

managing agribusiness associations

facilitators kit

*a training manual
for facilitators*





Managing Agribusiness Associations

A Training Manual for Facilitators

Written by Manon Mireille Dohmen

Drawings by Anani and Mensah

Design by Meg Ross

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IFDC

*An International Center for Soil Fertility
and Agricultural Development*

IFDC Africa Division, BP 4483 Lomé, Togo, ifdcAfrique@ifdc.org

www.ifdc.org

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How to Use this Facilitators Kit?

This Facilitators Kit is the training manual that comes with the Starter Kit for the management of agribusiness association. The Starter Kit is for distribution among agribusiness associations, while this kit is prepared for facilitators who are working with those agribusiness associations.

This kit contains exactly the same chapters as the Starter Kit. In every chapter suggestions are made for exercises and sessions to explain the topic discussed in the chapters of the Starter Kit. It is possible to go through all exercises and sessions with your participants, but it is also possible to make a selection, depending on the group and time that is available.

The first version of this facilitators kit was written in 2003. Since that time sessions were changed, chapters are added, others were removed and most of all, all sessions were tested during training programs and workshops in several countries in West Africa. Toutefois, une boîte à outils n'est jamais définitif, parce qu'il ne s'agit pas d'un document statique. Une boîte à outils est flexible pouvant être adaptée par chaque facilitateur qui sait s'en servir. Par conséquent, nous invitons les utilisateurs à nous donner des retours d'information, des idées, des suggestions, etc. Des idées pour de nouveaux exercices sont les bienvenus tout comme des suggestions relatives à de nouvelles sessions.

Some general advice on this facilitators kit :

- This kit does not contain 'the truth', since **there is no one truth in association building**. This kit contains ideas and guidelines on how to create and manage an association and that can be different per association. Your task as facilitator is to guide the participants and to give them ideas and suggestions, but the final decision is up to the members of the association. If decisions are not taken by the members, they will not feel any ownership of their association and most likely the association will not survive.
- This kit does not contain sessions that can be covered during a one week program. **Association building is a process**, and this kit is structured along that process. This means that it can take several years to cover all aspects of this kit, and that some sessions need to be repeated for example when new leaders are elected.
- **Don't forget the financial aspect**. Most members do not like to talk about financial matters. Some find it too complicated, others think everything will be fine as soon as the association is up and running. However, an association can never be sustainable if the financial aspect is not taken into account from the start. This kit contains several chapters on finance (chapter 5, 10 and 12), so make sure to incorporate them in your program.
- **Ne jamais dire ce qu'on peut demander** : Impliquez les participants à chaque étape. Même si vous utilisez PowerPoint, ou si vous répertoriez les résultats à la suite d'une séance de remue-méninges, posez des questions à tout moment. Lorsqu'un participant pose une question, laissez un autre participant donner la réponse, au lieu d'y répondre vous-même. Remember, you are a facilitator, not a trainer.
- Essayez de **varier vos supports de formation** autant que possible. Par exemple, lorsque vous utilisez des cartes en couleurs, essayez d'utiliser le tableau à punaises et

les punaises, un tableau magnétique (souvent la partie blanche d'un tableau à papier) et des aimants, le mur et du scotch, ou une grande feuille en plastique avec de la colle. Pour noter des éléments, utilisez des feuilles Padex ou le tableau blanc.

- **Amusez-vous !** Il n'est pas nécessaire de faire des blagues toutes les heures, mais assurez-vous que les participants (et vous-même) sont détendus et à l'aise. Le fait de rire créé une atmosphère informelle et facilite une atelier active.

Les Auteurs

Pour les correspondances, veuillez contacter :
Manon Mireille DOHMEN
Responsable de Formation IFDC Division Afrique
PMB CT 284, Cantonments, Accra, Ghana
Tél : (233) 21 780 830
E-mail : mdohmen@ifdc.org

PHASE 1

FORMING AN ASSOCIATION

Sessions:

1. The Association
2. Vision, Mission, and Objectives
3. Organizational Bodies
4. Organizational Structure
5. Revenue and Expenditures
6. Constitution and Bylaws



1. The Association



1. The Association

In this session participants will discuss what an association is, why they would like to form an association and how they can register their association. They will look at reasons for members to join the association and the services an association can provide to its members linked to the concept of FACE.

When members would like to register their association a few things need to be taken into consideration. Each country has different legalities and requirements for registration so the association should examine these before starting the procedures. There are several options, but each option has its own consequences. During this session participants discuss how they would like to register their association and what the consequences are of such a registration.

After the session participants:

- Knows the concept of FACE
- Has an idea of expectations of members
- Knows the importance of adjusting services to the expectations of members
- Knows the difference between an association and other legal entities

Sessions (total time 2 hours and 30 minutes)

1.1 What is an association? (30 minutes)

1.2 The concept of FACE (60 minutes)

1.3 Expectations versus services (60 minutes)

Handouts

1.1 Scoring sheet 1

1.2 Scoring sheet 2

1.1 What is an Association

Objectives: To discuss what an association is and how it differs from a cooperative, NGO or business

Time needed: 30 minutes

Materials: PowerPoint 1.1 What is an association slide 1-4

Procedure:

1. Show PowerPoint presentation *1.1 What is an association*, slide 1-3.
2. Ask participants for different forms of legal entities. Probably they will mention:
 - a. Association
 - b. Cooperative
 - c. Non Governmental Organization (NGO)
 - d. Businesses or company: one man business, firm, private company, Limited Liability Company (Ltd)
3. Ask for the differences between the legal entities. Think about:
 - a. Profit making
 - b. Tax paying (VAT and income tax)
 - c. Owners (members, shareholders, etc)
 - d. Obligation to publish yearly reports and accounts

Note: The situation can be different per country, so check before you start this exercise.
Show slide 4 as summary.
4. What would be the best way to register the association? What are the consequences of such a registration (see point 3)?
5. At which ministry should the registration be done? Ministry of Agriculture, commerce, or trade? Is there a specific department?

Note: If the association is already registered, it can still be valuable to do this exercise. Some associations are not aware of the consequences of their registration and can therefore miss some advantages (such as exemption of payment of taxes).

1.2 The Concept of FACE

Objectives: To list possible expectations of members and to become familiar with the concept of FACE

Time needed: 60 minutes

Materials: Markers
Colored cards
Board to paste cards (with pins, magnets or tape)
PowerPoint 1.1 What is an association slide 5-10

Procedure:

1. Show slide 5. Focus on the product of the association: its services. Ask participants for **reasons** members would join an association. Write each answer on a separate card and paste the card on the board. (You can also split the group into two and give every group a board and a stack of cards. Let each group answer the same question and write the cards themselves and paste them on a board. In plenary you can compare the results pasted on both boards).
2. Try to group the answers or let participants group them, using the following categories or services:
 - a. **Financial Benefits:** an association does not give money directly to members, but can facilitate financial advantages, such as:
 - Access to credit
 - Other financial benefits: sourcing of inputs, getting discounts
 - b. **Advocacy:**
 - Lobbying and advocacy: to have interaction or influence governmental bodies to improve business conditions
 - Security: protection of the business of members when there are problems, such as disputes with local government or custom authorities
 - c. **Communication:**
 - Information dissemination: technical and market information, information on laws and regulations
 - Contacts with members (internal)
 - Contacts with stakeholders (external), partnership building
 - Recognition: improve image of profession, guarding code of conduct
 - d. **Education:** transferring knowledge and teaching skills in order to change behavior and improve the professional life of the members:
 - Study and trade tours
 - Training programs, seminars, round table meetings
 - Demonstration plots
3. Discuss shortly each category using PowerPoint 1.1 slide 6-10. Explain that all these reasons are services that an association can provide to its members. We call them **FACE**.

1.3 Expectations versus Services

Objectives: To compare expectations of members and possible services of the association

Time needed: 60 minutes

Materials: Flip-sheets
Markers
Handout 1.1 and 1.2

Procedure:

1. Explain that an association should be aware of what its members want. Tell them that we are going to do a small exercise to find out what the **expectations** are of their members. Add that of course the best way to find out is to ask members themselves using a questionnaire or interviews during the General Assembly or other events.
2. Give each participant handout 1.1. Ask them to look at the list of services that we identified in exercise 1.2 and ask: ***“What is the most important reason for you to join this association?”*** Let them write down the three most important services in the empty column. Ask them to be specific. So for example instead of financial benefits, they should write down access to credit.
3. Give a summary of the expectations grouped according to the FACE concept: Financial benefits, Advocacy, Communication and Education. Do participants recognize the order of priorities or do they have different thoughts?
4. Give all participants handout 1.2 and ask: ***“What are the services the association can provide for its members?”*** Ask them again to write down the most important services in the empty column.
Note: If the association already exists the question will be: *“What are the services the association is providing to its members at the moment?”*
5. Summarize the results, again grouped according to FACE. Is this feasible? Can the association provide these services to its members? If the association already exists: is the association really active in the categories that were listed?
6. Now **compare the expectations and the services** and start a discussion. Are there any differences? If there are, how come and what does it mean? If the differences are too big it is clear that members expect something different from their association than the association can offer. What will be the consequences of this? (Members will not pay their dues and fees, will not participate in activities anymore or will walk away).
7. How can the association **deal with these differences**? The association can lower the expectations of members by informing them what the association can do in reality and what the association cannot do. It might also be possible to change the focus of the association to be more in line with the expectations of the members.
8. Now ask participants if they think that the **expectations** of members can **change** over the time. On what does that depend? Expectations of members depend on many

factors, such as the level of operation of members, the professionalization of the sector, etc. When the level is low, focus will be more on financial benefits and education, while in a more developed scenario the focus will be more on advocacy. Tell participants that therefore the association should check on a regular base what the priorities are, since they can change over time.

Note: Of course this ranking exercise is not statistical valid, but it gives a good idea of where the association stands. The more participants, the better it works. This exercise should not be done with less than ten participants. In that case it is better to discuss both ranking questions in plenary sessions.

Handout 1.1 Scoring Sheet 1

What are the most important reasons for you to join the association? Write down the services in order of priority.

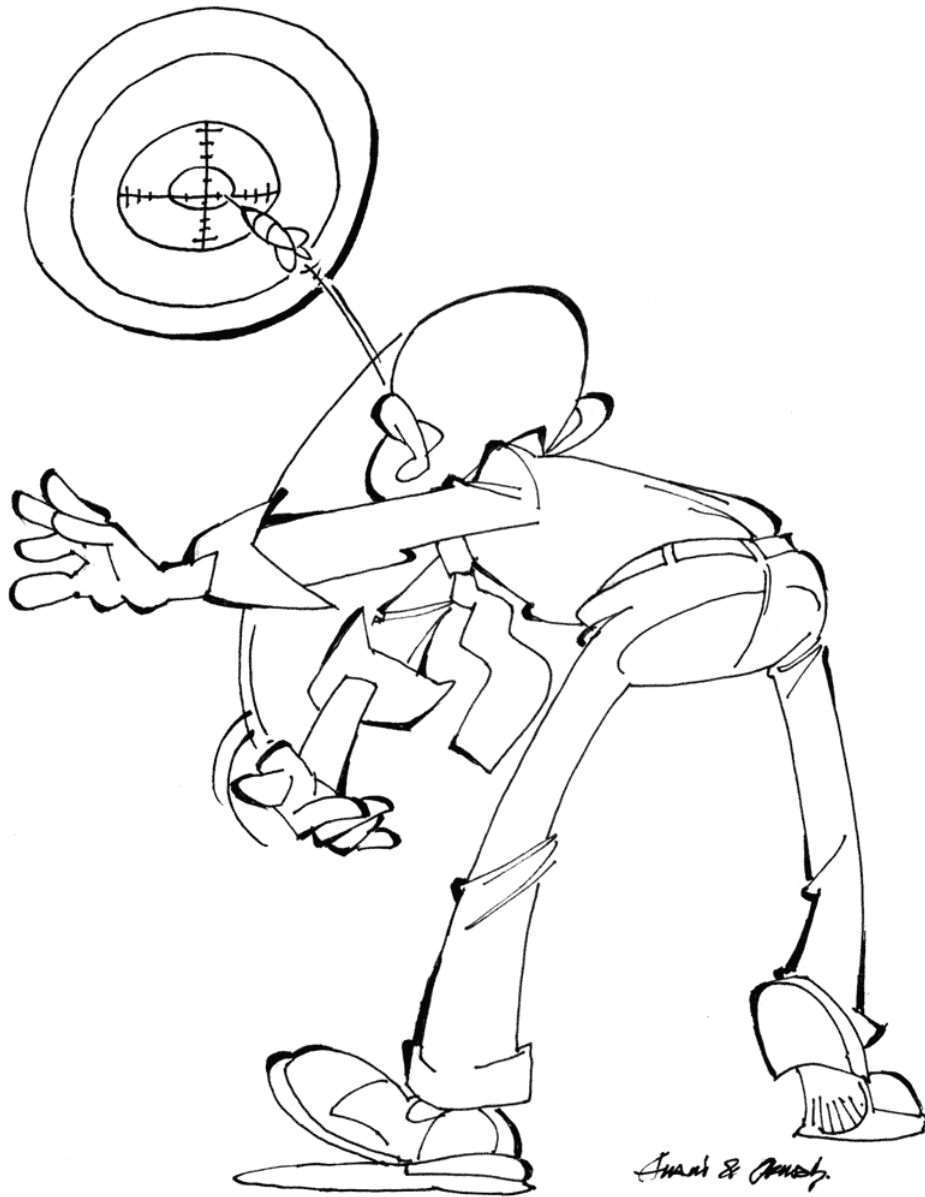
PRIORITY	SERVICE
1	
2	
3	

Handout 1.2 Scoring Sheet 2

What are the services the association can provide for its members? Write down the services in order of priority.

PRIORITY	SERVICE
1	
2	
3	

2. Vision, Mission, and Objectives



2. Vision, Mission and Objectives

After establishing the reasons for existence, an associations needs to formulate a vision and mission statement, because it defines the reason for existence and what the association wants to achieve. Unfortunately most vision and mission statements are vague and not known by its members. Participants will try to (re)formulate a vision and mission statement for their association and discuss the characteristics of both. Besides, participants will discuss how the mission statement can be accomplished and members can be served, by formulating objectives.

After the session participants:

- Have (re)formulated a vision and mission statement for their association.
- Can explain characteristics and elements of a vision and mission statement, the connection between mission and objectives, and the difference between mission and vision.
- Have formulated objectives.

Sessions (total time 2 hours and 30 minutes)

2.1 The vision and mission

2.1.1 What does the association stand for? (45 minutes)

2.1.2 Formulating the vision and mission (30 minutes)

2.2 Objectives

2.2.1 Introduction: visiting corners (15 minutes)

2.2.2 Formulating objectives (60 minutes)

2.1 The Vision and Mission

2.1.1 What Does the Association Stand For?

Objectives: To see what the association stands for and what it would like to achieve

Time needed: 45 minutes

Materials: Flip-sheets
Markers

Procedure:

1. The following exercise is called ‘**Silent brainstorming**’. Divide the group in two sub-groups. Paste for each sub-group a flip-sheet on the wall with the question “***What does your association stand for?***” written on it and give each participant a marker. In each group participants have five minutes to write down words answering the question, but they are not allowed to talk. Every participant can write down as many words as he/she wants. They are not allowed to write sentences; only key words.
2. After five minutes, each group is allowed to look at the sheet of the other group without talking.
3. The groups go back to their own paper and are allowed to add more words.
4. Each participant has to look at the flip-sheet of his/her own group. Then each participant has to select three words he/she finds most important. He/she should mark the selected words.
5. Participants are now allowed to talk. They have to formulate **one sentence** using the marked words, which explains what their association stands for. They can use the format: “The association is that would like to ... through...”. So the sentence will give a description of what the association is (for example: a group of agro input dealers from the Southern region), what they would like to achieve (for example: improve business of agro input dealers) and how they would like to achieve this (for example through training and advocacy for its members).
6. Each group has to read out loud the sentence that was formulated.
7. In plenary session try to formulate one sentence out of the two sentences that were written down. Probably there will be overlap, so look for words that are essential and use them to formulate one sentence. Tell participants that in the next exercise you are going to use this sentence to formulate a vision and mission.

2.1.2 Formulating Vision and Mission

Objectives: To explain characteristics and elements of vision and mission, the connection between mission and objectives, and the difference between mission and vision.

To formulate the vision and mission statement.

Time needed: 30 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Ask participants **why** an association should have a vision and mission and what it describes (it gives direction; it is the reason to exist).
2. Tell participants that a clear vision and mission statement should have a number of **characteristics**. Ask them what they can be:
 - **Challenging:** The vision and mission statement describes the desired future of the association. It must have an inherent equilibrium between what the association has and has not achieved.
 - **Inspiring:** The vision and mission statement should be positive and linked to individual members' aspirations. The statement should exclude everything the association does not want to be, but emphasize what it aspires to be. Whether the statement is inspiring also depends on how it is formulated and if it is supported by all members.
 - **Shared:** The vision and mission statement should be formulated by the majority of members, not by a small group of executives. This ensures that everyone will want to use and refer to the statement.
 - **Recognizable:** Every member should be able to recognize themselves in the vision and mission statement. They should feel ownership of the association.
 - **Giving Direction:** The vision and mission statement should serve as a clear beacon to the future.
3. There are **three elements** to write a clear vision and mission:
 - A mission statement should be one sentence long
 - It should be easily understood by a child
 - It should be able to be recited by memory with ease
4. Ask participants if anyone can explain the **difference between a mission and a vision statement**. A vision is something on a higher level, something that is further away in the future. A vision can never be accomplished by one association: it needs the support of other organizations and individuals. Every organization makes its own contribution to this vision.
5. Show the sentence that was formulated during **exercise 2.1.1** and compare it to the elements and characteristics that were just mentioned. Would this be a good vision or mission statement? It is more a **mission statement** because it describes the goal of the association. Is there anything missing? Should it be rephrased? Try to formulate

together a mission statement. Make sure the mission statement describes what the association would like to achieve and how they would like to achieve it, for example: “To unify farmer-based organizations in Ghana to lobby and provide services and information in order to enhance security, and financial and economic advantages to its members.”

6. Now try together to formulate a **vision**. If the mission statement would be achieved, which higher goal can be reached? (Improving livelihood of all farmers? Improve agricultural sector?)
7. Mention that when talking about vision and mission we said that both should be **shared with all members**. Ask participants how they can share this vision and mission with all members (for example during the General Assembly).

The **Vision** of IFDC is:

“Contributing significantly to food security and economic progress by promoting sustainable agricultural development across the world through the efficient and sound management of plant nutrients in conjunction with other agricultural inputs and natural resources.”

The **Mission** of IFDC is:

“To facilitate the sustainable improvement of agricultural productivity through the development and transfer of effective and environmentally sound plant-nutrient technology and agricultural marketing expertise.”

USE EXAMPLE OF FBO, IFAP??

2.2 Objectives

2.2.1 Introduction: Visiting Corners

Objectives: To show the necessity of clear objectives that are agreed upon and known by everyone

Time needed: 15 minutes

Materials: None

Procedure:

1. Ask the group to form a circle while holding hands.
2. Ask everyone to choose a corner of the room that is 'theirs' but not to tell anyone. Ask if everyone has selected a corner.
3. Explain that the objective of the exercise is to ensure that each person visits 'his/her' corner. The circle must not be broken during the process. Tell everyone to go to 'his/her' corner, while repeating that they should hold hands.
4. Discuss what happened. Did everyone visit their corner? Was there consultation in the group or did some individuals just drag the others to their corner? What are the possibilities to visit every corner (visit the corners one by one after consultation)?
5. Explain that the circle is where the association is standing at this moment and that the corners are possible objectives (or directions to go). Whatever which objective is chosen, it is important that everyone knows what the objectives are and that it is agreed on how to get there, because everyone will have his/her own priorities.

Note: When doing this exercise, explain step by step, and let participants do the step right away. This is to avoid that they are going to anticipate to the results.

2.2.2 Formulating Objectives

Objectives: To formulate general objectives for the association

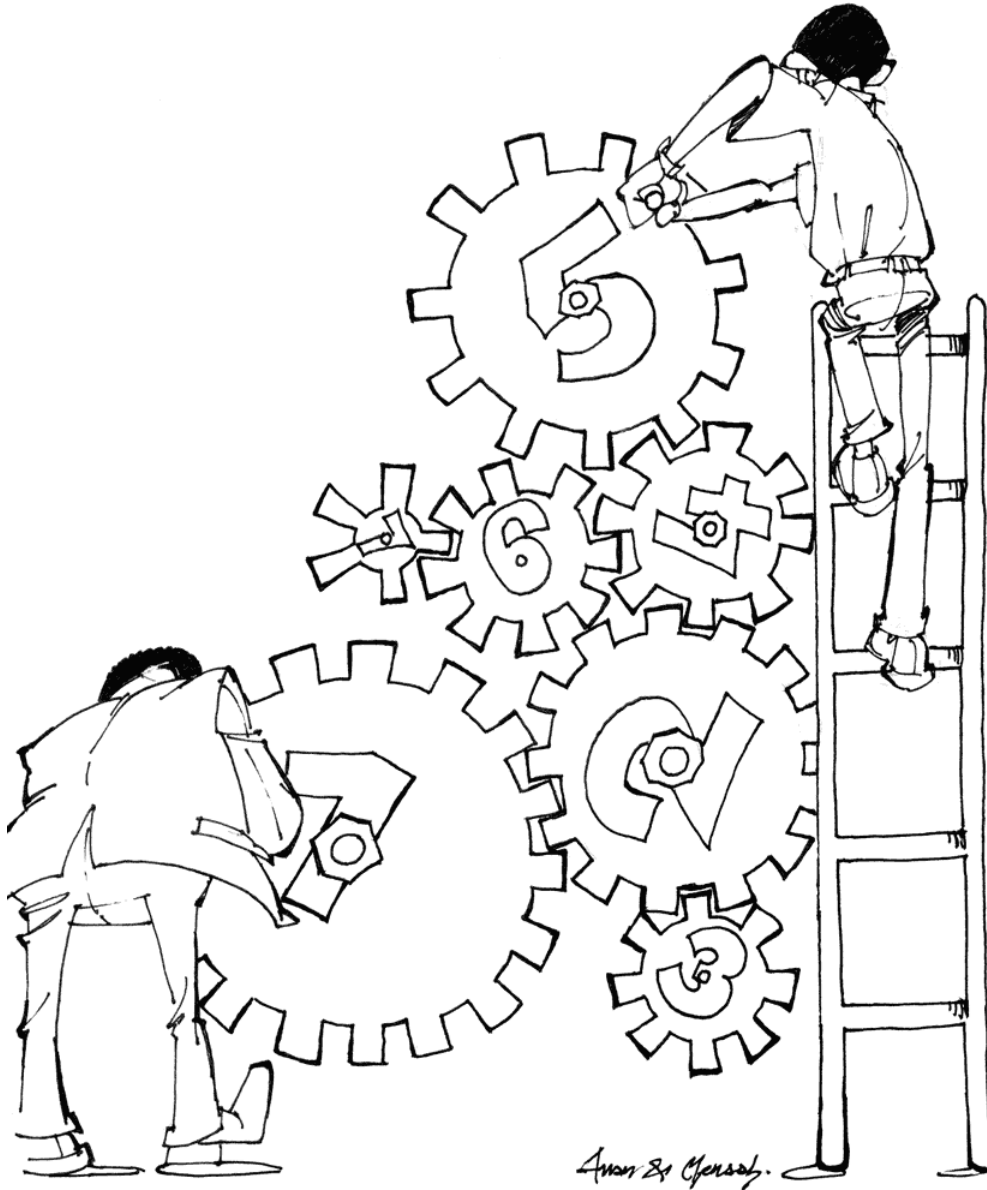
Time needed: 60 minutes

Materials: Markers
Flip-sheets

Procedure:

1. Ask participants if anyone can explain the **relationship between mission and objectives**. Objectives are clear statements (goals you want to achieve) on how to fulfill the mission. A mission is the desired situation in the future, while objectives are a desired situation for the near future. Objectives give the association directions on how to reach its mission. A mission is not easily changed while objectives can change once and a while. Tell participants that in the next exercise they are going to formulate general objectives for their association.
2. Ask if anyone can give an example of a **general objective**. For example: *To bring together all seed producers in the country*. Tell them that these general objectives will be written in the constitution. More specific objectives, for example *Raise the membership with 20% by the end of 2005*, will be written in the plan of action.
3. Ask participants to look at the mission statement that was formulated during **exercise 2.1.2** and the focus of the association as discussed during **exercise 1.2** (expectations versus services). Split the group in two smaller groups and ask each group to **formulate maximum five objectives**. Give each group 30 minutes.
4. Discuss the results, look at where overlap is and where different ideas are, and try to **reformulate the objectives**. See if you miss any objectives. In general the objectives should cover areas that will fall under FACE (Financial benefits, Advocacy, Communication and Education), such as:
 - a. Bringing together all input dealers / farmers / traders
 - b. To facilitate access to credit
 - c. Defend rights of the members / security
 - d. Advocacy for favorable environment (can be more specific) or being a voice for
 - e. Gathering and dissemination of information
 - f. Capacity building of members through ...
5. As already mentioned, these are general objectives that can be put in the constitution, so they should not be too detailed. Objectives for a plan of action will be discussed in **session 7.1**.

3. Organizational Bodies



3. Organizational Bodies

An association consists of several organizational bodies that each has their own task and role to play. In **session 8** we will discuss in detail the different roles of the most important bodies for some specific activities, while in this session the focus will be on which types of bodies exist and what their general tasks are.

After the session participants:

- Know the several organizational bodies that exist in an association and their general tasks.

Sessions (total time 75 minutes)

3.1 Tasks of the organizational bodies (75 minutes)

3.1 Tasks of the Organizational Bodies

Objectives: To identify the different organizational bodies of an association and their main general tasks.

Time needed: 75 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Brainstorm with the group on the **organizational bodies** that exist in an association. Make sure they mention:
 - a. General Assembly
 - b. Executive Council or Board of Directors
 - c. Executive Committee
 - d. Advisory Board
 - e. CommitteesAdd two groups of people as well:
 - Officers
 - Staff
2. Divide the group in 7 sub groups and ask each group to answer the following questions:
 - a. Who is part of this body?
 - b. Describe in one sentence what this body is.
 - c. List the main task of this body.
3. Discuss the answers.

General Assembly

- a. All members of the association.
- b. The General Assembly is the supreme body of the association.
- c. The tasks of the General Assembly are to:
 - Define the main orientation of the association
 - Adopt the Plan of Action and program of activities
 - Give hearing to and approve the annual report of the National Executive Council
 - Give hearing to and approve internal and external auditor's reports
 - Adopt or amend the Constitution
 - Endorse decisions taken by the National Executive Council
 - Give mandate to appropriate organs of the Organisation for the execution of specific functions

Executive Council

- a. Elected members of the association.
- b. The Executive Council is a smaller group within the association to operate and oversee its ongoing activities.
- c. Main tasks are to:
 - Establish the policy of the association

- Assure compliance to the association's constitution
- Hire, direct, and oversee the staff
- Establish the normal procedures of the association
- Establish and oversee the financial practices and policies of the association
- Oversee all committee functions
- Poll their represented members and act on their wishes
- Attend regular and special meetings of the association
- Represent the needs of the association above their own needs

The Officers

- a. Those members of the Executive Council holding a position, such as Chairman, Vice-Chairman, Treasurer, Secretary, etc.
- b. See a.
- c. Main tasks:
 - Chairman:
 - Call and preside over meetings of the council and association
 - Establish meeting agendas
 - Liaison with and supervise the executive manager
 - Represent the association in dealings with other groups
 - Attend all meetings of the Executive Council and General Assembly
 - Vice- Chairman:
 - Perform the duties of the chairman in his or her absence
 - Attend all meetings of the Executive Council and General Assembly
 - Treasurer:
 - Ensure that the association's accounts are periodically audited by an outside accounting firm
 - Oversee the financial records of the association as maintained by the executive manager
 - Report the financial activities at Executive Council and General Assembly meetings
 - Attend all meetings of the Executive Council and the General Assembly
 - Secretary:
 - Oversee the recording of the minutes of association meetings
 - Attend all meetings of the Executive Council and General Assembly

Executive Committee

- a. Officers of the Executive Council (most of the time Chairman, Vice-Chairman and Treasurer) and sometimes the previous Chairman.
- b. Formal or informal group that can be mandated by the Executive Council to take decisions on their behalf.
- c. Main tasks are to:
 - Take decisions on details and day-to-day business on behalf of the Executive Council

Note: If an association has staff that is well organized, the staff should take these detailed decisions and the existence of an executive committee may not be necessary.

Often an executive committee is functioning during the first years of its existence, because staff is not yet in place and many decisions have to be taken.

Advisory Board

- a. Advisors who can be former leaders of the association, members who have special skills or experiences to share with the association or non-members who can provide additional insight to the associations activities.
- b. Consultative body that advises the Executive Council on specific topics.
- c. Main tasks are to:
 - Provide advice to Executive Council when needed

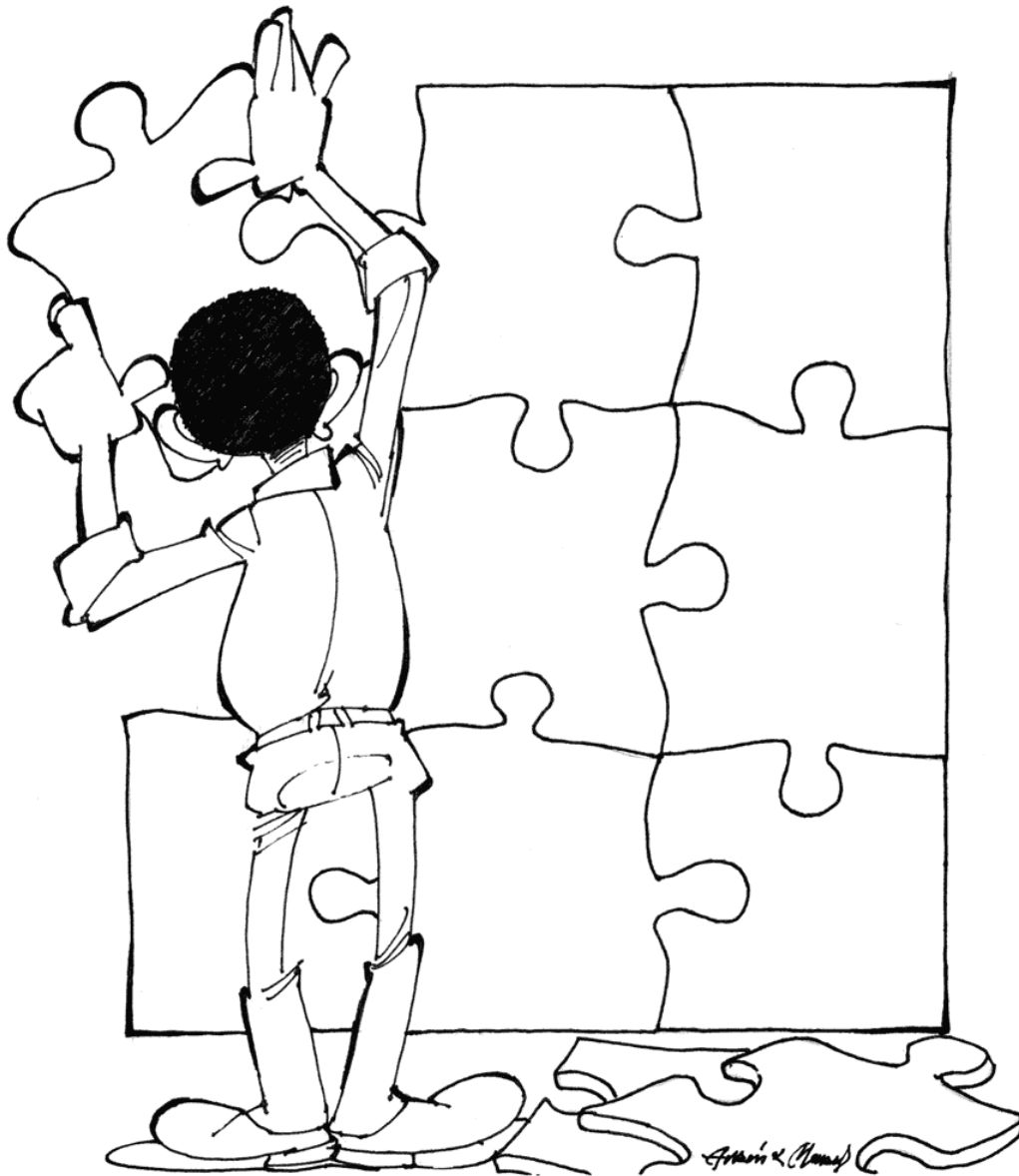
Committees

- a. Members of the association and outsiders.
- b. Smaller group of members within the association that handles specifics about program or policy development.
- c. Main tasks:
 - Advice Executive Council on matters concerning the Committee
 - Assist in implementation of activities concerning the Committee

Hired staff

- a. Executive Manager plus other staff.
- b. Employees that run the association on a day-to-day base.
- c. Main tasks:
 - Day-to-day management of the association
 - Implement decisions taken by the Executive Council
 - Short term planning

4. Organizational Structure



4. Organizational Structure

The structure of an association is like the framework of the association. Each body has its own tasks and to avoid problems on communication and decision making the tasks should be clear, well defined and known to all members.

In this session participants will discuss the structure of their association, including functions and election procedures.

After the session participants have:

- Formulated a proposal on membership, covering categories of membership, and conditions and criteria for each category
- Formulated a proposal on the organization of the General Assembly
- Formulated a proposal on the structure of the association, including National Executive Council, tasks, structure, and election procedures

Content exercises (total time 3 hours and 45 minutes)

4.1 Membership

4.1.1 Categories and conditions (75 minutes)

4.1.2 The General Assembly (30 minutes)

4.2 The Decision Making Bodies (120 minutes)

4.1 Membership

4.1.1 Categories and Conditions

Objectives: To prepare a proposal on membership covering categories of membership, conditions and criteria for each category

Time needed: 75 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Write down on a flip-sheet: “*Who can become a member of the association?*” Ask participants who or what could become a member of their association. Think about the following points:
 - a. Common interests
 - b. Type of entity:
 - Individuals versus companies
 - Individuals versus groups
 - c. Type of profession:
 - Farmers versus dealers
 - Retailers versus importers
 - Processors versus exporters
 - Government officials or other stakeholders
 - d. Type of products sold or produced:
 - Food commodities versus cash crops
 - Different commodity groups
 - Different agro inputs (fertilizers, pesticides, and seeds)
 - e. Geographical area of operation (district, region, national, sub-regional)

2. See if you can form **categories** out of the suggestions that were given at step 1. Possible categories can be:
 - a. **Founding members:** Those who were present when the association was formed. A founding member is usually ceremonial and can also be in another membership category.
 - b. **Full/regular/ordinary members:** Those who are directly involved with the purpose of the association, have voting rights, and are eligible to hold a position.
 - c. **Associate members:** Those who are not directly involved, but still have an interest in the activities of the association, do not have voting rights, and are not eligible for a position.
 - d. **Supporting members:** An interested party who contributes to the association, does not have voting rights, and is not eligible for a position.
 - e. **Affiliate members:** Usually suppliers of goods or services to the members of an association; they do not have voting rights and are not eligible for a position.

- f. **Honorary members:** An individual who has been recognized by the association for positive contributions to the sector, does not have voting rights, and is not eligible for a position.

It is also possible to combine option a and b, into

1. Full members:
 - 1.1 Founding members
 - 1.2 Ordinary members

Or to combine proposals under step 1:

1. Full members:
 - 1.1 Individuals
 - 1.2 Companies

Which categories do they want? Participants should make a selection of categories. Two or three different categories is more than enough.

3. What are the **conditions** or criteria for each category? Think about voting rights, participation in activities or meetings, representing the association during events, and possibilities to stand for election for committees of the Executive Council. Also mention the possibility for members to move to another category. For example a member joins as an associate member, but if he/she follows a training course that is approved by the association, he/she can become a full member. (See for example Starter Kit text box **paragraph 4.1**).
4. What are the **consequences** for having these categories? If you are an association for small dealers, do you want to allow big companies or importers to be in your Executive Council? If you deny a certain group as full member, are they still interested in becoming Associate or another type of member?

4.1.2 The General Assembly

Objectives: To discuss how the General Assembly can be organized in practice

Time needed: 30 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Ask when their association is going to organize a **General Assembly**, are they going to invite all members? Is that feasible? Who will pay for that? Together make calculations of how much a General Assembly would cost for 50, 100 and 200 participants. Think about transport, accommodation, meals, rent of conference rooms, badges, pens, notebooks, photocopies, rent of sound system, etc.
2. If it is not feasible, than what are other **possibilities** to ensure that all members are represented? Maybe a limited group per commodity or product, per region, per group? If that is the case, it means that pre-elections should be organized. Go over the

consequences step by step and formulate a proposal including voting rights (3 per region, 1 per participant?). For example: Per region 3 members will represent the region during the General Assembly. If the decision is taken to not invite all members to the General Assembly, but only a limited number of representatives, this should be written in the constitution. Tell participant that in practice more members will attend the General Assembly, especially those living nearby. But those members will be there as observer and will not have a voting right. (See for example Starter Kit text box [paragraph 4.2](#)).

4.2 The Decision Making Bodies

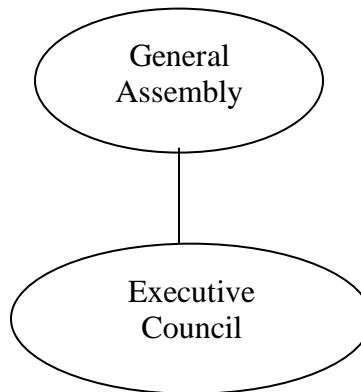
Objectives: To formulate a proposal on the decision making bodies of the associations, including tasks, structure, and election procedures

Time needed: 120 minutes

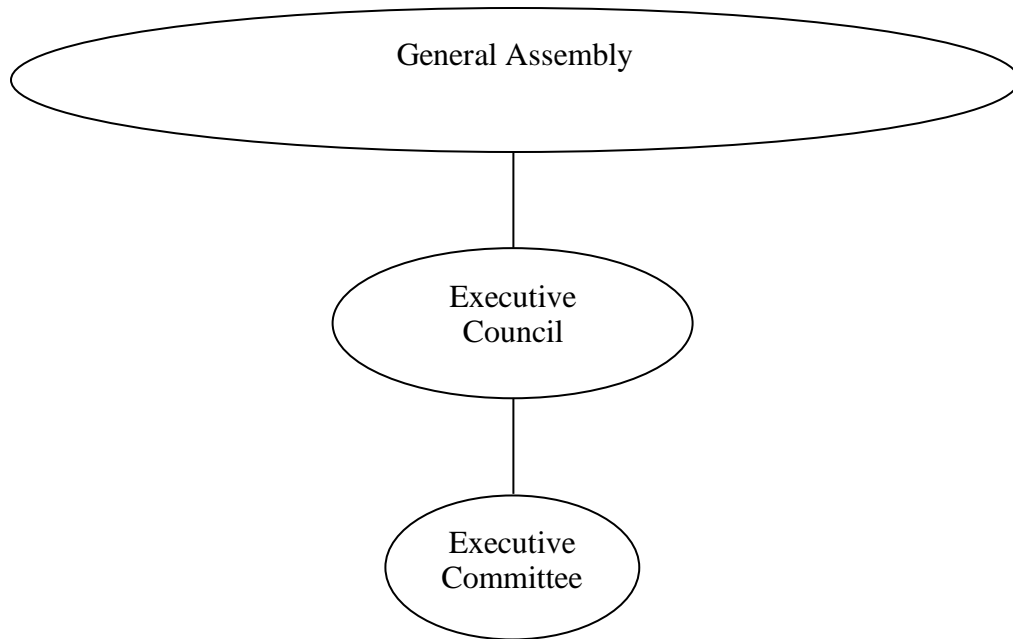
Materials: Flip-sheets
Markers

Procedure:

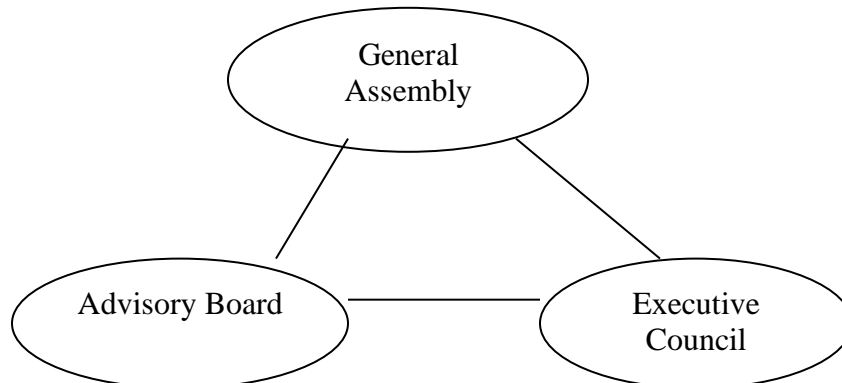
1. Explain to participants that it is not possible that an association is managed by all members. Therefore a small group should take decisions on behalf of the whole association. This group is called the *Executive Council* or *Board of Directors*. Sometimes the tasks are divided over two bodies: one body, the *Executive Council*, is responsible for the overall decision making, while a small group, the *Executive Committee*, is more involved in decision making on a day-to-day basis. There can also be an advisory body to the Executive Council, which is called *Advisory Board*.
2. Ask if anyone can propose a structure in which the various possibilities are reflected. Write down the proposal in the form of an organigram on separate flip-sheets. Possibilities are:
 - i. There are two bodies. 1) the General Assembly and 2) the **Executive Council** with functions (such as chairman, vice-chairman, treasurer, secretary, national organizer, etc).



- ii. There are three bodies: 1) the General Assembly, 2) the Executive Council and 3) the Executive Committee. The **Executive Committee** will be formed out of the **Executive Council**, and can consist for example of the chairman, the vice chairman and treasurer. All day-to-day decisions are taken by the Executive Committee, but they are advised by the Executive Council. As already mentioned before, if there is management staff in place, there is no need for an Executive Committee, since all day-to-day decisions will be taken by the staff and not the elected members.



- iii. There are three separate bodies: 1) the General Assembly, 2) the Advisory Board and 3) the Executive Council. All decisions are taken by the **Executive Council**, but they are advised by the **Advisory Board**. Members of the Advisory Board cannot be member of the Executive Council and vice versa.



Note: Both the Advisory Board and the Executive Council are elected bodies.

3. Then discuss who could be **elected** in which structure. Think about:
- Of **how many persons** should the Council or Board consist? Think about the functions they would like to have (chairman, vice chairman, treasurer, secretary, national organizer, communication officer, etc). Keep in mind that an odd number is easier for voting.
 - Do they want to have a **gender balance**? For example 2 out of 9 have to be females.
 - Are there any **other conditions**? For example: 1 young person (younger than 30 or 40) or 1 representative from every region or district.

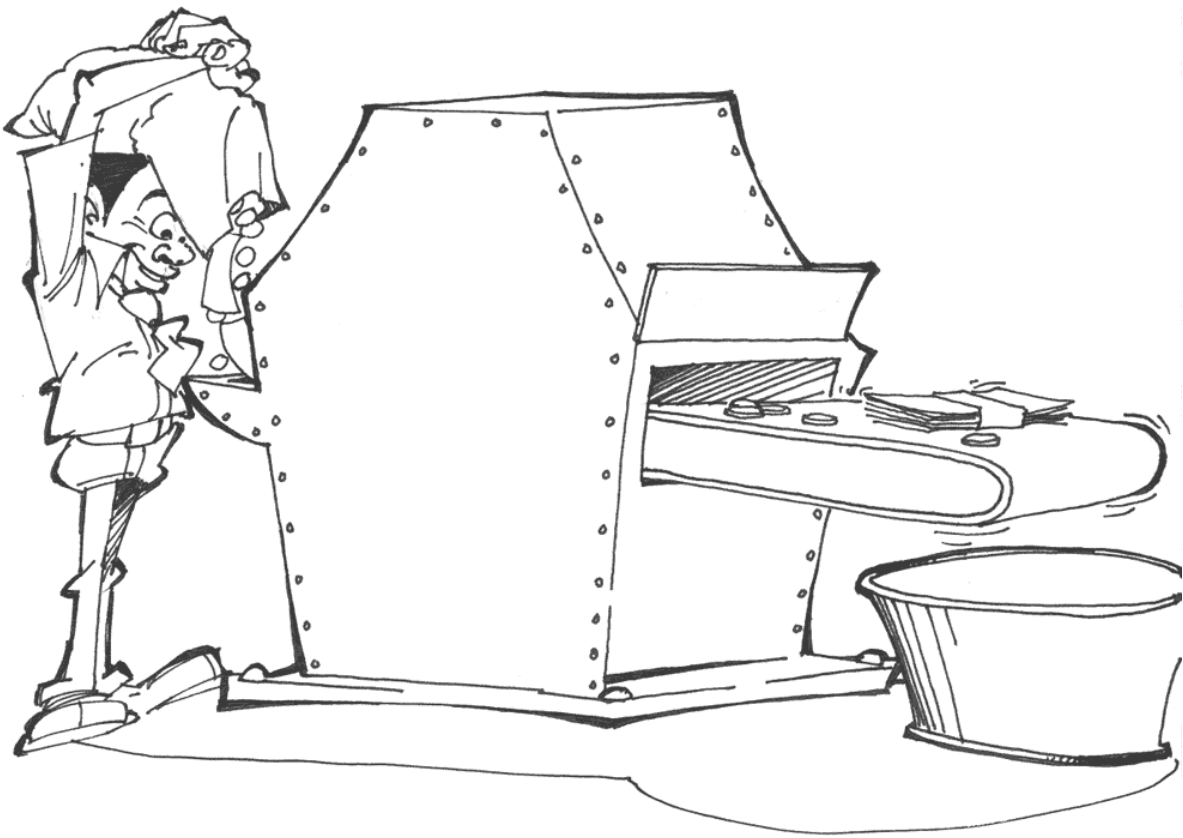
- d. Discuss **conflict of interest**. For example: can an executive hold a public function?
 - e. If **groups or companies** are member: how many seats can a group have? Does it depend on the number of people they represent or not?
4. Discuss the **advantages and disadvantages** of each structure. Think about:
 - a. With this structure, does every member have the feeling to be represented?
 - b. Does everyone have a fair chance to be elected?
 - c. Are decisions easy to take?
 - d. Are the communication lines simple?
 5. Discuss the **functions** of the executives. Is it necessary that everyone has a function or can someone also be a normal executive? In practice functions like assistant treasurer or assistant secretary are meaningless. If everyone needs to have a function, then it is better to have real ones, such as national organizer, communication officer or public relation officer, training coordinator, etc.
 6. Discuss the following questions:
 - a. **For how long** can an executive stay in office and for how many **terms**?
 - b. **How often** should the council meet and what is the **quorum**?
 - c. What happens in case of **vacancies**?
 7. Discuss the **election procedures** of the executives and the other bodies. Discuss:
 - a. Which **body** will be elected first (for example if there will be an Executive Council and an Advisory Board)?
 - b. Are all executives going to be elected during the **General Assembly** or maybe during elections at **district** level?
 - c. **Who** can stand for elections (only full members, only those who paid their dues and fees)?
 - d. **How** are candidates nominated (maybe per district or per product)?
 - e. Will the election be **open** or by **secret ballot**?
 - f. What are the exact **procedures**?
 - g. **When** are the elections and what will be the **quorum**?

When discussing this, make sure you write down all steps very clearly so everyone can follow them.
 8. Discuss the **election procedures of the functions**. Are they elected by the General Assembly or by the Executives themselves? How are the procedures? Which function will be elected first? These procedures should be clearly described in Standard Operating Procedures (SOP), see **session 10.3**.
- Note: If there is only one candidate for a function ballot papers can still be distributed to confirm the candidate. This to avoid comments afterwards such as “we didn’t have a choice”.

An example of an election procedure

Executives can be elected either by their regions or by the General Assembly. In case of the regions, the elections will take place at regional level before the General Assembly is held. If Executives are elected by the General Assembly a list of candidates can be opened and nominees can fill in their name. All candidates have to be approved by the General Assembly. Then ballot papers will be distributed among those that can vote. On the ballot paper voters have to fill in the names of those they want to elect in the Council. So if the Council exists of 7 members, 7 names should be filled in, in random order. Every vote

5. Expenditures and Revenue



5. Revenues and Expenditures

Each organization has revenues and expenditures. In this session participants will discuss how much it costs to set up an association and how it will costs to operate. Besides, they will discuss dues and fees and compare the amounts to their operational costs to see if their organization is financial viable.

After the session the participants should be able to:

- Know the costs of setting up an association and to operate
- Judge if the association is financial viable
- To propose rates for dues and fees

Content exercises (total time 2 hours and 15 minutes)

5.1 Expenditures of the association

5.1.1 Setting up the association (45 minutes)

5.1.2 The operational costs of an association (45 minutes)

5.2 Dues and fees (45 minutes)

5.1 Expenditures of the Association

5.1.1 Setting up the Association

Objectives: To get an idea of the costs to start an association

Time needed: 45 minutes

Material: Flip-sheets
Markers

Procedure:

1. Try to list together with the participants what costs are involved to **start the association**. Examples:

- Costs for registration:
 - Registering the association
 - Legalizing the constitution
- Costs for opening of a bank account (is there need for a deposit?)
- Costs for office space:
 - Identifying an office space (via a real estate agent?)
 - Opening an office (installation of telephone and internet, etc.)
- Costs for recruiting staff (placement of advertisement in newspaper)
- Costs for public relations:
 - Designing a logo
 - Printing letterhead
 - Printing brochures
 - Printing business cards

Note: if you have more than 8 or 10 people, you can also divide the group in two and let each group discuss the amounts.

2. Ask participants how much **each action** will cost and add up the total.
3. Ask how many **potential members** there are and divide the total costs through the number of potential members. The result is the amount that every potential member should contribute to start the association.
4. Ask participants how they can **collect** this money from potential members (during the Constitutive General Assembly, during an activity, during meetings, etc).

5.1.2 The Operational Costs of the Association

Objectives: To get an idea of how much it costs for an association to operate

Time needed: 45 minutes

Material: Flip-sheets
Markers

Procedure:

1. Tell participants that after the start up phase, the association will start operating. With **operational costs** we mean costs to function as an association, without any activities. Try to list together all operational costs.

Think about:

- Costs for office space:
 - Rent for office space, if no other low cost alternative is available in the beginning (for example sometimes a technical partner or governmental agency is willing to let the association use a room for free)
 - Equipment (computers, cupboards, chairs, tables)
 - Utilities (water, electricity, telephone, internet connection)
 - Stationery
- Costs for staff:
 - Salary of Executive Manager and other staff
 - Travel of staff
- Costs for meetings:
 - Executive Council meetings
 - Annual General Meeting
 - Other meetings (committees)
- Other costs:
 - Registration fees and annual dues to be member of any other organization
 - Annual fees to keep the association registered (can be different per country)

Explain clearly that this list does not include any activities, such as training, lobbying, information dissemination, etc.

Note: To avoid lengthy discussions on how much is spent on travel of staff or stationeries; it is also possible to prepare flip-sheets with all categories written on it. Divide the group into two and let each group fill in the amounts, add categories if necessary and add up the total. When discussing the results in plenary do not go into detail, just focus on the total amount that was given by both groups. In case of a big difference between both totals, try to see where the difference comes from. The disadvantage of this approach is that the participants do not brainstorm themselves on categories; therefore it is advisable to only use this approach when the association is already functioning for some time. In case of new associations it is better to brainstorm on all categories.

2. If the association already exists, you can continue with **comparing revenues and expenditures** of the association. Ask how many members the association has and how much registration fees and annual dues they pay. Then ask how many members have paid their annual dues (ask for a number or a percentage) and multiply the number of paying members by the annual dues and explain that we only look at the dues, since the registration fees will be collected only once. Ask if there are any other constant (internal) revenues and add that up to the amount collected on annual dues. Compare the figure to the operational costs of the association.

Note: When the association is new, you can divide the total costs through the number of potential members to see how much each member should contribute to keep the association operating.

3. Make again the calculation assuming that all members will pay their annual dues and compare the figure again. Is the association **generating enough income** (without donations or sponsorship) to cover the operational costs? If not, what can be done to ensure that the operational costs are covered? Cutting on expenditures (for example by cost sharing office and staff) or raising the revenues (increasing membership, increasing dues and fees, finding other ways of internal revenues)?

Tell them as general rule:

Operational costs = Internal revenues

This means that the internal revenues must be sufficient to cover the operational costs of the association.

5.2 Dues and Fees

Objectives: To prepare a proposal for registration fees and annual dues

Time needed: 45 minutes

Materials: Flip-sheets
Markers
Prepared tables

Procedure:

1. When becoming a member a **registration fee and annual dues** should be paid. Explain that a registration fee is only paid once when the person becomes a member. The annual dues have to be paid every year (or monthly). Of course not every category of membership will pay the same amount of dues and fees and maybe some categories such as the honorary members will not pay at all. Discuss which **categories** of members have to pay fees and dues.
2. The amount for registration fees and the amount for annual dues will be different. Ask participants if it is better to have higher fees or higher dues. In general an association will have a **low registration fee and higher dues**. The arguments for low fees are that a high fee can be a barrier for registration and that members only pay this once (so it does not affect your yearly cash flow much). The arguments for higher dues are that the amount can be split into several payments per year so the amount does not look that high. Besides, your yearly operational cost will have to be covered partly by your dues.
3. Look at the membership categories that have to pay dues and fees. Split the group in smaller groups (2-3 groups) and let each group **brainstorm on the rate of dues and fees**. Give each group a table they have to complete. Mention again the amount for the start up phase (**exercise 5.1.1**) and the amount for the operational costs (**exercise 5.1.2**).

Category	Registration fees	Annual Dues
Full members: individuals		
Full members: companies		
Associate members		
Etc.		

4. Compare the rates in plenary. Try to come to a consensus. Tell participants that this proposal should be discussed during the constitutive General Assembly.
5. Sometimes it is necessary to discuss the dues and fees into more detail. For example if the **membership is diverse**. If an association has groups that are member, does a group of 10 people pay the same rate as a group of 100 people? And does a small input dealer with an average turnover of 100 USD per month pay the same rate as a retailer with a turnover which is ten times higher? It might be necessary to introduce different rates, depending on group size, income, etc. The rate can be linked to rights of members (for example number of votes, or priority for certain program) but it is

not necessary (it can create problems, for example when a small group with more money is having privileges over other members).

6. Also discuss the possibilities to build in **incentives** for (new) members. For example: lower annual dues for the first year, a discount on the annual dues when paying early in the year or paying for a whole year at once, etc.

6. Constitution and Bylaws



6. Constitution and By-Laws

To formalize all decisions and to list all rules and regulations, each association has a constitution. The constitution is like the frame of the association. It defines the internal structure of the association and serves as a guideline for procedures long after the original founders have departed. Well-constructed constitutions are a useful tool in building the association and attracting new members too, because they reflect the image of the association. Participants will discuss what should be in a constitution and by-laws, and what should not be, and how it can be changed.

After the session participants should be able to:

- Write or improve a constitution and by-laws.

Content exercises (total time 3 hours and 30 minutes)

6.1 Theory on the constitution (60 minutes)

6.2 By-laws (30 minutes)

6.3 Group work: checking the constitution (120 minutes)

Handouts

6.1 The constitution of an association

6.2 By-laws of an association

6.3 Group work: checking the constitution

6.1 Theory on the Constitution

Objectives: To understand what a constitution is, what the advantages are of having a constitution, what should be in and how it can be changed.

Time needed: 60 minutes

Materials: Flip-sheets
Markers
Handout 6.1

Procedure:

1. If the association already exists, ask participants if their association has a **constitution**. Ask who of them ever saw the constitution and knows what is written in it.
2. Write the following questions (one by one) on a flip-sheet and discuss the answers.
 - a. What is a **constitution**?
 - framework of the association
 - describes rules, regulations and procedures
 - difficult to change
 - easy to understand for all members
 - b. What are the **advantages** for having a clear constitution?
 - sets the rules clear for everyone, serves as guidelines (leaves no room for disagreement on basic rules)
 - gives the association a serious and professional look
 - leaves no room for discrimination among members
 - c. Which **articles** should be in a constitution?
 - i. *Legality*: name, location, address, logo, branches, languages
 - ii. *Purpose*: definitions, nature of the association, motto/slogan, vision, mission, objectives and main activities
 - iii. *Membership*: definition of membership, categories of membership, application, rights and privileges of members, voting rights, terminations and expulsion, re-admission
 - iv. *Fees and dues*: for who, for what, fines
 - v. *Structure*: which bodies do exist
 - vi. *General Assembly*: definition, structure, meetings, quorum and decision making
 - vii. *Executive Council*: definition, structure (composition), election procedures, terms of office, meetings, quorum, general powers and duties, vacancies, remuneration, sanctions
 - viii. *Other bodies of the association*: definition, structure, meetings, quorum;
 - ix. *Staff*: recruitment, delegation of powers
 - x. *Funds*: revenues, banking, management
 - xi. *Merger and dissolution*: assets and liabilities, what will happen when the association is dissolved

- xii. *Audit*: when, by whom, fiscal year
- xiii. *By-laws*: for specification of dues and fees, job description, names of executives
- xiv. *Amendments*: how to change the constitutions
- xv. *Promulgation*: effective date

Possible:

- xvi. *Publications* (e.g. newsletters, annual reports, etc)
 - xvii. *Legal authority* for the association
- d. What should **not** be in a constitution?
- daily activities of all functions
 - matters that change regular (dues, fees, allowances, etc)
- For these the association can use By-laws, or Rules and Regulations (**exercise 6.2**).
- e. How to **change** the constitution?
- Inform members in time about the proposed amendments
 - Vote on the proposal in the General Assembly
 - 2/3 of the members must be present
 - Majority 50 percent plus 1 vote

Suggestions for discussion: Are constitutions easy to change? Why not? When is something important enough to change the constitution? Maybe someone has an example.

3. Give participants **handout 6.1**.

6.2 By-Laws

Objectives: To understand what should be in by-laws and not in the constitution.

Time needed: 30 minutes

Materials: Markers
Flip-sheets
Handout 6.2

Procedure:

1. Ask if anyone can explain what **by-laws** are. The constitution is a document that shall not be changed on a regular base. Therefore articles as described in the constitution do not contain information that shall be updated frequently. For that kind of information it might be useful to prepare by-laws. In the by-laws members will find more specific rules of articles in the constitution. Sometimes by-laws are also called internal rules or regulations.
2. Draw a table and give the topics. Ask participants what should be described in the constitution and what in the by-laws. The table can be as follow:

Article	Constitution	By-laws
Membership	Categories, right and privileges	Application mode
Council	General description, structure, elections	Tasks in detail, detailed task of each function
Dues and fees	Description of types of dues and fees	Specific amounts
Allowances	General description	Specific amounts
Staff	General description	Detailed tasks

3. Give participants **handout 6.2**.

6.3 Group Work: Checking or Writing the Constitution

Objectives: To improve the constitution and by-laws of the association or write a first draft

Time needed: 120 minutes

Materials: Markers
Flip-sheets
Handout 6.1, 6.2 and 6.3

Procedure to improve a constitution:

1. Ask participants to get their constitution and by-laws and make sure everyone has the example of a constitution and by-laws (**handout 6.1 and 6.2**). Explain the assignment (**handout 6.3**).
2. Make two groups and give each group the assignment. You can also split the constitution in two and give each group a part.
3. Participants have to go through the example constitution and write down missing articles on a sheet of paper. They have 90 minutes for the assignment.
4. Each group has to present their results. Discuss the results. Which articles are missing? How come? Are they not important? Should they be in? Which articles are not clear? How can they be formulated better?

Note: You should check the constitution beforehand yourself. It can happen that the discussed constitution contains everything according to the checklist. In that case ask participants to go through the constitution to check if everything is clear and easy to understand (tell them that they need to keep in mind that their members need to understand it, so even if matters are clear for them, they should also be clear for members. This avoids that participants might feel embarrassed to admit that they do not understand something).

Procedure to write a constitution:

1. Give participants **handout 6.1 and 6.2**. Form small groups and divide the articles of the groups. They should use the results of previous exercises to write the first draft of the constitution.
2. Each group has to present their results. Discuss the results. Which articles are missing? How come? Are they not important? Should they be in? Which articles are not clear? How can they be formulated better?

Handout 6.1 The Constitution of an Association

The constitution of an association is like the frame of the association. It describes the objectives and procedures (the rules) of the association. A constitution is necessary because it defines the internal structure of the association and serves as a guideline for council procedures long after the group's original founders have departed. A well-constructed constitution is a useful tool in building the association and attracting new members, because it reflects the image of the association as a professional, well managed organization that is aware of its legal responsibilities.

To be a solid framework for the association, the constitution must be concise and contain only information that is essential to the basic structure of the association. Because a constitution actually describes the relationship between an association and its members, the articles should be easy to understand, and be readily available to the membership. The articles should not be too specific though as to require frequent amendments, nor too vague as to create uncertainty about any structure or procedure. Multiple amendments could mean that a) the constitution was too vague, b) decisions described in the by-laws, or Standard Operation Procedures are slipping into the constitution, or c) individuals or groups are changing the rules of the constitution and the original purpose.

Since the constitution is the basis of the association, it should be difficult to change, thereby providing a continuing structure that can be built upon. To change the constitution a special meeting should be called, where a minimum proportion of the members (as written in the constitution) will be present. However, some rules of an association need to be changed on a frequent basis, like the annual dues or membership fees. To avoid the necessity to change the constitution every year, those every day activities should be documented in so called *by-laws*. To change these procedures it is not necessary to call the General Assembly. The Council of the association can decide on changes to the by-laws.

Example of a constitution

All of the articles proposed below would not necessarily be included in every constitution and some will contain other articles not listed. Those listed are the common and should be considered any time a constitution is written or amended.

ARTICLE I – LEGALITY

Section 1 – Name: full name of the association and the abbreviation.

Section 2 – Location: location of the main office and possible regional or other offices, address, telephone, fax, e-mail address, website.

Section 3 – Branches: describes how branches are formed and refers to an article on branches for further information.

Section 4 – Logo: describes the logo and its meaning.

Section 5 – Working languages: describes the working languages in official documents and meetings.

ARTICLE II – PURPOSE

Section 1 – Definitions: gives an explanation on certain terminology used in the constitution (for example: agro-inputs, farmers’ organizations).

Section 2 – Nature: describes the type of association, who it is to serve, under what mandate it is created and what functions it is to perform.

Section 3 – Motto / slogan: describes the motto.

Section 4 – Vision: describes the view of the association.

Section 5 – Mission: describes why the association exists, the ultimate goal.

Section 6 – Objectives: describes where you are at this moment, where you want to go, how you want to get there and guiding principles (for example: only in the Northern part of the country, in collaboration with another association, etc.).

Section 7 – Activities: describes the main activities.

ARTICLE III – MEMBERSHIP

Section 1 – Definition of membership: what or who is considered as a member.

Section 2 – Categories of membership: this article will define who may be a member of the association. The member could be defined as an individual, business, group, or a combination of any of these. This article should also define various classes of membership:

- a. Full/regular/ordinary (those involved directly with the purpose of the association with voting rights);
- b. Founding members (those present at the constitutive General Assembly);
- c. Associate (those not involved directly, but still having an interest in the activities of the association, without voting rights);
- d. Supporting (an interested party who contributes to the association, without voting rights);
- e. Affiliate (usually a supplier of goods or services to the members of an association, without voting rights);
- f. Honorary (an individual who has been recognized by the association membership, without voting rights).

Section 3 – Application for membership: describes how potential members can apply for membership and who approves the membership.

Section 4 – Rights and privileges: describes the rights and privileges of the members and their voting rights.

Section 5 – Resignations: the way members can end their membership.

Section 6 – Terminations / expulsions: describes when and how membership can be terminated (because of not paying dues) or expelled (because of violating constitutions).

Section 7 – Re-admission: describes how a member that was expelled can become a member again.

ARTICLE IV – FEES AND DUES

Section 1 – Annual dues: describes what kinds of dues are to be paid, by whom and who decides on it. It would be best if the specific dates and amounts were not included in the constitutions, but instead are described in the by-laws.

Section 2 – Registration fee: describes what kinds of fees are to be paid, by whom and who decides on it. Also here, dates and amounts can be put in the by-laws.

Section 3 – Non-payment of dues and fees: describes what happens when a member does not pay his/her dues and fees, what the sanctions are, and how and when demand notices are sent.

ARTICLE – GENERAL ASSEMBLY

Section 1 – Definition: describes the why, who and what.

Section 2 – Meetings: describes when and where, how they will be announced, special meetings.

Section 3 – Quorum and majority: describes the quorum and process for decision making.

ARTICLE V – EXECUTIVE COUNCIL

Section 1 – Definition: describes the why and what.

Section 2 – Structure: who can be in, how many executive members and if necessary at which level they work (national, district), and who they represent (northern region, southern region). Specifies conditions, such as how many women, youth, etc.

Section 3 – Elections: information on election: which functions, who can be nominated. Details can be found in the by-laws.

Section 4 – Term of office: for how long executive members are elected and possibilities for re-election.

Section 5 – Meetings: when and where.

Section 6 – Quorum and majority: describes the quorum and process for decision making.

Section 7 – General powers and duties: activities and duties of the executive council.

Section 8 – Vacancies: describes the procedures when a seat comes vacant before the term of office is expired.

Section 9 – Remuneration: describes if executive members receive remuneration. If yes, details can be found in the by-laws.

Section 10 – Specific duties of the executive members: describes the duties of the chairman, vice chairman, secretary, and treasurer.

Section 11 – Sanctions: describes sanctions when executives misbehave.

ARTICLE VI – OTHER BODIES OF THE ASSOCIATION

Section 1 – Committees: describes definition, composition, tasks, reporting, etc.

ARTICLE VII – STAFF

Section 1 – Employment of staff: who has the power to appoint for which tasks.

Section 2 – Delegation of powers: who can delegate which powers.

ARTICLE VIII – FUNDS

Section 1 – Revenues: describes which means of revenues are collected.

Section 2 – Trusteeship: describes who can sign for cheques.

Section 3 – Banking: describes who can open a bank-account for which purposes.

ARTICLE IX – ASSETS AND LIABILITIES

Section 1 - Interest of members: in the event of a termination of membership, a member or representative shall have no claim against the association, or against the other members of the association or their representatives.

Section 2 – Distribution of assets on dissolution: in the event that the association is no longer needed and the members decide to dissolve it this article should explain the procedure and state how the assets are to be disposed of.

ARTICLE X – AUDIT

Section 1 – Auditors: describes who can appoint an auditor for which purposes.

Section 2 – Remuneration: describes who has the authority for remuneration.

Section 3 – Financial year: describes the beginning and ending of the financial year.

Section 4 – Books of accounts: describes where the books are kept and who is responsible for them.

ARTICLE XI – BY-LAWS

Section 1 – By-laws: describes who can make and change by-laws.

ARTICLE XII – AMENDMENTS AND DISSOLUTION

Section 1 – Amendments: includes comments as to what meetings the constitution could be changed, the amount of prior notice involved, quorum and percentage of votes necessary for a change and when the new constitution would come into effect after the time it is adopted.

Section 2 – Dissolution: describes when and how the association shall be dissolved.

ARTICLE XIII - PROMULGATION

Section 1 – Effective date: describes from which date the constitution is effective.

Other possible articles can be:

- **Publications:** describes which publications exists and when the association publishes.
- **Legal authority for the association:** if there is a law or rule of government that establishes the right for an association to exist, it could be included here. Additionally a statement that indemnifies council members from recrimination for their activities, as executives, might be appropriate.
- **Donations:** Conditions under which donations either in money or kind can be accepted so as to ensure that such donations do not overly influence the association.

An adaptation of IFDC, KADP Association Modular Training Manual

Handout 6.2 By-Laws of an Association

The constitution is a document that shall not be changed on a regular basis. Therefore articles as described in the constitution do not contain information that is updated frequently. For information that needs to be periodically updated it might be useful to prepare By-Laws. In the by-laws members will find more specific rules of articles in the constitution.

The by-laws can contain the following articles:

ARTICLE I – GENERAL PROVISION

Section 1 – By-laws: reference to the constitution.

ARTICLE II - MEMBERSHIP

Section 2.1 – Membership application: detailed description on how members should apply.

Section 2.2 – Responsibilities: what is expected from members concerning reporting, etc.

ARTICLE III – FEES AND DUES

Section 3.1 – Annual dues: amount of annual dues and mode of payment.

Section 3.2 – Registration fees: amount of registration fees and mode of payment.

ARTICLE IV – GENERAL ASSEMBLY

Section 4.1 – Functions: detailed description of all functions of the General Assembly.

ARTICLE V – NATIONAL EXECUTIVE COUNCIL

Section 5.1 – General powers and duties: detailed description of all functions of the Executive Council.

Section 5.2 – Specific duties of executive members: description of the tasks of all executives.

Section 5.3 – Election procedures: description of the procedures in detail.

ARTICLE VII – COMMITTEES

Section 7.1 – Existing committees: which committees are in place.

Section 7.2 – Ad hoc committees: description of possibility to form *ad hoc* committees.

ARTICLE VIII – ALLOWANCES

Section 8.1 – Allowances: description of when allowances shall be paid and conditions for payments.

Section 8.2 – Travel expenses: maximum amounts that shall be paid for travelling.

Section 8.3 – Accommodation: maximum amounts that shall be paid for accommodation for several geographical areas.

Section 8.4 – Meals: maximum amounts that shall be paid for meals.

ARTICLE IX – EXECUTIVE MANAGER

Section 9.1 – Definition: description of what the executive manager is.

Section 9.2 – Employment: describes how the executive manager shall be employed and by whom.

Section 9.3 – Job description: describes tasks and duties.

Section 9.4 – Accountability: describes to who the executive manager must report and how often.

Handout 6.3 Group Work: Checking the Constitution

Time: 90 minutes preparation

Go through the constitution of your association. Read **handout 6.1** (the constitution of an association) and compare them it the constitution of your association.

Please answer the following questions:

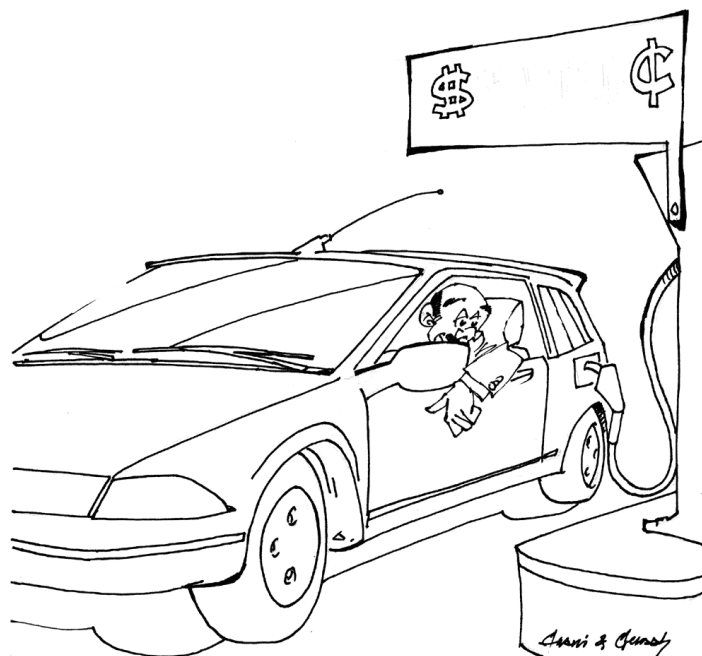
1. Are there any articles in **handout 6.1** that are not mentioned in the constitution of your association? Which ones? Should they be added?
2. Are there any articles in the constitution of your association that are not mentioned in **handout 6.1**? Which ones?
3. Are there any articles in the constitution of your association that are not clear? (Keep in mind that all articles have to be clear for all members!!). Which parts are not clear? How could they be formulated better?

Please write the answers on flip-sheets and present them.

PHASE II START-UP PHASE

Sessions:

7. Plan of Action for the Start-Up Phase
8. Roles of the Organizational Bodies
9. Day-to-Day Management
10. Record Keeping
11. Internal Communication



7. Plan of Action for the Start-Up Phase



7. Plan of Action for the Start Up Phase

When creating an association a lot of things have to be done. Therefore it is useful to set priorities and to develop a plan of action for the start up phase. In this session participants discuss what has to be done during the start up phase (first 6 months).

After the session participants have:

- Set priorities
- Prepared a plan of action for the short term

Sessions (total time 2 hours and 30 minutes)

7.1 Setting priorities (30 minutes)

7.2 The short term plan of action (120 minutes)

7.1 Setting Priorities

Objectives: To set priorities for the short term

Time needed: 30 minutes

Materials: Flip-sheets
Markers

Note: This exercise should only be done when the association is going to be created or has just been created.

Procedure:

1. Refer to **exercise 2.2.2** in which general objectives were formulated for the association. Explain that these objectives are for the long term. If all these objectives are fulfilled, the mission statement is accomplished and the association can be dissolved. All associations need a plan of action in which objectives and activities are described. There are short term plan of actions (between 6 and 12 months), medium term (1 to 2 years) and long term plan of actions (3 to 5 years). During the next exercise we are going to set priorities for the next six months to start up the association and use these priorities to develop a plan of action for the start up phase.
2. Form buzz groups of 3-4 persons and ask every group to list five objectives that the association would like to achieve in the coming six months. Add that six months is a short time, so they should focus on starting up the association.
3. Discuss in plenary and try to formulate common objectives. The list can be as follows:
 - a. To establish an association that is ready to implement activities
 - b. To register members and collect dues and fees
 - c. To publicize the association to attract members
 - d. To set up a sound book- en recordkeeping system
 - e. To develop an activity plan

If participants mention lobbying, training programs or other activities, write them down, but under the heading action plan 6-12 months (the activity plan).

7.2 Short Term Plan of Action

Objective: To prepare a plan of action for the start up phase (months 0-6)

Time needed: 120 minutes

Materials: None

Procedure:

1. Tell participants that in the next exercise they will prepare a plan of action for the start up phase, which will be a short term plan of action (6 months). Write down all objectives that were formulated under **exercise 7.1** on separate flip-sheets. Paste the flip-sheets on the wall and give every participant a marker.
2. Divide the participants over the flip-sheets and say that every participant has to write down activities to achieve the objectives.
3. If participants do well, go around with the whole group and discuss every sheet. If participants have problems, let participants circulate and add activities to other sheets as well.
4. The final results could be as follows:

1. Establishment of the association

- 1.1 Register the association
- 1.2 Open an e-mail address
- 1.3 Open a postal box
- 1.4 Legalize the constitution
- 1.5 Hire an Executive Manager
- 1.6 Find office space
- 1.7 Set up the office (furniture, electricity, water, telephone, internet connection)

2. Membership

- 2.1 Prepare a list of potential members
- 2.2 Make copies of the constitution and of the by-laws and distribute them among current and potential members
- 2.3 Make copies of any other documentation (proceedings of constitutive General Assembly) and distribute among members
- 2.4 Develop a registration form
- 2.5 Inform possible members how to register

3. Public Relations

- 3.1 Develop a logo and letterhead
- 3.2 Develop a brochure that gives an introduction of your association
- 3.3 Attend events to inform stakeholders on the creation of your association

4. Financial sustainability

- 4.1 Open a bank account
- 4.2 Inform potential members on the amount for dues and fees
- 4.3 Develop a brochure or leaflet listing start up activities to show potential benefits to members
- 4.4 Start collecting dues and fees
- 4.5 Buy files, cash books and receipts
- 4.6 Set up a record keeping system
- 4.7 Develop an annual budget

5. Activities

- 5.1 Prepare an activity plan for the short and long term to generate income

5. The next step is to discuss who will execute the activity, when the activity will take place, and which resources are needed. It is very important that this is discussed and that everyone is aware of his/her responsibilities. When there are many activities it is possible to first divide the group into subgroups and let each subgroup work on a different objective. Then discuss in plenary.
6. The results can be put in a table:

Objective (why?)	Activity (how?)	Responsible (who?)	Time frame (when?)	Resources needed (with what?)

7.3 Conditions for Registration

Objectives: To know how to register the association

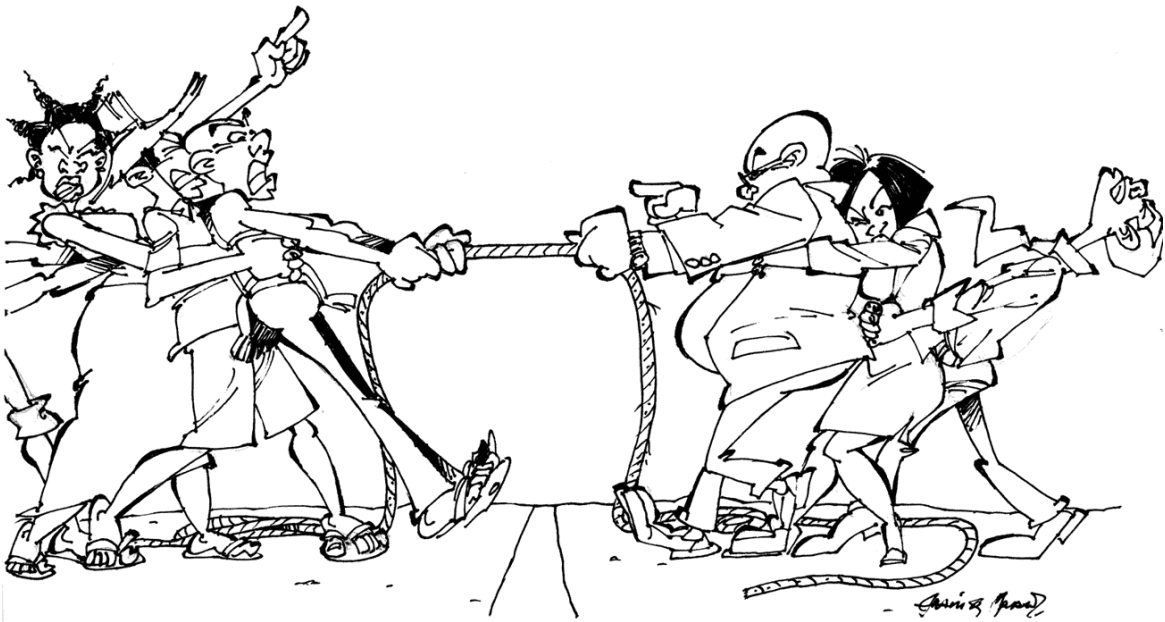
Time needed: 45 minutes

Materials: Flip-sheets
Markers

Procedure:

1. In **exercise 7.1** participants agreed on how they would like to register their association. The next step is to see what the conditions are for registration. Ask participants. Think about:
 - a. Constitution
 - b. List of members
 - c. Minutes of the Constitutive General Assembly including signatures of the executives
 - d. Bank account
 - e. Money (how much does it cost to register)
2. Does the association have all materials? What is still missing? Who can take care of that? Who will do the registration and when? Get an agreement on who will do what and set a deadline for the registration.

8. Roles of the Organizational Bodies



8. Roles of the Organizational Bodies

As stated in **chapter 4** on organizational structures every body of the association has its own role to fulfill. To avoid conflicts these roles should be clearly defined in the constitution or by-laws and should be known to all members. In this session participants will discuss the role of each organizational body.

After the session participants:

- Know the difference between the role of the Executive Council and staff
- Know the role of the members
- Have formulated proposals for committees

Content exercises (total time 3 hours and 30 minutes)

8.1 The Role of the Bodies

8.1.1 Council and Staff (60 minutes)

8.1.2 Council, Staff and Members (90 minutes)

8.2 Committees (60 minutes)

8.1 The Role of the Bodies

8.1.1 Council and Staff

Objectives: To make participants aware of the role of the council and the staff.

Time needed: 60 minutes

Materials: Flip-sheets
Markers
Prepared colored cards
Pin board
Pins

Procedure:

1. Divide participants in small groups and give each group a stack of cards. For each card they have to decide if it is the role of the Council or the Staff. Let them paste the cards on the pin board under the correct heading.
2. The results are:

The role of the Council and Staff

Council	Staff
Owners	Employee
Elected	Appointed
Set policy	Carry out policy
Set goals	Set objectives
Long range decisions	Short term decisions
Ideas to decisions	Decisions to action
Primary control	Operational control
Convene meetings	Organize meetings
General direction & leadership	Day-to-day leadership & motivation
Represents the membership	Represents the membership

3. Discuss the results. Ask if anyone can give examples of problem areas.
4. Now paste two cards on opposite walls of the conference hall. One card says *council*, the other *staff*. Tell participants that you are going to mention an activity of the association and that each of them has to decide if it is the task of the council or the staff. Mention the following:
 - a. **Advocacy:** Both council and staff have a role to play. The council will take the decision on what to advocate for, but does not have time to be involved in this on a day-by-day base. Besides, advocacy is political sensitive and it can harm an executive member when he/she is actively involved in advocacy.
 - b. **Preparing the budget:** The staff will prepare the first draft. The treasurer will review the budget and adjust when necessary. The executive council will give its final approval.

- c. **Convene meetings:** The council takes decisions on when to have the next council meeting, but there are other meetings as well, on market level and on special occasions. On market level it will be the market chairman that will call the meeting. The staff will draw the agenda and organize the meeting.

8.1.2 Council, Staff and Members

Objectives: To make participants aware of the role of the council, staff and members.

Time needed: 90 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Divide participants in six groups (or 3 if not so many). Two groups will represent the council, two groups the staff and two groups the members. Explain that you will give them topics related to the association. For each topic every group has to describe their task or involvement.
2. Write the five topics on a flip-sheet and let every group work on it for 30 minutes.
3. Discuss the topics one by one. Ask every group for their input and ask if the other groups agree. Write the answers in a table of on a flip-sheet.
4. The following topics can be discussed:

a. Collection of dues and fees

Council:

- appoint task force to support staff in collecting dues and fees
- propose amounts
- create incentives for members to pay
- serve as a role model

Staff:

- inform members
- collect dues and fees
- keep records
- follow up on defaulters

Members:

- approve amounts
- pay
- serve as role model

b. ABIP

Council:

- approval for establishment of ABIP
- approval of budget and location
- staff appointment
- modes of operations
- monitoring

Staff: - prepare budget and proposal for location
- daily functioning
- collect fees
- report to EC
- train members on the use of the ABIP
- collection of data

Members: - supply of data
- use the centre and pay for services
- patronize the centre

c. Activities

Council: - approve budget
- set action plans for long term (3-5 years), middle term (yearly) and short term (quarterly)
- monitor objectives

Staff: - plan details
- prepare budget
- implement
- report to the council
- report to sponsors and donors (if applicable)

Members: - support activities with participation and fees
- communicate needs to staff and council

d. Record keeping

Council: - monitor and check accounts (periodically)
- appoint external auditor
- approve internal procedures prepared by staff

Staff: - prepare internal procedure on details of record keeping
- keep the records
- submit records to the council
- prepare receipts and vouchers

Members: - collect receipts
- ask questions during the General Assembly
- advise on issues during the General Assembly
- accept or reject the records at the General Assembly
- ask questions during GA

e. Partnership

Council: - identify partners
- take a decision on partners
- give directions to staff
- attend meetings with partners
- sign Memorandums of Understanding or partnership agreements

- Staff:
- propose partners
 - prepare information on association to give to partners
 - prepare information collected on partners
 - attend meetings with partners (depending on the partner)
 - follow up
 - prepare Memorandum of Understanding or partnership agreements

- Members:
- propose partners
 - utilize partner services (if applicable)
 - provide feedback on activities on the ground
 - attend meetings with partners if requested

8.2 Committees

Objectives: To discuss which committees the association would like to install and the main goal of each committee.

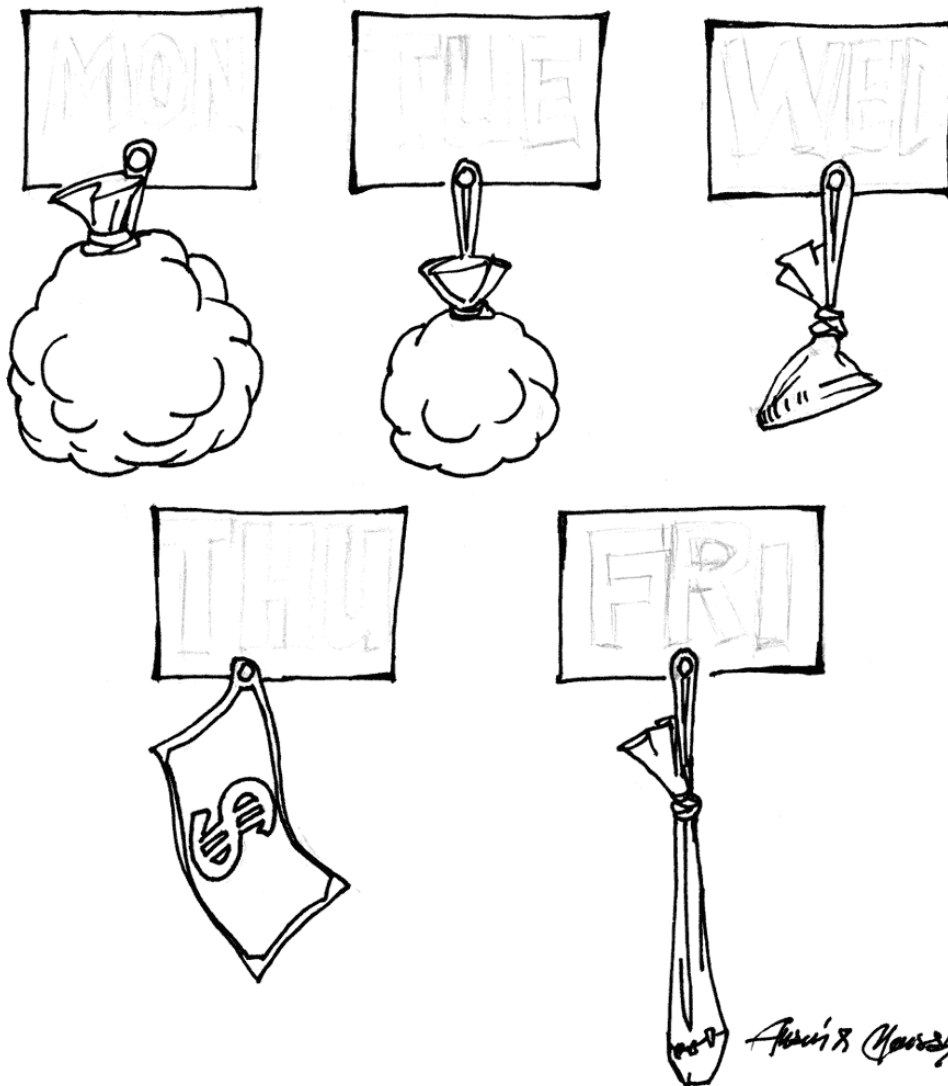
Time needed: 60 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Form buzz groups and ask each group to make a list with a maximum of four committees in order of priority. For each committee they have to write in one sentence the goal of that committee.
2. Discuss the results. List all committees and mark by how many groups the committees were mentioned. Possibilities are:
 - a. Women
 - b. Youth
 - c. Access to credit (as part of the FACE concept)
 - d. Advocacy (as part of the FACE concept)
 - e. Communication (as part of the FACE concept)
 - f. Education (as part of the FACE concept)
 - g. Welfare
 - h. Per commodity or input (seeds, fertilizers, pesticides)
3. Try to link the committees to the main activities of the association. For example: is welfare something that should be done by an association?

9. Day-to-Day Management



9. Day-to-Day Management

If an association has staff, its day-to-day management will be performed by the staff members. In any other case duties will be carried out by volunteers. Both options have advantages and disadvantages. Whatever is the case, it is necessary to perform duties the same way each time to avoid confusion and different approaches. To ensure a uniform manner an association should put these duties, procedures and approaches in writing.

In this session participants will discuss the advantages and disadvantages of volunteers versus staff, and ways to document duties and procedures.

After the session participants:

- Are aware of differences between an association run by volunteers and one run by staff
- Have developed Terms of Reference for an Executive Manager
- Have written the first draft of Standard Operating Procedures.

Content exercises (total time 3 hours and 15 minutes)

9.1 Volunteers versus staff (45 minutes)

9.2 Terms of Reference Executive Manager (60 minutes)

9.3 Standard Operating Procedures (90 minutes)

Handouts

9.1 Managing the association

9.2 Standard Operating Procedures

9.3 Writing Standard Operating Procedures

9.1 Volunteers Versus Staff

Objectives: To discuss the advantages and disadvantages of volunteers versus staff.

Time needed: 45 minutes

Materials: Flip-sheets

Markers

Handout 9.1

Procedure:

1. Tell participants that, just as a business, an association has to be managed on a day-to-day base. There are three possibilities for that:
 - a. Volunteer-run, i.e. by members: members will perform all management staff, most of the times this will be the Executive Council
 - b. Volunteer with a skeletal staff: same as above, but with an assistant or secretary to help the executives
 - c. Stand-alone association run by staff: staff is hired and paid to manage the association on a day-to-day base.

2. We will focus on the differences between a voluntary run association and one that is managed by staff. Form buzz groups and let participants reflect on advantages and disadvantages of volunteers and staff. The following could be mentioned:

	Volunteers (members)	Staff (hired)
Advantages	<ul style="list-style-type: none"> - Has inside knowledge - Is acutely aware of member needs, resulting in products and services that the members are interested in - emotionally attached - operational costs are low 	<ul style="list-style-type: none"> - skilled employees - professional look - necessity for procedures - direct control over employees, costs and purchasing decisions - full time employed - no conflict of interest - can be fired when performance is low - independent
Disadvantages	<ul style="list-style-type: none"> - lack of specific skills to run an association - lack of accountability - lack of time to devote to the association - possible conflict of interest - more vulnerable for example with advocacy activities - could be discriminatory towards some members - difficult to sanction when performance is low 	<ul style="list-style-type: none"> - expensive - extra task for council to monitor and evaluate - paper work (insurance, income tax, etc) - lacks inside knowledge - is gone when a better offer comes

3. Ask participants what the general feeling is about the volunteer/staff discussion. If the feeling is in favor for staff, ask how they think they can pay this person.

4. Give participants **handout 9.1**.

9.2 Terms of Reference Executive Manager

Objectives: To write the Terms of Reference for an Executive Manager

Time needed: 60 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Ask for possible tasks of the Executive Manager (also called: Executive Secretary) and write them down. Possible answers are in general:
 - a. To take care of the daily management of the office (correspondence, record keeping, dissemination of information).
 - b. To set the objectives (while the Executive Council sets the goals).
 - c. To implement decisions of the National Executive Council and give support whenever needed.
 - d. To hire staff members and define their responsibilities (emphasise that the Executive Manager is the head of all staff, which means staff is accountable to the Executive Manager and not to the Executive Council. The Executive Manager is accountable to the Executive Council).
 - e. To attend all National Executive Council meetings and to take minutes with the assistance of the secretary.

2. Ask participants to give specific examples of tasks. That can be:
 - a. To answer the telephone in the office
 - b. To maintain contact with the members
 - c. To be the focal point of the association
 - d. To collect membership dues
 - e. To respond to invitation letters
 - f. To take care of the daily coordination of committees
 - g. To pay the electricity bill
 - h. To establish contacts with partners
 - i. To send out invitation letters for a general assembly
 - j. To organize a training program for the members

3. To make sure the tasks and responsibilities are clear, the association need to write a Terms of Reference for the Executive Secretary. Try to make a set up by going through the following headings.
 - General information:
 - a. Title of posting
 - b. Location
 - c. Duration of assignment

 - Accountability:
 - a. To whom is the manager accountable?
 - b. Methodology: how often should he/she report and in what form?

- Duties and responsibilities: detailed description of tasks.
- Qualification and experience. Discuss if the focus should be on technical knowledge or organizational experience.

9.3 Standard Operating Procedures

Objectives: To provide the base for Standard Operating Procedures.

Time needed: 90 minutes

Materials: Markers
Flip-sheets
Handout 9.2 and 9.3

Procedure:

1. Refer to previous exercises in which we discussed the constitution and by-laws. Take the example of registration. Where is mentioned who can register as member (in the constitution) and where is described how we can apply (in the by-laws)? But where do we find the application form? These forms can be found in the Standard Operating Procedures (SOP).
2. Explain that in the SOP we find forms that are used by the association, but also detailed descriptions of some procedures, for example how funds are reimbursed to members and election procedures. There are many different procedures. Some examples can be found in **handout 3.3**, but for now the focus will be on procedures in the office. Explain that we are going to discuss steps for some SOP. Divide participants into groups and show the list of SOP:
 - Registration of new members
 - Payment of dues and fees
 - Reimbursement of funds to members
 - Giving advances to members
 - Decision taking on urgent matters
3. Ask if anyone would like to add procedures.
4. Let participants work for 45 minutes and let them present the results. Discuss and ensure that all steps are logical and understandable for everyone. Tell everyone that the Executive Secretary will work with these procedures and test them in practice. This means that in time they will be adapted if necessary.
5. Distribute **handout 9.2 and 9.3**.

Note: You do not have to spend too much time on this exercise, but it will serve as a base for those that will be writing the procedures (probably the Executive Manager).

Handout 9.1 Managing the Association

As an association is forming and a structure is being considered a method of management must be chosen. In general, there are three options:

1. Volunteer-run
2. Volunteer with a skeletal staff
3. Stand-alone association

Each option has its own advantages and disadvantages, and will of course depend on the particular association's priorities.

Volunteer-Run

Many associations are run entirely by volunteers, and there are several advantages. Because the association is run completely by volunteers, member interest, support, and pride are increased. Volunteers are acutely aware of member needs. This awareness allows the association to design products and services that the members are interested in. Furthermore, volunteer expertise is another benefit which can be effectively utilized within the association. Finally, the operational costs are very low.

Although the contributions made by volunteers to the association community are great, there are nevertheless limitations depending entirely on volunteers. Many volunteers lack the specific skills needed by an association to achieve its goals. An association of engineers, for example, may not have a member with the expertise necessary to manage a group insurance program or plan a convention. If these programs demand a limited amount of time and attention, the association could hire a consultant. On the other hand, if they require greater time and attention a consultant probably would not be sufficient.

A second limitation of volunteer-run associations is lack of accountability. Effective management depends on accountability among a volunteer group, it may not be sufficient. An executive can help increase responsibility.

A third limitation is that, often volunteers, despite their best intentions, cannot give the necessary time to the fledgling association.

Member promotion efforts often suffer in these arrangements, with some requests for information or applications being missed or languishing at the bottom of a deep incoming mailbox. Dues collection is sometimes sporadic with poor recording keeping often a factor as well. These oversights can be disastrous for a start-up association.

Volunteers and staff

Volunteers working with a skeletal staff is a better arrangement. Usually this means paid administrators who work on a part- or full-time basis, either in an office or out of their home. (A retired member of the trade or profession which the association represents can frequently be found to fill such a position). These administrators can provide continuity in the association, but again they must frequently rely on volunteers for provision of services such as writing or producing a newsletter. In addition, these people often have no

training or experience in running a non-profit association or managing volunteers, which is quite different from having been a practitioner in a particular agribusiness field.

Stand-alone associations

A stand-alone association means a fully operational office staffed by full or part-time executive and support employees. This is not always initially feasible, but many associations find this form the ideal goal. While it can be the most expensive option, it does have advantages. The office can be located where appropriate, and exactly the kind of people wanted to work on association activities can be chosen. The association is immediately visible with a well-run office and the staff works only for your association. There is direct control over the employees, costs and purchasing decisions.

On the down side though, there are large expenses to get an office up and running, whether facilities and equipment are leased or purchased and the council must devote time to hiring and evaluating a chief staff executive and they must have help filing the necessary papers to employ staff, pay insurance, etc. For example, an association may have a large annual meeting for which an experienced meeting planner is needed but there might not be enough work to keep the person fully employed year-round. It is difficult to hire this kind of expertise on a part-time basis. Thus initially, association services such as meeting planning or publication might have to be contracted rather than having them done by association staff. There may also be difficulty in attracting qualified employees, for whom job security is an issue, for a start-up association. Finally, systems, which may be expensive, for all operations such as accounting, data processing, and dues billing and collections will have to be created.

At some point in an association's development, hiring professional staff becomes a viable option. The goals and objectives of the association should be a factor in the decision between an association management company and an association executive staff.

There are several items that must be considered before hiring professional staff, including:

1. The ability of the membership to manage an association
2. The willingness of the membership to volunteer its time
3. The amount of activities and services offered by the association
4. The ability and willingness of the members to make financial commitments to professional staff
5. Plans for the expansion of the association

Each association should base its decision on a careful examination of the options and with cost analysis of each. Typically, an association spends 35 to 45% of its total income on staff salaries, taxes, benefits, office occupancy, equipment and supplies regardless of whether the association hires a management company or hires a salaried executive and sets up a stand-alone office.

From: IFDC, Agribusiness Trade Association Development

Handout 9.2 Standard Operating Procedures

In order to accomplish its goals in a consistent and orderly way, an association, just like any other business, must perform its duties in a uniform manner. Therefore, it is necessary to first identify those duties that are recurring and then analyze each step involved in the process. Once the procedures are identified, the tasks involved for each procedure should be documented and those involved in the procedure should be trained so to assure the prescribed procedures are being followed.

The standard operating procedures manual

The Standard Operating Procedures (SOP) manual is a handbook that contains all of the written procedures of the association. The SOP must be accessible in the office to everyone involved and easy to change. It could be a notebook with replaceable pages, for example A4 format so you can easily add new prints, or a computer file. The SOP does not normally have to be approved by the Executive Council or members of the association, but they should be aware of its existence and they may want to have some input into its content. The staff of the association administers the SOP, and is responsible to keep the contents current. Association members should receive a membership handbook that would contain the association activity portion of the SOP. Before important association events, the executives (chairman, etc.) should use the SOP to explain the procedures to participants so that there is no confusion about how certain procedures are to be handled.

There are usually two kinds of procedures documented in the SOP, the internal procedures normally performed by the association office staff and the procedures for the operation of the activities of the association. The two are described as follows:

1. *Staff Procedures:* Procedures for tasks that are conducted as a function of normal office activity. Some tasks that might be included in the staff section of the SOP are:
 - Receipt of payments
 - Entering of application forms
 - Performing a month-end or year-end accounting procedure
 - Procedures for performing a mass mailing
 - Telephone answering procedures
 - Calling procedures
 - Procedures for paying bills
 - Job descriptions
 - Informing members of upcoming activities

There are no qualifications for adding procedures to the SOP. Any type of task performed in the office could be included.

2. *Procedures of the association:* Procedures used in activities of the membership body, the Executive Council, the officers and committees which could include:
 - Election procedures
 - Selection of committee members
 - Procedure for hiring of an executive manager
 - Selection procedures for association officers

- Selection and reporting procedures for members participating in activities

These are tasks that are not performed on a regular or daily basis, are handled by numerous individuals during the life of the association, and are more prone to cause controversy if handled incorrectly or inconsistently. In the case of these procedures, the council might want to be involved in greater detail or have some approval mechanism before the steps involved in these tasks become written as the procedures of the association. Some of these procedures can be found in the by-laws, but often the by-laws do not describe all details.

Although the SOP will describe the procedures for all the normal tasks, there could also be some other documents that will help the staff and members to better understand their roles and how they function within the association. Some of those potential documents are:

- *Association membership handbook*: A manual that would be presented to new members and periodically updated that could contain association procedures, a copy of the constitution and by-laws, a listing of the services of the association, and statements of association policies, and benefits for membership.
- *Staff handbook*: Contains staff operating procedures, and pertinent employment rules and policies.
- *Parliamentary procedure manual*: A document that the association could use as a guide to running its meetings.
- Any other documents that could help association members and staff to better understand their roles within the association.

From: IFDC, KADP Association Modular Training Manual

Handout 9.3 Writing Standard Operating Procedures

Putting procedures down on paper can no longer be avoided. The process of documentation can be either a dreaded burden, or if properly planned, just another task to be completed. Unlike other forms of writing, Standard Operating Procedures are written from a technical perspective. This means they must be:

- *Clear and concise:* Standard Operating Procedures should be communicated in the fewest possible words, phrases, and paragraphs.
- *Complete:* Containing all the necessary information to perform the procedure.
- *Objective:* Containing facts, not opinions.
- *Coherent:* Showing a logical thought process and sequentially listing all steps necessary to complete the procedure.

Standard Operating Procedures can serve as benchmarks for performance reviews, training aids, or in the case of quality standards, a starting point for improvement. You will find the following tips helpful when writing Standard Operating Procedures:

General advice

- Always have a specific **reader** in mind. You should know the type of person who will be reading the procedure. When you know the level of experience of the reader, you can tailor the writing accordingly.
- Before starting to write, decide the exact **purpose** of the procedure. For instance, will the procedure serve as a detailed tool for training purposes, or as a summary to provide a periodic refresher? Once you have decided the exact purpose of the procedure, make sure everything you write contributes to that purpose.

Writing process

- **Outline:** Make an outline of the procedure prior to writing. The purpose of an outline is to establish an orderly relationship between groups of activities. An outline provides a framework for any documentation. When writing an outline:
 - Make a list of topics to be covered. The order is not important; just omit anything that you feel is inappropriate to the topic.
 - Decide on major groups. Groups may include introduction, responsibilities, safety issues, operating characteristics, background information, and summary.
 - Insert the topics under the appropriate major group.
- **Draft**
 - Write the rough draft. Keep in mind that a good procedure is rarely achieved on the first draft. Write rapidly, ignoring spelling, punctuation, and grammar. Write as you talk so you can maintain a train of thought. Write the draft with the outline in front of you to serve as a guide.
 - Revise the draft. Wait 24 hours before making revisions. Revising too soon is less effective because the writer often sees not what is on the paper, but what was meant. Examine what the sentences say, and then be willing to rewrite every part of the procedure.
 - Write the final draft. Incorporate all of the latest revisions.

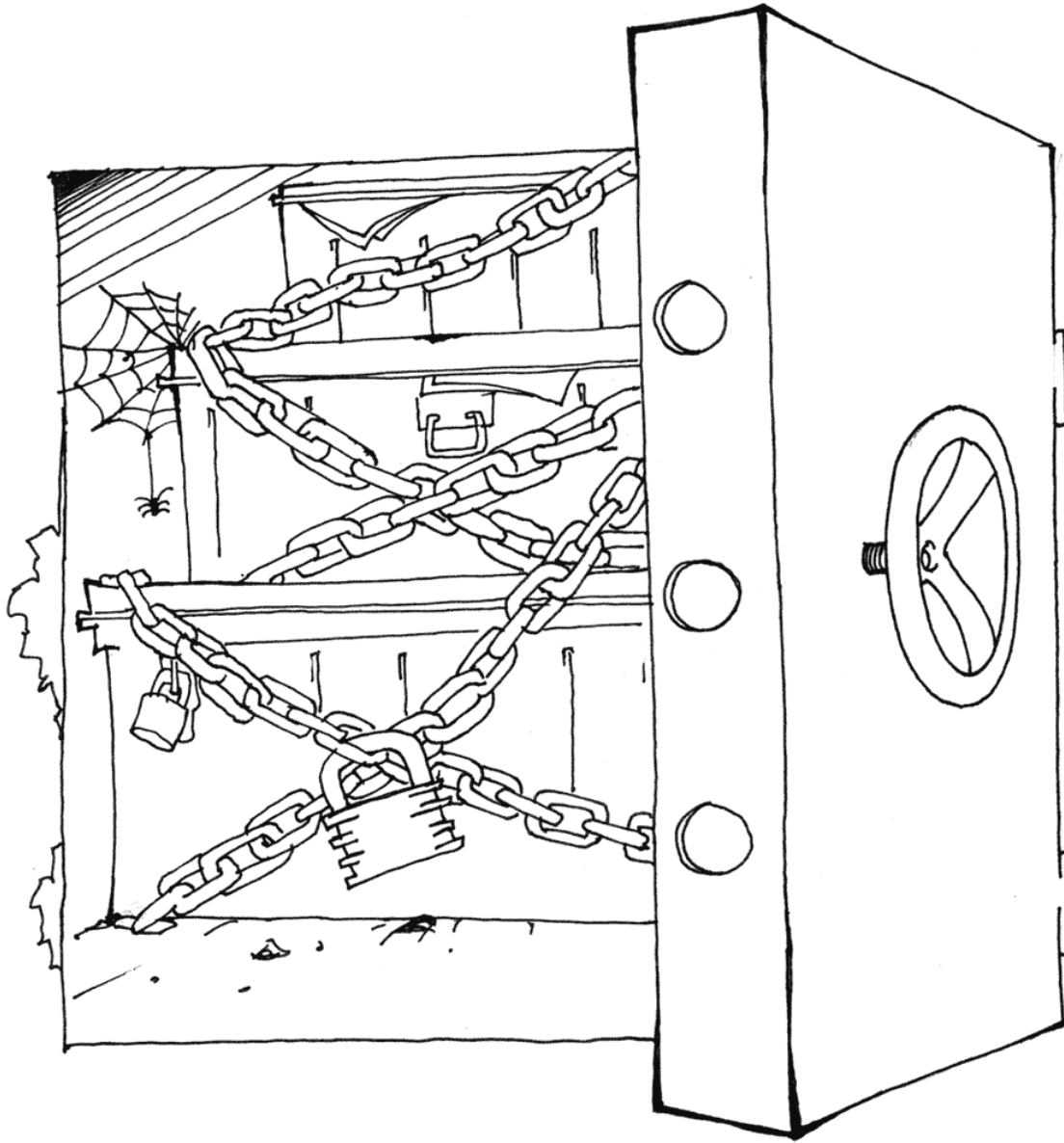
In addition to the preceding tips on writing Standard Operating Procedures, there are pitfalls to avoid, including:

- Vague, meaningless words
- Excessive words to describe an activity
- Long, complicated sentences or paragraphs
- Acronyms, abbreviations, slang, symbols, or other shortcuts of expression that are not clearly defined for the reader
- Repeating the same points too often
- Assuming conclusions are obvious to the reader
- Contradictions between procedures

Templates of bylaws and SOPs can be used to help develop an association-specific document. However, the templates should be developed carefully to ensure that the association's vision, mission, and objectives are represented. Official templates exist in some countries, which may constitute a problem, because the government may not reflect the business environment of the association. In such cases, the association may need to have an official document and a working document.

By Wayne Chaneski

10. Record Keeping



10. Record Keeping

An association will need to keep many records. The most important records concern the members and financial situation. Sound records will give the association credibility and accountability. It shows that it has nothing to hide and that it is well organized. To be able to apply for donor funds, to advocate, to build partnerships, etc. sound records are essential.

Many associations do not have their records up-to-date. Reasons for this could be that they do not get information from district branches, they do not know how to start, because they do not see the benefits of sound records, etc. However, no reason is valid enough to not have sound and correct records. This chapter will give some ideas on how to keep records on membership and finance.

The content of this chapter does not contain exercises as in previous sessions. It contains mainly theory on record keeping with example forms. One day is needed to explain the theory and the forms to a large group. In the handouts you will find an example of a program. If the group is smaller, half a day will do. The PowerPoint presentation that comes with this chapter gives a summary of the theory with a few exercises and can be used during a program on record keeping. The presentation is focused on record keeping on regional level, but can easily be modified to national level.

After the session participants:

- Are aware of importance of record keeping
- Know how to use the example forms for records on members
- Know the basics of financial record keeping and how to use the forms

Content

- 10.1 Records on membership
- 10.2 Records on dues and fees
 - 10.2.1 Records per member
 - 10.2.2 National records
- 10.3 Financial records
 - 10.3.1 Setting up financial accounts
 - 10.3.2 Expenses
 - 10.3.3 Revenues
 - 10.3.4 Bank account
 - 10.3.5 Petty cash
 - 10.3.6 Advances and reimbursements
- 10.4 Summary of important rules

Handouts

- 10.1 Registration form
- 10.2 Individual training information form
- 10.3 Individual payment form
- 10.4 Quarterly regional report

- 10.5 Petty cash advance form
- 10.6 Expense report
- 10.7 Transport claim form
- 10.8 Example program on record keeping

10.1 Records on Membership

As an association you should know how many members you have, who they are, what they do, where they are and how you can contact them. All this information can be gathered in a **registration form** (see **example 10.1**) that each member has to complete when registering as a member. Whenever there are changes, this should be communicated to the secretariat and updated in the database.

When registering a person, it is important that every member gets a **unique membership number**. This number will simplify linking information, for example payments of dues and participation in an association event. A number should be given in succeeding order. So the first member will get number 1, the next number 2, etc. To be able to link data using computer programs the number should consist of at least 4 digits, so the first member gets number 0001, the second 0002, etc. With four digits you can register 9,999 members with all different numbers (you do not use the number 0000). You can also add letters for regions or districts, for example CR-0002 for the Central Region.

In most associations an **individual, a company or a group** can register. This should be marked on the registration form. If an individual has his/her own business, personal information should be collected as well as business information. When collecting information on the business, ask for the **legal form** (one-man business, general partnership, Inc., Ltd., etc.) and the company registration number. The postal address as well as the **physical location** of the headquarters and all other shops should be stated. Besides, the name and a brief description of the **main products and services** of the business should also be provided. When completing the form, the individual should mention the **function in the company**, even if he/she is the owner (e.g. managing director, sales agent, agronomist), and the **function in the association** (e.g. member, treasurer, vice chairman). This can be at national, regional or even district level, for example treasurer of the Ashanti district branch.

Other information to be collected concerns **individual training information** (**example 10.2**). For every member it should be known what type of training programs were followed (basic course, follow up, advanced course, etc.), venue, dates and organizers. Besides, an overview of the topics discussed can be given. Of course the association needs to have records of its own organized training programs as well, but that will be kept in a different file. To link the information with the individual training program, a unique number can be given to every training program organized by the association. This same number can be used when completing the individual training information. Instead of filling in all information, it is enough to fill in the unique training number.

Another important way of collecting data is to conduct a **survey** every year to collect figures on sales, business growth and member needs. This allows the association to know the business profile of its members and better respond to their needs. But in general members are not very willing to give information on their sales because of fear that this information will become known to competitors or tax authorities. To avoid problems the survey can be done **anonymously**, for example during a General Assembly, everyone completes the survey on the spot and puts the form in a closed box, so information cannot be traced to a member.

Anonymous survey to collect data on members in Burkina Faso

Since its creation in 2004, the agro-input wholesalers and retailers association of Burkina Faso (AGRODIA) has been facing difficulties to collect commercial data on its members, because members are reluctant to disseminate confidential information. Therefore in 2007 a 2-page anonymous questionnaire was distributed at the registration of the AGRODIA general assembly. It was compulsory to complete the questionnaire before receiving the registration badge. Through eleven questions, the association collected marketing data (formal or informal sector, number of shops and employees, range of annual turnover, types of inputs sold, etc.) and on their expectations of services offered by the association (priorities among services, training needs). As the form was anonymous, all members accepted to complete it. A total of 163 questionnaires were collected, put in a database, and analyzed to define the AGRODIA membership profile and match up key services offered by the association with members' priority needs.

10.2 Records on Dues and Fees

Every member has to pay a registration fee (one time only) and annual dues. The collection of dues and fees starts with sound records. At any moment the association should be able to show these records with the total payment of dues and fees so far as well as the arrears to date.

If it is a national association, the recording of dues and fees can be done at the national level as well as the local level. If members do not pay their dues at the national level, but at the regional (or district, state, provincial) level, then the recording of the payment should be done the appropriate location approved by the Executive Council.

The recording of dues and fees is done in two ways:

1. Per member
2. For the whole association

Of course records can also be kept per region (or district, state, province).

10.2.1 Records per Member

As we saw in the previous section, every member has his/her own registration form. To record all payments per member, individual payment forms (**example 10.3**) can be attached to the registration form. Every payment done by members is recorded on their individual payment form.

In general every member starts with the payment of the registration fee. So the first payments are recorded as registration fee. As soon as the total amount of the registration fee is paid, the payments are recorded as annual dues. Every time a payment is made, the date, the amount that was still due, the amount that was paid and the balance is noted.

The following example can be given:

Association X has a registration fee of 50 dollars and annual dues of 100 dollars. Mr. Diarra becomes a member on October 7th, 2007. On that day he pays 30 dollars. Two

days later, on October 9th he pays 40 dollars. On October 27th he pays another 10 dollars. This will be recorded as follows:

Payment of registration fees

Date	Amount due	Amount paid	Balance to be paid
7 Oct 2007	50 USD	30 USD	20 USD
9 Oct 2007	20 USD	20 USD	0 USD

Payment of annual dues

Date	Amount due	Amount paid	Balance to be paid
9 Oct 2007	100 USD	20 USD	80 USD
27 Oct 2007	80 USD	10 USD	70 USD

The first 30 USD that is paid, is noted as part payment of the registration fee, which means there is still 20 USD (50 minus 30) left to be paid (this is the balance to be paid at Oct 7 and is transferred as amount due on Oct 9). The second payment (40 USD) is partly used to cover the rest of the registration fee (20 USD) and to pay part of the annual dues (also 20 USD). After this payment the registration fee is completely settled (the balance to be paid is 0) and the balance for the annual dues is 80 USD (100 minus 20). The balance to be paid after the payment of 10 USD on October 27th is 70 USD (80 minus 10 USD).

At the beginning of every year the annual dues have to be paid again. It might be possible that some balance is left from the previous year. It shows in the following example.

Mr. Diarra pays 50 USD at December 14th, 2007. On January 17th, 2008 he pays an amount of 90 USD. This will be recorded as follows:

Payment of annual dues

Date	Amount due	Amount paid	Balance to be paid
9 Oct 2007	100 USD	20 USD	80 USD
27 Oct 2007	80 USD	10 USD	70 USD
14 Dec 2007	70 USD	50 USD	20 USD
1 Jan 2008	120 USD	0 USD	120 USD
17 Jan 2008	120 USD	90 USD	30 USD

The balance to be paid on October 27th was 70 USD. This is transferred as amount due on December 14th as 70 USD. After payment on that day of 50 USD the balance is 20 USD (70 minus 50). Now on January 1st 2008 the balance of 2007 (20 USD) is added to the annual fee for 2008 (100 USD) making a total of 120 USD. This is the amount due at January 1st, 2008. At that day no payment was made, so the balance remains 120 USD. On January 17th 2008 a payment of 90 USD is made, making the balance 30 USD (120 minus 90).

10.2.2 National Records

For national associations, individual records are the basis of the national records on dues and fees. If all dues and fees are collected at the national level the individual records just

need to be consolidated. At the end of the month, quarter or year all payments and balances can be added up to know how much was paid in total and how much is still in arrears.

If dues and fees are collected at regional (or district, state, province) level the consolidation needs an additional phase, because all records have to come from different regions. For the consolidation the quarterly (regional) report (**example 10.4**) can be used. On this form the regional office will only record the total payments per person during that period, so not the details of the payments.

This is shown in the following example of Mr. Diarra for the period October – December 2007:

Name	Registration number	Registration date	Amount paid during quarter	
			Registration fees	Annual dues
Mr. Diarra	0035	7 Oct 2007	50 USD	80 USD

Mr. Diarra paid on October 7th 30 USD that was noted as registration fee. On October 9th he paid 40 USD of which 20 USD was entered as registration fee and 20 USD as annual dues. So in total he paid 50 USD registration fee (30 + 20 USD) during the period October to December 2007. On October 27th he paid 10 USD and on December 14th 50 USD. So in total he paid 20 (from October 9th) + 10 + 50 = 80 USD as annual dues.

With this system the national office does not have the details of payment per member, but only the overview per quarter. The details per member are known at the regional (or district, state, province) level that is in charge of collecting the fees and dues.

10.3 Financial Records

Financial records consist of the expenses and revenues of your association. The summary of all your expenses and revenues and the difference between the two is called the balance. It is best to do your bookkeeping at the computer, using Excel Microsoft software or a bookkeeping system. The advantage is that calculations will be done automatically and information is easy to link or to extract. However, some associations do not have the equipment for a computerized bookkeeping system. In this chapter we will only discuss manual bookkeeping, but the principles are the same as for computerized bookkeeping.

The following rules apply for both regional/district/province/state levels and national level. Most of the financial recording is done by the staff, under the supervision of the Treasurer. The Treasurer is accountable for the financial records.

The main principle of bookkeeping is very simple: **Keep a trace of everything**. Do not just collect receipts and put them in a shoebox; when doing the bookkeeping of an

association, the records should be updated at least once a week. Better is to record the payment the moment it is done. At the end of the month and prior to every Executive Council meeting, the accounts should be consolidated.

10.3.1 Setting up Financial Accounts

When setting up your financial records, the following steps should be taken:

1. Buy **5 files** for the following information:
 - a. Receipts for expenses
 - b. Receipts for revenues
 - c. Bank statements
 - d. Outstanding and justified advances (well separated)
 - e. Invoices
2. Buy **3 ledgers for:**
 - a. Payments
 - b. Revenues
 - c. Petty cash

3. Make **columns** in the ledgers.

The following should be used for the **ledgers for payments and revenues:**

- a. Receipt number
- b. Category (see under point 7)
- c. Date
- d. Amount
- e. Description
- f. Receiver (in case of a payment) or payer (in case of a revenue)
- g. Mode of payment (cash, by cheque, bank transfer)
- h. Cheque number (if a payment was done by cheque)
- i. Only for revenues: if the payment was done by cheque, state if the cheque was deposited into the bank of cashed

For the **ledger of petty cash**, you make seven columns:

- a. Date
 - b. Receipt number
 - c. Category
 - d. Description
 - e. In (income or revenues)
 - f. Out (expenses)
 - g. Balance
4. Buy **voucher books**, to issue your own receipts if no official receipts are provided when purchasing a good or service.
 5. Prepare **official receipts of the association** that can be used when receiving money.
 6. Always **collect receipts** and give every receipt a **unique number**. You can use E08-0003. The 08 means year 2008, and the 0003 is the number in sequence of date. To

distinguish between expenditures and revenues, add an E for expenditures and a R for revenues.

7. Make **categories** for expenses and revenues, and give each category a number. For **expenses** you can use the following categories:
 - a. Number E01: Annual General Assembly
 - b. Number E02: Council meetings
 - c. Number E03: Committee meetings
 - d. Number E04: Stationeries and office equipment
 - e. Number E05: Utilities (water, electricity, telephone, internet, bank charges)
 - f. Number E06: Transport of staff
 - g. Number E07: Participation in programs, meetings with partners
 - h. Number E08: Public relation material (brochures, newsletter, business cards)
 - i. Number E09: Educational programs (organized by the association)
 - j. Number E10: Other programs (organized by the association)
 - k. Number E11: Miscellaneous

If your association has specific regular activities, such as a yearly trade fair, advocacy, etc, you can add separate categories.

For **revenues** you can make the following categories:

 - a. Number R01: Registration fees
 - b. Number R02: Annual dues
 - c. Number R03: Participation fees (for training programs, study tours, etc)
 - d. Number R04: Selling of merchandise (t-shirts, caps, pens, etc)
 - e. Number R05: Sponsorship and donations
 - f. Number R06: Interest (on bank account)
 - g. Number R07: Other revenues
8. Prepare **advance forms, expense reports and transportation forms** and make enough copies of each form.

10.3.2 Expenses

Expenses can be paid in several ways:

Way of payment	Paid out of	Trace
Cash	Petty cash	Receipt
Cheque	Bank account	Bank statement + receipt
Bank transfer	Bank account	Bank statement + receipt

When recording expenses, you have to following the following steps:

1. Give the receipt a number
2. Add on the receipt how the payment was made (cash, cheque, transfer) and add the cheque number is necessary
3. Put the receipt in file for expenses
4. Note the expenditure in the ledger for payments by completing all columns

- If the payment was made with petty cash, you should add the expenditure in the ledger for petty cash as well

If you do a payment, you **always need to collect a receipt**, even if you pay with a cheque or bank transfer. The receipt should state the name of the receiver (a person or company name), date, amount and description of the purchase. If you purchase items at the same time but use them for different programs, ask separate receipts. If no official receipt is issued (for example when taking a taxi), use your vouchers to issue your own receipt.

To be able to add information (such as the receipt number), receipts can be stapled on an **A4 sheet** before they are filed. Each receipt should be given a unique **number** and be put in the **file** with receipts for expenses. Add on the receipt **how** the payment was made: cash, by cheque (add the number of the cheque) or bank transfer. In the ledger book for expenses you complete all columns (number of receipt, date, amount, etc).

Try as much as possible to pay with **cheques or bank transfers**, because this will always leave a trace. If you pay with a cheque or bank transfer, check on your bank statement the date the money was withdrawn and add this date later to the receipt.

Be careful with invoices. **An invoice is not a receipt**. This means it is not a proof of a payment. Therefore invoices should be kept separately or stapled to the receipt. You should always collect a receipt the moment the payment is done.

Another point of attention is advances. **An advance is not an expense**. The advance becomes a payment the moment the person who took the advance justifies his/her expenses at the office. Therefore outstanding advances are put in a separate file (see [session 10.3.6](#)).

10.3.3 Revenues

Revenues can be received in several ways:

Way of receiving	Put into	Trace
Cash	Petty cash	Receipt
Cheque	1. Bank account 2. Petty cash (after being cashed)	1. Bank statement + receipt 2. Receipt
Bank transfer	Bank account	Bank statement + receipt

When recording revenues, you have to following the following steps:

- Issue a receipt: give the original to payer, keep a copy
- Give the receipt a number
- Add on the receipt how the payment was made (cash, cheque, transfer) and add the cheque number is necessary
- Put the copy of the receipt in the file for revenues
- Note the revenue in the ledger for revenues
- Deposit the money in the bank account

A cheque can be treated in two ways:

1. The money can be put in the **bank account**. This will show on the bank statement.
2. The cheque can be **cashed**. This means that the bank takes the cheque and gives you the money.

In case a cheque is cashed or a payment is done in cash, there will be no trace, unless there is a receipt. Therefore, **always issue a receipt for all revenues**, including name of the payer, date, amount and reason for payment. The association should have receipts of the association that are issued each time someone gives money to the association. The original is given to the payer; the copy stays in the office and is put in the file of **receipts of revenues**.

To avoid problems, it is important to **avoid putting cash revenues in your petty cash**. The best is **to put all cash revenues and cheques in the bank account**. This ensures a trace of the money. Write on the copy of the receipt the date the money was deposited into the bank account.

Collecting money from the bank account is not revenue. Money in the bank account is already booked as revenue, the moment it was deposited into the bank account.

10.3.4 Bank Account

Every association must open a bank account. The account can be used to receive revenues and to do payments. The main advantage of a bank account is that **it always leaves an official trace** through the **bank statement** that is issued on a regular base (weekly, monthly, etc.) or on demand.

Try as much as possible to pay with cheques or bank transfers, because the payment will show on your bank statement and you will always have a trace of the payment. Make sure you **write the cheque number on the receipt**. This is to ensure a **link** between the payment by cheque and the receipt. If this link cannot be found, there is a chance the expenses are double booked: one time from the bank statement and one time from the receipt. Often when you do a bank transfer the receipt is issued beforehand or will be sent much later. In any case: **write on the receipt that the money was paid by bank transfer** plus the date of the transfer.

Also when **payments to the association** are done by **cheque**, write on the receipt the number of the cheque. **Deposit cheques into the bank account** and do not cash the cheque. This is to ensure that you can trace the money and funds are not mixed up in the cashbox. When payments are done by **bank transfer**, write on the receipt that it concerns a transfer plus the date of the transfer.

To refill your petty cash or to organize a program or activity it is necessary to collect money from the bank account. **Collecting money from the bank account is not revenue or expenditure**. If the money is used to **refill the petty cash**, write in the ledger for petty cash that the money was collected from the bank account. When the money is collected for a program or activity, start a **separate sheet** (for example at the end of the ledger book of petty cash) for that activity and write down the amount, date, and that the money was collected from the bank account.

10.3.5 Petty Cash

Use your petty cash only for **small day-to-day payments** at the office, not for activities or payment of larger amounts. For payments with petty cash the staff does not need permission from the executives. Within your association you should have a **ceiling** for payments with petty cash, for example 25 USD per payment or 100 USD per month. This means that all payments above 25 USD or expenses of more than 100 USD per month need to have approval of the executives.

To keep track of the amount in petty cash, you use a **ledger for petty cash** in which all expenses and revenues are noted. An example with entries of a ledger book could be:

Date	Receipt number	Description	In	Out	Balance
31 Jan 2007	-	-	-	-	28 USD
1 Feb 2007	-	Money collected from bank account	50 USD	-	78 USD
2 Feb 2007	E07-0015	Buying of notebooks	-	12 USD	66 USD
3 Feb 2007	R07-0007	Annual dues Mr. X	50 USD	-	116 USD
6 Feb 2007	E07-0016	Taxi to meeting with Mr. Y	-	2 USD	114 USD

This means that all cash revenues and expenditures paid out or in the petty cash are recorded **twice**:

1. In the ledger of petty cash
2. In the ledger of expenditures or revenues

Because in the ledger of expenditures and revenues it is recorded how the payment is done (cash, by cheque or bank transfer) there is a clear **link** between the ledger of petty cash and the ledger of expenditures and revenues. Every week the petty cash should be checked to see if the balance indicated in the ledger is the same as the money in the cashbox.

The **refill** of your petty cash can be done monthly or bi-monthly. For example every month 50 USD can be collected from the bank. To avoid that the petty cash will be too much in case no expenses were made, you can have a ceiling for your petty cash. For example if the petty cash at the end of the month is higher than 75 USD, the petty cash will not be refilled. When money is collected from the bank note it in the ledger for petty cash. **A refill is not revenue. Therefore this is the only entry in the ledger for petty cash without a receipt number.**

When collecting money from the bank account for a **program or activity**, this money should not be put in the petty cash, but should be kept **separately** to avoid mixing up of funds. Also the accounts of the program should be noted separately (for example at the end of the ledger book for petty cash on a separate sheet). At the end of the program, the

balance should be deposit into the bank account. **Depositing this balance into the bank account is not revenue.**

The main disadvantage of petty cash is that it does not leave an official trace. Because expenditures paid out of petty cash are mainly small, they are often forgotten which can result in a balance that is not the same as in the books. To keep track of your petty cash, the following rules should be observed:

1. **Always collected a receipt**, even for small expenditures.
2. **Add cash revenues not to petty cash**, but deposit it into the bank account.
3. **Keep money for programs or activities separately from the petty cash.** In most cases you will cash money from the bank account to be used for a program or activity. At the end of the activity the balance should be deposited back into the bank account.

10.3.6 Advances and Reimbursements

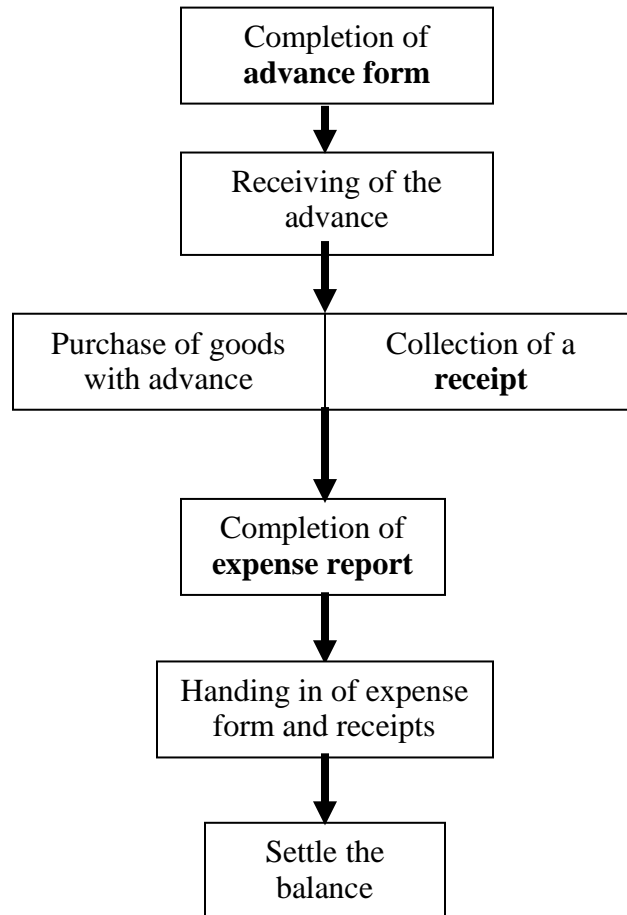
As already stated, **an advance is not an expense.** When a person takes an advance, he/she will purchase a good or service with the advance and justifies the expenses afterwards. To avoid problems, for example about the amount of the advance or the payment that was done, the association can use special forms for advances. An example of a Standard Operating Procedure on advances and reimbursements can be found in **chapter 9 as example 9.1.**

The following steps should be taken when issuing an advance:

1. The person completes an **advance form (example 10.5)** in which is stated the amount, date, name and reason for advance. The original stays at the office (to be put in the file of outstanding advances). The person taking the advance will receive a copy.
2. The advance is **paid** to the person.
3. The person **buys goods or services** using the advance.
4. He/she collects a **receipt**.
5. He/she completes the **expense report (example 10.6)**, stating how much was spent, dates and description of the purchase.
6. The completed expense form with all receipts attached is **handed in** at the association office.
7. The balance is settled. If the person has **spent more**, the difference will be paid to the person. If the person has **spent less**, he/she has to return the rest of the monies.
8. Give the **expense form** a unique **number** and attach it to the advance form. Move both forms in the file from 'outstanding advance' to '**justified advances**'.
9. Give all **receipts** a unique number and write on every receipt 'justified advance' and the number of the expense form. Make copies of all receipts. Put the **original** receipts in the file with receipts of expenses and attach the **copies** to the expense report.

The advance becomes a payment the moment the person who took the advance justifies the expenses at the office.

For the person who takes the advance, the steps can be shown as follows:



If the person does not justify the advance taken, the advance will be booked as a **debt** to the association at the annual balance.

To avoid problems with **overspending**, it can be agreed that the person has to contact the secretariat if the amount is higher than the agreed amount, before doing the actual purchase.

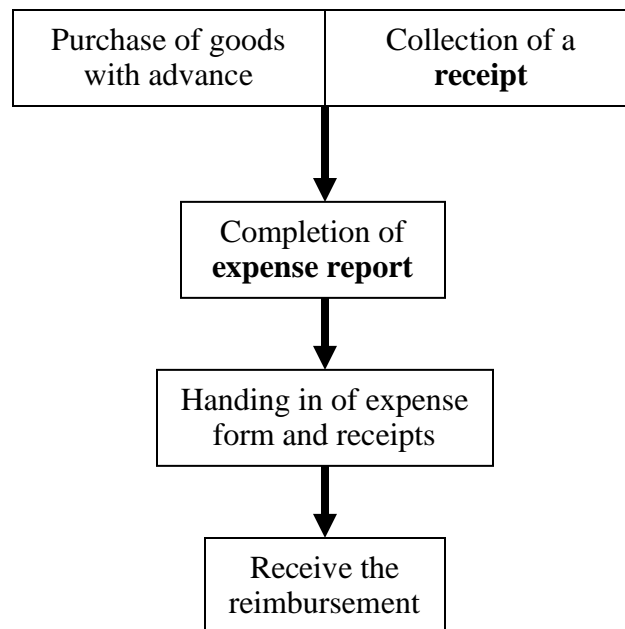
It is necessary to be **strict on receipts** of all expenses. The general rule should be: no receipt, no justification, which means a debt to the association. Especially in the beginning people will complain that receipts are not always issued. Remind members that they can issue their own receipt that can be signed by the person selling the good or service to them. For expenses on transportation, they can use the **transport claim form (example 10.7)**, although most taxis do issue receipts upon request and bus tickets are valid as receipts.

The expense report and transportation form can also be used for **reimbursements**. A reimbursement is a payment done by a member without taking an advance. The steps are as follows:

1. The person who did the purchase has to complete an **expense report (example 10.6)**.
2. The **receipts** should be attached to the expense report and handed in at the office;

3. The person is **reimbursed**.
4. Give the **expense report** a unique **number** and put it in the file with receipts of expenses (separate from the receipts).
5. Give all **receipts** a unique **number**, add the word 'reimbursement' and the number of the expense report.
6. Put the receipts in the file of **receipts of expenses**.

For the person who would like to be reimbursed, the steps are as follows:



To avoid problems, reimbursements are only done when the purchase was **approved** in advance by a written approval. This should be written in your Standard Operating Procedures.

10.4 Summary of Important Rules

A summary of important rules of bookkeeping:

1. Always collect a **receipt** for every **expenditure**.
2. Always issue a **receipt** for every **revenue**.
3. **Give every receipt a unique number**: write this on the receipt.
4. Pay as much as possible with **cheques**: cheques always leave a trace
5. **Deposit cash revenues in the bank account**, do not add it to the petty cash
6. **Avoid cashing cheques**, deposit the money into the bank account
7. Keep money for **programs or activities** separate from the petty cash, and deposit the balance at the end of the program into the bank account.
8. When paying with a **cheque** or receiving a cheque, write the **number** of the cheque on the receipt.

9. When paying or receiving money by **bank transfer**, write on the receipt it concerns a bank transfer plus the date of the transfer.

And keep in mind the following:

- An **invoice** is not a receipt. When doing the payment, collect a receipt.
- An **advance** is not an expense. It becomes an expense the moment the advance is justified.
- **Collecting money from the bank account** is not revenue or an expense. It becomes an expense the moment a payment is done.
- **Refilling the petty cash** is not revenue.

Handout 10.1 Registration Form

Registration number _____

Region: _____

Registration date: _____

Who registers?

Physical person	Yes			No	
Company	Yes			No	

Company Information

Name of the company	
Legal form	
Street	
Area	
PO Box	
City	
Region	
Telephone	
Fax	
E - mail	
Company registration nr	
Creation date	
Name of director	

Nr of employees	
------------------------	--

What does the company sell?	Details
Seeds	
Crop protection products	
Fertilizer	
Equipment	
What are the main activities?	

If registration concerns a physical person, please complete the section below:

Name	
First name	<input type="checkbox"/> Female <input type="checkbox"/> Male
Date and place of birth	
Nationality	
Fixed phone nr	
Mobile phone nr	
E-mail	
Function in company	

Function in association	
Experience in agricultural sector	

Signature of applicant: _____

Handout 10.2 Individual Training Information Form

Name, first name: _____

Registration number:

Training 1	
Type	
Venue	
Date	
Organizer(s)	
Topics	
Training 2	
Type	
Venue	
Date	
Organizer(s)	
Topics	
Training 3	
Type	
Venue	
Date	
Organizer(s)	
Topics	

Handout 10.3 Individual Payment Form

Name, first name: _____

Registration date: _____

Registration number:

Payments of registration fees

Date	Payment due (1)	Amount paid (2)	Balance (3)

Handout 10.6 Expense Report

NAME: _____

DATE	DESCRIPTION	AMOUNT

TOTAL EXPENSES

SIGNATURE: _____ **APPROVED BY:** _____

Handout 10.7 Transport Claim Form

NAME: _____

DATE	FROM	TO	AMOUNT	REMARKS

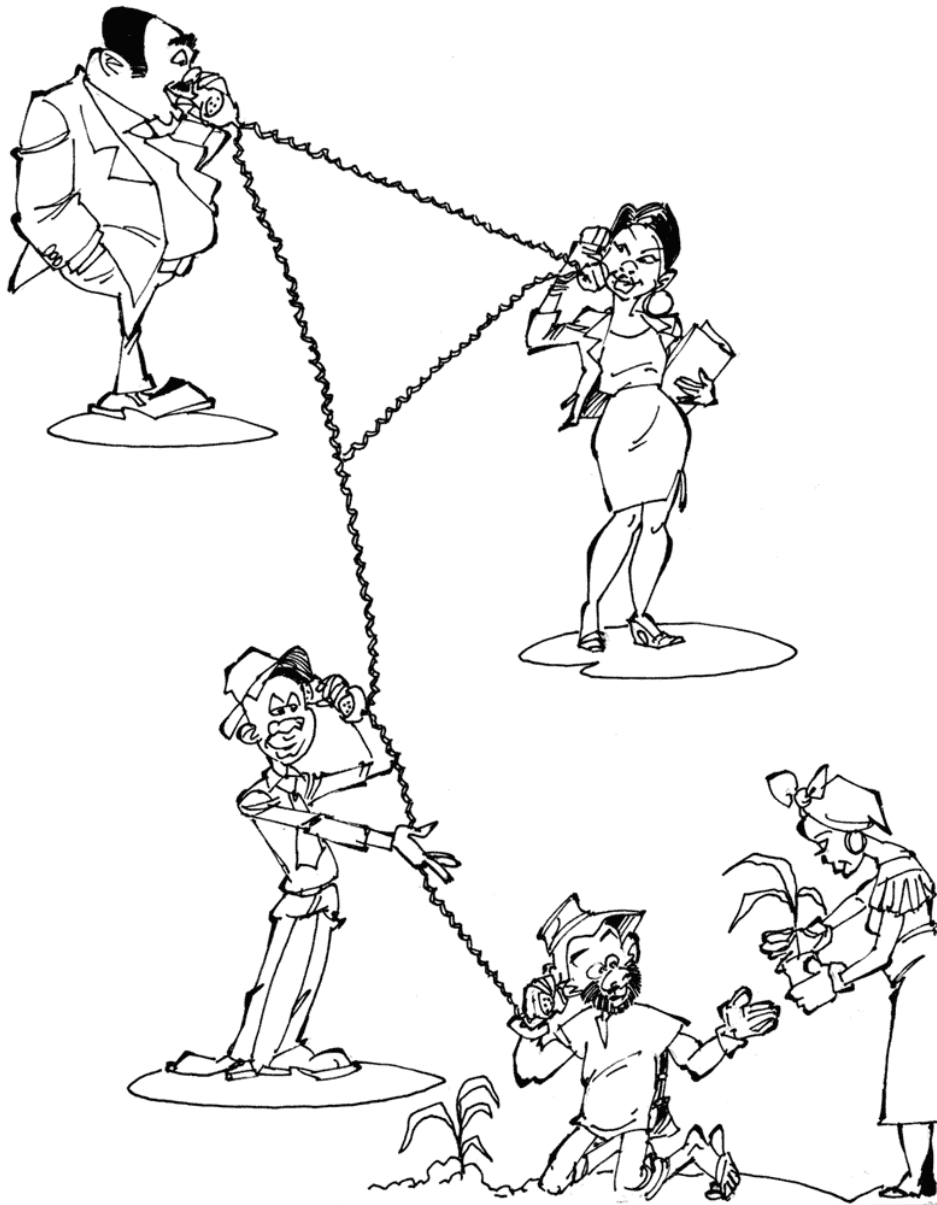
TOTAL EXPENSES

SIGNATURE: _____ APPROVED BY: _____

Handout 10.8 Example Program

Time	Session	Slides
08:30 – 09:00	Introduction of participants	
09:00 – 09:15	Program and objectives	1-3
09:15 – 09:45	Why record keeping	4-9
09:45 – 10:30	Framework for record keeping on membership	10-19
10:30 – 11:00	<i>Coffee break</i>	
11:00 – 11:30	Framework for record keeping on membership (continuation)	
11:30 – 12:30	Framework for financial records	20-31
12:30 – 13:30	<i>Lunch</i>	
13:30 – 15:00	Framework for financial records (continuation)	
15:00 – 16:00	Advances and reimbursements	32-42
16:00 – 16:30	<i>Coffee break</i>	
16:30 – 16:45	Quarterly reporting	43-46
16:45 – 17:30	Questions and summary of the day	

11. Internal Communication



11. Internal Communication

As an association you exist because of your members. That means they have the right to know what is going on. Therefore your association needs to create an internal communication system to ensure the communication between the management staff and the executives, between the executives and the other members, between the other members and the staff, and among members and executives.

During this session participants will look at their internal communication system and will discuss how it can be improved.

After the session participants:

- Have examined their internal communication system and identified constraints
- Have discussed possible solutions to improve the internal communication system

Content exercises (total time 3 hours and 15 minutes)

11.1 Communication lines

11.2 Identifying communication constraints

11.1 Communication Lines

Objectives: To identify the constraints in the internal communication and find solutions

Time needed: 90 minutes

Materials: Markers
Flip-sheets

Procedure:

1. Tell participants the next topic is internal communication. Ask about examples of internal communication (between who and who?). Possible answers are:
 - a. Between staff and Executives
 - b. Between executives and other members
 - c. Between staff and other members
 - d. Among executives
 - e. Among members
2. Split the group in 5 sub-groups and give each sub-group a communication line as identified under 1. Ask each group to write down what type of information needs to be communicated for every communication line.
3. Discuss the results. They can be as follow:
 - a. **Between staff and executives:** to plan activities and meetings, to update on a weekly base on activities conducted (emphasize that the Executive Manager is the head of all staff, so communication will go via him/her).
 - b. **Between executives and other members:** if executives are representing members according to region, commodity or any other grouping, there will be a lot of communication on up coming activities and meetings, important decisions that were taken and discussions on matters concerning that specific group.
 - c. **Between staff and other members:** distribution of minutes and reports, distribution of plans and budget, announcement of up coming activities and meetings, important decisions, useful technical information.
 - d. **Among executives:** exchange of ideas, to discuss decisions to take.
 - e. **Among members:** exchange of ideas.
4. Now ask each group to write down how this information can be communicated. Discuss the results:
 - a. **Between staff and Executives:** mainly between Executive Manager and Chairman weekly via telephone or face-to-face, e-mail.
 - b. **Between executives and other members:** face-to-face during meetings and activities, via coordinators or regional representatives, written messages (e-mails, letters, newsletter, etc.).
 - c. **Between staff and other members:** face-to-face during meetings and activities, via coordinators or regional representatives, written messages (e-mails, letters, newsletter, etc.).
 - d. **Among executives:** face to face during meetings or activities, e-mail, telephone.
 - e. **Among members:** face to face during meetings or activities, e-mail, telephone.

11.2 Identifying Communication Constraints

Objectives: To identify the constraints in the internal communication and find solutions

Time needed: 90 minutes

Materials: Markers
Flip-sheets

Procedure:

1. Split participants into groups according to their association. If all participants belong to one association, split them into sub-groups of 5-6 participants.
2. Every group has to draw the organizational structure of their association (organogram). In the organogram they should clearly mark the **lines of internal communication**.
3. Now the group should identify **constraints** in the communication network. Where does the information not flow well? What is the reason for that? Is it depending on one person or on the link between persons?
4. Let the groups summarize the problems in three main constraints.
 - **Lack of finance, time or personnel is not a constraint.** Even if money was given to the association, the communication structure would probably still be weak. Besides, when executive members stood for elections, they knew that they had to sacrifice time. Also personnel will not solve the problem because it is not feasible that a staff member would personally deliver letters to every member.
 - **Distance and a weak telephone network** cannot be solved by the association. Therefore the association must deal with these problems and find creative solutions.
5. Now let the groups discuss possible solutions for the constraints. Discuss the results in plenary using a table to list the constraints and solutions. Possible solutions might be:
 - **Incentives** to market or regional chairmen to handle letters well, for example paying them a small fee, giving t-shirts or caps, sending them to training programs, involve them in decision making and activities, etc.
 - Agreement with **transport union** to deliver letters to markets.
 - Use **events**, workshops, meetings, etc to pass letters and messages.
 - Use **individuals** or suppliers to carry letters. Even if members live in a remote area they will come to the state capital once and a while. The association should be informed on these visits so they can contact that person. Suppliers will deliver inputs to their clients. They can take along letters.
 - Find **cheap** means of communication: this might be different for each association.
 - Everyone should be aware of his/her **responsibility** and the **importance** of a well functioning communication network. Put it on the agenda of meetings and discuss.

PHASE III

BUILDING SUSTAINABILITY

Sessions:

- 12. Financial sustainability**
- 13. FACE: Financial benefits**
- 14. FACE: Advocacy**
- 15. FACE: Communication**
- 16. FACE: Education**
- 17. The planning process**



12. Financial Sustainability



12. Financial Sustainability

In most cases fees and dues form the main source of income for an association, while that is rarely enough to cover the operational costs of the organization. In this session participants will brainstorm on ways of generating income for their organization and on fees for several services.

After the session participants:

- Know the costs of implementing activities
- Have identified ways to generate revenues for their association
- Have planned activities to generate different types of revenues
- Prepared a proposal for fees for services

Content exercises (total time 4 hours)

12.1 Costs of activities (30 minutes)

12.2 Revenues of the association

12.2.1 Generating revenues (60 minutes)

12.2.2 Group work on generating revenues (90 minutes)

12.3 Fees for services (30 minutes)

12.4 Marketing services (30 minutes)

Handouts:

12.1 Financing the organization

12.2 Generating revenues for the association

12.3 Scoring sheet

12.4 Group work: generating revenues

12.5 Group work: fees for services

12.1 Costs of Activities

Objectives: To get an idea of the costs of activities

Time needed: 30 minutes

Materials: Markers
Flip-sheets

Procedure:

1. Try to list with the group activities that the association would like to implement or is already implementing. Examples:
 - a. Training workshop of one week for 50 participants
 - b. Study tour within the country for 15 persons
 - c. Study tour abroad for 15 persons
 - d. Stakeholders workshop of one day for 50 participants
 - e. Membership drive throughout the country
 - f. Printing of a newsletter
 - g. Advocacy activities
 - h. Contacts with partners
 - i. Facilitate access to credit
2. Estimate for each activity how much it would cost. There is no need to have lengthy discussions on the exact costs. It is just to give participants an idea how costly some activities are.
3. Ask what would be possible ways to finance this as introduction to the exercise on generating revenues. Mention at least participatory fees.

12.2 Revenues of the Association

Every association needs funds to operate the association. However, finance is often a weak point in an association. In this session we will examine income generating activities of an association.

12.2.1 Generating Revenues

Objectives: To brainstorm of ways to generate revenues for an association

Time needed: 60 minutes

Material: Flip-sheets
Markers
Colored cards
Board to paste the cards

Procedure:

1. Ask participants which ways to generate revenues they know. Write down each suggestion on a separate card and try to be as specific as possible. For example if members pay membership fees and pay registration fees, they should write each on a separate card.

Note: It is also possible to split the group into two groups and let each group brainstorm. Then give each group the cards with the categories and let them regroup the ideas that were generated. Discuss the results in plenary.

2. Try to group the cards. Possible groups are:
 - a. **Members contributions:** registration fees, annual dues, fines, levies.
 - b. **Services to members:** assisting members in accessing credit or funds, or finding markets, registration of business, certification, membership cards, framed certificates after training programs.
 - c. **Participatory fees:** to attend workshops, training programs, other events abroad, study tours, special meetings.
 - d. **Services to outsiders:** to give a lecture, to function as a resource person or to give advice, to organize and guide groups (study tours), affiliate membership.
 - e. **Promotion activities:** trade fairs, selling merchandize, sponsorship dinners, membership directory, store logos.
 - f. **Advertisement fees:** during events, in brochures, publications or newsletter, website, on banners, stands.
 - g. **Selling information:** to members, to outsiders, selling the constitution.
 - h. **Shared discount:** for insurance, transport, etc.
 - i. **Sponsorship:** for specific projects such as training courses or study tours.
 - j. **Donations:** from donors or individuals.
3. Extra explanation on fees for services for members and participatory fees. Dues and fees are not used to organize services, they are used to operate the association. In

general an association does not give the same service to every member. For example when organizing a training program, only a limited number of members can participate. Or not every member will apply for credit. Therefore every time a member makes use of a service, he/she has to pay for it.

4. Ask participants what the association is already doing and how much is collected. Is it easy to collect the fees? Ask them if they think there is room for improvement. Which of the ideas listed are internal (for members) and which are external (for outsiders)? Which are easy to collect, which are difficult?
5. Give participants **handout 12.2**.

12.2.2 Group Work on Generating Revenues

Objectives: To brainstorm on how to take action to generate revenues

Time needed: 90 minutes

Material: Flip-sheets

Markers

Handout 12.3 Scoring sheet

Handout 12.4 Group work on generating revenues

Procedure:

1. Ask participants to look at the list again and to rank which activities could be a new or improved source of income. If for example at this moment no fees and dues are collected, they can mention that as first point to be improved. If they think that their association should start with selling information, they should rank that first.

Note: If the group is big or is dominated by a few participants, you can also use the ranking form (**handout 12.3**) for this exercise. Hand out the ranking forms and ask each participant to fill in the ranking. Collect all papers and write down the results. The activity with most points is the less important.

2. Discuss the result shortly and explain that in the next exercise some activities will be discussed in detail.
3. Divide the group into three or four sub-groups (each group 4-5 participants). Give each group a different income generating activity that came out as most important. Give each group **handout 12.4**.
4. Each group has 60 minutes to answer the following questions. They have to be as specific as possible (especially in the action to be taken).

If it concerns an activity that has to be improved:

- What are the problems at this moment?
- What actions have to be undertaken to improve the situation?
- Who will be responsible for these actions?

- What resources are needed per action?
- Propose a timeframe for all actions.
- How much do you think your association can generate with this activity per year?

If it concerns a new activity:

- What actions have to be undertaken to start this activity?
- What problems are expected and how can they be overcome?
- Who will be responsible for these actions?
- What resources are needed per action?
- Propose a timeframe for all actions.
- How much do you think your association can generate with this activity per year?

5. Each group has to present the results. Try to discuss every result into detail. Do they think these plans are realistic?

Think about the following:

- **Dues and fees:**
 - Make sure that your products (FACE) bring value to your members.
 - Prepare proper financial records: your association needs to know at any time who has paid what and who is in arrears.
 - Put payment of dues and fees on every agenda in every meeting.
 - Inform members about the financial situation of the association and inform on how the money will be spent: members are more willing to pay if they know how the money is used.
 - Send reminding letters to defaulters.
 - Introduce incentives for early payment (for example: 10% discount for those who pay in January or February).
 - Do not allow members to participate in activities, including standing for elections, if they did not pay their dues: **no payment means no access!**
 - Collect dues at activities, for example during training programs, regional meetings or the General Assembly, again the rule *no payment means no access* stands.
 - Form a task force to collect dues and fees.
 - Give feedback on payments to all members: list defaulters and announce their names during meetings or the General Assembly. Give defaulters the chance to pay on the spot.
- **Collect fees for services to members** (including participatory fees):
 - List services that the association is providing for its members.
 - Discuss the list at the General Assembly and agree on the fees.
 - Mandate a person (for example a regional representative) to collect fees if necessary.
 - Introduce penalties (exclusion of activities).
 - Give feedback to members on how much was collected and how the monies were used.
- **Find sponsorship for activities:**
 - Identity possible sponsors when organizing an activity.

- Prepare a proposal and a budget including the contribution of the association.
- Present the proposal plus the budget to the sponsor and show clearly the financial contribution of the association.
- Write a report plus an overview of all expenses after the activity and dispatch it to members
- Give feedback to all sponsors (report and overview of expenses) and write a note of thanks.

12.3 Fees for Services

Objectives: To brainstorm on how much to collect on fees for different services

Time needed: 30 minutes

Material: Flip-sheets

Markers

Handout 12.5 group work on collecting fees for services

Procedure:

1. Tell participants that we are going to look at one source of revenues a bit closer, namely the collection of fees for services.
2. Split the group into two of three sub-groups and give each group **handout 12.5**. Tell each group they are going to discuss how much the association can collect for each service. They can add services if they want to.
3. Discuss the results in plenary and try to reach consensus. This list should be discussed during the (next) Executive Council meeting and approved at the next General Assembly.

12.4 Marketing Services

Objectives: To brainstorm on how the association can market its services

Time needed: 30 minutes

Material: Flip-sheets
Markers

Procedure:

1. Tell participants that the services of the association are as the product of a company. To be able to sell the services, the association has to market them. Ask how the association can market their services.
2. Mention the 4 marketing P's:
 - **Products:** what services can you offer to your members? What do members want, what is their need, what do competitors (other associations, training institutes, NGOs, governmental services) offer? What is feasible within your association (availability of manpower, technical knowledge, financial resources, etc)?
 - **Price:** how much to charge for the service? Is it better to charge a fixed price or a variable price (for example a percentage of the amount involved when facilitating access to credit)? When the price is too high, not many members will use the service. But when the price is too low, it will not generate income for the association.
 - **Place:** where do you offer the service? If members always have to travel to the national office to use the service, it might not attract many members. When offering service such as assistance in business plan writing, bookkeeping, certification or licensing, a staff member can travel to the region to provide the service. Training programs, meetings and other events can also be organized in the regions.
 - **Promotion:** how to inform your members about the services you offer? Advertisement: in the newsletter of the association, mouth-to-mouth during events or meetings, special brochure, etc.
3. Add that a special way to promote services is to introduce a **frequent user's program**. A frequent user's program is a reward system for members who actively use the services that the association provides. Every time a member uses a fee-for-service they receive user points in their user program account. For example, when following a training program, a member earns 10 points; for paying the annual dues for the full year at the start of the year, a member can earn 30 points, etc. During the General Assembly, members receive a document stating how many points they have accumulated over the year. The member who has accumulated most points during the year receives an award. The points can then be used to receive discounts for fee-for-service programs. For example 10 points equals 1 USD.

Handout 12.1 Financing the Association

Once a strong need for a new association has been identified, and the organizational model has been determined, finance for the new association must be considered. Serious thought must be given to this concern. That probably seems like a statement of the obvious, but more than a few associations have gone forward without fully resolving this question, only to find themselves floundering a year or two later, when income could not cover expenses of office operations and the provision of member services.

The dues structure should meet the growth demands of the association, generate adequate income, be equitable, and lead to accuracy in reporting. It should also be easy to administer.

Fee structure considerations

When an association is being established it is necessary that the Executive Council examines all types of dues structures in an attempt to determine the one which best suits the needs of both the members and the association. Members cannot be asked to accept a dues structure that exceeds their ability to pay. This is especially true if the dues rate exceeds the perceived value of the services that the member receives from his/her association. Conversely, the association cannot exist and function with a dues structure that does not cover the costs of performing its services to its members.

So it is logical that when a dues structure is being constructed, several factors be considered to ascertain association costs, make the rate equitable for all and to provide the services that the membership demands. Those factors include:

- *Basic association costs:* An association has some basic costs associated with having a member play its roles. The association staff, office and related facilities all are available to each member and each member should participate in those expenses.
- *Basic membership services:* The association may provide basic services available to all members such as a newsletter, policy advocacy and member interaction. These are services that conform to the basic purpose of the association and are generally considered to be demanded by all members as a basic service of the association.
- *Additional membership services:* Since members join associations for various reasons, their demands of services provided by the association will vary as well. Some members may only need the basic services while others will demand many services at a greater cost to the association. Additionally, a member may have a need for many services from the association one-year but in subsequent years may only need basic services.
- *Members perceived value of the association:* A potential member cannot be expected to commit to membership of an association if he/she does not believe that the value of membership is worth the price of membership.
- *Members' ability to pay:* Since associations are open to all who have an interest in the purpose, some members will have businesses that are small and others will be large. Although both the small and large members will be using the same basic services, the larger member may be able to profit from the association's activities in a proportionally larger way.

It is important to note that most associations provide two different kinds of products or services. There are products and services that directly benefit those members (or non-members) who purchase them, such as training programs, study tours, facilitation of credit, assistance in registration or licensing, etc. Then there are activities the association engages in to benefit the trade, field, or profession as a whole. Examples include working for more government funding, favorable tax rulings, reductions in regulation, or greater public awareness.

The latter services are often the reason the association was formed in the first place, and to some extent dues and profits from other direct services will subsidize them. It is also a fact of life that non-members who give no support to the association will benefit equally with members through the successful provision of these services. This is one reason why it should be considered a responsibility of all association members, executive and staff to always be on the lookout for new potential members who may be indirectly benefiting from the association's activities and attempt to encourage their enrolment.

Methods of generating fees

Once the Executive Council has considered the variables connected with establishing a fee structure, it must then use one or a combination of several methods of financing its operation. The most common methods include:

- *Registration fee:* In cases where there are extra costs or services tied to the enrolment of a new member, this type of fee may be used. This should be carefully considered since this fee could be a detriment to the recruitment of new members. The advantage of this fee would be that it would help prevent members from letting their membership lapse one year and then reinstating the following year.
- *Fixed annual dues structure:* All the members pay the same amount of dues. This system works in situations where the members are more uniform in size, ability to pay, and the association has no optional services available.
- *Variable annual dues rate:* This system works where all the members are engaged in the same type of business activity, but may have varying levels of income from their businesses. In addition, the association does not provide many optional services to its members. The dues level for each member is tied to some easily measurable and available figure such as business sales level.
- *Annual dues plus fee for services:* In an association that has many optional services, the use of those services is based on a fee for each that covers the costs of the service. To avail themselves of the services, the member must also pay the prevailing dues, either fixed or variable rate.
- *Affiliate and associate membership fees:* Individuals and businesses that are allied to the purpose of the association may wish to be a member in order to do business or to get information. These members often do not need most of the services of the association so a separate dues rate may be necessary.
- *Meeting registration fees:* Association meetings will have expenses connected to them and the costs should be recouped through attendance fees. Fees could be set high enough for the association to make a profit. This is especially true for seminars and informational meetings.
- *Fee for services to non-members:* Individuals or businesses that are not members may wish to use the association to provide them with service or information. Charging them a rate for the service that is higher than the same service for members will

provide extra income to the association and also encourage some of those using the services to become members. This method is also used for association seminars and informational meetings where non-members pay a higher registration fee.

- *Advertising fees:* Suppliers to the industry often use association events and publications to introduce their product or services to members. This is a very efficient way of advertising since the entire association membership represents potential business. Advertisements in newsletters, trade shows connected with association meetings and meeting sponsorships are all methods of collecting fees for these advertising opportunities.

Flexibility in fee structure

Flexibility is one of the most desirable characteristics in a fee generation system. In this case flexibility means that the structure or rate schedule can be fairly easily changed to adapt to the changing conditions within the association or the sector of the agricultural economy it represents. If members demand more services or inflation causes the cost of present services to rise, dues system may have to be altered to handle these changes. Perhaps it is as simple as just increasing the dues amount without actually revising the whole system.

Certain types of dues bases have much more potential for growth than others. For example, variable dues rates based on sales will generally give an association increasing dues revenue during good economic times. This will be true as long as the industry group is growing and the dues rate and the number of members do not decline. An example of a non-flexible system would be a fixed rate structure. This system works in a non-expanding economy but still does not provide for increasing revenues.

When designing and writing the dues structure, thought should be given to its ease of change. A schedule of review should be set up so that the council will periodically re-examine the rates to see if they are still viable.

Collection of fees

A fee schedule is only workable if the monies to be generated are collectable. The council should set up a system whereby fees are collected before services are rendered. Dues should be collected before any membership services are provided. A payment deadline for existing members should be set up where the member is removed from the roles or placed in an inactive status until dues are collected.

Payments for services should be collected before the service is provided or before the final product is presented. Collection of meeting registrations should be made before the meetings begin.

The dues and other fees are a responsibility of membership and the member should be made to realize that they are to be paid on time.

From: IFDC, KADP Association Modular Training Manual

Handout 12.2 Generating Revenues for the Association

One of the objectives of an association should be to become autonomous, which means more specifically, financially sustainable. In general we say that an association is financially sustainable when the annual expenditures to operate the association are equal to the annual revenues of the association, and sufficient reserves are accumulated to operate for one year.

Most associations depend on dues and fees as their internal revenues, which is never enough to operate as an association that is providing membership benefits. Therefore they try to look for other forms of revenues, mainly in the form of donations or sponsorship from donors or technical partners. However, donations or sponsorship implies dependency on a third party and since most association would like to take their own decisions, it is wise not to depend too much on external funds. Fortunately an association has many ways to generate revenues. Here under you will find a description of the most frequently used.

1. Member contributions

- a. Registration fees
- b. Annual dues
- c. Fines for defaulters, for not attending a meeting or not paying dues and fees on time
- d. Levies for special programs or events, or on imports

2. Promotion activities

- a. Organizing trade fairs—entrance fee and renting stalls
- b. Selling T-shirts, caps, calendars, pens and other merchandise
- c. Sponsor dinners—fee for attending, e.g., with big importers or a credit union
- d. Membership directory on products sold and selling points
- e. Check-off funds (stores or farms using association's logo)

3. Services to members:

- a. Commission to assist members in accessing credit or funds.
- b. Commission to facilitate access to markets
- c. Fee for assistance in registration of business
- d. Fee for assistance in proposal writing
- e. Fee for assistance in business plan writing
- f. Fee for assistance in bookkeeping
- g. Fee for certification or licensing
- h. Selling of membership cards
- i. Selling of framed certificates after training programs

4. Services to outsiders

- a. Fee to give a lecture or to be on a panel
- b. Fee to function as a resource person or to give advice
- c. Fee to organize, host, and guide groups of stakeholders (study tours)
- d. Consulting by staff
- e. Affiliate membership for companies

5. Participatory fees

Members and non members should pay a fee to attend:

- a. Workshops
- b. Training programs
- c. Seminars or conferences
- d. Meetings for members but also for outsiders
- e. Study tours

6. Advertisement fees

Ask a fee to advertisers:

- a. During events
- b. In brochures, publications, and newsletters
- c. On the Web site of the association
- d. On banners or stands

7. Selling information

General information should be free for members. But for specific information (such as commercial information), charge a fee to:

- a. Members
- b. Outsiders
- c. Persons who want the constitution in a nice booklet

8. Shared Discounts

Associations can negotiate discounts for members from service providers (e.g., insurance companies, mobile phone providers, and transporters) and then split the discounts between individual members and the association.

9. Donations

A donation may be spent freely as the association wants, although stipulations could be stated by the donor. Donations may come from donors, technical partners, or individuals.

10. Sponsorship

Sponsorships are collected for specific projects such as training courses or study tours. The monies have to be spent according to the sponsor's indications.

Handout 12.3 Scoring Sheet

What could be new or improved revenues for your association?
Prioritize the categories.

Category	Priority
a. Member contributions (dues and fees, fines, levies)	
b. Promotional activities (organizing trade fairs, selling merchandize)	
c. Services to members (access to credit, business plan, registration, bookkeeping)	
d. Services to outsiders (to function as a resource person or to give advice)	
e. Participatory fees (for workshops, training programs, study tours, meetings)	
f. Advertisement fees (during events, in brochures or publications)	
g. Selling information (to members, to outsiders)	
h. Shared discount (for insurance, transport)	
i. Donations (from donors or individuals)	
j. Sponsorship (for training workshops)	

Handout 12.4 Group Work: Generating Revenues

Please answer the following questions on generating revenues.

If it concerns an activity that has to be improved:

1. What are the problems at this moment?
2. What actions have to be undertaken to improve the situation?
3. Who will be responsible for these actions?
4. What resources are needed per action?
5. Propose a timeframe for all actions.
6. How much do you think your association can generate with this activity per year?

If it concerns a new activity:

1. What actions have to be undertaken to start this activity?
2. What problems do you expect and how can they be overcome?
3. Who will be responsible for these actions?
4. What resources are needed per action?
5. Propose a timeframe for all actions.
6. How much do you think your association can generate with this activity per year?

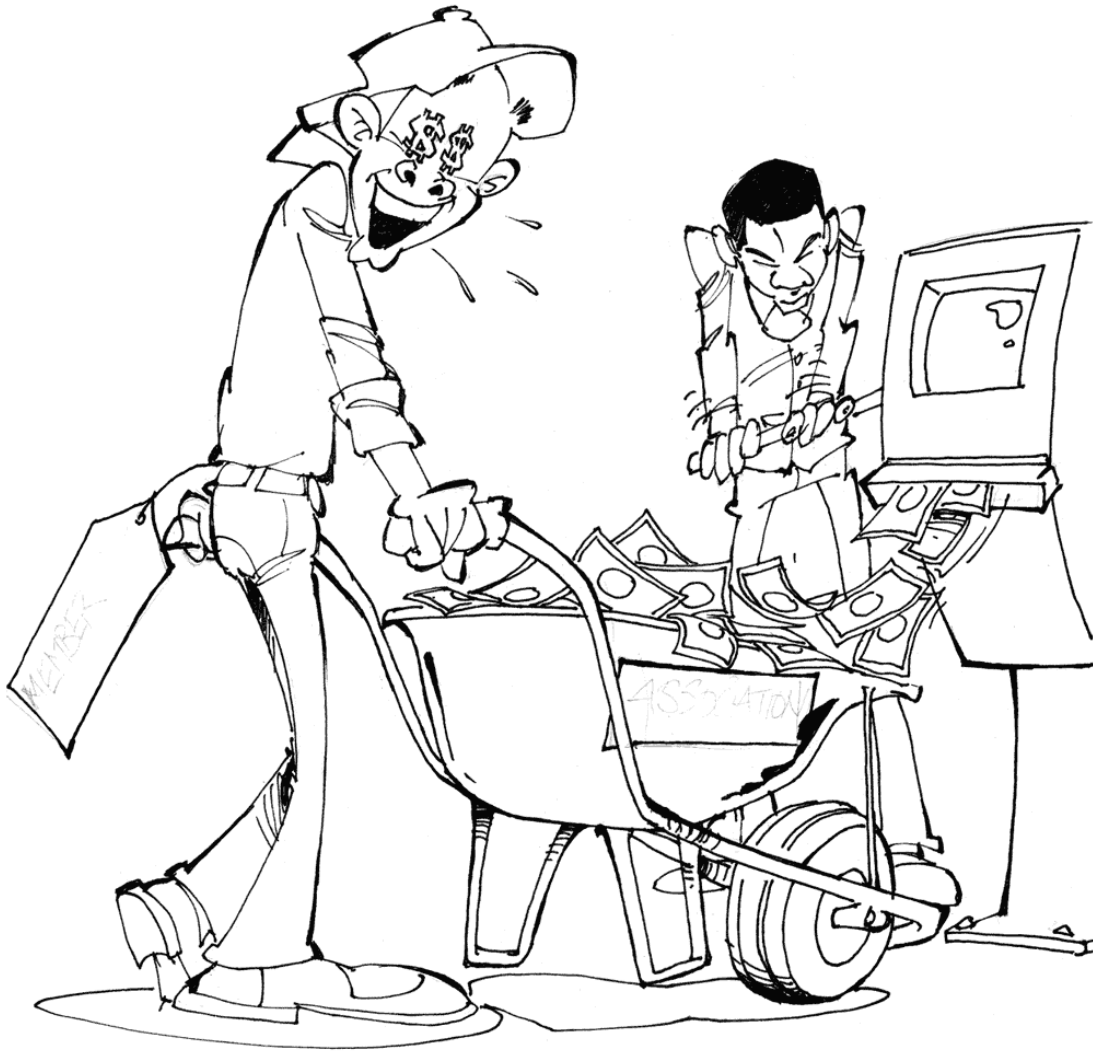
Handout 12.5 Group Work: Fees for Services

Please discuss the following questions with your group and write the answers on a flip-sheet.

1. How much can the association ask for the following services? It can either be a lump sum or a percentage.
 - a. Participation in a training workshop or seminar organized by your association.
 - b. Participation in a training workshop or seminar abroad.
 - c. Participation in a study tour in your state / region.
 - d. Participation in a study tour in your country.
 - e. Participation in a study tour abroad.
 - f. Facilitating access to credit.
 - g. Facilitating business links.
 - h. Assisting in registration of business.

2. Are there any other services your association provides and can ask a fee for?

13. FACE: Financial Benefits



13. FACE: Financial Benefits

When members join an association they will expect some financial benefits, for example in the form of credit provided by the association. In this session participants will discuss why it is not recommendable for an association to provide credit to its members, but rather should try to facilitate access to credit. Besides, the role of the association in this facilitation will be discussed.

After the session participants:

- Know the several steps an association has to take to facilitate access to credit for their members.

Content exercises (total time 1 hour and 30 minutes)

13.1 Steps to facilitate access to credit (90 minutes)

13.1 Steps to Facilitate Access to Credit

Objective: To discuss several steps the association should take to facilitate the access to credit for its members

Time needed: 90 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Start by asking if members are interested in **access to credit**. Then say that sometimes members expect that the association will provide loans. However, this is not to be recommended. Ask participants for reasons, such as:
 - Often an association does not have enough financial **capacity** to offer significant loans.
 - The financial **risks** are too high for an association.
 - There is a possible **lack of technical knowledge** and experience in running a credit scheme within your association.
 - The position of the manager of the scheme is **vulnerable**: this person decides who is granted a loan and who is not, he/she also has to ensure that members repay their loans. When the manager is a (staff) member this might create conflicts of interest.
2. The alternative is that the association **facilitates** access to credit, which means the association will play an intermediate role between a credit institute and members. Show them the steps to facilitate the access to credit:
 - a. Preparations
 - b. Building partnership with a credit institute
 - c. Education of members on credit
 - d. Monitoring
3. Split the group in four sub-groups and give each group the questions for one topic:
 - a. Preparations: handout 13.1
 - b. Partnership: handout 13.2
 - c. Education: handout 13.3
 - d. Monitoring: handout 13.4
4. Discuss the results. Think about:

Preparations

1. Why: To know what members want.
2. Core questions:
 - How many members are interested in taking credit?
 - What is the amount of credit they are interested in?
 - What guarantees can they provide?
 - What is the maximum interest rate they are willing to pay?
 - How do they think they are going to repay the loan and in which time limit?
 - When is credit needed by your members?

- When will they be able to pay this back?
3. Responsibility: it might be an idea to set up a credit committee. In that case the chairman would be responsible.
 4. Application forms: Can be distributed during meetings or other activities.
 5. Assistance in completing application forms: Does the association have the technical expertise? Who will do this? Staff? Is that feasible?
 6. Handing in application forms: Handing in bulk might increase the chance for members to get the loan. It depends on the discussions with the credit institute.
 7. Conditions: Only members of good standing, at least one year member, etc.
 8. Fees for association: A commission of 3 percent, 4 percent? Best to deduct directly from the loan, to ensure that the association will get the money.

Partnership:

1. To convince:
 - Show data of the market and explain why investing in that market is profitable to your members.
 - Show the payments of dues and fees. If members pay their dues and fees in time, it is more likely they will repay their loans in time as well.
 - Use references of other partners: they can testify that your association is well organized and credible.
 - Explain what your members want using data from your survey, to show that you are well organized and are aware of your members needs.
 - Propose a role of the association in the application (pre selection of candidates, distribution of application forms, assistance in completing application forms, etc.).
 - Explain how you educate your members on credit schemes.
 - Propose a monitoring mechanism performed by your association.
 - Invite financial institutes to address members on their requirements for loan applications, types of loans, factors used in assessing credit risk, etc.
 - Explain the power of peer pressure by members of your association to ensure that one member does not harm the benefits being provided to all members.
2. Technical details:
 - What are the different types of credit accessible to your members?
 - What are the conditions to apply for credit? (this is different per financial institute)
 - What is the interest rate?
 - What are the minimum and maximum amounts for a loan?
 - How does the repay mechanism work? What is the time-frame?
 - How long does it take from application to disbursement? Can your association assist in speeding up this process?
3. Responsible: Chairman of credit committee.

Education:

1. Why: To create awareness about importance of repaying loans, to increase chances for approval of loans (negotiation position).

2. Topics:
 - What is credit and how does it work?
 - What are the conditions to apply for credit?
 - What is the interest rate, e.g. how much does it cost to take a loan (including a commission for the association)? Give examples: if you take a loan of 500 USD, the total amount you have to pay back is x USD and the commission is x USD.
 - How does the repayment mechanism work?
 - What is the role of the association (do you provide the application forms, do you hand in the application forms in bulk, do you assist members in completing the application forms?)
 - The necessity to repay in time (show consequences of non repayment: damaging the image of the association, lowering the chance of getting a loan next time when applying, lowering the chance for other members to get a loan, etc);
 - Group responsibility (if you decide to form groups for monitoring purposes).
3. Responsible: Chairman of credit committee.

Monitoring

1. Why: To increase repayment and to increase chances for approval of loans (negotiation position).
2. Monitoring mechanisms:
 - Publishing names of those who repay in time and those who do not repay in time.
 - Forming a committee that will visit those who do not repay in time.
 - Forming groups: the group will be responsible for the repayment. This means if one member does not repay, the others are the guarantors and have to pay on his/her behalf.
3. Responsible: Chairman of credit committee.

13.1 Group Work: Preparations

Discuss the following questions:

Survey:

1. Why is it necessary to do a survey among your members?
2. What are the core questions that need to be answered?
3. Who will be responsible for this survey?

Practical questions for preparations:

4. Is the association going to provide the application forms?
5. Does the association assist members in completing these forms?
6. Does the association hand in these forms in bulk at the credit institute or do members have to go themselves?
7. Who can apply for a loan?
8. How much do members have to pay to the association for facilitating access to credit? How will this fee be paid to the association: directly by the members or deducted from the loan?

13.2 Group Work: Partnership Building

Discuss the following questions:

1. How can you convince a credit institution to provide loans to your members?
2. What technical details do you need to discuss with a credit institute?
3. Who will be responsible for building partnership?

13.3 Group Work: Education

Discuss the following questions:

1. Why is it necessary to educate your members on credit?
2. On what should you educate your members? Mention specific topics.
3. Who will be responsible for organizing this education?

13.4 Group Work: Monitoring

Discuss the following questions:

1. Why is it necessary for the association to play in role in monitoring?
2. How can de association monitor the repayment of loans? Mention several options.
3. Who will be responsible?

14. FACE: Advocacy



14. FACE: Advocacy

An association represents the voice of many members which makes an association the appropriate body to influence policy decisions. Besides, an association can advocate to protect its members in difficult situations. In this session participants learn what advocacy is and how to formulate a strategy. In a short session some basics on negotiating are discussed.

Advocacy is a difficult and complicated process and a few hours training does not turn someone into a lobbyist. There are many organizations that are specialized in advocacy and also provide training on advocacy. The exercises in this session are only meant to give participants some basic ideas of advocacy.

After the session participants:

- Have basic knowledge on the advocacy process
- Should be able to set up strategies to influence policies
- Can prepare themselves for negotiations
- Can negotiate for the best results

Content exercises (total time 5 hours)

- 14.1 Introduction (60 minutes)
- 14.2 Basic concepts of lobbying (45 minutes)
- 14.3 Preparing a lobby case (120 minutes)
- 14.4 Negotiating techniques (90 minutes)

Handouts:

- 14.1 Promoting policy change
- 14.2 A shortlist to advocacy
- 14.3 Worksheets

14.1 Introduction

Objective: To define what advocacy is, to learn the difference between lobbying and advocacy, and to select a few advocacy cases for the association.

Time needed: 60 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Make small buzz-groups of three or four participants. Write on a flip-sheet the question: What is **advocacy**? Ask participants to formulate one sentence that answers the question and to give one example.
2. Ask the groups to write their sentences on a flip-sheet and show them to everyone. Try to write down **keywords** that were mentioned. Try to formulate one sentence that is accepted by everyone (example: Advocacy is the deliberate process of influencing those who make policy decisions).
3. Ask participants if anyone knows the **difference** between lobbying and advocacy.

Advocacy = a broad term that relates to any action one undertakes to give a voice to people. For example: demonstration, networking, writing reports, media reports, writing letter or petitions. You can give the example of an advocate pleading for his client. It is one-way communication.

Lobbying = a specific form of advocacy, i.e. giving a voice to people by influencing decision makers. It is a two-way communication. The association will act as a lobbyist between the members and the government, it will translate the demands of the group in such a way they become interesting for the policy maker.

Note: During this session we will use the term ‘advocacy’, although it is actually lobbying what will be discussed. The reason for that is that in some cultures the word lobbying has a negative sound.

4. Divide participants in sub groups and ask each group to select one advocacy case for their association. They should clearly describe what they would like to **change**.
5. Each group has to present their advocacy case. Reformulate if necessary and discuss with the group if it is a lobby or advocacy case (very often participants will describe a case that is in fact public relations, and not lobbying or advocacy). Select one case to work on (you can also select cases according to the number of groups, so every group will work on a different case).

14.2 Basic Concepts of Advocacy

Objectives: To define if and why the association is suitable to advocate

Time needed: 45 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Write on a flip-sheet the four basic concepts of advocacy:
 - a. **Legitimacy:** why is the association authorized to advocate, why can the association advocate for its members?
 - b. **Credibility:** why should the decision maker listen to the association?
 - c. **Accountability:** why should the decision maker have confidence in what the association is saying?
 - d. **Power:** is the association strong enough to advocate?

2. Divide the participants in four groups and give each group one concept. They have to answer the following questions:

Group 1: Where does the association get its **legitimacy** from? (For example: registered as an association, existence of a constitution, membership base, recognized by government and other actors).

Group 2: How can the association build **credibility**? (For example: being honest, transparent, reliable and open, being accountable for its actions, organizing democratic elections, regular meetings).

Group 3: How can the association prove its **accountability**? (For example: implementing and reporting on activities as described in action plan, sound financial records, references from other organization).

Group 4: Where is the **power** coming from to change processes? (For example: membership base, being informed / knowledgeable, having a good network, patronized by other organizations or association that have a common goal on the issue, etc.).

3. Let each group present their results. Mark the key words during each presentation and write them on a separate flip-sheet and paste it at a place where everyone can see it so you can use it for later exercises.

14.3 Preparing an Advocacy Case

Objectives: To prepare an advocacy case

Time needed: 120 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Take the advocacy cases that were selected and split the group into sub-groups. Give each group the same case or different cases (depending on the results of **session 14.1**) and explain the exercise. The participants have to answer the following questions:
 - a. What is the **key-question**? What is the situation at this moment and what does the association would like to change?
 - b. Who is the **decision maker**? Make sure the association is really dealing with the person who takes the decision.
 - c. What is the **image** the decision maker has of the association? And what is the image the association has of the decision maker?
2. Discuss the results in plenary.
3. Tell participants that lobbying it is a two-way process. That means that the association wants something, but it also has to **offer** something. Therefore it is important to know what the **interest** is from the decision maker. Let participants answer the following questions:
 - d. What is the **interest** of the **insider** (the members) and of the **outsider** (the decision maker)?
 - e. What can the association **offer** to the decision maker?
 - f. What would be a **win-win situation**?
4. Discuss the results in plenary.
5. The next step is to discuss allies. Advocating with partners is easier and more effective than alone. The next group work shall be focused on **identifying allies** in the advocacy process. Each group has to answer the following questions:
 - g. Which **partners** could be involved in the process?
 - h. What is the **interest** of the partner?
 - i. What could be their **contribution** in the process?
6. Discuss the results in plenary.
7. The last step to discuss in this exercise is **possible instruments or methods** to use and actions to take in the process. Possible instruments or methods are:
 - Personal visit
 - Informal meeting
 - Exposure (field visit)
 - Strategic alliances
 - Report from specialist

- Media
- Letters
- Presentation of proposal
- References
- Petition
- Hired lobbyist
- Contact with political party
- Demonstrations

Let each group discuss the most suitable methods for their case.

8. Discuss the results in plenary.

Note 1: If you are using different case, you can mix the groups after each set of questions. The advantage of changing groups is that every participant will get familiar with all cases and that they can interact with other participants.

Note 2: The results of this exercise can be used for the plan of action.

14.4 Negotiating Techniques

Time needed: 90 minutes

Materials: Blue and red paper
Flip-sheets
Markers

Procedure:

1. Divide participants in two groups. Each group will get a **blue** and a **red card**. The cards are ‘**strategies**’. Each round a group has to play a strategy, which is either blue or red. With a strategy a group can gain points, but the number of points depends on the strategy the **other** group will play. The objective is to get **as many points as possible**. The groups are **not** allowed to talk to each other.

The points a group can make are as follows:

- Both groups play red: both score 2 points
 - Both groups play blue: both score 1 point
 - One group plays blue, one group plays red: blue gets 3, red gets 0 points
- Play five rounds and add up the score.

		Group A plays:	
		Red	Blue
Group B plays:	Red	Group A: 2 points Group B: 2 points	Group A: 3 points Group B: 0 points
	Blue	Group A: 0 points Group B: 3 points	Group A: 1 points Group B: 1 points

Note: If the groups are risk averse, they will both play blue. If they play blue, they are sure to get 1 point (if the other party plays blue as well) and maybe even 3 points (if the other plays red).

2. Now play the game again but tell participants that the groups are now allowed to **negotiate**. Play five rounds and add up the score.

Note: In most cases the groups will agree to play both red. Maybe this will happen during round 1 and round 2, but at one moment it is very likely that one group will cheat and will play blue instead (to collect 3 points). From that moment on, the play will reach an impasse and both groups will continue playing blue (this is called the **Nash equilibrium or prisoner’s dilemma**).

You can give the classic example of the prisoner’s dilemma:

Two suspects are arrested by the police. The police have insufficient evidence for a conviction, and having separated the suspects, visit each of them and offer the same deal: If you confess and your accomplice remains silent, he gets the full 10-year sentence and you go free. If you stay silent, but your accomplice confesses, you will get 10 years and he will go free. If you both stay silent, all we can do is give you both 6 months for a minor charge. If you both confess, you each get 5 years.

Each prisoner individually reasons like this: Either my accomplice will confess or he will not. If he will confess, and I remain silent, I get 10 years, while if I confess I only get 5. If he remains silent, then by confessing I go free, while by remaining silent I get 6 months. In either case, it is better for me if I confess. Since each of them reasons the same way, both confess, and get 5 years. But although each followed what seemed to be rational argument to achieve the best result, if they had instead both remained silent, they would only have served 6 months.

3. Discuss the results. What happened? Did the strategy change between the two rounds?
4. Discuss the motivation to play a certain strategy. What was the **plan** of both groups? Did they think about the following things:
 - What do you **want**? (To gain the maximum number of points).
 - Why has the other side **agreed** to negotiate with you? (They want to get the maximum number of points).
 - Was there **win-win solutions**? (Each playing red). If this was not achieved, how come?
 - **Maximum** negotiation position (the best deal you can hope to get) and the **minimum** negotiation position (the least you can accept). (Maximum playing blue and the other red, minimum playing red and the other blue).
 - Can you make any **concessions**? (Both playing red).
 - What are your **key arguments**?
 - During negotiations, was there one person to speak for the whole group?
5. Discuss the **outcome** of the negotiations. What was the initial objective (gain as many points as possible)? But did the facilitator state gaining points for what? Does it make a difference if the objective is gaining as many points as possible for the two groups together, instead of for an individual group? Look at the total score of the two groups.

The **maximum scores** are as follows:

- Both groups play red: total score 20 points (5 times 4 points)
- Both groups play blue: total score 10 points (5 times 2 points)
- One red, one blue: total score 15 points (5 times 3 points)

		Group A plays:	
		Red	Blue
Group B plays:	Red	Group A: 2 points Group B: 2 points Total points: 4	Group A: 3 points Group B: 0 points Total points: 3
	Blue	Group A: 0 points Group B: 3 points Total points: 3	Group A: 1 points Group B: 1 points Total points: 2

For the group as a whole (compare it with an industry) it would have been better if everyone would have played red (total score 20), but in most cases we see that both groups agree to play red and that one group will cheat, so both will end up playing

blue. It would be better to settle for lower individual results, so in the end the results for the group as a whole would be higher.

5. What is the general feeling about the negotiations? Discuss the following points:
 - Show **respect** for the other side's point of view. Always seek common ground and shared interests.
 - Negotiate in **good faith**. Find ways to show the other side you are sincere about reaching an agreement.
 - Clearly **communicate** your position. Make sure you fully understand the position and issues of the other side.
 - Never **argue** or disagree within your negotiation team in front of the other side.
 - **Steer** the negotiations toward the issues you want to talk about. Call a recess if discussions go off track, and use humor if things become tense.
 - Talk about **building trust** between both parties.

6. Discuss how the deal was closed. Keep the following in mind:
 - a. **Restate** the agreement you have reached. Put it in writing.
 - b. Establish **clear terms** for implementing the agreement on both sides.
 - c. Decide on immediate **next steps**. Agree on how you will troubleshoot problems.
 - d. Ensure that your team is in **agreement** before you conclude.
 - e. No matter what the outcome, always walk away with **something**, even if it is an appointment for another meeting.

Handout 14.1 Promoting Policy Change

An adaptation of Advocacy Tools and Guidelines¹

What is advocacy?

Policy makers greatly influence the livelihoods of the people through their decisions and actions. When policy makers are not fulfilling their human responsibilities to others, advocacy can be used to hold them accountable. Advocacy is the deliberate process of influencing those who take policy decisions. A policy is a plan, course of action, or set of regulations adopted by government, business or an institution, designed to influence and determine decisions or procedures. Advocacy involves delivering messages that are intended to influence the actions of policy makers.

- Advocacy is about influencing those who take policy decisions.
- Advocacy is a deliberate process, involving intentional actions.
- Policy makers can encompass many types of decision makers. Advocacy is not restricted to those policy makers who work for the government.

Building foundations

Before you start planning an advocacy initiative, there are some key considerations you can make before deciding whether to engage in advocacy (see worksheet 1):

- Gathering policy and political information:* It is crucial to understand how key institutions work and to identify decision makers for the sectors you are interested in. You also need to find out who can help you influence those decision makers.
- Assessing risk:* The more you understand the political environment you are working in, the more easily you can assess risk, and the less likely you are to make a mistake that will cause harm to your association.
- Building strategic relationships:* Already start building relationships with policy makers during other occasions. When the relationship is good, the step to advocacy is rather small.
- Establishing your credibility as an advocate:* When you are recognized as an expert, or a respected spokesperson on behalf of others, your arguments will tend to carry more weight in advocacy and you will find it easier to prevail in policy debates.
- Maintaining focus:* You are more likely to succeed in advocacy if you focus on a limited number of policy issues at a time, than if you develop a long list of policy priorities. Tempting as it may be, there is a real danger of spreading yourself too thin, and not developing the depth of expertise to advocate effectively in any one area. You also risk returning to policy makers too often, appearing to be asking for too much.

Planning an advocacy initiative

To plan an advocacy initiative, there are four steps to take:

Step 1: Analyzing policies

Step 2: Outlining an advocacy strategy

Step 3: Refining an advocacy strategy

Step 4: Framing a plan

Step 1: Analyzing policies

¹ Sofia Sprechmann and Emily Pelton. *Advocacy tools and guidelines. Promoting policy change. A resource manual for CARE program managers.* CARE, January 2001

Policy analysis examines plans and regulations set by governments, business or other institutions, and how these policies (or a lack of policies) affect specific groups. A policy analysis has the following main elements (see worksheet 2):

a. Identify the policy causes (policy issues)

Policy issues may include the absence of a policy, an adverse or inadequate policy, or the improper enforcement of a policy. It is important to always relate your policy issue to the people affected by the problem. A policy analysis should point out the problem (what?), specific policy causes of the problem (why?), and the people affected by the problem (who and where?).

b. Identify key actors that influence policies and their interests

Once you have identified a policy issue, it is important to describe the actors that make critical decisions about these policies. Actors can be either individuals or groups. It is important to determine whether actors support or oppose specific policies, as well as their degree of influence, their resources, and their interests in an issue.

c. Analyze the policy environment (the social and political context)

Prior to deciding on an advocacy strategy, it is useful to analyze the distribution of power between policy makers and those who are affected by their decisions. It is important to know the rules, restrictions, and conditions under which you have to operate. The analysis of the policy environment should also include information gauging the extent to which a policy issue is publicly discussed.

d. Summarize policy findings

Try to identify the problem, look for the direct causes of the problem, identify which behavior of who is leading to the direct cause, and look why people behave in such a way.

e. Identify options for policy change

The last step is to identify the different options you have to achieve the desired situation. In order to identify options clearly, it is useful to list all policy issues and describe what changes would have to take place to have an impact on the problem you have identified. After this, you should start to consider the best options for policy change. Your goal is to rank these ideas in order of preference. At this stage, you will also have to decide if you will address a policy issue through advocacy or not.

Step 2: Outlining an advocacy strategy

The following steps will help you to focus as you develop the basic outline of your advocacy strategy (see worksheet 3).

a. Select a policy issue

At this point, you may have identified more than one policy issue, but you must make a choice before continuing with your advocacy strategy. Key criteria for selecting among different policy issues:

- Relative contribution of the policy to the problem
- Potential impact on a large number of people
- Likelihood of success

- Potential for working in coalitions
- Potential risk

b. Select target audiences

The target audience is the person, or group of people, who can help bring about the policy change you hope to achieve. Primary audiences are those individuals with the direct authority to make policy changes (i.e. the Minister of Agriculture, parliament members, etc.). Secondary audiences are those people who can influence the decisions of your primary audience. Audiences are always people, not institutions.

c. Set a policy goal

Advocacy initiatives require clear and specific goals. They should clearly state what will change, who will make that change, by how much, and by when. Since policy goals should include the policy makers who are expected to create, change or enact a policy, it is important to avoid goals that do not include *who* has to make the change.

d. Identify allies and opponents

You can usually increase your impact by collaborating with other individuals or associations that are interested in the same policy issue. A coalition is a group of associations working together in a coordinated fashion toward a common goal. There are some advantages of advocating through alliances/coalitions:

- Increases resources, experience, credibility and visibility.
- Increases the likelihood of successful policy change.
- Develops advocacy capacity of less experienced coalition members.
- Provides assurance to coalition members who have concerns for advocating on their own.
- Provides an element of protection or “safety in numbers.”

It is also important to identify your opponents. You can be more effective if you understand your opponents’ reasoning and why they might feel threatened by your proposed policy change.

Step 3: Refining an advocacy strategy

In this step you define your key messages and activities (see worksheet 4)

a. Identify key messages

A message tells the policy maker what he/she is being asked to do, why it is worth doing, and the positive impact of such action. Usually, you will only have a limited amount of time to get your message across, so it is best to be sure about what you want to say beforehand. There are a few essential elements of an advocacy message:

- What you want to achieve
- Why you want to achieve it (and why others should want to achieve it as well)
- How you propose to achieve it
- What specific action you want the audience to take

b. Define advocacy activities

The next step is to choose activities for conveying these messages. What steps do you

have to take to convey your messages to the policy maker? Do you want to negotiate in meetings, use the media, work through coalitions, or arrange site-visits to make your point to policy makers or others?

Step 4: Framing a plan

The last step to take is to frame all the information you have in a plan that gives you an overview (see worksheet 5). The easiest is to use a table in which you describe every activity you have to take.

a. Set a timeline

When setting a timeline, keep in mind the following:

- Policy environments can change quickly: keep flexible time schedules.
- Unexpected but important opportunities for advocacy arise which do not allow for careful scheduling of activities.

b. Prepare a budget

Estimating the cost of an advocacy project can be difficult. You should base your budget on your advocacy strategy and activities (such as lobbying, media work, working with coalitions, and/or mobilizing constituencies).

c. Divide tasks

To make sure that all activities you have planned are carried out, it is useful to make a clear tasks division and identify responsible persons.

d. Set indicators

Indicators describe what to expect from the objectives. It shows how to recognize when they have been achieved. They are statements about the situation that will exist when an objective is reached. Indicators should be unbiased.

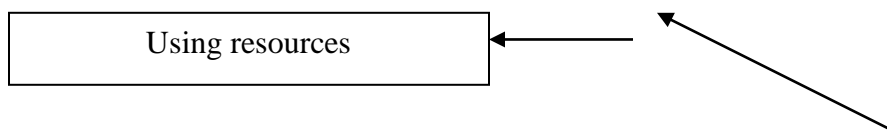
e. Plan for monitoring and evaluation

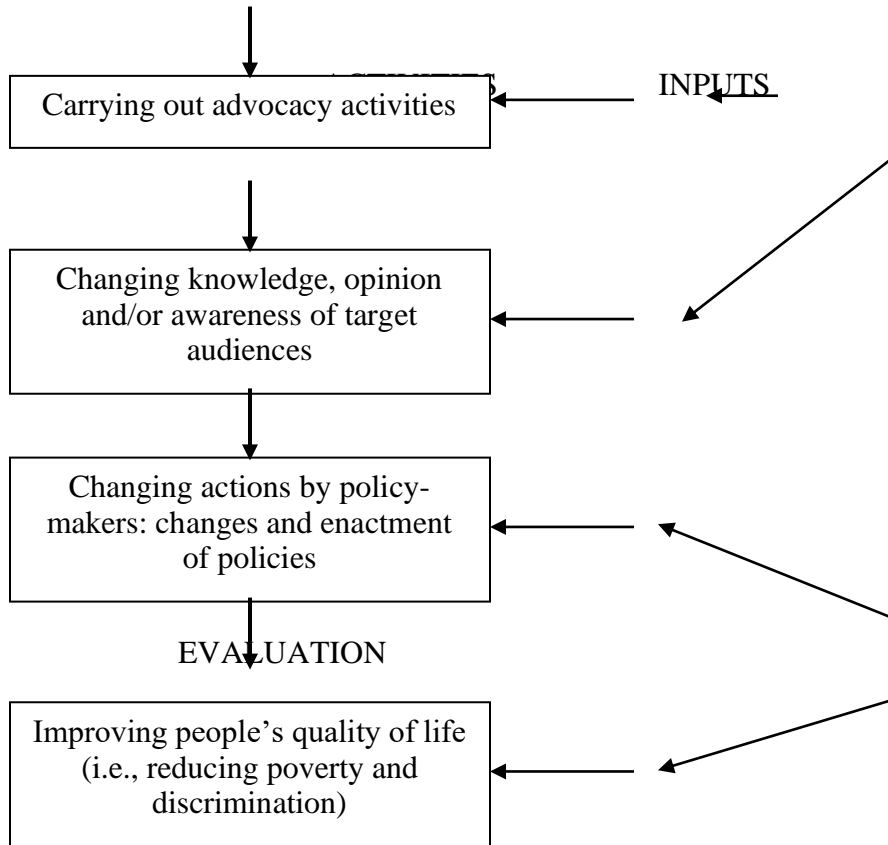
Monitoring and evaluation are often mentioned together. Yet, there is a slight difference:

- *monitoring*: to carefully watch if the process is going the way it should go, checking if actions are taken according to the plan, keeping regular track of the decisions, actions and finances.
- *evaluation*: to discuss afterwards to learn something from it, see if objectives are achieved.

Often monitoring is done throughout the whole process while evaluation is performed at the end of the process (ex-post). However, evaluation can also be ongoing during the process for example when there are several sub-objectives that have to be achieved before the whole process is finished.

ADVOCACY PROCESS





Handout 14.2A Shortlist for Advocacy

Step 1 Analyzing policies: examines plans and regulations

- a. *Identify the policy causes* (policy issues): what is the problem, why is the problem there (what causes the problem: is it because there is no policy, or is there an adverse or inadequate policy), and who is effected by the problem (your target group);
- b. *Identify key actors* that influence policies and their interests: who are the actors that make the decisions about these policies, do they support, degree of influence, resources, what is their interest;
- c. *Analyze the policy environment* (the social and political context): how is the distribution of power, is the issue publicly discussed or not, is there a public opinion about the issue;
- d. *Summarize policy findings*: what are the direct causes, the behavior that is leading to the causes and reasons for the behavior;
- e. *Identify options for policy change*: what changes are necessary to tackle the problem, what do you want to change (adoption of a new law or the change of an existing law).

Step 2 Outlining an advocacy strategy

- a. Select a policy issue: select the key option from the list identify under point 1e;
- b. Select target audience: this is the person, or group of people, that can help bring about the policy change you hope to achieve;
- c. Set a policy goal: goals should state what should change, who will make that change, by how much and when;
- d. Identify allies and opponents.

Step 3 Refining an advocacy strategy

- a. Identify key messages: it tell the policy maker what you want to achieve, why, how and what specific activities you want him to take;
- b. Define advocacy activities: what activities do you have to take for conveying these messages.

Step 4 Framing a plan

- a. Set a timeline;
- b. Prepare a budget ;
- c. Divide tasks;
- d. Set indicators;
- e. Plan for monitoring and evaluation.

Handout 14.3 Worksheets

WORKSHEET 1: BUILDING A FOUNDATION FOR ADVOCACY	
Steps you can take	Questions to explore
a. Gathering policy and political information	
Analyze policies and political institutions.	<ul style="list-style-type: none"> • What do you know about policies in your sectors of interest? • Who are the key policy makers and where do they work?
Understand the political environment.	<ul style="list-style-type: none"> • How are leaders chosen? • Who are respected or powerful groups in politics?
b. Assessing risk	
Make informed judgments.	<ul style="list-style-type: none"> • Are you considering any themes that pose risks of violence? • Will you be perceived as biased or partisan? • Are you in touch with political trends? • Have you identified unacceptable risks in <i>advance</i>?
c. Building strategic relationships	
Establish connections with policy makers.	<ul style="list-style-type: none"> • Who's in charge? • Where do policy makers go for advice?
Network with other organizations.	<ul style="list-style-type: none"> • Who is doing effective advocacy? • Who are possible advocacy partners? • How can you build on relationships formed through other associations?
d. Establishing your credibility as an advocate	
Build up expertise to establish credibility with policy makers.	<ul style="list-style-type: none"> • Do you, or your partners, have valuable information to share? • Are you acknowledged as a trusted source of information?
Build up relations with the grassroots level to establish credibility with the public.	<ul style="list-style-type: none"> • Can you, or your partners, legitimately speak on behalf of your members? • Are you the most effective spokesperson for the people involved?
e. Maintaining focus	
Develop a short list of policy priorities.	<ul style="list-style-type: none"> • What are the most promising priorities?

WORKSHEET 2: ANALYZING POLICIES (STEP 1)

Steps you can take	Questions to explore
a. Identify policy issues.	<ul style="list-style-type: none"> • What is the problem you are concerned about? Who does it affect? • What are the main policy issues in relation to the identified problem: absence of a policy, an adverse or inadequate policy, or the improper enforcement of a policy?
b. Identify key actors and institutions.	<ul style="list-style-type: none"> • Who makes direct decisions about the policy issues you identified? • Who can influence the decisions of policy makers? • Are policy makers and those who can influence them interested in the issues? What resources do they have? What position and opinions do they have in relation to the policy issues you are considering?
c. Analyze the policy environment.	<ul style="list-style-type: none"> • Can people participate in policy decisions about the identified issues? What sort of channels exist for them to participate? • Where are key decisions on these policies made and who controls such decisions? • Are the identified policy issues widely discussed? Is this a topic of interest for the general public? Has news regarding these policy issues recently been featured in the media? • Is the policy a priority for the current government? Does the government plan to make any changes to existing regulations? What related policies were approved or rejected in the last few years? • What changes may occur in the political arena? Are elections coming up? How could they affect the issues you have identified?
d. Summarize policy findings.	<ul style="list-style-type: none"> • What are the direct causes of the problem you identified? • What policy maker actions led to the problem? Why have policy makers taken these positions?
e. Identify options for policy change.	<ul style="list-style-type: none"> • What policy changes would yield the desired results, that is, would have a positive impact on the problem? • What are your best options for policy change? • What will happen if nothing is done regarding these policy issues? • Which policy solutions are likely to attract significant support or, alternatively, face significant opposition? • Who should take the lead on bringing the policy solution to the attention of policy makers?

WORKSHEET 3: OUTLINING AN ADVOCACY STRATEGY (STEP 2)	
Steps you can take	Questions to explore
a. Select a policy issue.	<ul style="list-style-type: none"> • Which policy issue is critical for addressing the problem you identified? Which policy change is your best option for a significant impact? • How many people will benefit if a policy change is achieved? • Is the issue "winnable"? • Do opportunities exist for working with others on this policy issue? • Are potential risks acceptable or not? • Can you effectively advocate on this issue?
b. Select target audiences.	<ul style="list-style-type: none"> • Who are potential target audiences, that is, who can help to bring about the policy change you hope to achieve? • Who has authority to make these changes? Who are potential primary audiences? • Who has the greatest ability to influence the decisions of your primary audience? • Which primary and secondary audiences will you select for your advocacy initiative?
c. Set a policy goal.	<ul style="list-style-type: none"> • What should your advocacy initiative accomplish? Who will make that change? By when will this change be achieved? • Can you clearly articulate the final or impact goal for your advocacy initiative? • Can you clearly articulate policy goals at the effect level?
d. Identify allies.	<ul style="list-style-type: none"> • Which other organizations, groups and individuals are concerned or already working on the same policy issue? • Do coalitions exist or do they need to be established? • How can you contribute to the efforts of other organizations? • What role do these organizations want you to play and what contribution do they expect from you? • What are the advantages and disadvantages of forming alliances or coalitions with each of them? • Do other organizations see you as a value-adding partner/ally?
d. Identify opponents.	<ul style="list-style-type: none"> • Are there any organizations, groups or individuals that oppose the proposed policy change? • What threat do these organizations, groups and individuals pose to the success of your advocacy initiative? • What can you do to reduce the influence of opponents?

WORKSHEET 4: FINALIZING AN ADVOCACY STRATEGY (STEP 3)

Steps you can take	Questions to explore
a. Identify key messages.	<ul style="list-style-type: none">• What do you want your target audience to hear?• What policy change would you like your target audience to support?• What specific actions do you want your audience to take? How can you convey that to your audience?
b. Define advocacy activities.	<ul style="list-style-type: none">• What steps do you have to take to convey your messages to your target audiences?• What activities need to be carried out in order to achieve your policy goal?• How can you most successfully convey messages to your target audience: working through the media or coalitions, arranging site visits or meetings, writing a letter, other tactics?

WORKSHEET 5: FRAMING A PLAN (STEP 4)

Steps you can take	Questions to explore
a. Set a timeline.	<ul style="list-style-type: none"> • When do you start your activities? • How much time do you need for each activity? • How long will it take to achieve your policy goals? • Is the policy environment likely to change quickly? How flexible is your timeline?
b. Prepare a budget.	<ul style="list-style-type: none"> • What are the costs of your planned activities? • Have you included unexpected expenses? Have you considered all budget categories? • From which sources can you obtain funding for your advocacy initiative? What donors have funded advocacy initiatives as part of relief and development programs in your country/region? • What are the priorities for donors that have funded advocacy? Are they interested in particular issues? Are they interested in specific groups of the population? Do they have a geographical focus? • What type of advocacy initiatives have they recently funded? What amounts were provided to those initiatives? • How can you find out more about a donor? Who at your organization knows? Do you have any other contacts that may facilitate access to a donor?
c. Divide tasks	<ul style="list-style-type: none"> • Do you have a responsible person for every activity? Is everyone aware of his/her responsibilities? Is no one overloaded?
d. Set indicators	<ul style="list-style-type: none"> • Can you clearly articulate impact and effect goals, outputs and activities? • What indicators can you use for measuring the progress of your initiative towards achieving goals and results? Where can you obtain information on your progress?
e. Plan for monitoring and evaluation.	<p><i>Monitoring:</i></p> <ul style="list-style-type: none"> • Have your target audiences changed their knowledge, attitudes, awareness or opinions regarding your policy issue? Where can you get this information? • Can you track your activities, such as the number of messages sent to your target audience? • Have political conditions changed since you planned your initiative? • Does monitoring data indicate that your activities have achieved the desired outputs? If not, does monitoring information help you decide how to adjust, revise or re-direct activities? <p><i>Evaluation:</i></p> <ul style="list-style-type: none"> • To what extent has your advocacy initiative achieved impact and effect goals? Can impact be measured at the end of your advocacy initiative? • Can you determine what made policy makers change their opinions and actions? • What lessons can be learned for your next advocacy initiatives?

15. FACE:

Communication



15. FACE: Communication

Communication and information are essential for every association. This session will discuss the importance of proper information management within an association. The main focus will be on receiving / collecting information (information as input) and on delivering information (information as output).

After the session the participants should be able to:

- Identify problems in the internal communication and find solutions
- Set up a communication plan when receiving or delivering information
- Identify possible sources of information
- Access sources of information

Content exercises (total time 3 hours and 45 minutes)

- 15.1 Introduction: the 3-minute test (15 minutes)
- 15.2 Communication as service (30 minutes)
- 15.3 Planning information dissemination (60 minutes)
- 15.4 Group work: planning information dissemination (90 minutes)
- 15.5 Collection of information (30 minutes)

Handouts

- 15.1 The 3-minute test
- 15.2 Planning Information Dissemination
- 15.3 Information delivery
- 15.4 Group work: planning information dissemination

15.1 Introduction: The 3-Minute Test

Objective: To show that communication is not as easy as it looks

Time needed: 15 minutes

Materials: Handout 15.1

Pen for each participant

Procedure:

1. Tell participants that the next topic is information and communication, and that every person receives information in a different way. Each participant has to do a little test to demonstrate this aspect of information reception.
2. Place a pen and a copy of the 3-minute test (handout 15.1) facing down in front of each participant. Tell them as soon the timing commences they will have exactly three minutes to complete the test. They are not allowed to talk to each other.
3. When the test is completed, discuss the following points. What happened? Who followed the instructions? How come? Were the instructions clear? Who only had their name written in the top right hand corner (i.e. who followed the instruction correctly)?
4. Tell them that the next topic concerns communication.
5. Ask participants what communication includes. Make sure the following is mentioned:
 - **Internal communication** (see also chapter 11 on internal communication): communication between the management staff and the executives, between the executives and the other members, between the other members and the staff, and among members and executives.
 - **Contacts** with partners or other stakeholders (external communication): to build a partnership with for example importers of agro inputs or transporters so members can get discounts (see also chapter 19 on partnership building).
 - **Recognition:** acknowledgment of the profession and members of the association as genuine, valid and worthy dealers, farmers, traders, etc.
 - **Information dissemination:** one-way communication to provide members or outsiders with information on association activities, upcoming events, etc.
6. Ask which type of information can be possible sources of income? (Contacts and information dissemination).

15.2 Recognition

Objectives: To discuss how the association can assure recognition of the profession of its members

Time needed: 30 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Explain a bit about **recognition**. Mention that their profession is not regulated by law, so everyone can call themselves farmer or agro dealer. Because of that the image or reputation of the profession can be easily damaged.
2. Discuss how the association can protect the image of the profession and its members. Possibilities are:
 - Awareness creation: via spots or jingles on television or radio, article in newspapers or magazine, by round table meetings, open house, etc.
 - Internal code of conduct: in this code is described how a member will act (only selling genuine products, etc). When people become member, they should sign that they will follow this code of conduct.
 - Certification of members: for example that shows the member has followed a training programAsk if anyone has another idea. Which ideas are feasible?
3. Tell participants that for the rest of the session we will focus on information dissemination.

15.3 Planning Information Dissemination

Associations give out information for different reasons to different stakeholders. Because each time the content of the message is different, the reasons are different and the receivers of the information are different, it is necessary to think about how to 'sell' your information.

Objectives: To learn how to set up a communication plan

Time needed: 60 minutes

Materials: Flip-sheets

Markers

Handout 15.2 and 15.3

Procedure:

1. Tell participants that in the first session (15.1) they saw that people receive information in different ways. This is a problem, because as an association you want that the information that you give out is received in a way that is clear and understood. Therefore it is necessary to plan your information dissemination carefully.
2. Write down on a flip-sheet the word **Why** and then ask participant why they give out information as an association. Possible reasons can be:
 - a. You want to **inform** your members about something (about day-to-day business of the association, activities which have been taken place, technical information on products, market information, to inform them on special events).
 - b. There is a **special event** and you want to inform partners.
 - c. **Public relations**.
 - d. You want to **lobby** for something.
 - e. You want to **build partnership**, for example for credit facilitation.
 - f. You want to improve the **image** of your association or members.

Tell participants that the **why** is the first step in the plan. You have to know why you want to give out information. If you do not know why you want to deliver information, the rest of your planning is pointless. The *why* are called **objectives**. Make sure all the key players in your association agree with your plan's objectives.

3. Step 2 is **Who**. To whom do you want to give the message? The *who* is called the **target group** or audience. Ask participants for examples of target groups.
4. Step 3 is **what**. What do you want to tell your audience, what will be your **message**? Messages must be developed to meet specific target groups and needs. Ask participants when a new crop is introduced what kind of information will be given to their members. It will be technical information and where they can get the new crop. Ask them what they would write to donor organizations about the introduction of a new crop. This information will be much more general. Keep in mind **not to overload** your audience with information. Your partner organizations are not interested in how much water per day your new crop needs, they want to know what the new crop is, why it was introduced and what the advantages are. If you give too

much information, you will risk that none of the facts will be remembered. So think for each target group you have selected, which information is worth to distribute.

5. Step 4 is **How** they want to deliver the information. What kind of means are they going to use. Ask participants for examples of the **means of communication**.

Examples are:

- a. Newsletter
- b. E-mail
- c. Website
- d. Brochures or leaflets
- e. Article
- f. Advertisement in the newspaper
- g. Posters
- h. Billboards
- i. Banners
- j. Video / film

Ways to spread:

- a. Internet
- b. Mail
- c. Fax
- d. Telephone
- e. Meetings
- f. Workshop / training programs / conferences
- g. Open house
- h. Radio
- i. Television
- j. Exhibition / exposition

Ask with each suggestion how it can be used and if they have ever used it. If possible show examples (poster, brochures, act sheets, newsletter, etc). Think about **advantages and disadvantages** of each mean (costs, reaching the target group, time consuming, etc).

6. Tell participants that they know now their objectives (why), the target group (who), the message (what) and possible ways (how) to reach your target group. The next step (step 5) is to bring all the information together into **strategies with activities**. Strategies describe an overall direction within a communications plan. Give participants the example of the open house. Say that one possible strategy could be: 'To develop attractive invitations for each target group (public sector, private sector, members, NGOs, etc) so that invitees are tempted to come to the open house.' Ask participants for possible activities. Possible activities are:
 - Develop theme, logo and graphics for all materials
 - Write personal letters of invitation to all invitees
 - Hand over the letter of invitation to important people personally
 - Send other personal letters at least three weeks before the open house
 - Develop a brochure on the open house, etc.

7. Ask participants for the next step. Step 6 is **When** they should do certain strategies and activities and who should be **responsible** for that? The easiest is to make a schedule. Show participants the example of a schedule.
8. Tell participants that the last step (step 7) is **evaluation**. For complicated plans it is necessary to build in evaluation during the process to make sure that you are still on the right track. It is also useful to have an evaluation after the whole process has finished to see where mistakes were made and how they can be avoided next time.
9. Distribute **handout 15.2 and 15.3**.

Note: If there is a specific case the association would like to work on, go through all the steps described above and use the specific case.

15.4 Collection of Information

An association does not only disseminate information; it will also collect it. For most associations the access to information is a problem. They do not know what type of information they need, where to find information and how to tap it. In this exercise participants learn possible sources of information and ways to access the information.

Time needed: 30 minutes

Materials: Flip-sheet
Colored cards
Markers

Procedure:

1. Give each participant three cards and ask them to answer the following question: What **type of information** does your association need? Tell them to write down one item per card.
2. Collect the cards and group them to be as homogeneous as possible.
3. Then ask participants **where and how** they can get this information. Possible sources can be (try to be specific):
 - Libraries
 - Other associations
 - Training institutes
 - Research institutes
 - Donors
 - Technical partners
 - Networks
 - Internet
 - Books
 - Persons

Possible ways to **access** the information:

- Personal visit
 - Sending a request
 - Telephone call
 - Be at a mailing-list
 - Have access via internet to networks, websites
4. Tell participants that if an association has information, they have to use it. For example communicate to their members. Then information becomes an output again.

Handout 15.1 The 3-Minute Test

3-Minute Test or How well do you receive communication?

1. Read everything before doing anything.
2. Print your name in the upper right-hand corner of this paper.
3. Circle the word 'name' in sentence two.
4. Call your name aloud.
5. Write at the bottom of this paper your address.
6. Fold this paper in two.
7. Stand up, turn around and sit down again.
8. On the back of this paper multiply 9 by 3.
9. Then add 3 and divide by 6.
10. Now that you have finished reading carefully as instructed in sentence 1, do only sentence 2.

Handout 15.2 Planning Information Dissemination

When your association wants to give out information, either to members or outsiders, it is useful to go through a step-by-step process. Depending on the occasion and the message you want to deliver every step will be different. But whatever the event is, you have to think about all the steps described below. The purpose is to select the right communication medium for the right audience to attain the objectives that are right for your association within your resource and budgetary constraints.

The steps in realizing success are classics in the planning process:

1. Establish objectives (why)
2. Identify target groups / audience (who)
3. Develop messages (what)
4. Specify communication means (how)
5. Create strategies (how)
6. Create a schedule (when)
7. Establish evaluation intervals

I. Objectives

You have to know *why* you want to give out information. Is it because you want to inform about an event that is going to happen, do you want to tell about changes in your association or do you want to make yourself known (public relations)?

II. Target Group

If you want to give information, you have to know *whom* to give the information to; you have to know your target group. You can develop a complete list by involving all of your organization's key players in identifying critical target groups. Then you look at your objectives and pick out your target group for that specific objective. If your association is organizing a training workshop for its members, then your members have to be informed, so they are the target group. If your association has elected a new chairman, you may want to inform partner organizations. But if your association received a grant from a donor to introduce a new crop variety with your members, then you want to make it known to the whole country.

Examples of target group are:

- Your members
- Potential members
- Farmers' or producers' associations
- Agro-input dealers' associations
- Manufacturers or importers of agro inputs
- Technical partners like Non Governmental Organizations (NGOs), Community Based Organizations (CBOs)
- Donors
- Research institutes
- Government
- Service providers such as transporters, insurance companies, credit institutes, etc.

- Institutes abroad

III. Develop messages

The message is *what* you want to tell to your target group. There are different types of information:

- Technical information: for example on a new crop variety.
- Association information: on upcoming events, new members, changes in the Executive Council, etc.
- Public relations: this is to publicize or advertise your association to attract new members or inform potential partners about your existence, for example with a brochure on your association.

Messages must be developed to meet specific target groups and needs. If you want to inform about the introduction of new crop varieties your members need a lot of specific information, while partner organizations can do with more general facts. Keep in mind to not overload your target group with information. Your partner organizations are not interested in how much water per day your new variety needs, they want to know what the new variety is, why it was introduced and what the advantages are. If you give too much information, you will risk that none of the facts will be remembered. So think for each target group you have selected and which information is worthy to distribute.

IV. Means of communication

The mean of communication is the *how* in the communication plan. How are you going to tell your message to your target group? There are many ways to reach your target group. During your annual survey you may want to poll your members on what types of communication outlets they use to get information (specific newspapers, radio stations or television channels). Below you will find a list with means of communication.

Written

- **Article or advertisement in the newspaper:** With an article or advertisement you can reach a large target group. However, you have to keep in mind that you do not know exactly who you reach. Newspapers are useful for announcement of an event or a new project, or coverage of an event to get publicity to be better known. When you have something very important to announce, you can also call a press conference in which you invite all press.
- **Brochures or leaflet:** Brochures are small printed publications on certain projects, events or any other topic. They are easy to hand out and can be used to give general information on your association or certain projects or to announce special events. Make sure you always print the name, address, telephone-number and e-mail address of your association so people know how they can reach you in case they have more questions.
- **Direct mail:** This is sending a newsletter, invitation, brochure or other printed or written items to a person or organization via the mail.
- **E-mail:** E-mail is an electronic mailing-system you can access in an internet café or any place with a connection to the internet (for example: the office of your association). You can open an e-mail address for free for example with Yahoo or Hotmail. The biggest advantage of e-mail is that it is very fast. You send your mail

and few seconds later the other person can read the mail. The disadvantage is that not many people have access to the internet or not on a regular base. However, most of your partners will have access to e-mail, so you can use it to inform your partners.

- **Fact sheets:** Fact sheets are single page documents with basic or background information on certain subjects. For example on spraying practices, new seed technologies or a special type of food processor. They are easy to hand out and relatively inexpensive.
- **Internet:** Internet is a kind of library for computers. Via the telephone (or satellite) a computer can 'log in' on the internet and get information. It is possible to have a place in this library which is called a website. If someone types in your website address he/she can access your website and look up the information you provide. It is possible to have a website for your association, but it is also possible to link up with already existing websites.
- **Newsletter:** A newsletter is a periodic written publication. It can be in written form or electronic (via a website or e-mail). It can be used to update members about the latest news and day-to-day activities of the association and to remind them of your association. Members can be asked to deliver items for the newsletter to keep them involved. The newsletter can be sent to partners as well.
- **SMS:** This is a text message you can send with your mobile phone to another mobile phone. The message will arrive a few seconds after you have sent it and it is inexpensive to send.

Visual

- **Billboards:** Billboards are large boards you will find at the side of the road. They are useful to announce events like an open house, workshop or major events such as a trade show.
- **Exhibition / exposition:** An exhibition gives information by showing relevant items. You can for example show your processed food products, a new seed variety or new agricultural equipment. You can have a permanent exhibition (in your office) or on special events (open house or meetings).
- **Posters:** A poster is a large sheet that you can put up on the wall. It can be used to describe a process (e.g. first aid in case of poisoning) or to introduce your association. You can use posters to hand out to people to put them in their offices or homes, or during training workshops or meetings to explain things.
- **Video:** A video is a short film on a certain subject. It can serve to introduce your association or to give information on technical issues like harvesting or marketing. A video is most effective when it is short. When you give too much information people will not remember the main points.

Verbal

- **Meetings:** meetings can be done on a regular basis (every month, every year) or for special circumstances. Meetings are a good way to reach your members. To make sure you reach all your members, you can also hold regional (or district, state, province) level meetings.
- **Open house:** an open house is a day where outsiders (like technical partners, donors, other agribusiness organizations, government officials, etc) can visit your association. During an open house you show your office, tell about your association and give

some demonstrations on what you do. You can display products and hand out brochures or reports. An open house is good to involve members from different areas. It also gives the chance for members from other areas to visit the office and ask questions.

- **Radio broadcasts:** especially in rural areas this is one of the most efficient ways to reach farmers and other stakeholders. You can use it to announce special events and meetings, but also for week-to-week activities. If you want to use it on a weekly or monthly basis, it is best to choose a fixed day and time for broadcasting.
- **Telephone:** the telephone works quickly and you can reach a specific person. It is a good way to inform persons about pressing items or coming events. You can give a follow up to a telephone call to send the person some extra information via the mail.
- **Word of mouth:** use people to inform other people. If you have regional representatives they can inform the grassroots level about up coming events or meetings. To make sure all members are informed, it is good to set up an official list. For example Mr. A is informing Mr. B, C and D. Mr. B is informing Mr. E, F and G, etc.
- **Workshop / conference:** a workshop or conference always has a learning objective. It can be used to teach your members something on a certain subject and to exchange ideas.

Some communication means will reach many target groups, such as newspapers and radio, while others are specific to just one key target group, such as direct mail or sms. Some are useful when used once, such as an advertisement, while others return on a weekly or monthly base, such as newsletters and meetings. Some are formal, such as conferences, while others are informal, such as word of mouth. Which means you use, depends on the message and the target group. Sometimes you can use a mix of several options.

For example, if you want to organize an open house and your objective is to invite all your partners (public sector, private sector, technical partners, etc.) and all your members, your schedule will look like this:

Target group	Message	Means of communication
Partners with personal contact	Personal invitation for open house	Direct mail: letter of invitation plus brochure on open house
Partners without personal contact but useful partners in the future	Open invitation for the open house	Direct mail: letter of invitation plus brochure on open house and brochure about the association
Partners without personal contact and not future partners and possible future members	Invitation for the open house	Advertisement in the newspaper
Members	Invitation for the open house	Advertisement in the newspaper, word of mouth, radio broadcast, via personal invitation committee of group

		members
Members that are member of a committee or regional groups	Personal invitation	Direct mail with letter of invitation plus brochure on open house

V. Strategies

Now you know your objectives, your target groups, your message and possible ways to reach them. The next step is to bring all the information you have developed to this point to create strategies, with supporting activities, to achieve your objectives. Strategies describe an overall direction within a communication plan. Activities are specified actions that support strategies.

Example

Strategy: To develop attractive invitations for each target group (public sector, private sector, members, NGOs, etc) so that invitees are tempted to come to the open house.

activity 1: Develop theme, logo and graphics for all materials

activity 2: Write personal letters of invitation to all invitees

activity 3: Hand over the letter of invitation to important people personally

activity 4: Send other personal letters at least three weeks before the open house

activity 5: Develop a brochure on the open house

etc.

In our example you also need to develop a strategy to reach all members, other organizations, etc.

VI. Schedule

There are many reasons to create a schedule for your completed plan. The best reason is that it allows you to see one step at a time, the entire program, with all essential interrelationships. Further, it requires you to establish ‘trip’ dates for key activities. For instance, if you want to organize your open house in June, your calendar should indicate that advance work must include preparation of brochures in March, media contracts and arrangements in April, and all confirmation, including demonstrations of members in May.

It is important to include virtually every element of the campaign in one comprehensive and integrated plan. When you can see the target activities in one continuous and linear program calendar, more opportunities and spin-off possibilities may become visible. Make sure you have enough time and also take into account that for some activities you depend on other persons. If you want to print a brochure, you have to take into account that printing companies also have other jobs.

Example of schedule

Strategy: To develop attractive invitations for each target group (public sector, private sector, members, NGOs, etc) so that invitees are tempted to come to the open house.			
Activity	Time frame	Responsible	Notes
Develop theme, logo and graphics for all materials	End January (week 4)	chairman of event committee	For design ask professional company

Develop a brochure on the open house	Middle of February (week 6)	chairman of event committee	For design ask professional company
Write personal letters of invitation to all invitees	End February (week 8)	Secretary	
Hand over the letter of invitation to important people personally	First week of March (week 9)	Executive Council	
Send other personal letters at least three weeks before the open house	First week of March (week 9)	Secretary	

Another way is to make a time-line

Activity	Time schedule (per week number)																Responsible
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	
Develop theme, logo and graphics for all materials	→																chairman of event committee
Develop a brochure on the open house				→													chairman of event committee
Write personal letters of invitation to all invitees							→										secretary
Hand over the letter of invitation to important people personally							→										Executive Council
Send other personal letters at least three weeks before the open house							→										secretary

VII. Evaluation

It is important to build periodic evaluation points into the calendar. For multi-year plans, evaluation dates should be included at least once each year. For shorter plans, six-month evaluation intervals are a minimum. When you take the time to evaluate your entire program at one specific point in its progress, you can make required changes to achieve your goals.

In closing, it is important for you to realize that the program outlined in this document should only be used as a guide to developing a workable plan with a structural format that should allow any type or size of association to begin its own communication planning. Proper planning in the communication field is what separates the professionals from the amateurs.

From: IFDC, KADP Association Modular Training Manual

Handout 15.3 Information Delivery

One of the reasons that members join associations is to receive information that can help them to make better decisions about running their businesses. To best serve the members, the association and its staff must be able to access the kind of information that members need and to be able to distribute that information in timely and efficient manner. In addition to the membership, there are other potential target groups that your association will want to communicate with including the media, the governmental community, the business community, related associations and organizations, and the general public. Each of these groups may have to be reached in a different way or with different kinds of information.

The association spokesman

Your association is made up of numerous individuals and groups including the association executive, staff members, officers, executives, committees and individual members. With all these potential sources of information it is imperative that the association designate who will be the official source of information for the group. More than one source of information can cause confusion about the position of the association and can cause the body to lose credibility with those it is trying to serve.

In many cases the association office will be considered to be the clearinghouse for any information that is given out by the association. The information may have been developed by a staff communications person, a communications committee, the president or by the association executives but it should be cleared through a designated person/office so that the output is consistent with association policy.

Target groups and messages

It is important that your association identifies its target groups when sending out information. Your members will probably demand the most information from the association and it will possibly contain the most discreet or proprietary information. This kind of information may not be appropriate to distribute to the media or the general public. Conversely, a general news item may not contain the type of specific information that association members demand.

Once again it is the responsibility of the association staff member or office in charge of communications to ascertain who the target group is and the amount of information that is to be released to that group.

Just as target groups are specific, so is the type of information that is sent to them. While an item aimed at members may contain several points with considerable information on each, a news release should probably have only a few main points with only enough supporting material to make the story interesting. Information placed on a website is designed to reach any target group that is computer literate and therefore can be more extensive allowing the reader to delve into the topic as deeply as desired.

Methods of communication for associations

There are numerous methods for the association to communicate with its members and others. An association should look at the communication vehicles available and choose

those that seem to be most appropriate for their purposes and will most efficiently communicate with their target group. Using too many or inappropriate communication vehicles could mean that undue resources are being expended without reaching the desired target group.

With the great variety of association communication vehicles available, a vast array should be considered, but those most commonly employed are:

- *Newsletters*: Probably the most common method for associations to communicate with its members. They are sent at regular intervals and the hardcopy form received in the mail is still presented in a manner that is most comfortable to many of today's association members. Mailed newsletters have the disadvantage of slower communications in this faster paced world, and are costlier due to printing and mailing charges. E-mail or online newsletters may be an answer to the cost and timeliness problems, but for many associations, this method may not reach a portion of their intended target group.
- *Websites*: Allow for any individual to access information from your association at the time that they need it, and once the site has been established, costs are low. Once again, this method only will be successful if most of the members have access to the internet. This method does not work as well for communications that are intended to be read in a timely basis since it is passive and the user must remember to look into the website to receive rather than being prompted.
- *Informational meetings*: Meetings provide an interactive and focused way for information to be dispersed. Meetings take a great deal of time and resources to arrange and attend, and may not always contain the kind of information that association members need.
- *Brochures*: Provide a method of dispersing specific information in an attractive and condensed manner directed toward a specific set of individuals. Costs for printing could be a detriment, and the method of distribution may not be sufficient to reach the desired target group.
- *News releases*: Provide an inexpensive way of releasing information to a large number of individuals. Usually the releases cannot contain very specific information and placement in the newspaper may mean that all the members of the anticipated target group do not always see them.
- *Magazine articles*: A method of dispersing information to a focused target group. Information is less timely due to the periodical nature of the magazine.

Timing of information

Some of the information to be communicated from the association to members and others is about activities that will occur at distinct times. This information has to be released in time for the designated target group to plan and prepare for the upcoming event. To insure that this information is released on a timely basis, a calendar should be created that will outline the dates for each activity that will occur in the communications schedule.

In addition to establishing a timetable for each activity, a calendar also allows for a total view of the communications program for the program year. It will show all the steps or activities that will occur and insure that the membership will get a constant flow of information from the association during the entire cycle.

Evaluating the information services

No service will be designed perfectly and even good services will have to evolve to fit the changing needs of the association, the members and programs. An evaluation should be established to insure that the service is meeting the needs and expectations of those it is to serve. An annual review of the services using input from association staff, executives and association members will help assure that the service is both efficient and meeting the needs of the membership.

From: IFDC, KADP Association Modular Training Manual

16. FACE: Education



16. FACE: Education

Education is part of *capacity building*, and is the last component of FACE. It consists of transferring knowledge and teaching skills in order to change behavior and improve the professional life of the members of the association. In this session participants will discuss different types of capacity building programs and will learn how to organize such a program.

After the session participants:

- Know different types of capacity building programs
- Know how to organize such a program

Content exercises (total time 1 hour and 45 minutes)

16.1 Educational programs (45 minutes)

16.2 Organizing educational programs (60 minutes)

Handouts

16.1 Checklist

16.1 Educational Programs

Objectives: To identify different types of educational programs

Time needed: 45 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Explain that we are going to the next step in FACE: Education. Tell participants that also the term **capacity building** is being used. Ask if someone can explain the term 'capacity building' (transferring knowledge and teaching skills).
2. Brainstorm with the group on educational programs an association can organize. Make sure to mention:
 - **Study tour:** a trip in the country or abroad in order to share experiences with other organizations or companies and study their successes and failures. Feedback, including recommendations, should be given to the association.
 - **Trade tour:** a trip in the country or abroad to meet business partners (suppliers, customers) and develop business linkages. During a trade tour participants improve their knowledge of the markets and business environment, have the opportunity to practice their contact skills and negotiation skills, and make business deals.
 - **Field day:** a demonstration in the field or on-the-job (e.g. in a shop) to show participants (farmers, dealers, customers, etc.) a new technology (e.g. new hybrid carrot seed, new cocoa dryer), new techniques (e.g. spraying techniques) or best practices (e.g. integrated soil fertility management, organization of storage premises). A field day can be part of a larger field demonstration program.
 - **Sensitization:** creating awareness about a certain topic (for example on the risks of using fake products) within the target group. By hearing and/or seeing participants become aware of something (e.g. the foreseen risk of infestation by locusts) and are encouraged to take necessary action (e.g. to harvest earlier or to prepare the sales of anti-locust insecticides).
 - **Training program:** transferring knowledge and teaching skills during a fixed course. A trainer will take participants through a prepared program in which one or several topics are explained. A training program is a very good way to teach topics that are non debatable, such as technical topics.
 - **Workshop:** similar to a training program except that knowledge is transferred and skills are taught in a more interactive and participatory way. A facilitator will take participants through a program in which participants exchange ideas and try to apply these ideas to their situation.
 - **Round Tables:** meeting between several stakeholders to discuss a certain topic.
 - **On-the-job training:** like an internship in which a person learns knowledge and skills while working with people on the spot, for example in a shop, on the field or in an office. The training can be for one day, one week or even one month or longer. The objective is that the person sees in practice what has to be done.

- **Training-of-Trainers (ToT):** training course in which participants learn *how to train*. In a Training-of-Trainers the focus is not on technical issues (*what to train*), but on the *skills* a trainer should have to transfer information.
3. If the association already exists for a long time, ask participants what type of educational programs they have organized already. Ask them what other program would be desired and feasible.
 4. Ask participants how they can add value to their educational programs. Mention:
 - a. **Show value:** You can show the value using data from previous program, for example deals that were made during a study or trade tour, or extra profit that was made on crops that producers planted after visiting a field day or demonstration plot.
 - b. **Certificates:** To encourage participation and to add value to your program the certificates should be given only to those who passed a test. An alternative is to give *certificates of competence* to those who passed the test and *certificates of attendance* to those who failed.
 - c. **Recognition:** Try to get your programs officially recognized (or patronized) by the government or licensing service. The first step is to get permission to print on the certificate that it is officially recognized by the government. The ultimate goal could be to that your association is the official provider of educational programs that are required to apply for a distribution or export license. Also a partner can recognize a program (e.g. to be eligible to a grant program).

16.2 Organizing Educational Programs

Objectives: To learn all steps to organize an educational program

Time needed: 60 minutes

Materials: Flip-sheets

Markers

Questions to be answered written on cards

Handout 16.1

Procedure:

1. Tell participants that to organize an educational program several steps need to be taken. Brainstorm together on what these steps could be:
 - i. Conduct a needs analysis
 - ii. Define the content
 - iii. Identify the persons involved
 - iv. Define the venue
 - v. Define the timing
 - vi. Develop the approach, methods and training aids
 - vii. Identify the funding/cost
 - viii. Prepare the evaluation
 - ix. Follow up

2. Show a table in which all steps are written and an empty column for ‘questions to be answered’ and ‘responsible’. Now distribute the cards where all ‘questions to be answered’ are written on. Ask participants to paste them behind the correct step. Discuss each step and add who is responsible for this step.

Step	Description	Question to be answered	Responsible
i	Need analysis	What is the PROBLEM and can the problem be solved with a training program?	Association
ii	Content	WHAT does our association have to organize to fill in the learning gap?	Association
iii	Persons	WHO is the target group (the participants)? WHO are the resource persons (the facilitators, the trainers)? WHO are the organizers	Association
iv	Venue	WHERE is the capacity building program going to take place?	Association
v	Timing	WHEN will the capacity building program take place?	Association
vi	Approach, methods, training aids	HOW will the knowledge be transferred?	Trainer / facilitator
vii	Funding	HOW will our association cover the costs of the capacity building program?	Association
viii	Evaluation	What is the REACTION of the participants? What is the LEARNING of the participants?	Trainer / facilitator

ix	Follow up	Did the participants change their BEHAVIOUR? What are the RESULTS of the capacity building program?	Association
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- i. **Needs analysis:** with a needs analysis you define the problem that needs to be addressed and the solution to solve that problem. Can be done by interviewing members on-the-job or during a joint event, by observing the behavior and business of members on-the-job, and by a questionnaire during a joint event (such as the general assembly).
- ii. **Type and content:** try to develop several options.
- iii. **Persons involved:** participants, facilitator/trainer, organizer.
- iv. **Venue:** in which country, in which town or village, in a conference room in a hotel or in the field under the mango tree, in the shop of a member or on a demonstration plot for an on-the-job training?
- v. **Timing:** which month, day, date, morning/afternoon, time schedule.
- vi. **Approach, methods and training aids.** For each topic it needs to be discussed what training method will be used to transfer the knowledge and what training aids are needed.
- vii. **Funding/cost:** how much does it cost and who will pay what?
- viii. **Evaluation:** reaction (did they like the program), learning.
- ix. **Follow up:** behavior and results (consequence of the behavioral changes).

Note: the evaluation and follow up for a training program is completely different of evaluation and follow up of a project.

3. Handout the checklist (**handout 16.1**).

Handout 16.1 Checklist

Action	Responsible	Deadline
PARTICIPANTS		
Preparation of tentative list of participants		
Send informative e-mail/SMS to participants		
Finalize list of participants		
Prepare invitation letters		
Prepare information note, to specify the modalities of the cost coverage		
Send (e-mail, post) invitation document to participants including i) invitation letter, ii) note on cost modalities and iii) program		
Check for feedback/follow up on the availability of participants		
PROGRAM		
Identify resource persons (trainers, facilitators)		
Prepare a program with resource persons		
Give resource persons feedback on the program, inform them about the topic, and set deadline to collect handouts		
Discuss with each resource person which training aids are needed		
PUBLIC RELATIONS		
Assign one person for press contacts		
Contact the press for the announcement of events (get quotations)		
Prepare a press release		
Prepare a text for banners		
Order the banners		
DOCUMENTS		
Copy the program		
Copy the handouts		
Prepare a registration form and copy		
Prepare a learning test with support of the resource persons and copy		
Prepare an evaluation form (to check the overall reaction of the participants) and copy		
Copy the list of participants to be put in files for the participants		
Prepare a pre and a post test		
Prepare certificates of attendance and certificates of competence for the participants who passed the test		
FINANCE		
Prepare the budget		

If needed, prepare declaration forms and envelopes to reimburse costs to the participants		
PARTICIPANTS FILE		
Buy badges or name tags		
Prepare the badges with proper logos		
Buy files, pens, and notebooks (or paper)		
Collect information on the association and partners to be put in the files		
Collect all handouts and prepare a table of contents if necessary		
Prepare the files. To insert: registration form, temporary list of participants, program, notebook or paper, pen or pencil, association and partner brochures, general information sheet, other trainings planned by the association and partners, other useful documents, handouts		
TRANSPORTATION		
Prepare a list of participants with all travel details (date of arrival and departure, mode of transportation, prepaid or reimbursement)		
Communicate with all participants about travel arrangements (including cost coverage)		
If needed, make flight reservations		
Pay and send air tickets by PTA or express mailing		
If needed, help with obtaining visa		
Communicate final travel arrangements to all participants		
Give participants routing to the administration for accommodation and departure (study the possibility of using the hotel shuttle service)		
If needed, hire cars and drivers for the duration of the training		
HOTEL		
Negotiate with the hotel (price list for rooms, buffets, conference rooms, etc.)		
Confirm the hotel reservation by an advance payment as agreed with the hotel		
Set up of a daily list of room entries and exits with names of participants		
Check the arrangement of rooms		
Check the arrangement of the conference hall (setting of chairs and tables, lights and air conditioning, place of data projector, microphones, screen, plugs, extension cables, translation equipment)		
Check the availability of training aids (data projector, flip-sheets, flip-sheet board, screen, colored cards, etc.)		
Check coffee breaks and meals arrangements (timing, quantity, place)		
Prepare food coupons for each day of common meal		

Prepare a welcome letter and copy and give at the hotel reception to give to guests upon their arrival		
OFFICE OF SECRETARIAT		
If possible, make available an office serving as secretariat with an external telephone line and an Internet service		
For the secretariat, buy the necessary stationery (large and small envelopes, printing paper, stapler, staples, paper clips, receipt book, markers, cello tape, colored cardboard, post-it notes, scissors),		
Draft a list of computer equipment: computer with CD writer, laptop, extension cables, color printer, cartridges (spare black and color), printing paper, writable CDs, USB sticks		
Make sure that a sign board is available at the entrance of the conference room for the transmission of messages		
OTHER LOGISTICS		
If needed, contract translators		
If needed, rent equipment for simultaneous translation		
Prepare files for translators (program, list of participants, information on the association, handouts)		
Organize a group picture		
Arrange the sound system		
Draft the list of required training aids: laptop, screen, data projector, extension cables, pin-board, pushpins, flip-sheets, markers, etc.		
Test all equipment (including data projectors, microphones, etc.)		
Prepare a table for handing out files and badges (list participants in alphabetical order)		
AFTER THE WORKSHOP		
Send thank-you letters to participants and partners		
Write and send the proceedings of the workshop		
Promote the workshop through an additional press release		

17. The Planning Process



17. The Planning Process

Associations prepare an action plan to describe the process how to get from one situation to another. If an association wants to go from point A to B it is necessary to know the best way to get there, since there are many ways. Planning has the purpose to choose the best way to reach the objective. There are many sophisticated methods to make a plan, and there is much terminology to support the planning process. However, an elaborate plan does not necessarily mean it is a good plan. To make a good plan a few conditions have to be taken into consideration. Besides, there are certain steps that can help in preparing a good plan. In this session participants learn to set priorities, to formulate activities and to use this information preparing an action plan.

After the session participants should be able to:

- Go through the planning process to plan activities
- Formulate objectives and activities
- Prepare a plan of action

Content exercises (total time 4 hours)

- 17.1 Introduction of the topic (15 minutes)
- 17.2 The planning process (45 minutes)
- 17.3 Formulating objectives (45 minutes)
- 17.4 Activities: but how? (15 minutes)
- 17.5 Preparing the plan of action (120 minutes)

Handouts

- 17.1 Rowing to New York
- 17.2 The planning process

17.1 Introduction of the Topic

Objectives: To introduce participants to the topic and to show them that planning is necessary to get somewhere

Time needed: 15 minutes

Materials: Handout 17.1 'Rowing to New York'

Procedure:

1. Read participants the story 'Rowing to New York'. Change name and destination to the local circumstances.

Rowing to New York

One day Kojo Boateng from Takoradi decided to visit his brother in New York. He took his car and started to drive towards the Market Circle, where he stopped to look around, scratched his head and thought about what to do next. Fortunately at the intersection he saw his neighbor.

"Can you please tell me in which direction New York is?" asked Kojo.

"Well, New York is to the west", answered the neighbor and he pointed out the direction.

Kojo thanked his neighbor and drove to the street his neighbor had pointed out.

Assuming that he might have a bit of a trip ahead of him, Kojo stopped at Barclays and withdrew 300,000 cedis. Then he tanked up at the Shell station a bit further and headed west.

He was driving and driving until he reached a kind of fence. "I want to go to New York", said Kojo when someone asked him where he was going. The other person laughed a bit and said: "Well, for that I need to see your passport". Of course Kojo did not have a passport. "Then I cannot let you pass", said the person. "But I have to go to New York", said Kojo, "Please tell me, can I take another road?" The other person laughed now even louder and said: "Well, you can try via the ocean!"

Kojo looked around and did not see any ocean. "But where can I find the ocean?", he asked. "Just go left", said the other person. And Kojo turned left and drove until he reached a lot of water.

"For water I need a boat", thought Kojo and he started to ask around to rent a boat. It was not that easy but finally he found a fisherman who was willing to rent out his boat for 100,000 cedis. Although Kojo thought that was a bit expensive, he paid the guy and put the boat in the water. And started to paddle.

Of course this water was the Atlantic Ocean and that is the last anyone has heard of Kojo Boateng. He is out there somewhere, in the middle of the ocean, trying to row to New York with one paddle.

2. Discuss the story with participants. Ask them why Kojo did not reach New York.
 - Limited resources
 - No long term planning
 - No idea of where he was going exactly
 - No ideas of procedures of international travel (passport for crossing the border)

But he was very enthusiastic and asked a lot of questions on the way. He asked valid questions and had correct answers but still that took him to the wrong outcome.

3. Tell the participants that the next topic is the planning process to plan activities.

17.2 The Planning Process

Objective: To introduce participants to the different steps in the planning process and to the SMART theory

Time needed: 45 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Ask participants if they want to travel from Ghana to New York, what general things do they need to know before they start their travel.
 - a. *Where* are you *now* (starting point)
 - b. *Where* you want to *go* to (ending point)
 - c. *How* you want to get there (the process)

The **starting point** describes where you are now and how the situation is at this moment. The **ending point** shows where you want to go to. What is the situation you have in mind? The **how** describes the process of how to get from the starting point to the ending point.

Ask a few participants how they got at the place where you are now. Refer to the starting point, the ending point and how they got there.

2. Tell them to reach that ending point they need a **SMART** plan. Ask if anyone knows where these letters stand for, explain otherwise.
 - **Specific:** it should be clear what you want and how you want it. Make sure that statements are only interpreted in one way (i.e. not leave room for alternative interpretation).
 - **Measurable:** the results must be clear and identifiable.
 - **Achievable and Agreed upon:** your ending point and ways to get there must be within your scope of resources. It is also important that all stakeholders involved support the planning process.
 - **Realistic and Relevant:** plans have to be practical, reasonable and sensible. Besides, they have to be related to your existence as association.
 - **Time bound:** there should be a time limit.
3. Tell participants that there are certain steps to take when one goes through a planning process. In this course we will limit ourselves to four steps. What do they think are steps to be taken? They have to think about the starting point, ending point and process.
 - a. Define **objectives**
 - b. Define a **strategy** consisting of:
 - Activities
 - Resources
 - Time-frame
 - Responsibilities
 - Budget
 - c. Set **indicators**

d. Set **monitoring and evaluation** moments

4. Briefly explain for each step what it consists of with special attention to:
- **Objectives:** describes the ending point, desirable situation for the future, and is stated in an active ‘to do’ way with time-frame
 - **Activities:** describes how an objective can be achieved
 - **Resources:** describes what is needed to implement the activity (human resources, documents, etc, financial resources will fall under budget)
 - **Time-frame:** deadline, or starting time and ending time
 - **Responsibilities:** describes who will be responsible for the activity, it has to be one person, otherwise no-one will take the responsibility
 - **Budget:** how much will the activity cost?
 - **Indicators:** describes the result after the achievement of the objective, for example: memorandum of understanding with a partner to implement activities
 - **Monitoring and evaluation:** monitoring is a process during the process to see if activities are still on track and if adjustment is necessary, while evaluation takes place at the end of an activity or project to see if objectives were achieved

To structure the strategy clearly it is easy to put it in form of a table:

Objective 1:					
Description of activity	Indicators	Resources needed	Time schedule	Responsibility	Budget
Objective 2:					
Etc.					

Ask for an example and try to complete the table for that example.

17.3 Formulating Objectives

Objective: To formulate objectives

Time needed: 45 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Ask one of the participants to describe what an **objective** is (a description of what you would like to achieve).
2. Look at all exercises that the group went through during this training workshop or previous workshops (especially **session 11** on internal communication and all sessions on FACE). Split the group into subgroups and give them the following headings:
 - a. Organizational strengthening of the association
 - b. Services to members
 - i) Financial benefits
 - ii) Advocacy
 - iii) Communication
 - iv) Education
 - c. Financial sustainability

Let each group write down maximum 3 objectives under each heading.

3. Discuss the results in plenary and modify if necessary. The final results could be as follows:

1. Organizational strengthening of the association

- 1.1 To optimize the functioning of the association
- 1.2 To raise membership
- 1.3 To create a well functioning communication network among the members
- 1.4 To improve the involvement of members in activities and meetings

2. Offer services to members: FACE

- 2.1 Financial benefits
 - 2.1.1 To facilitate access to credit
 - 2.1.2 To organize a trade fair
 - 2.1.3 To negotiate discounts for your members
- 2.2 Advocacy and lobbying
 - 2.2.1 To get official recognition from government and partners
 - 2.2.2 To start a program to fight illegal trade and counterfeiting
- 2.3 Communication
 - 2.3.1 To disseminate useful information to your members
 - 2.3.2 To build alliances with partners (you can identify specific partners)
 - 2.3.3 To improve the image of your profession by awareness creation campaigns
- 2.4 Education

- 2.4.1 To organize training programs (try to be specific)
- 2.4.2 To organize study tours
- 2.4.3 To organize field days
- 2.4.4 To set up demonstration plots

3. Financial sustainability

- 3.1 To set up a sound record and bookkeeping system
- 3.2 To collect dues and fees
- 3.3 To collect fees for services from members
- 3.4 To find sponsorship for activities

17.4 Activities: But How?

Objective: To show that activities have to be described clearly

Time needed: 15 minutes

Materials: None

Procedure:

1. Tell participants that in the next exercise we are going to **formulate activities** to achieve objectives. Activities can serve as guidelines so that everyone knows what to do and what is expected. Therefore it is important that activities are clear. For example when the objective is to organize at least one training workshop, it is not sufficient to write: To organize a training workshop.
2. Tell participants that before we start we are going to do a little exercise that is called **“But how?”** You can give a little example (together with a colleague). You have an objective and you are going to describe how you are going to achieve this. Every time you say something, your colleague will ask: But how?

The objective is that you would like to go somewhere.

But how?

I will take a taxi.

But how?

I will walk to the road, stop a taxi, get in and go.

But how?

We will go via ... and ... and than arrive at ... where I get out.

But how?

I will get out and pay the driver.

But how?

With money.

But how?

I go to the bank.

But how?

I take a taxi.....

3. Participants have to pair up and each participant can select an objective as formulated under **exercise 17.3**. They will try to explain to their partner how they are going to achieve this objective. The only response their partner can give is: But how?
4. After a few minutes swap roles.
5. Tell participants that a plan of action should never contain all the details that were mentioned during the exercise. It is just to give them an idea of activities and that there is a lot involved in organizing something.

17.5 Preparing the Plan of Action

Objective: To prepare a first draft of a plan of action.

Time needed: 120 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Write all **objectives** identified in **exercise 17.3** on separate flip-sheets and paste them on the wall. Give each participant a marker and give them each one or two objectives to work on (depending on the size of the group). Tell participants that they have to identify **activities** for each objective.
2. Let participants walk around to see what others wrote down.
3. Discuss the results in plenary. (If you notice that participants have problems identifying activities, you can also let them circulate and add activities to other sheets as well).
4. Take one of the objectives as an example and list all activities in logical order. Together with the group write down **indicators**, **resources needed**, **time schedule**, who will be **responsible** for each activity and the **budget**.
5. Split the group into subgroups and give each subgroup two objectives. For each objective they have to prepare the following table:

Objective 1:					
Description of activity	Indicators	Resources needed	Time schedule	Responsibility	Budget
Objective 2:					
Etc.					

You can tell participants to put the activities in the most logical order and then complete the rest of the table.

6. Each group has to present the results. Finalize the plan of action with the group.

Note: You can do this exercise for the annual plan of action but also for a longer term (3 years). For a plan of action for a longer term, you do not have to describe activities in detail. Inform participants about the time frame before you start the exercise.

Handouts Session 17

17.1 Rowing to New York

An adaptation of Rowing to Paris

One day Kojo Boateng from Takoradi decided to visit his brother in New York. He took his car and started to drive towards the Market Circle, where he stopped to look around, scratched his head and thought about what to do next. Fortunately at the intersection he saw his neighbor.

“Can you please tell me in which direction New York is?” asked Kojo.

“Well, New York is to the west”, answered the neighbor and he pointed out the direction.

Kojo thanked his neighbor and drove to the street his neighbor had pointed out.

Assuming that he might have a bit of a trip ahead of him, Kojo stopped at Barclays and withdrew 300,000 cedis. Then he tanked up at the Shell station a bit further and headed west.

He was driving and driving until he reached a kind of fence. “I want to go to New York”, said Kojo when someone asked him where he was going. The other person laughed a bit and said: “Well, for that I need to see your passport”. Of course Kojo did not have a passport. “Then I cannot let you pass”, said the person. “But I have to go to New York”, said Kojo, “Please tell me, can I take another road?” The other person laughed now even louder and said: “Well, you can try via the water!”

Kojo looked around and did not see any water. “But where can I find the water?” he asked. “Just go left”, said the other person. And Kojo turned left and drove until he reached a lot of water.

“For water I need a boat”, thought Kojo and he started to ask around to rent a boat. It was not that easy but finally he found a fisherman who was willing to rent out his boat for 100,000 cedis. Although Kojo thought that was a bit expensive, he paid the guy and put the boat in the water. And started to paddle.

Of course this water was the Atlantic Ocean and that is the last anyone has heard of Kojo Boateng. He is out there somewhere, in the middle of the ocean, trying to row to New York with one paddle.

Background

The story ‘Rowing to New York’ describes how a great number of associations conduct their planning. With a great deal of enthusiasm and a certain amount of resources, asking questions and receiving answers along the way, they strike out in the general direction of the future, confident that they will solve every problem and cross every barrier that they confront. Ultimately, most will discover that this is not good enough.

In the realities of our world, to successfully travel to New York you must first have a better understanding of New York than a vague sense of where it is. It is important to know not only that there is an ocean between New York and Africa, but also that New York is located in another country in a different time-zone, where they use a different currency and where the government really does prefer that you show up with a valid passport and visa already in hand.

Successful plans take many forms and are used to accomplish a boundless array of purposes both large and small. We are all planning constantly. Even a mob follows a plan of sorts; it is just poorly conceived and incoherent. Good planning is the result of clearly identifying the result desired, understanding the nature of obstacles in the way and selecting the pathway that will bring the group to a successful conclusion. Planning is a matter of answering questions. The starting point on the road to good planning is asking the right questions in the right order.

The questions will vary according to the result pursued. Some are universal and almost always need to be asked, such as:

“What activities do we actually want to do?”

“What do our members expect of us?”

“Who or what are our partners?”

Some are more specific to the needs of a specific group in a specific discipline, such as:

“Who will be responsible for deciding if we start a new project?”

“How can we reach our members?”

“How can we get access to finance?”

Selecting the correct questions, placing the questions in the best sequence, and answering them completely is essential to a successful plan. This is a theme you will find repeated throughout ‘Rowing to New York’. Kojo Boateng asked valid questions and received correct answers that took him to the wrong outcome.

Handout 17.2 The Planning Process

Associations make a plan to describe the process how to get from one situation to another. If an association wants to go from A to B it is necessary to know the best way to get there, since there are many ways. Planning has the purpose to choose the best way. There are many sophisticated methods to make a plan, and there is much terminology to support the planning process. However, an elaborated plan does not mean that it is a good plan. To make a good plan a few conditions have to be taken into consideration. Besides, there are certain steps that can help in making a good plan. This handout provides the conditions and steps that can be useful in setting up a plan.

Conditions

There are three questions you have to keep in mind while planning:

1. *Where* are you *now* (starting point)
2. *Where* you want to *go* to (ending point)
3. *How* you want to get there (the process)

The starting point describes where you are now and how the situation is at this moment. The ending point shows where you want to go to. What is the situation you have in mind? The how describes the process of how to get from the starting point to the ending point.

To make sure you will get to that ending point you need a plan that is **SMART**:

- *Specific*: it should be clear what you want and how you want it. Make sure that statements are only interpreted in one way (i.e. not leave room for alternative interpretation).
- *Measurable*: the results must be clear and identifiable.
- *Achievable and Agreed upon*: your ending point and ways to get there must be within your scope of resources. It is also important that all stakeholders involved support the planning process.
- *Realistic and Relevant*: plans have to be practical, reasonable and sensible. Besides, they have to be related to your existence as association.
- *Time bound*: there should be a time limit.

You should keep in mind these conditions through the whole planning process.

Steps to take

There are many ways to make a plan. The following steps are recommendable to come to a comprehensive plan:

1. Define objectives
2. Define a strategy consisting of
 - a. activities
 - b. resources
 - c. time-frame
 - d. responsibilities
3. Set indicators
4. Set monitoring and evaluation moments

After this the activities can be implemented.

1. Objectives

Objectives describe where you want to go to: the ending point. They tell the desirable situation for the future. Objectives are an orientation to guide actors; they give direction to the activities of an association. If you define your objectives you have to know where you are at this moment, you have to know your starting point. For example if your objective is to send a newsletter to at least 50 of your members, but you have already sent it to 60 members every month, then your objective is no longer useful. It has already been achieved. In this case a valid objective would be to send the newsletter to 50 *new* members that are not on the mailing list yet.

Because objectives should guide the actors, they should be clear, understandable and accepted by all actors. Besides, they should be realistic and achievable. Sometimes you formulate an objective and after going through the whole planning process you may realize it is not realistic at all. For example if your objective is to train 500 members, but you only have one staff available and no resources to hire outsiders, your objective may not be feasible. In that case you should adapt your objective or make sure you locate additional resources. An objective is best stated in an active way and should have a time limit in it: by the end of this year, in the next three years, etc.

A possible objective for a coffee growers association could be:

“To educate and train at least half of the members in technical and practical skills of coffee production over the next two years.”

Possible sub-objectives can be:

- To organize a 2-day training workshop on Robusta coffee production for 25 members in the northern, central and southern region in April of 2008.
- To print leaflets on Robusta coffee production that will be distributed to all members by May 2008.
- To organize a study-tour for members in the northern region to the southern region to share ideas on how to grow coffee in June 2008.

2. The strategy

The strategy describes how the association is going to operate in order to achieve its goals. In the strategy you will find:

- activities
- resources
- time-frame
- responsibilities

Activities

Activities are concrete steps to be taken to fulfill the objectives and to achieve the results. Activities have to be within the resources and capabilities of the association. If you do not have a printer, you cannot print your leaflets, but you can give the assignment of printing leaflets to a printing company.

For example to organize a study tour the following activities have to be undertaken:

- To set a date for the study tour
- To draw up a program with the objectives in mind together with the chairman of the host association (e.g. the southern region)
- To select with your chairman the members that will go on the study tour
- To arrange transportation
- To arrange meals and accommodation
- etc.

Resources

Almost all activities need resources. This may range from monetary to non-monetary resources. For example different materials if you want to organize an exhibition or a video you borrow from another organization. If you know for each activity which resources you need, it is easy to add up everything to see how much you need in total to achieve your objectives. This can be very handy if you want to apply for sponsorship.

Time-schedule

To plan your activities you need a time-schedule. When organizing a study tour you have to take into account that members can have other activities, hotels can be fully booked and transport is not always available. Some activities can take place at the same time. For example you can book hotels and transportation in the same week. While other activities

should be done before another activity can take place. You have to know when the study tour will take place before you can make a hotel booking.

Allow enough time for activities but be aware of losing the momentum. If activities are planned too far from each other, people will lose contact with the process.

Responsibilities

Before plans are implemented it should be clear who is responsible for what. If roles are not clearly divided in the end, no one is feeling responsible and nothing will happen. To avoid confusion it is also important that everyone knows the roles of others and that they are agreed upon.

3. Indicators

Indicators are essential for monitoring and evaluation. Indicators describe what to expect from the objectives. It shows how to recognize when they have been achieved. They are statements about the situation that will exist when an objective is reached. Indicators should be unbiased. A study-tour will be successful if members are able to exchange information and if they gain some new insights during the tour. Simply stating the number of people that went on the study-tour does not say anything about the quality of the tour. In this example an indicator could be discussions between farmers about a specific topic or the demonstration of one new crop.

Indicators are very difficult to name. However, the most important is that it gives you the opportunity to think thoroughly on what you want to achieve.

Monitoring and evaluation

Monitoring and evaluation are often mentioned together. Yet, there is a slight difference:

- *monitoring*: to carefully watch if the process is going the way it should go, checking if actions are taken according to the plan, keeping regular track of the decisions, actions and finances
- *evaluation*: to discuss afterwards to learn something from it, see if objectives are achieved

Often monitoring is done throughout the whole process while evaluation is performed at the end of the process (ex-post). However, evaluation can also be ongoing during the process for example when there are several sub-objectives that have to be achieved before the whole process is finished.

To be able to monitor and evaluate the process well, the planning process should be clear. The clearer the objectives, indicators, responsibilities, etc. are, the easier the monitoring and evaluation. Another important condition is that monitoring and evaluation should be part of the plan. It should already be incorporated beforehand who, what and when monitoring and evaluation could be done. For example the committee that is in charge of the whole process can come together every two weeks to discuss the progress of the plan and take actions if necessary. It is also possible to have one person in charge of monitoring and evaluation. This can be someone from the association but also an outsider. The advantage of an outsider is that he/she will be less biased. It might also be easier for an outsider to say when some things are not going well.

At the end of the planning process it is important to do an overall evaluation. This can be done in a special meeting, but not too long after the process is finished. The main aim is to draw lessons for the future. It would be good to involve the whole responsible committee so everyone can provide inputs and learn from it.

PHASE IV

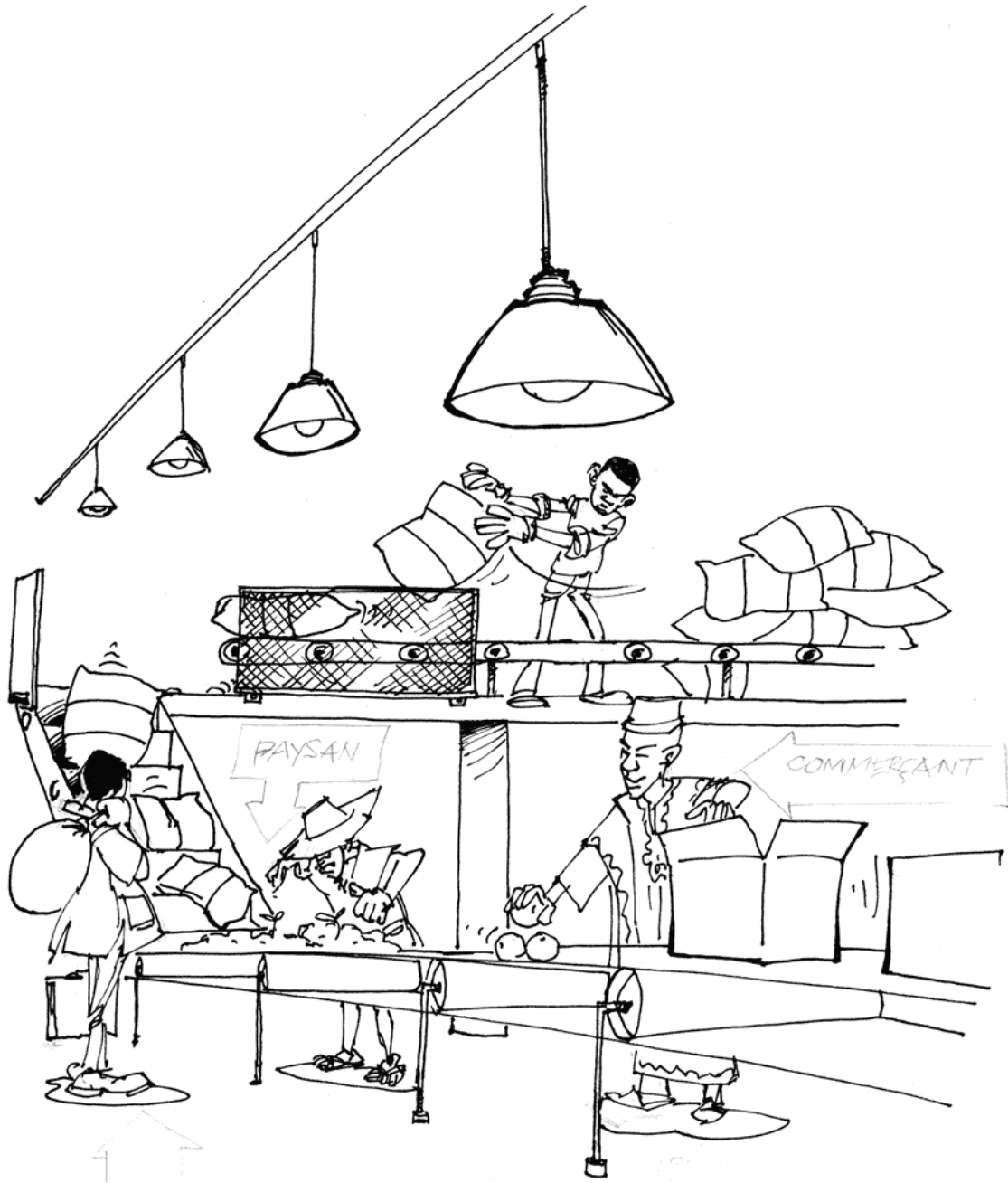
GROWING TO MATURITY

Sessions:

18. The commodity value chain
19. Meetings
20. Group dynamics and leadership
21. Building partnership
22. Proposal and report writing



18. The Commodity Value Chain



18. The Commodity Value Chain

Agribusiness associations are part of commodity value chains and each has its own role to play. In this session participants will look at the chain and will define roles of their association.

Nowadays a lot of projects are focused on the commodity value chain. This session will only focus on the basics of such a chain.

After the session participants:

- Know what a value chain is and how it functions
- Have identified possible roles of their association in the value chain

Content exercises (total time 2 hours and 30 minutes)

18.1 Building the value chain (90 minutes)

18.2 The role of the association (60 minutes)

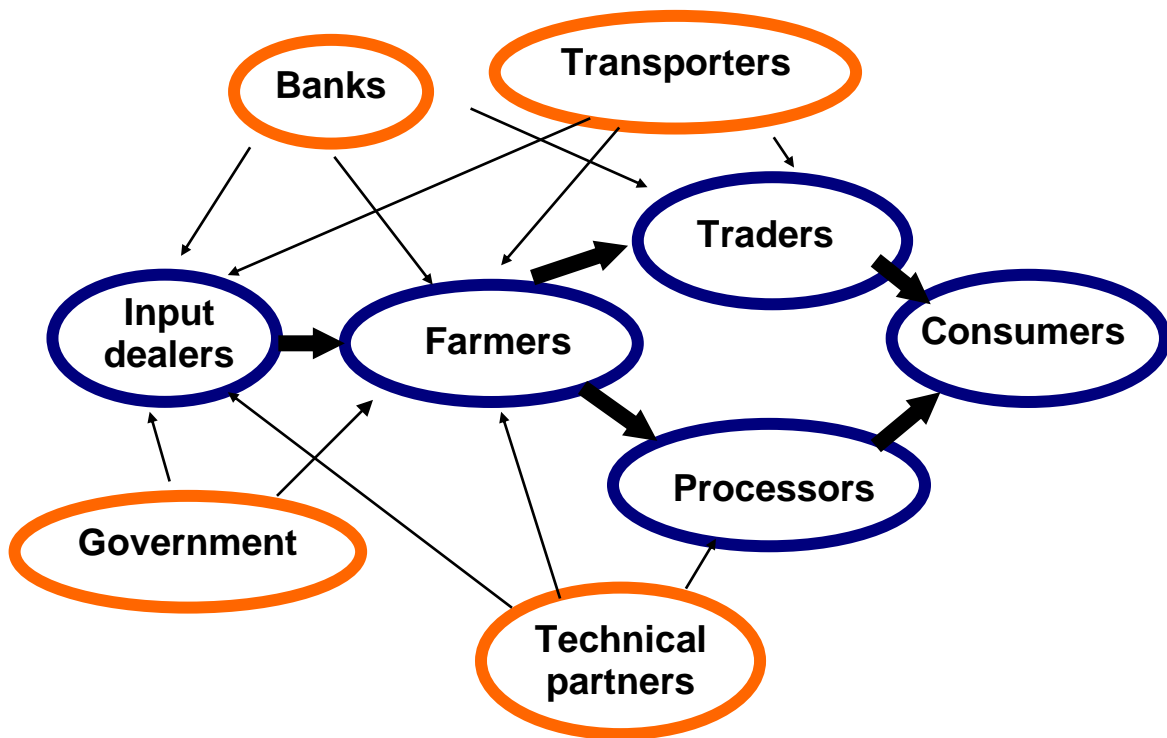
18.1 Building the Value Chain

Time needed: 90 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Ask if anyone knows what a **commodity chain** is. A commodity chain is a system that involves all stakeholders from production to consumers for one commodity. Ask what a value chain is. A **value chain** refers to a series of activities that creates and accumulates value. The value comes in the form of products and services (tangible goods), but also knowledge and skills (intangible goods).
2. Ask participants what the **actors** are of a value chain. This can be farmers, input dealers, traders, government, service providers, etc. Now ask them how these actors can form a chain. Refer to a real chain in which the links are connected. Visualize it with a drawing:



3. Divide the participants into sub groups of 3 to 4 persons. Let every group select a commodity. Let every group **build a commodity chain** for the selected commodity. If people are from the same area or region they can add names to the value chain, for example the specific name of a producers organization.

4. Discuss the results. Look at the actors that are mentioned and make sure that the most important actors are in.

18.2 The Role of the Association

Time needed: 60 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Form different groups and give each group a value chain that was produced during **exercise 18.1**. Let every group discuss the role of the association they belong to (farmers, input dealers, traders, processors). If people are from different types of associations, put all farmers together, all dealers, etc.
2. Discuss the results. Possible results can be:
 - Linkages with partners for advocacy, financial benefits, etc.
 - Negotiate on behalf of members for example on conditions for delivering commodities, prices, transport, etc.
 - Providing members with technical knowledge necessary to function in the commodity chain, for example on quality or quantity.
3. Can the association play this role? Do they have for example enough technical knowledge or negotiating power? What is still missing and how can that be solved?

19. Building Partnerships



19. Building Partnerships

An association does not operate alone in an environment. There are many other actors with each a different role to play. In this session the environment in which the association operates will be analyzed. A general approach is used in this session. However, all exercises can be used for specific cases or problems, for example for advocacy activities.

It is not necessary to do the exercises in sequence, you can select one or two depending what you would like to do with the information. If you would like to use the results to prepare a plan of action you can do **exercise 19.1 and 19.2 or 19.1 and 19.3. Exercise 19.4** is a stand-alone exercise that can be used in a stakeholders' workshop or a workshop with many different actors. **Exercise 19.5** is to prepare concrete actions to build partnership.

After the session participants have:

- Identified all actors in the environment of the association
- Identified the key partners of the association
- Mapped the levels of collaborations between actors and analyzed the situation
- Identified the tasks of the different actors and analyzed the situation
- Brainstormed on how to build a partnership

Content exercises (total time 5 hours and 30 minutes)

- 19.1 The key actors (60 minutes)
- 19.2 Mapping collaboration (60 minutes)
- 19.3 Task division (90 minutes)
- 19.4 Mutual collaboration (60 minutes)
- 19.5 Building partnership (60 minutes)

Handouts

- 19.1 List of collaboration

19.1 The Key Actors

Objectives: To identify all actors and key actors active in the environment of the association

Time needed: 60 minutes

Materials: Flip-sheets
Markers
Colored cards
Board to paste all cards

Procedure:

1. Tell participants that in the next exercise we are going to identify all **actors** that are present in the environment of the association. Ask participants to write every actor on a separate colored card. Make the distinction between **groups and individuals** (for example by using a different color).
2. Paste all cards on the board and try to **group** them. For agricultural associations you can use the following categories:
 - a. Policy makers: ministries and other government agencies, on local and regional or district level
 - b. Donors / technical partners
 - c. Manufacturers of inputs / importers of inputs
 - d. Input dealers / retailers
 - e. Producers of commodities / farmers
 - f. Market / industry agents / middlemen / traders
 - g. Processors
 - h. Clients / customers
 - i. Researchers
 - j. Education / training institutes: also extension services
 - k. Service providers: credit providers, insurance, transporters

Depending on the type of group you work with (farmers or input dealers) you can select the categories you need.

3. Ask participants which actors are the **key actors** (those who play an important role) for the association and mark these cards. It can be actors the association is already collaborating with at this moment, but also those with no link to the association yet.

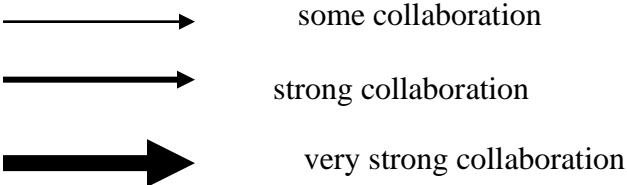
19.2 Mapping Collaboration

Objectives: To map the level of collaboration between the different actors

Time needed: 60 minutes

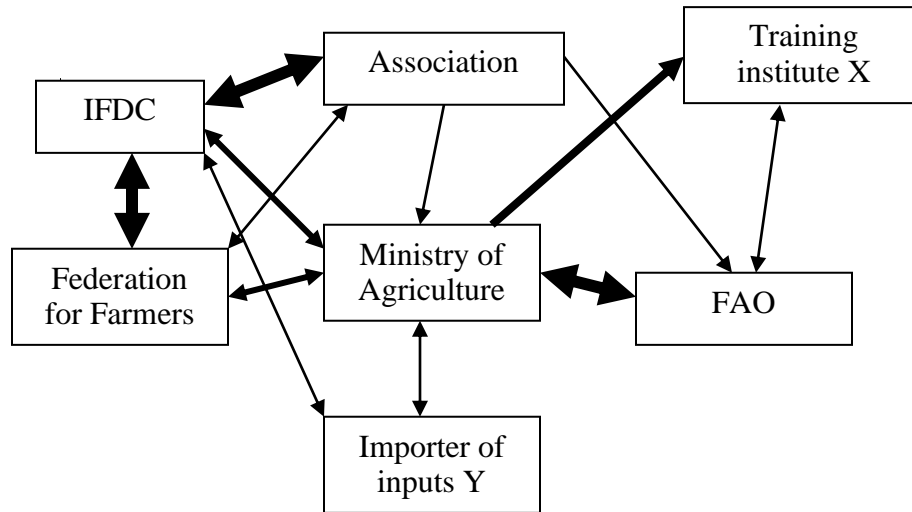
Materials: Flip-sheets
Markers
Colored cards from **exercise 19.1**
Kraft paper

Procedure:

1. Tell participant that we are going to look at collaboration between different actors. Collaboration can appear in many forms. To distinguish the different levels of collaboration, you can use the collaboration ladder which consists of five different levels:
 - a. **Passive knowledge sharing:** information dissemination, one actor gives information to the other actor, one-way communication
 - b. **Active knowledge sharing:** two actors exchange information, two-way communication;
 - c. **Joint action:** actors have shared activities, for example organizing a workshop together
 - d. **Joint strategy:** two actors share a vision and work together to accomplish that vision through common action plans
 - e. **Pooling resources:** actors share resources, for example office space, cars or human resources (staff)
2. Look at the results from **exercise 19.1** and copy the key actors. Divide the group into two or three groups. Each group has to try to develop a **diagram** using cards, flip-sheets and arrows to indicate the existing **collaboration** between actors. They can use Kraft paper to draw the diagram on. The groups can use different colors or thickness of arrows to indicate different levels of collaboration. For example:


—————→ some collaboration
—————→ strong collaboration
—————→ very strong collaboration
3. Look at the results and try to develop **one diagram** out of the results. Who is collaborating very intensively with whom? Which collaborations are weak? Which actor seems to be at the center of the system?
4. Look at the **role of the association**. Does the association collaborate with the key actors? If yes, what kind of collaboration (refer to the ladder of collaboration)? If not, why not? Is collaboration with them desirable? Does the association collaborate with actors in all categories (use results of **exercise 19.1**)? Which categories are under-represented? How come? Is it desired to establish contacts with them? Also look at the existing link. Are these links still desirable? If links cost a lot of energy but not generating anything positive, maybe it is time to spend less time on that link.

Example of collaboration:



The association has a very strong mutual link with IFDC and a weaker one with the Federation for Farmers. They have a one way link with FAO and the Ministry of Agriculture. However, the Ministry and FAO have strong mutual links and also IFDC and the Federation for Farmers have a strong link. In this picture it is clear that the Ministry of Agriculture is in the centre of all linkages, and that the association has no linkages at all with the Training institute X and the importer of inputs Y. However, both would be interesting partners since the importer is a possible distributor of inputs and the training institutes provides training workshops for input dealers.

19.3 Task Division

Objectives: To identify who is doing what and where niches are for the association

Time needed: 90 minutes

Materials: Flip-sheets
Markers
Colored cards from **exercise 19.1**
Kraft paper

Procedure:

1. Draw a table on Kraft paper with all **actors** as identified in **exercise 19.1** as rows and **possible tasks** as columns. Make sure you add the association itself and also members of the association in the rows. You can use the following tasks:
 - a. Policy making
 - b. Research
 - c. Financing organizations or associations
 - d. Providing credit
 - e. Training
 - f. Dissemination of information: if necessary make the distinction between technical information and market information
 - g. Marketing or buying of products
 - h. Input supply
 - i. Providing services

Depending on with what type of group you work (farmers or input dealers), you can select the categories you need.

2. Ask participants about the present **activities** of each actor using
X for little involvement
XX for involvement
XXX for high involvement
3. After finishing the table, discuss what the **underrepresented** tasks are. What tasks are **overlapping**?
4. Look at the **tasks of the association**. Are they performing tasks that many other actors perform as well? What is the added value of the association in this task? Is the association involved in tasks that are underrepresented? How can the association exploit this? Is there a task that is underrepresented in which the association can play a role? Link the tasks to FACE. Are other actors involved in FACE as well?
5. Discuss a few actors where no tasks is mentioned for. This means that participants are not **aware** of what a certain actor is doing. If it is one of the key actors the association should make an effort in getting to know the activities this partner is involved in.

Note 1: This exercise works well if the group is small (5-6 participants). With larger groups you can divide the actors over different groups. However, most of the times, the

participants will need guidance when discussing tasks. For example, they will say that the association is buying and selling inputs while in most cases it will be the members that will buy and sell and not the association. Also the tasks of donors and technical partners can be confusing. For example: technical partners do not make policies; they can assist government in making policies or they can influence it. But even though the table might not be filled in correctly, it still provides participants the opportunity to think about what partners are doing exactly and that it is not always easy to identify the tasks.

Note 2: To reduce the time of the exercise you can also only focus on key actors. The disadvantage is that you do not get a good overview of the task division and the gaps and overlaps.

19.4 Mutual Collaboration

This exercise can be used if you have a group of stakeholders and you want to map the mutual collaboration between the actors that are present, for example an apex organization with different farmer-based organizations as members or during a stakeholders' workshop.

Objectives: To map mutual collaboration between several actors and to identify desirable collaboration

Time needed: 60 minutes

Materials: Flip-sheets

Markers

Copies of **Handout 19.1** (two for every actor)

Prepared matrix on large piece of paper (Kraft or flip-sheets pasted together)

Procedure:

1. Prepare the list of collaboration (see **handout 19.1** for example). All actors that are on the list should be present during the workshop.
2. Give each actor or association the list of collaboration. An actor can be an organization, department, etc. represented by more than one person. In that case one list is completed per organization or department. Each actor has to list the **level of collaboration** with the other actors. The collaboration can be at three levels:
 - a. Strong
 - b. Weak
 - c. Non existingParticipants can mark the level of collaboration with a color (for example blue for weak, red for strong) or they can write in the second column the level of collaboration. Give the participants enough time to complete the list.
3. Collect all papers and make one **matrix** out of the results. This means that you have to mark the results of all actors in the main matrix. The color red is used for good (hot) collaboration, while the color blue is used for low (cold) collaboration. No collaboration is marked with a blank space. You put the results per actor in the columns. For example, the results of actor 1 you put in the column of actor 1 (in the example matrix below, actor 1 mentioned a strong collaboration with actor 2 and 5). There is **mutual collaboration** (mentioned with the letter 'm' in the matrix) when both actors regard the collaboration as strong (in the example matrix below actor 1 mentioned a strong collaboration with actor 5, and also actor 5 mentioned a strong collaboration with actor 1). The result is a matrix as follows:

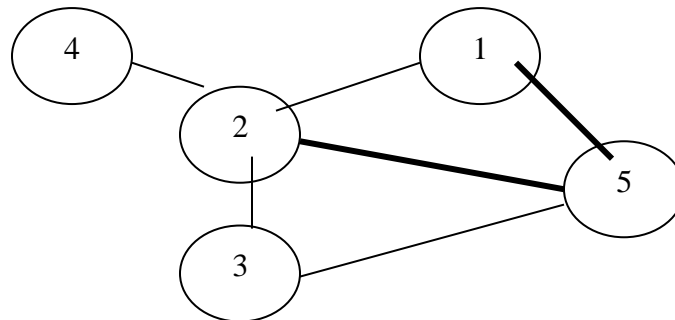
	Seeking
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	collaboration				
	actor 1	actor 2	actor 3	actor 4	actor 5
Mentioned as collaboration partner					
Actor 1	x				m
Actor 2		x			m
Actor 3			x		
Actor 4				x	
Actor 5	m	m			x
# mutual collaboration	1	1	0	0	2

The matrix shows the present collaboration between actors. You can read the matrix as follows: Actor 1 (see column) mentioned a close collaboration with actor 2 and 5. But actor 2 mentioned a cold collaboration with actor 1, which means there is collaboration, but no mutual. However, actor 5 mentioned a close collaboration with actor 1, which gives a mutual collaboration. Actor 5 has two mutual collaborations with actor 1 and 2, and one cold collaboration with actor 3, what was mentioned by actor 3 as well. So actor 5 has a realistic idea of the level of collaboration with other actors. This in contrary to actor 4 who thinks it has two close collaborations with actor 2 and 5, but they are not mutual, since actor 2 regarded the collaboration with actor 4 as cold, and actor 5 did not even mention a collaboration with actor 4.

4. Try to make a **diagram** out of the above matrix using arrows. A tick line stands for mutual collaboration, while a thin line stands for a weak collaboration. When one actor mentions a strong collaboration, while the other mentions a weak, it is considered as a weak collaboration. When one actor mentions a strong or weak collaboration, while the other mentions a non existing collaboration, it is considered as a non existing collaboration.

For the matrix in our example the diagram would be as follows:



The diagram shows the present collaboration between actors. A thicker line shows a mutual collaboration. The diagram shows that actor 2 and 5 are in the center of collaboration, while actor 4 stands aside.

5. Repeat the whole exercise starting from point 1 again, but now ask to complete the list for the level of **desired collaboration**. The matrix and diagram that will follow are the desired situation.
6. Compare both matrixes and diagrams. Where are opportunities for a closer collaboration? Also look at where collaboration is at the moment but not desired. This could show a waste of effort and time that can better be used for other contacts.

Note: This exercise can be very confronting, especially when one actor mentions a strong collaboration, while the other mentions the collaboration as non-existing. Discuss the different interpretations of partnership. One might consider information dissemination as a strong collaboration, while another actor considers this as a non-existing collaboration.

19.5 Building Partnership

Objective: To formulate concrete actions to build partnership

Time needed: 60 minutes

Materials: Flip-sheets
Markers
Colored cards from **exercise 19.1**

Procedure:

1. Look with the group at the key actors that were identified in **exercise 19.1** and let them select two or three with who they would like to build a partnership.
2. Divide participants in two or three groups and give each group one actor identified in the previous step.
3. Each group has to answer the following questions:
 - a. What is the **core activity** of this partner?
 - b. What does the association **want** from this partner?
 - c. What can the association **offer** to this partner?
 - d. What are possible **steps** to take to create this partnership?
4. Each group has to present their results. Think about the following:
 - a. **Core activity:** if participants are not able to identify the exact core activities, they should first gather more information on this partner, before approaching them.
 - b. **Want:** make sure they formulate specific and concrete goals.
 - c. **Offer:** it has to be realistic and feasible.
 - d. **Possible steps:**
 - To collect information about the partner (via websites, brochures, action plans, annual reports, etc)
 - Prepare documentation about the association and its activities
 - Be on the mailing list of the partner
 - Send the partner on regular base information about the association
 - Identify areas of collaboration and formulate a proposal on concrete collaboration
 - Contact the partner to discuss the proposal
 - Follow up on the meeting (by sending them minutes or reminder)
 - Organize a common activity
 - Give feedback after the activity

Note: The results of this exercise can be used for the plan of action.

Handout 19.1 List of Collaboration

Name of actor: _____

Mark for every actor the level of collaboration. The collaboration can be:

- Good
- Weak
- Non existing

Actor	Level of collaboration
Actor 1	
Actor 2	
Actor 3	
Actor 4	
Actor 5	
Actor 6	
Actor 7	
Actor 8	
Actor 9	
Actor 10	

20. Meetings



20. Meetings

All associations, no matter how small or big, hold meetings in the form of annual meetings, council meetings, special meetings to discuss pressing topics or take decisions, etc. Most people feel meetings are a waste of time because there is often too much talking and less actions taken. To avoid members staying away from meetings or turn up very late, it is important to organize and facilitate meetings in a way that only topics that matter are discussed, discussions are not unnecessarily lengthy and members see the advantages of the meeting. This session gives participants directions as to how to organize and facilitate meetings.

After the session participants should be able to:

- Plan a meeting
- Prepare the agenda of a meeting
- Lead discussions

Content exercises (total time 4 hours and 30 minutes)

- 20.1 Introduction: moving chairs (45 minutes)
- 20.2 Preparing a meeting (45 minutes)
- 20.3 Formulating arguments (90 minutes)
- 20.4 Guiding discussions (90 minutes)

Handouts

- 20.1 Preparing a meeting
- 20.2 Planning a meeting
- 20.3 Role of the chairman and members
- 20.4 Checklist for organizing and facilitating meetings

20.1 Introduction: Moving Chairs

Objective: To introduce participants to the topic on how to organize meetings and to give them an idea on common mistakes made.

Time needed: 45 minutes

Materials: Flip-sheets
Markers
Small papers with different instructions

Procedure:

1. Prepare small papers with instructions. Each piece of paper will describe only one instruction. There are three different instructions:
 - a. Move all chairs in the room so they will form a circle
 - b. Move all chairs in the room so they will form a line
 - c. Move all chairs in the room to one corner of the room
2. Tell participants we are going to organize a little **meeting**. There is only one topic on the agenda and that is 'Moving chairs'. Each of them will get **instructions** on this topic. Give each participant a piece of paper with one of the instructions.
3. Let them carry out their instructions. Most probably people will just start moving chairs. At one point someone will take the initiative to organize this in a better way and may find out that everyone has different instructions. Another possibility is that one person will try to organize everything from the start. Let them go on till movements have stopped.
4. Discuss what has happened. Ask one person to read the instruction. Ask who had the same instruction. Ask who had a different instruction and let them read it out loud. Also ask for the other instruction. What happened? Why did people just start moving chairs? Did they think everyone had the same instruction? At what time did people start to talk to each other? What was the result of that?
5. The agenda point was 'moving chairs'. What were the objectives? The objectives were not clear. In fact: there were three different objectives. We often see this in a meeting. The agenda points do not state the objectives. Therefore, no one knows what is actually going to be discussed.

20.2 Preparing a Meeting

Objective: To be aware of the importance to prepare meetings and to know how to prepare meetings.

Time needed: 45 minutes

Materials: Flip-sheets
Markers

Handout 20.1

Procedure:

1. Begin the session by asking what types of meetings are organized within their association. Ask if the meetings are regular and by whom they are attended. Ask participants how they prepare a meeting and who prepares a meeting. Probably they will mention preparing the agenda, inviting everyone and logistics.
2. Tell participants that there are three steps to take when organizing a meeting:
 - a. To plan the meeting: why, what, who, where and when
 - b. To inform the members
 - c. To prepare the meeting: preparations of agenda, expected results
3. Discuss all steps using **handout 20.1** to guide you. Ask participants for examples from meetings they have attended or organized.

20.3 Formulating Arguments

Objective: To be better able to formulate arguments during a discussion or meeting

Time needed: 90 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Tell participants we are going to organize a **debate**. Split participants in two groups. Select a topic (yes or no introduction of fees for services) and make a **statement** (members should pay fees for services). Show participants the statement. One group is in favor, the other is against. Give each group 10 minutes to prepare the debate.
2. When the debate starts, give each group 2 minutes to state their arguments. During those two minutes the other group cannot interfere. After that let the two groups debate for about 15 minutes, without guiding the discussion. Stop the debate when it is getting out of hands or there is an impasse.
3. **Discuss** the debate. Ask each group if they have the feeling that they were able to convince the other group.
4. Ask the group who was in favor what arguments the other group was using. Ask the same question to the other group. Write down all arguments.
5. Look at the **arguments** in detail. Are they real arguments? Saying: 'But everyone is doing it' is not a real argument. Are arguments linked to each other, are they logical? How did the other group react to the arguments? Were they just repeating their own arguments or did they try to attack or refute the argument?
6. Did people **listen** to each other? Do both groups have the feeling the others listened to them? How did it show?
7. Did any of the groups try to reach **consensus**? Why not? Did any of the groups agree with an argument of the other group?
8. Try to give some **general advice**:
 - **Listen to the other:** and try to react on what the other is saying. If the argument is not valid, try to undermine it with good arguments from your side.
 - **Ask questions:** if the other party comes with an argument try to probe, by asking for proof, for consequences (if members will be scared away, what are the consequences? That only the motivated farmers will stay, and that is good) or longer term (no one paid so far, but what if new members join the association?).
 - **Show consequences:** if an association keeps relying on sponsorship and funding, these sponsors will influence the association and will be involved in the management of the association.
 - Use **relevant arguments** and explain them well.

- **Do not make it personal:** adding that you know a sister, neighbor or other farmer does not help your argument. These are only specific cases, while you should talk about the overall cases.
- **Do not be emotional:** shouting and screaming at the other will not make your argument stronger.
- **Have proof:** if arguments can be proved with figures, add them.
- **Be clear and concise:** come to the point right away, instead of mentioned things that are not relevant for your argument.
- **Do not repeat the same argument** over and over again: if you want to repeat the same argument, rephrase it.
- **Be convinced of your own arguments but be flexible:** maybe there are some points mentioned by the other party that are very valid and maybe you are wrong.

20.4 Guiding Discussions

Objectives: To be able to lead discussions

Time needed: 90 minutes

Materials: Flip-sheets

Markers

Handout 20.3

Procedure:

1. Ask participants who is normally leading discussions during a meeting (that will be the president or chairman). Ask them what general problems are when leading discussions. This can be:
 - a. One person talks too long
 - b. People do not get their arguments across
 - c. Discussions are too lengthy
 - d. Arguments are repeated
 - e. Decisions are not taken
2. Tell participants that we are going to do a little **role play** in which each of them is going to lead a discussion. Ask participants to form groups of three persons. In every group one person is going to **facilitate the discussion**, one person is **against** and one person is **in favor**. Select a topic, such as the GMO, organic production, harmonization of legislation on inputs, etc. Let the groups discuss for 5 minutes, then change roles. Change roles again one more time, so everyone had the chance to lead the discussion.
3. Ask participants how the exercise was. Was it difficult to guide the discussion? Were the persons having the discussion satisfied with the facilitation or did they feel it blocked the discussion?
4. Ask participants how they **started** the discussion. Did the facilitator give an introduction or did the discussion just start? Who talked first? When you are leading the discussion, that means you will take the lead, so you will start by repeating the topic of discussion, how you are going to guide the discussion (making a round, open discussion, etc) and what the expected results are (did anyone mention this?).
5. What else did the facilitator do? This can be:
 - a. **Opening and closing** the discussion.
 - b. **Who talks when:** in which order can people speak, for how long can they speak, giving everyone the opportunity to speak.
 - c. **Focusing the discussion:** avoid repeating of arguments, avoid arguments that are not linked to the topic, etc.
 - d. **Summarizing** arguments.
 - e. **Assisting** people in formulating their thoughts: ‘So you mean...’
6. Ask participant what they consider as important when **guiding** a discussion. List the following steps:

Preparations

Before the actual meeting takes place, the chairman has to prepare the following:

- Agenda: including time table and expected results
- Invitees: who will be invited to this meeting
- Set date convenient for all invitees and communicate this date in time to all invitees
- Logistics (selection of venue, meals, transport, etc)
- Prepare yourself: collect all information, be informed
- Formulate the expected results

Collecting ideas and discussion

- Introduction: repeat the topic.
- Give rules and directions, for example we are going to hear different arguments from everyone for 10 minutes, then we will have a discussion for 15 minutes and then we will take a decision.
- Listen very well to everyone and repeat people's arguments using slightly different words, if necessary.
- Collecting of ideas without judging them. Give everyone the **chance to speak**. The following techniques could be used:
 - Before starting the discussion, give everyone some **time** to think about the topic and to write down their arguments.
 - **Stacking**: let everyone who would like to speak, raise their hand and assign who will speak first, who will speak second, etc. You can do several rounds. This works very well in large groups.
 - **Interrupting the stacking**: the problem with a fix order is, that it can stagnate the discussion. If you see many mumbling or hands in the air, you can allow for 2-3 comments, before continuing with the stack.
 - **Make a round**: to open the discussion, you can make a first round giving everyone the opportunity to give arguments. This should only be done with a small group.
 - **Encourage**: use phrases as “Who else would like to contribute” or “Can we have an opinion of someone who did not speak yet?”.
 - **Balancing**: to avoid that one person forces his/her opinion on the rest of the group, you can ask: “Do we all agree to this?” or “What are other ways of looking at this?”
 - **Use the clock**: If discussions are getting out of hand, you can say “I give you five more minutes, then we will summarize the arguments”. You can also limit individuals by saying: “You have one more minute to put your argument across.”
- Keep the arguments on track: make sure that the arguments are linked to the item.
- Write down arguments so they are visible for everyone, for example on a flip-sheet board.
- Limit the time of the discussion.
- Interpret the arguments
 - Try to link or group arguments

- Ask for the consequences of arguments (“But if we do this, what will happen?”)
- Summarize the group of arguments

Finalization

- Give a summary of all arguments
- Prioritize the arguments
- Take a decision:
 - By consensus: everyone agrees
 - By vote

It is better to have a decision by consensus instead of by votes. When a decision is made by vote there will be always two groups: one in favor and one against, and that can cause a division between members. A decision by consensus means that everyone agrees and supports the best decision that is taken.

- Repeat the decision and write it down visible for everyone

7. Ask finally if a chairman is guiding a discussion, can he/she **participate** in the discussion? What are the arguments? If the chairman plays the role of facilitator he/she should not participate in the discussion, but of course a chairman should be part of the discussion. It is very difficult to separate the roles of facilitator and participant; therefore it might be advisable to leave the facilitation of a discussion to another person, an outsider. Of course this is not always possible. Then how can the chairman play his two roles? If the chairman would like to give his/her own opinion, he/she should clearly state it is his/her own opinion. He/she should not judge any arguments but leave that as much as possible to other participants.

8. Distribute **handout 20.3**.

Handout 20.1 Preparing a Meeting

There are three steps to take when organizing a meeting:

1. To plan the meeting
2. To inform the members
3. To prepare the meeting (and think about possible outcomes)

1. To plan the meeting

To plan a meeting, there are five questions you should keep in mind: the Why, What, Who, When, and Where of the meeting being planned.

- *Why*: what is the reason for meeting? Possible reasons can be:
 - To give information to members
 - To take decisions
 - To organize an event (a fair, an open day)
 - To discuss something, urgent matters

Organizing a meeting to satisfy the constitution is not a good reason; if your association is dynamic, then meetings will automatically become regular and satisfy the constitution.

- *What*: what do you want to achieve with the meeting? What are your objectives and what are expected results?
- *Who*: who is the meeting for? Who are you going to invite? Is it necessary that everybody comes? Maybe partners should be invited?
- *Where*: the venue.
- *When*: date, time and time-schedule.

2. To inform the members

The next step is to inform the invitees for the meeting. For them the five W's (why, what, who, where and when) should be clear. It should also be clear what is expected from them. If a revision of the constitution is on the agenda, then invitees should know if they are going to choose a committee or vote for changes in the constitution. Make sure they can prepare themselves by sending documents or background information and by sending the invitation in time. If you want a member to handle a certain item, make sure he/she is informed on what is expected.

3. To prepare the meeting

To prepare a meeting, you should make an agenda. Often the Executive Manager of an association sets the agenda. However, this should be done in consultation with the members. Everybody should have the chance to put items on the agenda.

Normally, during a meeting you should follow the following order:

- **Opening**: tell invitees why this meeting was called (special occasion, annual meeting), introduction of those present (if necessary, maybe introduction of new members), decide who will chair (only if the meeting is formal) or moderate and who will take minutes.
- **Minutes of previous meeting**: did everybody get a copy, are there any changes, are they accepted by everyone?
- Discuss **agenda items** (starting with the most important).

- Discuss **any other matters** raised during the meeting.
- **Summarize** the items discussed, the decisions taken and the actions to be taken.
- **Closing** of the meeting: explain when the minutes will be ready, when the next meeting is and how the follow up will be implemented.

The summary is often neglected, however it is important that everyone knows what decisions were taken and what actions are to be taken (and who is responsible for which action). Make sure all decisions and actions to be taken are noted down and send this as soon as possible to all members. Ideally, one person taking notes during the meeting. In most cases this will be one of the staff members.

Also important is to make a time-schedule for each item. If you need more time than calculated, decide if you want to move the agenda item to the next meeting or if it is important, make extra room at the end of the meeting. Try to stick to the initial duration, as participants may have planned other activities after the meeting.

Expected results

When you set the agenda, you should also think about the expected results of the meeting. Example: The item on the agenda is that a partner organization is organizing a training workshop for agribusiness associations in the region.

Possible outcomes described from the item:

- To take a decision if your association should send a person to this workshop or not
- To reach group agreement on who to send to this workshop
- To inform members that Mr. X or Mrs. Y will attend the workshop

If members know what is expected from them, the meeting will not end up in endless discussions on matters that are not important for the outcome. It is also a way to direct discussions. When the objective is to reach group agreement on who to send to this workshop and someone starts a discussion on if your association has to send someone, it is the responsibility of the chairman or the moderator to stop that discussion by informing the person that a decision is already taken and that the objective is to decide who is going.

Other useful comments

- Agenda planning in a **larger context**: see the meeting as part of a greater whole. Meetings are not a stand-alone item. They are part of a series of meetings and other activities. During the meeting try to find the connection with other meetings and activities.
- Option for **preparations before the meeting**: Avoid meetings that are packed with too many topics and discussions and members get the ‘get it all done’ feeling in one single meeting. Small groups can already do preparation work for some agenda items. For example: preparing a proposal for the venue of a training program with two options.
- **Planning sessions**: it is useful to have a planning session with a small group before every meeting. This will help you to guide the meeting better and to divide tasks.
- Distribute **handouts and materials** one week in advance.

Of course those participating in the meeting should prepare themselves as well, by reading all necessary documents in advance and prepare a list of comments and/or questions.

You can make meetings attractive by putting special topics on the agenda that will interest your members, for example on how to access credit. You can also invite partners or recourse persons to inform members about new crop varieties or other topics. Also keeping your meetings short and within their time frame will make meetings more attractive.

Handout 20.2 Planning a Meeting

To be interesting and informative to association members, meetings of the association should be planned well and be carried out in an orderly fashion.

Roles of meeting planners

Since there are many tasks involved in the running of a good meeting, it takes a group effort by those in charge, and each of the team members must know their duties ahead of time. There are three unofficial roles to be played by those in charge to make a meeting of any size operate efficiently. These roles are:

1. the person who presides over the meetings
2. the one who organizes the event
3. the individual who coordinates the on-site activities

For a small meeting, two or all three of these roles might be held by one person, while it might take two or three persons in each of the roles to conduct a large meeting. Whenever possible, a smooth running meeting will have separate people in each role.

The person playing the role of the **presiding officer** in an association meeting is often the chairman of the association. It is the job of the presiding officer to assure that all the preparations are made for the meeting. Duties like the meeting location, schedule of events and speakers are usually the responsibility of the association chairman, but in associations with an executive manager and office staff, the duties could be assigned by the presiding officer to the staff. Even in this circumstance, the overall responsibility still resides with the chairman and he/she must communicate with staff from time to time on the progress of the meeting planning. The agenda or items to be discussed at the general meeting are the responsibility of the chairman as well. In this case he/she might work with the executive manager in its development.

The role of the **event organizer** (on-site activities coordinator) is to support the chairman and assure that all the business activities of the association are handled smoothly and easily. In his/her role as the day-to-day operator of the association, the executive manager would normally fill this role. Before the meetings, the organizer should prepare the invitations, and send out the registration materials. In addition, the organizer should send out any documents that must be in the hands of the membership, including proposals and by-laws to be voted on during the meeting sessions. If there are to be several sessions to be held, the schedule of events should also be developed and sent to potential attendees. The organizer should prepare all handouts, posters or other material to be distributed at the meetings. Additionally, numbers and sizes of meeting rooms should be calculated and assigned.

Once the meetings begin, the organizer should make sure that all events are ready to run on schedule. In his/her position as the point person of the association, the executive manager will probably have to be available to the membership to greet members, answer questions and provide information to members. Since he/she is also the day-to-day operations person, he/she will probably have to be available to the chairman during business meetings to advise and give information about association operations.

The **event coordinator** is the third person involved and is responsible for all logistics, such as selection of the location, food choices, refreshment breaks, etc. Once the meeting begins, the event coordinator must make sure that meeting rooms are set-up correctly including audio-visual needs and coordinate with the restaurant for meal times and counts for those who will be dining. If entertainment is to be provided, the event coordinator must make sure that all is handled and ready to go.

Not only is it important for each of these individuals to do their jobs well in order to hold a smooth running meeting, they must also communicate among themselves to assure that all details are being covered. During meetings situations inevitably occur that could not have been anticipated and coordination must occur to make sure everything is handled. In addition, some activities are not easily categorized and so communication between the individuals in the three roles must happen to insure that all duties are handled.

Pre-meeting preparation

Meetings are either held to get information and input from members or to provide information to them. The meeting organizer must provide participants with the information they need to be active and productive participants. Pertinent information on topics to be discussed, items to be voted on and educational program topics should be in the prospective attendees hands in time that they can plan to attend and to understand their role in the meetings. Even if it is impossible to provide some of the information ahead of time, it should be given to the attendees at the time that they arrive for the meeting.

Preparation for the meeting is important for those organizing the event as well. As mentioned above, there are many duties to prepare for ahead of time and it is necessary to be sure that all the activities are taken care of in a timely manner. To do this, a checklist of duties should be made to assure that all duties are carried out. For meetings that are held on a regular basis, this checklist, in a general form could be included in some type of procedure manual to be improved on after each meeting and used to plan subsequent meetings.

Maximizing meeting impact

Planning topics for discussions that are both interesting and appropriate will encourage attendance and keep the participants involved. If possible try to give participants multiple reasons to attend since it will increase the possibilities of success of the meeting. This could include holding your meeting in conjunction with other associations' meetings, conducting a trade show and inviting to the meeting government officials, researchers or allied sales people whose presence is in demand by the members.

From: IFDC, KADP Association Modular Training Manual

Handout 20.3 Role of the Chairman and Members

When the Executive Council meets, important issues are discussed and decisions made. Prior to a regular meeting, the executive manager and staff should draw up a tentative agenda based on input from the chairman and from information gathered from previous meetings, other council member suggestions and general membership concerns which have been raised since the last session of the council. After the chairman reviews and approves the agenda, the office staff will send it to all council members, with a request soliciting suggestions of subjects to be added or deleted by a certain date. Also the specific time and place of the meeting should be fixed in the announcement so there are no excuses for absenteeism. To avoid confusion on scheduling of meetings, set the same day on whatever periodic basis you normally meet and always meet at the same place and time.

From this notice and feedback, the association staff will draw up a final agenda. The items and issues on the agenda should be strictly adhered to. It is best to list them in descending order of priority and importance. A realistic timeframe for discussion and decision-making should be set. Otherwise, people want to talk about the least important issue first, discussing a subject forever and, in the end, never make an action decision. The problem with many meetings is that there is a lot of talk, but in the end no specific decision to take action.

If an item is so complex or requires prolonged discussion, negotiation, or debate then perhaps it will require a special meeting of the council to deal with that specific issue or maybe it is a subject that can be sent to a special committee for study and a recommendation back to the council.

New items should not be allowed into the set agenda. If new items emerge during the process of a meeting, the chairman should refer them to the end of the session, where on the agenda, there should be a specified amount of time for new business. This way, if there is time to explore the new items, then do so; if not, then postpone them to the next meeting of the council as a regular agenda item.

Presiding at the council meeting

The chairman of the meeting is responsible to chair the meeting and to guide the meeting to a definite conclusion. It is not necessary that the Chairman of the association is the chairman of the meeting; any member can chair the meeting.

The following are fundamental rules for conducting a meeting:

1. *Always start the meeting on time and follow a definite agenda.* The whole purpose of an agenda is to save time and keep the meeting on course. Do not waste time by digressing from it without good reason. The chairman can ask support from a timekeeper.
2. *Keep the meeting moving.* Interest declines when action slows. As many members as possible should be involved in discussions. Responses need to be kept short and to the point.

3. *Speak clearly.* If a person cannot be heard, they cannot be understood, and certainly cannot exercise control. Use a gavel to bring order and silence before speaking.
4. *Insist on order.* When general simultaneous discussion ensues, no one can be heard and nothing can be accomplished. The chairman must ask the members to keep order so everyone can provide input in an orderly fashion.
5. *Talk to the group, not to individuals.* Side conversations are rude, they disrupt the meeting, and accomplish nothing. If members are consistently whispering to each other they should be asked politely if they will take a turn to share their thoughts for the benefit of the entire council.
6. *Help the executives to be heard and understood.* The chairman should make sure each individual who takes the floor talks clearly and audibly. Interrupt if necessary and repeat what was said if there is the least suspicion that it may not have been heard or understood by all those present.
7. *Sum up.* Summarize what the speaker has said and obtain a decision.
8. *Retain control, but do not stifle free comment.* Invite constructive criticism and even disagreement. Ask for support. Clarify issues by obtaining consensus.
9. *Do not argue with the individual who has the floor.* The presiding officer should ask questions when there are disagreements with speakers but should also remember that as the presiding officer he/she should remain neutral.
10. *Ask for the floor as a participant to make a comment.* If an issue is being discussed and a decision is being reached where the Chairman may have a direct personal or business conflict of interest, the chair should be temporarily handed over to the Vice Chairman or someone else who has no direct vested interest.
11. *Ask for action.* Conclude discussions with either a call for a motion from the meeting or a directive for other action. If a motion is proposed, a vote will be necessary to gain official acceptance or rejection.
12. *Summarize and recap.* At the end of each agenda item and at the end of the meeting check to see if members feel that particular subjects have been adequately covered.

Members' contributions to meetings

Also as a member you have a task to fulfill in a meeting. The following points can help to improve meetings and also your own contribution.

1. *Study the agenda carefully.* When an agenda is issued prior to a meeting of the council, note the venue and time, and study the agenda topics carefully. If there is any item on it you do not understand, contact the association headquarters and ask for clarification.

2. *Stick to the agenda during the meeting.* Wait until the chairman asks for a discussion of subjects not on the agenda before bringing up new business. This is not only a matter of respect to the chairman but a matter of conduct which ensures a smooth flow to the meeting.
3. *Learn the exact purpose of the meeting.* Determine in advance how *you* are going to contribute.
4. *Make notes during discussion* and condense these notes before talking. An executive is not there to deliver an oration, just to provide key information. Do not waste the time of others with great speeches.
5. *Speak clearly in a voice that everyone can hear.* Wait until you have the attention of the entire audience before you present your remarks. The chairman should insure that a desirable atmosphere exists.
6. *Side conversations are distracting and should be avoided.* If you think your remarks were not heard, repeat them to the audience, not to the person next to you.
7. *Keep your remarks brief and to the point.* Do not tell a long story to get a point across. If remarks are lengthy or involved, sum them up at the end of your discussion because someone may have forgotten your objective.
8. *Help the chair by avoiding aimless discussions.* If a discussion goes on needlessly, or if research on the subject is required, interject and ask the chairperson politely if the issue could be referred to another meeting or to a committee appointed for that particular issue. This is one of the best methods to be sure the topic is adequately handled, and moving the meeting along to adjournment on time.
9. *Do not hesitate to comment, criticize constructively, or disagree.* Know your subject and ask for support from members who believe as you do
10. *Let other speakers finish.* Ask questions at the proper time. Make sure remarks are completely clarified and to the issue not to the person. Clarify the particular points of disagreement and direct summation so that everyone can understand.
11. *Ask for the floor from the chairman.* If you have a comment and cannot get attention, ask the chairman for a moment to speak. Do not get lost in some sort of group debate. Genuine contributions may get lost in discussion rather than have real impact on the final decision.
12. *Those who disagree.* There will always be dissenters or those with different points of view on particular issues. Ask others to summarize their conclusions. If you have done your homework before the meeting, they should have also. This permits a more thorough examination of an idea that could be highly constructive when completely understood.

13. *Have patience before passing a motion.* You may want to go for coffee, but do not rush the discussion. It is better to take a recess or table (leave a decision for the next meeting or refer it to a committee) than to make a hasty decision, provided the issue is not restricted by time.
14. *New members:* New executives on a council often feel that they should just listen. This is not the case. New council members are elected to represent their members and because of their insight and sound judgment. It should also be remembered that they should have equal access to the administrative staff of the association just like the chairman.

From: IFDC, Agribusiness Trade Association Development

Handout 20.4 Checklist for Organizing and Facilitating Meetings

Preparing the meeting

- **Purpose and objectives:** Know the purpose of the meeting and state the objectives up front. Think about desired outcomes for all agenda items and the process to get there.
- Give participants the chance to give **input** for the meeting. Be prepared to act on that input (should be on par with the purpose and objectives).
- **Agenda:**
 - Set an agenda and make a time schedule for each point on the agenda. Small meetings often lack agendas because they are ‘not important enough’. If it is not important enough, do not meet.
 - Do not overload your agenda. Look what can already be done before the meeting and what can be done afterwards.
 - Send participants the agenda of the meeting and any necessary documents (advanced reading or assignments) so they can prepare themselves. If participants have to vote on something, make sure they know in advance what the topic is and how the voting procedures are.
- **Send** the invitation, agenda and necessary documents **in time**. Even if it is impossible to provide some of the information ahead of time, it should be given to the attendees at the time that they arrive for the meeting.
- If participants are coming from varied geographical locations, it would be an idea to develop an **advisory council** of interested parties from different regions or offices. The council can discuss matters that concern their region to have a more structured input during the national meeting.
- Very useful is a **checklist of duties** to assure that all duties are carried out. This list should state who will do the job and by what date it should be completed. For meetings that are held on a regular basis, this checklist, in a general form could be included in the Standard Operating Procedures (see also session 10.1) to be improved on after each meeting and used to plan subsequent meetings.

Setting the room

One person should check the room before the meeting starts:

- Make sure there are enough chairs.
- If possible seat people in a circle or semicircle to encourage interaction (this is only possible with a limited number of participants).
- Check if persons in the back can hear what is said in the front of the room.
- Make sure all materials you need are available (flip-sheets, markers, brochures to hand out or other papers, notebooks, pens).
- Place a clock or watch at the main table to be able to keep track of time.
- Check if drinks and snacks are ready on the time you want them.

Starting the meeting

- Make sure everyone has the agenda and all necessary documents. Have some extra copies.

- Start on time. Do not wait longer than one hour; that is an insult to persons that came on time. Say: We will wait for another 15 minutes and then start.
- Have one person to take minutes of the meeting.
- Inform members if there are any changes in the agenda.
- Introduce when necessary. Introduce new members.

During the meeting

- Keep track of time and stick to the agenda. Allow a certain time for each agenda item. If members come up with topics that are not part of the item but are necessary to discuss, make it a separate agenda item at the end of the meeting or move it to the next meeting. If an item needs a lot of time, consider calling a special meeting for it.
- Do not misuse the presiding seat to put forward your own opinion. When you want to say something, ask like other participants for the floor. That you are presiding does not mean you are always right.
- Repeat important decisions that were taken or useful comments that were made. At the end of the meeting, summarize the decisions that were taken during the meeting.
- If there is a voting, explain the procedures very clear and tell members what the voting implies.
- Try to give members the feeling they are part of the meeting to keep them active and awake.

21. Leadership & Group Dynamics



21. Group Dynamics and Leadership

Within every group there are dynamics that result in a certain behavior of the group. These group dynamics will influence the performance of the group. In the next session participants will look at different aspects of group dynamics and its effect on actions taken by the group.

Each association is run by formal and informal leaders. There are several types of leadership. Participants will look into these types and define which types are suitable for their association. They will also discuss qualities of leaders and list qualities that are important for their leaders.

After the session participants:

- Understands aspects of group dynamics and their effect on results
- Have identified types of leadership and decide which are important for their association

Content exercises (total time 3 hours and 10 minutes)

- 21.1 Introduction to group dynamics: The game of status (20 minutes)
- 21.2 Group dynamics (60 minutes)
- 21.3 Introduction to leadership: Untying the knot (20 minutes)
- 21.4 Types of leadership (45 minutes)
- 21.4 Quality of leadership (45 minutes)

Handouts

- 21.1 List of qualities

21.1 Introduction to Group Dynamics: The Game of Status

Objective: To show how people with different status are treated.

Time needed: 20 minutes

Materials: Colored cards
Markers
Tape or safety pins

Procedure:

1. Chose a situation, for example a launching where different people meet and interact. Write on colored cards the **categories**:
 - a. Chief of the village (male)
 - b. Chairman of local association or cooperative (male)
 - c. Trader in agricultural products (male)
 - d. Illiterate farmer (male)
 - e. Illiterate farmer (female)Everyone gets randomly a category on their back. Participants do not know what they are.
Note: If you have between 5 and 10 participants, some people will play the same role. If you have more than 10 people, invent some more categories.
2. Explain that everyone should walk around to talk to ach other and treat the others according to their **status**.
3. After a few minutes ask the participants to line up in **order of importance**. Discuss the game: how did people treat you? Who thinks he/she has a high status? Why? Who think he/she has a low status? Why? What is the difference in treatment between the high and low status? Did participants guess what category they were? Do we see a similar treatment in reality as well? Can someone give an example?
4. **Variation:** with a big group (more than 20) make sure you have from every category at least three cards. Now participants have to find people with the same status. At the end the groups must read out the category for each other so see if they were right. Did many people find their ‘status-mates’? Was it difficult?
5. Link the game to the association. Ask: “Who is the most important person in the association?” Many participants will answer “the chairman”. Tell participants that that is a common mistake made in associations. Because **every member is equally important**. But as we saw in the game, people are treated in a different way. In an association it is important to treat all members in the same way, which means: everyone needs to get the same changes (participation in activities, becoming leaders, etc).

21.2 Group Dynamics

Objective: To show how group dynamics can work.

Time needed: 60 minutes

Materials: Colored paper

Tape

Flip-sheets

Markers

Procedure:

1. Divide the group into groups of 4-5 participants. Tell participants that each group is getting the same **assignment** and that they have exactly 10 minutes to do the assignment.
2. Explain the assignment. They have to build a tower of paper using colored cards and tape. The tower has to be as high as possible. They have ten minutes to build the tower.
3. After ten minutes go with all groups one by one to all towers and discuss the **process** how it was built. Ask each group:
 - a. Was there a leader?
 - b. How was the leadership formed?
 - c. Was the leadership accepted?
 - d. How were decisions taken?
 - e. Was there consensus on decisions?
 - f. How was the teamwork?
 - g. Was there a task division?
 - h. Was the output achieved?
 - i. How was the time managed?
 - j. Did everybody in the group feel at ease? If not, why not?
4. Try to note down the most significant answers and try to formulate **conclusions** on the work done. Try to think why the assignment worked out or not. Possible answers are:
 - a. Goal oriented => shared goal
 - b. Leadership => clear and accepted?
 - c. Limited people => coordination mechanism, mutual adjustment
 - d. Time constraint
 - e. Complementary characters
 - f. Everybody had a role
 - g. Nature of the task => it was a creative task, you cannot be strict
5. Try at the end to identify **different roles** of people: the implementer, the follower, the quiet one, the innovative, the coordinator, the peace keeper, the leader, etc. All these are needed in a group. A group with only leaders does not function. Also a group with only implementers does not.
6. Link the exercise to the **association**. Who are the leaders (chairman, Executive Council, Executive Manager, regional coordinators)? Who are the implementers

(staff, members, committees)? Who are the coordinators (Executive Manager, chairman, regional coordinators)? Who are the innovators (young leaders, new members)? Ask for some other roles (peace keepers, followers, etc).

21.3 Introduction to Leadership: Untying the Knot

Objective: To introduce participants to the next sessions on leadership.

Time needed: 20 minutes

Materials: None

Procedure:

1. Obtain two volunteers from the participants to act as **leaders**. They have to leave the room, while you instruct the other participants.
2. Ask the remaining participants to **hold hands** in a circle and tie themselves into as entangled a **knot** as possible. They must not let go of each other's hands at any time.
3. Tell participants that they have to **follow the instruction** of the leaders exactly. Participants should not make it easier for the leaders by taking own initiatives.
4. When the knot is complete, the leaders are asked to return and to **unravel** the knot within three minutes, **using verbal instructions only**. They have to keep their hands on their back.
5. After three minutes everyone can let go the hands. Ask the leaders to be part of the second knot that is going to be formed. When the knot is ready, simply ask the participants to '**get out of the knot yourself**'.
6. **Discuss** the game and make the connection to the topic of this session: leadership. Ask participants first what happened. Why did the leaders not succeed the first time to untie the knot? They were trying to tell the group what to do instead of letting the group taking the initiative. Tell them that a group is often capable in taking their own actions (untying the knot), but that they need leadership (someone to tell them to untie themselves).
7. Tell participants that in the next sessions we are going to discuss leadership.

21.4 Types of Leadership

Objective: To define what type of leadership is suitable for the association and what qualities a leader must have.

Time needed: 45 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Start by asking one participants to draw their **organizational structure** on a flip-sheet. Then ask in which **level** the leadership of the association is. A possible answers are:
 - i. The president
 - ii. The National Executive Council
 - iii. Chairmen of committees
 - iv. Regional or local coordinators
 - v. The executive manager (if there is any other staff)

2. Explain to participants that there are many **types of leaders** and different management styles. It depends on the person but also on the organization. The Coca-Cola company will need a different type of leader than an association. Ronnie Lessem introduced seven different types of leaders, based on the combination of personal quality of doing and thinking:

Individual type	Key words	Management type
Do-ers	Action	Adventurer
Feelers	Feelings, communication	Animator
Thinkers	Learning, developing ideas	Changer
Wanters	Challenges, risks performance	Entrepreneur
Organizers	Planning, authority, structure	(traditional) manager
Intuitive persons	Intuition, trends, opportunities	New developer
Creators	Inspiration, vision and energy	Innovator

3. Give every participant a colored card and ask them to select one **individual type** they consider most appropriate for their association. Emphasize that they can only select one type.

4. Go through the list of types one by one and ask each time that those who have selected that management type to raise their hand. Ask a few people why they have selected this type.

5. Probably most people will select the **do-er and the organizer**. Ask participants to select again one of the types, now leaving out the do-er and organizer. Ask again for the results. Probably all types have been mentioned now. Now ask if this is indeed what their association need. Who should be the do-er and organizer in an association (executive manager and staff, committees)?

6. Now look again at the list and at what people have selected the second time. What are the **key words** that are important for leaders of an association? Probably: developing ideas (thinker), challenges (wanters), opportunities (intuitive persons), and inspiration and vision (creators). Is this true for their recent leaders? Is it possible for their present leaders to play this role? If not, how come (maybe they are too much involved in implementation by lack of active members or difficulties with delegation of powers). How can this be changed?

21.5 Qualities of Leadership

Objective: To define what qualities a leader must have.

Time needed: 45 minutes

Materials: Flip-sheets
Markers

Procedure:

1. Tell participants that we are going to discuss **qualities of leadership**. Before we start with that, we would like to list the usual **pitfalls** for leaders. The following can be mentioned:
 1. Does not communicate with others
 2. Pulls everything to him/herself
 3. Cannot take decisions
 4. Wants to discuss everything with everybody before taking any decisions
 5. Takes all decisions without consultation
 6. Cannot delegate
 7. Does not listen to others

Ask if they have other pitfalls as well.

2. Now ask how you can **deal** with leaders that are not so good. Ask for examples how participants have solved problems with their leaders. It is possible that the organizational structure is not good, the leader has too much or not enough power, or that the communication channels are not good, or other members are not active, etc.
3. Tell participants that independent the type of leadership, a leader must have certain **qualities**. Also this depends on the type of organization. Start brainstorming on qualities of leaders and list them.

Note: If you do not have much time, you can give each participant a list with possible qualities of leaders (handout 20.1). A brainstorm session will take more time, but it allows participants to think better about qualities of their leaders.

4. Now each participant can **mark anonymously five qualities** they think their leaders should have.
5. Mark on a big sheet which qualities were selected and discuss the main four or five.

Note: If you have some spare time or need a good energizer, you can ask participants to form small groups. Each group gets one of the main qualities of a good leadership and has to demonstrate it with a play. The play can take 3 to 4 minutes.

6. Ask participants how they can ensure that their leaders have all these qualities (examples: elect the most capable person, not someone because of age, wealth or other reasons, make sure the bodies surrounding the leaders are strong enough to advice and monitor).

7. Discuss next how an association can build leadership?
 - Short terms of office
 - Only 1 time to be reelected
 - Trained or guided by previous leaders
 - Not only send executives to programs
 - Committees with real responsibilities

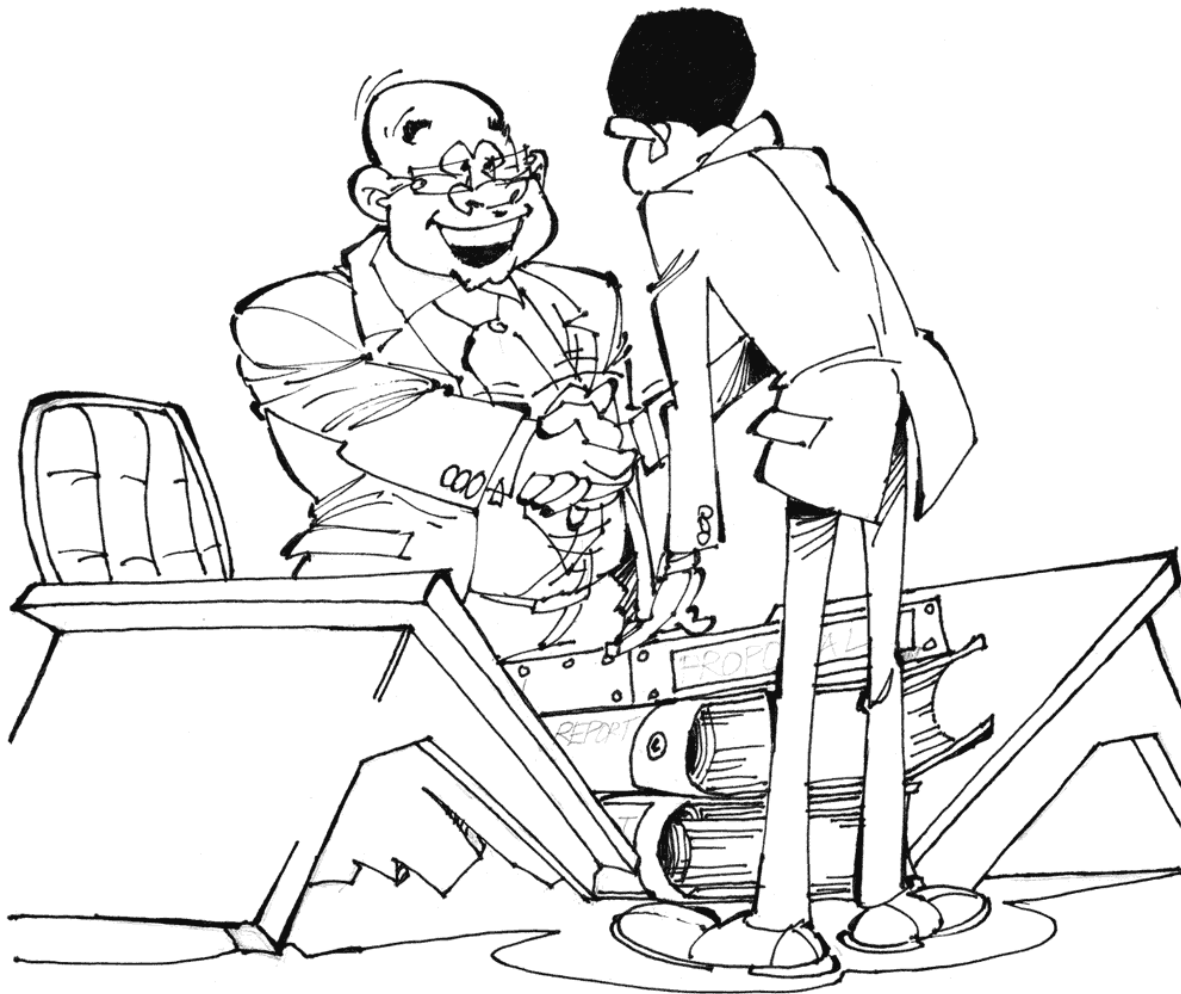
8. How to give young people a chance?
 - 1 seat in the NEC
 - Involve them in activities and give them responsibilities
 - Set up a Youth committee
 - Also send youth to programs

Handout 21.1 List of Qualities

Look at all the qualities listed beneath. Please mark 5 qualities you consider most important for the leaders of your association.

Active	Committed	Communicative
Confident	Convincing	Cooperative
Creative	Curious	Determined
Dedicated	Diplomatic	Disciplined
Drastic	Dynamic	Firm
Flexible	Guiding	Hard working
Helpful	Humoristic	Honest
Incorruptible	Innovative	Motivated
Motivating	Nice	Open
Opportunistic	Optimistic	Patient
Professional	Punctual	Quick
Quiet	Realistic	Reliable
Respectful	Supportive	Tolerant
Transparent	Truthful	

22. Proposal and Report Writing



22. Proposal and Report Writing

Most associations do not generate enough income to support all activities. Therefore they have to write proposal to apply for funding. To keep partners informed about activities or to give feedback on sponsorship, reports should be written after every activity and on regular base. In this session guidelines on how to write proposals and reports are given.

After the session participants should be able to:

- Prepare a proposal
- Write a report

Content exercises (total time 4 hours and 30 minutes)

- 22.1 Components of a proposal (90 minutes)
- 22.2 Writing a proposal (120 minutes)
- 22.3 Report writing (60 minutes)

Handouts

- 22.1 Group work: Checking the proposal
- 22.2 Guidelines on writing proposals
- 22.3 Guidelines on writing reports

22.1 Components of a Proposals

Objectives: To know the components of a proposal.

Time needed: 90 minutes

Materials: Handout 22.1
Handout 22.2
Flip-sheets
Markers

Note: If there is not that much time and you want to do exercise 22.2 as well, you can skip the exercise (step 1-3) and start at step 4.

Procedure:

1. Divide the participants in two or more groups (depending on the number of participants) and give each participant a copy of handout 22.1.
2. The handout is an example of a proposal. Each group has to list good points of the letter and what is missing. They also have to say if they would approve this application or not.
3. Let each group present their results. Possible answers are:

Good points:

- Good description of association;
- Good overview of activities;
- Collaborating organizations;
- Own contributions (from members and from association);
- Reference;
- Contact person.

Missing information

- No information on members;
- No information on the problems;
- No justification of application;
- No description of type of training workshop;
- No budget attached;
- No monitoring and evaluation.

Approval?

No, they are asking for 6,500 USD while the NGO approves only proposals with a ceiling of 5,000 USD. Still too much information is missing. They will have to rewrite their proposal.

4. After the presentations try to prepare a kind of check-list of what should be in a proposal using the results of the work groups.

Check list:

1. **Background:**

- a. Description of the **association**: when was the association formed, who founded the association, what are the objectives and main activities, what are the sources of funding, what is the organizational structure, present membership, etc.
- b. Description of the **members**: financial situation, gender, profession.

2. **Problem statement**: description of the problems and its causes. A problem should not be lack of money; a problem should rather be presented as a concrete issue, e.g. that producers cannot sell their produce.

3. **Justification of application**: why is the association asking for assistance from this organization, how can the support help in solving the problems.

4. **Planned activities**: how is the support going to be used.

5. **Expected results**: description of the expected output related to solving the problems.

6. **Collaborating organizations**: if there are any partners involved, list them and indicate their contributions.

7. **Time schedule**: when is which activity going to be implemented

8. **Budget**: how much is needed for what (add invoices), what will be the financial contribution of the association and other partners (also in percentage).

9. **Monitoring and evaluation**: who will be monitoring the project, how is the association going to give feedback to the organization.

10. **Contact**: do not forget to mention clearly the contact address, e-mail address, telephone number of the association and contact person within the association.

11. **References**: it is not often required to add references, but it will help to build a case and to be credible.

5. Finally give the participants some general advice on how to write a proposal (see **handout 22.2**)

- Type of proposal;
- Who is the partners and what can they do;
- What are the procedures;
- What are the conditions to apply;
- What can be applied for;
- Monitoring and evaluation;

6. Give every participant **handout 22.2**.

22.2 Writing a Proposal

Objectives: To write a proposal.

Time needed: 120 minutes

Materials: Handout 22.1

Handout 22.2

Flip-sheets

Markers

Procedure:

1. In the previous exercise a checklist was prepared for writing a proposal. Tell participants that they are going to write now a first draft of a real proposal.
2. Split participants into groups. If you have several associations, put the associations together. Otherwise split the group in sub-groups of 4-5 participants.
3. Let every group brainstorm for 5 minutes about a topic and let every group present (very briefly) their topic. If all participants belong to one association, you can select several topics. You can also give the same topic to all groups and compare the results.
4. Tell groups to take **handout 22.2** and answer the following questions:
 - a. Point 2: Problem statement
 - b. Point 3: Justification of application
 - c. Point 4: Planned activities
 - d. Point 5: Expected results
 - e. Point 6: Collaboration organizations
 - f. Point 9: Monitoring and evaluation
5. Walk around during the exercise and guide participants. Each group has 60 minutes to work on their proposal.
6. Let every group present their results. You should look at the following aspects:
 - i. **Problem statement:** is this really the problem? Try to formulate the problem statement as simple as possible.
 - ii. **Justification:** it should be clear why support is asked from this particular organization and not from another organization.
 - iii. **Planned activities:** this does not have to be done in detail; it should give an idea of what will be done to address the problem.
 - iv. **Expected results:** make sure there is a clear link with the problem statement.
 - v. **Collaboration organization:** they should also think about other farmers' or input dealers' organization, not only technical partners or donor agencies.
 - vi. **Monitoring and evaluation:** most organizations do not think about this aspect. They can think about a special committee (with maybe some outsiders), written reports within a certain time frame, etc.
7. Tell participants that the results of their work can serve as a base for a real proposal.

22.3 Report Writing

Objectives: To know the components of reports on activities and regular reports.

Time needed: 60 minutes

Materials: Handout 22.3

Flip-sheets

Markers

Procedure:

1. Ask participants what **type of reports** they have in their association. This can be reports that are written after a certain activity, such as a study tour or training workshop. It is also possible to write a report on a regular base, for example to provide a quarterly or annual overview of activities.
2. Tell participants that we are going to look what should be written in a report. First start with reports on activities, then discuss regular reports.
3. List together with the participants the topics of a report on an activity. The following should be mentioned:
 - a. **Objective:** What was the original objective of the activity? Why was the activity organized? Who was organizing the activity?
 - b. **Participants:** Who were the participants (add a list as attachment or annex), where are they from, what is their background, what were the conditions to be a participant, are they members of the association or were outsiders participating as well?
 - c. **Partners:** Where were there any partners involved? What was their role?
 - d. **Description of the activity:** What was done exactly? Try to stick to points that are interesting. For a training workshop it is not interesting to know who did the opening prayer and which snacks were served during the coffee break, but it is interesting to know which topics were taught and in which way.
 - e. **Results:** What were the results of the activities? Where were the objectives achieved?
 - f. **Overview of activities (program) or itinerary:** When and where was which action of activities implemented or what was the travel schedule? This can be provided in an attachment or annex.
 - g. **Evaluation:** It is always good to evaluate an activity, preferably done by the participants.
 - h. **Budget:** How much money was spent on what? Where did the money come from (donors, participatory fees)? Was there under- or overspending from the original budget? Why? Most associations are not eager to reveal a budget. They do not want to share it with partners or even their own members. Adding an up-to-date budget shows that the association has nothing to hide and that it is accountable.

Ask for every item for examples, especially for the objectives, results and evaluation, and give them at the same time ideas on how to incorporate this in an activity.
4. Now try to make a list for regular reports. The following should be mentioned:
 1. **Description of the association:** Background of the association, when was it created, structure, office, branches, objectives, etc.

2. **Membership:** Who, how many, geographical background, occupation of members (profession), changes during the period.
 3. **Overview of activities:** Do not use a chronological order, but rather a logical order. So use headings that for example conform to the annual plan. If using the annual plan as framework, add if objectives were achieved and if planned activities were implemented. If not, explain why.
 4. **Financial overview:** How much was spent on what and how much was generated and how? What is the balance? How is the situation compared to the previous period?
 5. **Summaries:** If the report is very bulky provide a summary at the beginning of the report, for example on membership, activities and financial records.
 6. **List of documents:** Overview of documents that were written.
 7. **Activities for next period:** What are the plans or activities for the next period?
5. As final remark tell participants they should always keep in mind the **target groups**, i.e. who is going to read the report? Also add that reports should not be too bulky, because no-one is going to read them. So they should stick to the **most important information** and leave out unnecessary details, such as who did the opening prayer and what was served for lunch.
6. Give them **handout 22.3**.

Handout 22.1 Group Work: Checking the Proposal

The Maize Growers Association would like to apply for funding to organize a training workshop. They apply at a NGO that has funds for small-scale activities up to 5,000 USD. The association has prepared the following proposal. Read the proposal and answer the following questions:

1. What are strong points of the proposal?
2. Which information is missing?
3. If you were the NGO, would you approve this application or not? Why?

PROPOSAL FOR TRAINING WORKSHOP

The Maize Growers Association (MGA) would like to apply for sponsorship of a training program for the amount of 6,500 USD under the “small-scale activities fund” of your organization.

The MGA is a national association for maize growers and was created in 2003. The main objective of the association is to support maize growers in marketing their produce. At the moment the association has more than 700 members, of which 375 females, all over the country. All members pay a registration fee of 20 USD and annual dues of 15 USD. Last year 87% of our members paid their dues and fees. The MGA has a national office in the capital and regional branches in all regions. The national association is managed by an executive council that consists of 7 members. Each region elects its own regional council.

MGA would like to organize a training workshop for members of region A and region B. The regions are selected because both regions border to country X and export some of their produce to country X. The training workshop will be facilitated by resource persons of the Ministry of Agriculture and the Export Promotion Council. Both organizations have already agreed on their collaboration.

The grant shall be used to sponsor one training workshop in region A and one training workshop in region B. The schedule shall be as follows:

- June: Identification of members to be trained (30 members in each region)
- July: Organization of logistics and training program, contacting resource persons, finalizing budget
- Aug: Training workshop in region A
- Sept: Training workshop in region B
- Oct: Finalizing reports on workshop and budget

The total amount needed for the workshop will be 9,000 USD. The funds will be collected as follows:

- Participatory fee of 20 USD for 60 participants is 1,200 USD
- Financial support of MGA region A of 300 USD
- Financial support of MGA region B of 300 USD
- Financial support of national office MGA of 700 USD

- Grant “small-scale activities fund” of 6,500 USD

For references on our association you may contact:
Forum for agricultural producers. Mr. King, tel: 021-835574.

Our contact person is Mrs. Adowa Mensah, PO Box 7420, Accra, tel: 021-482740 or mobile 0244-748304, e-mail: maizegrowers@yahoo.com.

Handout 22.2 Guidelines on Writing Proposals

For most associations, their main sources of income are registration fees and annual dues. However, in many cases these are not sufficient to cover the overhead costs of the association or its activities. Therefore, associations need to look for other means of funding. Another channel of financing is the assistance from partner organizations. But simply knocking at someone's door and ask for assistance does not work. Associations need to put their demands on paper and present that to the potential partner. Although every organization has its own format of generating information, a few general guidelines can be given on how to write a proposal.

What type of proposal?

Roughly there are two types of proposals. The first one is when applying for a specific fund under a project, for example BUSAC or the grant fund of MISTOWA. The second is when applying for a general and not to a specific existing fund. When applying for a specific fund there are always formats the applicant has to follow, whereas in the general application, there might not be any strict guidelines.

Who is the partner and what can they do?

Before applying for assistance, it is necessary to know whom you are dealing with, who the partner is, its objectives, where it gets its funding from, type of projects it embarks on, where it is based, etc. Nowadays most organizations have their own websites which give lots of information. Also brochures and annual reports can provide insightful information. Secondly, it is also necessary to know exactly what the partner can do and what it cannot do. If the project is focused on cassava, it will not sponsor activities on fishing. So check on its field of activities and see how your demand can fit in.

What are the procedures?

Every organization has its own procedures and applies them strictly. It is important to know what is expected at what time. Maybe first a form has to be collected and completed before a certain date, the application has to be given in person or sent via the e-mail, the applicant has to contact the organization or be contacted for the results.

What are the conditions to apply?

When applying for a specific fund there will be conditions under which one can apply. For example: only women's groups can apply, or farmer-based organizations or credit associations. It is also possible that the association has to be registered, or that it should have a bank account. Most organizations will provide a list of conditions. Make sure that you understand the list of conditions clearly after reading through. When certain conditions are not clear, ask the partners for clarification.

What can be applied for?

Most organizations only provide assistance in certain areas and within these areas there are conditions as well. When applying, it is important to know what can be applied for. Sometimes projects do not give financial support for the purchase of vehicles, so it will be of no use applying for one. Make sure you know what you can apply for and do not ask for things that fall outside this range.

What to write in a proposal?

Although each organization has different conditions and procedures to be followed, a few topics should always appear in a proposal.

1. **Background:**
 - a. Description of the **association**: when was the association formed, who founded the association, what are the objectives and main activities, what are the sources of funding, what is the organizational structure, present membership, etc.
 - b. Description of the **members**: financial situation, gender, profession.
2. **Problem statement**: description of the problems and its causes. A problem should not be lack of money; a problem should rather be presented as a concrete issue, e.g. that producers cannot sell their produce.
3. **Justification of application**: why is the association asking for assistance from this organization, how the support can help in solving the problems.
4. **Planned activities**: how is the support going to be used?
5. **Expected results**: description of the expected output related to solving the problems.
6. **Collaborating organizations**: if there are any partners involved, list them and indicate their contributions.
7. **Time schedule**: when is which activity going to be implemented
8. **Budget**: how much is needed for what (add invoices), what will be the financial contribution of the association and other partners (also in percentage).
9. **Monitoring and evaluation**: who will be monitoring the project, how is the association going to give feedback to the organization.
10. **Contact**: do not forget to mention clearly the contact address, e-mail address, telephone number of the association and contact person within the association.
11. **References**: it is not often required to add references, but it will help to build a case and to be credible.

If available brochures, list of members, annual reports, annual plans, etc can be added.

Monitoring and evaluation

The process does not complete after receiving the funding. In fact, the process has now begun. When the financial support arrives, the association has to start implementing the activities as described in the proposal under planned activities. To retain a good relationship it is also very important to keep the donor informed on activities. Depending on the length of the total project a report can be submitted every month or every three months. In the report an overview of implemented activities should be provided and compared to the original planned activities. In case of any delays an explanation should be given.

Another point is to describe the impact of activities. Did the implemented activities help to tackle the problems? If not, what happened, and is it possible to restructure activities to achieve the objectives anyway? If the impact of activities is not as was expected, do not try to hide this but make it known while offering solutions.

Also, it is very important to account for all expenses that were made compared to the budget. Differences should be explained.

At the end of the project, an end-of-project report should be submitted to the partner. To make a really good impression the association can also book an appointment and present the results to the partner.

Final remarks

When submitting a proposal, make sure it looks nice and straight to the point. Partners will not feel like reading a lengthy document. Finally, make sure all records (especially the financial) are updated and in order. It will help to become credible and will raise chances of getting an approval.

Handout 22.3 Guidelines on Writing Reports

Why write a report?

A report can be written after a certain activity, such as a study tour or training workshop. It is also possible to write a report on a regular base, for example to provide a quarterly or annual overview of activities.

Report on a specific activity

When preparing a report on a specific activity the following should be described:

1. *Objective:* What was the original objective of the activity? Why was the activity organized? Who was organizing the activity?
2. *Participants:* Who were the participants (add a list as attachment or annex), where are they from, what is their background, what were the conditions to be a participant, are they members of the association or were outsiders participating as well?
3. *Partners:* Were there any partners involved? What was their role?
4. *Description of the activity:* What was done exactly? Try to stick to points that are interesting. For a training workshop it is not interesting to know who did the opening prayer and which snacks were served during the coffee break, but it is interesting to know which topics were taught and in which way.
5. *Results:* What were the results of the activities? Were the objectives achieved?
6. *Overview of activities (program) or itinerary:* When and where was which action of activities implemented or what was the travel schedule? This can be provided in an attachment or annex.
7. *Evaluation:* It is always good to evaluate an activity, preferably done by the participants.
8. *Budget:* How much money was spent on what? Where did the money come from (donors, participatory fees)? Was there under- or overspending from the original budget? Why? Most associations are not eager to reveal a budget. They do not want to share it with partners or even their own members. Adding an up-to-date budget shows that the association has nothing to hide and that it is accountable.

Regular reports

When preparing a report on activities in a certain period the following should be described:

1. *Description of the association:* Background of the association, when was it created, structure, office, branches, objectives, etc.
2. *Membership:* Who, how many, geographical background, occupation of members (profession), changes during the period.
3. *Overview of activities:* Do not use a chronological order, but rather a logical order. So use headings that for example conform to the annual plan. If using the annual plan as framework, add if objectives were achieved and if planned activities were implemented. If not, explain why.
4. *Financial overview:* How much was spent on what and how much was generated and how? What is the balance? How is the situation compared to the previous period?
5. *Summaries:* If the report is very bulky provide a summary at the beginning of the report, for example on membership, activities and financial records.
6. *List of documents:* Overview of documents that were written.
7. *Activities for next period:* What are the plans or activities for the next period?

General remarks

- Try to be to the point. People do not feel like reading a bulky report and they are not interested in unnecessary information.
- Keep your target group in mind: who is going to read this report?