INTERNATIONAL PLANNED PARENTHOOD FEDERATION AFRICA REGION (IPPFAR)

LEARNING CENTRES

GOVERNANCE MANUAL

Third Edition 2016
This IPPFAR Governance Manual seeks to facilitate a learning process that develops governing competencies of the members of the governing bodies or boards and senior management of IPPF Member Associations. At the end of this learning process, the learners will be able to discover and apply governance knowledge, skills, and practices in general, and IPPF principles of governance in particular, and govern their organization well so it achieves its strategic objectives and is able to improve the sexual and reproductive health status of the communities it serves. The manual is best used for the orientation of new board members and induction of senior managers.

The first edition of the manual was published in 2008 and the second edition in 2013. The second edition had introduced adult learning techniques such as experience sharing and case studies. The third edition further deepens this approach by providing step by step guidance on the delivery of each session using experiential learning approach.

The third edition is made possible by the support of the American people through the United States Agency for International Development (USAID) as part of the Leadership, Management & Governance (LMG) Project. In 2016, the LMG Project worked with the IPPF Africa Regional Office to produce this updated version of the manual.

We hope this edition will be helpful to the Member Associations in their quest for good governance and higher organizational performance.

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<td>Community Based Organization</td>
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<tr>
<td>CSO</td>
<td>Civil Society Organization</td>
</tr>
<tr>
<td>CV</td>
<td>Curriculum Vitae</td>
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<td>ED</td>
<td>Executive Director</td>
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<td>IPPF</td>
<td>International Planned Parenthood Federation</td>
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<td>IPPFAR</td>
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<td>LC</td>
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<td>MA</td>
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<td>MSH</td>
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FOREWORD
Principles and practices that underpin good governance are high on the agenda of International Planned Parenthood Federation Africa Region (IPPFAR). Governments, development partners, Member Associations (MAs), Community Based Organizations (CBOs), and Civil Society Organizations (CSOs) are all focusing on issues of good governance. The driving force behind good governance is the recognition that stakeholders have rights and our MAs have social responsibilities that require them to be accountable, open, and transparent. Additionally, accountability entails that MAs develop and implement measures that enhance good leadership, management, and governance to enhance service delivery. Sometimes, volunteers and managers lack the necessary governance skills to address various challenges associated with governance of MAs for effective delivery of Sexual Reproductive Health and Rights (SRHR) services. Understanding the principles and practices of good governance will therefore increase the capacity of both the volunteers and senior managers to engage in meaningful discussions, resulting in well governed and managed MAs.

This Governance Manual developed by IPPFAR aims to upgrade competences and skills in leadership, management and governance using a mix of approaches that include experiential learning techniques such as presentations, discussions, case studies, and study tours. It was drafted by IPPFAR technical staff, who benefited from the technical review provided by International Planned Parenthood Federation (IPPF) Central Office staff, Member Associations’ Executive Directors, and volunteers. It draws from IPPFAR experience working with MAs in over 40 African countries over the past 60 years and interaction with NGOs, CSOs, CBOs, and other development partners. All of this work enriched both the process and product and we look forward to this being a continuous learning process for all of us.

I would like to thank the organizations who allowed us to adapt their materials for use in this manual. I would particularly like to thank Management Sciences for Health (MSH) for their generosity in sharing their model and materials and the Leadership, Management, and Governance Project (LMG) for updating the 2013 version to provide step by step explanations of the experiential learning methodologies for each session to facilitate the delivery.

Lastly, I would like to thank our staff, volunteers, and Executive Directors who contributed their time, expertise, and experience to develop this manual. With the implementation of this manual, I see a bright future in the governance and management of MAs.

LUCIEN KOUAKOU
REGIONAL DIRECTOR - IPPFAR
1: INTRODUCTION
This Governance Manual has been developed to facilitate a learning process that develops governing body members and senior management teams of MAs. Using this manual provides an opportunity for participants to learn skills that make it possible to face governance and SRHR challenges and achieve measurable results. Apart from sharing, participants are equipped with the skills and knowledge that when applied can make a positive impact at all levels. Our approach to governance development differs from the traditional approach as we emphasize experiential learning using case studies and study tours. This enables participants to link learning to measurable organizational results. This manual enables participants to:

- Learn and apply governance knowledge and skills
- Apply reliable tools when addressing governance challenges
- Produce measurable results that support MA’s mission and shared vision
- Create a climate that supports continuous learning
- Focus on achieving real organizational results

In this edition we have made several improvements that stand out:

- Each session has been updated to include recent research findings and best governance practices
- There is new and expanded coverage of topics such as orientation of governing body members, monitoring and review of MA performance, conflict of interest and visibility, advocacy and championing of SRHR agenda
- We have tailored sessions to an experiential learning approach. In this regard, the manual is more experiential based with step by step explanations on the use of case studies and exercises
- Sessions have been prioritized with some topics such as organization life cycle being omitted
- We have included a web-based application for board assessment, providing all MAs with a web – link access to an on line board assessment tool
- The manual has been enriched with IPPFAR logo, tools and handouts
- The manual has relied heavily on IPPF Governance Handbook

1.1: HOW TO USE THIS MANUAL
This manual is intended to guide facilitators in the implementation of a governance workshop. It presents facilitators with the purpose, objectives, content, and methodology to be applied in each session. Although it explains how to conduct each session, the facilitator has the flexibility to adapt it to suit the specific needs of the audience. The manual is fairly broad covering interrelated topics. Therefore, it’s not mandatory to cover all topics in a given session. In this regard, it is important to conduct a pre-workshop meeting to prioritize which topics should be covered. Some sections can be used as reference materials.

This manual should be used in conjunction with IPPF Governance Handbook, case studies, and study tours as they provide participants with real life situations. This is in line with IPPFAR’s approach of emphasizing experiential learning as a way of ensuring knowledge transfer to the MAs.

This manual has been updated from the 2013 version and will be refined regularly based on feedback from participants and ongoing consultations with other stakeholders.
1.2: LEARNING METHODOLOGY
Learning Centres (LCs) use a blended approach to increase sustainability, effectiveness, and impact of learning. Learning activities are designed and followed up using learner-centred approaches that are multidisciplinary and rely on experiences drawn from different MAs in Africa. Participants learn by doing and then reflect on their experiences in governing. They apply these practices to real challenges and engage in continuous reflection and improvement with other board members. This continuous cycle of application and reflection moves participants through the experiential learning cycle. Participants are encouraged to share knowledge and skills by observing good practices during study visits and drawing on experiences through case studies.

Experiential learning
This manual relies on experiential learning because of the central role experience plays in the learning process. It enables participants to learn as they reflect on everyday experiences at the workplace. In this regard, facilitators are encouraged to use case studies, role plays, group discussions, and study tours to enable participants learn through sharing, reflection, conceptualization, and application as shown in the diagram below.

One of the most valuable aspects of experiential learning is the way in which it allows facilitators to turn every experience into a learning opportunity. The challenge, of course, is that we rarely complete the cycle and leave most potential learning untapped. Below is a brief summary of the stages in experiential learning:

ACT: This stage involves doing something; for example, gathering facts about an incident and determining why it happened. It should stimulate interest, curiosity, and allow participants to start thinking about the incident and subject in question. Present and explain the rationale, importance, and usefulness of the subject for participants.

REFLECT: Encourage participants to look back on their experience and assess the results. Allow participants to determine what happened, what went well, and what didn’t. Participants should tell

![Experiential Learning Cycle Diagram](https://example.com/experiential-learning-cycle.png)
their personal experiences and reactions to them. The group analyzes and thoughtfully reflects on their experiences, all while the facilitator provides guidance in processing the information.

**CONCEPTUALIZE:** Encourage participants to make sense of their experiences. Allow them to seek and understand why things turned out as they did. Draw some conclusions and make some hypotheses.

**APPLY:** Allow participants to test those ideas. Don’t simply re-act; instead, encourage participants to have a conscious plan on how to do things differently and be more effective. Using clarifications and collected findings from previous steps, participants should define/discuss how they want to use these new ideas in their real lives. Participants should answer this question: ‘after this, what’s next?’ and ‘how can I implement what I learned?’

To ensure quality standards, LCs should conduct refresher programs on learning and knowledge-sharing methods for its facilitators. This strategy enables them to benefit from harmonizing learning design, delivery, and administration. In all LC programs, participants are required to prepare action plans for ease of implementation of acquired knowledge and follow ups. LCs will have tools for evaluating learning, its application and effects, and how to inform future learning programs.

Our LCs draw on real experiences facing MAs and provides knowledge that helps them move towards their desired results. The facilitators will allow time for case studies, group work, discussions, learning, and reflection. These are key learning elements in all LCs.

**1.3 OVERALL OBJECTIVE**
To enable participants to understand the concepts of good governance and its relevance in the management and governance of MAs.

Specific objectives of the curriculum include:

- Appreciate the need for Good Governance
- Underscore the roles and responsibilities of MA and Governing Bodies
- Familiarize participants with characteristics of Good Governance
- Understand how to govern MAs effectively and efficiently
- Help Governing Bodies in developing their action and work plans

The curriculum is:

- Based on IPPF Governance Manual
- Designed for all governing body members and senior management teams in MAs
- Adaptable to different delivery approaches that include face to face, study tours and experiential learning
- Provides options to modify the duration and structure of the course without compromising content coverage
- Built around real challenges in MAs with the focus on empowerment rather than merely conferring additional knowledge. These features allow participants from different countries to relate to the curriculum
- Informed by evidence in content and delivery
- Place emphasis on case studies so participants can be prepared to work both as individual and with a teams
SESSION 1: CONDUCTING THE OPENING, INTRODUCTIONS AND OBJECTIVES SETTING

Session Outline

<table>
<thead>
<tr>
<th>ACTIVITIES</th>
<th>TIME</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Registration (before the workshop starts)</td>
<td></td>
</tr>
<tr>
<td>1.2 Workshop opening</td>
<td>5 minutes</td>
</tr>
<tr>
<td>1.3 Introductions</td>
<td>5 minutes</td>
</tr>
<tr>
<td>1.4 Review of agenda</td>
<td>5 minutes</td>
</tr>
<tr>
<td>1.5 Setting training objectives</td>
<td>40 minutes</td>
</tr>
<tr>
<td>1.6 Establish group norms and behavioral objectives</td>
<td>5 minutes</td>
</tr>
<tr>
<td>1.7 Housekeeping (optional)</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>1 hour</td>
</tr>
</tbody>
</table>

1. **Registration**
   The facilitator should:
   
   i. Hand out the prepared registration form for participants to confirm their information (postal and physical address, email, telephone) (Annex 1)
   
   ii. Collect the registration forms once participants have confirmed their information
   
   iii. Provide prepared name tags or ask participants to fill out their own

2. **Workshop opening**
   (Facilitator develops a separate time table for this activity to prepare the participants for the workshop-- e.g. executive director of the Learning Centre MA and other stake holder representatives)

   On the morning of the first day, welcome participants and officially open the workshop. The session should not take more than 20 minutes; however, an official workshop opening can be an advocacy tool in itself and is important to bring attention to the organization and agenda. Invited guests if any should include project partners and coalition members.

3. **Introductions**
   There are different ways to innovatively conduct the introduction session. The facilitator may ask trainees to sit in a circle and have everyone say their name and then the group will repeat the exercise, this time saying the name of the person on the right/left. (This is usually an icebreaker that effectively helps participants interact more freely in latter sessions)

   Alternatively, participants could be asked to sit in pairs, preferably with someone they have never met, and introduce each other using any of the following options or one selected by the trainer: name, organization, country, one expectation for the workshop, what one likes/doesn’t like, or family issues, such as marital status if desired.

4. **Review of Agenda**
   The facilitator should review the workshop agenda with the participants, especially the start, end and break times and get a consensus.
5. **Setting training objectives**  
Discuss participants’ expectations. This can be done in various ways; the facilitator may:

i. Ask participants to work in pairs or small groups to write their expectations and share them  
ii. Conduct a discussion in plenary  
iii. Have participants write individual expectations; facilitator collects the papers and consolidates them on flipchart for reference and comparison, with objectives set for the training (PPT slide)  

The facilitator consolidates the training objectives using the power point slides.

6. **Establish Group Norms and behavioral objectives**  
The facilitator should:

i. Explain that the next exercise is meant to establish norms with the group  
ii. Ask participants how they can help make the learning more effective during the training  
iii. Records answers on flipchart and give additional suggestions if needed  
iv. Paste the flipchart on the wall for trainees to refer to during the training  

The norms may include the following but are not limited to:

**Do’s**
- Listen  
- Ask questions  
- Share personal examples  
- Ask for help/clarity  
- Think about how the training applies to your work  
- Participate in discussion – everyone should have a chance to speak  
- Voice opinions  
- Respect everyone’s opinions and culture  
- Dress appropriately  

**Don’ts**
- Be late  
- Try to memorize everything  
- Sleep during the training  
- Talk while someone else is talking  
- Receive calls on cell phones (put them on silence or vibration mode)

7. **Housekeeping teams (optional)**  
The facilitator can choose to:  
Organize the participants into groups, which can be the same groups used throughout the workshop. Each day these groups will be responsible for rotating responsibilities, including: class president, conducting daily recaps, keeping and conducting energizing exercises after break or lunch. Other responsibilities may be included such as providing feedback to the trainers at the end of the day, and organizing social welfare/entertainment activities.
SESSION 2: OVERVIEW OF IPPF AND GOVERNANCE

Session outline

<table>
<thead>
<tr>
<th>SESSIONS</th>
<th>TIME</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 Overview of IPPF</td>
<td>30 minutes</td>
</tr>
<tr>
<td>2.2 IPPF governance structures</td>
<td>15 minutes</td>
</tr>
<tr>
<td>2.3 Importance of governance</td>
<td>45 minutes</td>
</tr>
<tr>
<td>2.4 Orientation of new governing body members (Optional session or reference materials for facilitators)</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>1 hour 30 min</td>
</tr>
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SESSION 2.1: Overview of IPPF

Purpose of the session
To enable participants to appreciate IPPF’s structure and role in promoting SRHR in Africa

Objectives
By the end of the session, participants should be able to:
1. Discuss the role of IPPF in promoting SRHR around the world and specifically in Africa
2. Present the structure of IPPF and its relationship with MAs

Session outline
1. Role of IPPF
2. Structure of IPPF
3. IPPF as a Rights-Based Organization

Facilitation materials
- Power point presentation giving the role of IPPF
- LCD projector
- Flipcharts

Session delivery

Activity: Interactive presentation on the role of IPPF: IPPF as right-based organization and IPPF board structures. (30 minutes)

Step 1: Start the session by asking participants to work in pairs and discuss the question:
- What is the role of IPPF in promoting SRHR?
Step 2: Give participants the opportunity to share their answers in plenary
Step 3: Take notes on the flipchart and summarize the participant’s comments.
Step 4: Using the PowerPoint presentation, discuss IPPF’s role in promoting SRHR around the world and specifically Africa and present the structure of IPPF and its relationship with MAs.
SESSION 2.2: IPPF/MA governance structure

Purpose of the session
To enable participants to understand IPPF and MA’s governance structures

Objectives
By the end of the session, participants should be able to:
1. Discuss IPPF/MA’s governance structures
2. Explain the governance structure of MAs

Session outline
1. MA governance structure
2. Governance structures of MAs with branches and those without branches

Facilitation materials
- Power point presentation on governance structures
- LCD projector
- Flipcharts

Session delivery

Activity: Interactive presentation on member association’s governance structure (15 minutes)
Using the governance member association’s organograms in the PowerPoint, explain the role of each entity within the governance structure

SESSION 2.3: Importance of governance

Purpose of the session
To ensure that participants understand the relevance of governance in MAs

Session Objectives
By the end of this session the participants will be able to:
1. Define the meaning of good governance as applied in MAs
2. Distinguish the difference between governance and management
3. Explain the four practices of good governance
4. Identify examples of effective application of governance practices by Governing Bodies
5. Identify examples of weak application of governance practices by Governing Bodies

Session outline
1. Meaning of governance and management as applied in MAs
2. Governance vs management in MAs
3. Four practices of good governance
4. Effective application of governance practices by Governing Bodies
5. Weak application of governance practices by Governing Bodies

Facilitation materials
- Power point presentation on governance and management
- Handout 1: Four governance practices
- LCD projector
- Flipcharts
• Half letter size cards or papers and markers (2 cards per participant)

Session delivery

Activity 1: Interactive presentation: “Governance definition and practices” (15 minutes)

Step 1: Start the session by writing the words “Governance” and “Management” on flipcharts
Step 2: Distribute cards and ask participants to individually (if the group is small, or in pairs if the group is of 8 or more) write on one card what management means and on another card what governance means
Step 3: Collect the cards and arrange them on the wall placing similar definitions together and read them
Step 4: Summarize the ideas proposed by participants and use the LCD to present the definitions and practices of governance and management

Activity 2: Group exercise on good and weak application of governance practices (30 minutes)

Step 1: Distribute the handout: Four governance practices
Step 2: Divide everyone in four groups and distribute one of the four governance practices to each group
Step 3: Give the groups 15 minutes to analyze the practice assigned to them and prepare:
   • One example of a good application of the practice
   • One example of the lack of application of the practice
   • One example of intruding in the management team responsibilities
Step 4: Ask participants to present their practice and examples of good or bad applications

SESSION 2.4: Orientation of new governance members

If nobody knows what they are governing, they will never be able to govern well. It may seem an obvious fact but this is often forgotten.

Note: This session is optional. It is more for facilitators or for the orientation committee (if it exists). It is not included in the three day orientation agenda proposed in the Appendix 1

Purpose of the session
To make participants aware of the process of educating and integrating new board members in the MAs

Objectives
By the end of the session, participants should be able to:
1. Explain the importance of board orientation
2. State what the governing body governs
3. Outline a formal orientation process
4. Create an orientation information pack for a given country

Session outline
1. Importance of board orientation
2. Formal orientation process
3. Introduction to the MA and board functions
4. Board handbook/information pack
Facilitation materials
- IPPF Handbook Appendix 1: *How to have a successful orientation meeting*
- IPPF Handbook Appendix 2: *Governing body orientation chart*
- IPPF Handbook: *Governing body member knowledge and awareness*, pages 7-10
- Board handbook/information pack
- LCD projector
- Flipcharts

Session delivery
- Plenary discussions on board orientation
- Group discussion on board induction
SESSION 3: THE GOVERNING BODY ENSURES MEMBER INTEGRITY AND COLLECTIVE RESPONSIBILITY

Session Outline

<table>
<thead>
<tr>
<th>SESSIONS</th>
<th>TIME</th>
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</thead>
<tbody>
<tr>
<td>3.1 Roles and responsibilities</td>
<td>60 minutes</td>
</tr>
<tr>
<td>3.2 Code of conduct</td>
<td>45 minutes</td>
</tr>
<tr>
<td>3.3 Conflict of interest</td>
<td>45 minutes</td>
</tr>
<tr>
<td>Total</td>
<td>2 hour 30 min</td>
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SESSION 3.1: Roles and responsibilities

**Purpose of the session**
To enable participants to understand the roles and responsibilities of a governing body member

**Objectives**
By the end of the session, participants should be able to:
1. Discuss the responsibilities of board members
2. Explain the roles and responsibilities of the board
3. Explain the importance of collective responsibility
4. Describe the differences between the board governing and management roles

**Session outline**
1. Responsibilities of governing body members
2. Role and responsibilities of the board
3. Importance of collective responsibility

**Facilitation materials**
- Power point presentation on roles and responsibilities of a board member
- Handout 4: *Case Study: Mr. Mwangi versus the board*
- Handout 5: *Roles and responsibilities of the governing body*
- LCD projector
- Flipcharts

**Session delivery**

**ACTIVITY 1: Interactive presentation on board member’s key responsibilities and the board’s roles and responsibilities. (15 minutes)**

Step 1: Start the session asking participants to discuss the following question in pairs:
- What is the main role of board members and how is different from the executive director’s role?

Step 2: Give participants the opportunity to share their answers in plenary

Step 3: Summarize participant’s comments and, using their own ideas, explain the role of the governing body and board members

Step 4: Using the PowerPoint presentation, explain the importance of the governing body and its main responsibilities
**ACTIVITY 2: Case Study: Mr. Mwangi vs the governing body (45 minutes)**

Step 1: Divide participants in subgroups of three to five people
Step 2: Distribute the handout: *Case Study: Mr Mwangi vs the Governing body*
Step 3: Give the groups 30 minutes to read the case study and discuss the questions:
   - What do you believe is the Board’s responsibility and what is the responsibility of the Executive Director, Mr. Mwangi?
   - What are the two main areas of conflict between the Board and management?
   - What specific suggestions would you make to Mr. Mwangi and the Board to resolve these problems?
Step 4: Ask the groups to present their answers in plenary (complete their analysis as needed)
Step 5: Distribute Handout 2 and ask participants to read aloud the different roles and responsibilities of the board
Step 6: Wrap up by showing the last two slides from the power point explaining how the two roles are complementary and the importance of respecting and avoid interfering with the executive director role

**SESSION 3.2: Code of conduct**

**Purpose of the session**
To enable participants to understand the standards of behavior expected of members

**Objectives**
By the end of the session, participants should be able to:
1. Explain the importance of code of conduct
2. Propose a sample code of conduct

**Session outline**
1. Importance of code of conduct
2. How to develop and implement code of conduct

**Facilitation materials**
- Power point slides with code of conduct definition
- LCD projector
- Flipcharts and markers
- IPPF Handbook in Appendix 4 *A model governing body member code of conduct*, page 69

**Session delivery**

**ACTIVITY: Team exercise: Developing the ten board member commandments (45 minutes)**

Step 1: Start the session by using the LCD projector to briefly explaining the importance of having a code of conduct (5 minutes)
Step 2: Divide participants in groups of four to six (try to maintain a gender and youth balance within the groups)
Step 3: Ask participants to open their IPPF Handbook to Appendix 4: *A model governing body member code of conduct*, page 69
Step 4: Give participants 30 minutes to develop the ten board member commandments based on the code of conduct example in Appendix 4. They can start each commandment with I will...
Step 5: Ask participants to write their ten commandments on a flipchart and post them on the wall.
Step 6: In plenary, have each group read their ten commandments.
Step 7: Form a small commission with one member from each group to integrate each group’s ten commandments into one list and propose it to the group in the following meeting.

SESSION 3.3: Conflict of interest

Purpose of the session
To enable participants to understand the importance and implication of conflict of interest.

Objectives
By the end of the session, participants should be able to:
1. Explain the meaning and importance of conflict of interest
2. Understand how to manage conflict of interest

Session outline
1. Meaning and importance of conflict of interest
2. Implications of conflict of interest
3. Managing conflict of interest

Facilitation materials
- Handout 6: Case study: Who should be employed?
- LCD projector
- Flipcharts
- IPPF Handbook: Principle 1, page 15

Session delivery

ACTIVITY: Case Study: Who should be employed? (45 minutes)

Step 1: Ask participants to open their IPPF Handbook to Principle 1 (page 15) and read the section Conflict of Interest. Have one participant read aloud each of the five paragraphs.
Step 2: Divide the participants in groups of three to five.
Step 3: Distribute the handout: Case Study: Who should be employed?
Step 4: Give the groups 20 minutes to read the case study and discuss the questions:
   - In this case study, who is in conflict of interest and why?
   - How can the situation be handled to manage the conflict of interest?
   - What other potential situations of conflict of interest do boards usually face?
   - What can be done to prevent conflict of interest?
Step 5: In plenary, ask the groups to present their answers (complete their answers as needed).
SESSION 4: THE GOVERNING BODY DETERMINES THE ORGANIZATION’S STRATEGIC DIRECTION AND POLICIES

Session Outline

<table>
<thead>
<tr>
<th>SESSIONS</th>
<th>TIME</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1 The association’s strategic direction</td>
<td>1 hour 45 minutes</td>
</tr>
<tr>
<td>4.2 The governing body and policy setting</td>
<td>1 hour 15 minutes</td>
</tr>
<tr>
<td></td>
<td>Total 3 hour</td>
</tr>
</tbody>
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SESSION 4.1: The association’s strategic direction

Purpose of the session
To enable participants to understand the importance of setting MA’s strategic direction in order to deliver on its mission, goals, and objectives

Objectives
By the end of the session, participants should be able to:
1. Explain the importance of setting the strategic direction
2. Outline the strategic planning process
3. Explain the status of the association’s strategic plan

Session outline
1. Purpose and importance of setting the strategic direction
2. Strategic planning process
3. Monitoring the strategic plan’s implementation

Facilitation materials
- Power point slides on strategic planning
- Current MA strategic plan
- LCD projector
- Flipcharts
- IPPF Handbook: The governing body determines the organization’s strategic direction and policies, pages 17-20

Note: Invite the Executive Director and/or the Board Chair (one or two persons that were involved in the strategic planning process) to this session to be interviewed by the group

Session delivery

ACTIVITY 1: Team exercise: Analyzing the association’s strategic plan (60 minutes)

Step 1: Start the session by asking participants:
• Why the strategic plan is important for the association?
• Why the board should be involved?
Step 2: Using the LCD projector, summarize participant’s responses and briefly explain the governing body’s role in setting the association’s strategic direction (5 minutes)
Step 3: Ask participants to open their IPPF Handbook to Principle 2: The governing body determines the organization’s strategic direction (page 18) and read aloud the ten steps of the strategic planning process (10 minutes).

Step 4: Distribute copies of the association’s strategic plan and divide participants in three groups. Have each group analyze a different piece of the strategic plan and answer the following questions: (30 minutes)

**Group 1: Where are we now?** What key community’s needs is the association responding to? What are the opportunities and constrains that will affect the association?

**Group 2: Where do we want to go?** What are the association’s key strategic goals?

**Group 3: How will we get there?** What are the key association strategies needed to achieve its goals and objectives?

Step 5: Ask participants to write their findings on a flipchart to share in plenary

Step 6: In plenary, have each -group present their work (15 minutes)

**ACTIVITY 2: Interview, how the strategic plan was developed (45 minutes)**

Step 1: Ask participants to remain in the same groups from the previous activity

Step 2: Explain the importance of having a good process to develop the strategic plan and that the participants will have the opportunity to investigate how the current plan was developed (5 minutes)

Step 3: Introduce the Executive Director (or chair of the board) and explain that they were invited for the group to interview them about how the strategic plan was elaborated, implemented, and monitored

Step 4: Give participants 15 minutes to prepare questions related to the strategic plan process, for example:

- When was the strategic plan elaborated? Are there plans to update it?
- Who participated in its elaboration? How did people participate?
- How was the governing body involved?
- Is the strategic plan related to the operational plans? How?
- Are the community’s needs identified in the strategic plan analysis being address? How? Which ones?
- How is the strategic plan monitored?

Step 5: Have participants write down their questions for the interviewee

Step 6: In plenary, have each group take turns asking their questions

Step 7: Close the session by summarizing the key aspects of a good process to develop, implement, and monitor the strategic plan

**SESSION 4.2: The governing body and policy setting**

**Purpose of the session**
To enable participants to understand the importance and process of preparing polices, manuals, and strategies

**Objectives**
By the end of the session, participants should be able to:
1. Explain the importance of setting policies
2. Outline the policy preparation process
3. Describe the most important MA policies

**Facilitation materials**
- Power point slides on policy
Session outline

ACTIVITY: Team exercise: Developing an association policy (1 hour 15 minutes)

Step 1: Divide the group in three groups
Step 2: Invite participants to develop a draft policy similar than the one described in the IPPF Handbook’s Appendix 6: Conflict of interest policy (50 minutes)
   - **Group 1** will develop an Advocacy and External Relations Policy
   - **Group 2** will develop a Resource Mobilization Policy
   - **Group 3** will develop a Human Resources Recruitment Policy
Step 3: To guide their work, suggest they read the Policies section on pages 20-21 in their IPPF Handbook
Step 4: Explain how each policy should have three sections:
   - General description of the policy content; for instance: what the association understands as conflict of interest, why the policy is important, who is obligated to follow it
   - Examples of good practice in the area of the policy (advocacy, resource mobilization, human resources recruitment)
   - Obligations to the governing body members or staff in this area
Step 5: Ask participants to write examples of good practice in their area on a flipchart to share in plenary
Step 6: In plenary, have each group present their work (20 minutes)
Step 7: Conclude the session by using two slides to summarize the importance of developing policies (5 minutes)
SESSION 5: THE GOVERNING BODY APPOINTS AND SUPPORTS THE EXECUTIVE DIRECTOR

Session Outline

<table>
<thead>
<tr>
<th>SESSIONS</th>
<th>TIME</th>
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</thead>
<tbody>
<tr>
<td>5.1 Selecting supporting and assessing the executive director</td>
<td>2 hours 30 minutes</td>
</tr>
<tr>
<td>5.2 Effective interpersonal relationships</td>
<td>45 minutes</td>
</tr>
<tr>
<td>5.3 Managing conflict (optional)</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>3 hours 30 min</strong></td>
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</tbody>
</table>

SESSION 5.1: Selecting, supporting, and assessing the performance of an executive director

Purpose of the session
To enable participants to understand the standard process for recruiting, inducting, supporting, and assessing the performance of an executive director

Objectives
By the end of the session, participants should be able to:
1. Describe the importance and process of recruiting and selecting an executive director
2. Explain the importance of supporting the executive director
3. Propose the process to assess the executive director’s performance

Session outline
1. Process of selecting an executive director
2. Importance of supporting the executive director
3. Assessing performance of the executive director

Facilitation materials
- Power Point slides on the governing body’s role to assess the executive director
- Handout 5: Case Study: Importance of supporting the executive director
- IPPF Handbook: Appendix 11: An appraisal checklist for presidents and executive directors
- IPPF Handbook: Appendix 13: Sample executive director appraisal form
- LCD projector
- Flipcharts
- Flash cards

Session delivery

ACTIVITY 1: Team work: Process of selecting the executive director (30 minutes)

Step 1: Divide the participants in groups of three to five people
Step 2: Give the participants 20 minutes to read the *Why is it important* and *Selecting an Executive Director* sections from Principle 3 in the IPPF Handbook, page 25-26, and discuss the following questions:

- Why is selecting the executive director important?
- What is the board’s role in selecting the executive director?
- What are the key steps in the process of selecting the executive director?

Step 3: In plenary, have each group present their answers (if needed, summarize and complete their responses)

**ACTIVITY 2: Case Study: Importance of supporting the executive director**

(45 minutes)

Step 1: Divide participants in groups of three to five people

Step 2: Distribute the handout: *Case Study: "Supporting the new executive director”*

Step 3: Give each group 30 minutes to read the case study and discuss:

- What are the issues in this case?
- What are the consequences of not supporting the new executive director?
- What are the board chair’s key responsibilities to support the executive director?

Step 4: Ask the groups to present their answers in plenary (complete their analysis as needed)

**ACTIVITY 3: Team exercise: Assessing performance of the executive director**

(75 minutes)

Step 1: Start the session by asking participants:

- Why an appraisal system for the executive director is needed?
- Why the board should be involved?

Step 2: Use the LCD projector to summarize participant’s responses and explain the governing body’s role in assessing the executive director’s performance (10 minutes)

Step 3: Have participants open their IPPF Handbook to Appendix 11: *An appraisal checklist for presidents and executive directors*, pages 79-80, and take turns in reading aloud each of the actions and identify who’s responsible for that action (15 minutes)

Step 4: Divide the participants in three groups and ask them to open their IPPF Handbook to Appendix 12 and 13, page 81-85

Step 5: Have the group practice filling in an executive appraisal form using the following guidelines: (30 minutes)

- Review each section of the sample executive director appraisal form (Appendix 13)
- Write a comment on three of the nine items on page 84 using the sample prompt sheet on page 81 as reference
  - Group 1 will work on the three first items: Direction/leadership; Direction/strategic thinking and planning; Direction/delivery of results
  - Group 2 will work on the second three items: Management and communication/communication; Management and communication/management of people; Management and communication/management of financial and other resources
  - Group 3 will work on the third three items: Personal contribution/personal effectiveness; Personal contribution/expertize; Personal contribution/intellect, creativity and judgement
- Propose one example of a key target/objective and indicator that can be used on page 85

Step 6: Ask participants to write their example of an objective with a target and indicator on one flash card, and each comment for page 84 on another flash card
Step 7: On two flipcharts, write “objectives” on one and “qualitative appraisals” on the second. Collect the flash cards and arrange them on the corresponding flipchart. Step 8: Have participants read the objectives and qualitative appraisals and make comments about the instrument (20 min)
Step 9: Close the session by saying there were many different instruments to evaluate performance and the most important thing is the executive director and the board come to an agreement on the process and instrument and follow a structured process like the one suggested by the checklist in Appendix 11

SESSION 5.2: Effective interpersonal relationships

Purpose of the session
To enable participants to understand the importance of effective interpersonal relationships

Objectives
By the end of the session participants will be able to:
1. Explain the relationship between the governing body, and chairperson with the executive director and association staff
2. Propose actions to avoid potential difficulties in the relationship between governing bodies chairperson, executive director, staff, and individual governing bodies members

Session outline
Relationship between:
1. The chairperson and the executive director
2. Individual governing body members and the chairperson
3. Individual governing body Members and the executive director
4. Individual governing body members and staff
5. Informal Relationships

Facilitation materials
- IPPF Handbook: Principle 3: The governing body appoints and supports the executive director, pages 26-27
- LCD projector
- Flipcharts

Session delivery

ACTIVITY: Group discussion: Effective interpersonal relationships (45 minutes)

Step 1: Ask participants to open their IPPF Handbook to Principle 3: The governing body appoints and supports the executive director, pages 26-27, taking turns reading aloud each paragraph, starting with Governing body/staff relations (15 minutes)
Step 2: Divide the group in three groups and give them 30 minutes to compare the relationships as outlined in the handout with what exists in their associations and answer the following questions:
   o What differences do you notice?
   o What lessons can we learn from this relationship?
Step 3: In plenary, have participants share the lessons they identified comparing the reality with the suggestions in the handbook (take notes on flipcharts and discuss how they can use these lessons in their day to day interactions with the association) (15 minutes)
SESSION 5.3: Conflict management

Note: This session is optional. It is not included in the three day orientation agenda proposed in Appendix 1 and content doesn’t appear in the IPPF Handbook. The facilitator needs to have knowledge and experience managing this theme to add content and step by step methodology to deliver the session.

Purpose of the session
To enable participants to understand how to manage conflicts in MAs

Objectives
By the end of the session participants will be able to:
1. Discuss common types of conflicts in MAs
2. Explain conflict resolution approaches

Session outline
1. Types of conflicts in MAs
2. Conflict resolution approaches

Facilitation materials
- Power point presentation on conflict management
- LCD projector
- Flipcharts

Session delivery
- Plenary discussion on conflict management
- Case study
- Group discussion on how MAs manage conflicts
SESSION 6: THE GOVERNING BODY MONITORS AND REVIEWS THE ORGANIZATION’S PERFORMANCE

Session Outline

<table>
<thead>
<tr>
<th>SESSIONS</th>
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<td>6.1 Performance indicators and reports</td>
<td>2 hours 15 minutes</td>
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<tr>
<td>6.2 Compliance to statutory/Donor/IPPF requirements (optional)</td>
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<tr>
<td>Total</td>
<td>2 hours 15 minutes</td>
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</tbody>
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SESSION 6.1: Performance indicators and reports

Purpose of the session
To ensure participants understand performance indicators and reports and utilize them for decision making

Objectives
By the end of the session participants will be able to:
1. Explain the importance of performance reports
2. Identify key indicators to monitor performance
3. Utilize performance indicators and reports to monitor resources and implementation of programs

Facilitation materials
- Power point presentation on the role of the governing body to monitor the organization’s performance
- LCD projector
- Flipcharts
- IPPF Handbook: Principle 4: The governing body monitors and reviews the organization’s performance, pages 33-36
- Handout 6: Input, output, outcome and impact indicators
- Invite the executive director and programs director to answer questions about how they monitor performance

Session outline
1. Importance of reviewing organization performance
2. Types of performance reports and reporting formats
3. Performance indicators
4. How to use indicators and reports to monitor performance

Session delivery

ACTIVITY 1: Team exercise: Indicators to monitoring performance (75 minutes)

Step 1: Introduce the session by asking participants:
- Why is it important for the governing body to monitor the organization’s performance?
- Without being present in the organization’s day-to-day activities, how can the governing body monitor performance?
Step 2: Use the LCD projector to summarize participant’s responses and explain the governing body’s role in monitoring the organization’s performance (15 minutes)

Step 3: Ask participants to open their IPPF Handbook to Principle 4: *The governing body monitors and reviews the organization’s performance* and have participants take turns reading aloud each paragraph related to “Indicators” (if needed, explain each type of indicator) (15 minutes)

Step 4: Divide the group in pairs or trios and distribute Handout 6: *Input, output, process, and outcome and impact indicators*

Step 5: Have participants classify the indicators in the handout according to input, process, output, outcome, and impact (15 minutes)

Step 6: Ask participants to write on separated sheets of paper two examples of each type of indicator that they think will be useful to monitor the organization’s performance (15 minutes)

Step 7: Put labels of the different type of indicator on the wall: “Input,” “Output,” “Process,” “Outcome,” and “Impact”

Step 8: Ask participants to paste their sheets below the corresponding label according to the type of indicator on their sheets

Step 9: In plenary, review each group of indicators verifying they are located under the correct group (15 minutes)

Step 10: Summarize the session by explaining the importance of having a group of key indicators that can show the governing body how the organization is performing (the indicators should be carefully selected so a few of them can provide the entire picture of the organization’s performance)

**ACTIVITY 2: Interview, how to monitor performance? (60 minutes)**

Step 1: Ask participants to continue working with their group from the previous activity

Step 2: Introduce the exercise by explaining the importance of having a good process to monitor the organization’s performance and explain that the participants will have the opportunity to investigate how the organization is monitoring its performance and what kind of reports they can use to do this monitoring (5 minutes)

Step 3: Explain that you have invited the executive director (and other directors) to interview about how they are monitoring different aspects of performance and what kind of reports they share with the governing body for their own monitoring

Step 4: Give participants 20 minutes to prepare questions to investigate what kinds of reports the organization prepares for the governing body and how the organization is monitoring different areas: human resources, contraceptives and other drugs, equipment, programmatic activities, and finances

Step 5: Have participants write their questions and have them ready to present to the interviewee

Step 6: In plenary, facilitate the interview by having each group take turns asking their questions (ahead of time, prepare a list of questions in case participants don’t cover all critical areas; for example you could ask: (30 minutes)

- How do you monitor programmatic activities?
- Do you have specific indicators that you monitor?
- How do you monitor stocks of medical supplies?
- How do you monitor the status of equipment?
- How do you monitor staff positions fulfilled, performance, and satisfaction?
- What kind of reports do you share with the governing body?

Step 7: Close the session by summarizing the key reports the governing body will receive to be able to monitor the organization performance (5 minutes)
SESSION 6.2: Compliance to statutory, donor, and IPPF requirements

Note: This session is optional. It is not included in the three day orientation agenda proposed in Appendix 1 and content doesn’t appear in the IPPF Handbook. There is a need to have an IPPFARO representative to facilitate this session

Purpose of the session
To ensure that participants understand importance and benefits of complying with all statutory requirements

Objectives
By the end of the session participants will be able to:
1. Ensure that MAs comply with all statutory requirements
2. Monitor compliance

Session outline
1. Importance of compliance with statutory requirements
2. Types of compliance with statutory, donor, and IPPF requirements
3. How to monitor compliance

Facilitation materials
- Compliance reports
- Flipcharts
- Handouts
- IPPFARO guest speaker

Session delivery
- Presentation about statutory requirements by guest speaker
- Group discussion on compliance with statutory, donor, and IPPF requirements
SESSION 7: THE GOVERNING BODY PROVIDES EFFECTIVE OVERSIGHT OF THE ORGANIZATION’S FINANCIAL HEALTH

Session Outline

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<td>7.2</td>
<td>Risk management strategies and internal control system</td>
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<td>7.3</td>
<td>Resource mobilization</td>
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<tr>
<td>7.4</td>
<td>Appointment of External Auditors (optional)</td>
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<td>Total</td>
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SESSION 7.1: Financial oversight

Purpose of the session
To ensure that participants understand the importance of providing effective oversight of the organization’s financial health.

Session objectives
By the end of the session participants will be able to:
1. Explain the importance of providing financial oversight
2. Explain the concept of accountability used in MAs
3. Describe the governing body’s role of approving annual programs and budgets
4. Propose key questions to analyze the financial statements

Session outline
1. Importance of financial regulations
2. Importance of accountability to members
3. Budgeting process and approval of annual programs and budgets
4. Use of annual financial reports
5. Monitoring the organization’s financial health

Facilitation materials
- Power point presentation on financial regulations and accountability
- IPPF Handbook: Principle 5: The governing body provides effective oversight of the organization’s financial health, pages 39-41
- Handout 7: Case Study: Ficticia financial statements
- Handout 8: Ten key financial questions governing body members should ask
- LCD projector
- Flipcharts

Session delivery

ACTIVITY 1: Interactive presentation: Importance of financial regulations and accountability (30 minutes)

Step 1: Start the session asking participants: (15 minutes)
• How can the governing body provide financial oversight?
• Is the governing body accountable for the association’s financial health? Why?

Step 2: Use the LCD projector to summarize participant’s responses and explain the governing body’s role in providing financial oversight and being accountable of the association’s financial health (15 minutes)

**ACTIVITY 2: Case Study: Analyzing Ficticia financial statements (90 minutes)**

**Step 1:** Ask participants to open their IPPF Handbook to Principle 5: *The governing body provides effective oversight of the organization’s financial health*, pages 41-45, and read the paragraphs related to budgeting and monitoring and reporting (10 minutes)

**Step 2:** Use the power point presentation to explain the basic concepts of the balance sheet and income and expenditure statements (15 minutes)

**Step 3:** Divide the group into groups of two to three persons

**Step 4:** Distribute copies of the Handout 7: *Case Study: Ficticia financial statements*, Handout 8: *Ten key financial questions governing body members should ask*, and copies of the power point presentation.

**Step 5:** Have participants analyze the Ficticia financial statement and answer the case study questions (40 minutes)

**Step 5:** In plenary, ask participants to share their findings and discuss what kind of information is needed to answer the last four questions from Handout 8 (20 minutes)

**Step 4:** Close the session by reinforcing the importance of making a comprehensive analysis, rather than taking some information in isolation (5 minutes)

**SESSION 7.2: Risk management strategies and internal control system**

**Purpose of the session**
To enable participants to understand the importance of managing risks and having an effective internal control system

**Objectives:**
By the end of the session participants will be able to:
1. Explain the importance of risk management and internal control systems
2. Describe the risk management process and its relationship with the internal control system
3. Propose strategies for risk management

**Session outline**
1. Risks facing MAs
2. Risk assessment and management process
3. Internal control systems
4. Responsibilities for internal control

**Facilitation materials**
- IPPF Handbook: Principle 5: *The governing body provides effective oversight of the organization’s financial health*, pages 42-44
- IPPF Handbook: Appendix 18: *Risk management checklist for governing bodies and their members*, page 106
- LCD projector
- Flipcharts
- Handout 9: *Sample list of risk categories*
Session delivery

**ACTIVITY: Team exercise: Identifying key association risks and proposing strategies to mitigate them (60 minutes)**

Step 1: Ask participants to open their IPPF Handbook to Principle 5: *The governing body provides effective oversight of the organization’s health* and read the sections related to internal control system pages, 43-446. Have participants take turns reading each paragraph aloud (10 minutes)

Step 2: Divide participants in groups of three to five, try to maintain a gender and youth balance among groups

Step 3: Distribute Handout 9: *Sample list of risk categories*. Give participants 20 minutes to identify five critical examples of risks they think the organization is facing, keeping them as specific as possible, and propose strategies to minimize or manage these risks; for instance: the risk of drivers having car accidents and the financial and legal consequences

Step 4: Ask participants to write their five risks on a flipchart and post them on the wall

Step 5: In plenary, have each group present their strategies to manage the risks they identified

Step 6: Close the session by asking participants to open their IPPF Handbook to Appendix 18 and read the *Risk management checklist for governing bodies and their members* to identify their responsibilities to prevent and manage risks

**SESSION 7.3: Resource mobilization**

**Purpose of the session**
To ensure that participants understand the importance of getting involved in resource mobilization

**Session objectives**
By the end of the session participants will be able to:
1. Explain the importance of mobilizing resources
2. Outline the resource mobilization process
3. Propose strategies for resource mobilization

**Session outline**
1. Resource mobilization process
2. Resource mobilization strategies

**Facilitation materials**
- IPPF Handbook: Principle 5: *The governing body provides effective oversight of the organization’s financial health*, pages 46-47
- LCD projector
- Flipcharts
- Handout 10: *Resource mobilization strategies proposal. Terms of reference*

**Session delivery**

**ACTIVITY: Consultancy firms competition: Resource mobilization strategies (60 minutes)**

Step 1: Organize the participants in groups of three to five persons and explain they will participate in a role play, where each subgroup will be a “consultancy firm” and they all are competing for a consultancy contract

Step 2: Distribute Handout 10: *Resource mobilization strategies proposal. Terms of reference*
Step 3: Read with them the TOR and ask if there are any questions.
Step 4: Give the groups 40 minutes to develop a resource mobilization strategies proposal for the association’s governance body
Step 4: In plenary, each consultancy firm will have five minutes to present their proposal (the presentations will be scored based on three criteria: efficacy, feasibility, and innovation of the strategies proposed; the group with the highest score is the “winner”)
Step 6: After each presentation distribute a score sheet and have each team score the proposal against the three criteria
Step 7: After all presentations are done, collect all the score sheets, and write the scores on a flipchart. Sum all scores and prize the winner!

SESSION 7.4: Appointment of External Auditors

Note: This session is optional. It is not included in the three day orientation agenda proposed in the Appendix 1 and content doesn’t appear in the IPPF Handbook. There is a need to invite the association’s financial director to facilitate this session

Purpose of the session
To enable participants to understand their role of appointing external auditors

Objectives:
By the end of the session participants will be able to:
1. Explain the importance of appointing external auditors
2. Outline the process of appointing external auditors
3. Understand the role of external auditors
4. Use external audit reports

Session outline
1. Importance of appointing external auditors
2. Process of appointing external auditors
3. Role of external auditors
4. Understanding external audit reports

Facilitation materials
- Audit report
- LCD projector
- Flipcharts
- IPPF External Auditor's Manual

Session delivery
- Presentation by the association finance director
- Plenary discussion on role of external auditors
SESSION 8: THE GOVERNING BODY IS OPEN, RESPONSIVE AND ACCOUNTABLE

Session Outline

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<thead>
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<td>8.1 Responsiveness, transparency and accountability to donors and</td>
<td>45 minutes</td>
</tr>
<tr>
<td>beneficiaries</td>
<td></td>
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<tr>
<td>8.2 Board meetings</td>
<td>1 hour</td>
</tr>
<tr>
<td>Total</td>
<td>1 hour 45 minutes</td>
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SESSION 8.1: Responsiveness, transparency, and accountability to donors and beneficiaries

Purpose of the session
To ensure that participants understand importance of being open, responsive and accountable.

Objectives:
By the end of the session participants will be able to:
1. Explain the benefits of a governing body that is open, responsive, and accountable
2. Explain the importance of being accountable to all stakeholders
3. Identify key content of procedural regulations/bylaws/statutes that outline conduct of business

Session outline
1. Transparency with stakeholders
2. Accountability to stakeholders
3. Full disclosure and information sharing

Facilitation materials
- LCD projector
- Flipcharts
- IPPF Handbook: Principle 6: The governing body is open, responsive and accountable, pages 49-53

Session delivery

ACTIVITY: Case Study: Transparency and accountability in action (45 minutes)

Step 1: Start the session asking participants:
- What does transparency mean?
- What does accountability mean?

Step 2: Summarize participants’ responses and ask them to read the definitions in the IPPF Handbook: Principle 6: The governing body is open, responsive and accountable

Step 3: Have participants take turns reading aloud each of the definitions on pages 49-50

Step 4: Divide participants in groups of three to five

Step 5: Distribute the Handout 11: Case Study: Transparency and accountability in action

Step 6: Give 20 minutes to read the case study and discuss the questions:
- What actions taken by the board were abusive and why?
- Why they were able to behave like that?
• Who at the end made them accountable and how?
• Who can make boards accountable and how?
• What measures can be taken to make board operations transparent?

Step 7: In plenary, have each group to present their answers (complete their analysis as needed)

SESSION 8.2: Governing body meetings

Purpose of the session
To ensure that participants understand the importance of running effective governing body meetings

Objectives:
By the end of the session participants will be able to:
1. Explain the importance of board meetings
2. Describe the principles of effective governance meetings
3. Conduct governing body meetings
4. Identify governing body member’s role in preparation and follow up of meeting resolutions

Session outline
1. Effective governing body meetings
2. Principles of effective governance meetings
3. Role of governing body chairperson/executive director/governing body members/staff
4. Managing post-meeting procedures

Facilitation materials
• IPPF Handbook: Principle 6: The governing body is open, responsive and accountable, page 51 and 52
• Handout 12: Board meeting role play
• LCD projector
• Flipcharts

Session delivery

ACTIVITY: Roleplay: Good and bad board meetings (60 minutes)

Step 1: Start the session by reiterating that board members have busy schedules and the importance of having short and productive meetings (5 minutes)

Step 2: Ask participants to open their IPPF Handbook to Principle 6 on page 50 and 51 and read the paragraphs related to board meetings (10 minutes)

Step 3: Divide participants in groups of five to eight, (try to maintain a gender and youth balance when dividing the groups)

Step 4: Distribute Handout 12: Board meeting role play and give participants 20 minutes to prepare a board meeting roleplay in two acts highlighting what to do/not to do to have a good meeting:
• Act 1 what not to do
• Act 2 what to do

Step 5: Give the groups five minutes to roleplay their meetings

Step 6: In plenary, facilitate a discussion about good practices when conducting team meetings and take notes on the flipchart (20 minutes)

Step 7: Close the session by showing the slide with the ten principles of a good meeting
SESSION 9: THE GOVERNING BODY ENSURES ITS OWN REVIEW AND RENEWAL

Session Outline

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<tr>
<td>9.2 Governing body assessment</td>
<td>45 minutes</td>
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<tr>
<td>9.3 Succession planning (optional)</td>
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<td>Total 2 hour</td>
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SESSION 9.1: Governing body profiling grid (diversity-gender, youth, persons with disability, sexual orientation, skills, geographical)

Purpose of the session
To ensure that participants understand how a board can review and renew itself

Session objectives
By the end of the session participants will be able to:
1. Explain the importance of diversity in the board
2. Identify factors considered when forming a governing body
3. Identify skills and qualities needed in a governing body
4. Explain importance of a governance development board committee

Session outline
1. Importance of board diversity
2. Factors considered in governing body formation
3. Governance and volunteer development committee

Facilitation materials
- IPPF Handbook: Principle 7: The governing body ensures its own review and renewal, pages 55-57
- List of board members and their profile (age, gender, resources, community connections, qualities, areas of expertise)
- LCD projector
- Flipcharts

Session delivery
Activity: Group exercise: Analyzing the governing body composition (1 hour 15 minutes)

Step 1: Ask participants to open their IPPF Handbook to Principle 7: The governing body ensures its own review and renewal, and read the section Governance or volunteer development committee on page 57 and have one participant read aloud each of the five paragraphs (15 minutes)

Step 2: Distribute the list of board members with their profile
Step 3: Divide the participants in four groups and ask them to analyze the board composition by following the next steps: (15 minutes)

- Give each governing body member either a number 1 to 6 or a letter A to F
- Use the profiling grid on page 56 of the IPPF Handbook to identify the characteristics of each member of the board
- Each column in the grid (1, 2, 3... A, B, C, etc.) belongs to one member of the board
- Mark an X in each box where that category corresponds with the identified person profile. For instance, for age mark an X in the box that corresponds with the member’s age range (19-34, 35-50, etc.)
- After filling the grid for each board member, analyze the board composition by answering: (30 minutes)
  - What is the age average? How many members under the age of 34?
  - What is the gender balance?
  - What is the strength of the board in terms of connection with resources?
  - What are the strengths of the board in terms of community connections?
  - What is the composition of the board in terms of skills/qualities?
  - What areas of expertise are represented in the board?
  - Which areas of the board need to be strengthened?

Step 4: In plenary, have the participants present their analysis of board strengths and areas to be strengthened (15 minutes)

Step 5: Close the session emphasizing the importance of diversity in the board and discussing what actions can be taken to strengthening the board composition

SESSION 9.2: Governing body assessment

Purpose of the session
To enable participants to carry out a governing body assessment

Objectives
By the end of the session participants will be able to:
1. Explain the importance of a governing body assessment
2. Identify tools used in a governing body assessment
3. Demonstrate the use of tools in assessing governing bodies

Session outline
1. Importance of governing body assessments
2. Assessment process including web–based assessments
3. How to utilize assessment results

Facilitation materials
- IPPF Handbook: Principle 7: The governing body ensures its own review and renewal, pages 57–62
- Handout 13: Governing body assessment tool
- LCD projector
- Flipcharts
- Invite participants with experience in the governing body performance assessment, so they can help with the self-assessment

Session delivery

Activity: Group exercise: Governing body assessment (45 minutes)
Step 1: Open the session by asking the participants:
- Why is it important to assess the governing body?

Step 2: Collect some of the participant’s comments and use them to make a very brief summary on the importance of carrying out a governing body assessment to identify and work on areas of improvement (10 minutes)

Step 3: Ask participants to open their IPPF Handbook to Principle 7: *The governing body ensures its own review and renewal* and review the assessment tool on page 61. Explain that this is a simple tool and that there are a variety of tools that can be used (5 minutes)

Step 4: Distribute the Handout 13: *Governance body assessment*

Step 5: Divide the participants in four groups and provide each group two of the eight assessment items related to one of the IPPF governance principles (make sure there is at least one person in each group that is familiar with board functioning)

Step 6: Give the groups 15 minutes to analyze the two items assigned to them and come to:
- Strengths on this principle
- Areas that need to be strengthened
- Suggestions for improvement

Step 7: In plenary, have participants present the results of their assessment and suggestions for improvement (15 minutes)

**SESSION 9.3: Succession Planning**

**Note**: This session is optional. It is not included in the three day orientation agenda proposed in the Appendix 1 and content doesn’t appear in the IPPF Handbook. The facilitator needs to have knowledge and experience managing this theme to add content and step-by-step methodology to deliver the session

**Purpose of the session**
To ensure that participants understand how to plan for succession

**Objectives:**
By the end of the session participants will be able to:
1. Explain the importance of succession planning
2. Outline the succession planning process

**Session outline**
1. Importance of succession planning
2. Succession planning process

**Facilitation materials**
- Power point presentation on succession planning
- Sample succession plan
- LCD projector
- Flipcharts
- Handouts

**Session delivery**
- Plenary discussion on succession planning
- Group discussion on succession planning in MAs
### APPENDIX 1: FACILITATION PROGRAM

#### LEARNING CENTRES’ GOVERNANCE PROGRAMME

<table>
<thead>
<tr>
<th>Time</th>
<th>Day 1</th>
<th>Day 2</th>
<th>Day 3</th>
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<tbody>
<tr>
<td>8.00-10.30</td>
<td><strong>Session 1 (1 hour)</strong>&lt;br&gt;1.1 Opening: Welcome remarks (10 min)&lt;br&gt;1.2 Introductions (10 min)&lt;br&gt;1.3 Review of agenda and norms (10 min)&lt;br&gt;1.4 Setting objectives (30 min)</td>
<td><strong>Recap of day 1 (30 minutes)</strong>&lt;br&gt;<strong>Session 5 (2 hours 30 minutes)</strong>&lt;br&gt;5.1 Selection process, supporting and assessing performance of an Executive Director</td>
<td><strong>Recap of day 2 (30 minutes)</strong>&lt;br&gt;<strong>Session 7 Continued (2 hours)</strong>&lt;br&gt;7.2 Risk management and internal control system (1 hour)&lt;br&gt;7.3 Resource mobilization (1 hour)</td>
</tr>
<tr>
<td>10.30-10.45</td>
<td><strong>Tea/Coffee Break</strong></td>
<td><strong>Session 2 (1 hour 30 minutes)</strong>&lt;br&gt;2.1 Overview of IPPF (30 min)&lt;br&gt;2.2 IPPF/MA governance structures (15 min)&lt;br&gt;2.3 Importance of good governance and governing body roles (45 min)</td>
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<tr>
<td>10.45-1.15</td>
<td><strong>Session 3 (2 hours 30 minutes)</strong>&lt;br&gt;3.1 Roles and responsibilities of governing body members (1 hour)&lt;br&gt;3.2 Code of ethics/conduct (45 min)&lt;br&gt;3.3 Conflict of interest (45 min)</td>
<td><strong>Session 5 Continued (45 minutes)</strong>&lt;br&gt;5.2 Effective interpersonal relationships &amp; conflict management (45 min)</td>
<td><strong>Session 8 (2 hours)</strong>&lt;br&gt;8.1 Responsiveness, transparency and accountability (45 min)&lt;br&gt;8.2 Governing body meetings (1 hour 15 min)</td>
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<tr>
<td>1.15-2.00</td>
<td><strong>Lunch Break</strong></td>
<td><strong>Session 6 (1 hour 45 minutes)</strong>&lt;br&gt;6.1 Compliance (performance reports, workplans, HR and finance)</td>
<td>(This day lunch can be from 12:45 to 1:45 to give enough time for afternoon sessions)</td>
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<tr>
<td>2.00-3.45</td>
<td><strong>Session 4 (1 hour 45 minutes)</strong>&lt;br&gt;4.1 Strategic planning</td>
<td><strong>Session 6 Continued (45 minutes)</strong>&lt;br&gt;6.1 Performance reports (45 min)&lt;br&gt;<strong>Session 7 (1 hour)</strong>&lt;br&gt;7.1 Financial oversight &amp; appointment of auditors (1 hour)</td>
<td><strong>Session 9 (1:45 to 3:45) (1 hour 15 minutes)</strong>&lt;br&gt;9.1 Governing body profiling grid (1 hour 15 min)&lt;br&gt;9.2 Governing body Assessment &amp; succession planning/board renewal (45 min)</td>
</tr>
<tr>
<td>3.45-4.00</td>
<td><strong>Tea/Coffee Break</strong></td>
<td><strong>Session 7 Continued (30 minutes)</strong>&lt;br&gt;7.1 Financial oversight (30 min)</td>
<td>Action planning (1 hour) &lt;br&gt;Workshop Evaluation Formal closing</td>
</tr>
<tr>
<td>4.00-5.15</td>
<td><strong>Session 4 Continued (1 hour 45 minutes)</strong>&lt;br&gt;4.2 MA Policies, manuals and strategy documents</td>
<td><strong>Session 7 Continued (30 minutes)</strong>&lt;br&gt;7.1 Financial oversight (30 min)</td>
<td>Departure</td>
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<tr>
<td>5.15-5.30</td>
<td>Day evaluation&lt;br&gt;End of day 1</td>
<td>Day evaluation&lt;br&gt;End of day 2</td>
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# APPENDIX 2: PARTICIPANT REGISTRATION FORM

## 1. Personal Information

<table>
<thead>
<tr>
<th>Name</th>
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<tbody>
<tr>
<td>Address</td>
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<tr>
<td>Telephone</td>
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<td>Email</td>
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<tr>
<td>Sex</td>
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<tr>
<td>Your age</td>
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<tr>
<td>___ 25 or below</td>
<td>___ 36 – 49</td>
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<td>___ 26 – 35</td>
<td>___ 50 and above</td>
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<td>Highest education level</td>
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<td>___ PhD</td>
<td>___ Certificate level</td>
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<td>___ Master degree</td>
<td>___ Secondary school</td>
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<td>___ Bachelor’s degree/ 1st degree</td>
<td>___ Primary school</td>
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<td>___ Diploma level/College or institute</td>
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<td>Professional qualification</td>
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<td>Years of work experience</td>
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<td>Current job title</td>
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<td>State your responsibilities relevant to the workshop</td>
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</table>

## 2. Name boards where you have served and in what position?

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<thead>
<tr>
<th>Name of Board</th>
<th>Position served</th>
<th>For how long?</th>
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## 3. What positions have you held in the current MA?

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<tr>
<th>Position held</th>
<th>For how long?</th>
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4. Please state any prior training in this subject (Governance/Leadership and Management):
   - None: _______________________________________________________
   - Some, state what: _____________________________________________
   - Extensive, state what: ________________________________________

5. What skills did you bring to the current MA board?
   ________________________________________________________________
   ________________________________________________________________
   ________________________________________________________________
   ________________________________________________________________

6. What do you hope to gain from this workshop?
   ________________________________________________________________
   ________________________________________________________________
   ________________________________________________________________
   ________________________________________________________________
   ________________________________________________________________

7. State any particular needs or concerns that you would like the workshop to address?
   ________________________________________________________________
   ________________________________________________________________
   ________________________________________________________________
   ________________________________________________________________

8. How do you intend to use the learnings in your work afterwards?
   ________________________________________________________________
   ________________________________________________________________
   ________________________________________________________________

Please return this form to:

Not later than:
APPENDIX 3: END OF WORKSHOP EVALUATION FORM

We would appreciate your comments to enable us to improve our future workshops. This questionnaire is anonymous but you may indicate your name if you wish. Please rank each activity as appropriate.

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<thead>
<tr>
<th>SNO</th>
<th>ACTIVITIES</th>
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<tr>
<td>1</td>
<td>Achievement of course objectives</td>
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<td>2</td>
<td>Coverage of topics</td>
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<td>3</td>
<td>Relevance of course content to your own work</td>
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<td>4</td>
<td>Effectiveness of learning methods:</td>
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<td></td>
<td>a) Plenary presentations and discussions</td>
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<td>b) Case studies</td>
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<td>c) Guest speakers</td>
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<td>d) Study tours</td>
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<td>e) Group work</td>
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<td>f) Role play</td>
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<td>g) Individual action plans</td>
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<td>h) Overall time management</td>
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<td>i) Opportunity for active participation/sharing</td>
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<td>j) Appropriateness of language used</td>
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<td></td>
<td>k) Learning atmosphere</td>
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<td>5</td>
<td>Fostering of team work among participants</td>
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<td>6</td>
<td>Satisfaction with workshop arrangements in the areas of:</td>
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<tr>
<td></td>
<td>a) Reading and reference materials</td>
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<td>b) Stationery and other materials</td>
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<td>c) Meals</td>
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<td>d) Workshop rooms</td>
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<td>e) Transportation</td>
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<td>f) Accommodation</td>
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<td>7</td>
<td>How do you rate performance of facilitators in terms of:</td>
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<tr>
<td></td>
<td>a) Knowledge</td>
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<td>b) Delivery methods</td>
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</table>
8. Which part of the workshop did you enjoy most? Can you say why?

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

9. Which part of the workshop did you enjoy least? Can you say why?
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

10. What is the most important thing that you have learned?
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

11. What should the Learning Centre do as a follow-up to this workshop?
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

12. Please write briefly any suggestions or recommendations for improvements or additions to the workshop?
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
APPENDIX 4: Handouts

Handout 1: Four governance practices
Handout 2: Mr. Mwangi versus the board, case study
Handout 3: Roles and responsibilities of the governing body
Handout 4: Who should be employed?, case study
Handout 5: Importance of supporting the executive director, case study
Handout 6: Input, output, outcome and impact indicators
Handout 7: Ficticia financial statements, case study
Handout 8: Ten key financial questions governing body members should ask
Handout 9: Sample list of risk categories
Handout 10: Resource mobilization strategies proposal. Terms of reference
Handout 11: Transparency and accountability in action, case study
Handout 12: Board meeting, role play
Handout 13: Governing body assessment tool
**Handout 1: Four governance practices**

<table>
<thead>
<tr>
<th>Cultivate Accountability</th>
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<tbody>
<tr>
<td>• Maintains board transparency and accountability</td>
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<tr>
<td>• Oversees organizational effectiveness and provides support</td>
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<tr>
<td>• Hires, supports, and evaluates the CEO</td>
</tr>
<tr>
<td>• Upholds a transparent decision-making process</td>
</tr>
<tr>
<td>• Promotes the quality of services and programs</td>
</tr>
<tr>
<td>• Maintains the effectiveness of the board</td>
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<tr>
<th>Engage Stakeholders</th>
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<tbody>
<tr>
<td>• Engages and responds to the interests of government, community, partners, and donors</td>
</tr>
<tr>
<td>• Maintains good community, government, and donor relations and represents the CSO publicly on occasion</td>
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<tr>
<td>• Promotes changes in public policy</td>
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<tr>
<th>Set Shared Direction</th>
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<tbody>
<tr>
<td>• Defines the organization’s mission in context of community needs</td>
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<td>• Develops the organizational vision and strategy and approves the strategic plan</td>
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<td>• Promotes the organization’s values</td>
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<tr>
<th>Steward Resources</th>
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<tbody>
<tr>
<td>• Ensures financial sustainability</td>
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<tr>
<td>• Promote rational use of resources to achieve mission, vision, and achievement of strategic objectives</td>
</tr>
<tr>
<td>• Participates in fund-raising</td>
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<tr>
<td>• Provides financial oversight</td>
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</table>
Handout 2: Case Study: Mr. Mwangi versus the board

Mr. Mwangi felt discouraged this morning after his monthly Board meeting. Over the last five years, under his leadership as Executive Director of Rarieda Health and Family Planning Agency, the program had successfully expanded services in rural areas. They now operated ten clinics in five districts and the strategic plan for the next five years called for auditing two clinics a year. Each new clinic would have a community-based distribution program as well. The organization had also been contacted by the government to design a collaborative effort to reach more clients in rural areas. Overall, Mr. Mwangi was excited about these new opportunities, but recent staff turnover and vacancies in two senior positions made him very concerned about the agency’s ability to meet these new challenges.

Just as he was thinking about last night’s meeting with the Board, Mrs. Amolo, the Director of Programme, appeared in his doorway, “Good morning,” she said, “How did the meeting go last night?”

Mr. Mwangi frowned, “It was very frustrating. The organization has so many exciting opportunities but the Board isn’t providing the support we need. We started discussing the new proposal for collaborating with the government and I told the Board that until we resolved the problem of staff turnover and filled the vacant positions, we shouldn’t proceed with the discussions.”

Mrs. Amolo replied, “Don’t they realize that the position for Director of Field Programs has been vacant for the past four months and we haven’t had a Medical Director for two months? We’ve told them over and over again that our salary structure isn’t competitive to other organizations. Both of those people left because they found comparable positions with higher salaries and more attractive benefits from other organizations.”

Mr. Mwangi answered, “But the Board keeps saying that there is nothing wrong with our salary structure. They’re living in the past – they have barely changed the structure since the organization began ten years ago. There’s no way we can fill either position with a good candidate if we can’t offer more competitive salaries.”

“What else did you discuss? Did you discuss the problem about the supervisory visits?” asked Mrs. Amolo.

“I brought it up again,” answered Mr. Mwangi, “I told the Board that the supervisors have been complaining ever since they started sending a Board member on quarterly supervisory visits. I tried to get them to see it from the supervisor’s perspective – that the presence of the Board member limits the staff’s willingness to be frank about problems and staff instead feels like they need to impress the Board member. I also pointed out that the supervisors were often forced to change the dates of regularly scheduled visits in order to accommodate a time that was convenient for the Board member.” “It sounds like a very frustrating meeting,” said Mrs. Amolo, “What do you think we should do now?”

Case discussion questions:
1. Identify the two main areas of conflict between the Board and management and describe what you believe is the Board’s responsibility and what is the responsibility of the Executive Director, Mr. Mwangi.
2. What specific suggestions would you make to Mr. Mwangi and the Board to resolve these problems?
CASE ANALYSIS: MR. MWANGI VERSUS THE BOARD

1. Identify two main areas of conflict between the Board and management that are affecting organizational effectiveness.

   ▪ There is conflict between the Executive Director and the Board over the need for a change in the current salary structure, where Mr. Mwangi cannot fill senior level management positions because the salary structure is not competitive with other organizations.

     (It is a board responsibility to approve the salary structure so the Executive Director can hire qualified staff and negotiate salaries based on the range determined by the salary structure)

   ▪ The Board is overly involved with the supervisory process and is making it difficult for the supervisors to do their jobs effectively.

     (It is the board’s responsibility is to set policies and monitor activities through regular reports provided by the management team and the management team’s responsibility to conduct supervisory visits and report to the board)

2. What specific suggestions would you make to Mr. Mwangi and the Board to resolve these problems?

   **Salary structure:**
   Mr. Mwangi, the Executive Director, can conduct a management review to reexamine and revise job descriptions and qualifications for key positions within the organization. This review should include researching salary data on similar positions in other family planning and health organizations. The Board will then have the information that it needs to assess the current salary structure and make changes. Establishing a salary structure is the responsibility of the Board. Mr. Mwangi should handle final staff selection and salary negotiations. The executive director should conduct regular climate setting reviews and exit interviews for departing staff to determine their reason for leaving.

   **Supervisory visits**
   Conducting supervisory visits on a regular basis with other organization supervisors is not a Board responsibility. In fact, their insistence on participating in supervisory visits is creating difficulties for both the supervisors and the staff; supervisors are unable to exercise their responsibilities freely, and the staff aren’t getting the full benefit of the supervisory visit. The Board can approve supervisory policy and make suggestions to improve the supervisions process, but Board members should not be involved in direct staff supervision.
Handout 3: Roles and responsibilities of the governing body

The governing body must own the mission and purpose of MA
- The governing body needs to review the history, values, vision, missions, and key result areas (KRAs) of the MA
- The governing body needs a retreat or review meeting with staff and stakeholders

The governing body must support the executive director and assess his performance
- Agree on the executive director’s job description
- Establish performance criteria
- Provide guidance, advice, and sounding points
- Conduct an annual performance appraisal
- Ensure succession planning and building of the management team
- Ensure there is an officer in charge during prolonged absence of the executive director

The governing body must ensure effective MA organisation planning and budgeting
- The governing body must discuss, review, and approve the MA strategic plan
- The governing body must approve the annual plan and budget
- The governing body must ensure that the annual plans are consistent with the strategic plan
- The governing body must ensure budgets are realistic
- The governing body must ensure MAs have adequate resources to achieve their mission

The governing body must ensure that MA resources are managed effectively
- Approve banking and treasury procedures
- Approve finance and administration procedures
- Approve Human Resources policies and procedures
- Must be aware of all funding agreements
- Review quarterly management accounts

The governing body must be informed about MA’s impact and results
- The governing body must ensure the existence of a monitoring and evaluation system
- The governing body must review the program progress every three months
- The governing body must review the annual program report and results
- Visit the programs at least once a year

The governing body must enhance MAs public standing
- The governing body must clarify MAs identity
- The governing body must monitor and strengthen MA’s public relations
- The governing body must act like ambassadors for the organization

The governing body must ensure the legal and ethical integrity of MAs
- The governing body must ensure the MA maintains public accountability
- The governing body must ensure all statutory obligations of the MA are met

The governing body must continually develop its capacity as a governing body
- The governing body must recruit and orient new governing body members
- The governing body must be familiar with the accreditation principles
- The governing body must assess governing body performance
Handout 4: Case Study: Who should be employed?

This morning I went to discuss the project budget with the Executive Director, Mr. Okello, when I found him pacing up and down in the office.

Me: “Mr. Okello, good morning, is something wrong?”

He paused before responding and then he showed me the chair to sit,

Mr. Okello: “Before we discuss finances, let me explain to you my predicament. As you are aware our finance director resigned last month and we are in the process of starting recruitment.”

Me: “How is that a problem... we have so many qualified accountants in the country looking for jobs?”

Mr. Okello: “Let me explain. Last week, the President of the Association called to remind me that his son recently graduated from the university with a degree in accounts and should be considered for the vacant position.

Me: “But how did you respond?

Mr. Okello: ‘I told him to apply and he will be considered like any other candidate. The President was not amused. He reminded me that I should use all means possible to get his son employed.

Yesterday, the Treasurer, Mr. Juma, also called on me to get that position filled by his sister who is currently working for a local NGO. He insists the lady fits the position and since other directors are males, the gender issue must be addressed.

Not only that, a senior board member also asked me to employ a member of his branch; as he plans to contest in the next general election, this would give him mileage. Furthermore, he has been telling branch members that he will use his position as treasurer to get jobs for the youths in the association; he wants to use this chance to prove a point to branch members.

As I ponder through all this, I also have my own brother who is a qualified accountant and is unemployed.”

Me: I can now understand why you were stressed this morning, but is it possible to remain professional in all this? As the acting Director of Finance, I also came to seek your opinion on my chances in case I want to apply for the position.

Case study questions:

1. In this case study who is in conflict of interest and why?

2. How the situation can be handled to manage the conflict of interest?

3. What other potential situations of conflict of interest do boards usually face?

4. What can be done to prevent conflict of interest?
Handout 5: Case Study: Importance of supporting the executive director

Samira was recently recruited as the new Executive Director of Amani Planned Parenthood Association (APPA). She has a long history working in the health sector. In her previous job, she was Program Director supervising 15 workers.

Samira was both excited and nervous about being Executive Director supervising over 90 people. She had never been responsible for such a large organization with five clinics scattered over the country.

When she was getting employed, the Board President assured her of a planned orientation and maximum support to ensure her success. However, on her first day, there was no orientation and no one to introduce her to staff. She went round and introduced herself and got down to work. She scheduled a meeting with the senior management team to get briefings.

Within three days it was clear to Samira that she was not welcomed by Director of Programs, who had applied for the same position. He did not like a female boss and went out to undermine her. She tried to talk to him but got nowhere. The other senior staff were cooperative, but were not sure of Samira’s ability to manage the Association. Towards this end, they kept on questioning her decisions.

Director of Finance and Director of Programs communicated directly with Board President on various issues bypassing the Executive Director. For instance, project staff were employed without the Executive Director’s knowledge among other things. In fact Samira was just being informed of decisions that have been taken and Samira kept wondering whether she made the right decision to join APPA.

Samira asked the Board President for a meeting. The President said he was too busy, however he promised to make time for her. This did not happen and their first meeting took place during the first board meeting after three months. In the meeting Samira raised the issue of induction, but the board told her that she was doing fine and all will be well. Samira felt more frustrated.

Questions to discuss:

1. What are the issues in this case?
2. What are the consequences of not supporting the new executive director?
3. What are the key responsibilities of the board chair to support the executive director?
**Handout 6: Input, process, output, outcome and impact indicators**

**Exercise**

Classify the following list of indicators by writing an X in the correspondent column according to the type of indicator: input, process, output, outcome or impact. You can find the definition of indicators on page 33 of the IPPF Handbook.

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Input</th>
<th>Process</th>
<th>Output</th>
<th>Outcome</th>
<th>Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Percentage of women that receive counsel on family planning after delivery</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Percentage of annual organization objectives achieved</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Number and percentage of equipment in good shape</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Number or percentage of procedures developed</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Percentage of equipment that has policy insurance</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Number of SRH services provided</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Number of community SRH volunteers trained</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Number of full time staff</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Percentage of management positions covered</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Annual number of maternal deaths per 100,000 births</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Number of stock out days in a specific contraceptive</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12. Number of radio promotional spots</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13. Number of condoms sold/distributed</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14. Number/percent of trained providers who perform to established guidelines/standards</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15. Percent of women of reproductive age (15-49) who are using a contraceptive method</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16. Annual number of abortions per 100,000 live births</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Handout 6B: Input, output, outcome and impact indicators
(for facilitators)

Input indicators

- Number and percentage of equipment in good shape
- Percentage of equipment that has policy insurance
- Number of full time staff
- Percentage of management positions covered
- Number of stock out days in a specific contraceptive
- Number of facilities with functioning basic essential reproductive health services (not in chart)

Process indicators

- Number or percentage of procedures developed
- Number of trainings (not in chart)
- Number of participants in specific training (not in chart)
- Number of stakeholders attending to a meeting (not in chart)
- Number of radio promotional spots

Output indicators

- Number of sexual and reproductive health services provided
- Number of community HIV/AIDS prevention volunteers trained (not in chart)
- Number of condoms sold/distributed
- Percentage of women that receive counsel on family planning after delivery
- Number of community SRH volunteers trained

Outcome indicators

- Percentage of annual organization objectives achieved
- Number/percent of trained providers who perform to established guidelines/standards
- Percent of women of reproductive age (15-49) who are using a contraceptive method
- Number of young women aged 12 to 13 vaccinated against human papilloma virus (not in chart)
- Percentage of respondents who reported condom use at last sex with non-regular partner in last 12 months (not in chart)

Impact indicators

- Total number of children a woman would have by the end of her reproductive period (not in chart)
- Annual number of maternal deaths per 100,000 live births
- Annual number of abortions per 100,000 live births
- Number of perinatal deaths per 1,000 total births (not in chart)
Handout 7: Case Study: Ficticia financial statements

Ficticia is a NGO that provides family planning and reproductive health services to the population most in need in their catchment area.

You are on the Board of Directors of Ficticia and are participating in your Board meeting. The purpose of this meeting is to analyze Ficticia’s annual financial statements. With your team, analyze Ficticia’s financial statements and answer the questions below. You can review the handout slides and definitions attached if needed.

1. Have we made a gain or loss?
2. Are our key sources of income rising or falling?
3. Are our key expenses, especially salary and benefits, under control?
4. Do we have sufficient reserves?
5. Where are we compared with the budget?
### Member Association XYX

**Statement Of Financial Position**

**As at 31.12.2015**

<table>
<thead>
<tr>
<th></th>
<th>Unrestricted</th>
<th>Restricted</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ASSETS</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-current assets</td>
<td>956,903</td>
<td>0</td>
<td>956,903</td>
</tr>
<tr>
<td>Property, Plant and equipment</td>
<td>956,903</td>
<td>0</td>
<td>956,903</td>
</tr>
<tr>
<td><strong>Current assets</strong></td>
<td>619,520</td>
<td>761,626</td>
<td>1,381,146</td>
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<tr>
<td>Inventories</td>
<td>50</td>
<td>13,512</td>
<td>13,562</td>
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<tr>
<td>Accounts Receivable</td>
<td>70,338</td>
<td>37,363</td>
<td>107,701</td>
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<tr>
<td>Short term Investment</td>
<td>169,433</td>
<td>0</td>
<td>169,433</td>
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<tr>
<td>Cash and cash equivalents</td>
<td>379,699</td>
<td>710,752</td>
<td>1,090,450</td>
</tr>
<tr>
<td><strong>TOTAL ASSETS</strong></td>
<td>1,576,423</td>
<td>761,626</td>
<td>2,338,049</td>
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</table>

<table>
<thead>
<tr>
<th></th>
<th>Unrestricted</th>
<th>Restricted</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>FUND BALANCES AND LIABILITIES</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fund Balances</td>
<td>2,105,540</td>
<td>-194,525</td>
<td>1,911,015</td>
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<tr>
<td>Designated funds</td>
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<td>494,731</td>
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<tr>
<td>Inventory fund</td>
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<td>13,562</td>
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<tr>
<td>Fixed assets fund</td>
<td>953,459</td>
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<tr>
<td>General fund</td>
<td>643,789</td>
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<td><strong>Current liabilities</strong></td>
<td>92,660</td>
<td>334,375</td>
<td>427,035</td>
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<tr>
<td>Accounts payable</td>
<td>37,926</td>
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<td>Accrued expenses</td>
<td>20,751</td>
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<tr>
<td>Bank overdrafts</td>
<td>33,982</td>
<td>33,141</td>
<td>67,123</td>
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<tr>
<td>Deferred Income</td>
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<td>182,183</td>
<td>182,183</td>
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<tr>
<td><strong>Total liabilities and fund balances</strong></td>
<td>2,198,200</td>
<td>139,849</td>
<td>2,338,049</td>
</tr>
</tbody>
</table>
### Member Association XYX

**Income & Expenditure Statement**

**For The Year Ending 31st Dec 2015**

<table>
<thead>
<tr>
<th>Income</th>
<th>US$</th>
<th>Budget</th>
<th>Current</th>
<th>Total</th>
<th>Budget</th>
<th>Current</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Unrestricted</strong></td>
<td><strong>Restricted</strong></td>
<td><strong>Total</strong></td>
<td><strong>Unrestricted</strong></td>
<td><strong>Restricted</strong></td>
<td><strong>Total</strong></td>
<td><strong>Unrestricted</strong></td>
<td><strong>Restricted</strong></td>
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<td>IPPF Cash income</td>
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<td>755,350</td>
<td>657,018</td>
<td>0</td>
<td>657,018</td>
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</tr>
<tr>
<td>Foundations, Trusts or NGO's</td>
<td>0</td>
<td>480,840</td>
<td>480,840</td>
<td>0</td>
<td>412,956</td>
<td>412,956</td>
<td></td>
</tr>
<tr>
<td>Cooperating Agencies</td>
<td>0</td>
<td>460,500</td>
<td>460,500</td>
<td>0</td>
<td>343,769</td>
<td>343,769</td>
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</tr>
<tr>
<td>Clinical Services</td>
<td>87,750</td>
<td>0</td>
<td>87,750</td>
<td>47,846</td>
<td>0</td>
<td>47,846</td>
<td></td>
</tr>
<tr>
<td>Local Donations</td>
<td>30,580</td>
<td>0</td>
<td>30,580</td>
<td>5,880</td>
<td>0</td>
<td>5,880</td>
<td></td>
</tr>
<tr>
<td>Other income</td>
<td>280,000</td>
<td>0</td>
<td>280,000</td>
<td>268,855</td>
<td>0</td>
<td>268,855</td>
<td></td>
</tr>
<tr>
<td>Other Sale of services</td>
<td>25,250</td>
<td>0</td>
<td>25,250</td>
<td>15,457</td>
<td>0</td>
<td>15,457</td>
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</tr>
<tr>
<td>Net fixed asset release from fund balance</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>163,317</td>
<td>0</td>
<td>163,317</td>
<td></td>
</tr>
<tr>
<td>Net inventory release from fund balance</td>
<td>108,612</td>
<td>0</td>
<td>108,612</td>
<td>108,612</td>
<td>0</td>
<td>108,612</td>
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</tr>
<tr>
<td><strong>Net Income</strong></td>
<td><strong>1,287,542</strong></td>
<td><strong>941,340</strong></td>
<td><strong>2,228,882</strong></td>
<td><strong>1,266,985</strong></td>
<td><strong>756,725</strong></td>
<td><strong>2,023,710</strong></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Expenses per strategic goals:</th>
<th>US$</th>
<th>Budget</th>
<th>Current</th>
<th>Total</th>
<th>Budget</th>
<th>Current</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Access</td>
<td>64,853</td>
<td>182,097</td>
<td>246,950</td>
<td>64,853</td>
<td>182,096</td>
<td>246,950</td>
<td></td>
</tr>
<tr>
<td>Adolescents and Youth</td>
<td>3,332</td>
<td>352,300</td>
<td>355,632</td>
<td>3,332</td>
<td>352,505</td>
<td>355,837</td>
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<td>Advocacy</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>HIV/AIDS</td>
<td>85,882</td>
<td>245,050</td>
<td>330,932</td>
<td>85,882</td>
<td>253,631</td>
<td>339,513</td>
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<tr>
<td>Abortion</td>
<td>0</td>
<td>147,154</td>
<td>147,154</td>
<td>0</td>
<td>147,154</td>
<td>147,154</td>
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</tr>
<tr>
<td><strong>Total expenses per strategic goals</strong></td>
<td><strong>154,067</strong></td>
<td><strong>926,601</strong></td>
<td><strong>1,080,668</strong></td>
<td><strong>154,066</strong></td>
<td><strong>935,389</strong></td>
<td><strong>1,089,455</strong></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Expenses per supporting strategies:</th>
<th>US$</th>
<th>Budget</th>
<th>Current</th>
<th>Total</th>
<th>Budget</th>
<th>Current</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Governance and Accreditation</td>
<td>39,795</td>
<td>0</td>
<td>39,795</td>
<td>39,795</td>
<td>0</td>
<td>39,795</td>
<td></td>
</tr>
<tr>
<td>Knowledge Management &amp; M&amp;E</td>
<td>405,050</td>
<td>14,739</td>
<td>419,789</td>
<td>413,958</td>
<td>14,739</td>
<td>428,697</td>
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<tr>
<td>Resources Mobilization</td>
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<td>116,295</td>
<td>116,295</td>
<td>0</td>
<td>116,295</td>
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</tr>
<tr>
<td>Management and Admin (Indirect costs)</td>
<td>350,000</td>
<td>0</td>
<td>350,000</td>
<td>362,910</td>
<td>0</td>
<td>362,910</td>
<td></td>
</tr>
<tr>
<td>Depreciation</td>
<td>163,317</td>
<td>0</td>
<td>163,317</td>
<td>163,317</td>
<td>0</td>
<td>163,317</td>
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</tr>
<tr>
<td><strong>Total expenses per supporting strat.</strong></td>
<td><strong>1,074,457</strong></td>
<td><strong>14,739</strong></td>
<td><strong>1,089,196</strong></td>
<td><strong>1,096,274</strong></td>
<td><strong>14,739</strong></td>
<td><strong>1,111,013</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Total Expenses</strong></td>
<td><strong>1,228,524</strong></td>
<td><strong>941,340</strong></td>
<td><strong>2,169,864</strong></td>
<td><strong>1,250,341</strong></td>
<td><strong>950,128</strong></td>
<td><strong>2,200,469</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Net surplus/deficit</strong></td>
<td><strong>59,018</strong></td>
<td>0</td>
<td><strong>59,018</strong></td>
<td><strong>16,644</strong></td>
<td><strong>-193,403</strong></td>
<td><strong>-176,758</strong></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Fund balances at beginning of year</th>
<th>US$</th>
<th>Budget</th>
<th>Current</th>
<th>Total</th>
<th>Budget</th>
<th>Current</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2,087,773</td>
<td>0</td>
<td>2,087,773</td>
<td>2,087,773</td>
<td>0</td>
<td>2,087,773</td>
<td>2,087,773</td>
<td></td>
</tr>
<tr>
<td>Fund balance at end of year</td>
<td><strong>2,146,791</strong></td>
<td>0</td>
<td><strong>2,146,791</strong></td>
<td><strong>2,104,417</strong></td>
<td><strong>-193,403</strong></td>
<td><strong>1,911,015</strong></td>
<td></td>
</tr>
</tbody>
</table>
Handout 7c: Assets and fund balances and liabilities definitions

**ASSETS**

**Cash**

A current asset account which includes currency, coins, checking accounts, and un-deposited checks received from customers. The amounts must be unrestricted. (Restricted cash should be recorded in a different account)

**Accounts receivable**

A current asset resulting from selling goods/services on credit (on account). Invoice terms such as (a) net 30 days or (b) 2/10, n/30 signify that a sale was made on account and was not a cash sale.

**Inventory**

A current asset whose ending balance should report the cost of a merchandiser's products awaiting to be sold. The inventory of a manufacturer should report the cost of its raw materials, work-in-process, and finished goods. The cost of inventory should include all costs necessary to acquire the items and to get them ready for sale.

**Current assets**

Cash and other resources that are expected to turn to cash, or to be used up, within one year of the balance sheet date (If a company's operating cycle is longer than one year, an item is a current asset if it will turn to cash or be used up within the operating cycle). Current assets are presented in the order of liquidity, i.e., cash, temporary investments, accounts receivable, inventory, supplies, prepaid insurance.

**Fixed assets**

Assets which are purchased for long-term use and are not likely to be converted quickly into cash, such as land, buildings, and equipment.

**Investment:**

The action or process of investing money for profit.

**LIABILITIES**

**Accounts payable**

This current liability account will show the amount a company owes for items or services purchased on credit and for which there was not a promissory note. This account is often referred to as trade payables (as opposed to notes payable, interest payable, etc.).

**Accrued expenses payable**

Obligations that a company has incurred but have not been routinely recorded in Accounts Payable. For example, if the interest on a bank loan is paid on the 10th of each month, then on the last day of each month approximately 20 days of interest expense is an accrued expense payable.
**Income**
Money received.

**Deferred income or unearned revenue(s)**
A liability account that reports amounts received in advance of providing goods or services. When the goods or services are provided, this account balance is decreased and a revenue account is increased.

**FUND BALANCES**

**Fund**
Reserve, pool, purse; endowment, foundation, trust, charity, grant; investment, capital, savings.
Handout 8: Ten key financial questions governing body members should ask

1. Have we made a gain or loss?

2. Are our key sources of income rising or falling?

3. Are our key expenses, especially salary and benefits, under control?

4. Do we have sufficient reserves?

5. Is our cash flow projected to be adequate?

6. Where are we compared with the budget?

7. Is our financial plan consistent with our strategic plan?

8. Are all staff satisfied and productive?

9. Are we filling all needed reporting documents on a timely basis?

10. Are we fulfilling all of our legal obligations?
Handout 9: Sample list of risk categories

<table>
<thead>
<tr>
<th>Strategic Alignment</th>
<th>Legal and regulatory</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Donor relationship management</td>
<td>✓ Legal Registration</td>
</tr>
<tr>
<td>✓ Partner relationship management</td>
<td>✓ Tax compliance</td>
</tr>
<tr>
<td>✓ Compliance to the code of conduct</td>
<td>✓ Hiring and termination of employees, including severance</td>
</tr>
<tr>
<td>✓ Funding and diversification strategies</td>
<td>✓ Import/export control</td>
</tr>
<tr>
<td>✓ Brand and reputation</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Financial Management</th>
<th>Operations</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Financial planning and analysis</td>
<td>✓ Security (facility, information, documentation, etc.)</td>
</tr>
<tr>
<td>✓ Financial reporting to donors</td>
<td>✓ Inventory management</td>
</tr>
<tr>
<td>✓ Cash management</td>
<td>✓ Logistics management</td>
</tr>
<tr>
<td>✓ Payment processing</td>
<td>✓ Information systems</td>
</tr>
<tr>
<td>✓ Procurement</td>
<td>✓ Operational efficiency</td>
</tr>
<tr>
<td>✓ Banking relationship management</td>
<td></td>
</tr>
<tr>
<td>✓ Non allowed and allowable costs</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Talent Management</th>
<th>Country Risk Profile (External Risks)</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Role clarity, accountability, and responsibility assignment</td>
<td>✓ Economic/financial/market (e.g. exchange rate fluctuation, inflation, etc.)</td>
</tr>
<tr>
<td>✓ Staffing plans</td>
<td>✓ Political (e.g. change in government or government policies, civil unrest, media intervention, etc.)</td>
</tr>
<tr>
<td>✓ Knowledge and skills set management</td>
<td>✓ Environmental (e.g. natural disasters, travel risks, transparency and corruption levels)</td>
</tr>
<tr>
<td>✓ Recruitment</td>
<td></td>
</tr>
<tr>
<td>✓ Retention of needed talent</td>
<td></td>
</tr>
<tr>
<td>✓ Performance management</td>
<td></td>
</tr>
</tbody>
</table>

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1 Adapted from MSH Risk Management-Guide_20141001-Corazzini&Gaul
Handout 10: Resource mobilization strategies proposal

Terms of reference

One of the main association donors is in the process to “graduate” the association from its support. It means the association urgently needs to mobilize other sources of income.

The governing body opened a competition for proposals on resource mobilization. You are one of the consulting firms that has been selected to participate in presenting a proposal to the Governing Body Resource Mobilization Commission.

1. The proposal should include strategies the Governing Body can implement to mobilize the resources needed to sustain the association in its work to fulfil its mission.
2. You may consult pages 46-47 of the IPPF Handbook to understand the association approach to resource mobilization
3. Your consulting group has 40 minutes to prepare your proposal and will have 5 minutes to present.
4. You can use any means to present: verbally, flipcharts, using the computer.
5. All proposals will be evaluated in relation to three criteria
   – Efficacy to get the resources needed
   – Feasibility to be done by the Governing Body
   – Innovation
6. The winner will be awarded the contract

Good luck!
An IPPF affiliate that provides family planning services faced several governance challenges because of the nature of its board and the assembly of members from which the board was selected. The assembly, which once represented different sectors and professions, had become a closed circle of physicians and the turnover of board members was very low.

Some Board Members were using their positions for personal benefit. The Chair of the Board wanted to sell the organization a property on which it would build a clinic, but without considering the best price or the location. Furthermore, one Board Member owned the repair workshop that maintained the organization’s vehicles.

Another Board Member provided trainings to the clinics, and received payment for it, based on his own assessment of deficiencies. The Board also approved a large acquisition of contraceptives that were close to their expiration date and would have to be discarded at a huge loss to the organization.

When a new CEO was hired, he was very concerned about these irregularities and determined to end illegal transactions. When the time came to change Board Members, the CEO found an ally in the new Chair, a woman who was very committed to the organization and aware of the bad practices. With two more members of the Board as allies, she started an investigation to clarify the procurement of contraceptives. The investigation produced a conflict that divided the Board and the assembly into two camps. Each side tried to incriminate the other or return to the status quo, when abuses were not addressed.

At the same time, the new Chair and the CEO developed a strategy to change the composition of the assembly so new people could join the Board in upcoming elections and eradicate the destructive practices. Following IPPF’s regulations, the Chair and the CEO gained approval from the Board to open the registration of new assembly members to include more women and young people. Using this strategy, they increased the number of assembly associates from 20 to 45 and verified that the new members were honest and committed.

In addition to investigating the cases of abuse, the new assembly, selected a new Board and removed some former members from the assembly. From this point forward, abuses were not tolerated.

Questions:

1. What actions taken by the board were abusive and why?
2. Why they were able to behave like that?
3. Who at the end make them accountable and how?
4. Who can make boards accountable and how?
5. What measures can be taken to make board operations transparent?

2 Taken from: Health Systems in Action, Management Sciences for Health 2010.
You and your team members are a governing body. You are about to have a board meeting to discuss the Executive Director’s proposal to raise staff salaries by 10% for the following year. The argument is that inflation has been around 5% and association salaries were already below the average in the market. You will do a role play in two acts: Act 1: what not to do and Act 2: what to do to have a productive meeting.

1. To prepare your role play distribute the roles: Chair, Board Secretary, Executive Director, and Board Members.

2. Prepare the sketch of the role playing based on the steps of a typical board meeting:
   - Call to order
   - Review attendance and quorum verification
   - Reading/approving last meeting minutes
   - Presenting the meeting’s agenda
   - Discussing today’s business (in this case the only item in the agenda is the salary increase)
   - Discussion and decision making (by consensus or voting)
   - Other business
   - Adjourn

3. To orient you about the principles of a good meeting consult page 52 of the IPPF Handout (Principle 6).

4. You have 20 minutes to prepare your role play and 5 minutes to present.
Handout 13: Governing body assessment tool

Note: MAs are encouraged to use the web based version

Self-assessment instructions:

This following self-assessment tool will help your organization’s Board assess the degree to which the Board meets the essential requirements of effective governance. The questions are designed to be thinking points to help you answer certain key questions and spark a discussion on what can be improved.

Because governance is a fundamental issue for all organisations, whatever the sector of work, the questions are general with wide applicability. All of the questions below are relevant for your work. In case you find a question is not relevant to your Association we expect you to provide an explanation of why this is so. This is a reflection of the fact that governance applies the same principles to all organisations.

The following questionnaire is divided into eight sections:
- Board knowledge and awareness
- Member integrity and collective responsibility
- Strategic direction and policies
- Relation to the CEO
- Monitoring the organisation’s performance
- Ensuring financial health of organisation
- Accountability and transparency
- Board review and renewal

The questionnaire uses the following scoring framework:

Y  Yes, we undertake this work/activity
I  Insufficient, in preparation, or being considered
N  No, we’ve not yet tackled this work/activity

Consider the following criteria when rating your own work:

Y  It is supported by written documents and is followed in practice;
I  It is supported by written documents not followed in practice, or vice versa;
N  Although Board Members may be aware of the importance of the issue, there have been no actions to address it.

When your Board completes the self-assessment it is important that you apply a critical eye to your own practice. It is expected that your scoring will vary depending to your area of expertise. We would like to challenge you to use this self-assessment to identify areas that you need to improve upon and develop an Action Plan that highlights how you will make improvements in this area over the next year.

An Action Plan template is provided at the end of this module, which we ask that you complete and submit to the IPPF Secretariat to receive feedback and advice.


CHECKLIST

1. **Board knowledge and awareness:** This section will help you examine whether individual Board Members receive the appropriate information regarding the organisation and its area of work. It will help the Board to be clear about **what** it is governing.

<table>
<thead>
<tr>
<th>Question</th>
<th>Y</th>
<th>I</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are new Board members given a basic understanding of how the organisation is structured and how it operates?</td>
<td></td>
<td></td>
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<tr>
<td>Has the Board developed a plan for visits to project implementation sites and service delivery points?</td>
<td></td>
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<tr>
<td>Are new Board members given a basic understanding of the external sexual and reproductive health and rights environment in which the organisation operates?</td>
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</tbody>
</table>

2. **The governing body ensures member integrity and collective responsibility:** This section will help the Board assess whether it has guidelines and mechanisms in place to ensure that Board acts and behaves for the collective good of the organisation and its mission.

<table>
<thead>
<tr>
<th>Question</th>
<th>Y</th>
<th>I</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the Board have a Code of Conduct that enables its members to identify and declare actual or potential conflicts of interest?</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Is the Board committed to the organisation’s mission and values and actively involved in promoting them and enhancing the public standing of organisation?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the Board have procedures in place to ensure that no Board Member derives personal benefits by virtue of that position?</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Are Board Members good advocates for the association on RH issues?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Are Board members engaged in disseminating program information to their peers and throughout their network?</td>
<td></td>
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</tbody>
</table>

3. **The governing body determines the organization’s strategic direction and policies:** These questions are meant to help the Board reflect on the extent to which they are involved in setting the strategic direction of the organization and developing policies to guide how the organisation operates.

<table>
<thead>
<tr>
<th>Question</th>
<th>Y</th>
<th>I</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Was the Board involved in the development of the organisation’s strategic plan?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is there evidence of the Board keeping itself abreast of developments that might affect the organisation's capacity to pursue its mission?</td>
<td></td>
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</tbody>
</table>
Has the Board approved a set of policies covering all essential areas of operation?

Specifically, is there a policy specifying that the organisation will not discriminate on any ground in any aspect of its work?

Has the Board ensured that there is a HIV/AIDS workplace policy in place?

4. **The governing body appoints and supports the CEO:** This section is intended for the Board to review its relationship with the CEO and to the operational side of the organisation. A good working partnership between the governing body and the CEO is essential to all organisations and is one worthy of careful and continuous cultivation.

<table>
<thead>
<tr>
<th>Has the Board developed a job description for the CEO position defining its powers and duties together with an appropriate reward package?</th>
<th>Y</th>
<th>I</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Has the Board established and followed a robust and transparent recruitment procedure for the position of the CEO?</td>
<td>Y</td>
<td>I</td>
<td>N</td>
</tr>
<tr>
<td>Does the Board assess the CEO annually and in writing?</td>
<td>Y</td>
<td>I</td>
<td>N</td>
</tr>
<tr>
<td>Does the current governance allow for effective management?</td>
<td>Y</td>
<td>I</td>
<td>N</td>
</tr>
</tbody>
</table>

5. **The governing body monitors and reviews the organization’s performance:** This section relates to how well the Board knows where the organisation is in relation to its strategic plan and annual programme.

<table>
<thead>
<tr>
<th>Is the Board satisfied that the timeliness, quality, and clarity of the periodic reports it receives enable it to make informed decisions regarding the organisation’s performance?</th>
<th>Y</th>
<th>I</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do Board meeting minutes reflect discussion and decisions taken in relation to those reports?</td>
<td>Y</td>
<td>I</td>
<td>N</td>
</tr>
<tr>
<td>Does the Board review the annual performance of the organisation in relation to its agreed strategic objectives?</td>
<td>Y</td>
<td>I</td>
<td>N</td>
</tr>
</tbody>
</table>

6. **The governing body provides effective oversight of the organisation’s financial health:** This section is concerned with the finances of the organisation and the Board’s capacity to monitor them. It must satisfy itself that the control systems in place are adequate to protect the organisation from loss and waste; and that it has taken the steps necessary to continue operations in the future.

| | Y | I | N |
Do the minutes of the Board meetings reflect approval of the annual budget, review of subsequent spending, appointment of external auditors, and review of annual accounts and management letter?

Has the Board approved an appropriate control framework to protect the organisation’s assets from loss of any kind or from waste of resources?

Has the Board identified and recorded the risks facing the continuity of its activities and taken appropriate action to manage those risks?

Has the Board developed a plan to ensure sufficient financial resources for mission implementation?

7. **The governing body is open, responsive, and accountable:** The organisation must be able to show, at any time, what is being achieved and how it is done. The trust of the organisation’s clients and supporters must be secured by making accurate and accessible information available to them and recognition that complaints will be handled diligently and fairly.

<table>
<thead>
<tr>
<th>Question</th>
<th>Y</th>
<th>I</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the Board ensure that the organisation has mechanisms in place to enable the engagement of service users and stakeholders in the organisation’s planning, decision making, and evaluation?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the Board ensure that annual reports are readily understandable, widely disseminated, and accessible to the public?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the Board ensure that donor requirements are met in full, including those of IPPF?</td>
<td></td>
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</tr>
<tr>
<td>Does the Board ensure that the association activities are in line with Government policies?</td>
<td></td>
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<tr>
<td>Is the Board committed to the creation of partnerships with donors and other relevant institutions</td>
<td></td>
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</table>

8. **The governing body ensures its own review and renewal:** This section concentrates on the performance and composition of the Board itself. It is a generally accepted that an effective Board is one where the individual members come from diverse backgrounds and possess a wide range of skills. Boards need to ensure that their membership is regularly renewed and reinvigorated by attracting new people prepared to serve on them. Board work needs to be rewarding for each member: to achieve this, members need support as they learn more about the organisation and how they can best contribute to its work.

<table>
<thead>
<tr>
<th>Question</th>
<th>Y</th>
<th>I</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is there a set term of office for individual members and a limit to the number of terms an individual can serve?</td>
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<td></td>
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</tr>
<tr>
<td>Question</td>
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<tr>
<td>-------------------------------------------------------------------------</td>
<td></td>
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<tr>
<td>Does the Board actively seek to recruit beneficiaries to serve in a</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>governance role?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the Board actively pursue a strategy to develop and encourage a</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>diverse and skilled membership that reflects the community it serves?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the Board make effective use of the time and skills of its</td>
<td></td>
<td></td>
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<tr>
<td>members and ensure that their capabilities are enhanced through</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>development and training?</td>
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<td></td>
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<tr>
<td>Does the Board formally assess its own performance annually?</td>
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</table>
Suggestions for improvement

1. **Board knowledge and awareness:**
   - Conduct an induction training for new Board members and updates for existing members
   - Provide essential governing documents to the Board (constitution, regulations, strategic plan, Board policies, etc.)
   - Invite outside experts to fill in gaps of members’ knowledge
   - Visit sites where the organisation is implementing its programmes

2. **The governing body ensures member integrity and collective responsibility:**
   - Spending time with the Board to develop a code of conduct
   - Reviewing Board member’s responsibilities
   - Discussing the importance of the Board acting as one and for individual members to not show public disagreement with a decision the Board has taken
   - Providing advocacy training for Board members and developing an advocacy plan in partnership with the Executive Director and key staff

3. **The governing body determines the organization’s strategic direction and policies:**
   - Reviewing the strategic plan together with Board if members are not acquainted with it
   - Starting the process of developing a strategic plan for the organisation if there is none
   - Engaging the Board in thinking strategically about the organisation’s work and their own role
   - Reviewing existing policies to ensure they are up to date and identify areas where there is a gap
   - Developing a non-discrimination or anti-oppression policy for all aspects of the organisation; ensuring that the organisation has a HIV/AIDS workplace policy in place that is in line with international best practice and is being enforced

4. **The governing body appoints and supports the Executive Director:**
   - Reviewing the Executive Director job description to make sure it is up to date and gives sufficient powers for the Executive Director to effectively manage the organisation
   - Reviewing the reward package to ensure it is competitive for the sector
   - Establishing an appraisal system for the Executive Director
   - Reviewing or developing policies defining the Board’s relationship with the Executive Director and organisation’s staff, and limitations to executive powers
   - Reviewing whether and how well those policies are followed in practice

5. **The governing body monitors and reviews the organisation’s performance:**
   - Reviewing whether reports for the Board give sufficient and succinct information regarding the implementation of the organisation’s programme and budget
   - Ensuring that reports are sent to Board Members in advance of meetings and that these are read and understood
   - Developing a Board calendar that makes it clear which matters will be discussed at future meetings and which reports the Board can expect to receive and when
   - Setting aside at least one Board meeting per year to review how well the organisation’s performance measures up to its agreed strategic objectives
6. **The governing body provides effective oversight of the organisation’s financial health:**

- Setting aside adequate time to review external audit reports and agree on actions to address any recommendations made
- Developing and implementing a resource mobilization plan in partnership with the organisation’s staff
- Establishing a risk register, regularly reviewing it for accuracy, completeness, and monitoring of identified high risk activities
- Reviewing the internal control framework of the organisation and identify any areas that need strengthening
- Asking the external auditor to review specific areas of the organisation’s internal controls

7. **The governing body is open, responsive, and accountable:**

- Inviting stakeholders to the organisation’s planning meetings
- Ensuring that client’s opinions and feedback are collected and considered when reviewing programmes and services
- Establishing a complaints system and procedures
- Making sure that annual reports give an accurate picture of the organisation’s activities and how it operates
- Making the minutes of governing body meetings available for consultation by individual members of the organisation
- Opening up annual general meetings, or parts thereof, to the general public
- Ensuring that the Board is fully aware of donor requirements and for adherence to reporting deadlines

8. **The governing body ensures its own review and renewal:**

- Establishing term limits for serving on the Board
- Conducting a Board profile review to identify skills and backgrounds currently missing on the Board
- Actively seeking out individuals in the community with skills and backgrounds that could enrich the work of the Board
- Developing a Board calendar that clearly identifies what topics each Board meeting will address
- Holding a Board retreat to plan the work of the year(s) ahead and identify training needs
- Ensuring that Board meetings are held at times and locations suitable for Board members.