An analysis of the effect of organisational capacity on organisational performance in project implementation – case of the Organisation of Rural Associations for Progress (ORAP)

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DECLARATION

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ABSTRACT

In this study, organisational capacity is considered as the sum of organisational capabilities to perform functions that will deliver expected levels of performance; suggesting that organisations must be enabled to solve problems, set and achieve objectives, learn and adapt operations to attain set goals. Therefore, this research analyzes various capacity options necessary for the proper functioning of the organisation in line with the Frederickson's capacity model which considers capacity in terms of leadership and vision, management planning, fiscal planning and practice and operational support. The analysis is done in an organisational context (the Organisation of Rural Association for Progress - ORAP) in order to develop a practical understanding of capacity implications in projects implementation activities. In order for organisations to produce efficient, effective, financially viable and relevant performance, there must be a matching level of investment towards capacity development.

In this research, information obtained from interviews and group discussions indicated that organisational capacity has a direct effect on the quality and time spent on a single project. In addition, project activities must satisfy specific project objectives, as well as the strategic objectives of the organisation to ensure that performance is consistent with project requirements and at the same time steer the vision of the organisation forward. Community participation should be prioritised because it is important to make sure that project implementation becomes a consultative process that would produce the required outcomes in terms of project value to the community and empowerment through training and experience to community members. It is also important to adequately fund projects and provide the right infrastructural facilities, in order to enable the smooth flow of the project implementation process.

OPSOMMING

In hierdie studie word organisatoriese kapasiteit beskou as die samevoeging van organisatoriese vermoëns om funksies uit te voer wat verwagte vlakke van werkverrigting sal lewer; wat suggereer dat organisasies die geleentheid gebied moet word om probleme op te los, doelwitte uiteen te sit en te bereik, werksaamhede te leer en aan te pas om bepaalde doelwitte te bereik. Derhalwe, analiseer hierdie navorsing verskeie kapasiteitsopsies wat nodig is vir die behoorlike funksionering van die organisasie in ooreenstemming met Frederick se kapasiteitsmodel wat kapasiteit in terme van leierskap en visie, bestuursbeplanning, fiskale beplanning en praktyk, en operasionele ondersteuning vooropstel. Die analise word gedoen in 'n organisatoriese konteks (die Organisasie vir Landelike Ontwikkelingsassosiasie – OLOA) ten einde 'n praktiese begrip van kapasiteitsimplikasies in die implementering van aktiwiteite van projekte te ontwikkel. Vir organisasies om doetreffende, effektiewe, finansiëel haalbare en relevante werkverrigting te lewer, moet daar 'n ooreenstemmende beleggingsvlak vir kapasiteitsontwikkeling wees.

Inligting wat verkry is tydens navorsing vanuit onderhoude en groepbesprekings het aangedui dat organisatoriese kapasiteit 'n direkte effek het op die kwaliteit en tyd wat gewy word aan 'n enkele projek. Daarby moet projekaktiwiteite spesifieke projekdoelwitte verwesenlik, asook strategiese objekte van die organisasie om te verseker dat werkverrigting niestrydig is met projekvereistes en om terselfdertyd die visie van die organisasie uit te dra. Gemeenskapsdeelname behoort voorkeur te kry, want dit is belangrik om te verseker dat projekimplementering 'n advieserende proses word wat die vereiste uitkomste in terme van projekwaarde vir die gemeenskap en bemagtiging deur opleiding en ervaring van gemeenskapslede na vore sal bring. Dit is belangrik om projekte genoegsaam te befonds en die regte infrastrukurele fasiliteite te verskaf om die die gelykvloeiendheid van die proses van projekimplementering moontlik te maak.

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1.1 TITLE

An analysis of the effect of organisational capacity on organisational performance in project implementation – case of the Organisation of Rural Associations for Progress (ORAP)

1.2   BACKGROUND/RATIONALE

The subject of this study is the Organisation of Rural Associations for Progress (ORAP). The organisation is a local Non Governmental Organisation (NGO) involved in development and relief work in Southern Zimbabwe. ORAP implements several projects at any given time which are enabled by various funding institutions across the world. As a result implementing capacity is always strained in many areas such as strategic leadership, organisational structure, human resources, financial provision, infrastructural facilities and programme management; (these shall be unpacked later to extract specific areas of concern). Consequently, the implementation of projects is often set back in terms of unfulfilled completion deadlines, poor project output, and extreme pressure on field staff which lead to increased errors, demotivation and loss of good faith by stakeholders inclusive of funding partners, government and the community. The commitment of the organisation to community work has thus become questionable, resulting in funding and cooperating partners either scaling down or pulling out completely from partnership with ORAP. Based on these facts, the researcher has decided to carry out an organisational capacity analysis to determine how the presence or absence of various capacity requirements relate to realised performance in project implementation and establish how this relationship is important to the achievement of the organisational overall goals. After completion, this study is expected to generate knowledge that will provide a platform for informed decision-making with regard to capacity development that will assure the desired performance and hopefully promote the vision of the organisation.

1.3   PRELIMINARY LITERATURE REVIEW

1.3.1 Introduction

Organisations need some form of enablement to carry out activities that would satisfy their mission or certain objectives. Audenis, 2010:3 says that the perfect fulfilment of organisation

activities is made possible by creating the the matching capacity in terms of the right resources at the right time and the determination of how much of those resources are required and the actions that need to be taken to ensure that service level requirements are met. It is in this regard that investment choices should be focused towards strategy development, ideal structure setting, finance, facilities, skill and programme leadership in order to create sufficient capacity to contain organisational operations. To emphasise on the important of organisational capacity, the government of Zimbabwe has made it a prerequisite through the Private Voluntary Organisations (PVO) Act for all Civil Society Organisations (CSOs) operating in the country to create relevant capacity in local organisations and communities in order to ensure sustainability of all community development projects. In addition, Fredericksen and London (2000:232) say that Community Based Development Organisations (CBDOs) are used by public service providers for "rapid implementation, ability to customise programs to address local needs and could deliver service to clientele who might not be reachable through direct public service delivery." So the creation of capacity in organisations helps to customise operations to the specific needs of the society which in turn would help to produce useful results that would address specific issues in the society.

1.3.2 Capacity

Connolly and Lukas, (2000:1) describe capacity as a range of capabilities, knowledge and reosurces that non-profits need in order to be effective.They go on to list components of capacity which they say are critical for high performance as mission, vision and strategy, governance and leadership, finance, internal operations and management, programme delivery and impact and strategic leadership. In line with Connolly and Lukas, the World Bank (2009) says capacity is the power of an organisation to apply its skills, assets and resources to achieve its goals. The Human Kinetics, (2009:459-460) envisage capacity as a set of attributes that bear on organisational performance; these attributes may be in the form of engaged individuals, effective partnerships, financial management, external linkages, capital resources and formalisation. The importance of organisational capacity makes it a key strategy even for international development organisations to empower their implementing partners to meet their performance obligations at any given time.The Development Assistance Committee (DAC), (2006:58) and the United Nations Development Programme (UNDP) say that capacity is important to enable people, institutions and societies to perform functions, solve problems, and set and achieve objectives. The DFID, (2010:4) summarises

capacity as the sum of capabilities of a group, organisation or network as they learn and adapt their operations to performance demands.

It may be important at this point to briefly discuss capacity building as part of a broader capacity development strategy because it gives a more current perspective on capacity development. Figure 1.1 summarises the key elements of capacity building:
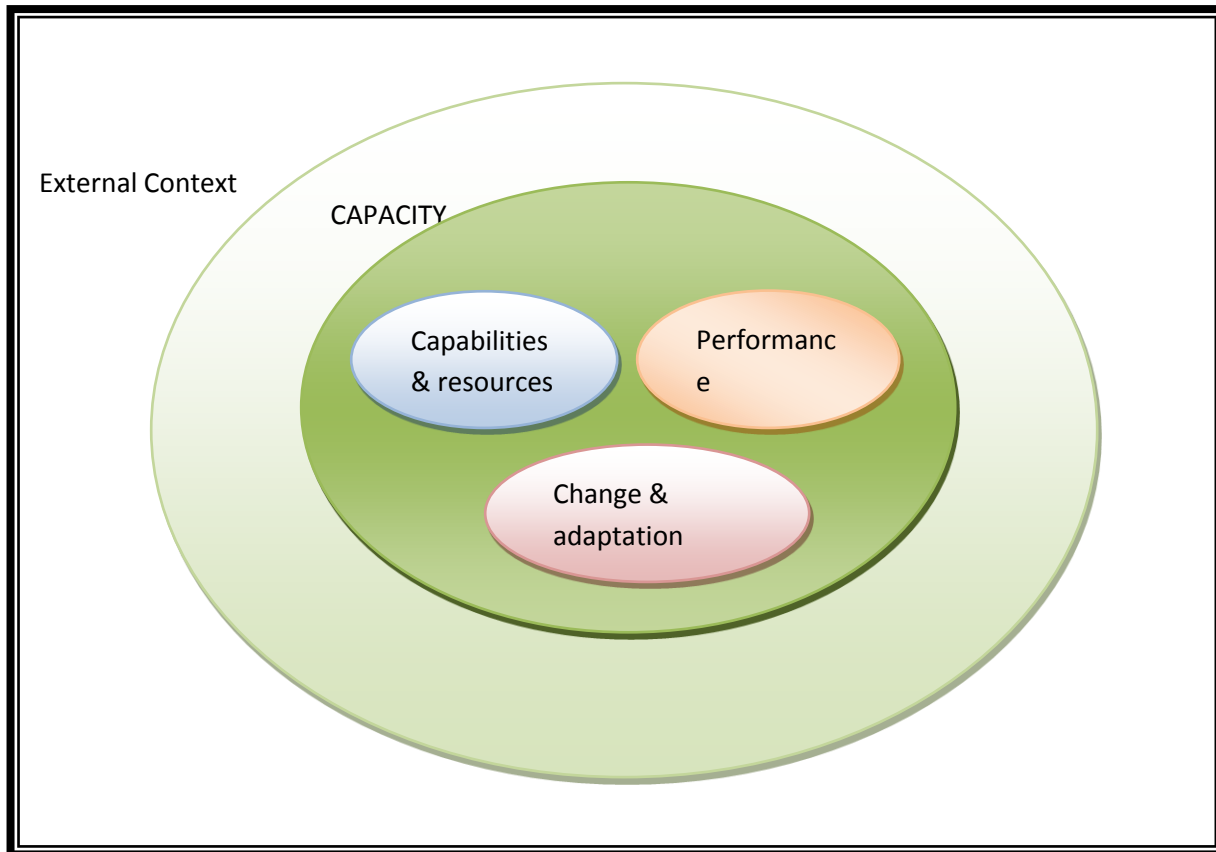
Figure 1.1: Key elements of capacity building

Adapted from: DFID, 2010.

Capacity building within an organisation is influenced or limited by external factors, such as stakeholders and certain external interventions that may be sectoral or statutory. In such cases an organisation must stay within external environment controls in its internal developmental programmes so that it may remain relevant and contribute meaningfully to the society.

According to figure 1.1, capacity is viewed as a composite product of capabilities and resources, performance and change and adaptation. Capabilities and resourcing constitute such elements as skill and technical sufficiency, systems and procedures used by the organisation to produce a desired performance. In order to be able to change and adapt, the organisation must set supportive institutional rules, such as policy instruments to enable/empower staff to act in a certain way which is consistent with expectations.

Capacity development shall be discussed based on Fredericksen and London's CBDOs' capacity model as shown in table 1.1:

Table 1.1: Fredericksen and London's capacity model

1. Leadership and Vision

- Does the CBDO have a directing board?
- Is there evidence of community participation in selection of the board?
- Is there evidence of community support for the board?
- Does the leadership have an articulated vision/mission statement for the CBDO?
- Is staff representative of community demographics?
- Are board members representative of community demographics?

2. Management Planning

- Does the CBDO have formal written policies and procedures for internal operations?
- What evidence of planning is there in the CBDO? (i.e., strategic plan, goals and objectives, budgets)

3. Fiscal Planning and Practice

- Does the CBDO have formal financial statements?
- Does the CBDO have an organisational budget?
- What are the primary sources and predictability of funds – are they self generated, public/private grants or local fundraising?

4. Operational Support

- What evidence is there that the CBDO has and can retain predictable levels of staff? For example, is it dependent on paid staff or volunteers, level of education for staff, recruitment packages and retention incentives?
- What evidence is there for adequate infrastructure and support for CBDO operations in relation to physical space, equipment and financial support?

Adapted from: Disconnect in the Hollow State, 2000.

1.3.2.1 Leadership and vision

Leadership and vision is "the process of providing the direction and inspiration necessary to create or sustain an organisation" (DuBrin, 2010:413). It is further argued that it involves all

activities that direct the organisation and help it stay focused in servicing its mission. The process entails setting clear goals, directing staff and stakeholders' efforts in fulfilling organisational objectives. It is therefore very important for every member of the organisation to be clear about his/her key performance areas and work in coordination with others so that collectively, they can achieve the organisational objectives. Lusthaus, Adrien, Anderson, Carden and Montalvan (2002:42) say that "strategic leadership needs to empower its members to create the changes that are necessary for an organisation to perform and survive". In this light, strategic leadership must provide for innovation so that the abilities of employees are optimised to the best performance of the organisation. Leadership is also involved with the design of the relevant organisational structure at functional levels so that they can put the strategic plan into operation.

Robbins and Barnwell (2006: 7), define organisational structure as "the degree of complexity, formalisation, and centralisation in an organisation". Organisations must be able to structure and restructure in order to adapt to the dynamics of their internal and external environment for the maximisation of their performance. Organisational structure is mainly concerned with the coordination of labour to achieve goals. The key is to identify critical operational linkages that will enable a well-coordinated labour force that understands its purpose and the importance of the roles they play at individual and functional levels.

1.3.2.2 Management and planning

In this context programme management will be considered as the practical task of translating major strategies into operational reality. In organisations like ORAP which are mainly funded externally, it is important to have a strong system to implement projects in order to harmonise funding agencies' objectives with common organisational goals so that performance remains within the mandate of the organisation by separating policy-making from implementation planning (Batley& Larbi, 2004:36).

1.3.2.3 Fiscal planning and practice

It involves budgeting, financial record-keeping and the reporting of financial performance. This will enable decision makers to make informed decisions in allocating and monitoring organisational expenditure by way of anticipating operational expenses, determining capital expenditures and making correct cash forecasts for future requirements (Lusthaus *et al.*, 2002:107). Sources of funding must be well defined and the reliability of funding assessed to

ensure that project implementation activities will be sustained to the end. The World Bank and the International Monetary Fund (IMF) have tried to aid capacity utilisation by developing and standardising public finance management issues into procedures and frameworks that are easy to use and monitor so that donor energy may be concentrated on project activities (Organisation for Economic Co-operation and Development, 2006:29).

1.3.2.4 Operational support

It is involved with human capital endowed with knowledge and skill expected to observe values such as integrity, honesty and commitment to the organisation's mission. All human resources' plans should be integrated to the organisation's strategic plan in order to make a meaningful contribution in terms of adequately placing the right people in the right places in a cost effective manner. Human resources should also develop effective staff training and development and the retention schemes that will ensure a stable and informed workforce. Operational support goes further to look into the adequacy of infrastructure constituting physical space, equipment and finance to support operations (Fredericksen& London, 2000:233). Organisations also need to go a step further by integrating information and communication technology into their development and management strategy (Hanna, 2008:9). An organisation's ability to move from the vision to development results is critically dependent on the operational capacity in place. It is apparent at this point that all systems must be in place to make sure that all activities are adequately supported.

1.3.3 Performance and survival

Traditionally, performance has been defined as the "extent to which an organisation as a social system fulfilled its objectives" or "the ability of an organisation to exploit its environment to access scarce resources" (Lusthaus *et al*., 2002:107). A modern approach to performance encompasses perceptions of the organisation's multiple stakeholders inclusive of those who are employed by the organisation. Performance is usually observed at employee level, team level, programme level and organisational level under four indicators which are effectiveness, efficiency, relevance and financial viability (Lusthaus *et al*., 2002:109).

1.4   RESEARCH PROBLEM AND OBJECTIVES

The study is aimed at analysing organisational capacity as a means to achieve goals as measured against performance delivered in project implementation. One of the reasons why organisations fail to meet their performance objectives is because they did not plan their

capacity properly. Organisations must be able to determine the required service levels and be in a position to analyse current capacity levels and establish if objectives will be achieved with the current capacity; if not then necessary capacity adjustment must be done to match performance requirements. It is also important to plan on who is going to carry out certain tasks, clarify work to be done and define the plan of action in order to direct effort. This must be done regardless of the fact that organisation may have been operating for some time because in this case activity is project based and conditions of implementation are unique per project. Therefore capacity requirement must be analised per case in order to pluck out inefficiences and reduce chances of poor performance.

The award of projects to organisations is of course based on the perceived ability by reading through their project proposals, but that alone cannot form enough ground to guarantee the expected project output. It is in this light that this study would want to discuss the relationship between performance and capacity and possibly establish a causal relationship by asking questions such as:

- What is organisational capacity?
- What capacity requirements are necessary for successful project implementation?
- How much is organisational capacity a key attribute towards achieving expected results in an organisation?

Research Objectives
- To find out what determines organizational capacity.
- To identify specific capacity requirements for project implementation.
- To find out how organizational capacity development may affect organisational performance.

1.5   DESIGN

The study will follow an exploratory research design. For the purpose of this study, exploration will try to understand and elaborate central concepts with regard to organizational capacity and performance and possibly discover new ones by intensively studying the unit of analysis; in this case ORAP. Baulding (1958) in Stebbins (2001: 2) wrote about "…, the need to travel over a field of study with the objective of extending the readers field of acquaintance with the complex cases of the real world." The purpose of this study is to closely investigate

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the relationship between organisational capacity and performance at ORAP and establish its particular effect on project implementation.

1.6   METHODOLOGY

In-depth interviews and focus group discussions were used as the data collection tools in this study. According to Welman, Kruger and Mitchell (2012:197), "in-depth interviews are usually employed in exploratory research for specific purposes such as to identify important variables in a particular area, to formulate penetrating questions on them and to generate hypotheses for further investigation." On the other hand focus group discussions are based on the collection of qualitative data and have the ability to gather information that can perhaps not be collected easily by means of individual interviews (Welman, Kruger &Mitchell 2012:201).

In-depth interviews were only conducted with the senior management team comprising the Chief Executive Officer (CEO), Chief Strategy Officer (CSO), Chief Operating Officer (COO) and the Chief Finance Officer (CFO). Efforts will also be made to interview the president of the organisation who happens to be one of the founding members of ORAP way back in 1980. In-depth interviews with the senior management will help get information at a level where organisational strategic decisions are concluded with the hope of getting first hand understanding of issues relating to organisational capacity development and how it is expected to influence overall organisational performance. The intention was to allow respondents to speak widely about the strategic direction of the organisation in relation to the topic. This kind of approach was designed to unearth some critical areas concerning the research task because this group has the legitimate power to share some privileged knowledge. The non-directive nature of in-depth interviews is expected to create a platform for respondents to volunteer some useful information because respondents are not limited to specific criteria in which they must respond. The other advantage of note to in-depth interviews is that some new variables in the research area might be identified during questioning, thereby forming a basis for further investigations in the subject area.

Focus groups were drawn from the rest of the staff according to their departments through purposive sampling. This means that each department formed a focus group which the researcher engaged with separately from groups in other departments.

The unit of analysis (ORAP) is made up of six strata consisting of the senior management team and five departments. As already explained, the senior management team was involved through in-depth interviews. As a result, focus groups were formed from the five departments effectively making them five. The researcher conducted an unstructured interactive discussion with each group to gather information that might not come out in a formal setting. The researcher made sure that the topic is unambiguously introduced, ground rules set, participants introduced complete with their experiences, as well as coordinating the discussion (Welman, Kruger & Mitchell, 2012: 202).

The sampling frame is made up of a population of 240 people representing various departments at ORAP as illustrated in figure 1.2:
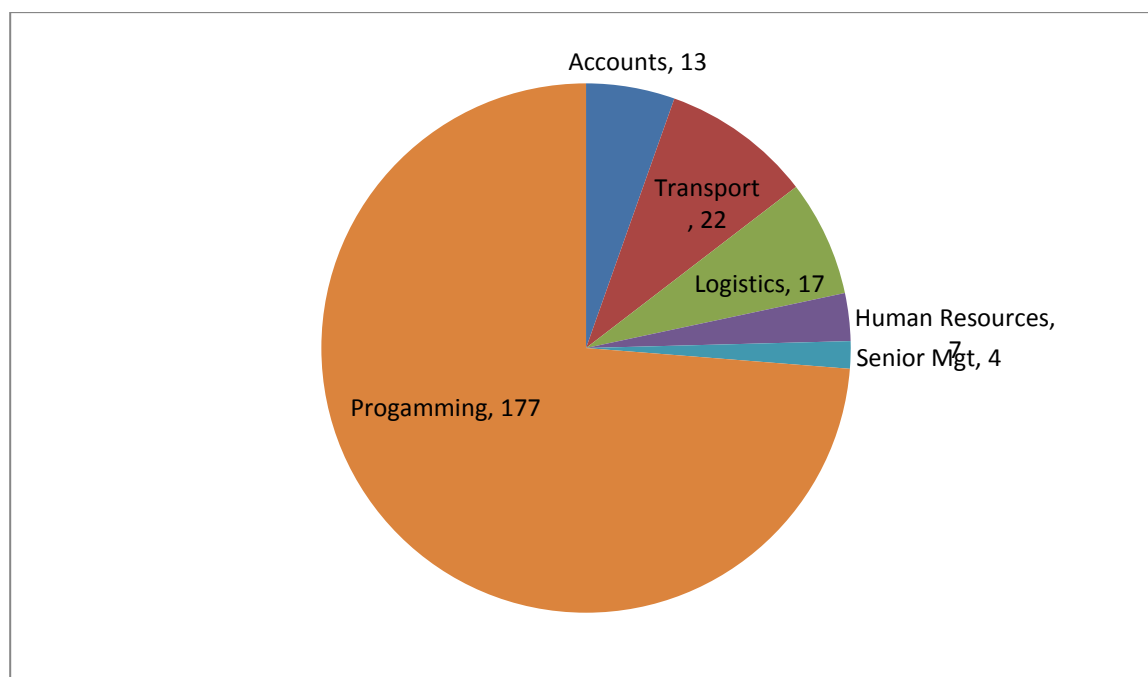
Figure 1.2: Sampling frame

1.6.1   Sample size

The sample information is shown in table 1.2. However, it should be noted that for departments with fewer employees as in the Human Resources Department, all members will be incorporated to form a group. The participants for the focus group interviews will be selected through purposive sampling where section heads will be asked to select members of their teams whom they deem suitable for the purpose of the study.

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The independent row representing the senior management team will not participate in focus group discussion, but will participate in in-depth interviews as mentioned earlier.

Table 1.2: Sample size

Department	Number in a department	Focus group size
Programming	177	15
Transport	22	10
Logistics	17	8
Accounts	13	8
Human Resources	7	7
Senior Mgt Team	4	4
Total	**240**	**52**

1.7   OUTLINE OF CHAPTERS

Chapter 1: Introduction

This chapter will cover the research proposal of the research project. It will show the research title, the research questions and objectives, some brief literature review, research design and methodology.

Chapter 2: Literature review

This chapter will discuss ample information on what other scholars say about the research topic and theories that relate to the subject of research. In this research, capacity will be reviewed under the following headings:

- Leadership and vision
- Management and Planning
- Fiscal Planning and Practice
- Operational Support

On the other hand, performance will be reviewed under the following guidelines:

- Effectiveness

- Efficiency
- Relevance
- Financial viability

The two variables will be discussed in a way that will seek to discover any relationship between them and how that relationship contributes to the implementation of projects particularly at ORAP.

Chapter 3: Legislative and policy framework of NGOs working in Zimbabwe
This chapter will contain the research design and methodology of this research project.

The research will adopt an explanatory approach which will qualitatively explain relationships between variables and the effect of that relationship on the organisation.

In-depth interviews and questionnaires will be used to gather data from a sample chosen from the unit of analysis, namely ORAP.

Chapter 4: Design and methodology and results presentation
Collected data through interviews and questionnaires shall be presented and analysed using graphs, tables, charts and data analysis software to give meaningful, easy to interpret and usable information in practical situations that are experienced by organisations in their daily operations.

Chapter 5: Conclusions and recommendations
Conclusions and recommendations will be drawn from the data analysis that was carried out in chapter 4. This chapter will put a rest to the whole research project by summarising the findings in a way that will either add knowledge, initiate action or change perceptions on the subject of study.

CHAPTER 2: LITERATURE REVIEW

2.1   INTRODUCTION

This part of the study will discuss organisational capacity as presented by literature based on the Fredericksen and London's (2000:233) capacity development model which outlines various componets that contribute to organisational capacity in order to achieve desired performance. Further studies of literature on capacity building will be discussed as a key component of organisational capacity as outlined by the Department for International Development (2010:4). The review of literature will concentrate on how capacity development may influence the level of performance in project, programme or policy implementation. In as much as performance may be influenced by some factors, such as the environment and motivation (Rist, Boily & Martin, 2011:44), as illustrated by figure 2.1, organisational capacity will be discussed in detail in this study as a measure of institutional performance.
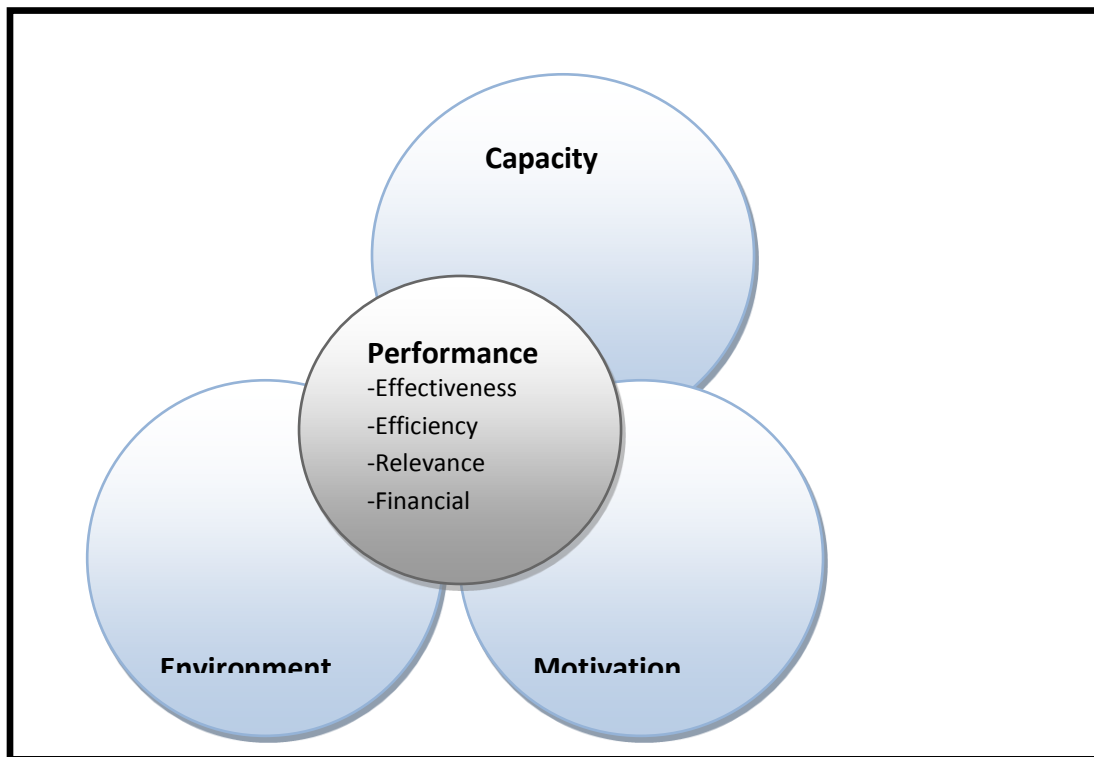
Figure 2.1: Framework for Institutional Performance evaluations

Adapted from: The World Bank, 2011

According to figure 2.1, the four aspects of institutional performance (effectiveness, efficiency, relevance and financial viability) may be established through the analysis of the three key characteristics of an organisation which are motivation, operating environment and capacity. Basically, in discussing motivation incentives, rewards, mission, history and the culture of an organisation will be looked at; the operating environment politics, economics, technology, administration and stakeholder participation will also be dealt with; finally, organisational capacity leadership, finance, infrastructure, human resources and programming strength will be considered.

With respect to several definitions for capacity, organisational capacity is "… a set of capabilities created to enable organisations to set objectives, achieve results, solve problems and create adaptive procedures which enable them to survive in the long run" (Department for International Development, 2010: 3). As such, organisations must employ specific measures to carry out capacity development initiatives which will align the operations of an organisation with its objectives to ensure the achievement of desired results.

Fredericksen and London (2000:233), review capacity in four categories:
- Leadership and Vision
- Management and Planning
- Fiscal Planning and Practice
- Operational support

Their (Fredericksen and London) model will be used to guide the discussion of organisational capacity development in this study.

2.2   LEADERSHIP AND VISION

Leadership and vision are composed of key interdependent elements, such as an enabling policy and institutional environment, affordable and dependable information infrastructure and a sound investment programme which combine to modernise and empower civil society. This is achieved through the analysis and understanding of the dynamics of institutional development and strategic management as illustrated by figure 2.2 (Hanna, 2008:20).
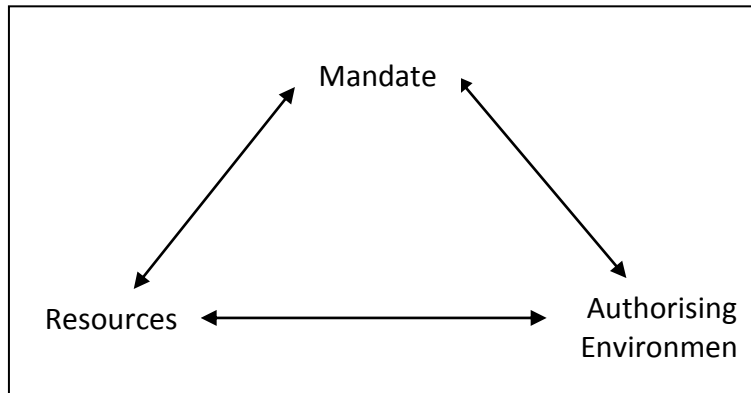
Figure 2.2: Potential interactions in leadership and vision

Adapted from: The World Bank, 2008:20

Hanna, (2008:2) explains figure 2.2 in the following way:

> *The mandate refers to the understanding and interpretation of the role, scope of mission, strategic direction and focus and public value of the agency. Resources and capabilities are the core competences, financial and human resources, knowledge management and learning the culture of the agency. The authorising environment refers to the limitations imposed by the political and social environment to the agency, for example, political leadership, governance mechanisms, public opinion and rules and regulations among others.*

This function is usually provided by the executive of the organisation to make sure that the organisation operates within its abilities and remains relevant to its purpose.

Capacity development needs to be supported by an ideal leadership structure and a strong vision set out by the leadership of the organisation. These are essential for the development of objectives and strategies for community interventions so that at implementation, the physical environment and socio-economic conditions of communities may be improved in a sustainable way through skills impartation, technical support and training of communities during project activities and the setting up of support systems after project completion (Stein, 2001:4).

Leadership and vision also provide a platform to strategise and plan in line with the desired outcomes of the programme by considering such factors as the knowledge and skills needed to carry out an intervention, number of people needed per specific skill, stages or levels when specific skills would be needed and how best to deal with a skills gap if any is identified (Department for International Development, 2010: 9-11).

The main actors in community projects must also be identified according to their relevance to the vision or goal of an intervention. This is achieved through the formation of clearly defined cooperative alliances between various players participating in an intervention. The purpose of forming these alliances is to clarify issues of co-financing, resource contribution and decision-making to create a platform for a flexible response to urgent social problems and at the same time promoting citizen participation (Stein, 2001:6; DFID practice paper, 2010: 10). The Department for International Development (2010:10), adds that the degree of influence and impact on the objectives of the consortium are clarified for all actors over and above a thorough examination of the "rules of the game".

It is also at this stage where a community participation model must be designed to ensure that the beneficiaries of a development project play a part of the whole implementation process from the planning phase to the actual project activity. The concept behind this is that if the community participates in decision-making, administration, financing and execution of projects, they become committed to their maintenance thereby ensuring the sustainability of social investments in the long term (Stein, 2001:15).

Fredericksen and London's capacity development model; Leadership and vision exhibits capacity development as inherent in the directing board, vision and mission and in community participation, all of which are discussed in detail below.

2.2.1 Directing board

The directing board provides an overseeing function and acts for both members of an organisation and the general public through the creation of legal and policy frameworks to guide operations (i.e. governance). The underlying objective is to balance the interests of the organisational managers with those of the board, owners and stakeholders for common goals. This is achieved through linking the various interests with the goals and mission of the organisation in the context of both internal and external environments (Lusthaus, Adrien, Anderson, Carden & Montalvan 2002:51-52). They further qualify their view by highlighting that:

> *A good board of directors has its finger on the pulse of both environments. It assesses whether organisational goals are supportable and meet national development goals, as well as whether the organisation is responding appropriately to major trends in the field and*

within the broader environment , and whether it meets the needs of those it serves (Lusthaus et al., 2002:52).

It is therefore apparent from this discussion that the composition of the Board of Directors or the governing board must be inclusive of all interested parties comprising the community, owners and managers so that each group would have representation in policy setting, resource allocation and conflict resolution among other functions.

There is a general expectation that boards of directors must engage more effectively with investors and stakeholders who in turn hold them (board of directors) accountable for corporate performance. In this context, the board of directors is a mechanism through which management decisions and actions are aligned to the interest of owners by being central to the governing process where they carry out measurement and evaluation activities to establish performance levels of organisational managers.

In the same mode of operation, the board of directors has to serve two sets of interest from principals:

i) Common interests that are generally agreeable across various constituencies which the board is legally bound to act on them in such a way that their accomplishment is ascertained.

ii) Divergent interests that may represent additional ideas from one individual or a section of principals which do not agree with the majority viewpoint.

In this regard, the board of directors must play a moderating role and at the same time make sure that their decisions are consistent with the mission of the organisation in a way that will accommodate all interested parties. (Davila, Elvira, Ramirez & Zapata-Cantu, 2012:45-49).

2.2.2 Vision and mission of the organisation

A vision defines how an organisation wants to be identified and the kind of contribution it wants to make to the society, while a mission is an expression of how the organisation plans to fulfill the vision (Lusthaus *et al.*, 2002:93). Vision and mission are formulated to clarify purpose, provide a foundation for decision-making and to develop understanding and support for organisational goals. While a vision may be static or has some level of permanence, a mission evolves over time depending on the shift in any of the organisation's economic, social, spiritual or even political values. The mission of the organisation is set out in the

mission statement to reinforce the ideology of an organisation and to inspire and motivate members of the organisation to behave in a manner that will achieve success (Lusthaus *et al.*, 2002:93).

2.2.3 Community participation

Community participation is important for programme planning and accurate solutions to social problems because:

- It promotes optimum and responsible utilisation of resources.
- Mobilisation and utilisation of community resources such as labour, finance and materials becomes easier.
- People are involved in activities that benefit themselves.

This provides a basis for successful project performance because the local community provide insights on what works and what does not in their context therefore enabling the organisation to provide a more focussed effort (Rifkin and Kangere 2001:38).

The community participation idea revolves around the participatory rural appraisals' (PRAs) approach where development planning and analysis has been shifted to the community level. The idea is to promote active community participation to make sure that all investment or development actions meet the specific needs of the community or reduces the magnitude of identified problems. Community participation is a structured process that helps recipients of a project to understand their problems and strengths which set an ideal platform for developing own priorities. In this approach, project facilitators, such as government departments and NGOs have their roles limited to (but not entirely) guiding communities in the development, analysis and presentation of information (Binswanger-Mkhize, De Regt & Spector, 2010:38-39).

According to Fredericksen and London's capacity development model, community participation may be achieved by involving the community in the selection of the board, the inclusion of community members on the board of directors and the employment of community members in community organisations. This is driven by the need to expand representation in decision- making bodies by including community members as role players to that effect; thereby giving communities a voice in issues that affect them.

Silverman (2004:1-4), discusses participation as an inclusive community development approach that views a community as social capital. According to him, social problems are solved through community consensus and civic engagement. This approach will ensure that communities have access to information and ease community mobilization effort because the society becomes self- organising, which balances growth and conservation and strengthens local capacity in natural resource planning and management.

Craig and Mayo (2004:26), say that "one of the prerequisites of sustainable development is securing effective citizens' participation." Participation by citizens gives them access to decision-making and power, and in the process developes a culture of goal sharing, cost reduction and an increased will to contribute voluntarily to community projects. They further highlight that community participation empowers the society by allowing it access to resources and services resulting in redistribution (Craig & Mayo, 2004:2). This is particularly important in previously disadvantaged communities where resources are not equally shared among members of the society.

Lane (2005:187), argues that community participation is not only a means of effectively achieving projects, but it is also a goal in itself because the decentralisation of the planning process form institutions for the society and permanently empowers people to 'direct and control social processes which determine their welfare.'

While Burn, Heywood, Taylor, Wilde and Wilson (2004:2-3), list the benefits of community participation on the one hand as:
- Enhancing social cohesion.
- Promoting effectiveness by sharing understanding, knowledge and experience.
- Enabling policy initiatives to be relevant to local communities.
- Adding economic value through voluntary effort, skill development and employment opportunities.

Moloi, Zaranyika, Du Plessis, Treurnicht, De Beer and Stewart (2010:9-10), indicate on the other hand that participation may be complicated by some of the following factors:
- The leadership structures.
- The development culture.
- The history of oppression.

- Power relations within a particular context.
- Communication Structure.

However, they were quick to highlight that if backed up by a participatory political culture, these   challenges can be overcome or at least minimized. Their line of thought is that there must be a departure from viewing participation as a way of providing cheap labour to a community project or a means of getting local communities involved in projects predetermined by external development agents; but rather participation must be a vehicle to empower communities by enabling them to take initiative in identifying their needs, create a learning environment to mitigate their problems, engage in collective action and take ownership of projects.

2.3   MANAGEMENT PLANNING

According to Lusthaus *et al.* (2002:76), management planning is a methodical organisation of systems and operations in order to make sure that all functions direct their activities/efforts toward a common purpose, in addition to well explained strategies to achieve optimal organisational performance. The key point of departure is to ensure the understanding of the vision of an organisation and then set out a logical flow of activities through value adding action and constructive interaction across individuals and functions. Watkins, Meiers and Visser (2012:265), say that the above may be achieved through the creation of guiding policies and procedures pointing out the course of action by operatives in support of the prescribed mission and objectives. The action involves the translation of strategy into specific objectives and methods to accomplish goals, and the allocation of resources in a way that will achieve their optimal utilisation; that is, defining the desired results at the strategic, tactical and operational levels to provide a platform to compare current and desired performance. Management planning is a cross cutting function from the directing board to all segments of the organisation evidenced by well outlined guidelines in problem-solving, decision-making, communication, monitoring and evaluation and inter-organisational linkages.

2.3.1 Problem solving

Lusthaus *et al.* (2002:77), say that management planning must provide leaders with adequate techniques to deal with challenges that may be experienced by an organisation which when left alone are bound to alter the anticipated outcomes. They (Lusthaus *et al.*, 2002:77) go further to emphasise the importance of keeping a check on the flow of activities across

functions to detect deviations in time so that correction is done instantly before it turns too costly to handle.   In addition, there must be an existence of an unambiguous problem diagnostic process in order to clearly understand and define the problem and to get individuals' perceptions of the problem with respect to causes and possible solutions. This approach will set up a stage for organisations to understand problems through a well-defined diagnostic formula and offer solutions that will create opportunities for better performance in the future.

2.3.2 Decision-making

This is a management function involving the selection of the best alternative action or option influenced by the capacity of decision makers to process information, their position in the organisation, their background and experience. According to Lusthaus *et al.* (2002:78), decision-making may be programmed, procedural, rule based or policy based. This means that decision-making may follow a routine/repetitive approach or follow a series of logical series of steps in response to a problem or come as a clear instruction to managers on the course of action to be taken or managers may be given parameters in terms of function and authority within which they may execute their decision-making roles.

2.3.3 Communication

This is a system of exchanging knowledge and sharing understanding through formal and informal flow of information for the purpose of keeping the organisation coordinated (Lusthaus *et al.*, 2002:80). Access to important information by organisational members motivates them to increase their commitment to the objectives of the organisation because they feel recognised as part of the system. Information dissemination is made possible by the establishment of coordinating committees, working groups, debriefing sessions, newsletters and meetings authorised to communicate official information of which the magnitude is dependent on the power vested on them by the organisation.

Cabanero-Verzosa and Garcia(2009:5-12), discuss communication as a tool that may be used to promote the strategic purpose of an organisation where official organisational information may be designed in a stakeholder centered approach to promote voluntary change in knowledge, attitude and beliefs among all interested parties in pursuit of overall development goals. The clients' or stakeholders' perspectives are given more value ahead of those of the organisation in a way that the advancement of organisational goals is done by

enlisting the support and cooperation of the community which must work together to achieve the intended results.

Cabanero-Verzosa and Garcia (2009:5-12); Chaston (2012:37), highlight that the communication plan must identify people whose support is critical for success and must be able to give feedback at all phases of implementation in a timely manner. These are people who will observe key elements when sharing information that may involve, among others, knowing the recipient of information in terms of relevance, communicating to produce action rather than idle knowledge, communicating in an inspiring, creative and interactive manner, and communicating in a clear and informative way. Chaston (2012:37), adds that:

> *Communication systems must be composed of a diversity of channel flows to maximise the breadth of the communicating platforms that inform the general public of the organisation's role in the provision of services.*

Finally, communication must be channelled in ideal and credible methods which are open to be monitored and evaluated for purposes of continuous improvement so that it becomes a necessary ingredient in the overall performance of an organisation.

2.3.4   Monitoring and evaluation

Monotoring and evaluation helps to assess the quality and impact of the organisational work against action plans and strategic plans. It establishes how effective and efficient the project is with regard to the achievement of goals and objectives. When this happens, the level of capacity created for specific action will show whether it is sufficient to produce anticipated performance or not.

Management planning must create a provision for organisational specific activities to be measured against overall desirable results to allow for easy tracking of performance on a routine basis and to be able to give a judgment on the direction of progress (Lusthaus *et al.*, 2002:81). Marr (2009:4), says that for monitoring and evaluation to be possible, management must first identify and agree on what matters to the organisation to enable strategy formulation as an essential prerequisite for management of performance. In figure 2.3 elements of strategy that organisations may use to assess their internal competences and resources are put forward to deliver expected results.
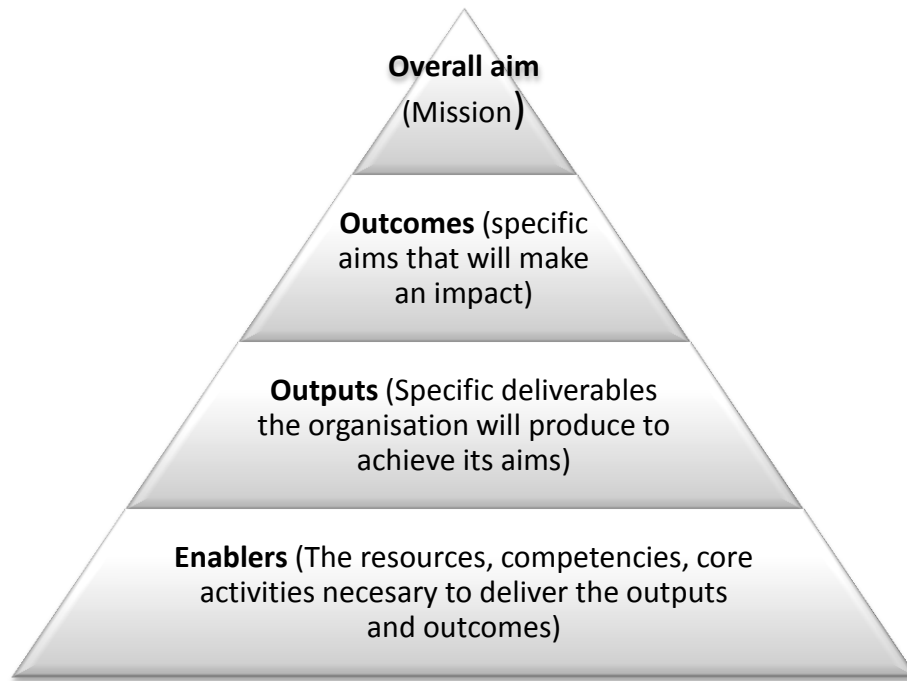
Figure 2.3: Elements of strategy

Adapted from: Marr, 2009

According to figure 2.3, in order for organisations to reach their goals, their overall aim must be clearly defined and known to all organisational members so that everyone may work towards the same goal. The process of mission setting goes with the clarification of outcome objectives and output deliverables accompanied by an explicit activity plan that will help to guide operations and ultimately achieve desired results. Finally, organisations have to make sure that they have adequate and appropriate internal competencies and resources to deliver the outcomes and outputs.

Marr (2009:6) goes on to say that:

> *Once organisations understand the different elements of their strategy, they can map them into a strategic map that illustrates how the different elements work together to create value. Such a visual representation of the organisation strategy is one of the most important components of successful performance management as it allows communicating the strategic plan on a single piece of paper. This integrated and coherent strategy is then the starting point for organisational alignment and for any performance indicator.*

2.3.5 Inter-organisational linkages

This is a deliberate effort by an organisation to keep in regular contact with other similar organisations to pursue possibilities of exchanging ideas, sharing resources, knowledge and expertise. In some cases the collaboration may lead to joint operation for improved success in common interests. The objective here is to achieve operational efficiency because mergers bring economies of scale by eliminating duplication and at the same time providing an opportunity for sharing technical and managerial knowledge. Inter-organisational linkages have an advantage of eliminating clashes of interest since organisations now can plan together and share responsibilities according to their areas of specialization. (Lusthaus *et al.*, 2002:81; Robins & Barnwell, 2006:361-362).

2.4 FISCAL PLANNING AND PRACTICE

Lusthaus *et al.* (2002:65-67), point out that organisations require financial resources to take care of their operating and capital expenses aided by an accurate prediction of how much cash would be needed over a certain period. This is achieved by establishing committed operating costs and costing capital projects to measure achievability against projected revenue. The establishment of costs against revenue would inform leaders to identify sources of funding with an option of either scaling down operations or external borrowing if internal mechanisms do not generate sufficient financial resources. The ability by organisations to plan for their revenue and cost requirements provides a framework for present, medium and long term financial requirements.

Bonnel, Rodriguez-Garcia, Oliver, Wodon, McPherson, Orr and Ross (2013:37-39), add that organisations must commit themselves into full financial accountability of all financial resources they are entrusted with through the establishment of procedures that govern the request and use of financial resources. This is meant to promote transparency, the enablement of a real time view of financial information and the development of external trust within the organisational financial system by creating competitive financial monitoring and reporting procedures.

The DAC guidelines and reference series (2006:80), refer to fiscal planning and practice as key cross-cutting features that achieve comprehensiveness and transparency in Public Finance Management (PFM). Related to this view is the Fredericksen and London's capacity development model which assesses fiscal planning and practice through organisational

financial statements and reporting, organizational budgeting and sources of funding. In their own words:

> *The most well-organised group is limited without adequate and predictable financial resources to support operations. Fiscal planning and practice capacity centers upon the presence of formal fiscal system, including fundraising and financial tracking and reporting mechanisms (Fredericksen & London, 2000:235).*

2.4.1 Financial statements and reporting

The DAC guidelines and reference series (2006:80), emphasize "the timeliness and regularity of data reconciliation, quality and dissemination of in-year budget execution reports the quality of audited financial statements submitted." The performance of an organisation in respect of financial management is measured on its readiness to present financial statements when they are needed on a regular basis. Consistence in financial reporting builds trust and integrity to the organisation and may motivate financiers to commit more of their financial resources to the organisation because of its good practices in finance management.

Watkins and Ehst (2008:12-13), indicate that the quality of reporting has a bearing on the performance rating of an organisation with specific reference to the usage of relevant accounting packages and layout of accounting data for easy readability and interpretation, that is, the statement must be able to explain spending patterns and the burn rate on budget lines. Public managers and donors would prefer a constant update on the flow of funds in order for them to make proper adjustments on expenditure or to seek extra funding in time before progress on projects or programmes is interrupted.

Hanna (2008:81-83), adds another dimension to quality financial reporting by suggesting that organisations must embrace new accounting technologies that are provided for under the e-commerce and e-governance initiatives. Modern technology is particularly important for public organisations because citizens are going to demand service standards that are comparable to what they get from the private sector. Thus, the challenge faced by the 21st century public service providers is to combine the best private and public decision-making systems with the leadership abilities to interact with society and other stakeholders through technology. But organisations must at the same time guard against accounting policy dictates from donors or international partners because organisations need to be capacitated according to the

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demands of their local circumstances so that they may serve their specific requirements upon which their performance is rated.

2.4.2 Organisational budgeting

The aim of organisational budgeting is to foster a controlled spending pattern that is consistent to the expenditure plan as outlined in the budget. The underlying objective is to improve financial performance in order to maximize development benefits through the creation of aggregate fiscal discipline, strategic allocation of funds and attaining value for money. Budget discipline also creates a favourable benchmark to measure organisational behaviour by funders when providing budget support (DAC, 2006:27-28).

Budgeting builds up the organisation's overall development policies and priorities through wide discussions on budgetary goals and at the same time lobbying for political will on sustained policy implementation with regard to budget allocations for development purposes or any other social intervention. It is important, however, for development or community organisations to draw their budgets without leverage attempts by the government or donors to ensure that expenditure is driven by social needs and priorities, rather than pressure from politicians and financiers.

By drawing their own budgets, development organisations are more obliged to grow a keen interest in strengthening PFM systems through which their money is spent because firstly, their reputation is at stake and secondly, their desire to improve performance and accountability are of paramount importance. This will see an emergence of transparency in the public finance legal framework and large scale social accountability.

Finally, organisational budgeting determines the flow of funds for specific interventions and therefore directs payment to precise areas of needs or projects in order to eliminate or at least minimise transaction costs. In addition, it increases expense predictability and ability to estimate the timing of cash disbursements (DAC, 2006:28-29).

Some of the key indicators of organisational budgeting as listed by the DAC (2006:80), are:
- Extent of multi-year perspective in fiscal planning, expenditure policy making and budgeting including procurement.
- Orderliness and participation in the budget formulation process.

- Co-ordination of the budgeting of recurrent and investment expenditures.
- Extent to which spending ministries and agencies are able to plan and commit expenditures in accordance with original or revised budgets.
- Effectiveness of internal controls including on procurement.

2.4.3 Sources of funding

Hardina, Meddleton, Montana and Simpson (2007), argue that the ability to satisfy community or social needs is largely dependent on the availability of financial resources to the service provider which, in this context, may be the government, NGOs, CBDOs or a combination of any or all of them. Securing funding therefore becomes paramount for organisations who wish to pursue social service delivery. This must be accompanied by an unambiguous system of administering the fund to make sure that transparency and accountability are guaranteed. In addition, an organisation should know where to look for funds in relation to the type of intervention they are implementing, for example, a fund for health provision may not be accessed for agricultural development. In this regard, organisations must be endowed with skills to identify relevant sources of finance, expert knowledge on the writing of funding proposals, development of budgets and expenditure monitoring mechanisms and clarity on the restriction of the fund and limitations imposed by the funders.

Hardina *et al.* (2007), suggest the primary funding option as the budgetary allocation by the government through the national budget because the government is mandated and authorised under legislation to provide social services to the citizens. Other funding mechanisms may be in the form of entitlements to individuals who are allowed by legislation or regulatory rules to receive financial assistance, or block grants which are funding formulas to national governments and/or local authorities from organisations such as the World Bank and the International Monetary Fund (IMF), or through cooperative agreements with government agents and NGOs to implement projects, programmes or policies on behalf of the government.

Frederickson and London (2000: 233) identified three categories of funding for most organisations as either 'self-generated, public/private grants or local fundraising.' The three provide a pool of alternative funding for a community organisation which must be accompanied by a commitment to the production of financial statements and compliance to fiscal systems by the beneficiaries of funding.

2.5   OPERATIONAL SUPPORT

Finally, this is an effort by an organisation directed towards the creation of capabilities through organisational learning, innovation and adaptation by focusing planning towards new and market based demands. The task of management is to examine internal resources and capabilities of an organisation and be able to assemble and refine them into productive resource bundles which must be fixed in a manner that will maximise performance. Operational support is characterised by such factors as human resource planning, organisational infrastructure and organisational culture (Dowling and Dickmann, 2009:1739-1740).

2.5.1   Human resource planning

Holbeche (2009:131-133) and Lusthaus *et al.* (2002:57-65), have a common understanding that organisational leaders need information on the organisation's ability to plan for the needs of its Human Resources (HR) and the extent to which it affects performance, placement of the right people in right jobs. They are also in agreement on the ability to forecast current and future human resources' needs, the organisation's ability to identify skill for specific needs, the ability for the HR function to link the organisation's mission and goals with HR planning and the existence of an HR manual to guide their actions. Implementation of the HR plan involves selecting and orienting individuals who have the appropriate range of knowledge, skill, behaviour and values to meet the organisation's needs. A development programme for human resources to improve their attitude, skill and knowledge levels is also important to remove/prevent performance deficiencies, introduce flexibility and adaptation and increase commitment to the goals of an organisation. It is also important to create a work and support structure that will promote effective staff relations that will ensure that staff members are motivated, protected and willing to continue their stay at the organisation. Finally, the organisation must be able to reward performance by objectively assessing the contribution made by each staff member and distributing rewards to deserving members within the organisational and national legal framework.

Holbeche (2009:133), further highlights that HR planning must be supported by a careful skills audit that would help in measuring the readiness of an organisation to manage operational dynamics and capabilities and guide the recruitment process. He mentions the objectives of HR planning as:

Operational; *Identifying current capabilities and trends in the short term,*

Traditional; *Forecasts future demands for labour in terms of skills and number to meet long term demands incorporating staff development, succession planning and appraisals,*

Strategic; *Developing and evaluating HR practices, building commitment to organisational strategy and maintenance of key competencies*

2.5.2 Infrastructural support

These are physical structures or equipment meant to support the implementation of various interventions. They are sometimes referred to as social overhead capital which consists of public utilities (power, telecommunications, clean water provision, waste collection and disposal), public works (roads, dams and irrigation facilities) and public facilities (buildings, airports and railway stations) (World Bank, 1994:2). The World Bank, (1994:2-3), goes further to indicate that the level of public infrastructure investment determines the economic viability of organisations by either lowering or raising the level of service delivery depending on the adequacy of investment in that area. If infrastructural development corresponds to specific service demands, there is more potential in organisations to contribute significantly to major economic growth, poverty alleviation and environmental sustainability. To ensure responsive infrastructural development, there must be:

- A commercial management of infrastructure such that it is market oriented;
- The introduction of competition so that service providers become more accountable and sensitive to the needs of service users in order for them to remain favourable;
- An involvement of stakeholders in order to give recipients of service a voice and power to plan and regulate infrastructural services. Their involvement must spin from process designing to setting out mechanisms for operations so that they may derive maximum benefits from public investment in infrastructure.

2.5.3 Organisational culture

According to Araujo and Gava (2012:76-77), the creation of a long term culture helps organisations to maintain a balance between its present and future strategic agenda in relation to how members of the organisation relate to each other, what the organisation expects from its members and organisational expectations from other players in the external environment, such as communities, donors, shareholders and stakeholders. The collectively

accepted beliefs, values and norms promote a more balanced vision in mobilising resources and implementation of projects, programmes and policies to achieve strategic goals. The adoption of a certain culture will create an environment that will steer the organisation towards the generation of required perceptions, attitudes and behaviours. In order to ascertain a long term culture, there must be a long term incentive policy to influence acertain behaviour by members of staff and complement it with long term indicators to track progress as illustrated in figure 2.4.

Long – term
Indicators

Long – term
Culture

Long – term
Incentives
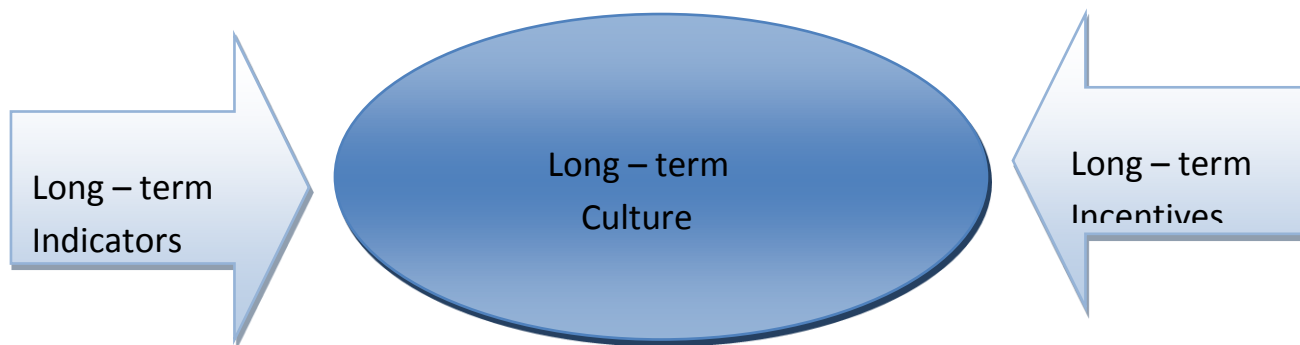
Figure 2.4: The long-term culture

Adapted from: Araujo and Gava, 2012

2.6   CAPACITY BUILDING

Capacity building is a key component of capacity development because it creates a platform for the implementation capacity development strategy. In essence it provides a shift from the planning phase to the action phase. Box 2.1 provides some definitions of capacity building as presented by various development agents:

Box 2.1: Different definitions of capacity building

CIDA (Canada): "Activities, approaches, strategies, and methodologies which help organizations, groups and individuals to improve their performance, generate development benefits, and achieve their objectives over time."

European Commission: "To develop and strengthen structures, institutions and procedures that help to ensure: transparent and accountable governance in all public institutions; improve capacity to analyze, plan, formulate and implement policies" in economic, social, environmental, research, sciences and technology fields: and in critical areas such as international negotiation.

GTZ (Germany): Process of strengthening the abilities of individuals, organisations and societies to make effective use of resources, in order to achieve their own goals on a sustainable basis."

United Nations Development Programme: Capacity is the "process by which individuals, organisations, and societies develop abilities to perform functions, solve problems, and set and achieve goals premised on ownership, choice, and self-esteem." Capacity building is the "sustainable creation, retention, and utilisation of capacity in order to reduce poverty, enhance self-reliance, and improve people's lives."

Adapted from: The World Bank, 2005

2.6.1 Features of capacity building

The Department for International Development (2010:3), suggests that the organisational capacity development efforts are a sum total of the following:

- **Human capacity**: involving individuals with skills to analyse development needs, design and implement strategies, policies and programmes that will make it possible to deliver services and monitor results,

- **Organisational capacity**: bundling up resources to create an enabling environment to achieve common goals guided by clear objectives, relevant internal structures and compatible processes to achieve desired results, and

- **Institutional capacity**: responsible for fitting the operations of an organisation with its external environment in areas of observing legislature with respect to taxation and use of public resource among others, and framework of goals and incentives outlining how they are determined to add value to the community.

A capacity building approach will be discussed in line with a DFID Practice Paper (2010:8), which sets out the key issues, steps, tools and techniques to be considered in capacity building as set out in figure 2.5:
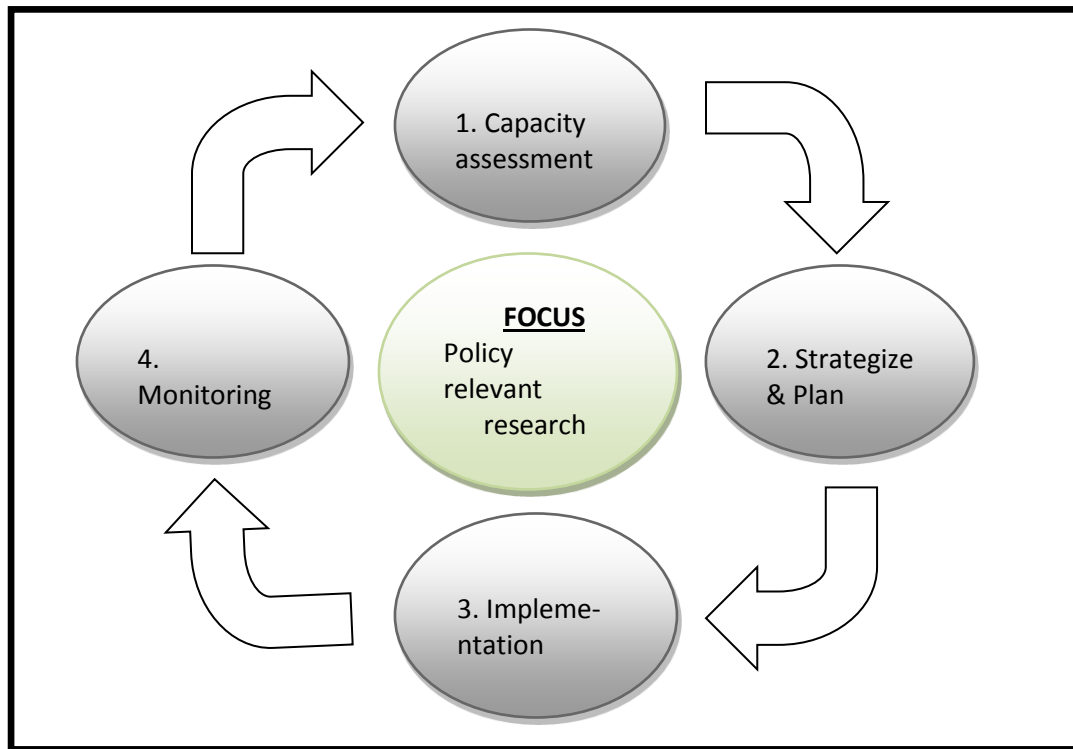
Figure 2.5: Capacity Building Approach

Adapted from: Department for International Development, 2010

The Department for International Development (2010:8-17), summarises figure 2.5 in the following discussion:

Capacity assessment: this step is about identifying the strengths and weaknesses at various levels of an organisation. It starts with the analysis of staff members with regard to the knowledge and skills mix needed to produce desired performance followed by an assessment of features of capacity building (that is, human, organisational and institutional capacities) and finally the conducting of baseline and mapping studies in order to lay a foundation for the operational planning and to provide a baseline for subsequent monitoring and evaluation. Capacity assessment will also help to explore the political environment, at the same time testing the political will to support policy initiatives in order to detect any possible barriers and enable priority setting.

Strategize and Plan: planning for a capacity building intervention should focus on the desired project, programme or policy outcomes by logically organising and adapting key activities to various environments in order to optimise performance. Strategic planning recognises

performance as an indicator for capacity and therefore it is always important to balance activities with the nature of results and outcomes in this capacity building approach.

Implementation: it involves the supply of resources and assets to support activities coupled with negotiations, management of power and political relations and the accommodation of various stakeholders. It requires the ability to create a link between specific inputs and outputs with specific skill requirements and creating an enabling environment to support specific actions.

Monitoring and Evaluation: monitoring and evaluation are meant to satisfy the accountability requirements of processes and outcomes by staying close to project activities with provisions for periodic reviews to measure performance. A successful monitoring and evaluation exercise is made possible by conducting baseline surveys in order to track changes over time, setting out and reviewing process and outcome indicators and establishing compatible methods of carrying out this function.

2.6.2   Role of training in capacity building

Training is "a process of improving organisational action through better knowledge and understanding" (Robbins & Barnwell 2006:483). Organisational training programmes recognise that organisations must always be in a learning mode by developing the ability to sense signals of change from both internal and external environments and be able to adapt accordingly. Sustainable capacity building requires multiple approaches that will address issues of resources, incentives and human capital which should always be upgraded through various training initiatives. It is important though to note that training alone is insufficient without the support of a system to apply the acquired knowledge (The Independent Evaluation Group and The World Bank, 2008:14-15).

Table 2.1 outlines the design factors for successful training:

Table 2.1: Design factors for successful training

Factors for training efficiency	Associated training processes
Teaching	• Professional curriculum design matched to training needs • Educational methods are varied and appropriate for participant-level and training goals
Adequate support for transfer of learning to workplace	• In-class preparation to facilitate implementation of learning in the workplace through action learning and practical exercises • On-the-job follow-up support
Adequate targeting of training to organisational needs	• Organisational capacity diagnosis (which capacity gaps exist? Is training an appropriate means of addressing these gaps?) • Training-needs assessment (what is the present capacity of those to be trained? What training is needed to address existing capacity gaps?) • Strategic participant selection (Who will be trained to meet organisational goals?)

Adapted from: The World Bank, 2008

In explaining table 2.1, the Independent Evaluation Group and The World Bank (2008: 21-25) highlights the following:

- Teaching: this is the skill of imparting knowledge that recognises the characteristics of trainees so that information is specified for that group only to achieve the best results possible. It involves decisions on how training must be structured, the frequency of training and the technology to be used in delivering lessons.

- Transfer of knowledge: participants must be enabled to apply the knowledge and skill in a way that will build the capacity of an organisation to perform better, otherwise the training process might be a loss if practice does not follow. This can be made possible by providing practical learning to give participants a hands-on experience which is easy to remember in a work environment. Another alternative to make sure that training becomes sustainable is by providing a follow-up support through job assistance and coaching exercises to reinforce learning and to build confidence in trainees.

- Adequate targeting: this approach addresses capacity needs by diagnosing capacity gaps followed by the design of an appropriate training plan to close the identified gaps. It goes further to establish inherent staff capabilities and decide how those may be improved to achieve developmental goals. Selection of participants must be strategic

to ensure that participants with the right skill base are trained for easy grasping of concepts and the lowering of training costs.

2.7   PERFORMANCE

Organisational performance is defined as parameters used to quantify the efficiency and/or effectiveness of past action (Marr, 2006:100). Therefore, it is important for all organisations to have a good performance feedback system that would enable a constant sharing of information on progress towards targets and goals, at the same time establishing what is working and what is not working. This approach would help to satisfy the growing need for accountability and results by international organisations and donors in order to maintain a transparent and trustworthy environment (Gorgens & Kusek, 2009:1-2).

There are three basic reasons for performance assessment as stated by Marr (2006:98-99), listed as follows:

i)   Reporting and Compliance

To communicate with organisational stakeholders on a voluntary and legislative basis outlining the organisation's service delivery levels, environmental performance, various social responsibilities and mandatory taxation and finance statements through annual reports.

ii) Controlling people's behaviour

The idea is to motivate people and change their behavior by rewarding compliance to standards of work. Performance assessment affects the attitude of employees because people tend to align themselves with what is being measured to reflect their feelings either in approval or dissatisfaction.

iii) Strategic decision-making and organisational learning

Important to inform management decisions and promote continuous learning and improvement in performance. In this regard, managers are enabled to check the organisation's position, identify a starting point for strategy implementation, set out priorities and highlight key activities going forward.

As pointed out by Lusthaus *et al.* (2002:109), organisational performance can be discussed in relation to effectiveness, efficiency, relevance and financial viability.

2.7.1 Effectiveness

According to Marr (2006:100), 'an effective measure of performance reveals how many units of the purpose were accomplished. It is a response to the question; are we doing the right things?'

Under effectiveness, organisations are taken as instruments of purpose set out for a particular function which is clarified through its goals; therefore, effectiveness becomes a key determinant of the extent to which an organisation is able to fulfill its goals. The functional purpose of an organisation must be well understood by its members and stakeholders for effectiveness assessment to be possible.

Then, among other things, effectiveness assessment may look into such areas as the direction of organisational operations towards its mission (as outlined by the mission statement, certificate of incorporation or other similar documents), the existence of an implementation plan, the presence of a system to monitor progress, the perspective of other stakeholders on organisations and the presence of a feedback system to create opportunity for improved performance.

2.7.2 Efficiency

Lusthaus *et al*. (2002:114); Rist, Boily and Martin (2011:43-44), agree that operative efficiency recognises that each organisation has a certain amount of resources within which it should achieve its goals. The efficiency level of an organisation is therefore measured by comparing the cost incurred in accomplishing goals with the value of those accomplished goals. The approach to efficiency assessment is twofold; firstly it checks the relevance of output to the purpose of the organisation and secondly it looks at how much it cost to deliver the intended products.

In assessing efficiency, the cost/value relationship between input and output must be established, physical space utilisation must be checked and there must be an established standard to measure performance levels. The whole aim is to make sure that as much minimum resources as possible are used to achieve the objectives of an intervention.

2.7.3   Relevance

Lusthaus *et al.* (2002:119); Rist, Boily and Martin (2011:43-44), discuss relevance as the extent to which the needs and expectations of each stakeholder are met, for example, organisations work towards fulfilling the needs of both financiers and clients and go further to reconcile differences when they arise so that they may remain useful to their major stakeholders. Furthermore, organisations must be able to adapt to changing contexts (considering the evolving nature of stakeholders' needs) by correctly interpreting the environment they are operating in and then supplying services that are needed and command support from the communities around.

To assess relevance, there must be an adequate system to collect client perspectives about the organisational products delivered, the presence of a checking mechanism for adaptive effort to the prevailing environment and investment in innovative action to grow the scope of an organisation.

2.7.4   Financial viability

Marr (2006:5), points out that, in order to function properly, organisations need to pay attention to their ability to generate resources they require to meet their short, medium and long term commitments. It is therefore paramount for organisations to set up mechanisms that will ensure that they are able to mobilise enough financial resources to keep their operations on. The assessment of financial viability covers aspects of whether the organisation is able to operate within its means, at the same time making an effort to create surpluses, the reliability of sources of funding, the balance between assets compared to liabilities and the presence of a system to track expenditure on a regular basis.

CHAPTER 3: LEGISLATIVE AND POLICY FRAMEWORK OF NGOS WORKING IN ZIMBABWE

3.1   INTRODUCTION

This chapter will be reviewing the legislative and policy framework of NGOs working in Zimbabwe with a closer look at the constitution of Zimbabwe and how it accommodates the operation of voluntary organisations in the country with regard to the rights extended and limitations to contain certain behaviours by NGOs. This chapter will also discuss the Private Voluntary Organisations Act which provides the legislative framework for guiding the operations of NGOs in the country. The discussion shall concentrate on the purpose of the Act, its application and the role played by NGOs in recognition of the Act. There will also be a brief discussion about the National Association of Non Governmental Organisation (NANGO) which also has an influence on how NGOs in Zimbabwe operate, especially on issues of advocacy to create ideal conditions for NGOs to play their roles free of interference and intimidation. Finally, there will be a layout of the institutional framework of the Organisation of Rural Associations for Progress which is a case for this study.

3.2   CONSTITUTION OF THE REPUBLIC OF ZIMBABWE

Zimbabwe operates in a hybrid legal system consisting of the Dutch civil law, English common law, customary laws and traditions which form the basis of the constitution of Zimbabwe. In 2013 Zimbabwe passed a new home grown constitution that replaced the popular Lancaster house constitution of 1979 which at the time of its replacement had 19 amendments.

Chapter 5 part 4 (1), (2) (a)-(j) and (3) (a)-(e) of the constitution of Zimbabwe empowers the president and the cabinet to exercise their executive authority to initiate new legislation and the subsequent implementation of national laws in their conducting of government business. It is through these powers that the Ministry of Social Services (MoSS) is empowered to create laws through parliament to guide the provision of social services by various stakeholders of which NGOs are major players by virtue of being civil society organisations (CSOs).

The operation of CSOs in Zimbabwe is governed by the now Private Voluntary Organisations Act which replace the Welfare Organisations (WOs) Act of 1967. Before Zimbabwe attained

independence in 1980, the WOs Act was aimed at monitoring and controlling organisations believed to be linked to the liberation movement opposed to the colonial regime and capable of releasing information about the human rights situation in the then Rhodesia which the government of the day did not wish to be known.

On the same note, when the social and political situation deteriorated in Zimbabwe in the late 1990s, there was a swell of CSOs that took an interest in issues of governance, democracy and the human rights situation. The government of Zimbabwe (GoZ) responded by targeting these CSOs for harassment through legislative and administrative action that forced the closure of some CSOs and the arrest of executive members belonging to organisations that condemned the actions of the GoZ on its people. This was aided by the creation of a restrictive legal environment by various sectors of the government aimed at establishing regulatory limitations for NGOs operating in Zimbabwe. The following are highlights of the deliberate efforts by some sections of the government to suppress efforts by CSOs:

1. The NGO bill of 2004 was aimed at prohibiting local NGOs that were involved in governance issues from accessing foreign funding because the GoZ believed that there were external forces that were sponsoring regime change in Zimbabwe.

2. In 2009 there was a joint memoranda by the Ministry of Justice and the Ministry of Labour obliging trusts to register with the deeds registry, as well as with the PVO act, therefore subjecting trusts to a two tiered registration process which could take long to complete leading to the frustration of the trust and loss of interest on its intentions and if the registration goes through the trust will be subjected to control by two boards.

3. In 2010 the Ministry of Health and Child Welfare announced the government's intention to coordinate the national response to the HIV and AIDS epidemic by legally compelling all CSOs concerned with HIV and AIDS interventions to be accountable to the state run National Aids Council (NAC). This was a desperate effort by the government to make sure that money coming into the country for a specific purpose did not find its way into issues of state governance and possible regime change.

4. In 2013 the electoral Act was amended to bar CSOs from carrying out any form of voter education without permission from the Zimbabwe Electoral Commission

(ZEC). It also became a crime to reproduce or distribute the voters' role as this remained the responsibility of ZEC.

In addition, the PVO Act particularly makes it difficult for CSOs to operate in Zimbabwe due to several legal barriers presented by the Act. Some of the barriers to CSOs entry to Zimbabwe are discussed below.

3.2.1 Mandatory registration

Section 6 (1) (a) of the PVO Act states that "no private voluntary organization should commence or continue to carry on with its activities or seek financial assistance from any source unless it has been registered in respect of a particular object or objects in furtherance of which it is being conducted." Part of the registration information required is the specific intentions of the PVO and how it is going to conduct its operation. This is a way by the government to censor all PVOs and be in a position to give the final word on whether the registration is successful or not, depending on the perceived threat or influence to issues of national governance.

Section 6 (2) and (2) of the PVO Act also weigh in by prohibiting individuals from serving in the management or control of organisations which they fully know that they are not registered as PVOs. If this part of the Act is violated, individuals representing offending PVOs are faced with arrest involving imprisonment or fines or both and their organisations are faced with imminent closure.

3.2.2 Registration procedure

The registration process of CSOs is long, complicated and as a result frustrating. The registration process involves lodging an application for registration with the MoSS, publication in public press at own expense of the intention to register, waiting period for objections and finally the submission of registration documents by the director of Social Services at his/her convenience to the PVO board. At this stage the PVO has no control whatsoever on when the registration will occur, if it occurs, since there had never been a prescribed time period for the registration process to complete. The PVO Act is silent regarding the time period for processing an application. The PVO board considers the application documents at its own pace and may deny registration on grounds, such as vague language that may be

manipulated to mean something else, the potential of failure to comply with stated objectives and failure to observe the terms and conditions of the PVO Act.

3.2.3 Government interference

The PVO Act provides for the interference of the government in the affairs of CSOs in cases where it (the government) suspects there are issues of diversion by the CSO from the recorded mandate, violation of the national constitution, general maladministration or suspicion of engaging in illegal activities. If the government finds ground for accusation, they may act by suspending the whole executive of the PVO, premises inspection and documents seizures, cancellation of registration and harassment of PVO staff. This is more common during election periods, for example, in the 2008 elections the government proposed a blanket suspension on all CSOs accusing them of aligning with the enemies of the state which in the process disrupted essential services such as food aid and nutritional support to people living with HIV and AIDS.

3.2.4 Speech and advocacy

The Zimbabwean law which on several occasions is selectively applied, contains serious restrictions to the persuasion of freedom of expression and advocacy through the Public Order and Security Act (POSA) and the Criminal Law Act which criminalises the criticism of public office bearers and state functions, regardless of the truth that may be contained in that criticism. As a result, organisations conduct a thorough self-censoring and selective communication which at the end work against the flow of vital information that may be used for relevant decision making and action going forward.

In addition, POSA has limited the freedom of association and assembly due to failure of correct interpretation by some state functions such as the police. For example, POSA requires that any organisation or individual who wants to hold a public meeting must notify the police; however, the police take that as an application and had on many occasions denied people gatherings, especially meetings called by the opposition political parties or CSOs suspected of working against the government.

3.2.5 Access to resources

The Zimbabwe Electoral Act prohibits CSOs from receiving foreign funding for purposes of voter education, except if it is done through the Zimbabwe Electoral Commission. The

government uses this arrangement to monitor external parties that are interested in the electoral processes of the country, at the same time learning who they are dealing with in a local context. It then makes it easy for the government to target CSOs that are perceived to be a threat and recommend appropriate action which usually is their banishment from operating in the country. The result is that genuine cases of social needs will never come out and the government will be free from accusation that contain undisputed evidence because they make sure that they close all avenues of producing legitimate evidence.

The previous discussion is evidence enough that NGO operation in Zimbabwe is closely monitored to such levels even with good intentions; sometimes it becomes difficult to produce the desired impact because of too many controls that CSOs have to operate within. The GoZ uses the constitution to impose itself on matters independent of their function because they make sure that before they make a move to address a perceived threat, they start by amending the constitution to legitimise their action taking into consideration that "the constitution is the supreme law of Zimbabwe and any law, practice, custom or conduct inconsistent with it is invalid to the extent of the inconsistency." It is therefore apparent that NGOs operating in Zimbabwe are limited in carrying out their mandate due to the deliberate effort by the government of Zimbabwe to control their operation through legislation.

3.3 THE PRIVATE VOLUNTARY ORGANISATIONS (PVO) ACT

The PVO Act is a statutory instrument developed by the department of social services in order to register all private organizations that have an interest in civil service provision. The Act was enacted in 1996 as the Private Voluntary Organisations Act (Chapter 17:05) being a replacement of the Welfare Organisations Act (93/67) of 1967. The PVO Act is administered by the PVO board within the Ministry of Social Services that ensures that all registrations of PVOs are done to the best interest of the state and the general population.

3.3.1   The purpose of the PVO Act

It is a requirement under Zimbabwean law that all PVOs operating in Zimbabwe for whatever purpose be registered under the Private Voluntary Organisation Act so that the government may be able to account for all such organisations present in the country and be able to monitor their actions. The Act requires that organisations state their goals, objectives and their main activities highlighting who is going to be involved in the actual project work and who is going to benefit from the project outcome. PVOs must also specify their physical operating

area where actual project activity will be happening and indicate the sustainability of their projects and where possible they must submit the sustainability plan.

3.3.2 Application of the PVO Act

Once registered under the PVO Act, organisations are allowed to carry out their proposed activities through the involvement of various players in the system of governance in the country. PVOs come with various interventions that are intended for different outcomes in the society. So in order for them to successfully implement their projects, they must identify relevant government ministries which relate to their intervention. Having a memorandum of understanding signed between the two parties outlining the objectives, mandate and operating parameters of the PVO and an attached constitution by the PVO, is conducive to an operating environment between the government ministry involved and the PVO.

In addition, the government has introduced sector specific committees to monitor the activities of PVOs at provincial and district levels so that it may keep track of what private organisations are doing against their claimed purpose.

The application of the PVO Act by the government ensures that PVOs recognise and abide by the laws of the country so that there is no operation that is inconsistent with the general expectations from various stakeholders, such as the community, government representatives and other related organisations. The PVO Act ascertains that PVOs have a name, physical address, a constitution, a clear ownership structure, a leadership/management structure and explain the roles and responsibilities of different organs within it. Finally, the PVO must be able to declare principles of good corporate governance which include fairness, accountability, transparency, discipline and social responsibility.

The PVO Act also prescribes how PVOs must be administered. Part IV, 15 of the PVO Act states that every registered private voluntary organisation will be responsible for ensuring that books, accounts and records are kept to the satisfaction of the registrars of companies. It follows that all prescribed reports and returns and any information which may be required must be supplied to the registrar within the prescribed period.

This is meant to foster transparency and accountability in the operation of NGOs. At the same time it becomes a monitoring tool for the government to make sure that funds are used for the claimed purpose by the respective PVOs.

3.3.3 Role of Private Voluntary Organisations in Zimbabwe

The government of Zimbabwe views the presence of PVOs in the country as a support system to the already established system of public service delivery by the government. In this regard the government expects all external help to recognise the government's effort and work when in partnership with the government to establish the overall goal of adequate public service delivery. Any independent operation by PVOs is regarded as a parallel structure, anti-government and therefore undesirable and is faced with immediate termination.

There is a wide range of roles played by PVOs in Zimbabwe covering areas of food aid and security, development work, peace building, human rights advocacy, promoting social stability and tolerance. However, the government of Zimbabwe is not very comfortable with organisations that deal with issues of democracy and human rights promotion. Those are quickly branded as agents who want to interfere with the internal affairs of the country and if allowed to continue in the country, their activities are closely monitored to make sure that their report is known and is edited before it gets to 'wrong places'.

3.4 THE NATIONAL ASSOCIATION OF NON GOVERNMENTAL ORGANISATIONS (NANGO)

NGOs in Zimbabwe are organised under the National Association of Non Governmental Organisations (NANGO) which are run by a board of directors who are representative of various NGOs affiliated to the association. NANGO is a non-political, non-denominational and non-profitable umbrella of NGOs working in Zimbabwe registered under the PVO Act number PVO 221/68. Its purpose is to identify opportunities for its members to pursue their vision and mission and facilitate the building of capacities, resource bases and synergies in order to remain relevant to the society through improved service and innovation.

The strategic focus of NANGO is to:
- Promote civil society capacity development
- Develop communication networks and mentoring opportunities
- Foster a holistic approach to poverty reduction and development initiatives

- Create an enabling operational environment and self-regulating abilities.

As such, NGOs that are affiliated to NANGO have a support system that enables them to operate in Zimbabwe free of government suspicion and public doubt because NANGO has proven to be a credible association in the way its members have conducted themselves in providing humanitarian and development work in both rural and urban Zimbabwe over the years.

3.5   THE CASE STUDY – THE ORGANISATION OF RURAL ASSOCIATIONS FOR PROGRESS (ORAP)

3.5.1 Historical background

ORAP started operating in Zimbabwe as a local NGO in 1980 and was registered under the then Welfare Organisations Act, registration number WO 26/8 in 1981. ORAP has worked in the Matabeleland region of Zimbabwe which is one of the least developed regions since 1980. It has sought to address poverty and to rebuild this region after the destruction and under-development associated with the fight for independence which it intends to achieve through community empowerment, participation and self-reliance by introducing programmes in the fold of micro-finance, education, food security, community grant-making and water resource management.

ORAP is rooted in cultural practices, family connections, hard work, music and song as instruments of development that connect people to their social roots; using families as base units for chanelling dialogue in development initiatives and philosophy. The organization further emphasizes relationship building with external agencies for purposes of funding, learning, idea sharing and possibilities of strategic partnerships. Of paramount importance at ORAP is the significance of respecting the wisdom and input of local community members demonstrated by incorporating them as empowered members of boards, task groups and committees (ORAP strategic document, 2011).

3.5.2 The vision of ORAP

The vision of ORAP is to see empowered grassroots communities of disadvantaged women, men and youths free of hunger and poverty.

3.5.3 The mission of ORAP

The mission is to fight all forms of poverty among the rural and urban grassroots communities of disadvantaged women, men and youths through the empowerment of people by facilitating their development in their diverse cultural contexts.

3.5.4 The values of ORAP

The ORAP values have been articulated through the principles of self-examination, self-mobilisation, commitment, self- establishment, self- employment, self- reliance, self- pride and saving for investment. In as much as ORAP may be involved in relief activities for mitigating disasters, its major thrust is on empowering individuals to be able to generate their own development ideas and come up with funding and implementation models. ORAP also believes in fostering local cultures so that any development action in a community must happen within the cultural orientation of that same community. The idea behind this is to avoid disturbing the cultural balance that has seen communities surviving through various challenges in previous periods before current interventions by CSOs. Therefore, ORAP focuses on community grown projects where its involvement is just technical to make sure that communities are capacitated enough to achieve their objectives.

3.5.5 Programmes and projects

The organisation does its community work through projects and programmes that are designed to meet various social needs. For example, there is a programme from the World Food Programme which the organisation is implementing through the Seasonal Targeted Assistance (STA) project and the Nutritional Support for Antiretroviral Treatment (NSART) project. These two projects are food relief and health based which address the basic social needs with regard to food security issues, nutrition and health. There are also several development projects that are funded through various development agents, such as the United States Agency for International Development (USAID), Australian Aid (AusAid) and the Department for International Development (DFID), for example, there is currently running a project called the Development Food Assistance Programme (DFAP) whose aim is to promote sustainable livelihoods through the provision of safe water, resilience in the face of disasters, feeding of pregnant and lactating mothers and the creation of productive assets within communities. It is through these projects and programmes that ORAP as an organisation takes the opportunity to share its philosophy with recipients of projects. The

organisation makes sure that while it is bringing aid to communities its ultimate goal of achieving self-sustained communities through locally generated interventions is obtained through teaching and training that promote self- evaluation, local initiatives and self-implementation of projects.

3.5.6 Organisational structure

The current organisational structure is aligned to the five year strategic plan that has been running since September 2011 and is expected to be completed by September 2016. The success of the strategic plan was seen to be dependent on correct structuring and hence the massive restructuring exercise that took place. As a result of the restructuring exercise, leadership was organised as outlined by figure 3.1:
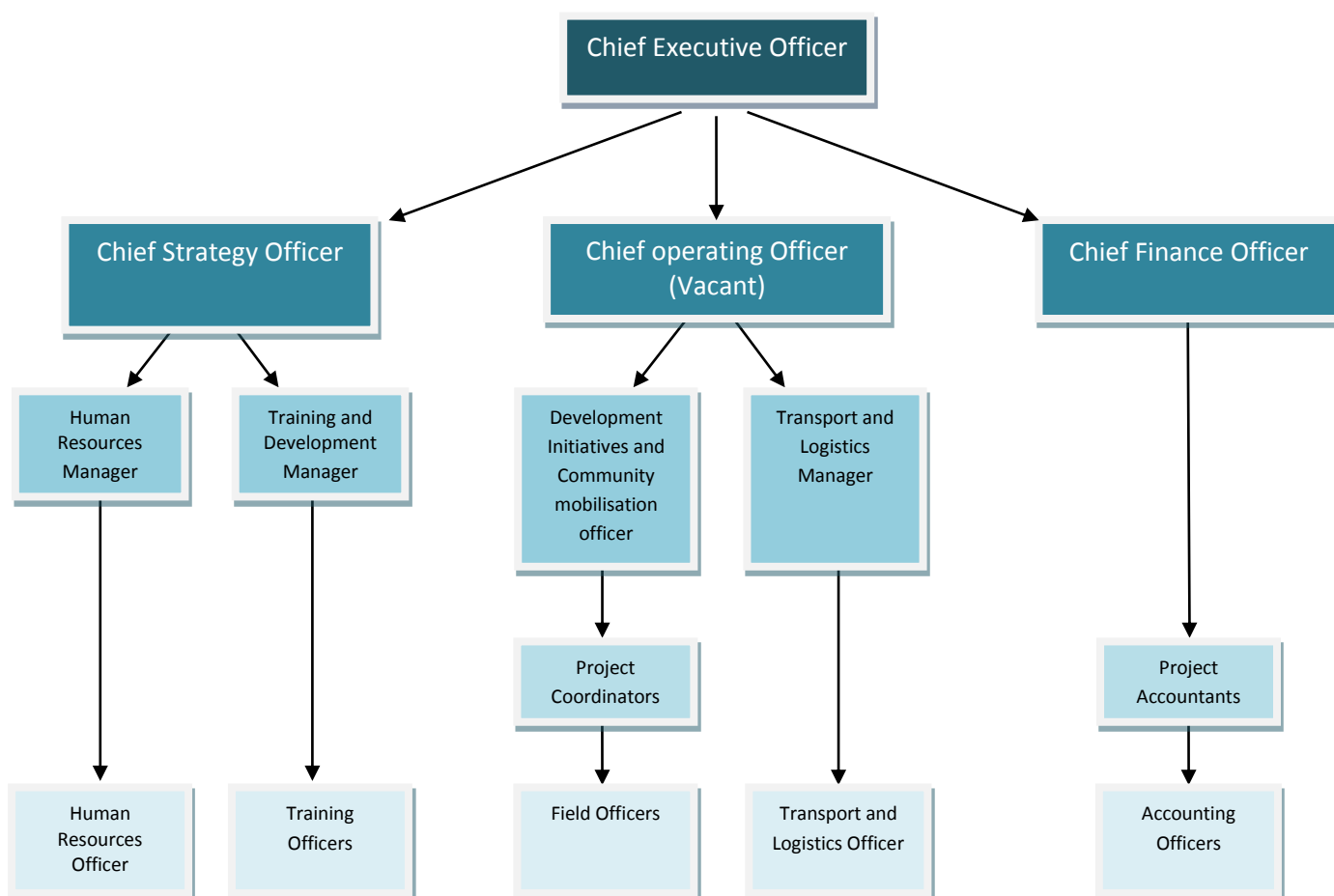
Figure 3.1: Leadership structure of ORAP

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The leadership structure at ORAP has been designed to effectively implement the vision and mission of the organisation by setting out systems and procedures that will guide operations towards the attainment of the organisation's strategic objectives to:

- see communities where ORAP works free from hunger and poverty
- empower ORAP members and communities to attain financial security
- build within the ORAP system and in the communities where ORAP operates, the capacity to deal with external shocks and stresses that negatively affect people's abilities to live sustainable livelihoods
- further develop and strengthen the physical, emotional and mental well- being of people in the communities where ORAP works
- see self- reliant, community-led Rural Associations of ORAP members at all levels.

The leadership is further expected to ascertain that all stakeholders involved share the ORAP vision in conceptualising, designing and implementation of projects, programmes and initiatives that promote ORAP's stated purpose.

3.5.7 Geographical coverage

In as much as ORAP desires to cover the whole country of Zimbabwe, at the moment it is concentrated on the three provinces of Matabeleland South, Matabeleland North and Midlands. The main office is located in the city of Bulawayo (the second largest city in Zimbabwe) where all district activities are coordinated from. The organisation also operates district offices to make sure that district field teams are fully supported in their functions.

The geographical coverage was largely influenced by the post independence imbalances which saw some regions of the country receiving better capacitation in terms of development initiatives and government support, than the region where ORAP operates. The initial plan was to develop communities at grassroots level by cultivating the spirit of ukuzenzela (doing it yourself) because then there will be no government to intervene in the needy situation of the region. The organisation later became a vehicle for drawing development activities into the region through partnerships with development agents which also became funding partners in some cases. As a result, development action in the region was improved to levels that are almost level with the rest of the country. To try and consolidate its position as a leading community organisation in the country, ORAP has developed a strategic plan covering 2011

to 2016 which opens the organisation to a wider scope in terms of coverage and development philosophy.

3.5.8 The ORAP strategic plan (2011-2016)

The ORAP strategic plan is designed to direct the organisation's decisions and desires in an attempt to address the development future of the organisation and the region in which ORAP operates. The idea is to develop historical changes in regional economics and lives of people with the aim of lifting them out of their needy situations through sustainable livelihoods, development and strategic thinking. Therefore, the ORAP strategic plan attempts to give clear direction to all members and stakeholders of ORAP on how the organisation hopes to achieve its mission through poverty eradication, environmental adaptation, and cultural fit and strategic priorities.

3.5.8.1 Poverty eradication

Poverty reduction is defined in the context of the organisation's mission as the center of ORAP's work. The organisation regards poverty as a lack that may be in the form of technological incapacitation, material inadequacy, erosion of cultural values and lack of social connection. The belief at ORAP is that poverty, in any form, is unnecessary and not inherent in human life and therefore it must be strategically, systematically and permanently removed in a coordinated manner within societies.

3.5.8.2 Environmental adaptation

ORAP acknowledges that as the world changes, it must also adjust accordingly in order to find a perfect fit for its operations. It is therefore imperative that the organisation must look into the future with clear strategies that will place it in its right place in terms of technological innovations and transformations, developments in corporate governance, changes in economic thinking, advancements in concepts of community development and new approaches to social entrepreneurship.

3.5.8.3 Cultural fit

ORAP intends to rebuild itself for the future and claim back its position as a leading local NGO in Zimbabwe with world class and globally renowned approaches for effective grassroots development. This would be achieved in the context of ethical leadership, modern

organisational practices and a high regard for corporate governance standards. The ORAP culture emphasis is on:

- Ethics driven activity with no tolerance for corruption
- Rootedness in organisational practices while staying connected to the world beyond the organisation
- Respect for others (i.e. people and other organisations) and structures around the organisation whether natural or man -made
- Honour of traditional and indigenous knowledge, wisdom and methods.

3.5.8.4 Strategic priorities

ORAP focuses on empowerment of people and communities, entrepreneurship initiatives for sustainable livelihoods and resource mobilisation to enable operations. The organisation desires to achieve this through in-house action plans, projects and programmes within the organisation and through alliances with other related organisations.

3.6   SUMMARY

The general operating environment for NGOs in Zimbabwe is restricted by constitutional provision that makes it difficult for them to fully participate in civic issues that affect the general Zimbabwean people. The restrictions are especially pronounced in areas where the public leaders/politicians feel there is a threat to their system of governance or there is a risk of exposure of certain behaviours by senior government officials. Thus, NGOs that are concerned in such areas as the rule of law, respect for human rights and the electoral processes are mostly not welcome to operate in Zimbabwe. However, there is a national association for NGOs (NANGO) that always provides advocacy for the cause of its members in order to bring a sense of reason in some of the decisions brought by the governing powers. On the other hand, NANGO acts as a guarantor that its members will not violate the laws of the land during the implementation of their proposed mandate while at the same time taking the responsibility to monitor the activities of its members in such a way that they are in line with the requirements of the government.

ORAP, as a local NGO is also operating under the same legal environment like any other similar organisation in Zimbabwe and therefore it is no exception to the legal controls that it has to observe in order to continue operating in the country. Therefore, ORAP has made a

deliberate choice to confine its operations to development and relief issues with an objective of improving livelihoods and creating sustainability in every community initiative.

CHAPTER 4: DESIGN AND METHODOLOGY AND DATA PRESENTATION AND ANALYSIS

4.1   INTRODUCTION

The aim of this chapter is to discuss the research design that will be adopted for this research project, as well as methods for data collection. There shall be an explanation on the suitability of the research design and data collection methods in order to bring a clear understanding on how this research is going to achieve its objectives.

This chapter will go on to report on the research findings, as well as give an analysis of information gathered. Data presentation and analysis will be done by respondents in the case of in-depth interviews and by themes in the case of focus group discussions.

4.2   DESIGN

The study will follow an exploratory research design. Stebbins (2001: 2), explains that an exploratory research is "…, the need to travel over a field of study with the objective of extending the readers field of acquaintance with the complex cases of the real world." In the same note, this research will attempt to create new ideas, collect unique thoughts, identify organisational needs and expectations, discover new approaches to project implementation and finally be able to explain situations that link performance to the level and manner in which ORAP is capacitated (Fern:2001). The researcher will strive to extract concepts that explain relationships between organisational capacity and performance at ORAP by bringing together different thoughts provided by participants from their experience of working with the organisation or from their creative effort as to how they perceive the relationship may exist.

4.2.1   Methodology

In-depth interviews and focus group discussions will be used as the data collection tools in this study. According to Welman *et al.* (2012:197), in-depth interviews are usually employed in exploratory research for specific purposes, such as "to identify important variables in a particular area, to formulate penetrating questions on them and to generate hypotheses for further investigation." In-depth interviews have the ability to draw information on the value of initiatives with regard to the demands of the organizational environment. Experienced knowledge can be gathered from management practitioners and the recommended

competitive action that may improve performance. Such interviews can also provide insights into the firm view of risks and opportunities that have a bearing on total performance and finally give a practical guide on how to balance operations with expected output (Daniel: 2012).

On the other hand focus group discussions are based on the collection of qualitative data and have the ability to gather information that can perhaps not be collected easily by means of individual interviews (Welman, Kruger & Mitchell, 2012:201). Focus group discussions culminate in the researcher being able to generate theoretical constructs, causal relationships and models that will enable him/her to make an informed judgment on the subject of the study. Fern (2001), encourages the researcher to establish a cohesive and accommodating atmosphere to elicit diverse views and unique information from the focus group members. The following general focus group framework as shown by figure 4.1 is suggested by Fern (2001):
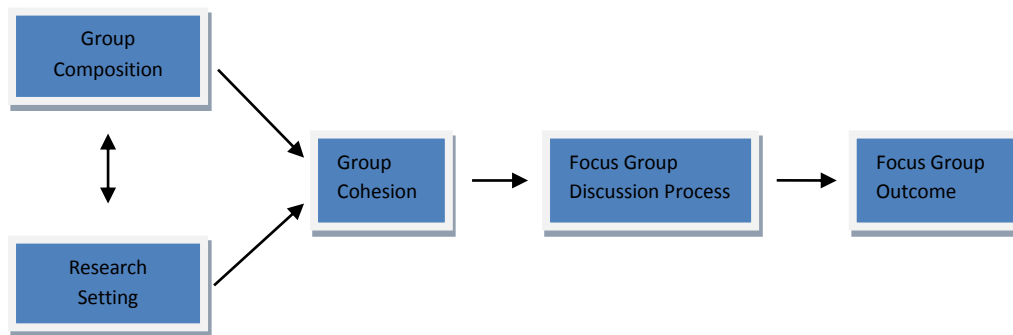
Figure 4.1: General focus group framework

Adapted from: Fern, 2001

4.2.1.1 Group composition

It involves individual characteristics such as culture, social status, age, race, gender and personality (Fern, 2001). Group composition is made up of elements whose individual characteristics form the group's characteristics; in a sense, the group's characteristics come from its members. The individual characteristics also determine the relationship and level of interaction between group members. The researcher, therefore, must be able to understand the mix of individual characteristics represented in a group so that he may be able to control discussions and create some form of cohesion (Grieve, Van Deventer & Mojapelo-Batka, 2005:44-45).

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4.2.1.2 Research setting

Research setting refers to the environment in which group discussions are conducted, the location of focus group interviews with regard to physical facilities and the privacy and personal space for individuals within a group (Fern, 2001:).

4.2.1.3 Group cohesion

Group cohesion refers to the strength of the relationship between group members. Members of a highly cohesive group strongly identify with the group and protect it from external criticism (Grieve *et al.*, 2005:46).

It considers the closeness and common purpose among group members, including factors that cause people to want to remain and participate in a group. Cohesion may be fostered by paying attention to such factors as the atmosphere under which discussions are conducted, the number of people present and the size of the room where discussions are held (Fern, 2001).

4.2.1.4 Focus group discussion process

The process is guided by such factors as social integration which gives each individual an opportunity to participate and mirror reaction which makes individuals realise that other members share the same ideas and impulses, thereby releasing their own anxieties. In addition, focus group discussions create a platform that enables group members to share their consciousness and open them up to discuss issues of personal interest in a group (Fern, 2001). Grieve et al. (2005:47), add that the success of the focus group discussion process is dependent on the level of interaction and communication patterns among group members which determine the effort they put in the discussion process.

Two focus group discussions are targeted per week with each session expected to last two hours per group considering that focus group discussions will be conducted during working hours. The proposal is to utilise the lunch hour and the following hour in order to minimise the utilisation of productive hours.

4.2.1.5 Focus group outcome

It refers to the success in achieving the researcher's goals depending on his/her qualitative judgment using any of the following three outcome components:

i) Task performance effectiveness which considers the quality, quantity and cost of information.

ii) The users' reaction, that is, satisfaction with the process and output.

iii) Group members' relations, for example, cohesion, compatibility and willingness to participate. (Fern, 2001; Grieve, 2005:47).

In-depth interviews will be conducted with the senior management team only comprising the Chief Executive Officer (CEO), Chief Strategy Officer (CSO), Chief Operating Officer (COO) and the Chief Finance Officer (CFO). Efforts will also be made to have an interview with the president of the organisation who is also a member of the founders' council for ORAP. The selection of the senior management for this in-depth inquiry was done purposefully to enable the extraction of rich information with regard to the organisation's setting and the management's understanding and comprehension of issues that concern capacity management and performance assessment. The idea is to get a strategic viewpoint of organisational capacitation initiatives that would ensure that operations deliver performance as expected by various organisational stakeholders who include communities, donors, the government and employees among others. A combination of skill, experience and legitimate power to share some classified information within the senior management team gives a good ground to gain some in-depth knowledge on issues concerning the study which they might be willing to share given that this interview is open and flexible to accommodate wide and deep discussions with a possibility of developing new insights into the subject of the study.

4.2.2 Sampling

A stratified sampling method will be used to identify each strata of the unit of analysis (ORAP) in terms of departments. This method will ensure that each department in the organisation is taken into account thereby eliminating the problem of under/over representation of departments which may not be overcome by other sampling methods, such as simple random sampling (Hussey & Hussey, 1997:146).

Further sampling will be done through purposive sampling in order to come up with a focus group in each department. This will be done with the help of department heads who will be expected to use their experience and knowledge of their teams to come up with the most suitable individuals for this study (Welman, Kruger & Mitchell, 2012:69).

ORAP has five departments which are Accounts, Programming, Logistics, Transport and Human Resources with the senior management making an additional sixth stratum as shown in figure4.2:
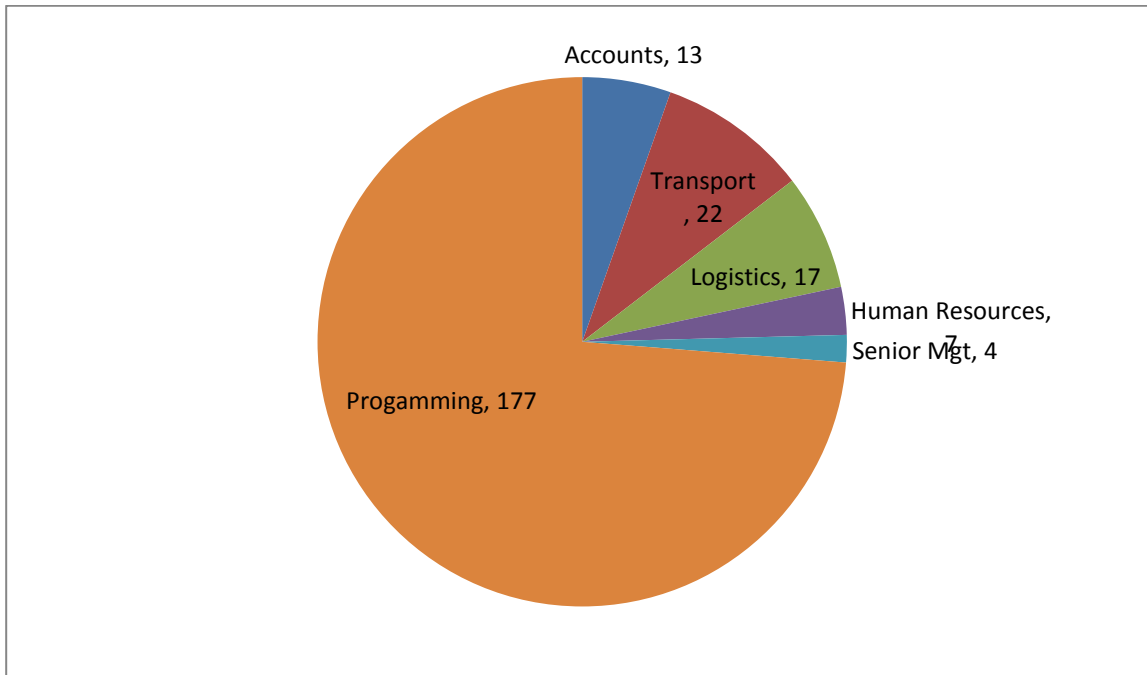
Figure 4.2: Sampling frame

Figure 4.2 effectively illustrates that the focus groups will be five drawn from each department as tabulated:

Table 4.1: Sample size

Department	Number in a department	Focus group size
Programming	177	15
Transport	22	10
Logistics	17	8
Accounts	13	8
Human Resources	7	7
Senior Mgt Team	4	4
Total	**240**	**52**

The size of the focus group is drawn proportionally to the number of people in each department and in departments with few people such as the human resources, everyone was recommended for participation.

4.3   RESULTS PRESENTATION AND ANALYSIS

4.3.1 Introduction

The presentation and analysis of results will be in two forms. For the in-depth interviews, results will be presented per interview for all the four themes, while for the focus group discussions and results will be presented per theme for all the focus groups. The four themes are derived from Frederick's capacity model which outlines organisational capacity in the following framework:

- Leadership and Vision
- Management Planning
- Fiscal Planning and Support
- Operational Support

In-depth interviews were targeted at the senior management team which comprised the President of the organisation, the Chief Executive Officer, the Chief Strategy Officer, The Chief Operations Officer and the Chief Finance Officer. The focus groups were drawn from functions within the organization; so there was a group from Project Programming, Transport, Logistics, Accounts and Human Resources.

It should be noted that presentation on the interviews from the Chief Executive Officer and the Chief Strategy Officer were combined because their contribution was similar in many areas.

4.3.2 President

In as much as there was an attempt to discuss all thematic areas, the discussion with the president dwelt much on the leadership and vision of the organisation and operational support. With regard to leadership she talked passionately on the need for project participants to adapt to the ORAP culture, at the same time remaining conscious of community needs and priorities. She said that this will be useful for creating a balance between community needs and project objectives in project implementation.   This approach will promote the entire community to buy in to project activities following the ORAP philosophy which revolves

around the concept of 'zenzele' (Ndebele for 'do it yourself') in support of the African saying that goes 'akumuntu ongasimuntu walutho' (Ndebele for 'there is nobody who has no purpose').

The president took some time to explain some background to the formation of ORAP by going through some founding principles that led to the current ideologies which are spelt out in the vision and mission of the organisation.

ORAP believes that human beings are the prime instruments for development which should be empowered through mass consciousness and self-determination. The president of the organisation said that at inception, ORAP had designed a family approach to development, where self-examination and self-mobilisation were strongly encouraged at individual and family levels through personal interaction between ORAP staff members and the communities in the service of ORAP. The approach was adopted in recognition of the rural Zimbabwe context where communities are made up of family groupings that occasionally come together for community functions, such as weddings and funerals. On the same concept of coming together, ORAP introduced community groupings for development purposes under the banner of 'amalima' (Ndebele for 'joint action by the community') where members of the community self- mobilize for activities such as farming, harvesting and construction in order to achieve efficiency, to lighten work that would have been difficult if done by one person/family and to develop a habit of pulling resources together as a community so that no family or individual will be left out of development initiatives that are meant to benefit the communities in which they belong. Her emphasis was that development must be all encompassing such that gaps between the rich and poor may be minimised within the same communities.

She further indicated that over and above a requirement for a clear understanding of the ORAP development philosophy by leaders, there is an extra need to commit themselves to the achievement of strategic priorities shown in table 4.2:

Table 4.2: Strategic priorities

Strategic priority	Achieved through
Empowerment	• Capacity building • Knowledge creation • Relationship building
Entrepreneurship	• Creation of marketing strategy • Value chain management • Sustainable livelihoods
Resources	• Financing mechanism • Infrastructure development • Resource mobilisation

These strategic priorities must be operationalised through various action plans, work plans and programmes in the whole institutional framework of ORAP.

She went on to say that the leadership role is not only limited to the employed members of the organisation, but that the directing board also plays a key part to make sure that the vision of the organisation is achieved. To start with, she said the composition of the board must reflect or represent the various stakeholders interested in the operations of ORAP. Key among all stakeholders is the representation of community members on the board of directors. She said that the presence of the community on the board will ensure that proposals are community generated and that decisions taken have an endorsement from the same community. This setup opens up opportunities for the community to understand the dynamics in the development sector and to learn better practices for better results through association and at the same time harmonising community expectations with the actual aid or service provided by ORAP.

She said the community orientated approach used by ORAP is useful in trying to achieve relevance performance in respective communities. ORAP does not apply a blanket approach in every community but tries to align activities in order to meet the relevant needs of specific communities. The fact that members of the community are incorporated in the structures of the organisation means that, to a larger extent, ideas are generated by respective communities and activities follow as a means of satisfying the already known scenario.

She went on to say that the community oriented approach achieves effective performance because people tend to work hard where they had an input in planning and would not want to see their plans fail, therefore, the community orientated approach yields:

- Commitment to development objectives by the community,
- Develops the right attitude in the community and
- Fosters creativity and innovation to improve project outcome.

Having gone through issues of leadership and vision and their influence on organisation especially performance, the discussion took a turn to the issue of the capacitation of operations. On this one she said ORAP already has fully equipped development centers in nine districts to empower communities through skills training in areas such as steel fabrication, horticulture, livestock production, fashion and fabrics, building and carpentry. In addition, there are income generating projects run in the development centers in the form of piggery, poultry, cattle fattening and nutrition gardens. She said these projects have several gains which among others are: firstly, they form the business side of ORAP, secondly, they impart practical knowledge to trainees and the community around and thirdly, they provide employment to local people. She said this is one way of fulfilling one of the strategic priorities of empowering communities through capacity building.

She added that development centers act as research and demonstration centers for projects where successful project models may be shared with communities for them to implement at household and individuals levels in order to achieve yet another strategic priority of improved livelihoods. Therefore, development centers improve the overall performance of the organization in the area of building financial viability by teaching entrepreneurial skills to community members thereby creating mini-markets where communities depend on their acquired skills/abilities to produce and sell among themselves.

4.3.3 The Chief Executive Officer (CEO) and the Chief Strategy Officer (CSO)

4.3.3.1 Introduction
Results presentation and analysis from the CEO and the CSO interviews will be done on the same stage because their contributions were closely related due to overlapping roles. The advantage of doing this will be the avoidance of repetition and the production of a composite analysis that has a positive effect of time saving and compact knowledge.

The two shared the same views with the president on issues of leadership, vision and strategic priorities. However, their emphasis was inclined towards community participation as the key driver of the ORAP philosophy which must be treated as top priority by all organisational members irrespective of where they belong in the organisational structure. They said that incorporating the community is the only way the organisation may achieve sustainability in all its development initiatives. They further highlighted that community participation has been chosen as the flagship of ORAP in implementing development projects so that wherever ORAP had been, even when it is gone, its footprint remains visible for generations. Having said that, they were deeply concerned about the level of operational support in the organization, especially human resources planning and organisational culture which they said is not reflective of the ORAP development philosophy.

4.3.3.2 Human resources planning

They indicated that their assessment of the human resources function point to the fact that it has lost its force as a utility function that should be a first point of reference in ensuring the life of the organizational vision through strategic placement of people in jobs and conducting relevant capacity development on staff. The original practice which was 'religiously' observed encouraged the employment of people who have the cultural fit into the communities that are serviced by ORAP. The idea was to engage people who can identify with communities in terms of their needs, language, conduct, values and practices. In short, their point was that employees must have a background of the communities they work in any of the following ways:

- Demonstrated knowledge of the community they are assigned to work with.
- Experience of the community life they are assigned to through association or belonging.
- Be willing to adjust to new community setups in a way that will make an employee produce meaningful development without infringing on local values.

They based their argument on the basis that if an employee belongs to the same community where he/she is deployed for work, he/she shares the same conscience with the community thereby eliminating the risk of project imposition [opting for engagement instead] on communities. They will then be more willing to deal with challenges in a positive way that will promote more cohesion and purpose to move on and at the same time making sure that the

image of the organisation remains intact. They strengthened their line of reason highlighting that the employment of people who belong to the same community gives an assurance that development initiatives are going to be considered seriously for sustainability; bringing them (the CEO and the CSO) to an agreement with the notion by the president that community participation brings relevant performance in the whole project implementation process.

4.3.3.3 Organisational culture

The CSO went on to highlight the importance of organisational culture in the functioning of the organization. He mentioned that it is important for the organisational team to hold the same values and beliefs across functions as this will afford ORAP an identity and uniqueness in a pool of other NGOs. He said that ORAP today, cannot stand out and proclaim a special space because its values and beliefs are no longer as distinct as would have been preferred and as a result key stakeholders who include the community are failing to separate it from other similar organizations. According to him this is in direct contrast with founding principles where ORAP was to be known for total and sustainable performance with people as principals of its development agenda. As the discussion went on, he said while there may be other causes to the corruption of culture at ORAP, he has discovered two major causes which are the involvement of several donors and lack of proper staff orientation.

4.3.3.4 Donor involvement

The CSO mentioned that ORAP finances most of its projects through partnerships with various funders, such as the United States Agency for International Development (USAID), the Department for International Development (DFID), the European Union (EU) and the United Nations (UN). These funds come with stipulations to manage expenditure in terms of allowed and disallowed expenses, the people that must be employed with regard to their qualifications and experience and the structure to manage the implementation of the projects under specific funds. In situations where the organisation has several projects funded differently (which is the usual case), it translates to several operative structures run parallel with their different practices and objectives. In the end it is ORAP's identity that is compromised by this mix of cultures to a point where no one can stand and say 'this is ORAP'.

4.3.3.5 Inadequate staff orientation

The major challenge that the CEO and the CSO bemoaned in this regard is that there is little time between project approval and the actual project implementation because grant controllers would be chasing their own targets and deadlines. As a result, recruitment processes are rushed leaving the organisation with little or no time to effectively educate staff on the values at ORAP before assumption of duty. The effect on the organisations is that newly recruited staffs are left to their own devices as they conduct field work and more often they borrow from their experience with previous employers resulting in ORAP failing to leave the desired footprint. It usually turns out to be the project name or a field officer who gains recognition ahead of the organisation.

Donor involvement and inadequate orientation compromise project performance in terms of anticipated impact because in as much as project activity may have taken place, it does not represent how ORAP intends to express itself in the society. It then makes it difficult for ORAP to fully account for its input to the society in terms of value that it has created in societies it has operated in. The CEO was specifically worried about the varying project outlook between ORAP as an implementing organisation and its funders saying most funding organisations are target orientated while ORAP is more interested in the sustainability of its interventions in order to achieve its objective of "achieving community empowerment through resource mobilization and infrastructure development".

4.3.4 The Chief Finance Officer (CFO)

The CFO indicated that he is more inclined to issues of finance and suggested that our interview be concentrated on financial matters. He however said that if a need to talk about other subjects arises, he will give it his best attempt. But as the interview progressed, it was discovered that finance is all encompassing and for as long as organisational finances are discussed, the involvement of other thematic areas is unavoidable as in this case.

He expressed satisfaction on the accounting standards that are used at ORAP saying they are internationally recognized since ORAP deals a lot with external partners and as such it is a requirement to practice internationally recognised accounting standards. He also underscored the importance of keeping up with financial standards through a continuous systems audit that will necessitate upgrades in cases where gaps are identified so that performance levels are always upheld. To support his point, he cited a recent systems

upgrade from Accpak to Hansaworld which he termed as a milestone achievement because Hansaworld could monitor financial activity in all departments and give an instant feedback and therefore allows for real time access to information which can promote instant decision-making.

The interview proceeded by looking at issues of timeliness, consistence and readiness in reporting. The CFO confidently applauded his team saying that they have demonstrated a rare level of commitment and attributed it to the team's positive attitude towards work, motivated by the desire for excellence. He went on to say that the audit reports were evidence of his sentiments with statistics showing a favourable performance, for example, the last audit had only 0.04% questioned costs and 0% rejected expenditure.

He said that the commitment shown by his team has contributed to the total performance of the organisation since finance is a cross cutting factor in all organisational functions. According to him, the idea is to build a dependable and trusted financial management system that will grow donor and other stakeholders' confidence. Clean audit reports also enable the organization to access fund advancements from donors, for example, the World Food Programme which usually disburses funds to implementing partners after activity but to ORAP this condition is waivered if there are financial challenges because of the organisation's trusted financial system.

The CFO was however quick to clarify that having a good financial management system does not translate to financial viability of which ORAP is not exempted. He expressed concern over the inadequacy of project budgets saying they do not cover all necessary areas, especially the support services such as logistics, accounts, human resources and general administration which the organization end up financing. According to the CFO, donors concentrate their funding on field activities, such as community training and assets creation. While that may be reasonable, it is not fully justifiable because support activities are strained due to underfunding resulting in multi-tasking without extra earnings and over usage of resources, such as vehicles and other equipment.

He made a further elaboration on the issue of resources used to facilitate the implementation of a project. Vehicles, motorbikes, office furniture and computers do not receive adequate allocation from the budget for projects because to the donor they are classified as a luxury

that must be minimised because they are a cost center that the donor is not prepared to overspend on. While that is true to the donor, at ORAP it hinders the perfect flow of project implementation processes due to constant stoppages caused by excessive resource sharing. At some point ORAP as an organisation has to look for alternative funding to finance activities that should be serviced by a specific project budget. At the end project completion timelines are not achieved, community and other stakeholders coverage becomes constrained in terms of reach and physical/personal contact.

According to him budgetary allocation is the major constraint in achieving the desired performance as an organisation. He says financial viability can only be achieved if the major funders to the organisation change their attitude and are willing to cover all expenses as they are indicated budget proposals that are usually contained in project proposals. He says in as much as the organisation collects some revenue generated through projects in development centers, that money is meant to support projects that are within the locality of those development centers at a small scale. If that money is diverted to other functions, local sustainability of projects get threatened with collapse and may be difficult to recapitalize if there is a continuous drain to other cost centers that do not operate a revolving fund like the developing centers.

4.3.5 Focus groups

Focus group discussions were successfully held as sampled according to their departments. Participation during discussions was very high as members from all sample groups showed an interest in the subject of the study. Participants were free and insightful and even willing to share examples of capacity challenges they experience in their daily routines and how those challenges have set them back from expected performance. However, the group from accounts was a bit reserved, the reason being that they could not share accounting information in detail and for the release of some information they needed clearance from their supervisors. There were times though where the discussions needed to be redirected as group members seemed to have a lot to say, although not directly related to issues of capacity and performance. Where it was felt that some points could have been expanded or that key information had been omitted, probing was used in order to make sure that no points were left hanging.

The discussion was guided by the four factors (leadership and vision, management planning, fiscal planning and operational support) under which this study is exploring organisational capacity. The sample for the focus groups was drawn from all departments with each department creating a focus group. Table 4.3 gives a summarised perception of how each focus group rated each factor of organisational capacity in relation to its influence performance.

Table 4.3: General perception on the influence of capacity on performance

Capacity Factor	Effect on performance per focus group				
	Accounts	**H/Resources**	**Logistics**	**Programming**	**Transport**
Leadership and Vision	Low	High	Low	Moderate	Low
Management Planning	Low	High	High	High	High
Fiscal Planning	High	High	High	High	High
Operational Support	Moderate	High	High	High	High

4.3.5.1 Leadership and vision

All focus groups except one from the human resources thought that leadership and vision have little influence on the total performance of an organisation. Their reasoning was that they do not have a daily or frequent experience with issues that have to do with vision or strategy, so even if there might be an influence on performance, they could not place it well or explain why it is so. However, the programming group had some insight on the issue of community participation saying it is a useful strategy to achieve better project performance because without the cooperation of the community, some projects may lose relevance or projects may be neglected after donor pull-out or there might be deliberate vandalism of created assets by the community as a protest for non-involvement. They said that community buy-in through a participatory approach must not be underrated.

The human resources group had a different perception as they indicated that leadership and vision are key drivers of total performance. Their argument was that there is no better performance that may be achieved without the right people, the right structure and a clear vision of what the organisation wants to achieve and the mission to guide operations. The

group went on to point out that the board of directors must be representative of the interests of both the organisation and all other stakeholders to make sure that strategic objectives are all inclusive and achieved within expected performance and in the process making the purpose of the organisation relevant to the society.

In summary, the discussions on leadership and vision reflected that all focus groups, except human resources do not have a full appreciation of how this factor influences total performance and hence the reason why their rating was a low effect. At some point the logistics group highlighted that it is not within their scope to be discussing issues that has to do with vision because they understood their role to be that of support services rather than looking into the vision of the organisation and the preferred or ideal leadership. So their low perception on the influence of leadership and vision may not be taken as that leadership and vision are irrelevant to total performance but they are just an uninterested party with regard to that issue. What makes human resources have a better understanding on issues of leadership and vision may be attributed to the fact that they deal a lot with administrative matters that have a lot of policy and regulatory implications that relates to the vision and mission of the organisation.

4.3.5.2 Management planning

All the groups understood management planning as an effort by the organisation to get everyone started on his/her job by way of setting up structures that would enable action within defined objectives. They said that its contribution on performance varies between departments depending on each department's flexibility and guiding policy.

The accounts group highlighted that their kind of work is systematic because they follow certain standardised accounting procedures which only need accurate/correct execution by the right people. As such, even though they acknowledge that they are an essential part of the whole system and need to engage with other functions for coordination purposes, they still insist that they are not an active part as a department to contribute meaningfully to total organisational performance. It should be noted that this scenario represents how accounts as a department relates to performance in terms of management planning but the group acknowledged that, outside the accounts department, there is no substitute for management planning if the organisation is to achieve results. This last sentiment from accounts was

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echoed by the rest of the focus groups who said that management planning is a high contributor to organisational performance and that it is important for the following:

- It gives direction and focus to operations
- It keeps the organisation team together through effective communication and creates space for constructive interaction
- It clarifies roles at individual and functional levels
- It lays down systems to assess progress on project activities.

They said that the above combine to give an organization a balanced operating environment that enables everyone to discharge his/her duties in a manner that adds value to the organisation. They said that their discharge of duties is controlled by a strong policy framework relevant to each department that contains guiding procedures to all functional operations.

4.3.5.3 Fiscal planning and practice

This proved to be a cross cutting factor in all focus groups with emphasis put on good financial practice as key to the survival of community based organizations like ORAP. The accounting group was more vocal in encouraging formalisation of accounting procedures and explained how these are beneficial to the organization in terms of building trustworthy relationships with stakeholders, especially donors.

One thing that was passionately spoken about across all groups was the issue of budget allocation. They said that their performance levels are set back by lack of adequate funding caused by lack of a consultative process in budget proposals. As a result, project activity demands more funds than allocated leading to budgetary adjustments that could have been avoided if things were done correctly in the first place. They said that the situation is not made better by underfunding of proposed budgets which usually leads to constant realignment of expenditure, because some budget lines collapse before projects are completed. A summary of possible causes of budget insufficiency is shown as:

- Lack of wide consultations during budget proposals that may lead to under budgeting and omission of critical expenses
- Inadequate funding due to non-availability of fund for the kind of project being implemented

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- The project becoming bigger than anticipated and therefore demanding more funding than allocated
- Failure to properly manage expenditure.

When faced with such budgetary constraints, all the focus groups agreed that project activity becomes plagued by several problems, such as stoppages leading to delayed completion or non-completion at all, poor project outcomes in terms of quality and usefulness, as well as a loss of stakeholder trust.

The logistics and transport groups particularly felt that a lack of budgetary support is their major impediment in performing satisfactorily. They claim that their functions are big cost centers capable of absorbing a significant figure out of the total project budget; but just as the CFO said, donors are not ready to spend much on support services. They said that their situation is made worse by their exclusion from budget proposal meetings in order for them to have a voice for their concerns. Unfortunately, if they (Transport and Logistics) fail to perform, the effect ripples to other departments because mobility will be lost due to broken down vehicles that cannot be repaired, unavailability of fuel and failure to move commodities to recipient communities, thereby interrupting field programming activities.

4.3.5.4 Operational support

There was a general consensus that various initiatives that are meant to facilitate project activity are key to achieving project objectives. They understood operational support to be the provision of right tools, such as adequate and qualified staff and suitable facilities to promote the realisation of organisational goals.

The accounting group narrowed down operational support to their function, especially when it comes in the form of Information Technology equipment, because it brings efficiency by reducing working time and improving accuracy in the discharge of their duties.

All the groups agreed that human resource planning is a starting point towards ensuring desired performance levels. The human resources function must carry out a consultative recruitment process that will culminate in accurate placement of project staff after the consideration of such issues as the number of employees needed, their qualifications, experience and training needs. They went further to say that the duty of the human resources function does not end at recruitment, but it must go on to carry out a continuous skills audit to

ascertain that the available staff competences are still relevant to achieve the required performance. This will lead to the development of staff training programmes that would capacitate the organisational team in dealing with imaging challenges, appreciate technological advancement and accommodate innovation within their ranks.

The programming group was particularly worried about infrastructural development, especially the state of roads and the road networks. They acknowledged that this is a national problem but it affects their access to the remote communities where they are needed most. They said that some communities are not accessible at all due to lack of roads, while some roads are in such a bad state that it is a risk using them or it takes longer than necessary to reach certain points. They said that this is a setback to the organisation's objective of total community inclusion in project implementation. Organisationally, they said ORAP has tried to be supportive to their cause in terms of facilitating their communication and field work through an effective information management system and vehicles.

The human resources group made a special mention of the need to create a long term culture in order to ensure a sustained organisational identity. Their observation of the current scenario was in agreement with the CSO that ORAP has become involved in a lot of cultures to a level that it has lost its uniqueness in the communities where it operates. There was a unanimous recommendation that there must be a reorientation programme for all ORAP members so that the organisational values, norms and practices may be rediscovered.

4.4   SUMMARY OF THE CHAPTER

In this chapter, the following issues were discussed: the research design, the research methodology, the presentation and analysis of the results.

All the planned interviews and focus group discussions were carried out as planned. The senior management team was more inclined towards broader approaches of ensuring required performance, such as guiding policies and operating systems as key instruments in creating fundamental organisational capacity in order to achieve desired performance in line with broader objectives. They (the senior management team) said ORAP must develop its unique internal systems and controls that would in turn produce unique project outcomes that would leave an ORAP footprint.

The focus groups were much concerned with operational enablement for them to be able to discharge their daily or short term deliverables. They emphasised mostly on timely resourcing and engagement at functional level to produce a unified force that would be able to perform within expectation and beyond.

There was a general agreement from both the senior management team and the focus groups that operations must be supported by an adequate budget, a clear vision and an enabling environment in order to achieve expected results.

CHAPTER 5: CONCLUSIONS AND RECOMMENDATIONS

5.1   INTRODUCTION

This chapter will present a summary of findings and analysis of results generated from the preceding chapters. The chapter will also make recommendations that would provide a basis for future research and at the same time spell out future action that would improve capacity development at ORAP. A revisiting of the research objectives are:

- to find out what determines organisational capacity
- to identify specific capacity requirements for project implementation
- to find out how organisational capacity development may affect organisational performance.

The study established four areas in which organisational capacity development may be implemented, which are leadership and vision, management planning, fiscal planning and practice and operational support. This study further established that functions that are being supported by an enabling institutional environment in terms of rules and policies are responsible for developing specific operational plans in order to produce the required performance with the right standards. Throughout the study there was an assessment of how various capacity development initiatives may have an effect on total organisational performance.

5.2   CONCLUSIONS

Conclusions will reflect on how the four capacity factors as presented by the Frederickson's capacity model affect performance in project implementation at ORAP. These capacity factors are:

- Leadership and vision
- Management planning
- Fiscal planning and practice
- Operational support.

5.2.1 Leadership and vision

In order for an organisation to know its key performance requirements, there must be a directing board responsible for vision and mission setting. The mission will tell how an

organisation wants to be identified, while the mission will express how an organisation wants to fulfill its purpose. The board must also create an enabling institutional and policy environment that would support the work of an organisation towards the realisation of its vision by bringing a balance between the interests of an organisation and other stakeholders. The other duty of the directing board is to form alliances which are necessary for resourcing (financial and human), decision-making and actual project implementation.

Community participation as was emphasised by literature and by the president of ORAP, came to the fore as a critical attribute of capacity building which should be seriously considered for any successfully driven planning. As such, community based development initiatives must represent the interests of the community, through a community mobilisation effort that would ensure the participation of community members in the ORAP board and field staff. The community participation approach will ensure interventions that are responsive to the specific needs of the community, a high potential for success and be sustainable over time.

Leadership and vision are important for capacity development since they describe the condition in which the organisation may be able to achieve its goals. If implemented well in the context of a project, there is a high probability that the project will perform as per expectations.

According to the Chief Executive officer, ORAP is lacking an actively involved board in the affairs of an organisation. In addition, as mentioned by the project programming group, the community mobilisation initiative is still not well developed which makes it difficult to fully solicit for community input in community projects.

5.2.2 Management planning

In order for an organisation to achieve its performance goals, it must be able to translate strategy into specific objectives, come up with an execution plan and allocate adequate resources as may be required by different activities. In addition, there must be systems, policies and procedures to guide and focus towards common performance objectives. This is to ensure that the organisation is capacitated to diagnose challenges and make sustainable decisions in line with the vision of the organisation.

It is also important to have a facility that would measure progress during implementation and be able to evaluate project results. This must be so because the organisation has to know whether project activity conforms to planned action so that if there are any deviations they will be detected in time for correction before incurring big losses in terms of time and resources in activities that do not fully support project objectives. It must also be possible to evaluate the intended purpose of the project to ascertain whether the organisation has achieved the desired effect of its intervention in the community.

One other key factor to enhance performance is the setting up of a suitable management structure to achieve expected performances. The management structure would enable the coordination of activities by outlining group and individual responsibilities, thereby enabling everyone to get started on their specific roles. The right management structure would create easy access to important information by stakeholders and organizational staff through information centers, such as coordinating committees, working groups, newsletters, debriefing sessions and meetings. Information centers would also serve as feedback mechanisms to inform all concerned about progress on all phases of project implementation. In turn, access to information helps the team to coordinate well across functions, clears roles at individual and functional levels and gives a balanced operational environment to the organisation.

5.2.3 Fiscal planning and practice

Fiscal planning and practice is a cross cutting function that is there to enforce financial systems, manage the organisational budget and to develop a favourable financial environment to lure the interest of funding partners. ORAP has to carry out a continuous audit and upgrade of financial systems to ensure that the organisation conforms to current and internationally accepted financial management standards. Financial systems audit would also bring some formalization in the accounting procedures that would make them (financial systems) dependable and trusted by the introduction of competitive financial monitoring, transparent reporting and real time financial information. Financial monitoring goes on to promote timeliness, consistency and readiness in financial reporting.

Budgeting is also necessary for giving expenditure guidelines to all activities undertaken by ORAP. More importantly budgeting fosters some discipline in spending because budget lines are allocated specific amounts over specific time periods making it possible to monitor expenditure. Expenditure monitoring then enables the organisation to check the adequacy of

the budget with regard to under-budgeting or over-budgeting on certain budget items and the effect that has on the performance of the project. Budgeting must be consultative to ensure that activities are correctly budgeted for, so that project implementation may not be interrupted because consultative budgeting enables accurate prediction of expenditure and guides the timing of fund disbursements. It cannot be overemphasised that a clear and unequivocal budget is capable of attracting funding considering that most operations at ORAP are dependent on external funding.

ORAP must create a financial environment that is clear of controversies and uncertainties so that funding partners may assign their financial resources to the organisation. To begin with, there must be a political will on a national scale for the funding of social programmes. So ORAP must be able to advise on programmes that are politically sensitive and therefore likely to portray a wrong image to parties involved in the implementation of such programmes. ORAP must also demonstrate fiscal discipline by prioritising financial allocation to areas of essential needs so that value for money may be achieved. This is opposed to prioritising areas that, for example, give precedence to individual interests at the expense of a larger community. This means that social financing must be influenced by genuine needs in the community other than a pursuit of individual fulfillment.

At ORAP, like in any other civil organisation in Zimbabwe, there is a lot of project censoring which is politically motivated and as such donors are not free to fund some projects which are socially correct but deemed politically wrong, especially those that touch on election processes and human rights. This has grossly affected funding at ORAP because the donor community feels that their activities are so much restricted that it may not be possible to fully realize the objectives of community interventions. The other setback at ORAP relates to lack of consultative budgeting. It came up from the group discussions that budget meetings exclude some key functions, such as logistics and transport such that at the end unguided estimations are made to a level that allocated funds are not able to sustain operations.

5.2.4 Operational support

In order for ORAP to function properly it needs the right people, the correct identification and supportive infrastructure. The general feeling especially from the CSO and group discussions is that at the moment ORAP is riddled with operational challenges that have compromised performance in key areas. To begin with, the human resources function has to be actively

involved with the recruitment process to make sure that there is strategic placement of people in support of the vision of the organisation. The recruitment process must also be consultative to make sure that the right skills are acquired for relevant functions. But the important factor is that employees must have an organisational and community fit through proper and adequate orientation on the norms and values of ORAP. The Human Resources function is also tasked with undertaking a continuous skills audit in the organisation against new skills requirements, so that they may be able to immediately respond to staff development or training needs when they arise.

It also came up as pointed out by the chief strategy officer that ORAP's operations must be in conformity with its development philosophy so that the organisation may be identified within the desired context. It therefore means that members of the organisation must always guard against cultural infiltrations and corruption of objectives which may be caused by multi-donor involvement and lack of adequate staff orientation. It was also said by the project programming group that ORAP is operating under difficult infrastructural conditions with regard to road network and road conditions. This has reduced the ability of the organisation to reach out to outlying community areas which in most cases are the neediest. On the other hand, operational costs had been increased by the need to sometimes purchase expensive heavy duty vehicles to manage the rough terrain that characterises rural roads in Zimbabwe.

5.3   RECOMMENDATIONS

Based on the research findings and conclusions, it is recommended that:

- The ORAP executive board must be actively involved in the affairs of the organisation in order to ensure that the vision of the organisation is accomplished through the implementation of strategic objectives.

- The organisation must have liberal information sharing systems so that all stakeholders may operate with fully fledged knowledge of performance expectations and be aware of the environment in which they operate in.

- The community must be fully involved in project activity through community mobilisation initiatives that would motivate communities to propose their projects, mobilise resources and implement the projects.

- Budget proposal processes must be widely consultative and budget meetings must be representative of all functions to ensure correct allocation of financial resources to departments.

- The staff of the organisation must symbolise the interest of the organisation in terms of culture, development philosophy and strategic priorities to bring that unique identity which ORAP prefers.

- There must be a joint negotiation by civic organisations in Zimbabwe with the government and its representatives for a more relaxed policy framework towards civic organisations in order to attract funding for social interventions in Zimbabwe. In addition, the government must be convinced to support the activity of civic organisation by improving the condition of national infrastructures, such as roads for easy access to remote areas for humanitarian objectives and development.

In relation to this study, further research may look into how community identity in relation to ethnicity, religion and region may affect the reception of projects by the community which in turn may determine the extent to which an organisation attains its intended project objectives or the overall development objectives of the community.

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