

**Review of Human Rights Based Practices in a CO**  
**Based upon a process undertaken by CARE Uganda**  
**December 16, 2003**

**Background**

After very intense discussions about human rights based practices in CARE Uganda and renewed and refreshed understanding of rights based approaches, a team within CARE Uganda (Jacqueline, Engorok, Apollo, Uwe, with input from Allison Burden (CARE regional office) and Mike Rewald (CARE Atlanta)) reviewed indicators for the level of integration of new CARE programming principles into the CO.

After revisiting those draft indicators, we agreed to include five categories of indicators under each programming principle: 1) Application of international human rights standards, 2) Focus on underlying causes of poverty, 3) Focus on power relations and policies, 4) Working with others, and 5) Organisational capacities and change. The categories are meant to help us to structure discussions and cover all the desired aspects of human rights based practices, as well as to compare ratings and findings between different projects. Some categories do overlap more or less strongly with the programming principles (e.g. partnership and working with others). This intentional as we wanted to make sure that approaches related to partner relations, underlying causes of poverty or power and policy, as well as international human rights standards and organisational issues are reflected under all the six principles.

For each of those categories we formulated five indicators covering a scale from grade (1) minimum - (2) symbolic - (3) basic - (4) considerable - (5) strong. Thus, the final output of our work has been a matrix of 25 indicators for each programming principle (see attached) with which we can assess the degree to which our respective projects or programmes do, will or shall integrate human rights based practices.

When formulating the indicators we tried to be as explicit and specific as possible without using too specific indicators that might not be applicable than to a small number of projects. Therefore, those indicators are illustrative, meaning they give us guidance about the expected level of integration of human rights based practices in programming at each grade of the scale. They also reflect our understanding that integration of human rights based practices is a gradual process and different projects or even different components of the same project or programme can be at different levels of integration.

**The Process**

The following gives you a description of the process of the HRBP review itself and its link into the AOP preparation.

**A) Project level exercise**

The exercise itself will take one day per project. The project team will carry out the exercise together with project partners (representatives from CSOs and CBOs with significant involvement in the project and who have a good understanding of the project, or a particular component) facilitated by one member of the core team and an external facilitator. In addition an external consultant will participate as observer to provide feedback to the SMT about the process and the outcomes from an independent perspective.

The project exercise includes the following sessions:

- a) Presentation, review and critique of the tool
- b) Self assessment: using the tool to identify the level to which the project has incorporated human rights based practices and approaches (Where are we?)
- c) Challenging: using the tool to define the level to which this project should incorporate human rights based practices (Where do we want to be?)

- d) Way forward: identifying constraints and propose ways to address those at project, programme and CO levels (How do we get from where we are to where we want to be?).

B) SO level review

The results will be discussed in a ½ day meeting with all PMs after the exercises with all projects at on particular location / sub-office. The facilitator and the core team member will summarize the findings of the project specific exercises and the PMs have the opportunity to provide additional input before those findings go to the CO level.

C) Synthesis and Analysis

After the project and SO level exercises, the core team and the consultant will synthesize and analyze the results, as well as prepare recommendations about the desired level of integration of human rights based practices in the CO and the actions required at CO level in FY'05 and beyond in order to reach the desired level of integration of human rights based practices. Those recommendations will be presented at the AOP workshop

D) Follow-up

The Follow-up will happen at different levels:

During the AOP workshop, the CO senior staff will identify priorities and CO wide initiatives to be undertaken as part of our AOP.

Based on those directions, the SMT and the Program Unit will agree on specific action to be taken as part of the sector wide or cross-cutting initiatives or with regards to staff capacity building.

Project staff will take their own and the CO level recommendations into account when preparing activity plans and reviewing frameworks.

We hope this provides you with a good idea about the What and the How of this important exercise. Thank you for your inputs so far and your commitment to advance CARE vision and principles.

Please do not hesitate to contact us should you have any question or suggestion.

Best Regards

Apollo, Engorok and Uwe Korus

Category - Grade	1 Minimum	2 Symbolic	3 Basic	4 Considerable	5 Strong
<b>P1. Promote Empowerment</b> – We stand in solidarity with the poor and marginalized people, and support their efforts to take control of their own lives and fulfil their rights, responsibilities and aspirations. We ensure that key participants representing affected people are involved in the design, implementation, monitoring and evaluation of our programs.					
Application of international human rights standards (1)	<i>We are meeting people's needs. Human rights issues are outside our mandate.</i>	<i>We target the fulfillment of basic human rights assuming that this will help people to take control over their own lives later on.</i>	<i>We recognize that people have the right to a voice in decisions affecting their lives and therefore involve them in program processes.</i>	<i>We advocate with and on behalf of the poor for their realization of their rights, responsibilities and aspirations.</i>	<i>We work with the poor and support their efforts to claim their rights and change policies, norms, structures and practices that perpetuate poverty.</i>
Focus on underlying causes of poverty (1)	<i>We deliver technically sound programs to help the poor meet their needs.</i>	<i>We specifically target poor people, but consider social-cultural and political factors contributing to poverty mainly when this is required by donor regulations.</i>	<i>We carry out some analysis of underlying causes of poverty but have not included poor and marginalised people to develop a shared and holistic understanding.</i>	<i>We have developed a common understanding of UCP together with the poor and marginalized. We work with them to develop and implement joint strategies at different levels..</i>	<i>On the basis of a shared profound understanding of the situation we support the poor to develop and implement a vision and strategy to address UCP.</i>
Power relations and policies (1)	<i>We know the existing power structures but do not see any problem with them in relation to poverty. We work with them to deliver.</i>	<i>Our core business is delivery of quality services but we recognize that poverty is sometimes rooted in power imbalances. We consider those in our stakeholder analysis and talk to power holders on behalf of the poor.</i>	<i>We carry out basic analysis of power relations and policy frameworks as part of project design. We participate in policy development and advocate on behalf of the poor and marginalised without questioning given decision making processes.</i>	<i>We understand that poverty is related to power and that support to poor and marginalised in their engagement with the powerful is essential. We speak and advocate on behalf of the poor and marginalized in negotiations with decision makers.</i>	<i>We support poor and marginalized people to take the lead exercising control over resources and decisions that affect their lives and designing and implementing strategies for change.</i>
Working with others (1)	<i>We maintain total control over project resources and take lead in all relationships. There is little consultation with beneficiaries, sometimes none at all.</i>	<i>We involve poor people in certain planning and monitoring events but retain control over decisions and implementation. Partners implement on our terms</i>	<i>We transfer some project resources to partners and participants but retain control over decisions. We take their opinion into account as long as this in line with donor requirements.</i>	<i>We cede control over main decisions in our programs to the poor and marginalised. When donor requirements restrict transfer of resources to partners then we try to negotiate more flexible conditions.</i>	<i>Based on a principled engagement, the opinions of the poor and marginalised dominate because their lives are affected. We avoid donor relations that might compromise this commitment.</i>
Organizational capacities and change (1)	<i>We implement technical services following donor instructions and guidelines as well as CARE procedures.</i>	<i>We recognize the need to de-concentrate decision making powers. We desire a culture of shared ownership but still have to consider what this really means and how to handle associated risks.</i>	<i>We tend to listen to comments and suggestions from partners &amp; beneficiaries but prefer to consult higher authorities before those suggestions can be considered.</i>	<i>Our internal operating environment empowers us to use good judgment to facilitate target groups to play a more significant role in programs. There is mutual respect and shared ownership with partners and</i>	<i>We adjust program interventions based on priorities and aspirations of poor and marginalised people. We have space to innovate, learn and oppose influences that compromise our vision within commonly</i>

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				<i>beneficiaries.</i>	<i>agreed levels of risk.</i>
<b>P2: work in partnership with others:</b> <i>we work with others to maximize the impact of our programs building alliances and partnerships with those who offer complementary approaches, are able to adopt effective programming on a larger scale and/or who have responsibility to fulfill rights and alleviate poverty through policy change and enforcement</i>					
Application of international human rights standards (2)	<i>We respect and do not interfere with the work of others but do not seek partnerships.</i>	<i>We realize that people have a right to participate in their own development. Therefore we consult them but we retain full control.</i>	<i>We consult organizations representing target groups and consider their views when making program decisions.</i>	<i>We treat peer organizations and participants with dignity and shared control over our programs with them and HR organizations.</i>	<i>We actively support organizations that uphold human rights and that hold us accountable to int'l human rights standards.</i>
Focus on underlying causes of poverty (2)	<i>We perform an analysis of the needs of poor people, and prescribe and apply technical solutions that others can take or leave.</i>	<i>We realize that others have to play a role in addressing poverty and therefore we involve them in program implementation.</i>	<i>We perform thorough analysis of UCP, prescribe appropriate interventions and ask others to work with us.</i>	<i>We actively seek partnerships and alliances with others aiming to fulfill the rights of poor people based on a joint critical analysis of UCP .</i>	<i>We respect the leadership of others in analyzing UCP and are committed to mobilise resources and take action as to a mutual agreed role for CARE.</i>
Power relations and policies (2)	<i>We acknowledge that power relations and policies can negatively impact on household livelihood security, but expect others to address those issues.</i>	<i>We realize that others have a role in addressing power and policy issues, which impeach on our work. We provide our analysis of policy gaps and expect decision makers to act appropriately.</i>	<i>We share with others our analysis of unequal power relations &amp; discriminatory policies , develop related advocacy strategies and ask others to join.</i>	<i>We together with partners develop and implement appropriate advocacy strategies to overcome discriminatory policies and unequal power relations.</i>	<i>We promote diverse partnerships and shared ownership over advocacy initiatives. This means that we accept the role and level of control agreed with partners while sharing risks and responsibilities.</i>
Working with others (2)	<i>Cosmetic partnerships to increase our chances to access resources for direct implementation of programs</i>	<i>We ask for input from partners but maintain control as we implement programs directly</i>	<i>We understand that CARE Uganda cannot overcome poverty alone and therefore seek partners with similar organizational goals and the capacity to do the work required to achieve our vision.</i>	<i>We seek out and join coalitions and networks with partners to define and identify intervention. We recognize that we don't always need to be in the lead. We systematically learn from and share our learning with partners</i>	<i>We have a wide array of equal partnerships and share planning with others even if they won't be involved in implementation Our role must be defined jointly within that broader context.</i>
Organizational capacities and change (2)	<i>We enter into partner relations on our terms. Other organizations are considered as potential competitors</i>	<i>We invite partners to comment on the terms of the partnership but only modify the terms if they do not decrease control or increase risk for us.</i>	<i>We negotiate terms with partners but still maintain control over key decisions and most resources.</i>	<i>We adjust some of our systems to allow for greater control over decisions and resources by partners. We build their capacity to engage in an equal partnership.</i>	<i>We review and adopt internal policies to facilitate equal partnership. We give up control and adapt to partner requirements when ever appropriate for effective partnership.</i>

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<b>P3: Ensure Accountability and Promote Responsibility:</b> <i>We seek ways to be held accountable to poor and marginalized people whose rights are denied. We identify those with an obligation toward poor and marginalized people, and support and encourage their efforts to fulfill their responsibilities.</i>					
Application of international human rights standards (3)	<i>We assume that by default our programs and procedures comply with international human rights standards. Otherwise human rights are a re responsibility of the state.</i>	<i>We quote and refer to international human rights standards but have no mechanism to integrate those systematically. We expect goodwill from all side.</i>	<i>We recognize that human rights abuses contribute to poverty. Thus we document and exposed them to rights holders and duty bearers as long as this does not jeopardize our work.</i>	<i>We support rights holders to hold duty bearers (including ourselves) accountable for their responsibility to respect , protect and fulfill human rights as indicate int'l human rights laws.</i>	<i>We do all it takes to hold duty bearers, incl. those that provide us with resources, accountable to int'l human rights standards and laws. This might include advocacy and legal action.</i>
Focus on underlying causes of poverty (3)	<i>We account to the donors for the rightful distribution and usage of resources designated to alleviate the suffering of the poor.</i>	<i>We account to donors and host governments for the implementation of agreed project frameworks based on precise outputs and results at household level.</i>	<i>We analyse underlying causes of poverty and decide strategies according to donor trends and conditions. Intended results are communicated widely and poor and marginalised people participate in the monitoring.</i>	<i>We consult the poor and marginalized during the prioritization of strategies. We agree with them on accountability mechanisms to be applied and promoted in our programs. We stand in for them to hold duty bearers accountable.</i>	<i>We support and stand with the poor and marginalised as they take the lead in analyzing, prioritizing and addressing underlying causes of poverty. We have them hold us accountable to the declared goal and vision as well as agreed action.</i>
Power relations and policies (3)	<i>We work within given government and donor frameworks but do not question their commitment to declared policies.</i>	<i>We identify those in charge of providing services to the poor and support them to fulfill their technical duties as efficient as possible within targets agreed with donors.</i>	<i>We identify and work with the powerful to enhance management and internal monitoring. We assume accountability mechanisms are in place for poor and marginalised to hold them accountable to agreed goals.</i>	<i>We support the poor and marginalised to analyse power relations and negotiate affective accountability mechanisms. We build the capacity of duty bearers and rights holders to implement those mechanisms.</i>	<i>We hold duty bearers (incl. donors) accountable to their responsibilities as defined by the development agenda established by the poor and marginalised. We ensure that the latter have the capacity to challenge existing power structures.</i>
Working with others (3)	<i>We work with others on pre-negotiated conditions as long as it helps us access resources. Otherwise we consider them as competitors.</i>	<i>We refer to partnership in our mission and use this implementation mechanisms to expand outreach and to avoid duplication.</i>	<i>We actively seek partnership with organizations. of similar visions and goals in order to enhance our capacity to achieve increased benefits for the poor.</i>	<i>We share resources with others and ensure substantive involvement of the poor and marginalised in all aspects of our programs.</i>	<i>We systematically share information and resources with the poor and marginalised and others on the principle of mutual accountability and shared ownership.</i>
Organizational capacities and change (3)	<i>We comply with and apply donor accountability standards and expect others to do the same. We do adjust our systems as required by donors.</i>	<i>We build the capacity of implementing partners to comply with standard accountability requirements.</i>	<i>We recognize differences between our systems and those of our partners. We negotiate changes as long as those do not put us in conflict with donor requirements.</i>	<i>We recognize that substantive involvement of the poor and marginalised increases our impact and credibility. We adjust all our systems accordingly but reserve control over key decisions.</i>	<i>We re-invent and realign our systems to enable poor and marginalised to direct our programs. We ask systematically to input from partners and allies and adjust our programs accordingly.</i>

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<b>P4: Oppose Discrimination:</b> In our programmes and offices we oppose discrimination and the denial of rights based on sex , race, nationality, ethnicity, class, religion, age, disability, caste, opinion or sexual orientation.					
Application of international human rights standards (4)	<i>We consider discrimination as a local problem and not a legal issue that should be dealt with locally. We make no statements about discrimination.</i>	<i>We report social-cultural acts of discrimination to local authorities when those are likely to have a serious harm on our programs.</i>	<i>We consider discrimination as an issue in our programs because of our obligation to comply with national and international human rights standards.</i>	<i>We refer to human rights standards and use relevant instruments to address social, economic and political mechanisms of discrimination.</i>	<i>We systematically use national and international HR law to address issues of discrimination. We report cases of discrimination to proper authorities including HRs organizations.</i>
Focus on underlying causes of poverty (4)	<i>We provide services to people suffering from poverty. There is nothing we can do about discrimination other than serving as many people as possible.</i>	<i>We ensure that our programs are inclusive and all poor people have an opportunity to benefit, with special emphasis on women and girls.</i>	<i>We specifically target those who are discriminated against with regards to access to services that can reduce poverty. We build the capacity of service providers to reach out to the poor.</i>	<i>We understand the close linkages between poverty and discrimination. Therefore, we analyse the patterns and mechanisms of discrimination and target both the discriminated and those that discriminate.</i>	<i>We consistently act together with and support the poor and marginalised to change the social, cultural, economic and political systems that perpetuate discrimination and marginalisation.</i>
Power relations and policies (4)	<i>We respect those in power and do not challenge them with regards to their willingness to ensure equity and equality.</i>	<i>We talk to local socio-cultural leaders and civic servants about their responsibility to ensure equal access to service for everybody.</i>	<i>We support and facilitate dialogue and institutional mechanisms through which poor and marginalised can interact with decision makers. We do not directly challenge duty bearers that are discriminatory.</i>	<i>We implement civic education and public awareness campaigns that expose mechanisms of discrimination. We build the capacity of poor and marginalised to challenge structures of discrimination.</i>	<i>We support and stand with the poor and marginalised to challenge and oppose power structures through which those in power exercise excessive control and perpetuate poverty.</i>
Working with others (4)	<i>We only work with others that have the capacity to implement services as required by donors.</i>	<i>We subcontract institutions or organizations that serve, employ or represent specific groups such as women, disabled, IDPs.</i>	<i>We work with those that address specific issues of discrimination in service delivery. We agree with implementing partners over the principle of non-discrimination.</i>	<i>We seek partnerships with organization that expose and address mechanisms of discrimination within society and governmental structures.</i>	<i>We actively work with others to expose and address mechanisms of discrimination and marginalisation. We take joint action against the perpetrators.</i>
Organizational capacities and change (4)	<i>We implicitly assume that our work for the poor will not be discriminatory. We do not see discrimination as an internal issue and choose staff based purely on merit.</i>	<i>We aim for internal diversity on a numerical basis. Mechanisms are in place through which people can report discriminatory practices.</i>	<i>We offer training in diversity for our staff. We deal strongly with any staff who acts in a discriminatory manner.</i>	<i>We have reviewed and updated internal policies to counter discrimination and promote diversity within the organization.</i>	<i>We consider diversity in everything we do and hold staff and partners accountable for promoting diversity and oppose discrimination in their work.</i>

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<b>P5. Oppose Violence</b> - We promote just and non-violent means for preventing and resolving conflicts, noting that such conflicts contribute to poverty and the denial of rights					
Application of international human rights standards (5)	<i>We recognize that violence and conflict can interfere with people's being able to meet their basic needs.</i>	<i>We recognize that violent conflict contributes to the abuse and denial of human rights.</i>	<i>We help raise awareness about the impact of rights abuses and denial of human rights in conflict situations.</i>	<i>We offer or bring about protection for people who are suffering from violence.</i>	<i>We report rights violations in conflict situations to appropriate bodies and try to have the perpetrators of violence held accountable.</i>
Focus on underlying causes of poverty (5)	<i>We assume improving the conditions of the poor contributes to non-violent solutions to conflict.</i>	<i>We recognize conflicts that lead to violence against the poor and take care not to become part of those.</i>	<i>We recognize that the poor are the ones suffering the most when violence occurs. Therefore we oppose it, and use appropriate tools to ensure that our interventions do not exacerbate conflicts.</i>	<i>We support and stand with the poor as they seek find peaceful but powerful strategies to deal with conflict that affect them.</i>	<i>We publicly denounce violent means as a cause of recurrent conflict and thus poverty. We promote peace building and reconciliation as poverty eradication strategies.</i>
Power relations and policies (5)	<i>We are neutral and it is not our mandate to be involved in addressing causes of conflict and violence..</i>	<i>We include the principle of non-violence in our values and encourage others to do the same.</i>	<i>We use power profiling and other benefits/harms analysis tools to identify interventions that do not create or exacerbate conflict.</i>	<i>We recognize and denounce violence as a tool of oppression and a means of rights denial. We advocate on behalf of victims of violence a seek support for them to come to terms with the effects of violence.</i>	<i>We support victims as they take peaceful action against those that abuse for violent means and as they negotiate policies and strategies that overcome the structural causes of conflict.</i>
Working with others (5)	<i>We respect others that are involved in conflict resolution and prevention but do not directly engage with them.</i>	<i>We recognize the importance of peaceful solution of conflict in development and therefore request specialized agencies to intervene appropriately in conflicts that might jeopardize our projects.</i>	<i>We recognize that peaceful conflict resolution is a collective responsibility. We mobilize or join others in documenting and exposing acts of violence.</i>	<i>We joint, support or create alliances that, analyze and raise awareness about the structural, political and historical causes of violent conflict and its effects on poor and marginalised people. We support efforts for peaceful conflict resolution.</i>	<i>We actively support alliances/coalitions or are directly engaged in mediation, reconciliation, conflict prevention and/or peace building efforts at all different levels (local to international).</i>
Organizational capacities and change (5)	<i>We inform our staff that violence is not acceptable within the organization. We leave it to staff to decide whether or not they can work in areas of violent conflict.</i>	<i>We encourage staff to resolve all internal conflicts through dialogue and ensure forums are available to resolve conflicts. We only carry out relief operations in areas of violent conflict.</i>	<i>We organize conflict management courses for staff who might need it. We hold staff accountable for any forms of violence (e.g. sexual exploitation). We systematically monitor incidences of violence in our program areas.</i>	<i>We offer training in benefits-harm to program staff as well as training in conflict resolution. We have clear policies to deal with incidences of violence (e.g. sexual exploitation). We have clear guidelines for working in conflict areas .</i>	<i>We ensure that our staff are highly trained in conflict prevention and peaceful conflict resolution. We ensure that the policies are enacted through holding our staff accountable. We carry out a systematic risk analysis before sending staff into conflict situations.</i>

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<b>P6: Seek sustainable results:</b> <i>By acting to identify and address underlying causes of poverty and rights denial, we develop and use approaches that ensure our programs result in lasting and fundamental improvements in the lives of the poor and marginalised with whom we work.</i>					
Application of international human rights standards (6)	<i>We look at HR and poverty as two different issues and tackle poverty as a priority.</i>	<i>We recognize that HR and poverty are interrelated issues. There are other organizations specialized in HR issues We are involved in direct service delivery projects to reduce poverty.</i>	<i>We understand that denial human rights is one factors that contributes to poverty and therefore our strategies are based on an analysis of underlying causes of poverty.</i>	<i>We base our strategies on a holistic analysis of underlying causes of poverty and integrate systematically civic education, policy advocacy and other approaches that promote human rights.</i>	<i>We see our efforts as part of a global movement. We contribute systematically resources to global and local efforts to help the poor claim their rights and hold responsible parties accountable for fulfilling rights.</i>
Focus on underlying causes of poverty (6)	<i>We consider poverty as a technical issue. Increasing peoples' skills and access to technology will overcome poverty.</i>	<i>We realize that poverty is not a technical issue but has also social-cultural roots. Involving local stakeholders via approaches such as PRA support a more effective and sustainable approach to fighting poverty</i>	<i>We consider poverty as a result of interlinked economic, social and cultural factors. Our approaches focus on strategic leverage points at local levels for household livelihood security.</i>	<i>We devote time and resources for carrying out holistic analysis to identify fundamental improvements at political and structural level required to overcome poverty.</i>	<i>We support and undertake in-depth analysis to fully understand and address the complexities in the areas where we work. We work at various levels and over an extended period of time addressing political and structural causes of poverty.</i>
Power relations and policies (6)	<i>We work through and with existing power structures and systems in our programs and interventions.</i>	<i>We realize that there power imbalances and policies that perpetuate poverty, but expect others to act on those.</i>	<i>We realize that political frameworks are critical for poverty reduction strategies and work with policy makers to enhance the poverty focus of local and national policies.</i>	<i>We analyse and expose mechanisms through which people use their power for their personal gains and others who do not use their power to defend rights of the poor.</i>	<i>We work at various levels to influence policies and challenge existing power structures that lead to an abuse of the poor even if it puts us in conflict with those in power.</i>
Working with others (6)	<i>We directly implement all our projects will little help from outside partners.</i>	<i>We realize and support the role of governmental institutions for the provision of efficient services.</i>	<i>We realize there is a need to work with others to enhance the impact of our programs. However, we retain control over strategic and technical decisions in order to protect our viability.</i>	<i>We work with various actors at various levels to address structural and political causes of poverty, as long as those partnerships do not put CARE and others at risk.</i>	<i>We engage in equal and continuous partnerships with an array of institutions with complementary approaches to achieve substantive change at all relevant levels</i>
Organizational capacities and change (6)	<i>We recruit staff with technical skills to implement direct service projects</i>	<i>We build capacity of other service providers to implement technically sound solutions. Technical staff is trained to analyse and respect social-cultural factors in service delivery.</i>	<i>We recruit people with social and political science skills to ensure that wider implications are considered in our interventions. We build the managerial capacity of implementing partners.</i>	<i>We adopt a program approach and systematically seek funding for a complete, multi-disciplinary analysis of underlying causes of poverty and relevant long-term and viable programs.</i>	<i>We commit to long-term and partnership oriented programming regardless donor specific funding cycles and trends. We hire and/or train staff to conduct policy reviews and advocacy campaigns.</i>