Sub-project Objectives .....	8
2.4	FSCN Terms of Reference .....	8
2.5	Geographic Scope of the CARTA Sub-project .....	9
3.	Data Collection Methodologies and Description of Tools .....	9
	Organizational Capacity Assessment Tool (OCAT).....	10
4.	Outcomes and Results.....	11
5.	Project Management.....	18
5.1	FSCN Activities.....	18
5.2	Internal Lessons Learned by the implementer of the Subproject .....	19
6.	Recommendations .....	20
7.	Annexes .....	22
7.1	TOR.....	22
7.2	Sub-project Action Plan .....	25
7.3	Logical Framework .....	27
7.4	District-wise Name List of COs with their POs.....	28
7.5	COs in Which Endline information were Collected by Interchanging DCs.....	31
7.6	OCAT (used for Assessing COs’ Stage of Organizational Development).....	33
7.7	Checklist Used as TPM Tool.....	38
7.8	Case Studies.....	39
7.8.1	Case Study 1: CO Recovers its Withheld/Embezzled Amount Partially .....	39
7.8.2	Case Study 2: Revolving Fund Resumes Revolving after Years.....	40
7.8.3	Case Study 3: CO Members Become Proactive in Recovering Embezzled Amount.....	41
7.9	CO Satisfaction Scorecard.....	43
7.10	Factsheets Presenting Sub-Project Good Practices .....	46
7.11	Sample Annual Action Plan of a CO from Rautahat district.....	48
7.12	Updated Participatory Tools of PAF and Summary of Recommendations .....	50
7.12.1	CO Self Review Indicators.....	50
7.12.2	Evaluation sheet to be filled up by CO Representatives.....	55
7.12.3	CO Graduation Assessment .....	56
7.13	CO Graduation Assessment framework ( <i>Translated into English</i> ) .....	58
7.14	Session plan of Capacity Development Trainings.....	63
7.15	Trainer’s Training Report.....	64
7.16	Project Management.....	66
7.17	Sub-project Sustainability.....	67
7.18	Dissemination of Results .....	67

## 1. Executive Summary

The purpose of this CARTA sub-project<sup>1</sup> was to build specific governance capacities in Community Organizations (COs), formed under the Poverty Alleviation Fund. The Friends Service Council Nepal (FSCN) implemented this 18-month sub-project in a total of 120 COs in 10 Nepal districts; technical inputs were provided by HELVETAS Nepal and the Partnership for Transparency Fund (PTF).

The Poverty Alleviation Fund (PAF2) Project, funded by the World Bank, and implemented by the Poverty Alleviation Fund Nepal, involves over 20,000 COs throughout Nepal. The development objective is to improve living conditions, livelihoods and empowerment among the rural poor, with particular attention to groups that have been excluded by reasons of gender, ethnicity, caste or location. The Fund implements the project by signing agreements with Partner Organizations (POs), which act as an intermediary between the Project and the COs<sup>2</sup>. The POs are responsible for delivering services to facilitate the formation of COs, provide technical assistance to COs, supervise them, and facilitate their institutional maturation<sup>3</sup>. The POs provide services to COs through their Social Mobilizers (SMs), who make visits to COs at least monthly. The types of services are based on an assessment of the COs and their needs. Based on this analysis, SMs prepare annual action plans with COs and then are responsible for training events included in these plans.

The CARTA sub-project activities had two main objectives: to increase the COs' abilities to hold their PO's more accountable, and to strengthen COs' support to their constituent communities. To enable the COs to monitor the POs' performance, FSCN trained COs to understand PO obligations under the PAF project. This knowledge allowed the CO members to recognize and claim their rights and entitlements, which would make the POs more accountable toward the COs, and improve the PO performance.

There were also various efforts by FSCN to strengthen the CO management practices and capacities for effective and efficient project management by raising their awareness levels of challenges and issues, and by providing training. The sub-project activities filled gaps that were identified during an organizational capacity assessment as part of the training provided by the PAF-2 project (see main report for details). The purpose of this type of training was to enable COs to recognize their own development needs, and advise them on ways to get the resources needed to improve their institutions, so they could provide better service to their communities. Increased awareness due to training resulted in changes to the way several COs operated; for example, COs fulfilled their obligation to establish maintenance funds for infrastructure projects; began a registration process for grievances; lobbied for the return of COs' checkbooks from POs; improved the functioning of sub-committees formed in the COs; and, prepared to join networks of similar organizations.

A comparison of baseline and end-line survey data indicates that the project achieved other positive changes. For example:

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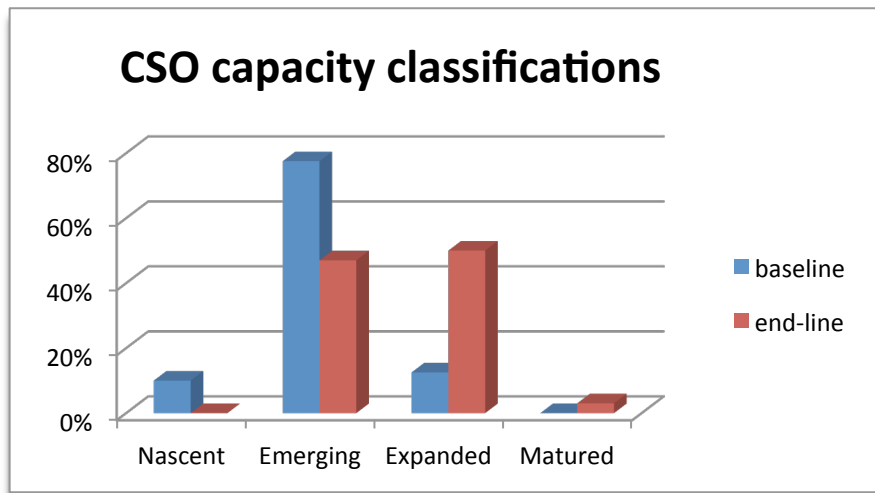
<sup>1</sup>Strengthening Governance and Capacity Building of Community Organizations (PAF2 sub-project)

<sup>2</sup>The Fund is not mandated to directly work with COs formed at a local level.

<sup>3</sup>In this process the CSO will learn to network and partner with different stakeholders, other Pos—including Civil Society Organizations (CSOs), local government bodies such as Village Development Committees (VDCs), District Development Committees (DDCs), and humanitarian organizations such as the Red Cross.

- ♦ By the end of the sub-project 100% of the 120 COs had training plans (baseline: 0%).
- ♦ The average annual visits by SMs increased slightly to 8 (baseline: 7.7). While the number did not increase substantially, the quality of these visits increased significantly: SMs fulfilled their tasks such as assessing training needs, providing training plans, and checking CO progress at a higher level. The change was due primarily because CO members reminded the POs of their obligations as agreed under PAF2.
- ♦ By the end of the sub-project 45% of COs registered written grievances (baseline: 5%). This increase is attributable to more knowledge of the process. As CO members learned the roles and responsibilities of POs, they began to use written grievances more effectively.
- ♦ According to the satisfaction surveys, by the end of sub-project completion, 92% of the COs were satisfied with the services provided by POs (baseline: 60%). The increase was due to the increased knowledge levels of the COs, and the higher response levels of the POs. As the COs became more demanding, the POs became more responsive.

In the process of learning about the POs, COs also analyzed their own organizational strengths,



weaknesses and responsibilities. The overall result was that the COs showed evidence of maturing into independent institutions. Figure 1 summarizes the change in institutional development, based on assessments of the COs' organizational capabilities jointly carried out by CO members, FSCN District Coordinators and the SMs. The trend shows

**Figure 1: CO self-evaluation of institutional stage of development**

movement from the early stages of development, "Nascent" and "Emerging" levels, to "Expanded" and "Matured" stages<sup>4</sup>, which demonstrates more self-confidence in their own competence and independence. The primary methods used by the CARTA sub-project to achieve these results included individual coaching and counseling sessions with CO leaders, along with trainings on governance, management practices, and the dissemination of information.

In addition, the CARTA sub-project also provided feedback to PAF-2 on three assessment tools used by the Project. Based on the field experience gained in the course of this sub-project implementation, FSCN recommended several specific revisions to these tools, which are shown in the annex 7.12. Using the revised tools, and with training, 100% of the COs capably completed a self-review of their organizational stage of development in a participatory way (baseline: 17.5%).

<sup>4</sup> The definition and measurement of these stages are described in section 4.2.1 of the main report.

The SMs have a crucial role in ensuring that CO's can implement their PAF-2 financed projects. During field visits, FSCN observed that insufficient number of SMs in stable positions to allow a monthly visit to the COs. The frequent change of SMs, and low motivation level of POs, hampered service delivery to the COs. Most SMs were unmotivated to work, primarily due to delayed payment of their salaries.

FSCN, as the implementing agent of the CARTA sub-project, also learned to correct and adapt some of its plans/tools during the 18-month implementation period. The lessons included:

- ♦ FSCN observed during the subproject's pilot phase that clustering COs is important because geographical factors and community-selection criteria must be considered together. FSCN found that COs were scattered widely in several districts. It took four days for some of the sub-project coordinators to make one round-trip visit to a CO. Instead of using district boundaries, COs could be selected according to geographic clusters to facilitate project activities.
- ♦ Visual training materials were important whenever project components target multilingual communities. Visual materials became communication tools during meetings, and community members also used these materials in the absence of trainers.
- ♦ Recruitment of local personnel facilitated project implementation. Local hires had two advantages: linguistic and administrative barriers and obstacles could more easily be addressed; second, follow up activities (even after the completion of intervention) were easier when the implementing organization did not have a permanent organizational structure and personnel. Therefore, recruitment of local personnel facilitated smooth project implementation.

The following recommendations have been made:

**To COs:**

- ♦ Hold monthly meetings with agendas. CO members tended to meet only to deposit savings; the agenda items were unchanged from meeting to meeting.
- ♦ Know the entitlements and services POs are required to deliver. This knowledge makes it easy to differentiate between grievances and demands, and makes service providers more accountable.
- ♦ Ensure that sub-committees are functional. Functional committees increase active participation, ultimately increasing the sense of ownership.
- ♦ Ensure that each member of the CO understands that the fund provided by PAF belongs to the CO, not to an individual member, government or other bodies.
- ♦ Seek support for the establishment of a CO office at a particular place, at least for safe-keeping documents. This is recommended based on the experience that most of the COs do not have a community building, and their important documents are at risk of being misplaced, damaged or lost.

**To POs:**

- ♦ Ensure COs hold monthly meetings, supported by SMs.
- ♦ Provide periodic refresher trainings to CO members. If resources are a constraint, inform PAF about the need for such trainings.
- ♦ Comply fully with the PAF Program Implementation Guidelines.
- ♦ Recruit qualified and professional social mobilizers; provide regular training; and ensure their stability.

- ◆ Encourage local stakeholders, which are with an obligation as per the PAF Program Implementation Guidelines, to monitor CO programs.

**To PAF:**

- ◆ Disburse the budgeted funds to the PO on time. POs cannot meet CO expectations unless they have funds.
- ◆ Increase oversight and presence at the district level. There is a need to establish a regular presence at district or cluster level, and ensure that Portfolio Managers spend sufficient time there to closely monitor programs.
- ◆ Increase the number of Social Mobilizers and take steps to ensure their stability.
- ◆ Increase the percentage of COs that engage in assessing POs' performance. This can minimize the chances that COs are influenced by POs during the latter's performance assessment by PAF.
- ◆ Come up with a CO-friendly and PAF-assisted financial auditing mechanism because the process is costly. COs do not want to spend their profits for audits.

FSCN prepared a 22-minute video documentary, and also produced printed materials, including a visual training manual for COs, lessons learned, and the use of FSCN's organizational capacity assessment methodology.

## **2. Background**

### **2.1 Description of PAF-2**

The Poverty Alleviation Fund was established around eight years ago, operating in six pilot districts. To date, PAF has successfully reached out to vulnerable groups in 55 districts and has mobilized/made agreements with 25,139 Community Organizations (COs) for implementing various sub-projects.

For income generating activities, PAF provides 90 percent of grants to COs to launch activities, exclusively for the target groups. The groups or CO members borrow money from CO's Revolving Fund in the form of loan to launch Income Generating Activities (IGAs). The participants pay back the loan on an installment basis to the COs. Hence, the Fund revolves within the CO to support the financial requirement of target communities.

PAF also supports target communities to implement infrastructures. Such infrastructures are implemented, managed and maintained by the beneficiaries themselves. Community infrastructure are linked with target communities' livelihood improvement, and include rural roads, trails, mule tracks, culverts, bridges, river bed land reclamation, drinking water systems including sanitation, and farmer-managed small irrigation systems, etc.

### **2.2 Gaps and Accountability Issues Addressed by the CARTA Sub-project**

Based on initial conversations with the World Bank's Task Team Leader<sup>5</sup>, possible governance and accountability gaps were identified. Specifically, it was assumed that:

- ◆ COs were expected to demand capacity-building services from POs, but it was not clear this was happening.

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<sup>5</sup> The TTL has changed since the initial conversations in 2012

- ♦ The capacity-building services provided by the POs might be insufficient.
- ♦ The COs' institutional capabilities, including their ability to operate independently, might be taking longer than expected to develop.
- ♦ The ability of COs to link with local service agencies and private sectors was not clear.

### **2.3 Sub-project Objectives**

The overall objective was to strengthen the community organizations' (COs') governance and capacity for effective and efficient project management so that COs could provide better service to their communities. The specific objectives were as follows:

- ♦ To enable COs to monitor POs' downward accountability: The purpose was to equip COs with information, knowledge and skills so that they could put pressure on their POs to deliver services, according to their agreements.
- ♦ To increase knowledge and skill of COs on good governance, networking, and project management: The purpose of PAF2 was to enable COs to function independently. One of the goals was to assist in the overall maturation of COs by making them more aware of their needs. As a result, the CARTA sub-project provided training in financial management, the use of social accountability tools (such as social audit and public hearings), the use of a participatory self-review methodology, PO TOR commitments, and the use of a complaint mechanism. The assumption was that with these tools, knowledge and skills, the COs would become more independent organizations capable of good governance, networking and project management.
- ♦ To update and refine participatory tools and indicators used to evaluate the institutional development of COs: Participatory tools refer to the instruments and indicators prepared by PAF to assess the performance of POs. These include: the Self-evaluation Sheet (to be completed by CO Representatives), the CO Graduation Assessment and CO Self-review Indicators. These tools would be refined and updated by PAF, based on the recommendations made by FSCN.
- ♦ To enable COs to review their own institutional development using a participatory process: This knowledge and skill would enable the CO to continue the process of development independently.

Considered together, these objectives were intended to increase the ability of COs to hold their POs more accountable, and to enable COs to provide better service to their member households.

### **2.4 FSCN Terms of Reference**

FSCN activities, as per the TOR<sup>6</sup>, included:

- ♦ Training COs to engage in assessing PO service delivery to them. This skill will make POs more accountable, by empowering COs.
- ♦ Updating and refining the evaluation tools used by COs' to determine their own institutional development level.
- ♦ Training COs to use these self-evaluation tools.

In addition, the sub-project would provide information and analysis by collecting and presenting specific data to:

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<sup>6</sup> The FSCN proposal was selected after a rigorous selection process. First, a request for concept notes was published to short list feasible projects. From 25 concept notes, 3 CSO were invited to submit a full proposal. After the rigorous evaluation by HELVETAS Nepal and PTF separately, the Friend Service Council Nepal (FSCN) was selected.



- ♦ Monitor the number of COs engaged in the annual (PAF led) assessment of service delivery by the POs.
- ♦ Describe how POs respond to the COs' engagement in their supervision and assessment.
- ♦ Describe improvements made in the participatory evaluation tools, and monitor the number of COs undertaking self-evaluation of their institutional development.
- ♦ Indicate how COs clearly understand their institutional development
- ♦ Indicate the extent COs can decide the types of services they would need, and whether these can be provided by local governments, instead of POs.

## 2.5 Geographic Scope of the CARTA Sub-project

### COs by district

SN	District	District type	District description	No. COs	No. of POs
1	Pyuthan	Initial	Hill	10	6
2	Ramechhap	Initial	Hill	12	9
3	Siraha	Initial	Terai	17	15
4	Achham	Additional	Hill	10	8
5	Baitadi	Additional	Hill	10	9
6	Bajhang	Additional	Mountain	10	9
7	Doti	Additional	Hill	10	5
8	Mohattari	Additional	Terai	14	9
9	Rasuwa	Additional	Mountain	10	4
10	Rautahat	Additional	Terai	17	9
<b>Total</b>				<b>120</b>	<b>83</b>

Ten districts (three from the initial six districts and seven from the additional 19 districts) were selected by the sub-project team including FSCN executive committee members for the sub-project. The districts had comparatively low scores on the HDI, and attempts were made to maintain proper balance from the Mountain (2), Hill (5) and *Terai* (3).

The sub-project began January 10, 2013, and field activities were completed by June 30, 2014. A total of 120 community organizations in 10 districts, or about 1% of the total number of community organizations participating in PAF2, were selected with the help of POs' recommendations and three indicators: 1) COs advancing towards institutionalization (e.g., cooperatives, federations), 2) Comparatively mature COs, and 3) COs undertaking infrastructure related activities. The total number of COs in any district ranged from a minimum of 10 to a maximum of 17.

## 3. Data Collection Methodologies and Description of Tools

The Organizational Capacity Assessment Tool (OCAT), Satisfaction Score Card<sup>7</sup>, and Checklist were used to collect baseline and endline data. However, for 30 COs from 5 districts the sub-project personnel who collected the endline information were not the same as for the baseline data collection, and the result of such practice was reported separately. This method was adopted, as per PTF advice, in order to avoid

<sup>7</sup>A set of 14 questions having 18 as full score was asked to the CO members on their satisfaction level in relation to the services delivered by the POs during an OCAT workshop for each CO. Scores above 80% were rated as "highly satisfied," 50%-80% as "satisfied," and below 50% as "unsatisfied."

the possibility of biased data to demonstrate the effectiveness of the personnel who collected the endline data.

### **Organizational Capacity Assessment Tool (OCAT)**

The OCAT tool, introduced by FCSN, enables a comprehensive assessment of the functional capacity of an organization, by focusing on seven components of organizational effectiveness—governance, management practices, human resources, financial resources, service delivery, external relations, and sustainability. This OCAT data was primarily used to rate the institutional development of a CO. The tool consolidates the various data into a single score, from zero to four; scores from 0 to 1.4 were categorized as “Nascent,” from 1.5 to 2.4 as “Emerging,” from 2.5 to 3.4 as “Expanding,” and, from 3.5 to 4 as “Mature”<sup>8</sup>. The OCAT tool was used by FCSN previously and was introduced to this project by them to assist organizations in self-assessing their institutional development. OCAT typically focuses on helping organizations assess seven components of organizational effectiveness – governance, management practices, human resources, financial resources, service delivery, external relations, and sustainability – these are the broadest or highest level of measurement of an organization’s capacity. Each of the components has a series of categories of organizational capacity and each of these, in turn, have a series of individual elements. The OCAT describes the four stages of an organization:

- ♦ **Nascent:** An organization is in the earliest stages of development. All the components measured by OCAT are in rudimentary form or non-existent.
- ♦ **Emerging:** An organization is developing some capacity. Structures for governance, management practices, human resources, financial resources and service delivery are in place and functioning.
- ♦ **Expanding:** An organization has a track record of achievement; its work is recognized by its constituency, the government, the private business sector and other NGOs active in the same sector.
- ♦ **Mature:** An NGO is fully functioning and sustainable, with a diversified resource base and partnership relationships with national and international networks. FCSN had developed the OCAT protocol and used it elsewhere previously – and that it simplified in this sub-project on the basis of initial experience.

OCAT was not pre-tested in any communities. When FCSN began using it, it soon realized that the Tool indicators did not match the description of the level of community organization. Hence, OCAT was simplified in line with the level of COs. During a workshop, DCs, the sub-project central team, board members of FCSN, and also the representatives from HELVETAS-Nepal, revised the tool.

### **Satisfaction Scorecard**

The original scorecard developed by PAF included 21 indicators; however, only 14 were selected by FCSN to rate CO satisfaction levels with PO service provision. The PAF scoring rubric was used: scores above 80% were rated “Highly satisfied,” between 66 and 80% were regarded as “Satisfied,” and below 65% were considered “Unsatisfied.”

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<sup>8</sup> See Annex 7.6 for the OCAT.

## Checklist

A checklist was created to easily determine the status of knowledge, skills, and attitudes in each district. The checklist noted the following: the placement of a display board showing the program details, the total number of visits by a Social Mobilizer to the a CO in a year, the number of public hearings and social audits, the occurrence of sensitization and advocacy training by the Social Mobilizer<sup>9</sup>; the possession of CO bank checkbook, the number of CO affiliated with a network, occurrences of monitoring by concerned stakeholders, internal audits of the CO, the mandatory trainings provided by the PO within a year after the formation of CO, the establishment of maintenance fund, occurrences of participatory CO self review, and the number of registered PAF-related grievances.

## 4. Outcomes and Results

To better understand potential gaps, FSCN first assessed the COs' development stages using an organizational capacity assessment methodology, the Organizational Capacity Assessment Tool (OCAT), which it had developed previously. Based on the data obtained from this survey, the CARTA sub-project could then formulate training plans, which would include capacity-developing training packages and counseling sessions on governance-related activities, such as public hearings, public audits, participatory self-review, and planning.

The data from the **baseline** revealed the following information:

- ♦ In 68% of COs, the social mobilizers of the POs did not visit the COs as often as required by the PAF program implementation guideline. The annual average of visits to the COs by social mobilizers was 7.7, while the average should have been 12 (once per month).
- ♦ 7.5% of COs reported being “highly satisfied” and 52.5 % “satisfied,” while 40% were unsatisfied with PO service delivery. Those who were not satisfied with PO service delivery noted that POs did not do one or more of the following: POs did not assess their training needs, provide training plans, check CO progress, or support COs in their management.<sup>10</sup>
- ♦ In 64% of COs, social mobilizers conducted training on the “sensitization and advocacy on women empowerment”; however, such training is mandatory for all COs according to the *PAF Program Implementation Guideline*.
- ♦ Display boards with program details were visible in 67% of the COs.
- ♦ According to the *PAF Guidelines*, a maintenance fund should exist for infrastructure related activities. Out of 120 COs, 64 had infrastructure development projects; only 32% of them had a maintenance fund.
- ♦ 5% of the COs registered their PAF related grievances in written form for mediation.
- ♦ 66% of the COs entered into a VDC level network.
- ♦ 17% of COs carried out a critical self-review of their activities.
- ♦ Based on the established OCAT baseline, the COs were predominantly in the early institutional development stages: 10% of COs were rated in the “nascent” stage, 77.5% were in the

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<sup>9</sup> On topics such as women empowerment, literacy, child education.

<sup>10</sup>A set of 14 questions was used to ascertain CO member satisfaction level with the services delivered by the POs during an OCAT workshop for each CO. Scores above 80% were rated as “highly satisfied,” 50%-80% as “satisfied,” and below 50% as “unsatisfied”; (18 was the maximum score).

“emerging” stage, and 12.5% were in the “expanding” stage. None of the COs were rated “mature.”

- ♦ A public audit was conducted in 48% (out of 120) of the COs selected for the sub-project, whereas such an audit is mandatory and all COs receiving PAF support should have their financial transactions audited by an external professional each year. But in reality, small COs rarely followed this practice because auditors’ costs are generally high. For example for each CO, auditors charge about NRs. 4,000-6000 per audit; consequently CO members are reluctant to conduct audits even though they are required annually. Instead, COS present their income and expenditure statements to all CO members at the end of fiscal year and treat it as an audit. The initial survey indicated that only 65% of the COs conducted audits each year.
- ♦ The PAF program implementation guideline requires local government authorities to conduct joint monitoring of PAF programs. Such monitoring exercises were found to be very infrequent, based on the checklist used during baseline data collection. Had there been more frequent visits to improve the PAF program, the COs would have complained less about the infrequent visits by local government authorities. The COs would also have liked to see more visits by PAF portfolio managers.

The sub-project collected data on four specific outcomes listed below through baseline and endline using Organizational Capacity Assessment Tool (OCAT), Satisfaction Score Card<sup>11</sup>, and Checklist.

Specific data for each outcome:

**Outcome 1: Increased levels of CO awareness and demand for PO services, especially for training, and PO response to CO grievances, if any.**

*Result:* By the end of the sub-project, 92% of the COs were satisfied with the services from POs, compared to 60% before the capacity-building interventions.

As a result of the sub-project interventions such as on-the-job coaching and counseling sessions, COs demonstrated improved capacities to put forth demands, interact with POs, put pressure on SMs and draw concerned stakeholders’ attention towards their demands and grievances. Due to their enhanced capacity to interact and seek cooperation from POs, COs’ operational performance improved as evidenced by several important changes: maintenance funds were established, grievances were registered, checkbooks withheld by POs were returned to the concerned COs<sup>12</sup>, and SMs activated the sub-committees of COs.

There is still room for improvement: the SMs of the POs did not visit as often as required by the PAF program implementation guideline. The annual average visit by an SM was 8 visits per year by the end of the sub-project, but should be once per month. The quality of these visits did improve according to FSCN observations and reports from the COs.

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<sup>11</sup>A set of 14 questions having 18 as full score was asked to the CO members on their satisfaction level in relation to the services delivered by the POs during an OCAT workshop for each CO. Scores above 80% were rated as “highly satisfied,” 50%-80% as “satisfied,” and below 50% as “unsatisfied.”

<sup>12</sup>As per the PAF Programme Implementation Guidelines, CO checkbooks have to be possessed by the COs themselves and possessing such checkbooks by POs is against the Guidelines.

The change in the grievance process handling by COs and POs is especially noteworthy: by the end of the sub-project, 45% of the COs had submitted written grievances compared to 5% in the baseline. POs now focus on grievances and actively resolve problems. For example, Gramin Bikash Sewa Kendra, the PO of Janasewa CO, upon receiving a grievance from the CO over an uncooperative SM, replaced the SM.

Also, 100% of the COs were provided with training plans by POs compared to zero percent at the beginning of the sub-project. This increase was primarily due to the coaching and counseling sessions, which improved the knowledge of CO members and made them aware on the services to be received from POs.

Several noteworthy accomplishments include:

- ♦ COs started to inquire about the financial status of their revolving funds<sup>13</sup>. For example, members of the Kalyankari CO of Rangapur VDC 8 in the district of Rautahat inquired about their financial status to understand and sort-out the problematic accounting methods (loans were attributed to the accounts of CO members who had not borrowed any amount). This information was shared with a neighboring CO from the same VDC, who was then able to recover NPR 0.81 Million<sup>14</sup>.
- ♦ Due to increased awareness, the Nandababa Community Organization of Baharamal VDC-1, in the district of Siraha, was able to recover a total of NPR 20000, withheld by its social mobilizer<sup>15</sup>.
- ♦ COs put pressure on the Social Mobilizers to resume revolving funds. For example, the Jakhanitar CO, from the Chisapani VDC in the district of Ramechhap, recovered, after six years, amounts lent under a revolving fund, thereby ensuring the smooth operation of the fund. The CO was able to recover NPR 234,000 in two meetings, as a result of the coaching and counseling sessions<sup>16</sup>.

## **Outcome 2. Increased knowledge and skills of COs for good governance, and increased ability to become members of larger thematic networks (e.g., land rights federation, savings associations, cooperatives)**

*Result:* The endline data showed positive changes in the COs' organizational development. Using the OCAT tool, COs self-analyzed their stage of institutional development. Regardless of the year established, the COs institutional development had progressed. At the conclusion of the sub-project, no COs were in the nascent stage<sup>17</sup>.

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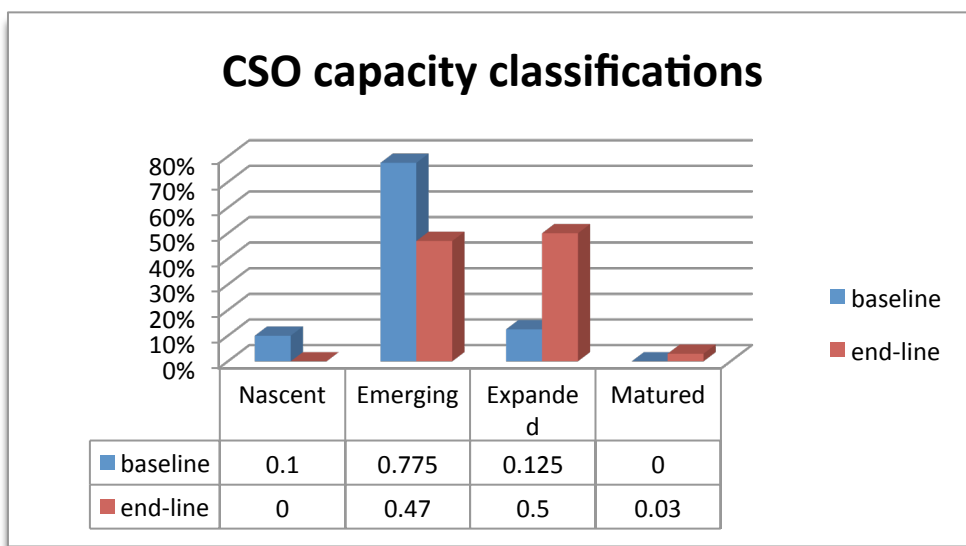
<sup>13</sup>The PAF directly deposits proposed amounts to the accounts of COs and the latter lends certain portion of the amounts to their members on a rotational basis as per the members' proposed plans. The amount lent by COs to its members in this way is called revolving fund. As its name suggests, once a member pays back the borrowed amount, COs are to provide amount to its other members as per the latter's proposal. CO members have to pay interest as per the interest rates determined by COs.

<sup>14</sup> See case study three, Annex 8.3. 3

<sup>15</sup> See case study one, Annex 8.3.1

<sup>16</sup> See case study two, Annex 8.3.2

<sup>17</sup> OCAT, based on the score obtained under its each indicator, categorized COs as Nascent, Emerging, Expanding and Matured. See Annex 5.



Examples of improved CO governance include the following:

- ♦ 91% of COs conducted their public audit/hearing as part of their increased concerns about transparency and good governance (baseline 48%).
- ♦ 100% of SMs prepared annual action plans together with the COs.
- ♦ To promote transparency, display boards with program details were posted by 76% of COs (baseline 67%) by the end of the sub-project.
- ♦ 50% of COs had a maintenance fund for COs working in infra-structure development (baseline 32%) at the end of the sub-project.
- ♦ Improvement in the financial management of COs, especially their book-keeping practices and safe-keeping of their important documents, was perceptible. In particular, CO members learned about revolving fund mobilization; they are now able to resume the revolving fund even after a halt for several years.

COs joined networks according to their needs.<sup>18</sup> These networks can be formal (legally registered) and informal (unregistered—a loose network of COs from particular geographical areas that come together for collaborate). In particular:

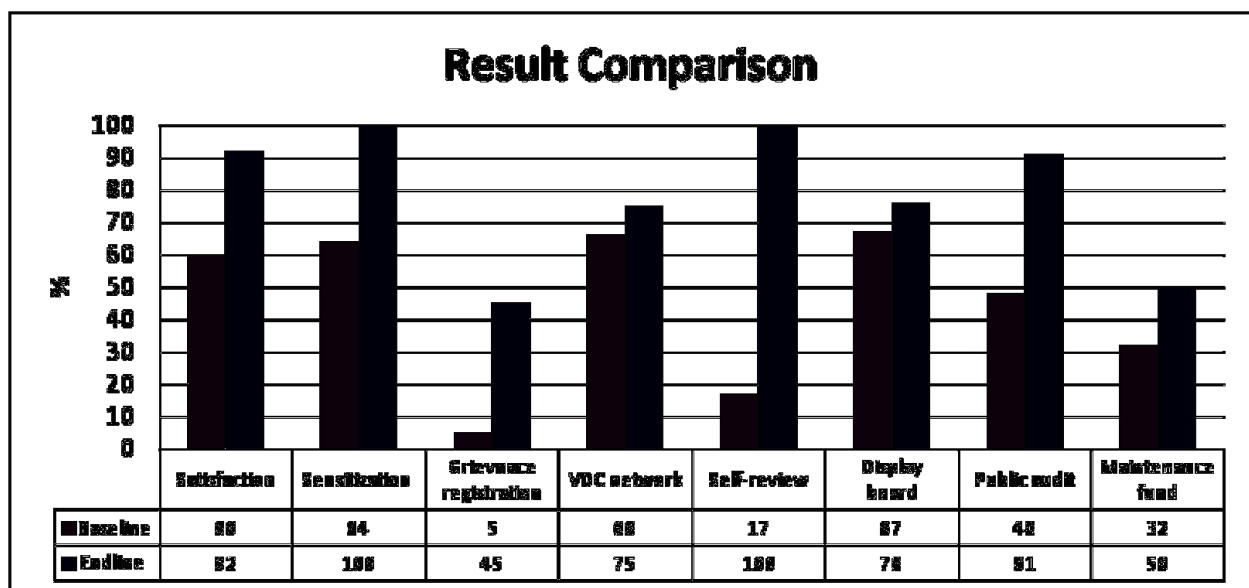
- ♦ According to the initial data, 66% (80) of the COs had joined VDC level networks; while an additional 10 COs joined a network after the sub-projection intervention, for a total of 75%. (In practice, COs join one network at the PO level, e.g., all COs of a particular VDC [regardless of their PO] were affiliated with a VDC level network.)
- ♦ Five COs from the districts of Rautahat and Siraha were prepared to apply for a larger network (cooperatives). However, due to the GoN's decision to withhold registration of new cooperatives, they could not apply, and their applications had not been resumed by the time the sub-project completed. There is a commitment by the COs to resume the application, once the process for the registration resumes.

<sup>18</sup>Several needs include: exchanging views, learning new technologies, and promoting trade.

The following figure summarizes the results in Outcomes 1 and 2:

Outcomes	Indicators	Baseline Data	Endline Data
1. Increased level of CO awareness and demand for PO services especially for training and response to CO grievances, if any.	At least 90% of the targeted COs in each district will have received a training plan from their POs by the end of sub project.	0% of the COs had received such plans	100% of the COs received training plans from their POs
	60% of COs reported grievances if any and 100 % of the reported grievances have been mediated.	5% of the COs reported grievances	45% of the COs reported grievances and 100% of the grievances were mediated
	75% of the COs will be satisfied on the services provided by POs (using COs scorecard)	60% of the COs were satisfied on the services provided by POs	92% of the COs will be satisfied on the services provided by POs
2. Increased knowledge and skills of COs for good governance and increased ability to become members of larger thematic network (e.g. Land Rights federation, Savings and cooperatives network, etc.)	About 20% of targeted COs applied for membership of various networks	66% (about 80 out of 120 COs) COs were entered into networks	30% (of the remaining 40 COs) applied for membership of VDC level networks

A comparison of the baseline and endline data for the first two outcomes is shown in the following table:



### **Outcome 3: Improved participatory tools**

The sub-project was asked to review three existing PAF project tools, and make suggestions to improve them. The reviewed project tools included:

- 1) *The Evaluation Sheet (to be completed by the CO)*
- 2) *CO Graduation Assessment*
- 3) *CO Self-Review Indicators*. The purpose of these tools is to evaluate CO and PO performance and CO stages of development.

Specific recommendations include:

1. ***The Evaluation Sheet (to be completed by the CO)***: Originally the Evaluation Sheet had 21 sub-indicators. In reviewing the sheet, FSCN recommended adding four more sub-indicators. These included: sensitization on women empowerment by social mobilizers (in line with PAF program implementation guidelines); POs cooperation and initiation in the review of COs; facilitation by POs in conducting internal audit of COs; and, POs' cooperation with COs in mobilizing micro-finance. FSCN also recommended subtle changes in twelve indicators out of the original 21 indicators. For a complete list of these changes see annex 7.12.2.
2. ***CO Graduation Assessment***: The recommended changes for this document are listed by category and relevant:
  - ♦ *Social mobilization*: This heading was originally coupled with sensitization enhancement; however, the latter was removed and made a separate indicator.
  - ♦ *CO's operational system*: In this section there were a total of 6 indicators. FSCN added one indicator related to CO decision-making. The newly added indicator covers active participation of CO members in monthly meetings and decision-making. It is believed that emphasizing active participation of CO members will not only increase ownership and accountability, but will provide space to all CO members to develop their candidacy as key post-holders in the future.
  - ♦ *CO's governance*: Originally there were 6 sub-indicators. FSCN suggested adding a new sub-indicator related to the external audit. Since a CO utilizes funds under the PAF program, and also since PAF implementation guidelines require the CO to conduct an external audit every year, this point is essential.
  - ♦ *Capacity development and mobilization*: Originally there were 6 sub-indicators; now there are 3. The other three were moved to a new indicator "External coordination and linkages."
  - ♦ *Poverty alleviation*: There were 6 sub-indicators; now there are four. Two were moved to "Sensitization enhancement."
  - ♦ *Micro-level community infrastructure development*: All of the sub-indicators under this heading relate to infrastructure projects only. These indicators are not applicable to some COs. Hence, it is recommended either to develop separate assessment forms targeting the COs working on income generation and infrastructure, or to revise the indicators in such a way that the revised one is applicable to all types of COs. This list of sub-indicators also needed an indicator concerning the provision of maintenance fund.
3. ***CO Self-Review Indicators***: The PAF developed a participatory tool, *Samudayik Sansthako Swamulyankanko Suchakharu*, (CO Self-Review Indicators), to enable COs to self-review their development. The original PAF tool contained 10 indicators with 50 sub-indicators. While updating and refining this participatory tool, FSCN added several sub-indicators, and some were deleted due



to their irrelevance or to repetition. The net effect was that the total number of sub-indicators did not change.

FSCN did suggest adding one more column to this form used for the self review. FSCN added this column in the indicators format to allow the assessor to record the documents presented as evidence<sup>19</sup>. It is hoped that this additional request for information will guide the CO members to gather the required documents and to make necessary preparations before sitting for their institutional self-review. Due to the addition of this column, CO members may realize that their meeting minute books, correspondences of the past, check book, attendance register, statute, audit reports, particulars of financial misuse, etc. are required for them to undertake a self review.

**Outcome 4: Increased ability of the COs to evaluate their level of institutional development**

Through a participatory self-review and planning workshop (PRSP) conducted by FSCN, CO members were expected to become capable of reviewing their own institutional development progress. They were oriented on the provision and format of self-review included in the PAF implementation guideline. The CO members conducted such reviews independently—social mobilizers and FSCN personnel were merely observers<sup>20</sup>. COs used the Self Review Indicators developed by PAF, and revised by FSCN.

*Result:* By the end of the sub-project, 100 % of the COs conducted self reviews in a participatory way, compared to the baseline 17.5%.

A comparison between baseline and endline data for outcomes three and four is shown below:

3. Summary of recommendations for updating Participatory tools submitted to HELVETAS	HELVETAS-Nepal received summary of recommendations for updating participatory tools	PAF, during four party meeting with HELVETAS Nepal, World Bank and FSCN, requested to FSCN to share the latter’s field based experience with the former relating to updating participatory tools developed by PAF.	<i>The Evaluation Sheet to be filled up by CO’s Representatives, CO Graduation Assessment and CO Self Review Indicators</i> were reviewed and recommendations made accordingly to the PAF. The recommendations have been included as one of the annexes of this report of the sub-project
4. Increased ability of the targeted COs to self-review their level of institutional development	80% of the targeted COs conducted self-review by the end of the project.	17.5% of the targeted COs conducted self-review.	100% of the targeted COs conducted self-review by the end of the project.

<sup>19</sup> It is up to the PAF management team to decide what forms are acceptable evidence.

<sup>20</sup>In the cases of COs in which members capable of leading the process were not available, SMs and the sub-project personnel facilitated the process.

## 5. Project Management

### 5.1 FSCN Activities

The sub-project completed the following activities to meet the objectives:

- ♦ Assessment of COs' stages of institutional development: Trained project staff, jointly with the SMs, completed the assessment of all 120 COs. Baseline data was collected, including the grievance collection process;<sup>21</sup> the satisfaction levels of COs with the service provided by POs; and the capacity of COs to network and coordinate various activities. The assessment results helped identify the training and capacity development requirements of the individual COs. It was during assessment workshops that COs, with the help of the SMs from their POs, formulated their annual action plans. A total of 3,401 CO members participated in the workshops.
- ♦ A total of 20 Capacity Development Trainings were provided to CO members based on the identified training needs. Nationally recognized community trainers were hired, and based on the recommendations of the experts, who analyzed CO information collected during the assessment, leadership development trainings and trainings on basic accounting were provided. A total of 384 CO members participated in such trainings.
- ♦ A total of 360 on-the-job coaching and counseling sessions were conducted for capacity building of COs. Sessions included topics such as: an orientation on the CO statutes; the proper documentation of project activities; proper information dissemination; the importance of regular monthly meetings; registration of PAF grievances; the internal auditing process for COs; the establishment of a maintenance fund for COs; the mobilization of COs' sub-committees; the application process for affiliation to different networks; the identification and mobilization of local resources; child marriage, polygamy and the dowry system; and the registration process for births, marriages, and death. A total of 2,782 CO members took part in these sessions.
- ♦ A total of 120 PSRP workshops were held to review performance, progress and planning for the coming periods. The review tool developed by PAF was used by a total of 1,263 participants.
- ♦ FSCN prepared training manuals for COs, and a 22-minute video documentary on the sub-project process.
- ♦ Public hearings were held in all 120 COs. Concerned CO members, representatives of POs, and stakeholders participated (4,464 persons). It was through these events that stakeholders and beneficiaries reflected on the project's process and obstacles, generated knowledge to correct problems, and provided tools and expertise to transform their organizational environment.
- ♦ At the conclusion of the project, the Social Welfare Council of Nepal (SWC) evaluated the sub-project, and a two-day learning-sharing workshop was held.

#### Problems and Challenges Encountered

FSCN faced several problems during sub-project implementation; however, none were insurmountable.

The following challenges were noteworthy:

- ♦ During project orientation meetings in some districts, concerned stakeholders, especially POs and representatives of political parties, perceived that the sub-project's sole purpose was to

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<sup>21</sup> Including the number of COs reporting grievances, and the number that had been mediated.

monitor their activities, and they questioned the need for it. This skepticism was alleviated over time by a successor coordinator who successfully restored the sub-project's momentum through a process of sharing progress, outputs and outcomes with stakeholders, and the use of media for sharing of results and outcomes. This level of transparency led to greater trust levels.

- ♦ FSCN experienced initial difficulties applying the OCAT tool. Since OCAT was not pre-tested in any communities, it was soon realized that the tool indicators did not match the description of the level of community organization. If such tools are designed only in terms of the knowledge of experts, but without considering the level of community people and without pre-testing, the tool might turn out to be irrelevant to the community. As a result, OCAT was simplified in line with the level of COs to make it applicable.

## 5.2 Internal Lessons Learned by the implementer of the Subproject

The sub-project implementer, FSCN, noted several lessons that they learned while implementing this particular project. These lessons can be useful for future project design, and can be shared with implementers so they are aware of these challenges.

- ♦ **Third-party monitoring needs to be explained since it is a new concept in most communities.** Since the concept of third-party monitoring of government projects by civil society organizations is not a concept familiar to many stakeholders, such monitoring often alarmed the project implementing agencies, and in this case the POs. Both thought the CSO intended to extract information, rather than to collaborate on improving project results. In particular our experience is that the capacity-development components attracted implementers; whereas governance activities tended to concern them. Therefore, special understanding and expertise on the part of sub-project implementing CSO and its personnel are necessary.
- ♦ **In designing future pilot projects, clustering COs improves efficiency.** In a small program, geographical factors and community-selection criteria must be considered together. FSCN selected COs according to the criteria set in the sub-project TOR; one of the criteria was that COs had to be comparatively mature. To meet this criterion, COs were scattered widely in several districts leading to great inefficiencies; it took four days for some of the district coordinators to make one round trip visit to a CO. Instead of using district boundaries, COs could be selected according to geographic clusters to facilitate project activities.
- ♦ **Prepare visual training materials whenever project components target multilingual communities.** FSCN learned, and would like to share this learning with the PAF2 team since it was missing, to prepare visual training materials whenever project components target multilingual communities. Visual materials can become communication tools during meetings, and community members can use these materials in the absence of trainers.

## 6. Recommendations

FSCN worked with COs, POs and PAF for 18 months in the course of implementing this sub-project. Based on the experience FSCN would like to make the following recommendations:

### To COs:

- ♦ Hold monthly meetings with a specific agenda, which includes a list of items to be covered. CO members tended to meet only to deposit savings; the agenda items were unchanged from meeting to meeting.
- ♦ Know the entitlements and services POs are required to deliver. This knowledge makes it easy to differentiate between grievances and demands, and makes service providers more accountable.
- ♦ Ensure that sub-committees are functional by providing more training if possible, and by reviewing the incentives for participation. Functional committees increase active participation, ultimately increasing the sense of ownership.
- ♦ Ensure that each member of the CO understands that the fund provided by PAF belongs to the CO, not to an individual member, government or other bodies. This is not an easy task and requires leadership at the CO. Improving the transparency at the CO could include posting charts on an information board, along with monthly “town-hall” like meetings.
- ♦ Seek support for the establishment of a CO office at a particular place, at least for safekeeping documents. This is recommended based on the experience that most of the COs do not have a community building, and their important documents are at risk of being misplaced, damaged or lost.

### To POs:

- ♦ Ensure COs hold monthly meetings, supported by SMs.
- ♦ Provide periodic refresher trainings to CO leaders on management practices and leadership. For CO staff, trainings can be in bookkeeping and customer-service practices, but they should be based on demand. If resources area constraint, inform PAF about the need of such trainings.
- ♦ Review the PAF Program Implementation Guidelines, and prioritize the needed interventions for the next fiscal year given the available resources.
- ♦ Recruit qualified and professional social mobilizers; provide regular training; and ensure their stability.
- ♦ Encourage local stakeholders to participate in the monitoring of CO sub-projects.

### To PAF:

- ♦ Ensure disbursement of the budgeted funds to the POs on time. POs cannot meet CO expectations unless they have funds.
- ♦ Establish a regular presence at districts, or clusters, and ensure that Portfolio Managers spend sufficient time there to closely monitor programs.

- ♦ Increase the number of Social Mobilizers and take steps to ensure their stability<sup>22</sup>. The stability and required quota of SMs is essential. The frequent changing of SMs seems to have hampered service delivery to the COs. Since the PAF program hinges on the role of social mobilizers, an increase in the number of SMs and their stability is required. During implementation of this sub-project, the available number of SMs was not sufficient to make monthly visits to the assigned COs (because there were too many COs per SM). Also, most SMs were unmotivated to work, primarily due to delayed disbursement of their salary.
- ♦ Increase the percentage of COs that engage in assessing POs' performance. This can minimize the chances that COs are influenced by POs during the latter's performance assessment by PAF.
- ♦ Come up with a CO-friendly and PAF-assisted financial auditing mechanism because the process is costly. COs do not want to spend their monthly profits for audits.

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<sup>22</sup> The reason behind the low visit of SMs to the COs is that each SM is supposed to cover 2 VDCs where there exists at least 30-35 COs in each VDC. So, it makes difficult for them to make monthly visit the COs.

## 7. Annexes

### 7.1 TOR

**Citizen Action for Results, Transparency and Accountability (CARTA) Program  
Poverty Alleviation Fund II (PAF-II)  
Sub-project  
Terms of Reference for Concept Notes**

HELVETAS Swiss Intercooperation Nepal (HELVETAS Nepal) is inviting qualified Civil Society Organizations (CSOs) to submit Concept Notes proposing how they would carry out the sub-project described below, which is intended to strengthen the implementation of the World Bank-financed Poverty Alleviation Fund II (PAF-II). This sub-project will be financed by the CARTA program being managed in Nepal by HELVETAS Nepal in partnership with the Partnership for Transparency Fund (PTF). The CARTA program is described on HELVETAS Nepal website, [www.helvetasnepal.org.np](http://www.helvetasnepal.org.np), which also indicates the CSO eligibility criteria and provides concept note template along with instructions for submitting the notes. The deadline for HELVETAS Nepal to receive Concept Notes for this sub-project is June 08, 2012.

Once a Civil Society Organization has been chosen for this sub-project, the PTF will assign a Project Advisor who will provide advice to PTF, HELVETAS Nepal and the CSO and help monitor implementation of the sub-project.

<b>THE WORLD BANK-FINANCED PROJECT TO BE SUPPORTED BY THE SUB-PROJECT</b>	
<b>1. Project information and components.</b>	<p><b>Name:</b> Poverty Alleviation Fund Project II  <b>Start/End date:</b> May 15, 2011 to June 30, 2014  <b>Sector:</b> General Agriculture, Fishing and Forestry Sector (70%),  Agriculture marketing and Trade (20%),  Other Social Services (10%)</p> <p><b>Themes:</b> Rural Services and Infrastructure (50%),  Participation and Civic Engagement (30%),  Other Rural development (20%)</p> <p><b>Physical Area:</b> 40 districts ranked as poorest in Central Bureau of Statistics (CBS) data</p> <p><b>Objectives:</b>  PAF II's project development objective is to improve living conditions, livelihoods and empowerment amongst the rural poor, with particular attention to groups that have been excluded by reasons of gender, ethnicity, caste or location.</p> <p>PAF II supports improvements in infrastructure, income generating activities, and increase in citizen participation in community decision-making. Employment is being generated through income generating activities and community infrastructure. The components are:</p> <ul style="list-style-type: none"> <li>• Social mobilization</li> <li>• Small scale community infrastructure projects (SSCIP)</li> <li>• Income generating sub-projects or activities (IGAs)</li> <li>• Innovation and special programs</li> <li>• Capacity building, monitoring and evaluation.</li> </ul> <p><b>Implementation status:</b> Underway</p>

<b>2. For further information about the project and related guidelines</b>	<a href="http://www.pafnepal.org.np">www.pafnepal.org.np</a> <a href="http://www.worldbank.org.np">www.worldbank.org.np</a> ( <a href="http://web.worldbank.org">http://web.worldbank.org</a> ) (Home>Countries>South Asia>Nepal>Projects & Programs)
<b>3. Project implementation arrangements.</b>	<p>The Poverty Alleviation Fund Secretariat is responsible for disbursing funds to 17,000 plus Community Organizations (COs) working with Partner Organizations (POs). COs are being helped to become marketing and production cooperatives.</p> <p>PAF is mulling to hire Special Partner Organizations to take on responsibility for monitoring and providing insight to the POs.</p> <p>The PAF uses Community Organizations (COs) to mean organizations of local community members set up to interface with the project: it uses Partner Organizations (POs) to mean organizations which act as the intermediary between the project and the COs.</p>
<b>4. Monitoring measures already included (or will be included) in the project</b>	<p>As of last year, PAF carries out an annual formal assessment of POs. The methodology provides 50% weight to the COs own assessment of PO performance.</p> <p>There is also an applicable Governance &amp; Accountability Action Plan (GAAP) which identifies the monitoring of:</p> <ul style="list-style-type: none"> <li>• Corporate governance,</li> <li>• Coordination and cooperation between PAF and key government agencies including Office of the Prime Minister and Council Ministers (OPMCM), Ministry of Finance (MOF), National Planning Commission (NPC), Ministry of Local Development (MoLD) etc.</li> <li>• Effective Management arrangements within PAF</li> <li>• Improved coordination between Finance and Program divisions of PAF,</li> <li>• Monitoring and Evaluation</li> <li>• Transparency and Accountability</li> <li>• Procurement</li> <li>• Trimester Implementation</li> <li>• Progress reports</li> <li>• Annual audit reports</li> <li>• PO Evaluations</li> <li>• Grievance recording on the PAF website</li> <li>• Other issues that the PAF may identify as necessary for improving governance and accountability from time to time</li> </ul>
<b>THE SUB-PROJECT IDEA</b>	
<b>1. Governance gaps in the project's implementation arrangement to be addressed by the sub-project.</b>	<p>The possible governance issues:</p> <ul style="list-style-type: none"> <li>• POs are responsible for delivering services to facilitate the formation of COs through social mobilization, provide technical assistance to them and supervise them.</li> <li>• The mature COs in terms of institutional development and sustainability is an expected output of the POs services.</li> </ul> <p>The possible governance gaps are:</p> <ul style="list-style-type: none"> <li>• Whether the COs are receiving the expected services from the POs.</li> <li>• Whether the COs' institutional capabilities are being increased, including their ability to operate independently</li> <li>• Whether the COs linkages with local service agencies and private sector are being strengthened so that they can support their activities</li> <li>• As COs are becoming more mature, whether COs may be able to identify POs themselves, and direct them more to give them the services they need.</li> </ul>
<b>2. Sampling of districts to be</b>	<p>Select ten districts to be covered in the sub-project, in accordance with the following criteria:</p>

<p><b>included in the sub-project.</b></p>	<ul style="list-style-type: none"> <li>• A combination of three districts from the initial six districts and seven districts from the additional 19 districts is preferred.</li> <li>• Districts having comparatively low HDI are to be prioritized.</li> <li>• A balance among mountain, hill and Terai districts is preferred.</li> </ul> <p>Furthermore, given the large number of COs in a district, at least 10% of such COs are to be chosen following the criteria given below:</p> <ul style="list-style-type: none"> <li>• Comparatively matured COs are to be prioritized.</li> <li>• COs undertaking infrastructure related activities are to be prioritized.</li> <li>• COs advancing towards institutionalization (i.e. cooperatives, federation etc.) are to be preferred.</li> </ul> <p>The information necessary to select districts and COs is available on the PAF website, <a href="http://www.pafnepal.org.np">www.pafnepal.org.np</a>.</p>
<p><b>3. Sub-project duration</b></p>	<p>Until the end of June, 2014</p>
<p><b>4. CSO activities intended to address identified gaps</b></p>	<p>The selected CSO will be responsible for</p> <ul style="list-style-type: none"> <li>• Training COs to engage in supervision and assessment of the competence of POs themselves. This will make POs more accountable to COs and is expected to build the empowerment of COs</li> <li>• Updating /refining tools for participatory evaluation of COs' institutional development levels.</li> <li>• Training COs to evaluate themselves in terms of institutional development and their graduation.</li> </ul>
<p><b>5. Information and analyses to demonstrate and measure impacts of the sub-project on the project.</b></p>	<ul style="list-style-type: none"> <li>• Monitor the number of COs engaged in the annual (PAF led) assessment of the competence of POs.</li> <li>• Describe how POs respond to the COs' engagement in their supervision and assessment.</li> <li>• Describe improvements made in the participatory evaluation tools and monitor the number of COs undertaking self-evaluation of their stage of institutional development.</li> <li>• Indicate how COs supported by the sub-project clearly understand their institutional development</li> <li>• Indicate the extent to which the capacity of COs is enhanced to decide what type of services they would continue to need, and whether these can be provided by local governments instead of POs</li> </ul> <p>The CSO should also suggest any other ways in which the effects of the sub-project activities on the project's performance can be demonstrated and monitored.</p>
<p><b>6. Desirable characteristics of CSOs applying for sub-project</b></p>	<ul style="list-style-type: none"> <li>• An ideal CSO would be a CSO that is independent and one, which is competent at the capacity building and institution building of CBOs.</li> <li>• Any CSO that is also working as PAF's POs (present as well as past) is not preferred.</li> <li>• It also has to have capacity to implement activities at national level.</li> </ul>



## 7.2 Sub-project Action Plan

Activity	Months																		Responsibility
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	
<b>Activity 1.</b> Staff recruitment, induction and detail planning																			FSCN
<b>Activity 2.</b> Training of FSCN field staff on Organization Capacity Assessment of Cos																			FSCN and Project coordinator
<b>Activity 3.</b> District level orientation programme																			District Coordinators
<b>Activity 4.</b> Selection of Cos																			District coordinator, POs , Cos ,and Project coordinator
<b>Activity 5.</b> Workshop on assessment of CO development capacity and building strategy for future COs training needs.																			District coordinator, Cos, Pos, consultant, Project coordinator
<b>Activity 6.</b> Based on results of Activity 5,Capacity development training adapted to each Cos need.																			District coordinator and Field Support consultant
<b>Activity 7.</b> Interactive coaching to COs and POs ( <b>Practice participatory tools in the targeted 120 COs for their institutional development</b> )																			District coordinator, Project Coordinator, Project officer,
<b>Activity 8.</b> Third Party Monitoring of Project																			District coordinator, Project coordinator, Project officer, Executive President and Board members
<b>Activity 9.</b> PSRP workshop																			District coordinator, Project coordinator, Project officer, COs and Pos
<b>Activity 10.</b> Documentation																			
1. Video documentary																			Project officer, Project coordinator,
2. Documentation (Printing, binding, photocopy)																			Project officer, Project coordinator, District Coordinator
<b>Activity 11.</b> Publication																			
1. Good practices and lesson learnt																			Project coordinator, Project officer, Executive president
2. Participatory tools for COs institutional development																			Project coordinator, Project officer, Executive president
<b>Activity 12.</b> Monitoring and Evaluation																			
a. Central Level Monitoring																			Executive President , Project support officer, Project coordinator, Board members,

b. Field Level Monitoring																				District coordinator, COs,
c. Evaluation by SWC																				SWC, Executive president , Project officer, Project coordinator
<b>Activity 13. Project learning sharing workshop</b>																				FSCN
<b>Activity 14. Reporting</b>																				
a. Quarterly																				Project coordinator, District coordinator, Project officer, Finance and Admin officer
b. Half yearly																				Project coordinator, Project officer, finance and admin officer
c. Project Completion																				Project coordinator, Project officer, finance and admin officer

### 7.3 Logical Framework

Outcomes	Indicators	Baseline Data	Endline Data
<b>1. Increased level of CO awareness and demand for PO services especially for training and response to CO grievances, if any.</b>	At least 90% of the targeted COs in each district will have received a training plan from their POs by the end of sub project.	0% of the COs had received such plans	100% of the COs received training plans from their POs
	60% of COs reported grievances if any and 100 % of the reported grievances have been mediated.	5% of the COs reported grievances	45% of the COs reported grievances and 100% of the grievances were mediated
	75% of the COs will be satisfied on the services provided by POs (using COs scorecard)	60% of the COs were satisfied on the services provided by POs	92% of the COs will be satisfied on the services provided by POs
<b>2. Increased knowledge and skills of COs for good governance and increased ability to become members of larger thematic network (e.g. Land Rights federation, Savings and cooperatives network, etc.)</b>	About 20% of targeted COs applied for membership of various networks	66% (about 80 out of 120 COs) COs were entered into networks	30% (of the remaining 40 COs) applied for membership of VDC level networks
<b>3. Summary of recommendations for updating Participatory tools submitted to HELVETAS</b>	HELVETAS-Nepal received summary of recommendations for updating participatory tools	PAF, during four party meeting with HELVETAS Nepal, World Bank and FSCN, requested to FSCN to share the latter's field based experience with the former relating to updating participatory tools developed by PAF.	<i>The Evaluation Sheet to be Filled up by CO's Representatives, CO Graduation Assessment and CO Self Review Indicators were reviewed and recommendations made accordingly to the PAF. The recommendations have been included as one of the annexes of this report of the sub-project</i>
<b>4. Increased ability of the targeted COs to self-review their level of institutional development</b>	80% of the targeted COs conducted self-review by the end of the project.	17.5% of the targeted COs conducted self-review.	100% of the targeted COs conducted self-review by the end of the project.

#### 7.4 District-wise Name List of COs with their POs

S.N/ Name of the District	Name of PO	Name of CO	Address
<b>ACHHAM</b>			
1	Nepal Depressed Upliftment Society (NUDS)	Kailash CO	Devasthan-9
2	Youths in Empowerment Sector (YES) Nepal	Budhiganga CO	Hattikot-4
3		Bhagawati CO	Thanti-2
4	WADS-Nepal	Budhiganga CO	Payal-1
5	Federation of Community Forest User Nepal	Hatemalo CO	Hichma-8
6	SEBAC-Nepal	Mahila CO	Siddheshwor- 9
7		Malika CO	Ghughurkot-7
8	Social Welfare organization Nepal (SWO-Nepal)	Peepaldhara CO	Ghodasain-3
9	RamaroshanVikas Samaj	Taushirol Social CO	Mangalsen-2
10	Gangotri Rural Development fund Achham (GaRDeF)	Ujeli CO	Janalikot-4
<b>BAITADI</b>			
1	MitraSangh	Adarsha CO	Melauli-3
2	GraminBikashSewa Kendra	Jana Sewa CO	Rudreswor-4
3	AnirudhaGraminBikash Kendra	Bhumiraj CO	Malladehi-4
4	Samarthan Samaj	Jana Jagriti CO	Kotpatera-5
5	KotbhairavSamudayikBikash Kendra	Manokamana CO	Shilanga-9
6	TriveniSamudayikBikash Kendra	Rameshwor CO	Siddheswor-9
7	Local Development Fund	Harikrishna CO	Nagarjun-7
8	Dalit Samaj BikashManch	PragatishilDigoBikash CO	Durgasthan- 4
9	ECARDS	Betal CO	Gurukhola-3
10		Tulsikunja CO	DurgaBhawani- 9
<b>BAJHANG</b>			
1	SAPPROS Nepal	Bhagawati CO	Parakatne-9
2	LDF	Jana bikash CO	Matela- 2
3	GraminBatabaranSudharSamiti	Kailash CO	Royal-1
4	SamajiktathaPrabidhikBikashSewaSamuh a	Laliguransdalit CO	Subeda-1
5	Mountain Village Development Board	Pragatishil CO	Kailash-7
6	HarijanSamudayikBikashKaryakram	Shanti bikash CO	Pipatkot-1
7	Dalit UtthanYuwa Samaj Bajhang	Graminbikashdalityuwa CO	Hemantawada-5
8		Lavasain CO	
9	Dalit GairsarkariSanstha	KedarPragatishil CO	Syadi-6
10	PARENTS Nepal	Kalika CO	Chaudhari-7

<b>DOTI</b>			
1	EDC	Pashupati CO	Bhumirajmandau-2
2		Srijanshil CO	Pachnali-2
3	CEAPRED	Pabitra CO	Sanagoun-8
4		Shivashakti CO	Kadamandau-2
5	FeCoFUN	Masteshwori CO	Baghlekh-7
6		Radhadevi CO	Kalena-2
7	ISDS	Jivanjyoti CO	Chhatiwan-2
8		Bhagwati CO	Chhatiwan-7
9	Samaj SewaDoti	Dudheswor CO	DipayalSilgadhi -6
10		Durgadevi CO	Dipayal Silgadhi-10
<b>MAHOTTARI</b>			
1	Community Development Project	Rakhi CO	Balaba-3
2	Integrated Rural Development Society	BaudiAatma CO	Bijulpura-6
3	Jana UtthanPratisthan Nepal	GaribiUthan CO	Damahi Madai-2
4	Local Development Fund	Radha Krishna CO	Jalewsvar -8
5	Ratyauli Youth Club	Nil Kamal CO	Sahadoba-5
6		Bhagwati CO	Dhirapur-7
7	Rural Community Development Service Council	Terai Dalit CO	Nainhi- 1
8	Social Development Path	DidiBahini CO	Badiya banchauri-8
9		Mahabir CO	Badiya banchauri-8
10		Saraswoti CO	Banauta-9
11		Chandramukhi CO	Banauta-9
12	Women Awareness Group	Chadni CO	Khayarbani-3
13		Sukhasagar CO	Khayarbani-3
14	Women in Environment	Janma Bhumi CO	Maisthan-2
<b>PYUTHAN</b>			
1	FulbariEkikritGraminBikash Kendra	Jyoti CO	Khaira 7 & 9
2		ShitalPokhari CO	Kharia 4
3	Punarjagaran Samaj Nepal	Junkiri CO	Bangeshal-2
4		Fulbari CO	Bangeshal-3
5	Malla Rani GraminBikashSarokar Kendra	Mandavi CO	Nayagaun 3 & 4
6		Mandali CO	Nayagaun-1
7	KalikaBikash Kendra Nepal	Paarathunga CO	Rumdi-4
8		Nawajagaran CO	Rumdi 7 & 9
9	SiddarthaSamudayikGraminBikash Kendra	Malta CO	Tiram 3
10	KalimatiGraminBikashSanstha	Jaspur CO	Dhungegadi-8

<b>RAMECHHA P</b>			
1	Janabhawana Yuwa Club	Srijanshil CO	Fulasi-7
2	Nepal Sewa Samaj	Hattidhunga CO	Saipu-2
3	Nepal Sarbodaya Sewa Kendra	Golbandi CO	Khadadevi-2
4	Pahadi Samaj Kalyan Kendra	Tara CO	Namadi-7
5	Samaj Sewi Yuwa Club	Kalidevi CO	Majhuwa-7
6	Charghare Sewa Samaj	Okharbote CO	Kathjor-7
7	Srijanshil Yuwa Samaj	Gaikhura CO	Chisapani-9
8		Jakhanedevi CO	Chisapani-9
9	Samudayik Jana Bikash Samaj	Buddhalaxmi CO	Okhreni-8
10		Navajyoti CO	Okhreni-8
11	Samudayik Bikash Samaj	Jaldevi CO	Manthali-4
12		Saraswoti CO	Ramechhap-5
<b>RASUWA</b>			
1	Nepal Agroforestry Foundation (NAF)	Laganshil CO	Ramche-8
2		Khambatar CO	Syafrubesi-9
3		Lamatole CO	Lahare-8
4	DEPROSC	Shilabhume CO	Bhorle-3
5		Bhuddha Bhume CO	Yarsa-9
6		Panchakanya CO	Dhaibung-3, 4
7		Shikherbesi CO	Thulogaun-9
8	Manekor Society Nepal	Dorge Kaye CO	Timmure-5
9	Local Development Fund	Bhumi Devi CO	Dadagaun-2
10		Janasewa CO	Dhunche-3
<b>RAUTAHAT</b>			
1	Made-Nepal	Shree Ram CO	Jayanagar-1
2		Shree Harekrishna CO	Raghunathpur-4
3	Read-Nepal	Shree Mahila Kalyan Anusandhan CO	Gaur Muinicipality-11
4		Shree Lokpriya Mahila Anusandhan CO	Kanakpur-5
5	Local Development Fund	Shree Maa Santoshi CO	Hajminiya-3
6	Pran	Shree Dalit Utthan Pran CO	Bariyarpur-1
7		Shree Gulab CO	Karuniya-3
8	Gramin Bikash Pariwartan Kendra	Shree Durga Srijansil CO	Bishunpurbamanpur-7
9		Shree Ujeli Srijansil CO	Samanpur-7

10	IRDC	Shree Ram Janaki Gramin CO	Rampur khanp-8
11		Shree Ram Gramin CO	Piparajwada-4
12	Sathi Nepal	Shree Sayapatri CO	Paurai-4
13		Shree Annapurna CO	Simravawanipur-1
14	Jana KalyanBikash Kendra	Shree Kalyankari CO	Rangapur-8
15		Shree Shubalaxmi CO	Judibela-1
16	GraminSewaPrabardan Kendra	Shree Saraswoti CO	Briti Prastoka-5
17		Shree Dalit CO	Laxmipur do.- 5
<b>SIRAHA</b>			
1	Srijana SamudayikBikash Kendra	Junkiri CO	Chandroudayapur-7
2		Nandababa CO	Baharamal-1
3		Shubhakamana CO	Laxmipur-1
4	GraminMahilaKalyanSewa Kendra	Gandaki CO	Jamdaha-7
5	Grak Jyoti Bikash Kendra	Shree Santoshi CO	Dhodana-1, 2
6	Chimek Samaj SewaSanstha	Laligurans CO	Dhangadi-7
7	MahilaUddharSewa Kendra	Jagriti CO	Mukshar-7
8	GraminSamudayikSanstha	Suryodaya CO	Mohanpur Kamalpur-9
9	ShivashaktiGraminBikash Kendra	Kamala Mahila CO	Mahalahaniyakhori-2
10	UdayaYuwa Club	Junodaya CO	Chandralalpur-2
11	BhawaniEkikritBikash Kendra	SuryodayaMahilaUtthan CO	Hanumannagar-8
12	Nepal Red Cross Society	Tulsi CO	Madar-7
13	GaribiNiwaran, WatawaranSamrakshantathaMahilaKalyan Kendra	Ma Durga CO	Raghopur-3
14	Krishi Ban Prabidhi Kendra	Saraswoti CO	Arnama-1
15	Dalit Jana KalyanYuwa Club	Rajdevi CO	Bastipur-5
16	Samaj SewaSamiti	MahilaBikash CO	Bhawanipur-9
17	Gram SewiSamuha	RajdeviGraminSadakNirman CO	Govindapur-7

#### 7.5 COs in Which Endline information were Collected by Interchanging DCs

Mahottari	Rautahat	Siraha	Bajhang	Baitadi
Nepal Garibi, Uthan CO, Dhami	Shree Ram Gramin CO	Jagariti Muksar -7	Bhagwati CO, Parakatne-9	Manokamana CO
Ram Krishna CO, Jalewsar -8 Bajrahi	Shree Dalit CO	Gandagi Jamdha-7	Kedar Pragatisheel CO, Saydi-6	Tulsikunja CO
Nil Kamal, Sahorwa-5 Das	Annapurna CO	Kamala Mahila Malahanya-3	Kailash CO, Rayal-1	Janasewa CO
Sukhasagar CO	Saraswoti CO	Nand Baba Badaharamala-1		

Bhagbati CO, Dhirapur-7 Ram	Shree MaaSantoshi CO	Shubhkamana Laxmipur-1		
Terai Dalit CO, Nainhi- 1 Suryahi	Gulab CO	Junodaya Chandralalapur- 2		
Didibahini CO, Badibanchauri-8 Badiya	Shree Ramjanaki CO	MaaDurga Raghopur-3		
Mahabir CO, Badibanchauri-8 Badiya	Shree LokpriyaMahilaAnusandhan CO	Om Junkiri Chandroudaypur		



## 7.6 OCAT (used for Assessing COs' Stage of Organizational Development)

Indicators	Stages of Organizational Development Level			
	Nascent	Emerging	Expanding	Matured
<b>1. Governance</b>				
<b>1.1 Executive Committee</b>	There exists an inactive executive committee.	Only 3 key post holders of the executive committee are active.	The committee is strong and functioning in line with its assigned functions and responsibilities but its programs are not directed towards dalits, women and the poor.	The committee has leaders capable of leading as per the organization's objectives and of formulating policies and extending relations for fund raising, public relations and lobby.
<b>1.2 Activeness of the Executive Committee</b>	Its executive Committee is aware of regularity of meeting but not more than 2-3 meetings take place in a year.	The committee meeting takes place when the members have to deposit and issue loan.	The committee meeting takes place regularly at least 12 times in a year.	The committee members meet regularly and participate in the discussion for institutional development.
<b>1.3 Vision and mission</b>	The members of organization have no clear idea about vision and mission of the organization.	The members are clear about vision and mission of the organization but they have not implemented so far.	The members are clear about the vision and mission of the organization and they have partially implemented.	The members are clear about the vision and mission of the organization and they have fully implemented.
<b>1.4 Decision making process</b>	Only 3 key post holders of the committee decide important issues.	The executive committee members take important decision but most of the members have a little knowledge about the decision making process.	The executive committee decides most important issues after intense discussions with the involvement of all members.	Important issues are decided after intense discussion among the CO members and in case of disputes too they reach decision congenially and unanimously.
<b>1.5 Leadership</b>	There are no capable persons for alternate leadership.	At least 2-3 members of the committee are capable of bearing alternate leadership.	About 50% of the committee members can bear leadership at anytime if needed but there is no such process of changing leadership.	Each and every member of the committee can bear responsibility and lead the committee if needed and there exists a legal process of choosing new leaders.
<b>1.6 Inclusiveness</b>	Representation of women, dalits, janajatis and disadvantaged group in the committee is less than 33 percent.	Representation of women, dalit, janajatis, and disadvantaged group in the executive committee is 33 percentages or more than that.	The executive committee is inclusive but there is no such inclusiveness in the three key positions of the committee.	Inclusiveness has been maintained even in the three key positions of the committee.
<b>2. Management practice</b>				

<b>2.1 Organizational structure</b>	There is no clearly defined organizational structure and responsibilities are not allocated properly among the CO members.	A clearly defined organizational structure is in place but the CO has not followed the structure.	A clearly defined organizational structure is in place and the CO has partially followed the structure.	A clearly defined organizational structure is in place and the CO has fully followed the structure.
<b>2.2 Functions, duties and responsibilities of the executive committee</b>	Functions, duties and responsibilities of the executive committee are not defined in black and white.	The executive committee has defined functions, duties and responsibilities in black and white.	The executive committee has defined functions, duties and responsibilities in black and white, and they are being exercised partially.	The executive committee has defined functions, duties and responsibilities in black and white, which are being exercised completely.
<b>2.3 Information systems</b>	Information is circulated only between the three key post holders of the executive committee.	Information is circulated only between the three key post holders of the executive committee and among some other members.	Information is circulated among most of the executive members.	Information is circulated to the entire members via meeting, written form, display board, etc.
<b>2.4 Administrative procedures</b>	The CO does not prepare organizational annual action plan, report and other documents.	Even though organizational annual action plan, reports and other documents are prepared, CO members are not aware of its importance.	The CO members have well understanding of importance of preparing organizational action plan, reports and other documents, and prepared as well.	Organizational annual action plan, reports, circulars and other related documents are prepared and documented properly.
<b>2.5 Personal responsibility</b>	There is no feeling of personal responsibility in the members.	Few members have realization of their responsibility but it is not exercised.	Even though the CO members have realized their personal responsibilities, they are not cooperative.	The CO members have realized their personal responsibilities, and they are cooperative to each other.
<b>2.6 Planning</b>	Planning is done verbally only but it is not documented.	Only the three key post holders take a lead role in planning.	Most of the members have some input in formulating plans.	Planning is done with the involvement of the entire CO members.
<b>2.7 Program development</b>	The CO activities are based on the action plan of Partner organizations only.	Only PO's representative and key post holders of the CO develop programs for organization.	The CO members participate in the development, implementation and evaluation of programs and partner organization is informed about the participatory process.	The CO members participate in the development, implementation, and evaluation of programs and learning from such programs are utilized in the future programs.
<b>2.8 Program reporting</b>	The CO members are not aware that they have to prepare their program reports.	The CO members are aware that they have to prepare their program reports but they do not have that capacity to do so.	The CO members prepare their program reports but do not circulate between them.	The CO members prepare the program report and share among the stakeholders regularly.

<b>3. Human resources</b>				
<b>3.1 Human Resources development</b>	The CO does not involve its members in any capacity development training.	The CO involves its members in capacity development trainings.	The CO involves its members in capacity building training and the trained members apply their knowledge and skills for the CO.	The CO involves its members in capacity building training and the trained members share and apply their knowledge and skills for the CO.
<b>3.2 Organizational work</b>	Activities are not performed according to the statutory provision.	Statutory provisions are followed to some extent while accomplishing activities.	The CO follows the statutory objectives and reaches the decision collectively.	Social, economic and developmental activities are performed based on the statutory objectives.
<b>3.3 Grievances</b>	The CO members have no idea of grievance lodging mechanism.	The CO members are aware of grievance lodging mechanism but have not implemented yet.	The CO members have better understanding of such mechanism and the grievances are being filed.	Such grievances of the CO members are being mediated by the concerned authority.
<b>4. Financial resources</b>				
<b>4.1 Accounting</b>	Account keeping is maintained in a single register and it lacks clarity.	Account keeping is maintained clearly, however, no information has been disseminated regarding process and rules of accounting.	Financial transaction is up to date and the entire CO members have idea about the process.	Separate accounts of financial transactions are maintained. The CO members have very good understanding of the financial transactions, savings, loan amount, cash in bank, etc. and financial reports are prepared in time.
<b>4.2 Budgets</b>	Annual budget is not developed for the activities of the CO.	Annual budget is often developed but with the assistance from Partner Organization.	Annual budget is usually developed by the CO itself but is not implemented properly.	All CO members involve in developing budget and it is implemented properly.
<b>4.3 Public audit and financial aspects</b>	Knowledge about financial expenses of the CO is limited only to the key post holders of the committee.	Knowledge about financial expenses of the CO is limited only to the key post holders of the committee and accounting sub-committee.	Annual income and expenses are sanctioned by all the members of CO.	Public audits are performed annually.
<b>4.4 Financial Inventory</b>	No system is in place to keep general accounting.	System is in place to keep general accounting and financial inventory but such inventory is developed based on the demand of the partner organizations only.	Financial inventory is prepared with the help of partner organizations.	The CO prepares its financial inventory itself.

<b>5. Service Delivery</b>				
<b>5.1 Impact Assessment</b>	No processes and mechanisms are in place to assess the achievement and impact of its projects.	Processes and mechanisms are in place to assess the achievement and impact of its projects.	Projects and programs are assessed in a participatory way.	Projects and programs are assessed in a participatory way using the indicators developed by the CO.
<b>6. External Relationship</b>				
<b>6.1 Constituency Relationship</b>	No relationship has been extended with the stakeholders of its constituency.	The CO has been extending relationship with the stakeholders of the constituency.	The CO has forged good relationship with the stakeholders in the constituency and it has also been incorporating their suggestions in its decision-making processes.	The CO has acknowledged the stakeholders of its constituencies as an important resource and source of cooperation.
<b>6.2 Coordination and Relationship</b>	The CO does not have coordination and relationship with VDC and other organizational networks.	The CO has coordination and relationship with VDC and other organizational networks.	Although the CO has forged coordination and relationship with VDC and other organizational networks, it has not been sharing its experiences and learning among the members of the networks.	The CO has coordination and relationship with VDC and other organizational networks and it has been sharing its experiences among the members of the networks.
<b>6.3 Collaboration with Partner Organizations</b>	The CO perceives partner organizations only as a source of financial and technical support but no attempt has been made towards forging relationship with them on other grounds	Although the CO has been perceiving partner organizations only as a source of financial and technical support, it has understood the importance of forging relationship on other grounds with the partner organizations.	The CO has extended relationships with the partner organizations and has been participating in the programs organized by the latter.	The CO has been participating actively in Pos' programs.
<b>6.4 Public Concern/Identity</b>	The CO is not known for its works in the community.	The CO has well understood the importance of addressing public concerns but has not taken steps towards implementation.	The CO is known to the community people but has not well extended its relationship with government bodies.	Locals are well aware of the CO's activities and it has been helping them in need.
<b>6.5 Local Resources</b>	The CO is not aware of locally available resources.	The CO is aware of locally available resources but has not been mobilizing them.	The CO has added to its resources through mobilization of locally available resources.	The CO has mobilized local resources by preparing policy regarding it.
<b>6.6 Media</b>	The CO has not realized the importance of media.	Although the CO has realized the importance of media, it does not have knowledge about how to	The CO has been disseminating its programs to community people through media as per	The CO has been utilizing media to disseminate all its programs

		disseminate its works through the media available in the community.	requirement.	
<b>7. Sustainability</b>				
<b>7.1 Sustainability of Programs</b>	The CO does not have any plan and strategy for sustainability.	The CO has developed its plan and strategy for sustainability.	The CO has developed its plan and strategy for sustainability and efforts are made towards this end.	The CO has been running its programs sustainably.
<b>7.2 Financial Sustainability</b>	The CO has limited capacity to access funding and does not recognize the need to diversify its resource base.	The CO has begun to understand the need to develop alternative resources but has no concrete direction or plan regarding it.	The CO has begun to explore alternative resources (such as contribution, donation, membership fees etc.) by developing relationships with government and private business sectors.	The CO has a developed and diversified its resource base in order to initiate and continue longer-term activities .
<b>7.3 Resource Based Sustainability</b>	Operating fund comes form only one source but no alternate sources have been identified.	Existing fund covers only the short-term project and the CO is informed of potential local resources. However, it has been relying on only one partner organization.	Since the CO has identified local resources and potentialities, it is not necessary for the CO to depend on only one partner organization.	The CO has been forging relationship with various partner organizations for its resource sustainability.

**7.7 Checklist Used as TPM Tool**

1. Placement of display board with program details	Yes			No			Yes but need to change			Remarks		
2. Public hearing and social audit	Yes			No								
3. Total number of visits by Social Mobilizer to the CO in a year	1	2	3	4	5	6	7	8	9	10	11	12
4. Sensitization and advocacy by the Social mobilizer of the PO during the meetings with CO on women empowerment, literacy, child education, etc.	Yes			No								
5. CO's bank check book is with	CO			PO								
6. Affiliation with CO's network	Affiliated			Not affiliated								
7. Monitoring by	Local authorities (VDCs, DDCs)			PAF			PO (Except by SM of the PO)			M & E sub-committee		
	Yes		Not yet	Yes		Not yet	Yes		Not yet	Yes		Not yet
8. Internal audit of the CO	.....times 20....., 20.....			Not yet								
9. Two types of trainings supposed to be provided by the PO within a year after the formation of CO	Received both			Received only one			Not received any					
10. Participatory self review of the CO activities by the CO itself	Yes			Not yet								
11. Does CO have maintenance fund?	Yes			No								
12. Registration of PAF related grievances through PO	Yes			No								

## 7.8 Case Studies

### 7.8.1 Case Study 1: CO Recovers its Withheld/Embezzled Amount Partially

*Ratanpur is a small village located approximately 10 kilometers away from Bandipur bazaar of the district of Siraha in the southeastern plain of Nepal. The village is in the hinterland with mixed households of Brahmans, Chhetris, Dalits and Janajati ethnic groups. In 2007, a community organization called Nandababa Community Organization was formed in their village for the purpose of launching Poverty Alleviation Fund's program. Following the formation of the organization, a total of 20 households of the village, with the help of Srijana SamudayikBikash Kendra (partner organization) prepared a proposal in line with the PAF program implementation guidelines and had it approved from PAF. Their proposal was on income generation activities.*

*Now, the partner organization was to provide service to the community organization as an obligation arising out of its agreement with the PAF. Besides other services, the PO's Social Mobilizer(SM) started to visit the CO. Since, almost all of the CO members were illiterate, the mobilizer started to help the CO with special focus on the conduction of monthly meetings and bookkeeping. The mobilizer kept on visiting the CO for up to 9 months since the formation of the CO. However, he discontinued his visits afterwards all of a sudden. Before, his sudden disappearance he had been using the CO's cheque book as per his convenience whereas the checkbook was with the CO itself. So much so that even the CO members' monthly collected amounts were being deposited into the CO's bank by himself.*

*FSCN launched a project "Strengthening Governance and Capacity Development of Community Organizations" since January 2013 in the CO too. A District Coordinator (DC) was appointed in the district to implement the project activities. The DC, as per the objectives and activities of the project applied Organizational Capacity Assessment Tool in the COs, coordinated capacity development trainings for them and conducted two rounds of coaching and counseling classes among the CO members. Through these activities, CO members were informed of the process, services and accountability of PAF programme and its partner organization. Therefore they started to inquire about the long absence of their SM and related other issues. Since the CO members trusted the SM, he had been handling financial matter of the CO himself.*

*Following FSCN DC's coaching and counselling class in September 2013 the CO members seemed to have become more cautious about the long time absence of the SM. Now, the chairperson and one member of the CO, went to the RastriyaBanijya Bank located at Mirchaiya in the district where their account was. In inquiring about their financial statement, the teller in the bank, to their great dismay, told that only NPR 2000 was seen while, according to them, a total of NPR 70,000 had to be seen as balance.*

*The DC, in this context, reminded the SM about their obligation towards addressing community peoples' grievances but the SM did not show up in the CO. He, despite the DC's request to be present, was absent during the latter's OCAT application programme in the CO as well. Following the discussion with the DC the CO members, in their meeting decided to recover their withheld/embezzled amount from the SM and approached the Executive Director of Srijana SamudayikBikas Kendra who, after reading their letter, assured that he would act on their problem.*

Immediately after this visit, the SM deposited back only a total of NPR 20000 in their account. However, he did not resume his visits to the CO. FSCN DC informed the SM of the former's action plan made for the CO and upcoming general assembly and public audit fixed in the plan. As helped by the DC, the CO members again wrote a letter to the SM to be present for Public Audit and general assembly but there was no response from the SM.

As of 31<sup>st</sup> December the CO members have recovered only NPR 20000 of their total withheld amount and their trial to fully recover is ongoing. They are planning to make a delegation to the PO. The DC has reminded the PO about their accountability and has been assisting the CO in their attempt to recover embezzled amount. The CO members express gratitude that they were able to track and recover the embezzled amount partially because of the interventions carried out by FSCN in the form of workshops, trainings and coaching classes

### **7.8.2 Case Study 2: Revolving Fund Resumes Revolving after Years**

Jakhanitar is a small village under Chisapani VDC in Ramechhap district of Nepal. The village can be reached after one hour drive from Manthali, the district headquarters of Ramechhap. The village is predominantly comprised of indigenous people-the Majhis. For the purpose of launching PAF program, a total of 22 households from the village were grouped into a community organization called Jhakanitar community organization in 2006. Srijansilyuwa Samaj supported the CO in developing its proposal for income generating activities such as goat, pig rearing, running groceries and vegetable farming. Once the CO got registered under the PAF, as facilitated by the Partner Organization Srijansilyuwa Samaj, the CO received a total of NPR 3,50,000 to mobilize as revolving fund among the member households of the CO then they distributed the amount among themselves as a loan.

Probably due to negligence or to the lack of knowledge on the part of community members about the obligation of the members to keep the amount revolving among the members or to partner organization's disregard to provide service to the community organization, the CO members did not pay back the loans. Years passed by, however, the members did not take an initiative to pay back the amounts they borrowed. Now, the amount they received from PAF as revolving fund could not be utilized in line with the concept of revolving fund envisaged by PAF. Two of the members of the CO did not pay the amount for six years and rest of the others who had borrowed the amount as loan did not pay for four years. However, although infrequently, social mobilizer of the PO continued to make visits to the CO as if the CO was mobilizing the revolving fund and implementing its programmes satisfactorily. Some member households of the CO were deprived of access to the fund.

Since FSCN launched PAF II sub-project in the CO, its Ramechhap district based DC informed about the situation and functionality of the CO to the social mobilizer of the PO. Once OCAT was applied in the CO, a lot of information was derived through it. With the realization that the CO was not functioning at all when it comes the concept of revolving fund of PAF, the DC discussed this aspect in his first coaching and counseling class in September 2013. The DC also discussed in detail the procedure and provisions of PAF implementation guideline including the provision of their organizational statute. Such a discussion became, as the CO members claim, an eye opener for them. Hence, the members got positive and interested to recover and pay back the outstanding dues including 5% interest as per their statute.



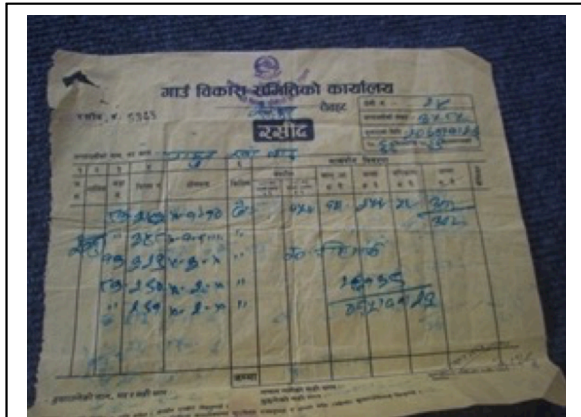
Following the first round of coaching and counselling, the CO was able to collect a total of NPR 1,80,000 from 9 CO members and after the second coaching and counselling class was taken, additional NPR 54,000 was recovered from additional 3 CO members. CO members now started to express their views that if their SM was regular to their organization and that if they were informed of the provisions in time, they would mobilize their funds properly from the beginning. They now have sought help from the DC to ensure that now on their SM's visits to the CO increases.

Before the DC's initiation to recover the amount, PO and its social mobilizer were seen pessimistic that the amount distributed among the members could be recovered and mobilized. However, as the DC informed the positive development taking place in regard to recovering the long outstanding amount. The PO and its SM started to seem more positive and interested to fully recover the amount. They even visited the CO along with the DC on 11<sup>th</sup> January, 2014. They are of the opinion now that they would work in coordination with the FSCN DC.

The CO now has deposited the recovered amount in their bank account and invested among the CO members who were deprived of receiving the fund from their CO as loan.

### 7.8.3 Case Study 3: CO Members Become Proactive in Recovering Embezzled Amount

Kothiyan is a small village located approximately 25 kilometers away towards south-west direction from the town of Chandranigahapur of the district of Rautahat. The village comprises of mixed households of Brahmans, Chhetris and Janajati ethnic groups. In 2008, a community organization called Shree Kalyankari Community Organization was formed in their village for the purpose of launching Poverty Alleviation Fund's program. Following the formation of the organization, a total of 31 households of the village, with the help of JanakalyanBikash Kendra (partner organization) prepared a proposal in line with the PAF program implementation guidelines

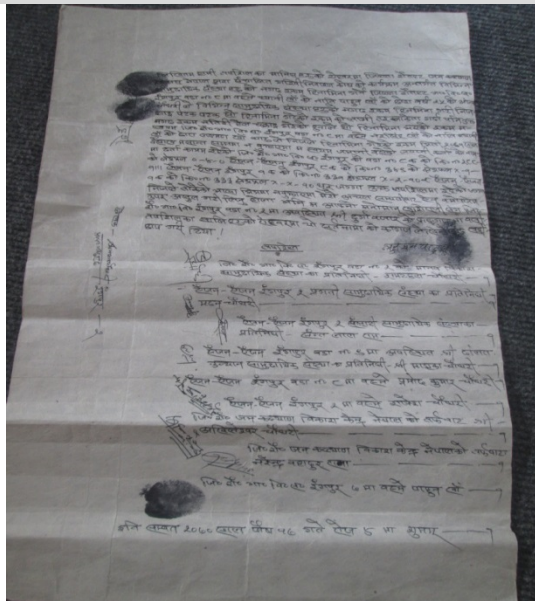


Tax receipt of the land mentioned in the written commitment

and had it passed from PAF. Their proposal was on income generation activities such as cattle rearing, sugarcane cultivation while culvert construction as a part of infrastructure related work.

FSCN launched a project “Strengthening Governance and Capacity Development of Community Organizations” since January 2013. After the organizational capacity assessment of the CO was conducted, two capacity development trainings were provided to the CO members. Immediately after the trainings, CO members got vibrant. This, it was known later, started to put indirect pressure on SM as well as PO especially regarding their loopholes.

The CO members started to inquire about the financial issue of the COs following the trainings and coaching/counseling classes were conducted on governance and accountability issues related to PO in relation to PAF and CO. During the first coaching and counseling class run by the FSCN District coordinator,



Written commitment to return the embezzled amount

some of the members (names withheld) of Shree Kalyankari CO informed of the rumor that the SM of their partner organization was involved in embezzling a large amount of money from the bank accounts of various community organizations in their VDC. According to the members, the SM was blamed to have embezzled a total of NPR 1.4 million. On hearing such views of CO members, the DC suggested them to inquire about their CO's financial status as well. Following their inquiry the CO members found out that those who did not borrow loan under revolving fund were registered as debtors instead of those who were actually debtors. When the

real debtors realized and accepted the loan, they resolved this problem with mutual understanding.

On 8<sup>th</sup> November, 2013, a team from PTF, HELVETAS Nepal and FSCN held a meeting at Shree Lokpriya Community Organization from Kanakpur VDC of Rautahat district. Those CO members from Shree Kalyankari Community Organization who informed of the embezzlement were also present in the meeting.

They reiterated the rumor of embezzlement in that meeting as well. Following the meeting FSCN's Rautahat based DC started to inquire about the rumor by contacting the responsible key position holders of the partner organization. The DC was replied by the PO that certain amount was embezzled by the SM. However, they did not want to disclose what the actual embezzled



Land ownership paper of SM's father who committed to return the amount.

amount was. The DC then kept on sticking to the case to follow up. As she started to probe into the case further, the PO now started to prevaricate in each visit of the DC. Finally, following several visits to the PO, the latter informed the DC that they investigated the case in depth and stated that a total of NPR 8, 15,622.00 (more than 0.81 million NPR) was confirmed to have been embezzled by the SM. According to them, the embezzled amount was recovered from the SM. They even produced slip of deposited bank vouchers. Since the investigation was not complete, any additional funds if found embezzled would be recovered by selling his land, an agreement signed by the SM's father on the former's behalf and dated 1<sup>st</sup> Jan, 2014 states.

### 7.9 CO Satisfaction Scorecard

Name of Community Organization:      Address:      Date:



Indicator no.	Objectives	Indicators	Score	Explanation	Means of Verification/Source	Information Collected	Score Obtained
1	Regular visit of SM to the CO with action plan	12 times or more	2	SM has to submit action plan to his/her organization	Meeting minutes		
		less than 12 times	0				
2	SMs will have to clarify the CO members about PAF program implementation process and COs' rights.	If CO member are fully clear	2	CO members are asked the following questions to determine the level of clarity. Who possesses checkbook? What is the objective of PAF? Source of fund they receive? What is revolving fund? How do they receive the project? What should be the percentage of their contribution? If the CO members answer all six questions, score should be 2, if only three, it should be 1 and if they answer less than 3, the score should be 0.	Answers given by the CO members. Meeting minute		
		If CO members are partially clear	1				
		If CO members have no idea at all	0				
3	PO will have to orient the CO members by formulating the criteria for the selection of projects	If COs are sensitized/oriented	1	Criteria for project selection to be asked for and be discussed	Asking the participants. Checking the attendance sheet.		
		If COs are not sensitized/oriented	0				
4	PO will have to explain the total budget needed for implementing the sub-project.	If the PO has explained properly	1	Explanation refers to obligation to clarify on unit, type, amount, etc.	To check meeting minutes or explanatory letter.		
		If not explained properly	0				
5	PO will have to provide necessary timely technical assistance on	If provided on time	1		Taking the participants' views and checking the meeting minute or looking		

	infrastructure development projects as demanded by the CO.	If not provided on time	0		into photocopy of correspondence		
6	PO to provide two types of trainings (Organizational management and account keeping) to CO within one year after the formation of CO	If both trainings are provided within one year	1	In the case of COs older than a year, technical as well as related trainings should be provided.	Checking the preface of the training and attendance register. Meeting minute as well.		
		If only one or none of the trainings are provided	0				
7	PO must have encouraged or helped the COs undertaking infra related activities to establish Maintenance fund.	If CO has planned and established Maintenance fund	2	PO should be asked on maintenance fund and also participants should be asked	Asking the participants about the Maintenance fund and looking into the meeting minute		
		If CO has only planned to establish Maintenance fund	1				
		If CO has neither planned nor received Maintenance fund	0				
8	CO possesses check book and other documents	If CO possesses the check book	1		Checking CO's check book and meeting minute		
		If CO does not possess the checkbook	0				
9	PO will have to help the CO for proper and efficient account keeping.	If CO has properly maintained its account system	1	Checking revolving fund, income and expenditure, loan status, bank banking transactions and balance	Asking the participants of the workshop on these aspects		
		If CO has not properly maintained its account system	0				
10	POs will have to clearly explain about public audit and have public audit carried out accordingly	If CO members are clear on public audit and have been regularly conducting it	1	Public audit should be carried out in line with PAF implementation guideline.	Asking the participants of the workshop and its conclusion.		
		If participants are not aware of public audit and such audit has not been conducted	0				

11	PO should ask for report immediately after the project completion and forward it to PAF.	If completed report is found to have demanded within one month	1		Looking into the minute for decision regarding submission of the report.		
		If completed reported is found not demanded within one month	0				
12	PO will encourage CO for participating at the annual meeting of VDCs/DDC and for finding donor organizations.	If CO has participated in the annual meet and got funding from other organization	2		Checking meeting minute about the process adopted for demanding resources and their mobilization.		
		If CO has only participated in the annual meet	1				
		None of the above	0				
13	PO will have to register PAF related grievances of the COs and send to PAF.	If those grievances are mediated	1				
		If those grievances are not mediated	0				
14	PO has facilitated the formation of sub-committees and their mobilization.	If roles of the sub-committees have been clearly mentioned and fulfilled accordingly	1	Sub-committees refer to account, procurement and monitoring committees.	Asking the participants.		
		If roles of the sub-committees have not been clearly mentioned and fulfilled either.	0				

## 7.10 Factsheets Presenting Sub-Project Good Practices

### Factsheet 1

Horizontal Learning Process Fact Sheet	
Application of Organizational Capacity Assessment Tool (OCAT)	
<p><b>Context:</b> Assessing institutional capacity of the Community Organizations (Cos) was one of the activities under PAF 2 sub-project “Strengthening Governance and Capacity Building of Community Organizations”. Such assessment was meant for determining the level of institutional development of the COs, for identifying areas of weaknesses, for existing capacity and for their training needs/types. A total of 120 COs under this sub-project were assessed using the OCAT.</p>	
<p><b>Description:</b> OCAT is a tool for capacity assessment of an organization with seven different indicators such as Governance, Financial resources, Management aspect, Human resources, Service delivery, External relation and Sustainability. Based on these indicators, the institutional level of the organization is assessed into 4 different stages of organizational development viz. Nascent, Emerging, Expanding and Mature.</p> <p>Trained project personnel apply the tool in the meetings of CO key position holders and general members. Discussion, observation, inspection of financial and other related documents are used as methodology and means before reaching conclusion on marking the options provided in the tool. Scores 1, 2, 3 and 4 are provided to Nascent, Emerging, Expanding and Mature levels respectively. The overall level of CO is determined by dividing the total score obtained by the total number of sub-indicators. To make them realize their level of organizational development, the results of the assessment are presented through a pictorial presentation via spider web.</p>	
<p><b>Indicators:</b></p> <ul style="list-style-type: none"> <li>• COs’ level of organizational development determined</li> <li>• Became base for identification of COs potential for graduation</li> <li>• Provided guidelines for the formulation of annual action plan of COs</li> <li>• Identification for training needs</li> </ul>	
<p><b>Strengths:</b></p> <ul style="list-style-type: none"> <li>• Supports COs for the identification of their level of organizational development</li> <li>• Encourages CO members to promote their COs</li> <li>• Urges the CO members to fulfill the roles and responsibilities</li> <li>• Provides base for Partner Organizations (POs) to work on the areas requiring reform</li> </ul>	<p><b>Challenges:</b></p> <ul style="list-style-type: none"> <li>• In case of non –professional data collector, there might remain space for the biases to creep into.</li> <li>• It might be difficult to extract true Information in presence of implementing agency.</li> <li>• Chance of creating misunderstanding between PO and CO in case of the lack of clarity why they are applying the OCAT</li> </ul>
<p><b>Contact:</b> Friends Service Council Nepal (FSCN), Imadol, Lalitpur. Phone No. 01-5201497</p> 	



**Factsheet 2**

**Horizontal Learning Process  
Fact Sheet**

**Updating and Refining Participatory Tools**

**Context:**

Poverty Alleviation Fund (PAF) has developed and been utilizing a number of participatory tools for the implementation, monitoring and evaluation of its programme. Updating and refining the participatory tools developed by PAF to make them more relevant was one of the parts under the sub-project “ Strengthening Governance and Capacity Building of Community Organizations”. Based on the field experience gained in the course of project implementation, FSCN contributed to updating and revising some of the participatory tools of PAF.

**Description:**

Specifically, three participatory tools namely *Evaluation Sheet to be Filled up by CO's Representatives*, *Self-review Indicators* and *CO Graduation Assessment* were updated and refined by FSCN. Relevance of the indicators used in the tools were assessed. In so doing, COs actual capacity and practice and the provision of programme implementation guideline of PAF were compared and analyzed before making recommendations for the revision and update. PAF had expected to make update and revision on the participatory tools from the sub-project.

**Indicators:**

- Update and revision of tools
- Submission of updated participatory tools to PAF through HELVETAS Nepal
- Tools made more relevant by incorporating field level experience

**Strengths:**

- No discrepancy in documents and practice
- Ease in internal monitoring of PAF programme
- Discourage fake documentation
- Forges congenial relationship between project implementing agency and third party monitors

**Contact:**

Friends Service Council Nepal (FSCN), Imadol, Lalitpur  
Phone No. 01-5201497

**Challenges:**

Irrelevant and unrealistic input might get space in updating and refining

अनुसूची : १७ (क)

राष्ट्रिय विकास कोष  
सामुदायिक संस्थाको स्व-मूल्याङ्कनको सूचकांकहरू

जिल्ला : ..... सहायोगी संस्था : .....  
गाउँ विकास समिति : ..... ठेगाना : बादा नं. : .....  
सामुदायिक संस्थाको नाम : ..... पुरानो संस्थाको स्थिति : .....  
सामुदायिक संस्थाको सदस्य संख्या : ..... महिला सदस्य संख्या : ..... पुरुष सदस्य संख्या : .....

क्र.सं.	सूचकांक	राष्ट्रिय (R)	सहायोगी (S)	अवशोषण (O)
<b>सामुदायिक संस्थाको सामुदायिक सुदृढीकरण</b>				
१.	सामुदायिक संस्थाको बैठकको नियमितता	८०% भन्दा बढि बैठक भएको	४१ देखि ८०% सम्म बैठक भएको	४०% भन्दा कम बैठक भएको
२.	सामुदायिक संस्थाको निर्माण चैतम्या सदस्यको उपस्थिती	८०% भन्दा बढि उपस्थिती	४१ देखि ८०% सम्म उपस्थिती	४०% भन्दा कम उपस्थिती
३.	निर्णय गृहस्थमा मन्थनको सहभागीता	८०% भन्दा बढि सहभागीता	४० देखि ८०% सम्म सहभागीता	४०% भन्दा कम सहभागीता
४.	सामुदायिक संस्थाको सदस्यको उच्चै बैठक माध्य निर्माण गर्ने, पढ्न सिकाउने गर्ने, बचत परिचालन, पत्रकारिताको लागि निर्माण गर्ने, आदि।	८०% भन्दा बढि कार्यक्रम	४० देखि ८०% सम्म कार्यक्रम	४०% भन्दा कम कार्यक्रम
५.	अभियोग तथा विवादात्मक कार्य ( दावा, चारबी, बैठक निर्वाह, पुर्णिकार, अग्न च्याप, पत्रकारिता, उपस्थिती अभिवृद्धि, बचत, सञ्चालन तथा अन्य आवश्यक कारवाहीहरू )	सबै प्रकारका दुरुस्त र व्यवस्थित गरेको	अधिकांशमा गरेको	अव्यवस्थित गरेको
<b>सामुदायिक संस्थाको सुशासन</b>				
६.	सामुदायिक संस्थाको निर्माण, नियम, निर्माण, कार्य प्रणाली सुदृढीकरणको बारेमा	उत्कृष्टतया लागू र कार्यान्वयन भएको	अधिकांशमा लागू र कार्यान्वयन भएको	लागू नभएको
७.	सामुदायिक संस्थाको वार्षिक योजनाको कार्यान्वयन	व्यवस्थिततया कार्यान्वयन भएको	अधिकांशमा कार्यान्वयन भएको	सहायोगी नभएको
८.	सामुदायिक संस्थाको निर्माण र सामुदायिक संस्थागतो प्रतिबद्धता	८०% भन्दा बढि प्रतिबद्धता	४० देखि ८०% सम्म प्रतिबद्धता	४०% भन्दा कम प्रतिबद्धता
९.	सामुदायिक संस्थाको सहभागीताको सुशासन सुदृढीकरण	सर्विकल्पमा गर्ने भएको	निश्चिततया नभएको	अधिकांशमा नभएको
१०.	सामुदायिक संस्था परिचालनको अवस्था	ठोस रूपमा गर्ने गरेको	एक वा दुई वर्षको अन्तरमा गर्ने गरेको	अन्यको छैन
<b>सामुदायिक संस्थाको सुदृढीकरण</b>				
११.	सामुदायिक संस्थाको सुदृढीकरण	उत्कृष्टतया लागू र निर्माण भएको	अधिकांशमा लागू र निर्माण भएको	नभएको

अनुसूची २: सहयोगी संस्थाको कार्य समाप्त मूल्याङ्कन तथा प्रतिवेदन (सामुदायिक संस्थाको गर्ने)  
(Evaluation sheet to be filled up by CO's representatives)

सहयोगी संस्थाको नाम: ..... ठेगाना: ..... स्थिति: .....

सूचक नं.	क्षेत्र	सूचक	रैंक	व्याख्या	सूचकको श्रेणी वा प्रदर्शनको आधार	संशोधन सुचना	प्रारंभिक
<b>५ सामुदायिक परिचालन तथा सामुदायिक संस्थाको संस्थागत विकास (Social Mobilization and Co Institutionalization)</b>							
५१	सहयोगी संस्थाको सदस्यको परिचालनको अवस्था	सहयोगी संस्थाको सदस्यको परिचालनको अवस्था	१: राम्रो २: राम्रो छैन ३: राम्रो छैन	सहयोगी संस्थाको सदस्यको परिचालनको अवस्था	सहयोगी संस्थाको सदस्यको परिचालनको अवस्था	सहयोगी संस्थाको सदस्यको परिचालनको अवस्था	सहयोगी संस्थाको सदस्यको परिचालनको अवस्था
५२	सहयोगी संस्थाको सदस्यको परिचालनको अवस्था	सहयोगी संस्थाको सदस्यको परिचालनको अवस्था	१: राम्रो २: राम्रो छैन ३: राम्रो छैन	सहयोगी संस्थाको सदस्यको परिचालनको अवस्था	सहयोगी संस्थाको सदस्यको परिचालनको अवस्था	सहयोगी संस्थाको सदस्यको परिचालनको अवस्था	सहयोगी संस्थाको सदस्यको परिचालनको अवस्था

### 7.11 Sample Annual Action Plan of a CO from Rautahat district

SN	Indicators	Programmes	When	How	Responsibility
1	Governance	Public hearing and social audit	March, 2014	Presenting COs income and expenses in front of concerned stakeholders , assessing the work performance, including overall aspects of COs	CO members/ PO/FSCN
		General Assembly	January, 2014	During monthly meetings in presence of CO members	
		Collection of PAF related grievances	November, 2013	Collecting COs grievances during the meetings and registering through PO	
2	Management practice	Annual reports and other CO documents	September, 2013	Through assistance of key post holders and other literate CO members	
		Regular monthly meetings and monthly collection	September, 2013	Informing all the CO members prior to the meeting and regularly depositing the amount	
		Mobilization of sub-committees	January, 2014	Asking the sub-committees for submission of report for every 3 months	
		Sensitization programmes	September, 2013	During the monthly meetings in presence of all CO members	
		Discouraging child marriage, polygamy, women violence and dowry system.	November, 2013		
		Sanitation related issues	January, 2013		
		Importance of citizenship certificate, registration of birth, death and marriage.			
PSRP workshop	March, 2014	Self reviewing the CO activities conducted and planning the future activities			
3	Human resources	Two types of capacity development trainings	August/Sept2013	Involving the CO members	
		Refresher training by PO	August/Sept2014	Involving the CO members	
		Orientation of the statute	September, 2013	Discussing the CO statute during their meetings	
4	Financial	Increment in monthly	September,	Approving it through the	



	resources	collection	2013	monthly meetings	
		Internal audit of the CO	November, 2013	Having the registered auditor audited	
5	External relations and service delivery	Affiliation to VDC level network/cooperatives	January, 2013	Applying to be a member of like-minded organizations' network	
		Maintenance fund for infra structure related works	November, 2014	Establishing fund by collecting nominal amount from the CO members	
		Mobilization of local resources and submission of proposal to the concerned agencies	Village council meeting	Coordinating with VDC level and District level agencies	

## 7.12 Updated Participatory Tools of PAF and Summary of Recommendations

S.N.	Indicators	Good	Medium	Weak	Means of Verification recommended for this indicators	Remarks on update and refinement
<b>1. Institutional strengthening of CO</b>						
1					Meeting minute books	
2	Average number of participation				Meeting minute books	Original statement talks of only the number of participants in the meeting. Since the number of participants vary from one meeting to another, it would be appropriate to insert the phrase “on average”.
3					Discussion among participants	
4	Active participation of CO members in meetings and decision making process	Less than 50% participation	20 to 50% participation	Less than 20%	Discussion among participants	
5					Consulting meeting minutes	
6					Records of registered and issued correspondences, income expenditure particulars, attendance book, ledger and other important files	
7	CO members’ commitment to social mobilization and CO itself	More than 80% of members are committed	50-80% committed	Less than 50% of the members are committed	Discussion among participants by raising issues that trigger their commitment or lack of interest	This statement was originally placed as sub-indicator 8 under good governance. Since the statement is related more with institutional strengthening, it has been trans-located here.
8	Roles and responsibilities of CO members	Practiced as per the statute	Practiced partially	Not practiced at all	Discussion among participants	Since working in line with the statute and with the functions, duties and responsibilities reflects the institutional strength, this

						statement has been added to the existing statement.
<b>2. COs' governance</b>						
9					Confirming whether or not laws, by-laws, statutes, etc. are in place.	
10					Confirming whether or not such review and planning were held in the past.	
11	External audit					Since Cos have been utilizing large amount of money from PAF, and also external audit has been emphasized by PAF, internal audit should be replaced by external audit in the guideline.
<b>3. Mobilization of revolving fund</b>						
12	Formulation of business plan prior to receiving loan under revolving fund	CO provides loan under revolving fund always based on submitted business plan	Such plans are submitted sometimes	Loans are provided without any business plans	Discussion with participants, submitted business plans	Since utilization of the loans borrowed under revolving fund cannot be properly utilized without plans and also submitting such plans is mandatory as required by the PAF program implementation guideline inclusion of such statement is important.
13	Situation of recovery of loans lent under revolving fund				Financial particulars	In original version, rate of recovery was mentioned but given that three alternatives under this statement referred the situation, hence the term situation is more appropriate here.
14					Discussion with participants	
<b>4. Leadership development</b> <i>(In the original version, there was 5 sub-indicators. The sub-indicator numbered 20 mentioning the respect for the key post holders has been deleted. We felt such issue is not worth mentioning.)</i>						
<b>5. Information dissemination, coordination and linkage</b> <i>(Originally this indicator had 5 sub-indicators. After addition of 1 sub-indicator from the indicator Governance, now it has 6 sub-indicators. The added sub-indicator is numbered 22. This is more relevant with this indicator.)</i>						
21					Discussion with participants and consulting meeting minutes	
22	CO participation	Regularly participated	Participated sometimes	Never participated	Consulting meeting minutes	

	in annual project planning program of DDC and VDCs					
23					Discussion with participants	
24					Discussion with participants and consulting meeting minutes	
25					consulting meeting minutes and correspondence	
26					Discussion with participants	
<b>6. Capacity enhancement</b> <i>(Originally there were a total of 5 sub-indicators. After merging two sub-indicators originally numbered 26 and 27 into one and translocating 1 sub-indicator to the indicator Capacity enhancement, the total number of sub-indicators under this is 4)</i>						
27	Conduction of literacy program in the CO and effect on their literacy level	Literacy rate increased due to such program	Such program was not effective	No such program was conducted	Discussion with participants	
28		Resources received and mobilized accordingly as attempted by the CO	Attempts made but no resources received	No such attempts made	Discussion with participants	
29					Discussion with participants	
<b>7. Capital mobilization and management</b> <i>(In original tool, it had 5 sub-indicators. After addition of 1 sub-indicator, the total number is 6.)</i>						
30					Financial reports	
31					Financial reports	
32					Financial reports	
33					Financial reports	
34					Discussion with participants	
35	Internal monitoring practice of the programs and projects	Concerned sub-committees undertake such task	Designated key position holders carry this task	Internal monitoring not in practice	Discussion with participants	
<b>8. Adoption of pro-poor policy</b> <i>(Originally it had 5 sub-indicators. Two sub-indicators originally numbered 37 and 38 were translocated to the indicator</i>						

<i>Sensitization in social issues)</i>						
36					Discussion with participants	
37					Discussion with participants	
38					Discussion with participants	
<b>9. Skill enhancement</b> <i>(In the original format, the total number of sub-indicators was 5. After deleting 1 sub-indicator and replacing it by another sub-indicator translocated from the indicator Capacity enhancement, it remains the same)</i>						
39					Discussion with participants and consulting meeting minutes	
40	Skill enhancement of CO members	More than 75 percentage of CO members received skill enhancing trainings	50-75 percentage of CO members received skill enhancing trainings	Less than 50 percentage of CO members received skill enhancing trainings	Discussion with participants	Since this better suit under this indicator, it has been translocated here.
41					Discussion with participants and consulting meeting minutes	
42					Discussion with participants	
43					Discussion with participants	
<b>10. Sensitization in social issues</b> <i>(Originally there were 5 sub-indicators. After translocating two sub-indicators related to social issues from the indicator Adoption of pro-poor policy, the total number of sub-indicators has reached 7. These sub-indicators are numbered 46 and 47 in this updated version)</i>						
44					Discussion with participants	
45					Discussion with participants	
46	Gender based participation and equality	Gender equality policy has been regularly adopted and decisions are reached based on the policy	Gender equality policy has been regularly adopted but decisions on such adoptions are not recorded.	Such policies are adopted sometimes.	Discussion with participants	
47	Social	More than	50-80%	Less than 50 %	Discussion with	

	congeniality and resolution of minor internal problems (reconciliation, sorting out minor disputes, etc.)	80 % of problems are resolved through reconciliation	problems are resolved through reconciliation	problems are resolved through reconciliation	participants	
48					Discussion with participants	
49					Discussion with participants	
50					Discussion with participants	

### 7.12.1 CO Self Review Indicators

PAF intends to develop the COs formed under it as an independent entity over time. With the view to lead the COs to graduation to handle to the local government authority, PAF implementation guideline provides for self-review of the COs. The PAF has developed a participatory tool titled ***SamudayikSansthakoSwamulyankankoSuchakharu*** (CO Self Review Indicators) toward this end. COs, therefore, can understand their level of organizational development, pinpoint weaknesses and thereby come up with plans for reforms. FSCN used its field level experiences to update and refine these PAF-developed documents.

The particular tool contains a total of 50 sub-indicators under a total of 10 indicators. Organizational consolidation; good governance; mobilization of revolving fund; leadership development; information dissemination, linkage and coordination; capacity development; resource mobilization and management; adoption of pro-poor policy; capacity development; skill enhancement and sensitization on social issues are the indicators. In taking the PAF objectives, poverty alleviation programs being undertaken at the Cos and the implementation guidelines into consideration, the indicators are appropriate for the CO members to self review their COs by themselves. PAF was found to have considered COs institutional status, its program implementation guideline minutely while developing indicators. Generally, these indicators and sub-indicators were found to have be guided by the PAF's overall objectives.

Almost all participatory tools developed by PAF are formatted so that the evaluator ticks the options provided in the document. However, in this self review indicator, no standards were provided. Since self review is supposed to be carried out by the CO members themselves, providing a standard would be of help. FSCN also added one column in the indicators format as the means to verify their decision. Such an addition can guide a CO to arrange the required documents before sitting for their institutional self review. Due to the addition of this column, CO members, now are believed to understand that their meeting minute books, correspondences of the past, check book, attendance register, statute, audit reports, particulars of financial misuse, etc. are required for them to undertake self review. Similarly,

they can understand there requires an honest, healthy and constructive discussion among themselves to properly self review their institutional level of development.

FSCN suggested other refinements to this tool. Several sub-indicators were felt not to have been placed under the correct summary indicators, these were moved to a better summary indicator. There were also several sub-indicators that were deleted due to their irrelevance or to repetition, and several new indicators were added. Despite these suggested revisions, the total number of sub-indicators in the original document was not changed; there are still 50 indicator in the new revised version as well.

### **7.12.2 Evaluation sheet to be filled up by CO Representatives**

In its original PAF2 format, the Evaluation Sheet had 21 sub-indicators. In reviewing the sheet, FSCN recommended to add four more sub-indicators to the list. The added ones included: 1) sensitization on women empowerment by social mobilizers, 2) POs cooperation and initiation in self review of COs, 3) facilitation by POs in conducting internal audit of COs, and 4) POs' cooperation with COs in mobilizing micro-finance.

FSCN also recommended changes in twelve indicators out of the original 21 indicators.

- ♦ The first indicator is about SM's planned and regular visits to COs. The indicator lists 12 visits by a SM to a CO (scores 2 points whereas the visits less than 12 times scores zero). FSCN has recommended fixing a range of visits and providing scores accordingly. Since some mobilizers are found to have signed in a number of monthly minutes in a single visit, FSCN also made recommendation to add "discussion with CO members" as an additional means of verification.
- ♦ In indicator 2, recommendation was made to add a phrase to clarify the services and entitlements received from POs. Under the explanation column, it was observed that the criteria were related more with program implementation process. So, in order to make the POs more accountable FSCN recommended including criteria related to rights and entitlements to be received by COs arising out of the agreement between PAF and PO on the identification, planning, implementation and maintenance of the project activities.
- ♦ In indicator 3, a recommendation was made to reach the provision of 80% to 100% with the view to increase the percentage or number of COs engaged in POs annual assessment and to minimize bias in the selection of the COs. FSCN suggests a score of 1 point if the orientation was conducted by PO for 50-99% of COs. This range was 50-80% originally. The means of verification is to ask participants, and verify training attendance sheets.
- ♦ Under indicator 5, FSCN suggested adding a provision to ask CO representatives if the POs explained the cost estimation of the sub-project to the COs. Such addition could make the objective more feasible.
- ♦ Means of verification of indicator 6 requires the representative CO members to produce their check book to confirm that it is with them, not with PO. However, FSCN recommended adding more details in order to ensure that a COs *always* possess their check books.
- ♦ Indicator 7 was elaborated by adding a phrase "COs will be satisfied with provided technical assistance".
- ♦ Indicator 10 is related to the mobilization of revolving fund. FSCN suggested adding an explanation on the facilitation by POs in the smooth mobilization of revolving funds.

- ♦ Indicator 11 concerns the timely recovery of the loans lent under revolving fund. Here a suggestion was made to make the objective more detailed, by adding a phrase on the facilitating role of POs. A recommendation was also made to add the means of verification, which requires the assessing team to check the COs financial statement, especially the status of loan, income, expenditure, recovery of loan, etc.
- ♦ Under the means of verification for indicator 13, a suggestion was made to check attendance of the participants and related reports from the public audit.
- ♦ Indicator 16 concerns regular monthly meetings. The suggestion is to add the means of verification: e.g., to check the attendance, to ensure meetings are held 12 times per year.
- ♦ Indicator 17 was thought to be limited. Therefore, it was suggested to add an alternative statement that scores zero points.
- ♦ In indicator 20, it was suggested to add “20% and 10%” to the selected sub-indicators.

### 7.12.3 CO Graduation Assessment

- ♦ Originally the **Social mobilization** heading was coupled with sensitization enhancement. The latter was removed and made a separate indicator—number 5. (Since no indicators and sub-indicators related with enhancement of sensitization of CO members were included originally, a separate heading was created.)
- ♦ Under the heading **CO’s operational system**, there were a total of 6 indicators. After adding one indicator related to CO decision-making, this section now has a total of 7 sub-indicators. The newly added indicator is: “active participation of CO members in monthly meetings and decision making.” Previously, mere presence of CO members was emphasized, disregarding their active participation in meetings and decision-making processes. It is believed that emphasizing active participation of CO members in such process will increase ownership and accountability, and will provide space for all CO members to develop capacity for their candidacy as key post-holders in the future on the other. Sub-indicator ‘e’ was originally placed as number ‘d’ and is relevant only to those Cos which have launched projects either solely on infrastructure or on both infrastructure and income generation. Since there are a number of COs working solely on income generation, this is irrelevant for them. In addition mentions 10 infrastructure related works carried out by COs. Since the provision sounds a bit ambitious, it is suggested to review this sub-indicator.
- ♦ Under the heading **CO’s governance**, there were 6 sub-indicators in the original PAF2 format. Sub-indicator ‘b’ was made a separate indicator, and transferred to another heading. A new sub-indicator related to external audit was added as point ‘f’. (Since the Cos have utilized a big sum of money under PAF program, and also that PAF implementation guideline requires for the CO to conduct external audit every year, adding this point as one of the indicators for assessment is essential.)
- ♦ The heading **Capacity development and mobilization** had a total of 6 sub-indicators. Sub-indicators originally lettered ‘d’, ‘e’ and ‘f’ were moved to a newly created heading **‘External coordination and linkages.’** After the translocation, there are only 3 sub-indicators in Capacity Development and Mobilization.



- ♦ Under the heading **Income generation and employment creation**, there were a total of 6 sub-indicators and there is no change in the number.
- ♦ **Poverty alleviation** had a total of 6 sub-indicators. Sub-indicators lettered 'b' and 'd' were translocated to the heading 'Sensitization enhancement,' which leaves 4 sub-indicators. Also, since the choices sounded as though it did not matter which factor played a role in increasing members' literacy, it is recommended to add a phrase "due to project launched under PAF2" at the beginning of each alternative in the indicator 'c'.
- ♦ The six sub-indicators under **Micro level community infrastructure development comprised** did not change. All of the sub-indicators under this heading relate to infrastructure-related projects. This heading may not apply to some COs who do not do infrastructure projects. There are three categories of COs--those working solely on infrastructure, those working solely on income generation, and those working on both. These indicators are not applicable to those working on income generation; hence, it is recommended either to develop separate assessment forms targeting the COs working on income generation, or to revise the indicators in such a way that the revised one is applicable to all types of COs. Also this list of sub-indicators should include a provision of maintenance fund for infrastructure projects.
- ♦ **Sensitization enhancement** is a newly added heading, and includes the indicators originally placed as 'b' and 'd' from **Poverty alleviation**.
- ♦ **External coordination and linkage** is also a newly added heading, and includes the sub-indicators from the heading Social mobilization, 'b', and from Capacity development and mobilization, 'd', 'e' and 'f'.

### 7.13 CO Graduation Assessment framework (Translated into English)

Title	Indicators	Weak (1)	Medium (2)	Good (3)	Very good (4)	Source of information	Info collected	Score	Remarks
<b>1. Social mobilization</b>									
Originally this heading was coupled with sensitization enhancement. The latter was removed and made a separate indicator as no. 5. Since no indicators and sub-indicators related with enhancement of sensitization of CO members were included, a separate heading was created.									
1.1	<b>CO's operational system</b> (Originally this had 6 indicators. After adding one indicator related to CO decision making, now it has a total of 7 sub-indicators)								
a									
b	Active participation of CO members in monthly meetings and decision making	Less than 20 per cent of CO members are active	20 -50 per cent of CO members are active	50-80 per cent of CO members are active	More than 80 per cent of CO members are active	Discussion with participants			Since mere presence of CO members was emphasized disregarding the active participation in meetings and decision-making process, this point was added. It is believed that emphasizing active participation of CO members in such process will, on the one hand, increase ownership and accountability and will provide space to all CO members a platform to develop capacity for their candidacy as key post holders in the future on the other.
c									
d									
e									This sub-indicator was originally placed as number 'd' is relevant only to those Cos which have launched projects either solely on infrastructure or on both infrastructure and income generation. Since there are a number of Cos working solely on income generation, this is irrelevant for them. In addition to this, it talks of up to 10 infrastructure related works carried out by Cos. This is too ambitious.
f									
g									

1.2	<b>CO's governance (Originally 6 sub-indicators were there under this. Sub-indicator originally numbered as 'b' was made a separate indicator. And at the same time, a new sub-indicator related external audit was added to the list. After this it has the same number of sub-indicators as before.)</b>								
a									
b									
c									
d									
e									
f	Provision of external audit	Co members unknown about the provision of external audit	Co members aware about the provision of external audit but have not practiced yet	Even after years of formation, external audit has been conducted occasionally	Conducting external audit annually	Reports of external audit			Since the Cos have utilized a big sum of money under PAF program, and also that PAF implementation guideline requires for the CO to conduct external audit every year, adding this point as one of the indicators for assessment is essential.
<b>2. Capacity development and mobilization</b> (Originally this indicator had a total of 6 sub-indicators. Sub-indicators originally numbered d, e and f were translocated under the newly created indicator External coordination and linkage. After translocating, now there is only 3 sub-indicators.)									
a									
b									
c									Since the alternatives provided following the statement sounded as though it did not matter which factor played role in increasing members' literacy, so it is recommended to add a phrase "due to project launched under PAF" at the beginning of each alternative.

<b>3. Income generation and employment creation</b> <i>(Originally it had a total of 6 sub-indicators and there is no change in the number)</i>									
<b>3.1</b>	<b>Capital mobilization and management</b>								
a									
b									
c		Co members are with the view that poor, dalits, and disadvantage groups are prioritized in lending revolving fund. However, no practice was found as said.	Co members are with the view that poor, dalits, and disadvantage groups are prioritized in lending revolving fund. And this seems partially true.						Revised for clarity purpose
d									The alternatives talk of recovery of revolving fund lent by percentage. However, does not bring the deadline into context. Hence, adding, “within deadline” at the beginning of each alternative will make the alternatives clearer.
e									
f									
<b>3.2</b>	<b>Poverty alleviation</b>								

	<i>(Originally, there were a total of 6 sub-indicators under this. Sub-indicators numbered b and d were translocated to the heading/indicator Sensitization enhancement which makes the total number of sub-indicators as 4)</i>								
a									
b									
c									
d									Since the alternatives provided following the statement sounded as though it did not matter which factor played role in increasing members' literacy, so it is recommended to add a phrase "due to project launched under PAF" at the beginning of each alternative.
<b>4. Micro level community infrastructure development</b> <i>(Original number of sub-indicators placed under this did not change. It has a total of 6 sub-indicators. )</i>									
a									All of the sub-indicators under this heading relate fully to infrastructure related projects only. 3 categories of Cos – those working solely on infrastructure, solely on income generation and those working on both are functional under PAF program. These indicators are not applicable to second type of Cos. Hence, it is recommended either to develop separate assessment forms targeting the Cos working on income generation and infrastructure or to revise the indicators in such a way that the revised one is applicable to all types of Cos. Meanwhile this list of sub-indicators have missed out to include provision of maintenance fund that needs to be emphasized based on PAF implementation guideline.
b									
c									
d									
e									
f									
<b>5. Sensitization enhancement</b> <i>(This indicator is newly added one and includes the sub-indicators trans-located from the indicator Poverty alleviation)</i>									
a									Placing here the sub-indicator originally numbered as 'b' under the indicator- Poverty alleviation

<b>b</b>									Placing here the sub-indicator originally numbered as 'd' under the indicator- Poverty alleviation
<b>6. External coordination and linkage</b> <i>(This is also a newly added heading and includes the sub-indicators from the heading Social mobilization, and Capacity development and mobilization.)</i>									
<b>a</b>									Placing here the sub-indicator originally numbered as 'b' under the indicator- Cos governance
<b>b</b>									Placing here the sub-indicator originally numbered as 'd' under the indicator- Capacity development and mobilization
<b>c</b>									Placing here the sub-indicator originally numbered as 'e' under the indicator- Capacity development and mobilization
<b>d</b>									Placing here the sub-indicator originally numbered as 'f' under the indicator- Capacity development and mobilization

## 7.14 Session plan of Capacity Development Trainings

### CO Organizational Management and Leadership Development Training

Day/ Time	8:00-9:00	9:00-10:30	10:300-12:00	12:00-1:30	1:30-2:30	2:30-4:00	4:00-5:30
1	<ul style="list-style-type: none"> <li>Registration of Participants</li> <li>Breakfast</li> </ul>	<ul style="list-style-type: none"> <li>Introduction</li> <li>CARTA programme and its objectives</li> <li>Objectives of the training</li> </ul>	<ul style="list-style-type: none"> <li>Organizational Capacity Assessment</li> <li>What is CO?</li> <li>Why is CO necessary?</li> <li>What are the benefits of CO?</li> </ul>	<ul style="list-style-type: none"> <li>Management of COs</li> <li>Need of organizational management</li> </ul>	Lunch time	<ul style="list-style-type: none"> <li>Indicators for CO development</li> </ul>	<ul style="list-style-type: none"> <li>Process of CO meeting and roles and responsibilities of CO members</li> </ul>
2	<ul style="list-style-type: none"> <li>Breakfast</li> </ul>	<ul style="list-style-type: none"> <li>Review of Day 1</li> <li>What is leadership development?</li> <li>Difference between leader and leadership</li> <li>Qualities of good leadership</li> </ul>	<ul style="list-style-type: none"> <li>Conflict and its causes</li> <li>Conflict management</li> </ul>	<ul style="list-style-type: none"> <li>Role of media, linkage and coordination,</li> </ul>	Lunch time	<ul style="list-style-type: none"> <li>Things to be considered for organizational management of COs</li> </ul>	<ul style="list-style-type: none"> <li>Action plan</li> <li>Closing</li> </ul>

### Basic Account Keeping Training

Day/ Time	8:00-9:00	9:00-10:30	10:300-12:00	12:00-1:30	1:30-2:30	2:30-4:00	4:00-5:30
1	<ul style="list-style-type: none"> <li>Registration of Participants</li> <li>Breakfast</li> </ul>	<ul style="list-style-type: none"> <li>Introduction</li> <li>CARTA programme and its objectives</li> <li>Objectives of the training</li> </ul>	<ul style="list-style-type: none"> <li>Analysis of present bookkeeping system of the COs</li> <li>What is bookkeeping?</li> <li>Merits of bookkeeping</li> <li>Terminologies related to book keepings</li> </ul>	<ul style="list-style-type: none"> <li>Methods of bookkeeping</li> <li>Double entry system and its merits</li> </ul>	Lunch time	<ul style="list-style-type: none"> <li>Account and its type</li> <li>Rule of debit and credit</li> <li>Exercises related to debit and credit</li> </ul>	<ul style="list-style-type: none"> <li>Voucher</li> <li>Documents required for preparing voucher</li> <li>Exercises related to voucher</li> </ul>
2	<ul style="list-style-type: none"> <li>Breakfast</li> </ul>	<ul style="list-style-type: none"> <li>Review of Day 1</li> <li>Ledger posting</li> <li>Importance of ledger posting</li> <li>Exercises related to ledger posting</li> </ul>	<ul style="list-style-type: none"> <li>Introduction to secondary ledger</li> <li>Trial balance</li> <li>Exercises related to Trial balance</li> </ul>	<ul style="list-style-type: none"> <li>Profit and loss account and related exercises</li> </ul>	Lunch time	<ul style="list-style-type: none"> <li>Balance sheet and exercise</li> </ul>	<ul style="list-style-type: none"> <li>More exercises</li> <li>Closing</li> </ul>