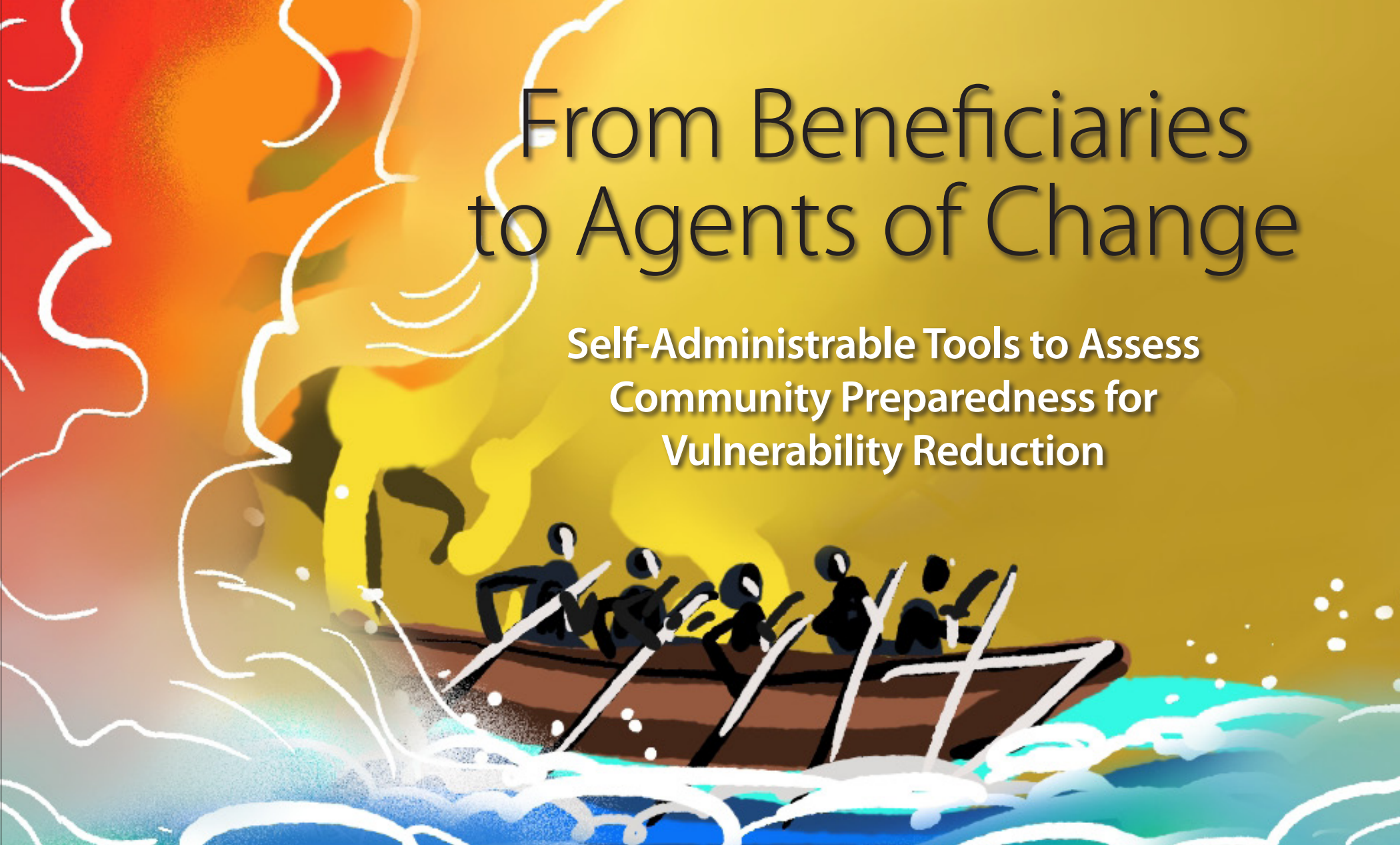


An illustration of a wooden boat with five rowers in a turbulent sea. The background is a fiery orange and yellow sky with white, swirling clouds. The water is a mix of blue and green with white-capped waves. The rowers are depicted as black silhouettes with white oars.

From Beneficiaries to Agents of Change

Self-Administrable Tools to Assess
Community Preparedness for
Vulnerability Reduction

Design and content evolved by

PRAXIS

Institute for Participatory Practices

A decorative graphic at the bottom of the page consisting of stylized blue and green waves with white outlines.

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From Beneficiaries to Agents of Change

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Foreword

Community mobilisation has been a common vehicle for externally engineered development interventions since a couple of decades, though for differing purposes depending on the ideological foundations of these interventions. On one end of the spectrum we see it as a vehicle for better service delivery/crowd management and on the other as the pivotal driver for changing power equations.

The Avahan initiative by the Bill and Melinda Gates Foundation (BMGF) in India looked at its community groups as vehicles for delivering effective targeted interventions as well as a means of empowering them. Over the years, given the societal stigma faced by its constituent communities – female sex workers, transgenders, men who have sex with men and injecting drug users – the significance of community mobilisation has increased.

Given the increased importance of community mobilisation in the Avahan initiative, BMGF engaged Praxis to design and implement a robust framework to monitor and nurture its community mobilisation efforts. Together with the communities, the local partner NGOs, the State Lead Partners, Avahan, and other experts, Praxis developed a framework that hinged on a pathway that saw communities moving from being a ‘user’ to ‘owner’ in the service delivery realm; from ‘being aware’ to ‘claiming their rights’ vis-à-vis their citizen rights; and moving from ‘being visible’ as an organised entity to ‘be able to assert’ in the realm of their relationship with society. The process was designed by engaging the communities in a manner that raised their critical consciousness with the ultimate aim of the community-based organisation making the transition from a non-community- owned and facilitated entity to a community-owned entity.

In continuation with the commitment to further devolve the ‘power’ of monitoring, Praxis designed a Self Assessment Tool (SAT) to help communities monitor the strength and progress of their mobilisation. *From Beneficiaries to Agents of Change* is both a chronicle of the journey Praxis travelled with the communities as well as an output that was co-created with the communities with inputs from Avahan’s State Lead Partners, NGOs and the Avahan team. We invite you to engage, critique and build upon this to further the journey towards a more informed and empowered community.

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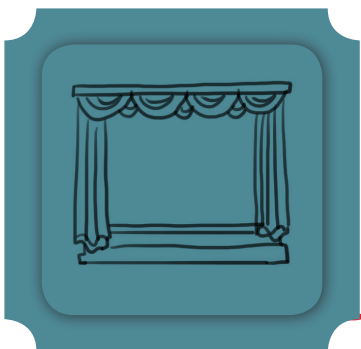
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Introduction

1. Background

For any democratic change process to be monitored, a core prerequisite for understanding progress is to understand the status of community mobilisation that is taking place around that change element. This could be either at the level of the project, the organisation or any social unit. However, understanding community mobilisation has been limited to perceptions surrounding the leadership's understanding of project-related processes and its implementation at the organisational level.

There has seldom been an attempt to create monitoring systems that systematically understand community mobilisation beyond project objectives and logical frames. Studies show that very little effort has been made to inform the affected communities on actions that could strengthen democratic ownership of community institutions, programme and process by the primary stakeholders involved in it. Often, points of reference have little information that strengthen the community's perspectives and enable community ownership as well as strengthen processes of accountability. There is a need for the community to understand terms and processes of transition from non-community-owned and facilitated processes to community-owned and -facilitated processes.

One component of Avahan II [the comprehensive HIV prevention project that is being supported by the Bill and Melinda Gates Foundation (BMGF) across six high prevalence states in India] focuses on rigorous strengthening of community capacity and management capacity on the ground so that communities are ready to engage with the government and operate institutions that facilitate their access to entitlements. With this objective, Avahan has been working through a community mobilisation approach. In the context of monitoring the quality of processes of community mobilisation at the level of each Community-Based Organisation/ Group (CBO/G), there is a need to reflect upon certain indicators to determine how change is taking place at this level.

Praxis - Institute for Participatory Practices has evolved a set of tools that measure progress of community preparedness and ownership with respect to the programme of vulnerability reduction.¹ The Community Ownership and Preparedness Index (COPI) tools have been used to inform the community mobilisation strategies across 40 CBOs in six states.

¹ Source: Design of a Community Ownership and Preparedness Index: using data to inform the capacity development of community-based groups; by Tom Thomas, Pradeep Narayanan, Tisha Wheeler, Usha Kiran, Joseph M J and Ramanathan T V

The Self Administrable Tools (SAT) are envisaged as a set of tools and processes that strengthen this integral link of community identity and ownership in project cycles that marginalised communities are a part of. They have been evolved with the objective of enabling community members to develop, own and use monitoring systems that inform them about key parameters and indicators that measure progress in community mobilisation processes for HIV prevention. Using these tools, one can locate the action taken by the CBG on community mobilisation with regard to different indicators and parameters, in one of the six bands of performance – Basic, Foundation, Promising 1 & 2 and Vibrant 1 & 2. It further guides the community to plan and take the necessary action to progress from one band to the other.

The tools were evolved through a process of consultation and piloting across 40 CBOs in six states of India. The tools have been constantly improved upon and the present form of the self-administrable tool has been piloted in three CBOs. The SAT is in the form of a standard tool that can be administered by any CBO that works in a Targeted Intervention (TI) framework across India.

These tools have their theoretical and methodological rigour borrowed from the Community Mobilisation Monitoring System that Praxis - Institute for Participatory Practices built to monitor community mobilisation for the Avahan II project that is being supported by the BMGF.

2. UNDERSTANDING STEPS TO BUILD COMMUNITY MOBILISATION UNDER THE TARGETED INTERVENTION

The term 'Community', defined in its widest and most inclusive sense, is a group of people who have something in common and will act together in their common interest. In the current context, 'community' refers to the four groups at highest risk of HIV in India: female sex workers (FSW), men who have sex with men (MSM), transgenders (TGs) and injecting drug users (IDUs). HIV risk is not solely a matter of individual behaviour: "In addition to individual risk, HIV transmission can further be seen as being impacted by vulnerability which stems from social, economic, and other structural circumstances that increase vulnerability to infection, deter individuals from seeking essential prevention services, or enhance the likelihood of engaging in unsafe behaviour."² Thus, vulnerability to HIV must also be addressed at the level of the community³ and the tools will look at the above-mentioned vulnerable groups as 'community'.

The term 'community mobilisation' describes the process by which community members, "Utilize their intimate knowledge of vulnerability to overcome the barriers they face and realise reduced HIV risk and greater self-reliance through their collective action."⁴ It has been argued that HIV prevention intervention will be more effective and more sustainable if it develops a programme centred around the strengthening of key population identity through: a) building the capacity of community members in tackling issues of discrimination, stigma, exclusion, powerlessness; b) building collective ownership of these processes through strengthening community agencies. This enables a reduction in vulnerability and risk associated with HIV and AIDS as communities begin to negotiate these on their own with an empowered basis of engagement. Their ability to negotiate with vulnerability and risk grows

²Bringing HIV Prevention to Scale: An Urgent Global Priority. Global HIV Prevention Working Group, June 2007.

³Community Mobilisation and AIDS. UNAIDS technical update, April 1997.

⁴Avahan – The India AIDS Initiative: The Business of HIV prevention at Scale. New Delhi: Bill & Melinda Gates Foundation, 2008

with their ability to sustainably assert their collective identity and own processes of engagement in different spaces such as within projects designed as TIs, with the state and with other stakeholders that affect their life on a day-to-day basis.

The process of community mobilisation was initiated with the aim of helping community members overcome their isolation, identify with one another and build social ties based on their shared experiences. Initially, community guides were identified from within the community and then trained to be peer educators in the intervention, responsible for sensitising other community members about HIV prevention and imparting information and skills. The active recruitment of peer educators in various project-related tasks strengthened skills and confidence within a growing base of community members. Community collectivisation around the interventions was naturally fostered by promoting community participation in all its service delivery options, such as condom promotion and distribution, sexually transmitted infection (STI) clinics, drop-in centres, outreach services, needle exchange programmes, oral substitution programmes, developing materials for behavioural change communications and communicating the same.⁵ Members began to participate in the management of drop-in centres, and community-led programme committees and crisis management/advocacy committees were formed to oversee and support the interventions. Community members also began to discuss common issues such as stigma (related both to HIV and identities), violence inflicted by the police, and denial of entitlements such as ration cards.⁶

When the community defines HIV prevention as part of its own agenda, uptake of services and commodities is higher than when services are “imposed” upon it. Community-led interventions leverage the existing organic bonding among community members so that individual community members take an interest to support their community members in accessing information and services. This leads to a more rapid and saturated coverage of community members.

3. DEFINING COMMUNITY-BASED ORGANISATIONS

Organisations owned and operated by what were earlier referred to as key population (KP) collectives, can be effective in addressing and scaling up HIV prevention interventions. Community-led initiatives allow communities to play the role of a consumer pressure group to maintain and reinforce the quality of services. Long-term sustainability of an intervention depends in part on the level of ownership that has been built within the marginalised community. Towards this, TI's have looked at facilitating the formation of community based groups and strengthening them towards becoming community-based organisations. “Community-Based Group” (CBG) refers to a collective of Key Population (KP) who get together around the access and use of services that are provided by implementing organisations that implement a TI. “Community-Based Organisation” (CBO) represents a further developmental stage in community mobilisation which includes bringing the community together to organise itself as a community collective, define a purpose, register

⁵ Drop-in centres are places for community members to gather: they are typically simply furnished rooms that can accommodate 50–150 people, with bathing facilities. They are often situated next door to the programme-managed medical clinic. With no similar refuge available, drop-in centres have become the hub of community life.

⁶ Ration cards are issued by the government and permit card-holders to procure essential goods at subsidised prices.

its existence and develop a process of institutionalisation through democratic mechanisms. This involves the articulation of the group's vision and mission; the developing of policies and principles to govern the organisation and achieve short- and long-term goals of the collective; as well as put in place systems that ensure compatibility of the organisation with legal standards for its existence.

A CBO is different from an NGO in its formation and the type of work it does. A crucial difference is that while a CBO is started by community members from the same community, an NGO is formed with people who are not necessarily from the communities they serve. Furthermore, while NGOs are also for community benefit, their programmes or activities are normally at a different level, i.e., to conduct research or capacity building while CBOs normally focus on the delivery of social services, like home-based care or arts.

CBOs are/have:

1. **Membership-based organisations:** Beneficiaries are members of the CBO, rather than mere recipients of services. There is a general body, exclusively of community members.
2. **Community-led organisations:** Only community members can become office-bearers or members of the governing body.
3. **Accountable leadership:** The leadership is selected by the general body through a process where the community members assert their choice. There are also systems and practices by which the community makes the leadership accountable.
4. **Dynamic composition of leadership:** Leaders who represent the key population change periodically through a selection process that has been commonly agreed upon in keeping with the principles of continuity and change.
5. **Volunteering leadership:** The primary role of representing the community in the leadership forum needs to be non-remunerated. Nevertheless, even if remunerated, that needs to be raised by communities.
6. **Non-negotiable principles:** Membership to CBO is based on vision and purpose of CBO – both are non-negotiable.

4. UNDERSTANDING THE VARIOUS SPACES WITH WHICH THE COMMUNITY-BASED GROUP RELATES AND ACTS TO STRENGTHEN COMMUNITY AGENCY

The community organisation interacts in various spaces to strengthen its agency of action and assert its work across different stakeholders in a TI model. Primarily, it works towards building solidarity and emerging as a representative body of community members in a particular geographical area. This is affected by strengthening its Organising Capacity. It involves the emergence of community leadership that is capable of addressing immediate and strategic needs of community members, building solidarity among community members, making independent decisions, facilitating democratic selection of leadership and the formulation of the organisation's vision, mission and goals. It further looks at the different processes of accountability and transparency that are institutionalised through systematic governance and community involvement in strategic decision-making.

The CBO further facilitates the community agency to come to the fore as far as owning project processes, claiming rights and entitlements from the state and asserting its identity towards addressing issues of stigma and vulnerability in the larger society. This is assessed as the Effectiveness of the CBO.

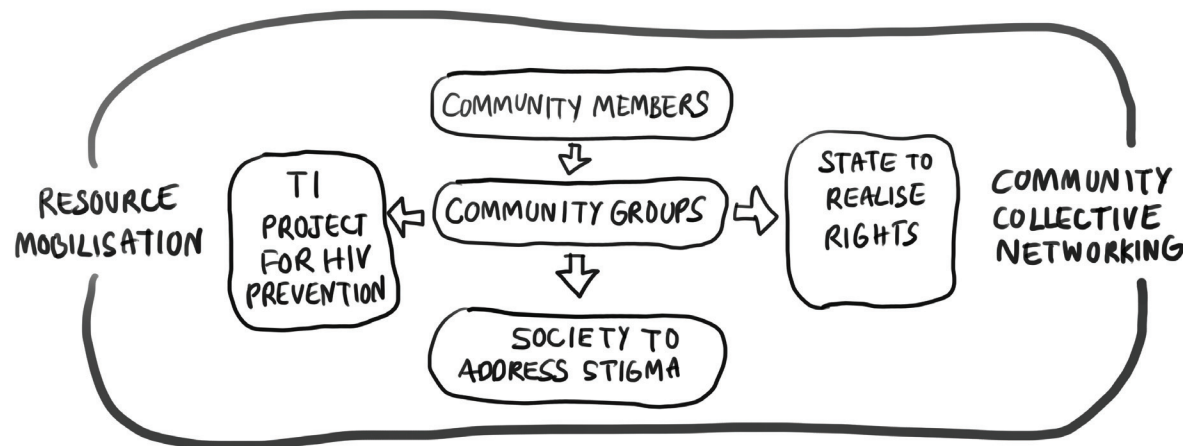
The CBOs working in the above-mentioned spaces can be sustained only through action that is taken towards addressing issues of CBO sustainability. This can be assessed by understanding the CBO's ability to facilitate volunteerism, mobilising resources for its continuing work with the KPs and networking with like-minded as well as other solidarity groups towards taking forward various advocacy issues that are of relevance to the community.

In other words, to realise its existential mandate, the CBO needs to engage with five different spaces in the capacity of:

1. An accountable organisation holding together a collective of marginalised community members.
2. A community-based organisation owning the project that is designed to address issues of vulnerability and risk to HIV and AIDS or such other projects as it acquires.
3. A community collective that advocates the claiming of rights and entitlements of its members from the state.
4. A community collective that addresses issues of stigma and discrimination and asserts its identity in its relationship with the larger society.
5. A community-based organisation that strengthens sustainability of community agency through resource mobilisation and networking. Here, volunteerism, adopting innovative resource mobilisation strategies and networking with like-minded collectives and supportive organisations, is seen as the key to vibrancy.

5. DEVELOPMENT OF PARAMETERS

Using the above assessment framework, three broad dimensions and eight parameters have been formulated to assess community mobilisation in the context



of the self-administrable tools. The three dimensions are Organisation Capacity, Sustainability and Effectiveness.

These three dimensions cater to the following eight parameters of Leadership; Governance; Decision-Making; Resource Mobilisation; Community Collective Networks; Project, Financial and Risk Management; Engagement with the State; and Engagement with Larger Society. Each parameter has between one and five indicators and there are 27 indicators in total (see Annexure p. 9).

6. USING THE SELF-ADMINISTRABLE TOOLS

The self-administrable tools facilitate CBOs to evolve as "learning organisations" through developing systems and processes of collective learning within them. The SAT can

be used as part of a five-step process that strengthens a sense of community identity and ownership in project cycles. These steps are identified below as Assessment, Analysis, Planning, Action and Monitoring. These are a bundle of tools with participatory characteristics helping CBOs to evolve as dynamic organisations accountable to their constituents. These tools help them assess, plan and monitor their progress from a basic stage to a vibrant stage which characterises the ability of the community to own programmes of HIV prevention and vulnerability reduction.

The process of engagement envisaged by the SAT framework is represented through the diagram below.

Stages in the continuous process of collective learning through which a community-based organisation (CBO) studies its own progress, plans and acts to ensure high standards of community mobilisation in HIV prevention



Assessment

The CBO can use the self-administrable tools to assess and score its performance in various areas in the use of community mobilisation in HIV prevention.

Analysis

Using the information gathered from the assessment process, the CBO can analyse its performance with the help of the analysis tables in the self-administrable tool and find out which band of progression – Basic, Foundation, Promising 1 & 2 or Vibrant 1 & 2 it is in.

Planning

The CBO can use the analysis to frame an action plan to take it forward in the six bands of progression. The planning can be such that it ensures the performance of the CBO improves in indicators and parameters that require its specific attention. The tool gives the CBO an idea of what is the desired response in any given indicator, thus helping in planning.

Action

In this stage, the CBO executes its plan of action in the best possible way to ensure the desired change in the performance scores of the community mobilisation monitoring framework. The CBO can set itself a deadline of four to six months to achieve this goal.

Monitoring

The CBO can carry out periodic monitoring processes by repeating the assessment and the analysis to measure which stage of progression it is currently in and how it can plan and act to improve its performance.



The first set of the Self-Administrable Tools form Volume 1 of the series *From Beneficiaries to Agents of Change*. It is part of a two-part series, with the second part focusing on how CBOs can use the learnings from the first part to develop an action plan.

The first set of tools by themselves is actually a bundle of 15 tools, which together would help assess CBOs across indicators. At the end of each tool is an analysis table that can be filled based upon the information gathered from the tool. This analysis table gives the CBO an understanding of where it stands vis-à-vis the bands of progression. Also, at the end of the book is an analysis frame that tells the reader where the CBO stands with regard to the various indicators and parameters. While this can be filled directly also, it is advisable to engage with each tool as a participatory process in which all members of the leadership team can contribute and learn from.



Abbreviations

AMF	Annual Membership Fee	MSM	Men Who Have Sex With Men
BMGF	Bill and Melinda Gates Foundation	NACO	National AIDS Control Organisation
CBG(s)/CBO(s)	Community-based group(s)/Community-based organisation(s)	NGO	Non-Governmental Organisation
COPI	Community Ownership and Preparedness Index	PE	Peer Educator
DAPCU	District AIDS Prevention & Control Unit	RM	Response Method
FCRA	Foreign Contribution Regulation Act	RS	Response Support
FSW	Female Sex Worker	SACS	State AIDS Control Society
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome	SAT	Self Administrable Tool
IDU(s)	Injecting Drug User(s)	SiT	Simplified Tools
IT	Income Tax	SLP	State Lead Partner
KP	Key Population	STI(s)	Sexually Transmitted Infection(s)
LT	Leadership Team	TG	Transgender People
		TI	Targeted Intervention
		VMO	Vision, Mission and Objectives

The Big Picture

Initiate a discussion about the CBO with the Leadership Team to facilitate the tool below

COMMUNITY-BASED ORGANISATION

Name of CBO: When was it formed? When was it registered?

Has CBO implemented any TI programme? Yes/No (If "Yes", give name or type of programme / If "No", mention which TI programmes CBO members access)

NON-GOVERNMENTAL ORGANISATION

Name of the facilitating NGO:

Please tick [✓] the category of community members	MSM	FSW	TG	IDU	Others (Specify)
Fill in the data asked below	2 years ago		Previous year		Current year
Numbers of blocks/villages covered					
Estimated number of community members in CBO's operating regions					
Number of members registered in TI project*					
Number of members registered in the CBO**					
Number of members who paid annual fee					
*Evidence will be TI membership register **Evidence will be CBO membership or fees book					



Are you happy with the membership of the CBO?



.....



.....

Why are people not taking membership?
Give reasons.



.....

.....

.....

-9-

Analysis 1 – Organisational Structure

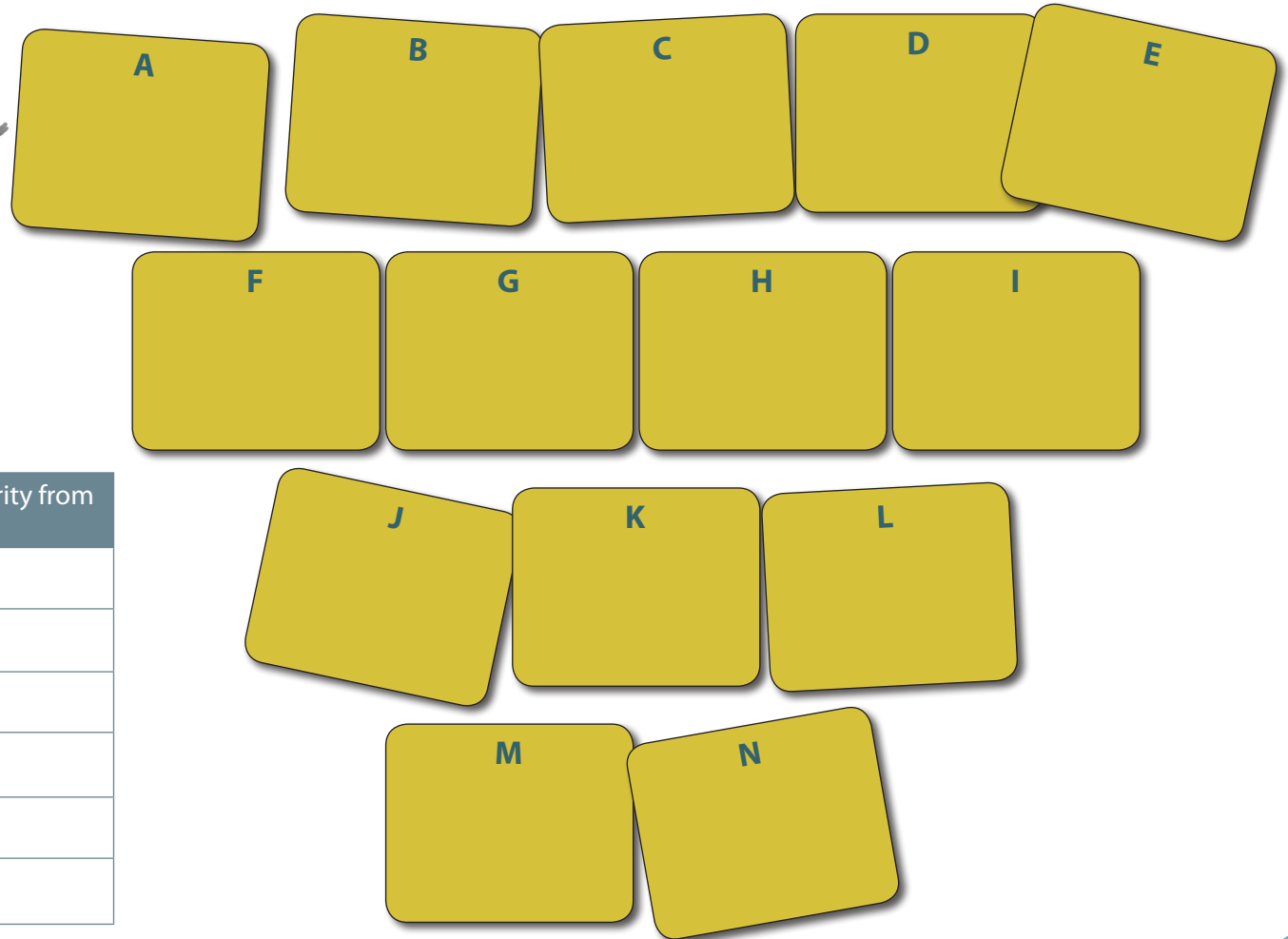
	Basic	Foundation	Promising		Vibrant	
	B	F	P1	P2	V1	V2
Organised collective formed and being strengthened						
1. Organisation formed and registered	Informal group	Formed and applied for registration	Registered	Registered and applied for Income Tax (IT) exemption	IT exempted	Registered under FCRA
2. Members Registered with subscription fees	Less than 100	100–300	301–500	501–800	801–1200	More than 1200

TOOL 2A

Evolving Vision, Mission and Objectives of CBO

TOOL 2A:

1. Discuss the reasons behind forming a CBO.
2. Use flash cards like these to list out various reasons for forming a CBO.
3. Now choose the six most significant reasons and fill them in the table below.



6 most significant reasons according to priority from the boxes

1	
2	
3	
4	
5	
6	

TOOL 2B

Orienting Community Members on Vision & Mission

Discuss about the vision and mission of the CBO and use this discussion to facilitate the tool below.

Processes of Evolving Vision	Responses					
1. Was a discussion held with community members on vision, mission need for forming CBOs?			 Yes, more than 2 years ago		 Yes, in the current year	
2. If yes, was that documented?						
3. Does periodic visioning process take place to orient new members about vision and mission?			 Yes, done but not regularly		 Yes, regularly at least once in 3 months	
Perception of Leadership						
4. Percentage of community members oriented on vision & mission	None	Less than 25%	25–50%	51–75%	76–90 %	Above 90%
5. Percentage of community members who believe in the need for CBOs	None	Less than 25%	25–50%	51–75%	76–90 %	Above 90%
6. Number of community members who have become CBO members	Decreasing		Stable		Increasing	
7. Membership of CBO	Decreasing		Stable		Increasing	
8. Number of members who do not hesitate to pay membership fee	Decreasing		Stable		Increasing	

Use the information from Tool 2A and Tool 2B above to tick [✓] the appropriate options in Analysis 2 below. This analysis corresponds to Parameter 1 on leadership and indicator 1A: Leadership Team has internalised the vision, mission, objectives (VMO) and the CBO has a structured programme to orient new members to VMO.

Analysis 2 – Leadership						
	Basic	Foundation	Promising		Vibrant	
	B	F	P1	P2	V1	V2
1A. Leadership Team (LT) has internalised VMO and CBO has a structured programme to orient members about VMO.						
Tool 2A	1 or 2 cards	list HIV prevention	HIV, rights, stigma	HIV, rights, stigma	HIV, rights, stigma	HIV, rights, stigma
From the table (p.10) you have filled in Tool 2A, please tick [✓] the relevant information.						
1. Discussion held	No	Yes, 2 years ago	Yes, in the current year			
2. Documented	No	No	Yes	Yes	Yes	Yes
3. Periodic vision process	No	Yes, not regularly	Yes, not regularly	Yes, every 3 months	Yes, every 3 months	Yes, every 3 months
4. Percentage oriented on VMO	No	0–25	26–50	51–75	76–90	91–100

TOOL 3

Nature of Leadership Team Meetings

1. Discuss about meetings of the LT. For each meeting focus on who are present in meetings, how often such meetings are held, who facilitates the discussion during meetings, who takes and approves the decisions and are minutes taken.
2. Use this information to facilitate the tool alongside.

3A Nature of Leadership Meetings					
1. Does Board/Leadership Team (LT) meet as a stand by alone team?	 No, LT meets as part of community review team				Comments, if any
2. Do non-community members attend the meeting regularly?	Yes, for facilitating discussion	Yes, only for documenting	Yes, as silent observer	No	
3. Are LT meetings held regularly?	No	Yes, once in 3 months	Yes, once in a month	Yes, more than once in a month & as and when needed	
4. Do decisions taken by LT need approval from any other agency like NGO, etc.? (if yes, which decisions?)	Yes, for all cases	Yes, for some cases which require finances	No		
5. Are minutes of the meeting recorded?					



1. Go through minutes of the last three meetings. Use flash cards to write down one agenda on each card.
2. From these cards, choose 5 most significant agenda items in terms of importance to the community.
3. Fill these in the table below.

3B Ranking (5 most significant agenda items)	
Agenda 1	
Agenda 2	
Agenda 3	
Agenda 4	
Agenda 5	

Who introduced the agenda to the LT?

Select from the code cards alongside and tick [✓] the appropriate option in the column below.



A.

NGO

B.

LT with guidance
from NGO

C.

LT

D.

Others

3C Role of agenda setting in last three meetings

	Who introduced the agenda to the LT? (Tick [✓] the appropriate option)	Whether LT took any decision?		Did the decision require further approval?		
		👎	👍	👍	👎	NA
Agenda 1	A/B/C/D					
Agenda 2	A/B/C/D					
Agenda 3	A/B/C/D					
Agenda 4	A/B/C/D					
Agenda 5	A/B/C/D					

Based on the information from Tables 3A, 3B and 3C, tick [✓] the appropriate responses in Analysis 3 below. This analysis corresponds to Parameter 1 on leadership and Indicator 1B: Leadership independently sets agenda for CBO through regular board meetings.

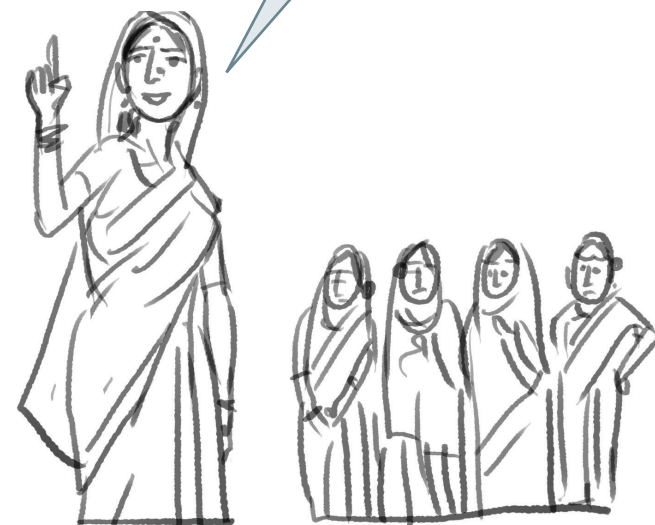
Analysis 3 – Leadership						
	B	F	P1	P2	V1	V2
1B. Leadership independently sets agenda for CBO through regular board meetings						
1. Board/LT meets as a stand-alone team	No	Yes	Yes	Yes	Yes	Yes
2. Support from non-community members needed	Yes	Yes, for facilitating discussion	Yes, for documenting	Yes, as silent observer	No	No
3. Regular Executive Committee meetings	No	Yes	Yes, once in 3 months	Yes, once every month	Yes, every month, and as and when needed	Yes, every month, and as and when needed
4. Decisions need approval	For all cases	For all cases	For cases relating to finance/budget	For cases relating to finance/budget	No	No
5. Minutes of meeting recorded	No	No	Yes	Yes	Yes	Yes
6. Agenda set by LT	Mostly by NGO	Mostly by NGO	Mostly by LT with guidance from NGO	Some by LT; most by guidance; none by NGO	LT sets agenda, but approval needed	LT sets agenda, no approval needed

TOOL 4A

Presence of Leadership Qualities in Community

Qualities	% of members who have the capacity	When compared to previous year		
		Decreasing	Stable	Increasing
Who can fight against violence?				
Who knows their rights and can stand up for their rights?				
Who has leadership skills?				
Who demands for HIV services on their own?				
Who stands for issues of the community?				
Who understands the need to make the community strong?				
Who knows their entitlements and can seek them?				
Who has economic independence?				
Who can make independent decisions on their lives?				
Who can assert their identity and become visible?				

1. Discuss what are the leadership qualities the leadership team should have. You can use flash cards to note down these qualities.
2. Discuss how many members have the qualities in the table below.
3. Discuss if the percentage is less.



TOOL 4B

Second-Line Leadership in CBO

	Current year	How does this compare with the previous year (Tick [✓] the right option)			Remarks/Comments
		Decreasing	Stable	Increasing	
How many community members paid their annual fee?					
How many members have come for meetings & events organised by CBO, at least once in the last 3 months?					
How many community members have been regularly attending meetings, events organised by CBO?					
How many community members are regular & also volunteer to organise activities of CBO?					
How many non-community volunteers are there?					
How many community members have contested or won CBO elections at any level?					
How many members outside LT can be termed as potential leaders?					

Use the information from Tables 4A and 4B to tick [✓] the appropriate responses in Analysis 4 below. This tool corresponds to Parameter 1: Leadership and Indicator 1C: Presence of second-line leadership.

Analysis 4 – Leadership						
	B	F	P1	P2	V1	V2
1C. Presence of second-line leadership						
1. Number of required leadership qualities (from Tool 4A) found in at least 50% of CBO members	1 out of 10	3 out of 10	5 out of 10	8 out of 10	10 out of 10 and at least 4 in more than 75%	10 out of 10 and at least 6 in more than 75%
2. Percentage who pay annual fee	10%	40%	60%	60%	80%	100%
3. Percentage who regularly attend meetings/events	5%	10%	30%	50%	60%	70%
4. Volunteers (regular)	5–10	11–50	51–100	101–200	201–300	more than 300
5. Those contested or won elections at any level	10–20	21–30	31–50	51–100	110–200	201–500
6. Potential leaders outside Board/LT	10–21	20–31	30–51	50–101	100–201	200–501

TOOL 5A

Crisis Response by CBO

1. Discuss whether the CBO has handled any crisis faced by the community members and if there is a crisis response team in place.
2. Tick [✓] the correct answers below.



Is there a crisis response team?

No:

Yes, in some sites
(less than 50% of blocks):

Yes, in many sites
(more than 50% of blocks):

Yes, in all sites:



Are the cases recorded?

No:

Yes, but irregularly.
Not all cases get recorded:

Yes, regularly, with
details about all crisis cases:



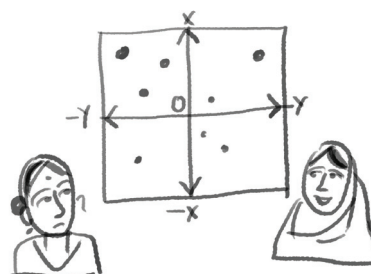
How many cases has CBO got involved in?

Last 1 month:

Last 3 month:

Last 6 month:

Last 1 year:



Are these cases analysed by LT in terms of performance and gaps?

No:

Yes, but not in a
systematic* way:

Yes, in a clear, systematic way.
(report present):

* Discussed & Documented

TOOL 5B

Specific Cases Discussion

1. Discuss about specific incidents of crisis that the community members have faced.
2. Use flash cards like the one below to write down details of 10 significant cases the CBO responded to in the last six months (or in the last 12 months if there were fewer than 10 in the last 6 months).

CASE:

Case in Brief:

Typology of victim, other stakeholders:

Select five cases from the flash cards you have written on to correspond to the five response methods illustrated below. Keep these five cases separately.

Response Method (RM) Codes



RM1-Advising or providing relief to victim

RM2-Discussing with perpetrator as individuals



RM3-Discussing with perpetrators as CBO



RM4-Taking action through systematic process (FIR, RTI, petitions)



Response Support (RS) Codes

RS1-By NGO (e.g., legal support is provided by an NGO for some cost)

RS2-By peer educators

RS3-By the team that is supported by project

RS4-Responded by team which is purely volunteers

RM5-Facilitating campaigns, mobilising support from community, setting up the process of some policy change



Based on the RM and RS codes, fill in the details of the five cases you have chosen in the table below.

Ser. No	Describe the crisis	How did CBO respond	What was the response method adopted	Who supported the CBO in responding to the crisis?
	Victim, perpetrator, date, nature of problem	What did the CBO do? (evidence for RM & RS)	Choose the codes (on previous page)	Choose the codes (on previous page)
1				
2				
3				
4				
5				

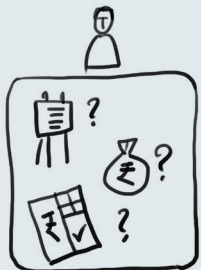
Use the information from Tool 5A and 5B to tick [✓] the appropriate options in Analysis 5 below. This tool corresponds to Parameter 1: Leadership and Indicator 1D: Leadership Team is leading a functional crisis response system.

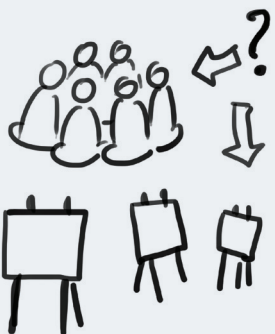
Analysis 5 – Leadership						
	B	F	P1	P2	V1	V2
1D. LT is leading a functional crisis response system						
1. Presence of functional crisis response team	No	Team at district level	Team and lead at sites	With hotline	With hotline and legal support	With hotline and legal support
2. Cases properly recorded and analysed	No	Yes, irregularly	Yes, irregularly	Yes, regularly	Yes, regularly	Yes, regularly
3. Cases get analysed by LT	No	No	Yes, irregularly	Yes, irregularly	Yes, regularly and documented	Yes, regularly and documented
4. Diverse response methods	None	RM1	RM1–3	RM1–4	RM1–5	RM1–5
5. Minimal response support	RS1	RS1	RS1,2	RS2,3	RS3,4	RS4

TOOL 6

Mobilisation for Events

1. Discuss events organised by the CBO in the last one year and how many were anchored by the LT.
2. Look for evidence for the same, such as photographs of events or reports.
3. Facilitate the tool below by ticking the correct option.

6A Overall Process				Evidence	
	Are periodic events organised to bring the community together?				
	Are funds allocated for events?	No	Yes, with NGO	Yes, with CBO	
	Who decides the following?				
	a. What event has to be held?	NGO	CBO with support from NGO	CBO	
	b. How much funds are to be spent?	NGO	CBO with support from NGO	CBO	
	c. Who authorises funds?	NGO	CBO with support from NGO	CBO	

	Does any committee organise events?	No	Yes, formed as and when decided	Yes, standing committee	
	How many events have been organised? (Please mention the number of events in appropriate column alongside)	In last 3 months	In last 6 months	In last 1 year	

Use flash cards to list out at least ten events organised by the CBO in the last six months like in the card alongside. Mention details such as name of the events, the date of the event, brief description and number of participants.

From these flash cards, select the four events with maximum number of participants and place it on Table 6B on p.29.

Name:

Date:

No. of participants:

Details of event in brief:

Cards A1, A2, A3, A4, A5, A6 to be used for answering row on "Purpose" in Table 6B on p. 29.

Card A1
Festivals

Card A2
Important days

Card A3
Sensitisation of
community

Card A4
Resource
mobilisation
effort

Card A5
Demonstration
against violence/
policy

Card A6
Others

Cards B1, B2, B3, B4, B5 to be used for answering row on "Support from NGO/ state lead partners (SLP)" in Table 6B on p. 29.

Card B1
Funds

Card B2
Mobilisation

Card B3
Logistics

Card B4
Others

Card B5
None

Cards C1, C2, C3, C4, C5, C6 to be used for answering row on "Incentives to participants" in Table 6B on p. 29.

Card C1
Honorary

Card C2
Gifts

Card C3
Travel allowance

Card C4
Food

Card C5
Others

Card C6
None

Cards D1, D2, D3, D4 to be used for answering row on "Funding" in Table 6B on p.29.

Card D1
Entirely CBO

Card D2
Partly by Project

Card D3
Fully by Project

Card D4
Fully by participants

Place the four event cards you have set aside under Event 1, Event 2, Event 3 and Event 4.

Fill in the details asked in the table below.

Use the cards above to circle the appropriate code in the rows on Purpose, Support from NGO/SLP, Incentives to Participants, and Funding.

6B Specific Events

	Event 1	Event 2	Event 3	Event 4
Name of event				
Number of Participants				
Community				
Non-Community				
Government				
Purpose	A1/A2/A3/A4/A5/A6	A1/A2/A3/A4/A5/A6	A1/A2/A3/A4/A5/A6	A1/A2/A3/A4/A5/A6
Support from NGO/SLP	B1/B2/B3/B4/B5	B1/B2/B3/B4/B5	B1/B2/B3/B4/B5	B1/B2/B3/B4/B5
Incentives to participants	C1/C2/C3/C4/C5/C6	C1/C2/C3/C4/C5/C6	C1/C2/C3/C4/C5/C6	C1/C2/C3/C4/C5/C6
Funding	D1/D2/D3/D4	D1/D2/D3/D4	D1/D2/D3/D4	D1/D2/D3/D4

Use the information from Tables 6A and 6B to tick [✓] the appropriate options in Analysis 6 below. This tool corresponds to Parameter 1: Leadership and Indicator 1E: Leadership Team involves community in events and mobilisations.

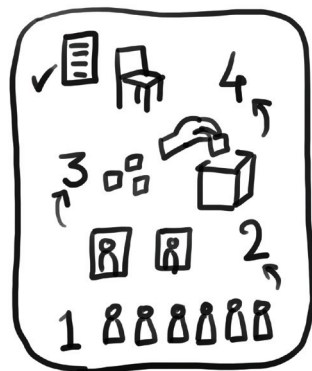
Analysis 6 – Leadership

	B	F	P1	P2	V1	V2
1E. LT involves community in events and mobilisations						
1. Regular events with minimal external support	Irregular	Irregular	Regular with NGO funds	Regular with NGO funds	Regular with CBO funds	Regular with CBO funds
2. Good number of mass events get organised in last 6 months	1	2	3	4,5	6,7	more than 8
3. Leadership decides and leads	No, NGO leads	No, NGO leads	NGO + CBO	NGO + CBO	CBO	CBO
4. Diverse purposes	1,2	1,2	1–3	1–4	1–5	1–5
5. Minimal incentives to participants	1–4	1–4	3,4	4	6	6
6. Funding	3	3	2	1	2–4	4

TOOL 7

Leadership Selection Process

1. Discuss about the general process followed for selection of the leadership team and board members and if any system for the same is in place.
Discuss previous elections.
2. Collect information to facilitate the Tool below. Tick [✓] the relevant options and fill in details where required



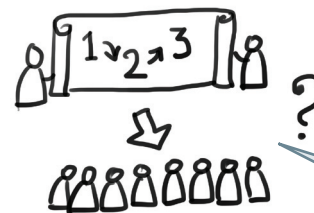
Is selection process clearly defined?

☹️

☺️ Yes, but not detailed:

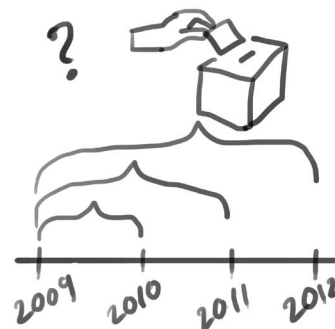
☺️ Detailed:

Whether there is provision for the following		
I. Election Committee	☹️	☺️
II. Right of any community member to contest	☹️	☺️
III. Any member to vote	☹️	☺️
IV. Right to recall	☹️	☺️



Is community consulted in finalisation of selection process?

Who			
No	Peer Educator (PE)	PE+Community leader (CL)	Wider Community
Nature			
No	Informing	Feedback	Decision



What is the periodicity of election as per bye-law?

Date of last two selections	
I	II



7 Information on most recent leadership selection process (Date of late selection process)												
Who funded the selection process?	NGO				CBO with its own funds							
	These two columns apply only to CBOs having elections at cluster/block levels											
Describe the selection process at multiple levels	Level 1 (site level or cluster or hotspot level)				Level 2 (middle level or block level)				Level 3 (top level/executive level or LT level)			
Good (75% or more) percentage of participation	At some sites	At many sites		At all sites	At some sites	At many sites	At all sites		Less than 25%	26–50%	51–75%	76–100%
Did more than one candidate contest/apply?	No	Yes, at some places	Yes, at many places	Yes, at all places	No	Yes, at some places	Yes, at many places	Yes, at all places	No	Yes, at some positions	Yes, at many positions	Yes, at all positions
Did members who were not previously part of the LT get elected/selected?	No	Yes, at some places	Yes, at many places	Yes, at all places	No	Yes, at some places	Yes, at many places	Yes, at all places	Less than 5%	6–15%	16–30%	More than 30%

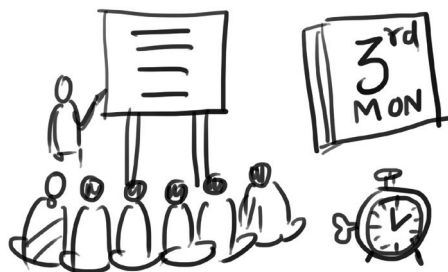
Use the information from Tool 7 to tick the appropriate options in Analysis 7 below. This tool corresponds to Parameter 2: Governance and Indicator 2A: Clear, regular and participatory selection process for leadership

Analysis 7– Governance						
	B	F	P1	P2	V1	V2
2A. Clear, regular and participatory selection process for leadership						
1. Well written selection process – detailed	No	Yes, not detailed	Yes, not detailed	Yes, detailed	Yes, detailed	Yes, detailed
2. Community consultation on selection methods and processes	No	PE	PE	PE+CL	Wider community	Wider community
3. Process	No	Informing	Feedback	Feedback	Decision	Decision
4. Existence of systems	None	At least 1 of 4	At least 2 of 4	At least 3 of 4	All 4	All 4
5. How often does the selection process take place?	None	more than 3 years	3 years	2 years	2 years	2 years
6. Funding	NGO	NGO	CBO+NGO	CBO	CBO	CBO
7. Participation in selection	None	Good at some	Good at some	Good at many	Good at all sites	Good at all; 76–100%
8. New members	None	Good at some	Good at some	Good at many	Good at all sites	Good at all; more than 30%

Accountability System

1. Discuss the accountability mechanisms in the CBO and what mechanisms are there at which levels.
2. Collect evidence for the same such as minutes register of review meetings, etc.
3. Facilitate Table 8A below by ticking the correct option.

8A Review Meetings					Remarks
Are review meetings held either at site level or cluster level?	No	Yes, at some places	Yes, at many places	Yes, at all places	
Are review meetings held regularly?	No	Yes, at some places	Yes, at many places	Yes, at all places	
Are reports of review meetings shared at LT meeting?	No	Yes, of some places	Yes, of many places	Yes, of all places	
Are reports of LT meeting shared at review meetings?	No	Yes, at some places	Yes, at many places	Yes, at all places	



Processes in review meetings in past 12 months		 Yes, in some places	 Yes, in many places	 Yes, in all places
Budget of CBO shared				
Minutes of LT shared				
Performance of LT discussed				
Crisis issue discussed				
TI project documented				

1. Discuss the general body meetings
2. Collect evidence for these meetings if any.

8B General Body (GB) meetings

Who comprises general body? —

All members of CBO

Leaders at site level

Number of general body members?

What is the quorum as per bye-law?

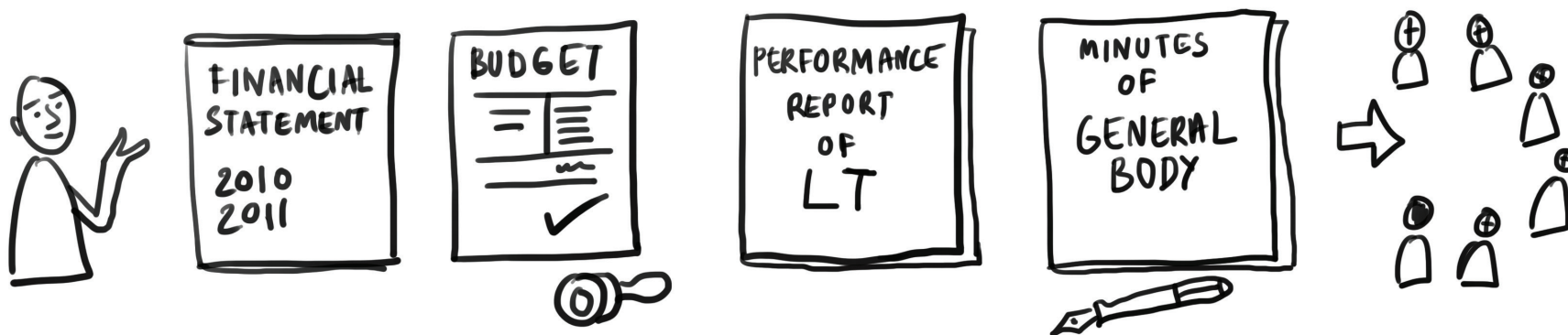
How often is general body meeting to be held?

Date of last two general body meetings

Date	No. of participants	% of required participants*



Process related to general body meeting		
Is finance statement of previous year presented?		
Is budget approved?		
Is performance report of LT submitted?		
Are minutes of general body meeting documented?		
Are minutes shared with all members?		



1. Discuss the presence of complaint box or suggestion box whereby there is flow of communication between the community and the leadership.
2. Collect evidence for the same.
3. Facilitate the two tables below.



		No. of complaints	Who looks at these complaints?	Example 1 (How complaints are resolved)	Example 2 (How complaints are resolved)

		No. of suggestions	Who looks at these suggestions?	Example 1 (of suggestion taken into consideration)	Example 2 (of suggestion taken into consideration)



Use the information from Tool 8 to tick the appropriate options in Analysis 8 below. This tool corresponds to Parameter 2: Governance and Indicator 2B: Leadership is accountable to wider community.

Analysis 8 – Governance

	B	F	P1	P2	V1	V2
2B. Leadership is accountable to wider community.						
1. Are regular review meetings on CBO performance at sub-regional level taking place?	No	Yes, at some places	Yes, at many places	Yes, at many places	Yes, at all places	Yes, at all places
2. Is the review meeting happening regularly at all places?	No	Yes, at some places	Yes, at many places	Yes, at many places	Yes, at all places	Yes, at all places
3. Is the report of the review meeting being shared in the board/ LT meeting?	No	Yes, of some places	Yes, of many places	Yes, of many places	Yes, of all places	Yes, of all places
4. Is the report of the board meeting shared in the review board/ LT meeting?	No	Yes, at some places	Yes, at many places	Yes, at many places	Yes, at all places	Yes, at all places
5. Is the TI project discussed during the review meeting?	No	Yes, at some places	Yes, at many places	Yes, at many places	Yes, at all places	Yes, at all places
6. Are crises issues discussed during the review meeting?	No	Yes, at some places	Yes, at many places	Yes, at many places	Yes, at all places	Yes, at all places

Decision Making

1. Discuss about the decision-making system in the CBO and its details.
2. Explain each of the code cards below.
3. Facilitate filling in Table 9A.

Cards A1, A2, A3 (below) to be used for answering. Is there a defined system of decision making in table 9A on p.41

A1
No

A2
Yes, but not written

A3
Yes, written

Cards B1, B2, B3, B4, B5, B6, B7 to be used for answering Lead decision makers in table 9A on p.41

B1
SLP

B2
IP

B3
Community facilitated by IP

B4
LT

B5
Office bearer

B6
Community group facilitated by LT

B7
Others

Cards C1, C2, C3, C4 to be used for answering community Involvement in Table 9A on p.42

C1

No-Community is not involved



C2

Informing-Some members are consulted & involved



C3

Feedback-Discussions/meetings organised with community, but decisions are made outside the meeting and these decisions are informed to the LT



C4

Decision Making-Decisions are made in the meeting facilitated by community members



Table 9A: Use the code cards on p.41 to tick [✓] the appropriate options in the table below.

	Is there a defined system of decision making	Describe the example	Lead decision maker	Community involvement	Score: A1=1, A2=2, A3=4, B1, B2=1, B3=2, B=4, B5=4, B6=6; C1=1, C2=2, C3=4, C4=5 Calculate the scores for each row based on the options ticked in the A column, B column and C column and write score in this column. Minimum score=3; Maximum score= 15
Formulation/changes to the bye-laws	A1/A2/A3		B1/B2/B3/B4/B5/B6	C1/C2/C3/C4	
Budget preparation	A1/A2/A3		B1/B2/B3/B4/B5/B6	C1/C2/C3/C4	
Appointment					
Core staff of CBG	A1/A2/A3		B1/B2/B3/B4/B5/B6	C1/C2/C3/C4	
PE	A1/A2/A3		B1/B2/B3/B4/B5/B6	C1/C2/C3/C4	
Other					
Person to represent CBG in					
Network meetings	A1/A2/A3		B1/B2/B3/B4/B5/B6	C1/C2/C3/C4	
Special events at national or state level	A1/A2/A3		B1/B2/B3/B4/B5/B6	C1/C2/C3/C4	
Capacity building prog. organised by IP/SLP	A1/A2/A3		B1/B2/B3/B4/B5/B6	C1/C2/C3/C4	
Other					
Expanding outreach services & membership					
New regions to be explored	A1/A2/A3		B1/B2/B3/B4/B5/B6	C1/C2/C3/C4	
New members to be brought in	A1/A2/A3		B1/B2/B3/B4/B5/B6	C1/C2/C3/C4	
Change in membership fees	A1/A2/A3		B1/B2/B3/B4/B5/B6	C1/C2/C3/C4	
Change in membership entitlements	A1/A2/A3		B1/B2/B3/B4/B5/B6	C1/C2/C3/C4	
Other					

Use the scores you have calculated in Table 9A to tick [✓] the appropriate scores for each of the six categories in Analysis 9 below. (Example, if you scored A3/B3/C4 in appointment of Core CBG staff, then according to the scoring pattern in the last column of Table 9A, you have scored 10. So tick [✓] 10 in the appointment row).

This tool corresponds to Parameter 3: Decision Making and Indicator 3A: Leadership is making strategic decisions with community participation.

Analysis 9A – Decision Making						
	B	F	P1	P2	V1	V2
3A. Leadership is making strategic decisions with community participation						
1. Bye-laws, amendments	4	6	8	10	12	15
2. Budget preparation	4	6	8	10	12	15
3. Appointment	8	12	16	20	24	30
4. Representing CBOs in external fora	12	18	24	30	36	45
5. Expanding CBO outreach and operations	8	12	16	20	24	30
6. Membership fees and entitlements	8	12	16	20	24	30



1. Discuss which are the existing committees in the CBO.
2. Use flash cards to write the names of committees that should exist in any CBO. Keep aside the committees that are present in your CBO.
3. Look at evidence for the functioning of these CBOs such as minutes register, reports of meetings of committee, etc.

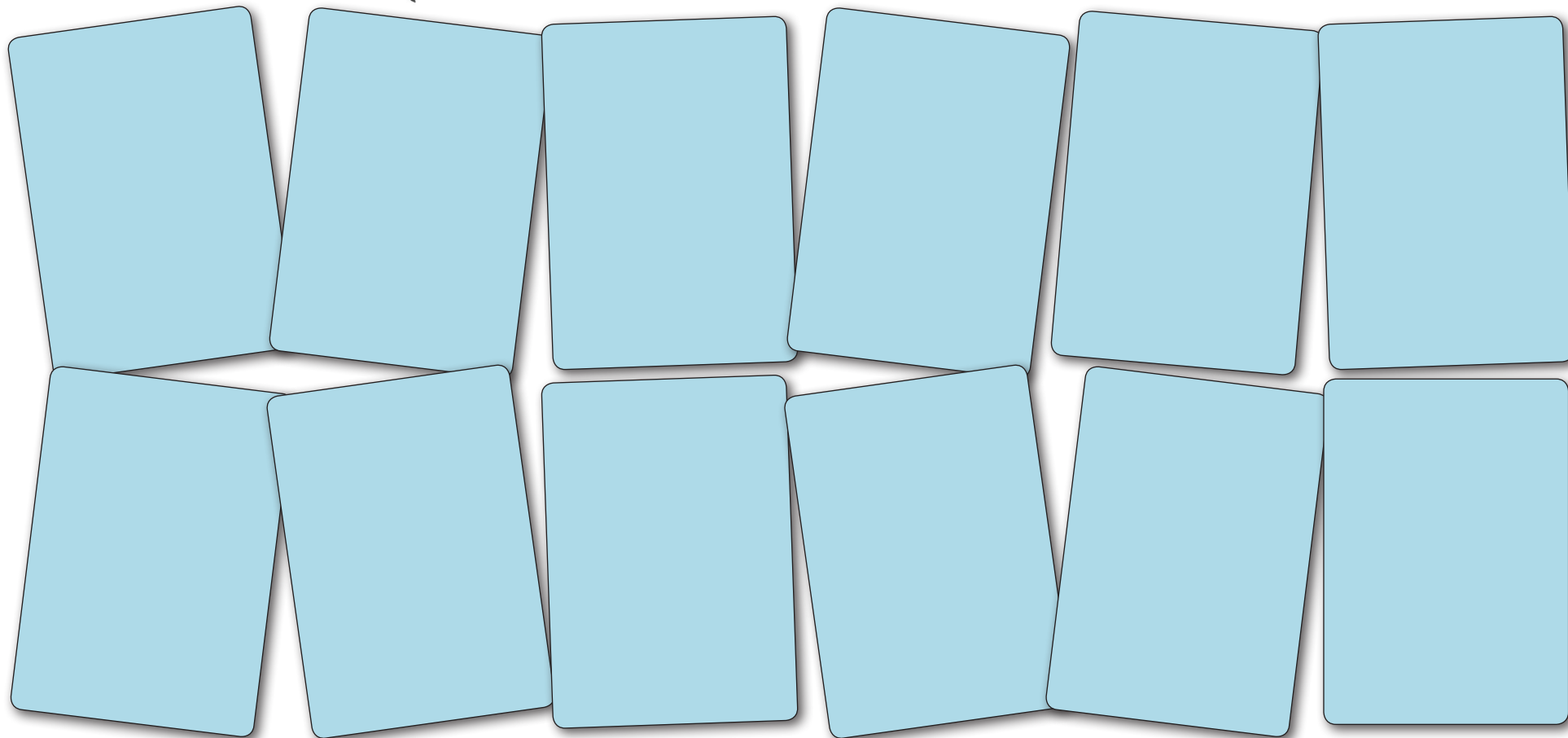


Table 9B: Use the flash cards on p. 44 with the name of the existing committees in the table below

Name of the existing committees at CBO level	No. of members in committee	Date of last 2 meetings	No. of members who attended the last meeting	Are minutes recorded (Tick [✓] the appropriate option)		Are minutes shared with LT (Tick [✓] appropriate option)		Is it supported by TI project? (Tick [✓] appropriate option)	
								Yes	No
								Yes	No
								Yes	No
								Yes	No
								Yes	No
								Yes	No

Presence of site-level committees

		Yes, in some sites	Yes, in many sites	Yes, in all sites
Crisis response				
Programme committee				

Use the information from Tool 9B to tick [✓] the appropriate options in Analysis 9B below. This tool corresponds to Parameter 3: Decision Making and Indicator 3B: Committees formed and functional for making emergency/urgent decisions.

Analysis 9B – Decision Making

	B	F	P1	P2	V1	V2
3B. Committees formed and functional for making emergency/urgent decisions.						
Crisis response committee	No	Formed but not functional	Irregular meetings	Regular meetings but require support	Regular and strong	Regular and strong
Project monitoring committee	No	Formed but not functional	Irregular meetings	Regular meetings but require support	Regular and strong	Regular and strong
Advocacy committee	No	Formed but not functional	Irregular meetings	Regular meetings but require support	Regular and strong	Regular and strong

TOOL 10

Resource Mobilisation

1. Discuss the various resources which are necessary for the CBO and from where the CBO gets its resources.
2. Use this information to facilitate the table below.

	Sources of resources for CBO			
	Membership fees	👎	👍 Yes, but we have not got funds	👍 We got funds
	Voluntary contribution (from/outside community)	👎	👍 Yes, but we have not got funds	👍 We got funds
	Submitting proposals to government	👎	👍 Yes, but we have not got funds	👍 We got funds
	Through events	👎	👍 Yes, but we have not got funds	👍 We got funds
	Submitting proposals to other agencies	👎	👍 Yes, but we have not got funds	👍 We got funds
	Through services for which fees are collected	👎	👍 Yes, but we have not got funds	👍 We got funds
	Processes			
	Does the CBO have a bank account?	👎	👍	
	Who manages it?	👎		
	Do TI funds go through the CBO bank account?	👎	👍	
	Does the CBO have an annual financial plan?	👎	👍	
	Does the CBO know the amount that needs to be raised for the year?	👎	👍	If yes, state the amount
	Has the CBO undergone process to come up with the corpus amount needed to sustain the CBO?	👎	👍	
	Does the CBO know the corpus amount?	👎	👍	If yes, state the amount

10B Quantum of resource mobilisation			
		Previous Year	Current Year
1	Internal sources		
A	Collection through membership fee		
B	Collection through voluntary contributions (from members)		
C	Others (any income generation programme of initiatives)		
2	External sources		
A	Contribution from IP/SLP		
B	Contribution from other NGOs		
C	Contribution from State AIDS Control Society (SACS)		
D	Through government schemes		
E	From other sources (events, proposal, sponsorship, etc.)		
	Total		

10C: Savings groups facilitated by the CBO (can be left if it does not apply to CBO context) previous year/current year		
	Previous Year	Current Year
No. of savings groups facilitated by the CBO		
No. of community members associated with self-help groups		
Quantum of resources generated		

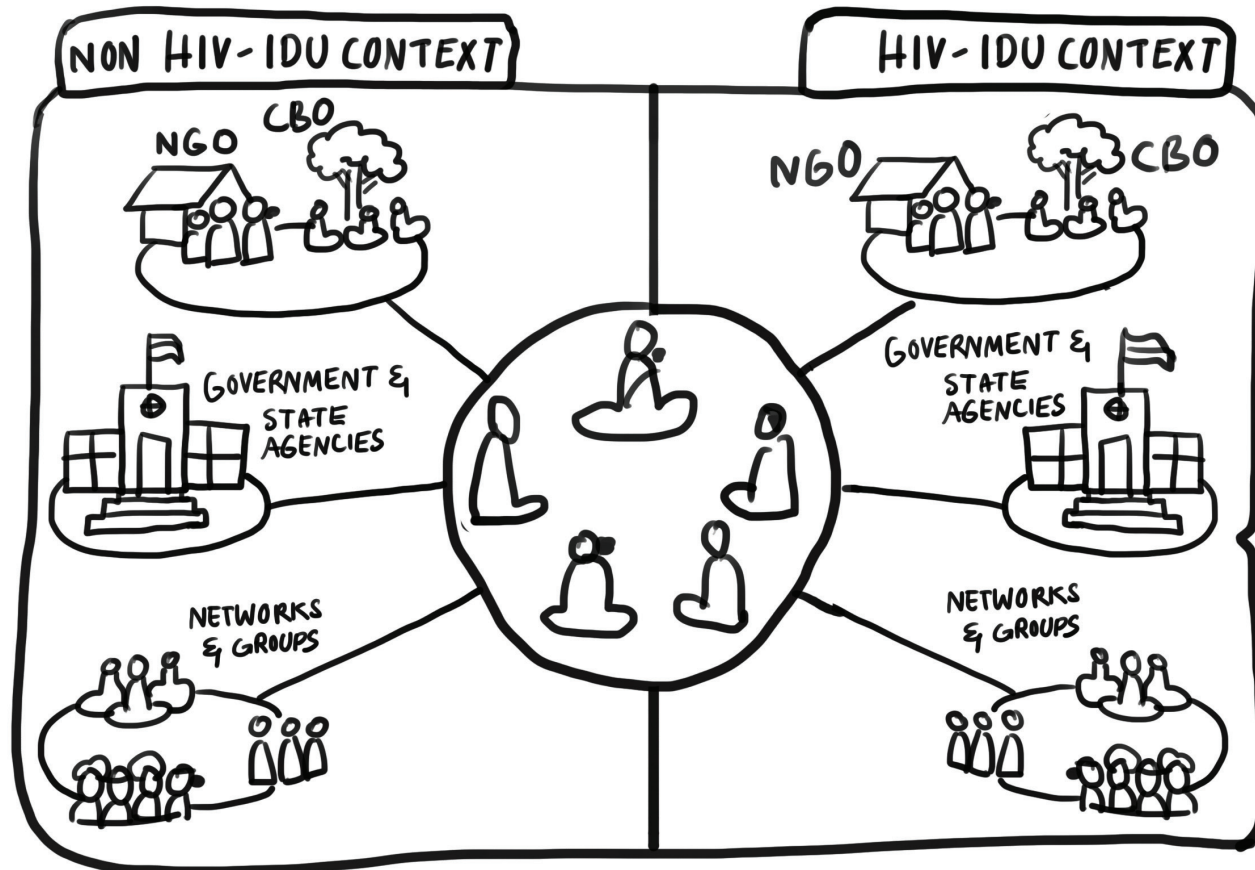
Use the information from Tool 10A, B, C to tick the appropriate options in Analysis 10 below. This tool corresponds to Parameter 4: Resource Mobilisation and Indicator 4A: Quantum of resources mobilised and Indicator 4B: Systems for effective resource mobilisation.

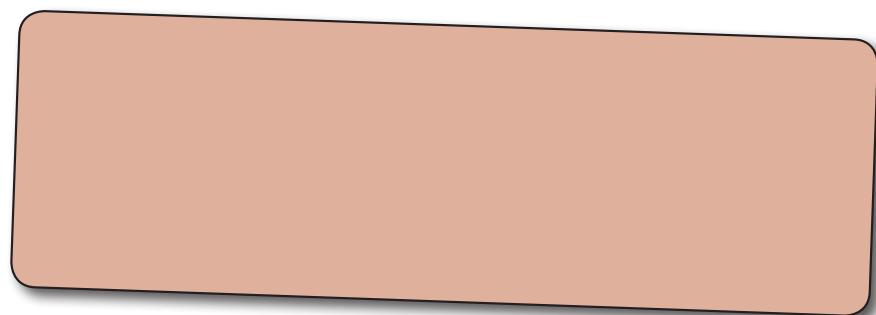
Analysis 10 – Resource Mobilisation

	B	F	P1	P2	V1	V2
4A. Quantum of resources mobilised						
Amount	0–1000	1001–10000	10001–50000	50001–200000	200001– 300000	more than 3 lakhs
Source (Membership fee, user fee, external NGO, events)	Any one source	Any two sources	Any three sources	Any four sources	Any four sources	Any four sources
4B. Systems for effective resource mobilisation						
Resource mobilisation plan	No bank account	Bank account exists and annual financial plan prepared	Minuted discussion on corpus exists	Proposals submitted to external agencies	LT leading proposal development and successful	LT leading proposal development and successful

TOOL 11

Networking





1. Discuss the organisations, groups, government departments and networks that the CBO engages with.
2. Use flash cards like the above to write out the names of who your CBO networks with.
3. Separate them into the categories in the table alongside – HIV/IDU networks of groups; HIV/IDU organisations; HIV/IDU state agency/government departments and non-HIV/IDU networks or groups, non-HIV/IDU organisations and non-HIV state agency/government departments
4. Place these cards in the slots accordingly and facilitate the table alongside.



Table 11A: Networking

HIV/IDU

	Who does the CBO network with?	Whether networked		Depending on number of cards placed in each category, mention the number of cards
I	Networks/Groups	Yes	No	
II	Organisations	Yes	No	
III	State agency/government departments	Yes	No	

Non-HIV/IDU

	Who does the CBO network with?	Whether networked		Number of groups
IV	Networks/Groups	Yes	No	
V	Organisations	Yes	No	
VI	State agency/government departments	Yes	No	

Cards for strength of networks to be used in Table 11B below

Cards for CBO participation to be used in Table 11B below

A.
Ad hoc
Inactive

B.
Ad hoc
Does not take
up community
issues

C.
Standing
Active

D.
Standing
Takes up
community
issues

No

Sometimes

Regular

Cards for stable relationship to be used in Table 11B below

No

Yes, part of core group or
leadership

From Table 11A, select one organisation/network/state agency corresponding to I, II, III, IV, V, VI and fill in below.

Table 11B: Networking

Category from Table 11A	I	II	III	IV	V	VI
Name						
Level						
Who represents the CBO LT/NGO/ NGO+LT						
Strength of the networks	A1/A2/A3/A4	A1/A2/A3/A4	A1/A2/A3/A4	A1/A2/A3/A4	A1/A2/A3/A4	A1/A2/A3/A4
CBO participation	B1/B2/B3	B1/B2/B3	B1/B2/B3	B1/B2/B3	B1/B2/B3	B1/B2/B3
Stable relationship	C1/C2	C1/C2	C1/C2	C1/C2	C1/C2	C1/C2

Use the information from Tool 11A and 11B to tick the appropriate options in Analysis 11 below. This tool corresponds to Parameter 5: Networking and Indicator 5A: Strong network with civil society groups and Indicator 5B: Systems for effective resource mobilisation.

Analysis 11 – Networking						
	B	F	P1	P2	V1	V2
5A. Strong Networking with Civil Society groups						
Networks	No link	Informal link established	Regular meetings	Formalised	Strong position in relationship	Strong presence in many networks
Non-HIV groups	No link	Informal link established	Regular meetings	Formalised	Strong position in relationship	Strong presence in many networks
Media	No link	Informal link established	Regular meetings	Formalised	Strong position in relationship	Strong presence in many networks
NGOs	No link	Informal link established	Regular meetings	Formalised	Strong position in relationship	Strong presence in many networks
5B. Strong networking with Government						
SACS, DAPCU, NACO agencies	No link	Informal link established	Regular meetings	Formalised	Strong position in relationship	Strong presence in many networks
Non-HIV ministry departments, etc.	No link	Informal link established	Regular meetings	Formalised	Strong position in relationship	Strong presence in many networks

TOOL 12

Project Management

DIC management (Give the step number you are in)	Evidence (compulsory for 4,5,6)	6 I can influence decision 5 I can prepare report cards 4 I can disseminate/train others 3 I can do 2 I know 1 I do not know
Needle syringe exchange programme	Evidence (compulsory for 4,5,6)	6 I can influence decision 5 I can prepare report cards 4 I can disseminate/train others 3 I can do 2 I know 1 I do not know
Condom promotion	Evidence (compulsory for 4,5,6)	6 I can influence decision 5 I can prepare report cards 4 I can disseminate/train others 3 I can do 2 I know 1 I do not know
STI promotions and management	Evidence (compulsory for 4,5,6)	6 I can influence decision 5 I can prepare report cards 4 I can disseminate/train others 3 I can do 2 I know 1 I do not know

Use the information from Tool 12 to tick the appropriate options in Analysis 12 below. This tool corresponds to Parameter 6: Project Management and Indicator 6A: Targeted Intervention (TI) project management.

Analysis 12 – Project Management						
	B	F	P1	P2	V1	V2
6A. Targeted Intervention (TI) project management						
DIC management	I do not know	I know	Support	Support and generate demand	Report cards	Influence decisions
Condom promotion	I do not know	I know	Support	Support and generate demand	Report cards	Influence decisions
STI services & management	I do not know	I know	Support	Support and generate demand	Report cards	Influence decisions
TI Component – Activity 1	I do not know	I know	Support	Support and generate demand	Report cards	Influence decisions
TI Component – Activity 2	I do not know	I know	support	Support and generate demand	Report cards	Influence decisions

TOOL 13

Financial and Legal Risk Management

1. Discuss the various tasks required for managing a formal collective and who performs these tasks in the CBO.
2. Use this information to facilitate this table

Understanding of the essentials of managing a “formal” collective

	Requirements for a sound system of management of a “collective”	Awareness of needs/ requirements	How did they come to know of needs/requirements?	Who is largely performing the task?	Who is supervising?	Institution/Person actually supporting
		1. Yes 2. No	1. They were part of training 2. They were part of on the job training 3. They had earlier done such a job	1. IP 2. LT 3. PE	1. IP 2. LT 3. PE	(Other than IP, LT or PE) Specify

Complete table below (pp.56–59) with codes from the columns above

I		Registration/Renewal of Registration					
	1.	Sending annual reports to registrar					
	2.	Informing changes in governing body and amendments to bye-laws					
	3.	Initiation of registration					

II		Membership and Funds Raised					
	1.	Campaigning for addition of members to the CBO from the community					
	2.	Collection of annual membership fees					
	3.	Raising of funds from other sources					
	3a.	TI or other project funds					
	4.	Safekeeping of money collected					
III		Planning and Budgeting					
	1.	Preparation of annual plans					
	2.	Preparation of annual budgets					
	3.	Preparation of financial statement					
IV		Internal Fund Management					
	1.	Prior approval limits of expenditure					
	2.	Maintaining vouchers					
	3.	Maintenance of account books					
	4.	Tracking uses of funds (loans, etc.)					

	5.	Provision for internal audit of accounts					
	6.	Designation of signatories for vouchers, bills and bank accounts					
V.		Maintenance of Bank Accounts					
	1.	Informing change of signatories					
	2.	Getting bank statements issued periodically					
	3.	Bank reconciliation statements					
VI.		Auditing					
	1.	Adhering to deadline					
	2.	Safekeeping of vouchers					
	3.	Ensuring vouchers are approved					
VII.		Internal Records and Annual Reports					
	1.	Maintain records/minutes of meetings of committees, etc.					
	2.	Maintain list of activities undertaken during the year					
	3.	Collect photographs of demonstrations/interaction with state officials, etc.					
	4.	Preparation of annual report					

VIII		Filing of Tax Returns					
	1.	Use of the right formats					
	2.	Adhering to deadline					
	3.	Renewing the tax exemption provision					
IX.		Human Resources					
	1.	Selection of core secretarial staff					
	2.	Maintaining database of consultants					
X.		Risk Perception					
	1.	Tracking media and other opinions being formed that are detrimental to CBO					
	2.	Taking legal opinions on important courses of action					
	3.	Taking disciplinary action with members in cases of non-adherence or violation of laws and norms					

Use the information from Tool 13 to tick the appropriate options in Analysis 13 below. This tool corresponds to Parameter : Project management and Indicator 6B: CBO management – Financial and legal risk management (Understanding the essentials of managing a formal collective).

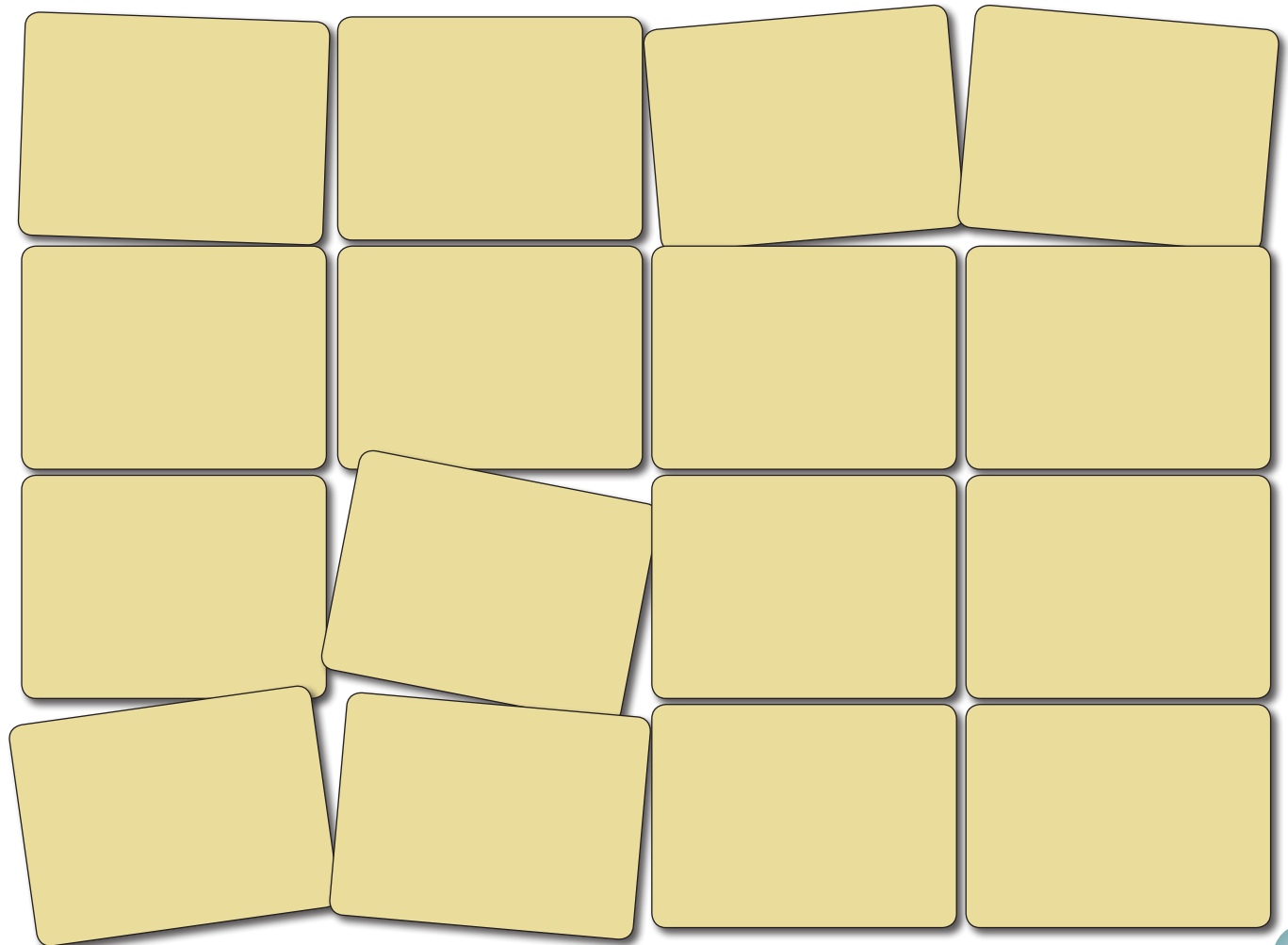
Analysis 13 – Project Risk Management

	B	F	P1	P2	V1	V2
6B. CBO Management – Financial and legal risk management (Understanding of the essentials of managing a collective)						
1. Registration/Renewal of Registration	Know the requirements	Undergone training	Do with external support	Do with external support	Independently	Independently
2. Planning and Budgetting	Know the requirements	Undergone training	Do with external support	Do with external support	Independently	Independently
3. Financial Risk Management	Know the requirements	Undergone training	Do with external support	Do with external support	Independently	Independently
4. Human Resources Management	Know the requirements	Undergone training	Do with external support	Do with external support	Independently	Independently
5. Media Publicity Risk Management	Know the requirements	Undergone training	Do with external support	Do with external support	Independently	Independently

TOOL 14A

Rights and Entitlements

1. Discuss about various rights and entitlements that get violated or denied because of issues of stigma and discrimination.
2. List out these rights and entitlements on flash cards.
3. Separate the cards between rights and entitlements and use these cards to facilitate Table 13A on p. 66.



III. Carefully read the steps adjacent to this box.

IV. Now place the cards in the column "Type of right/entitlement" in table below and fill in the table based on which step your CBO is in.



Table 13A

S No	Type of right/entitlement	Which step you are in	Evidence



Accessing Entitlements

1. Based on discussion in earlier tool, list out some of the entitlements that were mentioned in the flash card in the table below.
2. Facilitate Table 13B accordingly.

Table 13B Accessing entitlements

S No	Entitlements	How many community members were linked to these entitlements by CBO?		
		Overall since formation of CBO	Last one year	In last 3 months
1	Public distribution system card			
2	Election commission card			
3	Insurance			
4	Bank account			
5	Housing			
6				
7				
8				
9				
10				

Use the information from Tool 14A and 14B to tick the appropriate options in Analysis 14 below. This tool corresponds to Parameter 7: Rights and Entitlements and Indicator 7A: Claiming rights and entitlements for community members

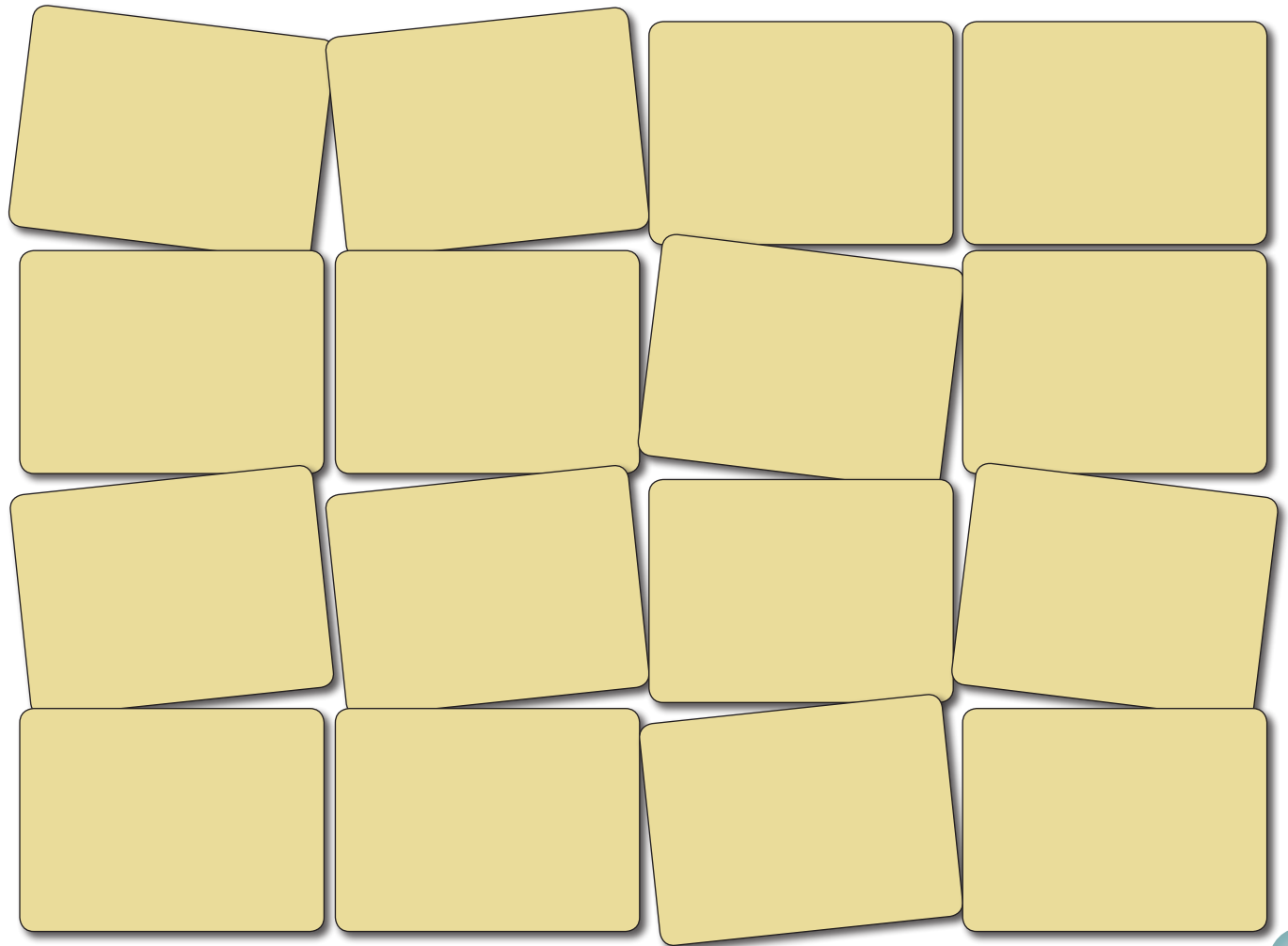
Analysis 14 – Rights and Entitlements

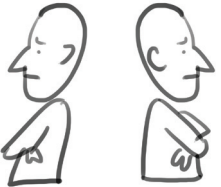
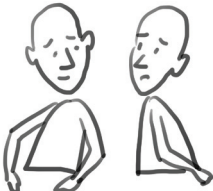
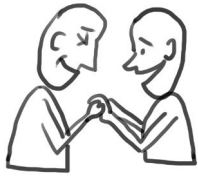
	B	F	P1	P2	V1	V2
7A. Claiming rights and entitlements for community members						
Illegal detention, arrest, physical abuse	No awareness	Aware of law	Trained, can support	Have trained others and can negotiate	Have trained others and can negotiate	Claim
Struggle against discrimination	No awareness	Aware of law	Trained, can support	Have trained others and can negotiate	Have trained others and can negotiate	Claim
Identity cards	No awareness	Aware of law	Trained, can support	Have trained others and can negotiate	Have trained others and can negotiate	Claim
Government schemes	No awareness	Aware of law	Trained, can support	Have trained others and can negotiate	Have trained others and can negotiate	Claim
Property rights	No awareness	Aware of law	Trained, can support	Have trained others and can negotiate	Have trained others and can negotiate	Claim

TOOL 15

Engagement with Society

1. Discuss who are the perpetrators or/ and stakeholders who have earlier violated or currently violate the dignity and rights of community members or harass them.
2. Write down the names of these stakeholders on flash cards like these.
3. Use these cards to facilitate the tool (p.66). Discuss which is the applicable slot for each of the stakeholders with regard to how visible the CBO is to them. Then discuss what is the level of engagement between the CBO and the stakeholders. Place the cards in the matrix on p.66 accordingly.
4. Add up the scores for each stakeholder as indicated in the respective slots.



LEVEL OF VISIBILITY IN RELATION TO THE PERPETRATOR/STAKEHOLDER				LEVEL OF ENGAGEMENT WITH STAKEHOLDER/ PERPETRATOR	
CBO is invisible to the stakeholder	CBO is visible to stakeholder because of NGO's support 	CBO is visible as non-community organisation (example: as a youth group or as a women's rights group but not as IDU/MSM/TG/FSW group)	CBO is visible as community organisation or as organisation of community members such as IDU/MSM/TG/FSW	LEVEL OF ENGAGEMENT WITH STAKEHOLDER/ PERPETRATOR No engagement (Don't know) Started Interacting (Some interaction) Regular interaction from one side (Relationship developed) Regular interaction from both sides (Relationship strengthened) Developed Trust (Permanent and stable relationship)	    
0+0=0	1+0=1	2+0=2	3+0=3		
0+1=1	1+1=2	2+1=3	3+1=4		
0+2=2	1+2=3	2+2=4	3+2=5		
0+3=3	1+3=4	2+3=5	3+3=6		
0+4=4	1+4=5	2+4=6	3+4=7		

Use the information from the above matrix to tick the appropriate options in Analysis 15 below. This tool corresponds to Parameter 8: Engagement with stakeholders and Indicator 8A: Visibility and engagement

Analysis 15 – Engagement with Stakeholders						
	B	F	P1	P2	V1	V2
8A. Making community visible and addressing isolation and stigma through engagement						
Goondas, local rowdies	0	1	2,3	4,5	6	7
Brothel owners, pimps, gate keepers	0	1	2–4	4–6	6	7
Women’s groups, marginalised groups	0	1	2–5	4–7	6	7
Politicians, media groups	0	1	2–6	4–8	6	7
Religious groups, neighbourhoods	0	1	2–7	4–9	6	7

Analysis Frame

The assessment tools that have been filled out above and the analysis tables provide an insight into where the community-based organisation (CBO) is located in terms of the sustainability. The analysis frame (below) provides a quick reference to anybody seeking information about the CBO's performance in the eight parameters listed below.

The analysis frame offers a quick assessment of the CBOs. However, it is suggested that the CBO leadership team use the 15 self-administrable tools listed in the document at least twice a year to make the process participatory. The tools are detailed out in a way to give direction to the CBO leadership to not only see where they stand, but also how they can move forward.

The analysis frame follows the same six bands of reference – Basic, Foundation, Promising 1, Promising 2, Vibrant 1 and Vibrant 2.

Parameters/ Indicators		Basic	Foundation	Promising 1	Promising 2	Vibrant 1	Vibrant 2	Tools
Organisational Structure								2A
A	Organisation formed and registered	Informal group	Formed and applied for registration	Registration	Registration and applied for IT exemption	IT exempted	FCRA	
B	Members registered and paid subscription fees	Less than 100	100–300	301–500	501–800	801–1200	more than 1200	
Parameter 1 – Leadership								
1A	Leadership has internalised its Vision, Mission and Objectives							2B
i.	Discussion held	No	Yes, 2 years ago	10B	Yes, in the current year	Yes, in the current year	Yes, in the current year	
ii.	VMO documented	No	No	Yes	Yes	Yes	Yes	
iii.	Periodic vision process	No	Yes, not regularly	Yes, not regularly	Yes, every 3 months	Yes, every 3 months	Yes, every 3 months	
iv.	New members oriented on VMO	No	0–25	26–50	51–75	76–90	91–100	

1B	Leadership sets CBO's agenda independently							3
i.	LT meets as a stand-alone team	No	Yes	Yes	Yes	Yes	Yes	
ii.	Non-community members support needed	Yes	Yes for facilitating discussion	Yes for documenting	Yes as silent observer	No	No	
iii.	Regularity in LT meetings	No	Yes	Yes, once in 3 months	Yes, once every month	Yes, every month, and as and when needed	Yes, every month; as and when needed	
iv.	Decisions do not need approval	For all cases	For all cases	For cases relating to finance, budget	For cases relating to finance, budget	No	No	
v.	Agenda set by leadership without NGO's support	Mostly by NGO	Mostly by NGO	Mostly by LT with guidance from NGO	Some by LT; most by guidance; none by NGO	LT sets agenda, but approval needed	LT sets agenda, no approval needed	
1C	Presence of second-line leadership in CBOs							4A&B
i.	Percentage who pay AMF	10%	40%	60%	60%	80%	100%	
ii.	% regularly attend meeting/events	5	10	30	50	60	70	
iii.	Volunteer regularly	5–10	11–50	51–100	101–200	201–300	more than 300	
iv.	Those contested or won elections at any level	10–20	21–30	31–50	51–100	101–200	201–500	

v.	Potential leaders outside Board	10–20	21–30	31–50	51–100	101–200	201–500	
1D	Leadership is leading a functional crisis response system							5
i.	Presence of functional crisis response team	No	Team at district level	Team and lead at sites	With hotline	With hotline and legal support	With hotline and legal support	
ii.	Cases properly recorded and analysed	No	Yes, irregularly	Yes, irregularly	Yes, regularly	Yes, regularly	Yes, regularly	
iii.	Cases get analysed by Leadership	No	No	Yes, irregularly	Yes, irregularly	Yes, regularly and documented	Yes, regularly and documented	
iv.	Diverse response methods	None	RM1	RM1–3	RM 1–4	RM1–5	RM1–5	
v.	Minimal response support	RS1	RS1	RS1,2	RS2,3	RS3,4	RS4	
1E	Leadership involves community in events and mobilisations							6
i.	Regular events with minimal external support	Irregular	Irregular	Regular with NGO funds	Regular with NGO funds	Regular with CBO funds	Regular with CBO funds	
ii.	Good number of mass events get organised in last 6 months	1	2	3	4,5	6,7	more than 8	
iii.	Leadership decides and leads	No, NGO leads	No, NGO leads	NGO + CBO	NGO + CBO	CBO	CBO	
iv.	Diverse purposes	1,2	1,2	1–3	1–4	1–5	1–5	
v.	Mobilising with minimal incentives to participants	1–4	1–4	3,4	4	6	6	
vi.	Independent funding	3	3	2	1	2–4	4	

Parameter 2 – Governance

2A	Clear, regular and participatory selection process for leadership	7
i.	Well written selection process – detailed	
ii.	How often selection process takes place	
iii.	Funding	
iv.	Participation in selection	
v.	New members	
2B	Leadership is accountable to wider community	8
i.	Regular review meetings on CBO performance at sub-regional level	
ii.	Is the report of the review meetings shared in the LT meeting?	
iii.	Is the report of the board meeting shared in the review meeting?	
iv.	Is the TI project discussed during the review meeting?	

Parameter 3 – Decision Making

3A	Leadership is making strategic decisions with community participation							9A
i.	Bye-laws, amendments	No defined system	System defined but decision not taken by LT	Decision taken independently by Board/LT	Decision taken independently by Board/LT	Decision taken collectively with wider consultation	Decision taken collectively with wider consultation	
ii.	Budget finalisation	No defined system	System defined but decision not taken by LT	Decision taken independently by Board/LT	Decision taken independently by Board/LT	Decision taken collectively with wider consultation	Decision taken collectively with wider consultation	
iii.	Appointment of crucial staff	No defined system	System defined but decision not taken by LT	Decision taken independently by Board/LT	Decision taken independently by Board/LT	Decision taken collectively with wider consultation	Decision taken collectively with wider consultation	
iv.	Representing CBOs in external fora	No defined system	System defined but decision not taken by LT	Decision taken independently by Board/LT	Decision taken independently by Board/LT	Decision taken collectively with wider consultation	Decision taken collectively with wider consultation	
v.	Expanding CBO outreach and operations	No defined system	System defined but decision not taken by LT	Decision taken independently by Board/LT	Decision taken independently by Board/LT	Decision taken collectively with wider consultation	Decision taken collectively with wider consultation	
vi.	Membership fees and entitlements	No defined system	System defined but decision not taken by LT	Decision taken independently by Board/LT	Decision taken independently by Board/LT	Decision taken collectively with wider consultation	Decision taken collectively with wider consultation	
3B	Committees formed and functional for making emergency/urgent decision.							9B
i.	Crisis response committee	No	Formed but not functional	Irregular meetings	Regular meetings but require support	Regular and strong	Regular and strong	

ii.	Project monitoring committee	No	Formed but not functional	Irregular meetings	Regular meetings but require support	Regular and strong	Regular and strong	
iii.	Advocacy committee	No	Formed but not functional	Irregular meetings	Regular meetings but require support	Regular and strong	Regular and strong	
Parameter 4 – Resource Mobilisation								
4A	Quantum of resources mobilised exceed Rs2 lakhs							10
i.	Amount	0–1000	1001–10000	10001–50000	50001–200000	200001–300000	More than 300001	
ii.	Diverse Source (MF, user fee, external NGO, events)	Any one source	Any two sources	Any three sources	Any four sources	Any four sources	Any four sources	
4B	Systems for effective resource mobilisation							
i.	Resource mobilisation plan	No bank account	Bank account exists and annual financial plan prepared	Minuted discussion on corpus exists	Proposals submitted to external agencies	LT leading proposal development and successful	LT leading proposal development and successful	
Parameter 5 – Networking								
5A	Strong networking with civil society groups							11
i.	Networks	No link	Informal link established	Regular meetings	Formalised	Strong position in relationship	Strong presence in many networks	
ii.	Non-HIV groups	No link	Informal Link established	Regular meetings	Formalised	Strong position in relationship	Strong presence in many networks	
iii.	Media	No link	Informal Link established	Regular meetings	Formalised	Strong position in relationship	Strong presence in many networks	
iv.	NGOs	No link	Informal Link established	Regular meetings	Formalised	Strong position in relationship	Strong presence in many networks	

5B	Strong networking with government							11
i.	SACS, DAPCU, NACO agencies	No link	Informal link established	Regular meetings	Formalised	Strong position in relationship	Strong presence in many networks	
ii.	Non-HIV ministry departments, etc.	No link	Informal link established	Irregular meetings	Formalised	Regular and strong	Regular and strong	
Parameter 6 – Project Management								
6A	Targeted intervention (TI) project management							12
i.	DIC management	Not aware	Aware	Support	Support and generate demand	Report cards	Influence decisions	
ii.	Condom promotion	Not aware	Aware	Support	Support and generate demand	Report cards	Influence decisions	
iii.	STI services & management	Not aware	Aware	Support	Support and generate demand	Report cards	Influence decisions	
6B	CBO Management – Financial and Legal risk management (Understanding of the essentials of managing a collective)							13
i.	Registration/renewal of registration	Know the requirements	Undergone training	Do with external support	Do with external support	Independently	Independently	
ii.	Planning and budgeting	Know the requirements	Undergone training	Do with external support	Do with external support	Independently	Independently	
iii.	Financial risk management	Know the requirements	Undergone training	Do with external support	Do with external support	Independently	Independently	
iv.	Human resources management	Know the requirements	Undergone Training	Do with external support	Do with external support	Independently	Independently	

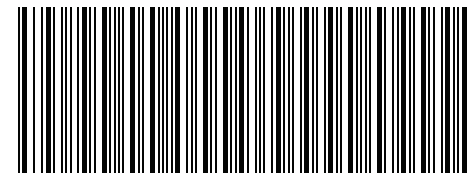
v.	Media publicity risk management	Know the requirements	Undergone Training	Do with external support	Do with external support	Independently	Independently	
Parameter 7 – Engagement with State for Realising Rights								
7A	Claiming rights and entitlements for community members							14A & B
i.	Illegal detention, arrest, physical abuse	No awareness	Aware of law	Trained, can support	Trained others, can negotiate	Spread and negotiate	Demonstrated claiming	
ii.	Struggle against discrimination	No awareness	Aware of law	Trained, can support	Trained others, can negotiate	Spread and negotiate	Demonstrated claiming	
iii.	Identity cards	No awareness	Aware of law	Trained, can support	Trained others, can negotiate	Spread and negotiate	Demonstrated claiming	
iv.	Government schemes	No awareness	Aware of law	Trained, can support	Trained others, can negotiate	Spread and negotiate	Demonstrated claiming	
v.	Property rights	No awareness	Aware of law	Trained, can support	Trained others, can negotiate	Spread and negotiate	Demonstrated claiming	
Parameter 8 – Engagement with larger society for addressing isolation and stigma								
8A	Making community visible and addressing isolation and stigma through engagement							15
i.	Goondas, local rowdies	Invisible and no engagement	Visible through NGO support	Visible independent of NGO but little engagement	Visible, engagement but not much success	Visible, and building strategic relationships	Visible, and building strategic relationships	
ii.	Brothel owners, pimps, gate keepers	Invisible and no engagement	Visible through NGO support	Visible independent of NGO but little engagement	Visible, engagement but not much success	Visible, and building strategic relationships	Visible, and building strategic relationships	

iii.	Women's groups, marginalised groups	Invisible and no engagement	Visible through NGO support	Visible independent of NGO but little engagement	Visible, engagement but not much success	Visible, and building strategic relationships	Visible, and building strategic relationships	
iv.	Politicians, media groups	Invisible and no engagement	Visible through NGO support	Visible independent of NGO but little engagement	Visible, engagement but not much success	Visible, and building strategic relationships	Visible, and building strategic relationships	
v.	Religious groups, neighbourhoods	Invisible and no engagement	Visible through NGO support	Visible independent of NGO but little engagement	Visible, engagement but not much success	Visible, and building strategic relationships	Visible, and building strategic relationships	



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