Introduction to Organizational Capacity Development

Pact Organizational Development Toolkit

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Introduction to Organizational Capacity Development

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Pact is committed to sharing high-quality learning tools and materials with development practitioners throughout the world. Pact demonstrates this commitment by publishing and disseminating books, papers, CD-ROMs and other knowledge resources that represent the best intellectual capital of Pact and its trusted partners.

Preface

Well managed institutions are a fundamental building block for promoting changes that have positive impacts on the lives of families and communities, particularly the most vulnerable. Pact's programs invest heavily in building the organizational capacity of our partners, who include community-based organizations (CBOs), nongovernmental organizations (NGOs), and government agencies. These investments help the public and private sector deliver better quality services in a more efficient and effective manner.

Pact's Organizational Development Toolkit is designed to help Pact offices whose primary partners are NGOs. These materials will be most useful to Pact offices that are just getting started or are new to implementing a project which includes Organizational Development (OD). For more established offices, the package will help new staff members responsible for implementing OD activities to hit the ground running. Finally, the guidance included in this package will help Program Managers to better design their OD activities within their programmatic objectives and allocated budgets.

The decision to move forward with this OD Toolkit was made by Pact's OD Community of Practice, made up of a worldwide network of 90 Pact staffs who are actively engaged in implementing OD interventions on a day-to-day basis. While Pact has been managing OD programs for over ten years, we have not had a standard approach that can serve as a starting point for new programs. The outline and materials themselves reflect the best practices and lessons learned over the years, with contributions from Community of Practice members. Nevertheless, Pact offices should feel free to use and adapt these materials as they see fit, ensuring that the end product is contextually appropriate.

The Toolkit has a modular design. Each module focuses on a single topic of Organizational Development (such as Strategic Planning, Project Planning, Monitoring and Evaluation, Financial Management) and seeks to develop specific competencies and behaviors. Each module includes a package of interventions that a Program Manager can pick and choose from to achieve the desired outcomes. Not all NGOs will need all interventions, so it is the Program Manager's job to pick and choose what is needed while adapting to local context and needs.

This Introduction to Organizational Capacity Development module is a foundational module that introduces practitioners to Pact's approach to Organizational Capacity Development and to our OD Toolkit. Unlike other modules in this series, which are designed primarily for Pact practitioners to deliver capacity building to our partner organizations, this module is aimed primarily at the capacity building practitioners themselves – whether they are Pact staff or consultants. The module is intended for use with new staff or new offices, to give an overview of Pact's approach to capacity building and the resources that are available to them. It is also designed to be used by existing field offices that are looking to redesign or scale-up the capacity building component of their programs.

The module begins with an overview of Pact's overall approach to capacity building, of which OD is a key component. Trainees are then introduced to key concepts in adult and organizational learning. The majority of the module takes practitioners through a typical OD intervention from start to finish. Train-

ees are introduced to each stage of an intervention and given examples of the key tools and approaches used by Pact at each stage. Following this, participants are introduced to a range of delivery modalities for OD services – training workshops, mentoring, technical assistance consultancies, and peer exchange. The module ends with ideas for working with local capacity building partner organizations and an overview of the rest of the modules in Pact's OD toolkit.

If you are using this module and have any questions or suggestions for how we might improve on the existing content please let us know. This is the first edition of the module, and we will improve it over time, based on your experiences in the field.

Sincerely,

Mark Viso
President & CEO, Pact, Inc.

Catherine Gibbons
Vice President, Programs

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Also, special thanks to the United States Agency for International Development, whose funding of Pact projects over the years has helped in contributing towards this critical effort.

Matt Reeves
Capacity Building Advisor, Pact HQ

Introduction to Organizational Capacity Development Module

Manual "Snapshot"

Competencies
This introduction to organizational capacity development manual is designed for participants to: · Understand and articulate Pact's overall approach to capacity building and to organizational development in particular · Be able to articulate the key steps in an organizational development intervention, including why each is important · Have access to organizational development tools and approaches that have been field tested by Pact practitioners worldwide · Identify potential delivery mechanisms for and providers of organizational development services that best meet the needs of local civil society partners
Practitioner Skill Development
This manual seeks to build OD practitioner competency in: · Articulating Pact's approach to capacity building and organizational development · Understanding the needs of adult learners and learning organizations · Identifying and utilizing a range of pre-award assessment tools · Developing a suitable assessment tool and facilitating a comprehensive Organizational Capacity Assessment (OCA) process · Developing Institutional Strengthening Plans that draw upon Pact's OD Toolkit and other resources · Identifying suitable delivery mechanisms and service providers for organizational development · Understanding the format of Pact's Organizational Development Toolkit

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Glossary of Terms

Capacity Building – The "process of developing and strengthening the skills, abilities, processes and resources that organizations…need to survive, adapt and thrive in the fast-changing world."

Capacity Building Accounts (CBAs) – CBAs are small grants or vouchers that Pact provides to partners in order that they purchase their own capacity building services. CBAs increase the involvement of partners in making their own decisions about capacity building activities.

Capacity Building Action Plan – A document developed by an organization following a capacity assessment. This document describes all of capacity building activities that an organization will do internally to build its own capacity, as well as support that it needs from external sources.

Civil Society Organization – An organization that is indigenous to a particular context and is neither a for-profit institution, nor an institution of government. Civil Society Organizations include Community Based Organizations (CBOs), Non-Governmental Organizations (NGOs), and Faith Based Organizations (FBOs).

Cohort – A cohort is a group of peer organizations. Pact often conducts organizational development activities with a cohort of organizations. The advantages of doing so include, efficiencies of scale and the fact that organizations can learn from one another.

Institutional Strengthening Plan (ISP) – An ISP is a program management document that describes what Pact will do to build the capacity of a partner organization within the context of a project, and what the outputs and outcomes of this effort will be.

Linking NGOs with Capacity Services (LINCS) – LINCS is a Pact signature methodology where CSOs are brought together with local capacity building service providers in a marketplace for capacity building. It is an opportunity for CSOs to interact directly with local service providers, discussing organizational needs and customizing services to meet these needs.

Organizational Capacity – An organization's ability to achieve its mission effectively and sustain itself over the long term.

Organizational Development – Pact defines Organizational Development as the process of building the functional capacity of individual CSOs or government agencies. Functional capacity refers to the systems and processes that an organization needs to work efficiently and effectively, thereby maximizing their impact.

[1]Philbin, Ann (1996) *Capacity Building in Social Justice Organizations*. Ford Foundation

1. Pact's Vision of Success

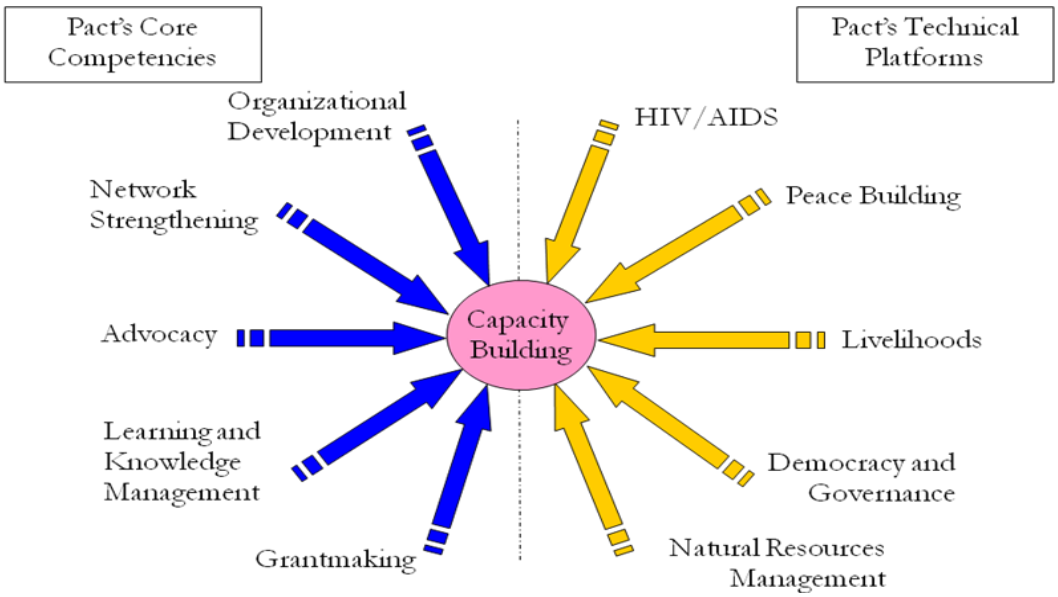
"*Individuals, groups, and communities are actively engaged in and have brought about sustainable improvement in the quality of their lives. Collaborative, effective and accountable public and private entities actively promote and support community self-determination, access to quality services and social and economic justice*"

Pact believes that sustainable development can only be achieved when it is demanded and locally driven - led by high performing Civil Society Organizations (CSOs), government institutions and private sector entities, as well as the beneficiaries themselves. Our organizational development (OD) activities around the world seek to strengthen these groups, so that they are able to operate more efficiently, sustain themselves financially, and serve their own beneficiaries more effectively. More effective and efficient organizations are, in turn, better able to bring about improvements in the quality of life of the families and individuals in the communities where they operate. Our organizational partners work to "improve quality of life" through improvements in health, education, livelihoods, and also in civic elements such as having a greater voice in the political system. It is not enough for Pact to leave behind better managed institutions if those institutions don't provide higher quality services to beneficiaries; nor is it enough to help put a policy into law, if the benefits of that law do not trickle down to citizens.

2. Pact's Approach to Capacity Building

In order to achieve this vision, Pact builds capacity in partner organizations worldwide through interventions in our five core competency areas: organizational development; network strengthening; advocacy; learning and knowledge management; and grant making.

Figure 1: Pact's Approach to Capacity Building



We carry out these interventions to achieve positive change in five technical platform areas: HIV/AIDS; Peace Building; Livelihoods; Good Governance; and Natural Resources Management. Thus, for Pact, capacity building is a means to an end, not an end in itself.

Pact's overall approach to capacity building is captured in figure 1 above. We believe that direct and proactive investment in both organizational and technical capacity building leads to increased levels of organizational efficiency, local ownership, sustainability and more effective service provision whereby capable local partners function at a higher level and in a sustainable manner. These investments also support local partners to have sufficient credibility within the donor community to access funds directly from multiple sources.

2.1 Pact's Core Competencies

Pact is recognized globally as a capacity building organization, and our tagline which appears on our organizational logo is *"Building Capacity Worldwide."* Pact provides capacity building to our partners through services in five core competency areas: Organizational Development, Network Strengthening, Advocacy, Knowledge Management and Grant Making.

Organizational Development

Well managed institutions are a fundamental building block for promoting change in societies. For this reason, the majority of Pact projects invest in building the organizational capacity of our partners, which include CBOs, NGOs, and government institutions. These investments help partners deliver higher quality products and services in a more cost effective manner. For partners seeking to achieve policy change, well-managed, sustainable organizations are better positioned to work with their peers to build long-term campaigns for change.

Pact's organizational development interventions always begin with a participatory Organizational Capacity Assessment (OCA) which enables us to identify partner strengths and weaknesses and generate partner buy-in for capacity building. OCA covers a range of organizational functions generally including strategic direction, organizational structure, governance, planning, fundraising, financial and grants management, human resource management, and monitoring and evaluation. The results of the OCA help us to develop customized Institutional Strengthening Plans which outline a set of organizational development activities. Some of these activities are implemented internally by our partner organizations, while other are achieved with Pact support. Organizational development activities are most successful when delivered through a variety of mutually reinforcing mechanisms which include training workshops, mentoring, peer sharing and learning, and technical assistance consultancies.

The focus of this module, and of the OD Toolkit in general, is Pact's Organizational Development core competency.

Network Strengthening

In many of our projects, Pact helps our partners to nurture networks of organizations within a sector or unified around a common concern. These networks serve a variety of purposes. An advocacy network of civil society groups, who speak with one voice, is more effective in successfully promoting policy change than a disparate group of NGOs. Likewise, service quality can be greatly improved if providers coordinate seamlessly through a service delivery network. This is particularly important in communities heavily impacted by HIV/AIDS, where families are facing multiple challenges at once – economic, health and social discrimination. Strong knowledge networks can also facilitate the flow of information, enhancing the economic power of producers and promoting the uptake of promising practices.

Pact's network strengthening interventions usually begin with an Organization Network Analysis (ONA) designed to visualize and generate discussion around the current patterns of inter-organizational inter-

action. Network strengthening activities often involve multiple events (trainings, panel discussions, idea markets[2], etc.) where the leadership and staff of organizations meet regularly to learn together. These shared experiences serve to develop relationships that later serve as the basis for coordinated action. In some cases, Pact encourages the formation of local sharing and learning teams and offers small grants to catalyze collaborative action.

Advocacy

Empowered citizens, who are networked and speaking with one voice, have the potential to serve as powerful change agents and have an impact on policy making and the enforcement of existing policy. While most often associated with our Good Governance work (described in the following section), advocacy is critical to the other sectors in which Pact operates.

In the HIV/AIDS arena, associations of People Living with HIV/AIDS (PLHIVs) may help to influence policies that defend the rights of HIV positive citizens or that promote universal access to ARVs; in the NRM sector, networks of environmental NGOs might work together to pass policies to protect forested land from clear cutting, while guaranteeing the economic well-being of the communities in these areas.

Pact's advocacy interventions help our partners identify issues of common concern, plan effective advocacy messages and campaigns, build coalitions and networks that can clearly articulate these messages, identify and target decision-makers who have the power to change policies, and implement successful campaigns.

Knowledge Management

In order to bring about sustained improvements in their quality of life, communities and organizations must have access to timely, high quality information and knowledge. Pact's projects directly or indirectly serve to enhance our partners and beneficiaries' access to information and to promote its use for improved decision-making.

Pact adapts its approach to knowledge management and information dissemination to best meet the needs of the target audience in a given context. In more technically advanced countries in Latin America, for example, we have used web-based platforms to encourage effective interaction among communities of practice in local governance and natural resource management to increase the sharing and use of best practices and lessons learned. In Mongolia, cell phones, radio and television have been used to share timely market information and disseminate behavior change messages. In parts of Africa, where the internet infrastructure is less developed, Pact's WORTH program works with newly literate women to communicate information about a wide array of topics through networks of micro-savings groups.

[2]An 'Idea Marketplace' is an event, either in person or virtual, where organizations come together to share their ideas, innovations and promising practices. It is an opportunity to gather new ideas, make connections and engage in peer review of promising approaches.

Grant Making

The majority of Pact's projects, particularly in the HIV/AIDS sector, involve grant-making to local partners. Most grants are between $50,000 and $150,000, and are awarded through a competitive bidding process to NGOs with a successful track-record in the relevant sector. Pact's role in making small grants to local NGOs is not only an important service valued by large donors, who do not have the administrative infrastructure and local networks to make these smaller grants, but also serves to build the capacity of local NGOs who are able to apply the capacity building lessons they learn in our trainings and later access larger donors funds directly.

Pact ensures success in grant making through competitive processes that select promising and accountable partners. Our programs employ transparent and efficient grant mechanisms coupled with ongoing technical assistance to grantees to ensure donor compliance and build critical capacities in program management, monitoring and reporting.

2.2 Pact's Technical Platform Sectors

The core competencies described above are the things that Pact does in our projects to achieve impacts in a given technical platform sector. The majority of our projects fall into one of the following five technical sectors: Good Governance, HIV/AIDS, Natural Resource Management, Livelihoods, and Peacebuilding. In the past donors gave Pact funding to build the capacity of civil society, as an end in itself. Today, donor funds tend to be tied to sector outcomes and capacity-building, if included, is seen as a means to an end, rather an end in itself. As an example, in the HIV/AIDS sector, Pact works through local NGO partners, providing them grants combined with organizational development and network strengthening support, which promotes more effective NGOs that are better able to serve households affected by HIV/AIDS. Below is a brief introduction to each of Pact's technical sectors.

HIV/AIDS

Pact believes that the most successful responses to HIV/AIDS are built upon the commitment and ownership of local leaders and communities. Our strategy links support to community-based organizations through grants and the provision of technical, organizational and institutional capacity building that enable communities to develop and sustain appropriate responses in HIV prevention, care and mitigation. Community-level responses can only be sustained, however, by influencing broader contextual factors, such as improved health infrastructure (including access to key services) and social norms. To this end Pact also engages with key stakeholders to create a supportive policy environment whereby individuals' and communities' commitment to developing a comprehensive response to HIV/AIDS is reinforced by public policy.

Good Governance

Pact's goal in promoting Good Governance is to build the capacity of NGOs and their community leaders to address local development problems. Pact works to create an enabling environment for effective governance, resulting in linkages between government, private business and civil society at national,

regional and local levels. We assist our partners to establish legal frameworks to protect and promote civil society, increase citizen participation, improve institutional and financial viability of civil society organizations (CSOs), enhance the free flow of information, and strengthen democratic political culture. Through its expertise in networking, coalition building, and advocacy, Pact introduces key tools to local stakeholders to enable them to take on a larger role in the governance of their society.

Peacebuilding

Pact leads efforts to create a demand for peace, enhance stability, and manage conflict. Our approach is threefold: to increase the ability of local communities to plan and manage activities that build peace; to increase the ability of local organizations to assist communities in implementing peace-building plans; and to increase the ability of civil society and faith-based networks in building, consolidating and safeguarding peace. Our approach encourages reconciliation and healing as soon as possible, even before larger-scale conflicts are fully resolved, and favors traditional conflict resolution methods over imported ones.

Natural Resources Management

Natural Resource Management is a broad category of activities focused on improving how people interact with and use their natural environment. Pact's conservation oriented NRM is generally focused on changing human behaviors in order to improve the conservation of wild animals, plants, and/or natural landscapes or seascapes. Livelihoods oriented NRM tends to focus more on sustainable economic development based on the range of resources available to a community. While these are not mutually exclusive categories they do represent the major orientations to NRM by international NGOs and donors. Pact's NRM activities and projects have generally been implemented in support of donor-driven biodiversity conservation programs. Pact's success in these programs has largely been due to our ability to take a "people-oriented" approach to NRM that allows communities to be informed and make their own decisions concerning their livelihoods and the management of their resources.

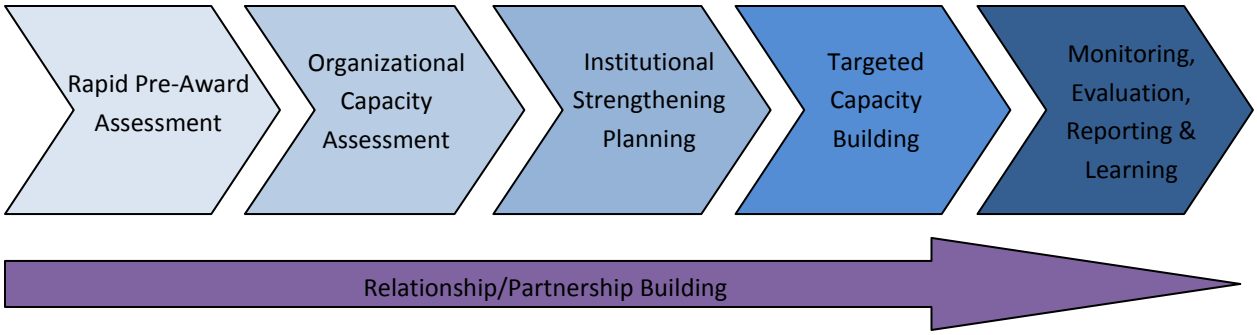
Livelihoods

Pact responds to economic challenges faced by the poor through savings mobilizations, microenterprise development, and market-based livelihoods development activities that increase household income. Pact's strategy links support to community-based organizations through targeted training, technical assistance and grant making with efforts to enhance the organizational and technical sustainability of our partners. Our approach provides sustainable financial services and business opportunities for the poor, as well as support for financial institutions to strengthen their capacity to effectively manage ongoing microfinance programs and rural business information systems.

3. The Anatomy of Pact's Typical Organizational Development Intervention

Pact's typical organizational development intervention follows the pattern outlined in figure 2, below:

Figure 2: The Anatomy of a Pact's Typical Organizational Development Intervention



A. Before any OD intervention, organizations that are identified as potential partners undergo a series of **rapid pre-award assessments**. These facilitator-scored, data-guided assessments assist Pact to determine whether an organization has the necessary financial and management capacity to comply with donor rules and regulations.

B. Once an organization is selected, Pact works with the partner to facilitate a comprehensive, participatory **organizational capacity assessment (OCA)**. The purpose of this participant-guided self-assessment is to identify organizational strengths and challenges, as well as to build ownership of and buy-in for OD within the partner organization.

C. The results of the rapid pre-award assessments and organizational capacity assessment are used to generate an **institutional strengthening plan (ISP)**. An ISP lists the needs identified through the assessment process and indicates what the partner organization will do to overcome these needs over a period of time. It also details how Pact will assist in building capacity and what the expected outcomes of capacity building activities are. The contents of the ISP are negotiated between Pact and the partner organization.

D. **Targeted capacity building** is provided to partners according to the activities listed in the ISP. Capacity building is best provided through a range of interconnected engagement mechanisms including, but not limited to, training workshops, technical assistance consultancies, mentoring, and peer sharing and learning. Each of these interventions serves to reinforce the others.

E. At key stages in the capacity building process we **monitor** progress using ISPs, service quality surveys and quarterly reports. At periodic intervals we **evaluate** changes in partner capacity by repeating the OCA process[3]. In addition, we use quantitative and qualitative techniques to evaluate changes in organizational behavior, service reach, service quality and beneficiary quality of life. In order that we can continue to improve our programming and share findings with others, we also engage in a range of **reporting and learning** activities.

Throughout the OD initiative, it is essential for Pact to focus on **building and maintaining strong relationships** with our organizational partners. These relationships can greatly impact the partner's absorption of capacity building interventions and make or break the success of the overall initiative.

The next section of this introductory module introduces practitioners to some of the theories of adult and organizational learning. These theories form the foundation of any OD initiative. The remainder of the module focuses on the first three steps of a typical OD intervention. Step 4, "Targeted Capacity Building" is addressed primarily through the other modules in Pact's OD Toolkit, which focus on specific organizational functions including Strategic Planning, NGO Governance and Financial Management. These modules can be accessed through by clicking this link.

This module does, however, provide an introduction to delivery mechanisms for OD services, answering the questions how (training workshops, technical assistance consultancies, mentoring and peer sharing and learning) and who (pact staff vs. local consultants). Step 5, "Monitoring, Evaluation, Reporting and Learning" (MERL) for OD will be addressed through an additional module developed in collaboration with Pact's MERL unit.

With any organizational capacity development activity, it is important to note that context plays a key role in both design and implementation. The same is true for Pact's work. The multiple country contexts in which we operate offer different opportunities and constraints, be they political, social, environmental or cultural.

Practitioners using this module should always take account of their country and program contexts when using this module. This module focuses on explaining best practices in OD, which are widely used and have had great success in many Pact programs. The structures and approaches described are not the only options for building organizational capacity, however. Certain activities may be more or less appropriate in different contexts and it is up to the country office practitioner to decide what aspects of the module to use, modify or avoid in their program activities.

[3]OCA scores do not necessarily increase in a linear manner over the course of an intervention. Because OCA is a self-assessment, we often see an initial decrease in scores as partners develop a stronger understanding of OD issues and judge themselves against higher standards. Moreover, as capacity increases

3.1 Stages in Organizational Development

Every organization that Pact partners with is different. Each partner has different goals, works in a different context, and is at a different stage in its development. In order to assist our partners in better understanding the opportunities and challenges at different stages in their development, Pact uses the following four-stage typology based on work by Bernard Lievegoed and Fritz Glasl:

- Pioneering (Nascent) – Pioneering Organizations are usually very flexible and full of energy. They do not yet have systems or processes in place and are often highly dependent on their founder or pioneer.

- Rational (Emerging) – Rational Organizations start to become better organized, formalizing policies, systems and division of labor.

- Integrated (Expanding) – Integrated Organizations mix strong systems with flexibility. Planning is usually undertaken through participatory processes, and cross-fertilization occurs between different departments.

- Associative (Mature) – Associative Organizations collaborate successfully with other institutions their environment to minimize competition and maximize impact.

Organizational change is not a simple, linear process, and over the course of its lifespan an organization will likely move in both directions along the developmental typology. Moreover, it may not necessarily be in the best interests of an organization to move 'up' the typology. The goals and operating styles of government departments, for example, are well suited to the rational stage. Likewise, small CBOs or advocacy organizations may never need to progress beyond the pioneering stage. Thus, the typology is a useful pedagogical tool, but must be carefully explained when used with partners.

For more information on
http://www.barefootguide.org/Book/Barefoot_Guide_to_Organisations_Chapter_4.pdf

3.2 Fundamental Principles of Organizational Capacity Development

A 2007 evaluation of Pact's Organizational Capacity Development activities in Ethiopia identified a series of fundamental principles of capacity building that all OD initiatives should seek to uphold. Pact practitioners have adapted this list into the following nine principles which inform the strategies and approaches detailed in this foundational module. Practitioners might consider some or all of these principles when planning and implementing an OD initiative.

1. **Timeliness:** The balanced space between actions which are taken too slowly or too quickly

2. **Peer-Connected:** There are opportunities for peer-to-peer networking, mentoring and information sharing

3. **Builds Local Ownership:** Builds organizational ownership capacity building efforts through a comprehensive and participatory assessment process

4. **Contextualization:** Occurs in the larger context of other strengthening services a not-for-profit is receiving. Incorporates an understanding of the NGO's environment.

5. **Customization:** Responds to the project's critical questions – and to strengthening needs identified by the organization

6. **Multi-modal:** There is some degree of "one-stop shopping" for Capacity Building services

7. **Demand Driven:** The not-for-profit "client" is ready and has chosen to receive this specialized kind of service

8. **Competence-Based:** The capacity building services are offered by well-trained providers and requested by knowledgeable, sophisticated customers

Scalability: Activities are well documented and assumptions are tested in order that the project and the broader development community may benefit from efforts

4. How Adults and Organizations Learn

Pact's OD toolkit has been developed according to the principles of adult and organizational learning. Each module is structured to help the participants acquire the knowledge, skills, and attitude necessary to achieve success for their organization.

Adult learning is critically important to organizational capacity development. It states that the teaching of adults is based on different values, needs and assumptions than those assumed in the teaching children.

In most cases, the adult learning is most effective when it fills a professional or personal goal. Adult learning generally occurs in an informal, comfortable, safe space, is active and participatory, and is guided but not forced. In general, adults learn well when they are able to connect their experiences and knowledge to a specific goal or objectives. Since adults are practical and relevance-oriented, they normally want to learn something for a reason. Usually these reasons will apply to a person's work or other responsibilities.

Some core principles in adult learning include:

- Learning is self-directed; the learner is responsible for his/her own learning
- Learning fills an immediate need
- Learning is participatory
- Learning is experiential
- Learning is reflective
- Learning methods provide feedback
- Learning shows respect for the learner
- Learning occurs in a safe and comfortable environment

4.1 Motivating Adult Learners

In addition to learning in a different way from children, adults face certain constraints to their learning. Adults normally have both personal and professional responsibilities to fulfill while they pursue new learning opportunities. These responsibilities may discourage some individuals from participating in learning activities because of a lack of time, money, confidence, interest, a lack of information about opportunities to learn, scheduling problems, bureaucratic "red tape," and/or problems with childcare and transportation.

In order for a facilitator or trainer to aid adult learners to overcome these barriers, it is important to keep in mind some common motivations for learning. Typical motivations include:

- Obtain resources or funding
- A requirement for competence, licensing or to fulfill a new organizational policy
- To achieve an anticipated (or realized) promotion
- A need to maintain current skills or learn new ones
- A need to adapt to changes in the operating environment

The best way to engage with adult learners is to respond to their needs by finding out what their motivations are, and what barriers may exist to keep them from learning or participating. In general, the best motivators for adult learners are interest and perceived self-benefit. If the facilitator is able to demonstrate the pragmatic value of what they are teaching, then adult learners will participate at higher levels and will gain the maximum benefit from the learning opportunity.

4.2 How People in Organizations Learn

Every organization is a collection of adult learners, all of whom learn according to the basic set of principles described above. In addition, there are a number of factors that affect how adults learn in organizations. For example, real learning in organizations tends to be social, either taking place in groups, in shared practices, or other networks of people. Staff or team meetings, for example, are key venues for group members to tell stories about their work and reflect on what works and areas for improvement. This kind of discussion may occur, either in-person, or through distance methods such as the telephone, or internet, and serves to educate workers on current issues that are deemed timely and important.

Team meetings normally have greater buy-in from participants than any classroom or formal training session. Accordingly, meetings usually focus on issues that are timely and relevant to team members. As on the individual level, adult learners in an organization learn more effectively in an environment that fosters mutual respect, trust, and where diverging opinions are valued. New knowledge and/or outcomes from these meetings are usually subtle and flexible, while more global, systemic changes tend to evolve over a longer time period.

4.3 Organizational Learning

If adults learn according to certain principles and organizations are composed of adults who learn together in a distinctive way, than how do organizations learn?

Learning in organizations is the result of continuous testing of experiences and the transformation of those experiences into knowledge. Real learning happens when new experiences and discoveries are disseminated throughout the organization, and tested to determine their value-added properties. Learning in organizations flourishes when the leadership recognizes the importance of continual self-

reflection and drives a movement to focus on positive organizational change. New knowledge is woven into the fabric of an organization if it helps an organization to deliver its core business.

The following exercise is designed to help an organization think about whether it is a learning organization. This exercise may be used to stimulate thinking about what an organization is already doing to promote learning, and how greater learning may occur in the future.

PURPOSE

To test participants' views on whether their own organization is a learning organization.

TIME NEEDED

20 minutes

MATERIALS

- One flipchart with the word "No" on it
- One flipchart with the word "Yes." Place flipcharts at opposite sides of the room.
- A third flipchart (or Power Point presentation) with pre-prepared statements about learning organizations.

Exercise:

Is my Organization a Learning Organization

AGENDA

Facilitator shares with participants a series statements about learning organizations. The room is divided in two – one side "yes", the other side "no." If participants agree with the statement in terms of their organization, they move to the "yes" side of the room. If participants disagree with the statement in terms of their organization, they move to the "no" side of the room. The facilitator will interview different participants to find out more about their thoughts during the activity.

PARTICIPANTS

This activity has been written for several representatives of a single organization, but can also be easily adapted to work with groups of representatives from several organizations.

ACTIVITIES

1. Tell participants that you are going to read a series of statements, and after each statement, participants should move to either the "Yes" or "No" side of the room, depending on whether they agree or disagree with the statement in terms of their own organization.

2. Read a series of statements, ask participants to indicate their responses by moving around the room.

3. After each question, the facilitator should ask a few participants why they have chosen the answer they did. Ask a few people on the "Yes" side and a few on the "No" side. If there are people who are undecided, ask them for their feedback, too. Spend about five minutes per question.

4. Some suggested questions are as follows:
    - In our organization, we sufficiently and routinely examine our work and challenge what we know and do.
    - Our organization produces knowledge that helps everyone in the organization to be more effective in their work.
    - Our organization's knowledge is shared and accessible to all, even new or junior team members.
    - The resources, time and money, that our organization spends on sharing knowledge and learning are used in the most relevant and effective way to help us achieve our mission.

4.4 Resources to Explore Adult and Organizational Learning

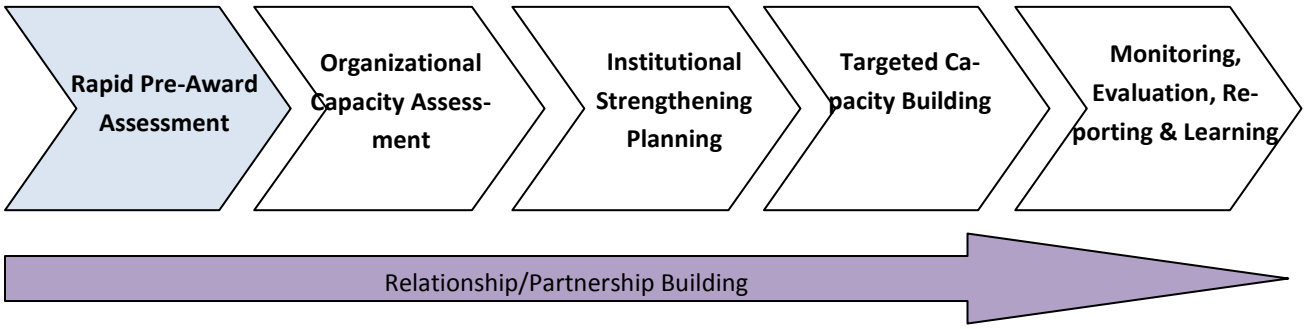
The following is a short bibliography of resources for those interested in doing additional reading about adult and organizational learning:

- Freire, Paulo. 2000 30th Anniversary Edition. *Pedagogy of the Oppressed*.
- Knowles, Malcolm. 1998 Fifth Edition. *The Adult Learner: The Definitive Classic in Adult Education and Human Resource Development.*
- Lieb, Steven. *Principles of Adult Learning*. http://honolulu.hawaii.edu/intranet/committees/FacDevCom/guidebk/teachtip/adults-2.htm.
- Vella, Jane. 1994. *Learning to Listen, Learning to Teach.*
- Senge, Peter. 1994. The Fifth Discipline: The Art and Practice of the Learning Organization

5. Stages in an Organizational Capacity Development Intervention

The following section examines each stage in the typical organizational capacity development intervention introduced in Section 3.

5.1 Rapid Pre-Award Assessment



Prior to accepting an organization as a partner, Pact applies a series of rapid pre-award due diligence assessments. These assessments may lead to a decision not to take on a partner, but in most cases they inform the grantmaking process, establishing grant requirements that minimize risks identified and plans to mitigate against those weaknesses. The particular assessments undertaken depend upon the goals of the program and requirements of the donor. Rapid pre-awards assessments should be customized by a team of grants management, program and OD staff to ensure that they are appropriate to the technical, managerial, and financial requirements of the program.

Pact's Management Capacity Assessment Tool (MCAT) is utilized to assess the financial and management capabilities of partners, our Program Capacity Assessment Tool (PCAT) assesses the technical/ service delivery capacity of partners, and our Monitoring, Evaluation and Reporting Organizational Capacity Assessment Tool (MEROCAT) is designed to assess strategic information and data quality assurance systems. It is usually unnecessary to complete all three of these assessments in full, and the level of detail that you choose to assess should be determined by the length of a project, level of funding

and intended outcomes. However, completion of the MCAT is essential for any partner due to receive a grant.

The results of these assessment highlight areas of organizational capacity (such as financial and procurement management) that require strengthening in order for the partner to achieve donor compliance. In grant making programs, these assessments serve as a pre-award review for grant worthiness. Grant worthiness indicates sufficient technical, managerial, and financial capacity to carry out program objectives and achieve stated results. Assessment of the applicant's strength in the three capacity areas—technical, financial, and organizational—will result in an overall assessment of risk level. The risk level will inform decision-making on the appropriate type of grant instrument, the appropriate level of oversight and reporting, and/or the need for special award conditions. Pact's Subgrants Management Manual, available from the Grants and Contracts Department at Pact HQ, should be your main source document on MCATs and Pact's grantmaking work more generally.

5.1.1 Introductory Meeting

Before beginning any organizational development activities with a partner, it is helpful to arrange an introductory meeting to introduce Pact, explain our organizational development, and build buy-in for and ownership of capacity building activities. This visit is critical to the starting off the relationship with the partner in a positive manner, as it shows the partner that Pact perceives the need to build a relationship as superseding the need to complete required assessments.

Introductory Meeting for Capacity Building Activities

AGENDA
Meeting with Executive Director, Deputy, lead finance, operations and program staff

PARTICIPANTS
Executive Director, Deputy Director, Lead Finance Staff, Lead Operations Staff & Lead Program Staff

SUGGESTED PACT LEAD
Program Manager/Chief of Party

ACTIVITIES
1. Meet for a two hour session with key stakeholders from the organization

2. Use the Power Point Presentation as a general introduction to Pact and our work in OD.

3. Use country/program specific materials to describe Pact's work in the country in which the partner operates. Introduce the various aspects of the program, including grantmaking, capacity building, technical platform activities, etc.

4. Explain the major activities and processes within the program including pre-award assessments, grants management, capacity diagnostics, capacity building, MERL, etc.

5. Take questions from participants.

6. Ask participants to think about areas in which their organization might potentially need strengthening (This is a particularly helpful activity for gathering early baseline data and facilitating buy-in for capacity building activities).

7. Provide participants with a list of the documents needed by Pact for the pre-assessment process.

PURPOSE
1. To introduce Pact and our capacity building approach to key stakeholders.
2. To generate buy-in for the organizational development process
3. To identify possible capacity building needs
4. To explain and build comfort with the pre-award survey process
5. To establish realistic expectations for next steps, including the possibility that a decision will be made not to proceed

TIME NEEDED
2 hours

MATERIALS
- Introduction to Organizational Capacity Development with Pact Power Point Presentation (Annex 1),
- Pact Annual Report,
- Country Office Marketing Materials,
- Sample Pre-Award Surveys

5.1.2 Management Control Assessment Tool (MCAT)

Pact's Management Control Assessment Tool (MCAT) is used to determine pre-award grant risk or grant-worthiness of a partner. Management control refers to the managerial and administrative experience and expertise, as well as the financial and accounting systems needed to assure compliance with a grant award and achieve program objectives. MCAT is the baseline and end line measurement for financial and management capacity, and can be tied to the internal performance monitoring indicator of *% of current and new grantees with increased MCAT scores*.

Capacity areas measured using the MCAT include:

- Accounting procedures: general system, receipts, disbursements, bank accounts, petty cash records, ledger, journal, trial balance, payroll and salary
- Internal controls: approval controls, segregation of duties, design and use of records, safeguards over assets and records, independence checks,
- Budgeting, reporting & auditing: budgeting and reporting, auditing, cost share/match
- Policy environment: ethics, organizational policy, personnel policy and management, travel/ transport policy and management, property policy and management, procurement policy, subgrant management, project management

Management Capacity Assessment Tool (MCAT)

AGENDA

Activity	Time Needed
• Gather critical financial and operations management documents from organization (done at Pact office)	4 hours
• Analyze documents from organization (done at Pact office)	1 ½ days
• Meeting with Executive Director and Deputy	2 hours
• Meeting with lead finance staff	2 hours
• Meeting with lead operations staff	2 hours
• Meeting with lead program staff	2 hours

PARTICIPANTS

Executive Director, Deputy Director, Lead Finance Staff, Lead Operations Staff & Lead Program Staff

SUGGESTED PACT LEAD

Program Officer

ACTIVITIES

1. Gather copies of the necessary documents from the organization
2. MCAT facilitators (usually Pact program, finance and/or contracts staff) analyze all documents and score MCAT indicators according to the response scale in the questionnaire.
3. Meet with critical stakeholders at participant organization (either individually or in small groups around appropriate functions). Discuss findings from documents, negotiating scores when applicable. Complete any remaining gaps in the assessment.
4. Analyze results and prepare results report (See Annex 3 for a copy of an MCAT results report).

PURPOSE

1. To assess the grant-worthiness of a potential partner organization, and identify potential areas of risk.
2. To assess organizational capacity in financial management and operations management.
3. To screen potentially problematic partners

TIME NEEDED

1-2 days of advance preparation at Pact office, 8 hours of interviews with key stakeholders

MATERIALS

- Copy of MCAT Assessment Survey (Annex 2),
- Copies of the following documents from the organization: annual report; last three years of audits; copy of registration;
- VAT number; organization chart;
- And copies of any procedural manuals.

5.1.3 Program Capacity Assessment Tool (PCAT)

The Program Capacity Assessment Tool (PCAT) is used to determine the technical capacity of organizations in the platform sector or subsector in which they operate. PCATS are tailored to focus on the particular sector and context in which an organization operates. For example Pact applies Orphans and Vulnerable Children (OVC) and Voluntary Testing and Counseling (VCT) assessment tools in the HIV/AIDS sector, and Advocacy and Clout assessment tools in the Good Governance sector. PCATs are the baseline and end line measurement for technical capacity, and can be tied to an internal performance indicator of *% of current and new grantees with increased PCAT scores*.

5.1.4 Monitoring, Evaluation and Reporting Organizational Capacity Assessment Tool (MEROCAT)

The MEROCAT is an assessment of strategic information and data quality assurance systems adapted from assessment tools developed by Pact programs in Kenya and South Africa. The MEROCAT assesses Monitoring Evaluation Reporting and Learning (MERL) capacity of grantees as measuring outcomes of capacity building programs for monitoring, evaluation, reporting and learning and can be tied to an internal performance indicator or *% of current and new grantees with increased MER OCA scores in key areas of organizational capacity.*

The capacity areas measured under this tool are:

- General MERL systems:
- Data management systems and practices
- Data quality management
- Program management and decision making

5.1.5 Customizing a Rapid Pre-Award Assessment Tool

The MCAT is a standardized assessment tool, applied in a common manner across all Pact projects with a grants management component. The other assessment tools discussed over the previous chapter, however, are examples of good practice. They need not be used wholesale and should be tailored and customized to meet the specific needs and goals of your project.

One particularly useful example of a tailored pre-award assessment tool is the Pact Cambodia "Subgrant Pre-Award Assessment Tool" (Annex 10). This pre-award assessment combines the full MCAT survey with cross-sectoral aspects of a PCAT tool. It is a good example of how a program has taken pre-existing assessments and created its own customized tool.

Program Capacity Assessment Tool (PCAT)

AGENDA

Activity	Time Needed
Gather and analyze critical programmatic documents from organization	1 day
Meeting with Executive Director and Deputy	2 hours
Meeting with lead program staff	2 hours

PARTICIPANTS

Executive Director, Deputy Director, & Lead Program Staff

SUGGESTED PACT LEAD

Program Officer

ACTIVITIES

1. Gather copies of the following documents from the organization:
2. Analyze all documents and score PCAT indicators according to the response scale in the questionnaire.
3. Meet with critical stakeholders at participant organization. Discuss findings from documents, negotiating scores when applicable. Complete any open ended questions or further gaps in the assessment.
4. Analyze results and prepare results package (See Annex 5 for a copy of a BAIT results report and Annex 7 for a copy of an OVC Assessment Results Report).

PURPOSE

To assess the capacity of a potential partner organization within the technical platform sector (or subsector) of the project

TIME NEEDED

1 day of advance preparation, 4 hours of interviews with key stakeholders

MATERIALS

- Copy of PCAT Assessment Survey (Annex 4 is a copy of the BONGA Advocacy Index Tool (BAIT) from Tanzania, and Annex 6 is a copy of the Orphans and Vulnerable Children Assessment from Malawi) ,
- Copies of the following documents from the organization: Program description, reports related to program activities

Monitoring, Evaluation & Reporting Organizational Capacity Assessment Tool (MER-OCAT)

AGENDA

Activity	Time Needed
Gather and analyze critical MERL documents from organization	4 hours
Meeting with Executive Director and Deputy	2 hours
Meeting with lead monitoring and evaluation staff	2 hours

PARTICIPANTS

Executive Director, Deputy Director, Lead M&E Staff

SUGGESTED PACT LEAD

MERL Officer

ACTIVITIES

1. Gather copies of the following documents from the organization: monitoring and evaluation plan, strategic plan, indicator protocols, data collection tools, data quality management plan, evaluation reports

2. Analyze all documents and score MEROCAT indicators according to the response scale in the questionnaire.

3. Meet with critical stakeholders at participant organization. Discuss findings from documents, negotiating scores when applicable. Complete any further gaps in the assessment.

4. Analyze results and prepare results package (See Annex 9 for a copy of a MEROCAT results report).

PURPOSE

To assess the capacity of a potential partner organization in monitoring, evaluation and reporting

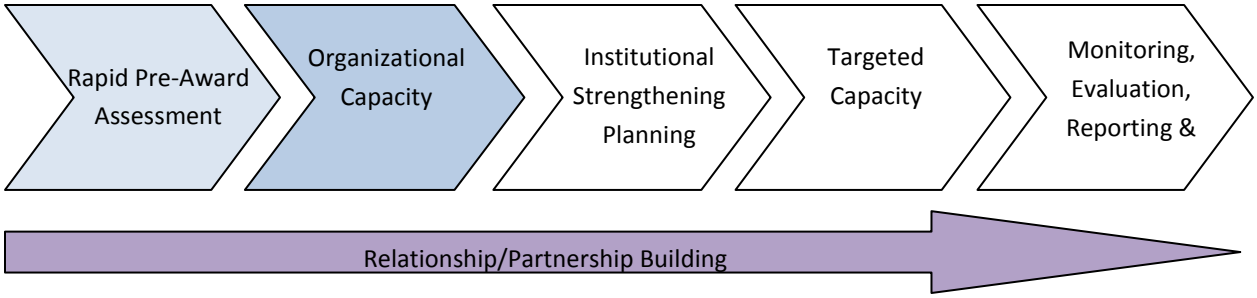
TIME NEEDED

1-2 days of advance preparation, 4 hours of interviews with key stakeholders

MATERIALS

- Copy of MEROCAT Assessment Survey (Annex 8),
- Copies of Documents from Organization

5.2 Organizational Capacity Assessment (OCA)



Once a grant has been awarded to a partner, Pact completes an Organizational Capacity Assessment (OCA)[4] that takes a comprehensive look at the functional capacity of the organization. OCA typically focuses on helping organizations assess the following functional capacity areas:

- Governance, Strategic Planning and Policy Framework
- Financial and Grant Systems and Administrative Policies
- Human Resources Development, Management and Policies
- Program Planning, Management and Supervision Practices
- External Relations and Partnership Development / Interaction
- Program Institutional and Financial Sustainability – Resource Mobilization

Pact's OCA methodology uses a participatory process that enables organizational staff, board members and volunteers to reflect upon and explore various organizational systems, and learn by performing a self-assessment of their strengths and weaknesses. The inclusive and participatory nature of OCA is critical for generating buy-in for ensuing organizational development efforts.

When beginning a project, Pact conducts OCA in a coordinated manner to ensure rapid delivery of assistance during startup: the aim is to minimize time spent assessing and maximize time available for interventions. To this end, an initial OCA is generally conducted within three months of signing a grant. A second assessment is often conducted later in the project, to measure changes in organizational capacity over time. To this end OCA scores can be tied to an internal performance indicator *% of current & new grantees with increased OCA scores in key areas of organizational effectiveness.*

The OCA process is designed for a variety of purposes. It can be used in whole or part to:

- Serve as a diagnostic instrument to determine the stage of organizational maturity and the specific changes needed to strengthen a NGO's development
- Establish a baseline measure of the existing structure and capability of a NGO
- Monitor and evaluate progress toward the organizational development objectives of a NGO

[4]Pact's Organizational Capacity Assessment (OCA) and Organizational Capacity Assessment Tool (OCAT) methodologies are discussed in this module under the single umbrella of OCA. Variations in process that reflect the different methodologies are explained in the text.

- Serve as a means to educate NGO board members and staff about the components and characteristics of an effective NGO
- Create a strong and shared commitment to change within the NGO
- Assess training needs of the staff of a NGO and provide a framework for a training curriculum.
- Identify quick wins for organizational change that can be implemented by the organization itself with little external assistance.
- Act as an internal communication tool.
- Serve as a basis on which to design improved systems and procedures.

It is important to fully explain the purpose of the OCA to partners, and discuss how the assessment differs from the pre-award assessments that they have already undergone. Partners may feel a degree of fatigue if they perceive that they are undertaking a large number of assessments within a short period of time and without a full understanding of the purpose.

The OCA process should be led by a team of at least two experienced and trained facilitators. These facilitators should have the necessary skills to: collect and review relevant project documents; interview board and staff members; visit project sites and interview project beneficiaries; facilitate a scoring session involving 10 – 20 board, staff members, and volunteers; explain complex organizational development issues in simple terms; ensure that all stakeholders are given the opportunity to participate; and write a complete report that objectively presents the results of the assessment, while analyzing those results and making concrete and practical recommendations for steps for improving each area of management.

OCA facilitators may be Pact country staff, a local organizational development partner/consultant, Pact regional or global resource staff, or any mixture of the above. Because of the critical role of OCA in generating buy-in for organizational development and setting the stage for capacity building interventions, it is very important that OCA facilitators be trained. Training is offered by both HQ and ResNet staff and involves a mixture of both theory and practical experience.

There is no one standardized methodology for completing an OCA. However, a typical OCA process includes a number of key stages:

1. Creation or contextualization of the OCA tool
2. Piloting the assessment
3. Preparing partners for the assessment
4. Completing the OCA assessment
5. Processing results and preparing the report
6. Results debrief and action planning
7. Re-OCA for evaluation

Pact has two primary methodologies for designing and conducting an OCA – Data Guided OCA and Participant Guided OCA. These are compared in the table below and differences between the two meth-

odologies highlighted over the following section. Depending on the goals of your project, you may wish to use either one of these methods, or possibly a mixture of both.

Data-Guided OCA	Participant-Guided OCA
Facilitators use written documents to complete preliminary scoring and guide discussion	Facilitators use discussion techniques to bring out objective data around organizational capac-
Scores are negotiated and agreed upon by all stakeholders	Each stakeholder scores individually
Results are reported as capacity scores	Results are reported as capacity and consensus scores

5.2.1 Creation or contextualization of the OCA tool

Pact already has a wide range of capacity assessment tools, developed for projects encompassing numerous technical sectors and country contexts. If either time or budget is constrained, it may be feasible to use a one of these pre-existing OCA tools for your own assessment. However, as every project has different goals, it is highly recommended that you tailor your OCA tool to the needs of the organizations that you will be working with.

Past experience has helped us to develop several different options for creating or contextualizing OCA tools – you may wish to use one of the following methods or possibly a mixture when developing your own tool.

Contextualization by Facilitators

One option for developing your OCA tool is to have Pact staff or facilitators contextualize an OCA tool to be used in with project partners. If you are contextualizing an OCA tool without involving participants, it is important to share the draft tool via email, or in a meeting, and seek feedback. The advantages and disadvantages of facilitator contextualization are as follows:

Advantages	Disadvantages
Expert design ensures that indicators are consistent with program theory, international standards	Partners may not feel full ownership of the resulting assessment tool, and may view it as an exter-
Cheapest and quickest way to develop an assessment tool.	The process of designing a tool is a capacity building intervention in and of itself. This aspect is lost where the tool is developed by facilitators.
The same tool is used for all NGOs assessed, allowing for comparisons across a cohort of organi-	Every program is different and will have different goals and challenges. It may not be a good idea,
	Does not contribute to building the relationship between Pact and our partners.

PURPOSE

Involve Pact staff and/or OCA facilitators in the contextualization of capacity areas and indicators to be included in the OCA tool

TIME NEEDED

6 hours

MATERIALS

Sample OCA tool (s) from similar country/sectors

OCA Tool Contextualization by Partners

SESSION OVERVIEW

1. Introduce
2. Contextualize OCA tool through review and development of capacity areas and statements of excellence (indicators)

PARTICIPANTS

Pact staff involved in implementing the program, including, but not limited to the program manager, program staff, finance staff and M&E staff. Any staff or consultants who will be involved in facilitating/implementing the OCA process.

SUGGESTED PACT LEAD

Program Manager/OD Manager

CONTEXTUALIZATION OF CAPACITY AREAS AND INDICATORS

1. Ensure that all participants are fully oriented to the purpose and principles of OD in Pact, and to the role that OCA plays within that process.

2. In small groups of around 3-4 people, review sample OCA tools from similar programs and country contexts.
3. Each group should identify up to 8 major capacity areas that are particularly relevant to the program context, and write these clearly on flip charts. Capacity areas, are broad, overarching concepts (such as Strategy and Planning, Leadership and Governance, Human Resources Management, etc.). Capacity areas may be:
    a. Draw directly, as appropriate, from existing tools
    b. Taken from other tools, and reworded/contextualized
    c. Developed by merging or separating concepts from other tools
    d. New concepts that are not included or featured in other tools

1. Post the flip charts, and compare the results developed by different groups. Ask the following questions.
    - Is everyone clear on the meaning of each capacity area?
    - Are the capacity areas identified consistent with the goals of the program?
    - What overlap is there between the capacity areas developed by different groups?
    - Of the remaining capacity areas developed by the different groups, are the capacity areas similar enough to one another that they can be collapsed?
    - Is anything important missing?
5. Follow up with the group around any missing content that they added. Ask them to explain the capacity area they added, and ensure that others understand.
6. The questions above should help the group move towards a single, consensus list of capacity areas. If necessary, the group should vote on a final list of areas for the OCA tool using sticky dots. Based upon prior experience, around 8 capacity areas is an ideal number for an OCA tool for a one-day assessment.

1. Statements of excellence (or indicators) should be developed for each capacity area. This may be done through the following process.
    - Divide participants into four groups. Give each group two capacity area to work on, and that the aim is to develop between five and ten statements of excellence for each capacity area.
    - Have participants review sample OCA tools for statements of excellence that are relevant in the context of their program.
    - Tell them that they may either take existing statements in their current form, tweak existing statements, or develop new statements of excellence from scratch.
    - Have groups present back their statements of excellence for each capacity area. Assist the group to achieve consensus around the most important statements – adding, deleting or editing statements as necessary.
    - Aim for about five to ten statements of excellence for each capacity area.

Contextualization by Partners

A second option is to involve partners in contextualizing the OCA tool. If you already have partners identified, organize and invite them to a one-day working session to go over the tool, contextualizing it as you go.

If you do not yet have a pre-identified group of partners, then invite a group of 8 – 10 national NGOs with the help of your donor or the national NGO forum. In choosing the NGOs, try to get NGOs active in the sector(s) of the program. The NGOs invited should be relatively well established and with some knowledge of good management.

This session should be led by an experienced participatory facilitator, with active involvement of the Pact staff or consultants, who will be accountable for implementing the OCA process. In addition to contextualizing the tool itself, this session should be used to get input from the national NGOs on the proposed process for applying the OCA to each NGO.

The process for contextualizing an OCA tool with partners is the same as that for contextualizing the tool with facilitators, and you can use the session design above. The advantages and disadvantages of partner contextualization are as follows:

Advantages	Disadvantages
Takes advantage of work done on previous tools in similar country/sectoral contexts	The process of designing a tool is a capacity building intervention in and of itself. This aspect is lost where the tool is contextualized rather than built from scratch.
Involves partners in developing their own OCA tool. This can be critical in building ownership of the OCA process and ownership for capacity building activities in general.	Every program is different and will have different goals and challenges. It may not be a good idea, therefore, to begin with preexisting OCA tools.
Assists in building the relationship between Pact and our partners	Partners with low capacity may need assistance to identify the most important capacity areas in their context
The same tool is used for all NGOs assessed, allowing for comparisons across a cohort of or-	Relatively expensive way to develop an OCA tool. Represents an investment of both Pact's time and

Creation by Partners

A third option is to bring representatives of each partner organization together to develop a framework of "organizational excellence" which is customized to a given environment or context. Through a

one-day structured brainstorming workshop, organizations identify and define the factors that are essential for making an organization successful in the context in which it operates.

If conducting OCA with an individual organization, participants should represent each of the organization's departments or functional units and board members, volunteers, or constituent representatives as appropriate. For a cohort, or group of organizations, each organization should have representatives in attendance.

If appropriate, this one-day session can be lengthened to include additional days for discussing capacity building and building ownership and excitement around the capacity building process.

The advantages and disadvantages of tool creation by partners are as follows:

Advantages	**Disadvantages**
Takes advantage of an unconstrained 'blue sky' approach to tool development, ensuring that the resulting OCA tool fully reflects the context of the program.	Partners with low capacity may need assistance to identify the most important capacity areas in their context
Involves partners in developing their own OCA tool. This can be critical in building ownership of the OCA process and ownership for capacity building activities in general.	Relatively expensive way to develop an OCA tool. Represents an investment of both Pact's time and partner's time.
The process of developing the OCA tool is a capacity building exercise in and of itself.	If partners each develop their own tool, it is difficult to compare results across organizations
Where partners work together to create a single too, opportunities exist for comparisons across a cohort of organizations.	
Assists in building the relationship between Pact and our partners	

OCA Tool Creation by Partners

PURPOSE

- Introduce partners to the OCA process
- Involve partners in the creation of capacity areas and indicators to be included in the OCA tool
- Build ownership of and excitement for the OCA process

TIME NEEDED

8 hours

MATERIALS

- Power point explaining the OCA Process,
- Sample OCA tool(s) from similar countries/sectors, draft OCA tool prepared by pact staff (where combining with facilitator contextualization).
- 5x7 index cards,
- marker pens,
- sticky blue wall or press-stick.

PARTICIPANTS

One or two representatives from several partner NGOs (5 partners minimum). Representatives of other established national NGOs or strategic partners)

SUGGESTED PACT LEAD

Program Manager/OD Manager (Facilitation should be led by an experienced participatory facilitator, with participation of the full OCA implementation team).

A. INTRODUCTION TO THE OCA PROCESS

1. Welcome participants
2. Where appropriate, introduce Pact's work in country and the program in which partners are participating
3. Introduce the OCA process, and its role in the organizational development component of the program

B. CONTEXTUALIZATION OF CAPACITY AREAS AND INDICATORS

1. Post the following brainstorm question on the display board: "What are the core capacities (skills, knowledge, abilities) of a high performing NGO operating in the (enter name of sector) sector in (enter name of country)?" Give a few examples to stimulate thinking.

2. Give individuals a few moments to organize their thoughts. Ask them to rapidly write down key organizational functions on an individual basis. Ask participants to star their 3 most important ideas.

3. Participants get into small groups (three or four participants per group is optimal). Have groups identify 5-7 ideas and write them on index cards. Make sure that each card has no more than one idea per card and is written in clear, large letters. Ask each of the groups to give you approximately 3 cards.

4. Place the cards from each group on the board in a random pattern for viewing by the large group. Read each card as you place it on the board and ask the participants if the intent of the card is clear to everyone. If not, allow the group responsible for the card to clarify. Do not allow debate or discussion at this time – there are no right or wrong suggestions.

5. Repeat steps three and four above two or three times until you have between 30 and 50 cards.

6. Perform a silent grouping process: without talking, participants will step up to the board and arrange the cards in like clusters.

7. Apply a meaningless symbol (geometric figure, simple drawing, etc.) to each cluster to allow for a way to refer to the clusters.

8. Review cards in each cluster out loud. Ask the group if any cards should be added or moved. Do not add or move any card until you have group consensus.

9. Put clusters in columns and ask group to change symbols to names to represent the core areas demonstrated by each column. Explain that these core areas will be used as the capacity areas to be measured by their tool and that the individual index card will become indicators.

10. Ask the group if some capacity areas are too large and should be split, need more elements added to them to complete the concept, or are over-arching.

11. Finalize naming of columns and location of all cards. Ask the group to rethink the column titles. Is the name appropriate for each?

12. Review the group work. Read the titles of the clusters, and confirm that the group has reached consensus on capacity names/clusters. Discuss the product, asking participants the following questions: 1) What were our breakthroughs? 2) How does this work move us closer to our OCA tool? (See Annex 11 for a sample framework that might be generated through this discussion).

5.2.2 Completing a Participant Guided OCA Tool

In addition to capacity areas and statements of excellence, a participant guided OCA tool includes activity based discussions, one for each capacity area. Over the course of the assessment, the facilitator leads the team through the OCA tool - facilitating discussion of each capacity area, and instructing individual scoring of the indicators for that area using individual score sheets. Through this process, the facilitator focuses each discussion on actual events from the organization's experience over the past 12 months, ensuring that the self-assessment is less subjective and more rigorous. By using activity-based discussion techniques, participants are encouraged to express their views safely through a variety of media.

OCA facilitators should take time to develop appropriate activity based discussions for each capacity area. The discussions should include questions that bring out information relevant to each of the statements of excellence to be scored.

ORID, or the Focused Conversation method, is the basis for all OCA discussions. ORID is a method of leading a group of people through certain phases of reflection in a way that allows them to process their experiences and opinions as a group. The focused conversation is led by a facilitator who asks a series of questions to elicit responses that take a group through a simple process of four levels, from the surface of a topic to its deep implications. The four levels are:

- Objective – questions about facts and external reality.
- Reflective – questions to call forth immediate personal reaction to the data, an internal response, sometimes emotions, feelings, hidden images and associations with the facts. Whenever we encounter an external reality, we experience an internal response.
- Interpretive – questions to draw out meaning, values, significance and implications.
- Decisional – questions to elicit resolution, bring the conversation to a close, and enable the group to make a decision or action about the future.

These four levels of reflection form a template or pattern from which innumerable conversations can be designed. It is important to note that in the OCA process, when conducting the assessment the conversation is almost always suspended at the end of the interpretive level. In a sense, the act of scoring constitutes the decisional level. In another sense, we pick up the discussion again and complete the decisional level during the action planning phase of the process. Also note that OCA tools often do not include an explicit question at the reflective level. Generally the facilitator must decide if the participants' internal reaction to the data is strong or diverse and if so, ask the participants to share their feelings or reactions to the objective level data.

Here are some examples of typical OCA discussions using the ORID method:
Example 1:

a) When was our most recent staff training? (O)

b) How often over the last 12 months have we held staff training events? (O)
c) For our three most recent staff training events, what evidence is there that they strengthened staff capacity and performance? (O-I)
d) To what extent were the areas of improved staff capacity relevant to our human resource needs? (I)
e) To what degree did these training events prepare staff to respond to our strategic objectives? (I)

Example 2:

a) What are three recent procurements? (O)
b) Did procurement follow written procedures? (O-I)
c) What was the impact of these procedures on costs? (I)

Example 3:

a) Select three representative projects that have been conducted in the last 3 years. Who are the target groups/beneficiaries for each project? (O)
b) What technical assistance have we provided to our target groups? (O)
c) To what extent has this assistance been provided in a timely and useful fashion? (I)
d) To what extent has this assistance increased the target group's ability to achieve its objectives? (I)

Discussion activities build upon the ORID as a foundation for focused discussion, but use a dynamic activity as a catalyst for conversation and broader participation. Some of these activities are also useful in creating a tangible "artifact" of the discussion. A series of discussion activities for OCA are presented in Annex 12 and a completed example of a participant guided OCA tool is presented in Annex 13.

5.2.3 Piloting the Assessment

Once a tool has been developed for the local context, it needs to be translated into the local language. In parallel, it is useful to get a copy of the local NGO law, assuming one exists, and check the governance sector indicators against the law.

If time allows, test the OCA process on two volunteer NGOs (for a full description of how to conduct an OCA assessment see *Completing the OCA Assessment, below*). Once the pilot is complete, ask participant NGOs for feedback:

- On the tool itself
  - Which indicators did you not understand or seem irrelevant?
- On the process
  - Was it enough time?
  - Did it involve the right preparatory activities?
  - Were the right people involved?

- Was the scoring system transparent?
- Was the role of the OCA facilitators appropriate?

Use this feedback to adapt the tool and the process.

When choosing OCA pilot organizations, one option is to test the tool on NGOs that are not program partners, but are at roughly the same level of development as partners and have expressed an interest in better understanding their strengths and weaknesses. If you do this, it needs to be made very clear to these NGOs that they will not benefit from any follow-up training, but will receive a report on the results of the assessment that will include some practical advice that they can carry out on their own without external help. A second option is to test the tool on program partners. If you do this and proceed to make significant changes to the OCA tool, however, this will hinder comparison across partners.

5.2.4 Completing the OCA Assessment

Partners need to be given at least two weeks notice before the OCA team visits. The first contact, ideally done face-to-face, should clarify the objectives of the OCA and clarify how the OCA is different from the MCAT and the PCAT that many NGOs may already have experienced. This can be done through a one-on-one meeting with each targeted NGO or through a group meeting of all the NGOs that will be participating in the program. During the meeting, it should also be made very clear that the results of the OCA will not affect Pact's decision to work with the NGO as a partner.

In addition, the NGO should be informed of any documents that need to be assembled and reviewed by the facilitators prior to their visit; who needs to be available during the site visit and at what times; and how the assessment will be conducted. A specific date and time should be set for all documentation to be delivered to the facilitators, ensuring that they have it at least a week ahead of time in order to review it prior to the meeting.

The number of days spent data gathering on site varies from one Pact country office to another. At a minimum, one day of meetings is required, but in some cases two is preferable. The decision on how many days should be spent at each NGO gathering data is largely a function of how much the donor is willing to spend on each OCA process. Invariably, NGOs find that they learn a great deal about themselves and about NGO governance and management during the process of the two to three day OCA process.

For smaller organizations, all members of the staff should participate in the assessment team if possible. If the organization has more than 15-20 staff, facilitation can become challenging and it may be difficult for everyone to participate fully. In this case, an assessment team should be formed that best represents a "microcosm" of the organization. This means all departments or functional units, all levels of staff (junior to senior), a mix of male and female staff, a mix of newer and more tenured staff, etc. The more representational your assessment team is, the more reliable your results will be. You may

also want to invite representatives from the board of directors or your constituents to participate. If your organization typically uses volunteers, you should also include one or two on the assessment team. Not everyone on the team will know about the details of every success factor. That is why the discussion activities are so important. This is a very valuable way for staff to learn about the organization and exchange and understand each others' experience and perspective.

Data Guided OCA

This methodology provides facilitators with a framework for organizational development around which they contextualize a relevant assessment tool for their partners. The assessment is completed through a series of interviews with key organizational stakeholders. Scoring is done by facilitators through negotiation with organizational stakeholders.

The documentation provided by the organization should be reviewed to by the facilitators to help them assign preliminary scores for certain sections of the OCA. They should take note of these proposed scores on the OCA Tool scoring sheet. Prior to their arrival on site, the two OCA facilitators should agree who will take the lead on each section of the OCA (e.g. Governance, Project Planning, Monitoring and Evaluation, Financial Management, etc.), this will determine to some extent how to divide up the review of the documents as well as the on-site data gathering.

A complete facilitator's guide for conducting a Data Guided OCA is available in 'Participatory Monitoring, Evaluation and Reporting: An Organizational Development Perspective for South African NGOs' on Pact's SharePoint at the following address: https://solomon.pactworld.org/programs/Competencies/od/Shared%20Documents/Organizational%20Assessments/Pact%20PMER%20Manual%20-%20Original%20OCAT.pdf

A summary of the main steps follows on the next page:

PURPOSE

To work alongside a partner assisting the organization to assess its own capacity in key functional areas

TIME NEEDED

1 day of small group interviews with key stakeholders, 4 hours of facilitator scoring of assessment, 1 day scoring meeting with all key stakeholders

MATERIALS

- Prepared questions for interviews.
- Copy of OCA Survey

Data Guided Organizational Capacity Assessment (OCA)

AGENDA

Activity	Time Needed
Back to back meetings with: ○ Executive Committee of Board – focus should be on governance issues. ○ Executive Director – all aspects of the OCA should be explored during this meeting ○ Financial Manager – financial sections of the OCA relevant ○ Program Manager (s) – Program sections of the OCA as well as some aspects of HR, Finance and Governance ○ Human Resource Manager (if there is one) – HR section of OCA ○ Visit 2 – 3 projects in primary sectors that are of interest to Pact	1 day
Facilitators analyze documents and interview notes and score OCA indicators	4 hours
Scoring meeting involving a group of 10 – 25 organizational stakeholders, at a minimum all the staff and board members that you met with	1 day

PARTICIPANTS

Executive Committee of the Board, Executive Director, Financial Manager, Program Manager(s), Human Resources Manager

A. BACK TO BACK INTERVIEWS

These meetings should serve to gather enough information relevant so that the OCA facilitator feels able to objectively rank each of the OCA statements.

1. Facilitators should not bring the OCA tool to these meetings. Rather they should come prepared with a variety of open-ended questions to stimulate discussion. Ideally questions should follow the ORID

(Objective, Reflective, Interpretive & Decisional) structure described previously. A sample Data guided OCA tool is included in Annex 14.

2. In each interview, facilitators should ask questions relevant to the organizational roles of the interviewees. For example, the interview with the financial manager should focus on financial processes and systems.
3. Open-ended questions should stimulate enough discussion that facilitators can get the information they need to score the OCA statements. Facilitators should gather copies of documents where they support an answer.

B. Facilitator Scoring of OCA Indicators

Before going into the scoring meeting, the co-facilitators need to sit down together and one by one agree on how they would score the NGO on each indicator. Co-facilitators should triangulate information, comparing notes from one interview to the next and comparing what is said in the meetings and what is written in documentation. Scoring ranges vary by OCA tool, but usually run either from 1 (lowest) to 5 (highest) or 1 (lowest) to 6 (highest)

C. OCA Scoring Meeting

The more people you involve in this meeting, the more challenging it is to facilitate, since you are likely to have multiple levels of education and understanding, but also the more likely you will get an accurate ranking of the organization that does not just reflect the opinion of the leadership.

1. Facilitators go through the ranking process section by section and indicator by indicator.
2. The facilitator must start by explaining each indicator so it is understood by all stakeholders present at the meeting.
3. Participants are asked to rank the indicator and then share and justify their ranking. This can be done by asking people to raise their hands if they gave it a high or low score and to clarify why they feel that the ranking is justified. Through this process you will narrow in on the consensus score.
4. The facilitators should be checking their own ranking during the process and enter into the ranking discussion as participants if they feel that the consensus score is not reflective of the reality they saw through the documents they reviewed and the meetings they held. They need to present their evidence and then ask the participants to reconsider their consensus score accordingly.
5. If they participants are unwilling to change the score, the facilitators report needs to reflect this disagreement.
6. During the meeting, the facilitators need to keep an accurate record of the scores and justifications given.

Participant Guided OCA

This methodology describes how to work with partner organizations to design a capacity assessment tool from scratch. Prior to the assessment, facilitators should review the documentation provided by the partner in order to familiarize themselves with the nature and work of the organization.

During the assessment facilitators bring together a large group of organizational stakeholders and lead them through a series of guided discussions around different capacity areas. Following the discussions each participant records capacity scores on their own self assessment sheet. A complete facilitator's guide for conducting a Participant Guided OCA is available in 'Pact's Organizational Capacity Assessment Facilitator's Manual' on SharePoint at the following address: https://solomon.pactworld.org/programs/Competencies/od/Shared%20Documents/Organizational%20Assessments/OCA_MANUAL.pdf

A summary of the main steps follows:

PURPOSE

To work alongside a partner assisting the organization to assess its own capacity in key functional areas

TIME NEEDED

1 or 2 day scoring meeting with all key stakeholders

MATERIALS

- Copy of OCA Survey,
- Materials for discussion activities (may include flip charts, index cards, sticky dots, beans, etc.)

Participant Guided Organizational Capacity Assessment (OCA)

AGENDA

Activity	Time Needed
Scoring meeting involving a group of 10 – 25 organizational stakeholders, representing a cross-section of organizational functions and levels. Participants should include board members, staff and volunteers (where applicable)	1 or 2 days

PARTICIPANTS

Board Members, Senior and Junior Staff, Volunteers

OCA SCORING MEETING

The more people you involve in this meeting, the more challenging it is to facilitate, since you are likely to have multiple levels of education and understanding, but also the more likely you will get an accurate ranking of the organization that does not just reflect the opinion of the top leadership.

1. First participants must be familiar and comfortable with the workshop guidelines, processes and use of the OCA tool and score sheets. For a productive and accurate assessment, it is essential that participants have a clear and common understanding of the terms, the scoring scale and scoring procedures, and that an environment of respect for differing opinions and conducive dialogue is created.
2. Over the course of the workshop the facilitator leads the team through the OCA tool - facilitating discussion of each capacity area, and instructing individual scoring of the indicators for that area using individual score sheets.
3. The facilitator opens the discussion of each capacity area with some general questions on the topic, and leads the team into a discussion activity. By using activity-based discussion techniques, participants are encouraged to express their views safely through a variety of media. A range of discussion activities are included in Annex 12, and a sample Participant Guided OCA tool is included in Annex 13.
4. The facilitator focuses each discussion on actual events from the organization's experience over the past 12 months, ensuring that the self-assessment is less subjective and more rigorous. Discussions are facilitated using the ORID (Objective, Reflective, Interpretive, Decisional) question structure, described previously.
5. Team members are asked to view the discussion activity as an opportunity to share ideas, and the private scoring as an opportunity to express individual response to the indicator statement. Scoring is generally done on a scale of 1 (low) to 5 (high).

5.2.5 Processing Results and Preparing the OCA Report

Once the OCA meetings are complete, the OCA facilitators need to prepare a report for each Partner. Reports are usually around 10 – 20 pages long and often begin with some basic facts about the NGO – mission, geographical target area, beneficiary group, sectors of operations, annual budget, and staff size – as well as a brief history of the organization. Then the report will be organized by OCA capacity areas, with graphs presenting the results and facilitator comments around strengths and challenges.

With a Participant Guided OCA, where each participant gives different scores, data is entered either into an Excel spreadsheet or the OCA Online system, a web-based program that facilitators can use to quickly and easily generate comprehensive report packages. OCA Online produces graphs along two axes: Capacity – which reflects the average score of participants for indicator; and Consensus – which reflects the variation in indicator scores for different participants. A sample Participant Guided OCA report is included in Annex 15.

With data guided OCA, facilitators need to calculate the average score for each capacity area (and sub-capacity area, of the OCA Tool. These should then be displayed using a simple bar graph. A sample Data Guided OCA report is included in Annex 16.

Facilitators need to agree on what observations to present in each section of the report to further illuminate results and assist the NGO leadership as well as the Pact capacity-building team to begin taking steps to build capacity in the NGO.

If you are working with a cohort of NGOs, it is sometimes useful to develop a consolidated OCA score sheet and graphs that shows the collective strengths and weaknesses across your cohort. This will report should ideally be accompanied by a narrative that follows a similar structure as the individual NGO report, but highlights the common strengths and weaknesses found within the cohort. This report can be shared with the NGOs as well as with the donor. You may want to include the cohort scores as part of your individual NGO reports so that each NGO knows where it stands in comparison with the rest of the cohort. The cohort report will be very useful as you design and prioritize capacity-building interventions.

5.2.6 Alternatives to OCA

While OCA has been used very successfully in several country and project contexts, it may not be an appropriate assessment tool in all cases.

The Rapid Organizational Scan (ROS, Annex 17) is a quick and easy assessment tool that can be adapted to meet the need of various contexts. It is a capacity checklist tool that can be completed through an interview process with two or more senior staff in an organization. The assessment takes around an hour to complete and is particularly useful when you do not have the time to complete a full OCA or do not have funding for significant capacity building activities. This type of assessment is not recom-

mended, however, with organizations that you intend to have build a long-term partnership with for capacity building.

A number of other organizations have also developed capacity assessment tools. If you find that the OCA is not appropriate in your context, we recommend that you time the time to look at some of the following tools as they provide useful inputs for developing your own assessment tool and process:

McKinsey Capacity Assessment Grid – This is an organizational self-assessment checklist tool designed to be completed internally, by organizations wishing to analyze themselves against accepted standards. The assessment tool is focused at a relatively high level, and ideal for use by mature organizations that already have a strong understanding of organizational capacity (http://www.venturephilanthropypartners.org/learning/reports/capacity/capacity.html).

The HIV/AIDS Alliance Capacity Analysis Toolkit – Like the participant guided version of Pact's OCA, this assessment tool is designed around facilitated, participatory discussions and activities. In contrast to the McKinsey Grid, this assessment tool is designed for use with relatively small, nascent organizations, and is ideally used where capacity is low. The assessment is intended for NGOs and CBOs working in the HIV/AIDS technical sector, but could easily be adapted to meet the needs of other sectors (http://www.aidsalliance.org/custom_asp/publications/view.asp?publication_id=125).

5.2.7 Results Debrief and Action Planning

Once the OCA has been completed and the results analyzed, schedule a follow-up meeting with the NGO partner during which facilitators will present the results and begin to develop action plans with ideas for organizational strengthening activities. These steps are critical for taking the assessment data and transforming it into meaningful, productive, and relevant action. Through results analysis, participants gain an understanding of and draw meaning from OCA data. Through action planning, participants come to consensus on their most pressing organizational challenges (as determined by the assessment) and identify plans and resources to help them address those challenges. The facilitator's role is to help the organization interpret the data and ensure the contextualization and validation of the results.

Be sure to incorporate any other clarifications or corrections noted by the NGO during the feedback meeting when you prepare the final OCA report.

PURPOSE

1. To review OCA results and identify organizational strengths and challenges
2. To prioritize areas for organizational strengthening
3. To develop action plans that outline capacity building actions to be taken both internally and with external assistance

TIME NEEDED

1 day meeting with a diverse group of organizational stakeholders all present in a single meeting

MATERIALS

- Copies of OCA Results Package,
- flip charts,
- marker pens and sticky dots.

OCA Results Debriefing and Action Planning

AGENDA

Activity	Time Needed
Review OCA Results	2 Hours
Identify Organizational Strengths and Challenges	2 Hours
Develop capacity building action plans	4 Hours

PARTICIPANTS

Board Members, Senior and Junior Staff, Volunteers (Ideally the same participants as the OCA assessment)

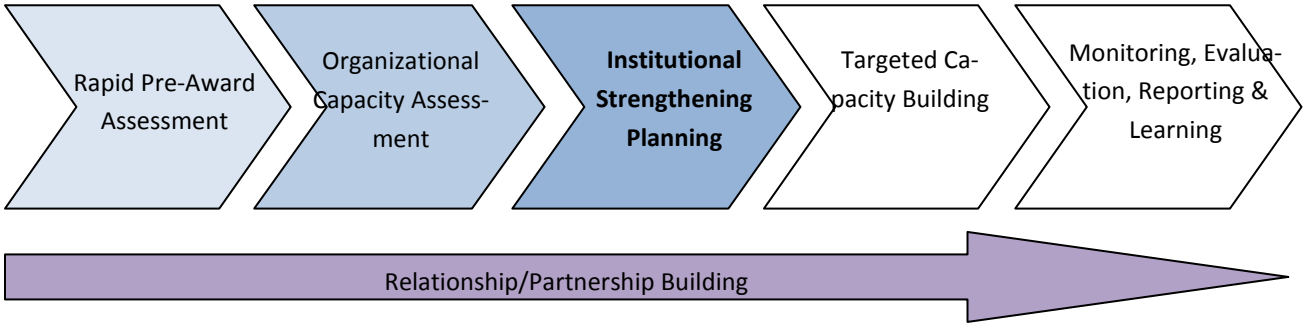
RESULTS DEBRIEF AND ACTION PLANNING:

1. Review what has taken place thus far in the OCA process. The facilitator can ask members of the group to describe what they recall from previous workshops and the assessment session.
2. Discuss what will be happening during this workshop – review the objectives and the day's agenda. The objectives should include understanding and interpreting OCA results, and using OCA results to guide action planning.
3. Introduce the OCA results packets to participants. Ensure that everyone remembers the capacity areas and that visual representations of OCA results are clear to all.
4. Using a model capacity area or two, work through the results and pose the question "what features of our organization explain the results in this capacity area?" Participants can note both organizational strengths and challenges which the facilitators write up on a flipchart.
5. Have participants work through the other capacity areas asking the question "what features of our organization explain the results in this capacity area?", and writing down organizational strengths and challenges on flip chart paper.
6. Place the lists of organizational strengths and challenges around the walls of the room. Give participants 4-6 colored dots, and ask them to place the colored dots around the room, next to organizational

challenges that they believe are critical to address. They may place as many dots as they choose next to each challenge.

7. Taking the challenge with the largest number of dots as a model, explain the action planning matrix (Annex 18).
8. Work through the development of one action plan. Enter the name of the capacity building challenge at the top of the action plan. Enter the priority score – the number of dots that stakeholders gave that particular challenge. Work through actions that organizational stakeholders can take themselves to overcome the challenge (try to place these actions in the order they must be completed). Work through capacity building assistance that the organization needs to overcome the challenge.
9. Have participants break into small groups (these can be self-selected as long as groups are more or less evenly balanced in size). Each group picks a problem with high (or medium) priority, and completes the Action Planning Matrix. Encourage participants to focus initially on things that they can do to build capacity internally before moving to activities that require external assistance.
10. Have groups present back to the whole, giving time for questions and comments.

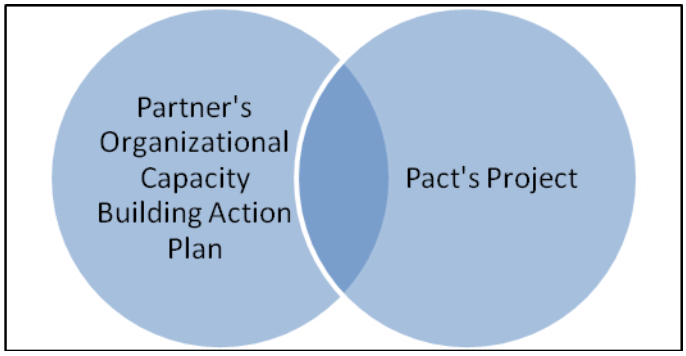
5.3 Developing Customized Institutional Strengthening Plans (ISPs)



Whereas an action plan is a tool for the partner organization to design and implement their own capacity building initiative, an Institutional Strengthening Plan (ISP) is a program management tool for Pact, indicating what role we will play as well as the inputs, outputs and outcomes of our efforts. The diagram below describes the role played by an ISP, at the intersection of the partner's action plan and Pact's project activities.

ISP development is where the participatory planning of the OCA process meets the realities and constraints of the project – in terms of time, budget and donor priorities. Although we try to help our partners achieve all of their goals, we also have to work within certain parameters. The ISP is therefore a

tool that allows us to maximize the impact of our OD initiatives given our available resources. In particular, the ISP does this by articulating steps that the partner can take to build capacity internally, regardless of any external assistance. Two sample ISP formats are included in Annexes 19 (Pact Malawi) and 20 (Pact South Africa).



In situations where Pact does not have a significant capacity building component in their program, an action plan may provide a partner organization with all of the information is needs to implement its own capacity building. Likewise, in contexts where Pact offers a relatively limited set of capacity building service, some practitioners have found that a memorandum of understanding is a useful alternative.

Where an ISP is deemed appropriate, Pact works with each partner following the OCA assessment and action planning to develop a comprehensive plan that lists the gaps identified through the assessment and pairs them with a series of interventions intended to assist the partner in overcoming these challenges. Usually, Pact program staff and organizational development partners assist in developing the ISP.

ISPs typically contain the following elements:

- Summary of capacity building needs by capacity area
- The level of priority associated with each need
- How to address the needs (interventions)
- What steps the partner will take to meet these needs
- What steps Pact (or other external actors) will take to assist in building capacity
- What the organization will look like when these steps have been taken (indicators of success)
- Timeframe
- Sources and amount of funding
- A signed commitment from Pact and the participating NGO to fulfill its part of the ISP agreement

The starting points for developing ISPs are the action plans produced by OCA participants during results debrief and action planning workshops. These plans detail the high-priority organizational challenges and also provide suggestions for how to meet those needs. The interventions described by partners should be reviewed and augmented by the OD experts involved in developing the ISPs.

In addition to the action plans, the OCA facilitators and the Pact staff who conducted the MCATs, PCATs and MEROCATs will probably have noted a number of additional areas of need within partner

NGOs. These should be added to the ISPs, as should any critical OD needs identified during the rapid pre-award assessment process.

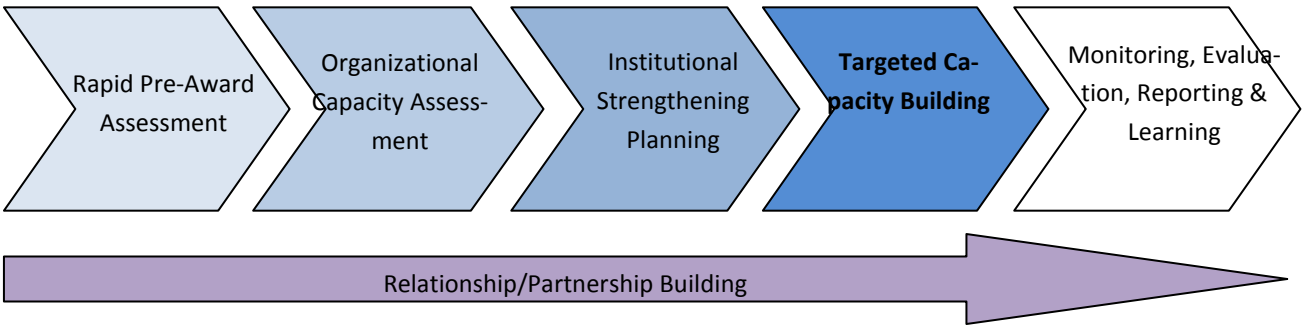
Activities prioritized through ISP activities should follow SMART criteria. In other words, ISPs should be:

- Specific: The improvement area needs to be concrete and practical; otherwise the following criteria will not apply.
- Measurable: There should be some way of verifying that the improvement area has been met or addressed. How will the organization know that they have grown in that area?
- Achievable: Each improvement area should be realistic, within the context of everything else that the organization has to do in the next periods, such as training, project implementation, etc.
- Relevant: Each improvement area should be directly related to a challenge or need that the organization is currently facing. How does the organization need to get stronger in order to ensure their survival a year from now? How does the organization need to grow in order to successfully implement their project?
- Time-bound: The improvement areas should be achievable within the identified period.

ISP developers should complete each of the remaining columns in the ISP matrix. Once completed the draft ISP is shared and negotiated with the partner NGO until it the steps are agreed upon by all parties.

The NGO partners, Pact staff and organizational development partners use the ISP to develop capacity building interventions and to track achievements. Often, the organizational capacity building needs across a cohort of Pact partners are similar. In such cases, economies of scale and benefits of peer learning may be achieved by developing an additional cohort level ISP, with cross-cutting interventions targeted at multiple partners.

5.4 Targeted Capacity Building



Capacity building for organizational development can and should be delivered using a range of different delivery modalities. A one-off event or intervention, while often a powerful catalyst for change, is rarely enough to engender systemic change in the capacity of a partner organization. Capacity building delivery modalities used by Pact include, but are not limited to: training workshops, technical assistance consultancies, mentoring and peer exchange. The following pages describe some of these common delivery modalities, highlighting where they are most useful, and some of their challenges.

5.4.1 Training Workshops

Training workshops are the most commonly used capacity building intervention. They involve bringing together several participants to a single event for the purposes of transferring skills and/or information. Workshops may either cater to several individuals from a single organization, or a small number of individuals from multiple organizations. For information on workshop logistics and budgeting please see Annex 21.

In line with adult learning principles, the best training workshops cater to multiple learning styles and generally include significant experiential elements. Often participants take time to apply new skills to a real-life issue related to their organization. They may, for example, use information from the workshop to begin to draft plans or policies for implementation following the workshop.

Training workshops are particularly useful when they focus upon cross-cutting issues or skills of relevance to multiple stakeholders. They are also useful where participants can learn from one another. If you are seeking to generate social capital among several partners for the purpose of building a network, for example, you may want to consider delivering capacity building through workshops in order to promote the development of relationships among the individuals and organizations being trained.

The advantages of training workshops include:

- Opportunity to build capacity in several individuals or organizations at one time
- Cost and time savings of reaching multiple partners at once

- Greater control over the quality of the capacity building intervention (training workshops are often held in a central location and for a limited time period, enabling several key Pact staff to attend)
- Once a training curriculum is developed it is highly replicable

The disadvantages of training workshops include:

- Bringing staff away from their organizational activities for several days
- Danger of skills and information not being transferred over to the whole organization – either because sharing does not occur at the organizational level, or because trained staff leave the organization
- Overuse of workshops as capacity building interventions has led to 'training fatigue' in some contexts
- Workshops can be expensive

5.4.2 Mentoring

Mentoring is a process in which an individual or an organization (the mentor) serves as a role model, trusted counselor, or teacher who provides opportunities for development, growth, and support to less experienced individuals or organizations. Mentoring may respond to specific challenges, or alternatively help individuals and organizations to re-examine their own ideas come up with solutions. Mentors share tacit knowledge that has a bearing on what the individual or group is experiencing. Mentors often assist individuals with personal and professional development.

A mentor is "a trusted counselor or guide." Good mentors exhibit the following characteristics:

- Previous, practical experience leading or doing a similar activity;
- Looked up to by the mentee, either because of age or recognized experience;
- Patient, adaptable and a good listener;
- Sets clear targets and a schedule for achieving them; and
- Has time to devote to carrying out the mentorship role.

Anybody who has attended a training workshop knows that it is not always easy to put into practice what was learned during a one-week workshop. It requires commitment from management to implement the lessons learned, and time away from regular activities to put new practices in place. Having a regular visit from a mentor greatly increases the likelihood that a partner will put into practice the theories and skills learned during workshop sessions.

Furthermore, there will be a number of items on any partner's ISP that they will commit to trying to achieve internally, without attending a training workshop or other Pact sponsored intervention. To assist with these activities, it is helpful to assign a mentor, whose support may include answering queries, providing reports or other intellectual capital, brokering connections, reviewing documents, etc. For a sample mentoring checklist please see Annex 22.

The advantages of mentoring include:

- Opportunity to provide ongoing capacity building assistance including workshop follow-up and support to internal capacity building process
- Relatively low cost activity that can be conducted primarily via email or telephone
- Point-person for a partner to contact when they have questions or need resources

The disadvantages of mentoring include:

- The need to set clear boundaries regarding the type of activities and amount of time available for mentoring
- Difficulty of electronic communications in certain country contexts
- Capacity builders have less control over the impact of mentoring activities than other, more hands-on interventions
- Challenge of finding qualified mentors

5.4.3 Technical Assistance Consultancies

Technical assistance consultancies are targeted operational or management assistance, designed to enable a partner to complete and implement a specific and significant capacity building task. They can focus on any of a wide range of capacity building issues, including, fundraising assistance, budgeting and financial planning, program planning, policy or systems development, marketing and other aids to management.

Because technical assistance consultancies are intended to help a partner achieve a major task, they generally take a significant amount of time to complete (usually from around one week, up to several months). Technical assistance of this kind may be provided by Pact staff, consultants, or by individuals seconded by other organizations. Guidance on identifying high-quality local consultants is provided in the following chapter, entitled 'Delivering Capacity Building Interventions.'

The advantages of technical assistance consultancies include:

- Longer term, targeted interventions allow for completion of significant capacity building tasks
- Single partner intervention allows capacity building to be fully customized to recipient organization's needs
- Capacity building provider can be chosen for close fit with needs and culture of recipient organization

The disadvantages of technical assistance consultancies include:

- Relative high cost in comparison to other capacity building methods
- Follow up is essential to ensure that the product of the consultancy is implemented within the partner organization
- Non-Pact capacity building consultants must be properly vetted and monitored to ensure quality

5.4.4 Peer Exchange

Peer exchange interventions involve bringing two or more partners together to share knowledge, experiences and/or challenges. These interventions build capacity by creating spaces and providing opportunities for partners to share and learn through interaction with one another. For the best results partners must feel comfortable with one another, so it is important to focus first on activities that build trust, before moving on to capacity building issues.

Peer exchange interventions take numerous forms. They may be ongoing throughout the life of a project, or may be one-off events. They may include a large group of organizations, or focus on just two partners. Typical examples include: communities of practice, sharing and learning teams, exchange visits, marketplace events, open space activities, and future search. For more information on any of these specific intervention types please contact the Programs Department at Pact Headquarters.

The advantages of peer exchange activities include:

- Partners learn from one another, validating local expertise and ensuring that issues relevant to the local context are considered
- Relatively inexpensive intervention, only cost is that of bringing partners together
- Move from building the capacity of individual organizations to building social capital among a group of partners
- Builds capacity in a way that may easily be sustained beyond the life of a project
- Contingent on the willingness of peer organizations to share information transparently

The disadvantages of peer exchange activities include:

- Need to ensure that the quality of information being exchanged is high
- Partners must be encouraged to focus on critical issues and commonalities
- May be dominated by more powerful, larger organizations

5.4.5 Making the Partner Accountable for being the Change Leader

Pact has found that a partner that has not chosen to participate in a capacity-building program is unlikely to benefit greatly from the interventions. For this reasons, it is always preferable to conduct a competitive application process to select partners to benefit from capacity building interventions.

We have found repeatedly that partners that are accepted in our program based solely on the recommendation of our donor, for example, are less motivated to follow through on the actions required of them in the ISP. In order to ensure that investments made in training workshops lead to organizational improvements, we have found that having participating organizations make written commitments to carry out specific follow-up actions enhances the likelihood of follow through. In some countries, Pact will only provide follow-up technical assistance if the organization has fulfilled its own ISP commitments.

6. Delivering Capacity Building Interventions

In many cases, capacity building interventions are provided directly by Pact country staff. However, in line with Pact's commitment to sustainability and local ownership of development initiatives, we often work to develop the capacity of local capacity building service providers to fulfill partner needs during the life of a project and beyond. Pact has several different models for recruiting, brokering, preparing and managing local capacity building consultants. These are described over the following pages and include: competitive awards for local capacity building service providers, capacity building accounts, LINCS marketplaces, and associations of local capacity building service providers.

6.1 Competitive Awards for Local Capacity Building Organizations

Where appropriate, Pact uses a request for proposals (RFP) to identify local capacity building service providers to implement key aspects of capacity building programs. Pact partners with these local organizations and builds their capacity in conducting OCAs and developing ISPs. Local partner organizations additionally assist Pact staff members and conduct formal training, mentoring and coaching to strengthen Pact partners in the areas of governance/leadership, human resource administration, program design and implementation, sustainability, resource mobilization, strategic planning, and networking. An example RFP from Pact Malawi is included in Annex 23. A simpler RFP developed by Pact Vietnam to identify a provider for a one off training is included in Annex 24.

6.2 Capacity Building Accounts (CBAs)

Capacity Building Accounts are small grants, generally in the region of $2000 - $5000, provided to local NGOs to obtain capacity building services from the capacity building service provider of their choice. In many cases the grants are given to partners as vouchers, and Pact handles all of the financial transactions related to the CBA grant. Where Pact uses CBAs, we work to match partner needs with service provider competencies, and also to monitor the quality of service provision.

Pact believes that the CBA approach gives local NGOs greater control over their own organizational development, and helps to foster a local marketplace that links those needing high quality capacity services with those capable of delivering them. In order to assist partners to make informed purchases, CBAs are usually provided following an organizational capacity assessment and action planning process.

Pact has had previous success using CBAs with participants in its Zambia HIV/AIDS Learning Initiative (ZHLI), Ukraine National Initiatives to Enhance Reforms Project (UNITER) and Linking NGO's with Capacity Services (LINCS) marketplace events.

6.3 Capacity Building Marketplaces (LINCS – Linking NGOs with Capacity Services)

The need to build upon local competencies and strengthen linkages between local CSOs and service providers presents a complex and ongoing challenge. In response to this challenge, Pact has developed the LINCS (Linking NGOs with Capacity Services) methodology, an approach for mapping the needs and capacities of local NGOs, and connecting local demand for capacity building services with local supply. The centerpiece of LINCS is an event brings CSOs together with local capacity building service providers in a real-time marketplace. It is an opportunity for partners to get essential organizational strengthening services, and for all participants to build relationships that strengthen the local market place for capacity building services in the future.

At LINCS, service provider participants are assigned market stalls, at which they are encouraged to provide marketing materials and detailed descriptions of their services. CSO participants circulate, discussing the details of services with providers. They then use CBAs to bid on those services that they feel offer the greatest value given their particular organizational needs. Once the marketplace is closed, partners are matched with the service providers that they feel are best able to meet their needs. An overview and agenda of a LINCS event is included in Annex 25.

6.4 Networks of Local Capacity Building Service Providers

In many places where Pact works, we find that there is few qualified capacity building service providers capable of conducting training workshops, providing mentoring support, and/or delivering technical assistance. In these cases, Pact may have the opportunity to play the dual role of training our partners, at the same time as we build a network of capable consultants. Usually, this will require bringing in a staff person or consultant from another of Pact's Country Offices to conduct an initial round of trainings. During these trainings, participants who have a good grasp of the material as well as good communication skills can be targeted for training in facilitation skills (CLICK HERE for a Training Module on Participatory Facilitation Skills).

Once targeted individuals have been trained in basic facilitation skills, we can then build their capacity in delivering the particular training modules that we plan to use and in which they demonstrate a good understanding of the subject matter. The TOT is ideally done immediately before a workshop involving our partners, at which time the newly trained facilitators co-facilitate the training in partnership with the trained facilitator, who must both assure that the workshop objectives are achieved, while evaluat-

ing the graduates of the TOT to determine whether they will be ready to co-facilitate a similar session with a peer at a future training event.

It may be that some of these newly trained facilitators can also be prepared to function as mentors or on-site technical assistance providers. Some may prove not well suited to be stand up trainers, but very good at providing mentoring or TA support. Ideally, a system for certifying trainers, mentors, and TA providers should be developed to ensure that Pact can guarantee a consistent quality of service across all the workshops it delivers.

7. Introduction to Pact's OD Toolkit

Pact's OD Toolkit has a modular design. Each module focuses on a single topic of Organizational Development (e.g. Strategic Planning, Project Planning, Monitoring and Evaluation, Financial Management) and seeks to develop specific competencies and behaviors related to that topic.

Each module includes a package of interventions that a Program Manager can pick and choose from to achieve the outcomes identified in action plans and ISPs. The financial management module, for example, may include a curriculum for a workshop on financial management for NGO leaders and accountants, as well as a technical assistance intervention to set up the financial management system and provide some initial training to the NGO staff in how to use the system, and, finally, some on-going mentoring support to make sure that the system is producing accurate financial reports that meet donor standards. Not all NGOs will need all interventions, so it is the Program Manager's job to pick and choose what is needed. Likewise, training modules can be adapted to the local context and to the needs of the NGOs being targeted.

The table below illustrates how these various interventions can be delivered as part of an integrated OD Toolkit designed to achieve specific outcomes at the level of the targeted NGO(s).

Topic	Training Workshop	Technical Assistance	Mentoring	Peer Exchange	Desired Competencies or Outcomes from Interventions
Strategic Planning	X		X	X	NGO is guided by a clearly defined strategic plan that was developed through a participatory process involving all key stakeholders.
Project Planning	X		X	X	NGO can write a clear project plan using a logframe format.
Financial Management	X	X	X		NGO has a functional financial management system that is understood by all managers, has built-in separation of powers, and produces up-to-date and accurate financial reports

Whether or not you decide that you are going to implement a workshop serving a group of NGOs at one time or to train each NGO individually, you can build your agenda around the training curriculum included in the module, keeping in mind that some of the activities will need to be adapted if you are delivering to a group of five participants instead of 20.

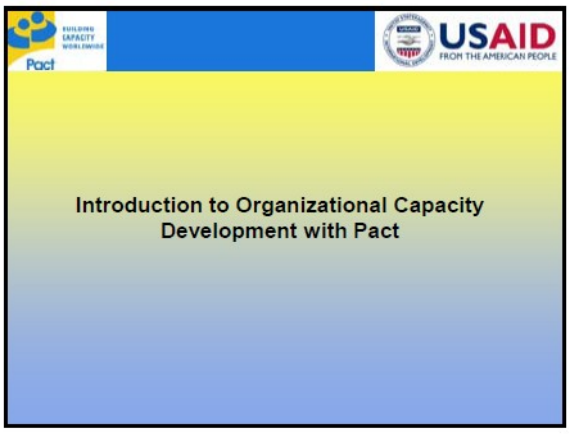
All of the OD modules share the following characteristics:

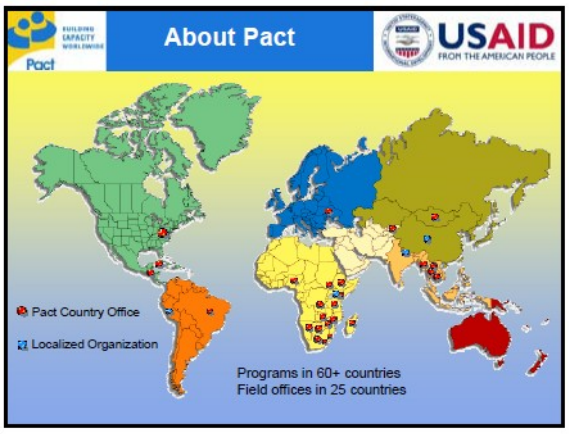
- They use participatory, adult education approaches, with a high dose of learning by doing.
- They assume that the facilitator is skilled in participatory facilitation skills.
- They are practical and tailored to a relatively inexperienced NGO audience, so they assume very little prior knowledge.
- They are organized in sessions that last anywhere from two to five days, but can be easily broken down into shorter half-day sessions.
- They usually assume that there will be some follow-up work with the NGOs to cement concepts and skills introduced through action at the NGO level.

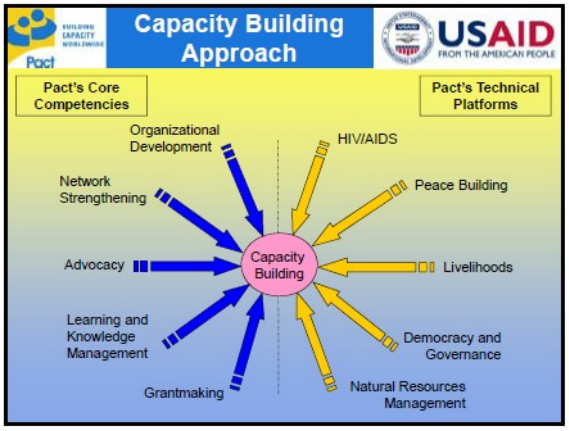
For further information about this or any other module of Pact's OD Toolkit, please contact the Capacity Building Team at Pact HQ. For links to the other modules in the toolkit click here.

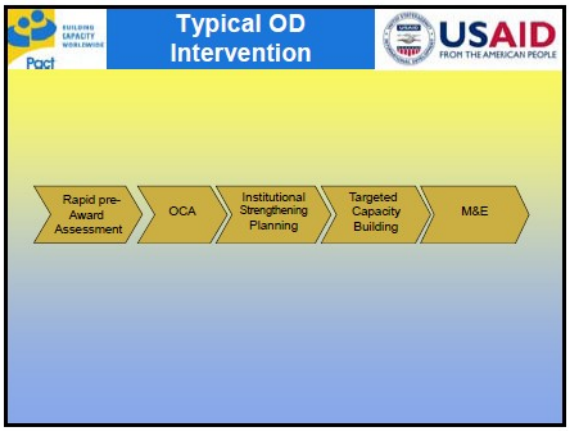
Annexes

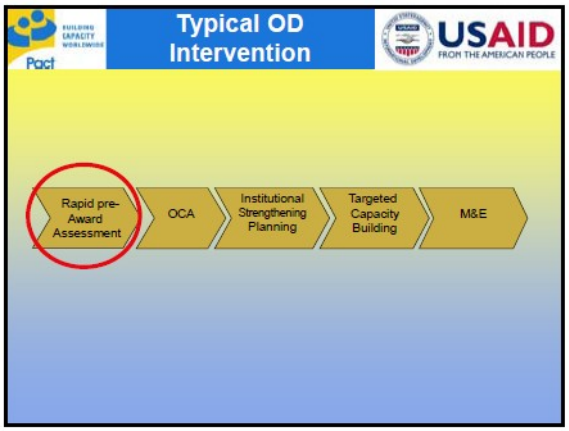
Annex 1: Intro to OD Power Point











Rapid Pre-Award Assessments

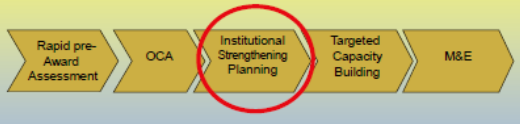
- Determine whether an organization has financial and management capacity to comply with donor regulations
- Management Capacity Assessment Tool (MCAT), Program Capacity Assessment Tool (PCAT), and Monitoring, Evaluation and Reporting Organizational Capacity Assessment Tool (MEROCAT)

Typical OD Intervention

Organizational Capacity Assessment

- Highly participatory and comprehensive
- Generates detailed information on an organization's strengths and weaknesses in a variety of areas (such as HR, financial management, strategic direction, org structure, governance, planning, fundraising, M&E)
- Generates buy-in for a long-term capacity building process

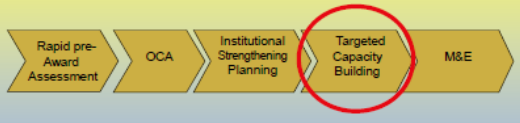
Typical OD Intervention



Institutional Strengthening Plans

- Lists org needs identified through OCA
- Indicates (specifically!) what an *organization* will do to address these needs over a period of time
- Details how *Pact* will assist in building capacity
- Details what the expected outcomes of capacity building activities are
- Contents of the ISP are negotiated between Pact and the partner organization

Typical OD Intervention



Targeted Capacity Building

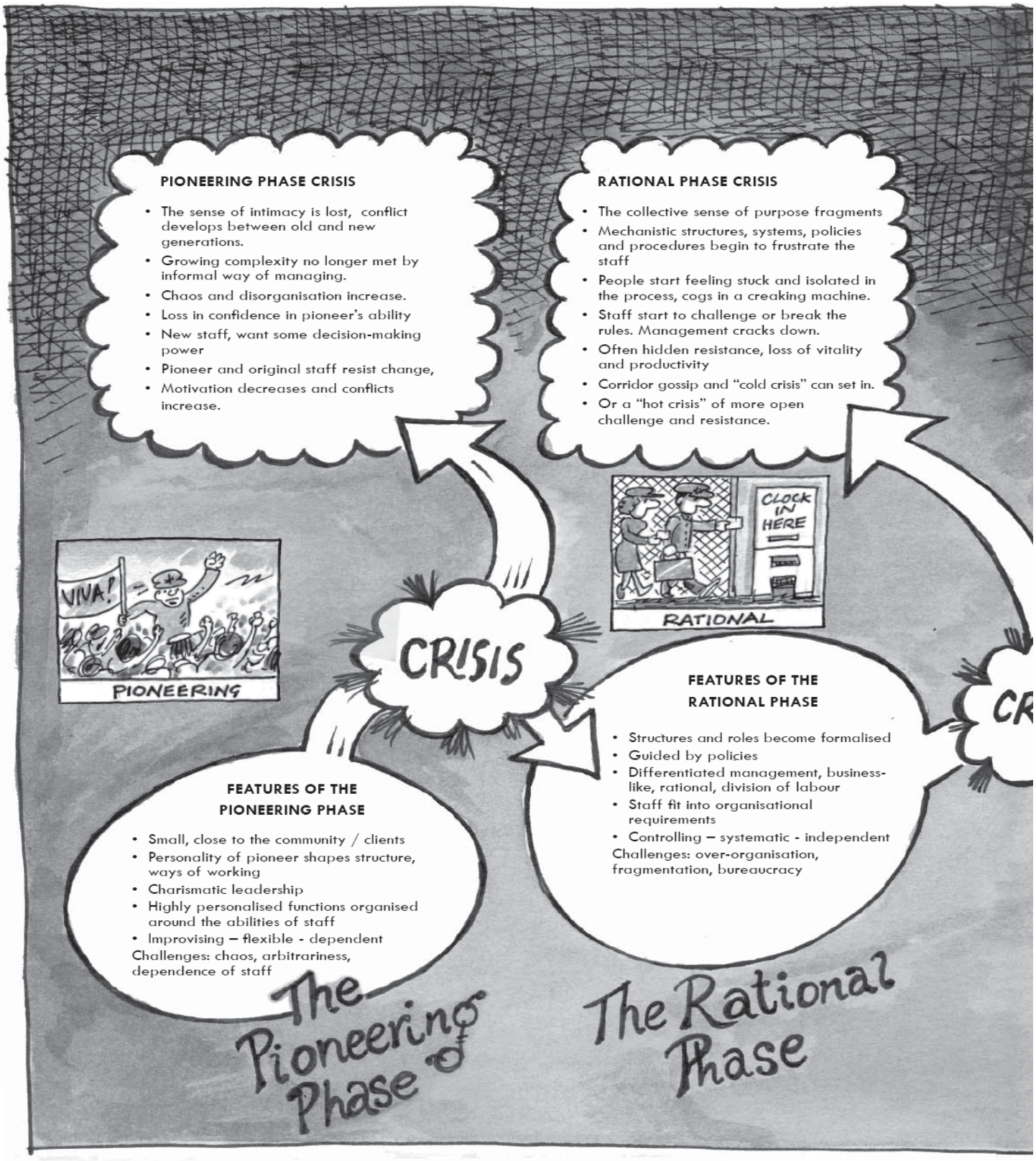
- Delivered through a variety of mechanisms which include trainings, workshops, mentoring, peer sharing and learning and technical assistance consultancies
- Can be delivered by local or international OD service providers, Pact staff (field and/or HQ), and sometimes through peer NGOs (in the form of Sharing and Learning Teams, for example)

Typical OD Intervention

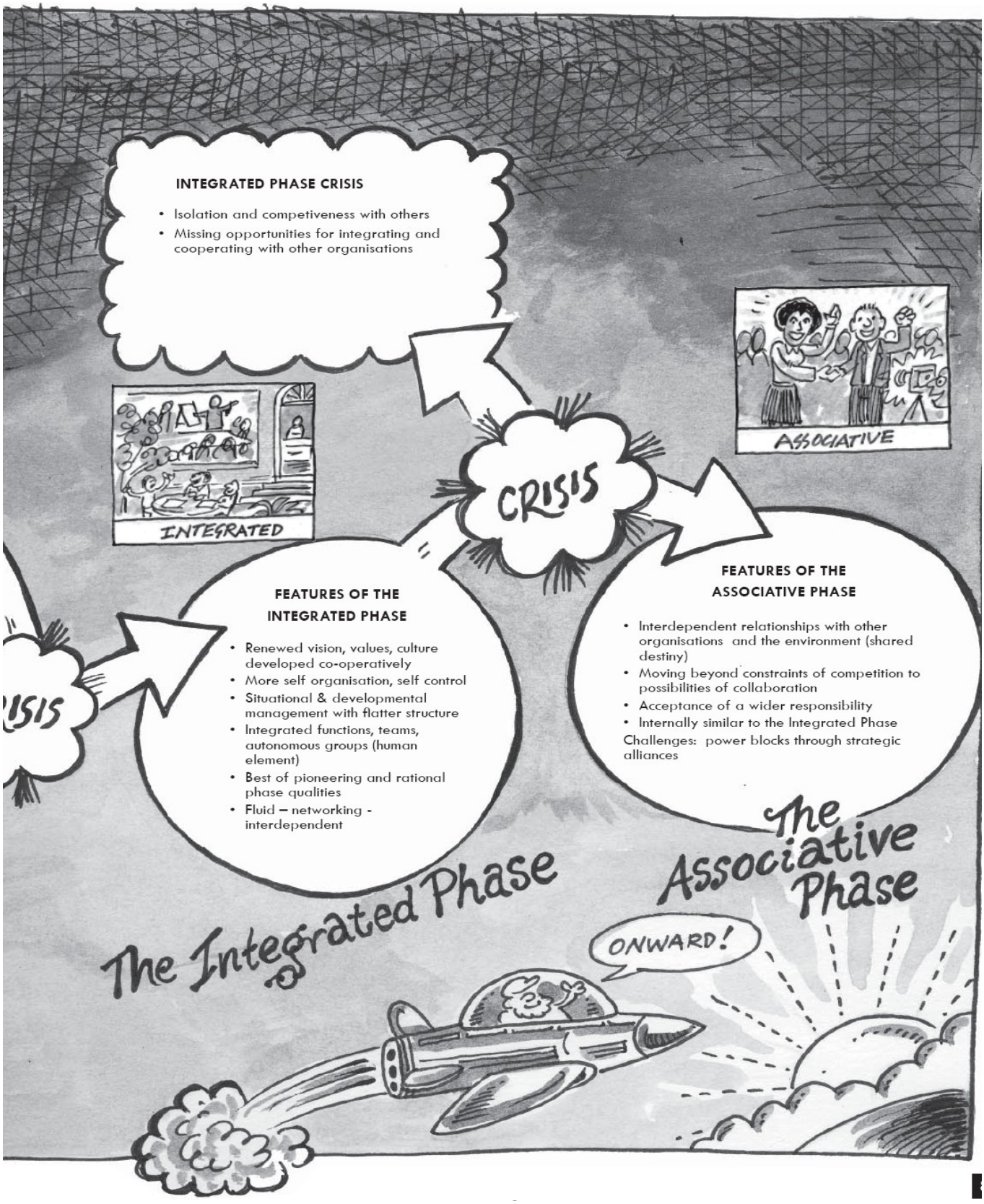
OD Monitoring & Evaluation

- Monitor progress using ISPs, service quality surveys and quarterly reports
- Evaluate changes in org capacity by repeating the OCA process at regular intervals

Annex 2: Stages of Organizational Development Typology



Source: http://www.barefootguide.org/Book/Barefoot_Guide_to_Organisations_Chapter_4.pdf



Annex 3: Sample MCAT Tool

Pact, Inc. Management Control Assessment Tool (MCAT)

Name of Organization: _____

Date of Assessment: _____

Conducted by: _____

Assessment Scales

Risk Level Determination

Extremely High	0-20%
High	21-35%
Moderate High	36-50%
Moderately Low	71-85%
Low	86-100%

Rating

N/A	Not Applicable
1	Never/Definitive “no”
2	Rarely/Demonstrated capacity is limited
3	Sometimes/Capacity evident by lacking in critical areas
4	Usually/Adequate capacity in most areas
5	Often/Good with only minor improvements required
6	Always/Definitive “yes”/Strong capacity

Summary of Findings

Level of Risk:

Specific Findings

a. Accounting Procedures:
b. Internal Controls:
c. Budgeting, Reporting, & Auditing:
d. Policy Environment:

A. ACCOUNTING PROCEDURES	Rating
1. General System	
a. There is a written policy on accounting. It is objectively reasonable and universally applied	
b. "Cash" or "Accrual" system is defined and applied on a consistent basis	
2. Receipts and Handling of Cash	
a. Donations promised by not yet received by the organization are not included in the accounts until they are received	
b. Grants received, but not yet spent for the purposes for which they were given, are carried forward as restricted funds	
c. Procedures and responsibilities are clearly defined. For example, only the cashier is authorized to receive cash	
d. Prenumbered receipts bearing the name of the organization are issued for all cash receipts	
e. Unused receipt books are kept properly secured and there are proper procedures as regards their issue	
f. All cash received is recorded immediately and promptly banked	
g. There are adequate security arrangements as regards custody and transit of cash	
3. Recording	
a. All payments are supported by payment vouchers	
b. Vouchers are properly supported by adequate documentation and explanations. This documentation may include: local purchase order, quotations, invoices, receipts, correspondence, proof of delivery	
c. Vouchers together with supporting documentation are filed in the order in which they are entered in the cash book and can be readily found	
d. Documents are properly approved for payment and cancelled (i.e. stamped PAID) upon payment	
e. Payments are properly allocated to the correct account Bank Accounts	
f. All bank accounts are authorized and in the name of the organization	
g. All bank accounts are included in the accounts of the organization	
h. There is proper control over use and safekeeping of checks	
i. All checks are signed jointly by two of at least three signatories (one check signatory is someone other than the person who was authorized payment)	
j. No checks are signed in blank	
4. Bank Accounts	
a. The details of each check payments are recorded on the check counterfoil (or check stub)	
b. Bank reconciliations are prepared on a regular basis for example, at the end of each month	
c. Bank reconciliations are accurately prepared	
d. Bank reconciliations are checked and approved	
e. Outstanding items on bank reconciliations are followed up promptly and out of date items written off	

5. Cash Book(s)	
a. Cash book(s) are kept for all cask and bank transactions	
b. All entries are made in ink	
c. The cash book is written up to date	
d. Cash book additions and cross additions are correct	
6. Petty Cash Records	
a. Petty cash counts are carried out at intervals, two people being present (including the petty cashier), and the cash balance agreed to records	
b. There are no "IOU's", or similar payments, which are neither authorized nor entered in the cash book. *Note:* These may come to light when the cash reconciliation is controlled by a person other than the petty cashier.	
c. The petty cash impress (float) is established at a reasonable level	
d. Petty cash expenses are supported by adequate documentation	
e. The petty cash cook is checked when the cash float is replenished	
7. Ledger	
a. Postings of amounts from the cash book(s) to the accounts in the ledger are kept up to date	
b. An up-to-date *Chart of Accounts* together with account reference numbers is available	
c. The authorization of the executive director (or equivalent position) is required when it is proposed to open new accounts or close old ones	
d. Opening balances agree with prior year-end balances. Additions and posting to individual ledger accounts are correct	
8. Journal	
a. Transfers between one ledger account and another are recorded in a journal	
b. Transfers of amounts between one account and another are supported by a journal voucher, showing the reason for the transfer with supporting documentation where appropriate	
c. All journal entries are authorized by the finance director	
9. Trial Balance	
a. A trial balance is prepared within a reasonable time at the end of each month	
b. The trial balance accurately lists all account balances	
c. The trial balance is mathematically correct and the debits balance with the credits	
d. The trial balance agrees with the figures on the monthly financial report	
10. Accounts Payable	
a. Suitable records are maintained showing amounts due to suppliers	
b. These records are regularly reconciled to statements and accounts received from suppliers	

11. Payroll and Salary	
a. Adequate payroll records are kept	
b. Payroll records are accurate	
c. There are adequate procedures to ensure that pay is correctly calculated, adjustments being made where appropriate for unpaid leave, overtime, etc.	
d. The payroll is authorized and countersigned by the director	
e. Someone other than the person who prepares the payroll is responsible for paying out wages to employees	
f. Employees are required to sign for their pay	
g. Authorized salaries are recorded in the personnel records	
h. All payroll taxes and other deductions are properly calculated in accordance with local regulations	
i. Payroll taxes and other withholdings are paid over to relevant government departments on time	
12. Assets and Liabilities	
a. An up-to-date fixed assets register is maintained	
b. The fixed assets inventory is complete and regularly checked by management	
c. The fixed assets listed actually exist	
d. Additions and disposals of assets are authorized and properly recorded in the accounts	
e. There is adequate insurance cover for all assets	
f. Assets are kept in suitable and secure locations	
g. Donated assets are properly valued and recorded	
B. INTERNAL CONTROLS	
1. Approve Controls	
a. Specific transactions are approved by persons having the authority to do so in accordance with established policies and procedures	
b. Key records are matched before a transaction is approved (matching purchase order, receiving report and vendor invoice before the invoice is approved for payment)	
2. Segregation of Duties	
a. The individual responsible for the cash receipt function does not sign checks or reconcile he bank accounts, and is not responsible for noncash accounting records such as accounts receivable, the general ledger for the general journal	
b. The person receiving cash does not have the authority to sign checks and reconcile bank accounts and does not have access to accounting records other than cash receipts	
c. Different individuals are responsible for purchasing merchandizing or services, receiving merchandise or services and approving vouchers	
d. Different persons prepare checks, sign checks, reconcile bank accounts and have access to cash receipts	

3. Design and Use of Records	
a. Pre-numbered forms are used to record all of an organization's transactions, and accountability is maintained for the sequence of all numbers used	
b. Receiving reports, inspection documents, etc. are matched with billing notices or other documents used to record delivered orders and related liability to provide assurance that only valid transactions are recorded	
c. Transaction documents, such as vendor invoices and shipping documents, are date stamped and tracked to ensure that they are recorded on a timely basis	
d. Source documents are canceled after processing to provide assurance that the same documents will not be reused and will not result in recording transactions more than once. Also, only original documents are used to process transactions	
4. Safeguards over assets and records	
a. Cash receipt totals are recorded before cash is transmitted to deposit	
b. Secured facilities are used when appropriate, and access to critical forms and equipment is limited to authorized personnel	
c. Procedures are established to provide reasonable assurance that current files can be recovered in the event of a computer failure	
5. Independence checks	
a. Extensions, additions and accounting classifications are independently reviewed	
b. Assets on hand are periodically inspected and counted, and the results are compared with asset records	
c. Management reviews and acts upon performance reports	
d. Actual operating results are compared with approved budgets, and variances are explained	
e. Insurance cover of stores is adequate	
C. BUDGETING, REPORTING, AUDITING	
1. Budgeting and Reporting	
a. Long-term and annual financial projections for the organization are prepared	
b. Budget approval authority is described in policy documents	
c. Grant/Contract conditions are communicated to all interested parties	
d. Cash flow (Income/Expense) is integral to financial plan	
e. Monthly financial statements are compared to approved budgets and material variances are addressed	
f. Summarized monthly	
g. Tie directly to established set of accounting records	
h. Communicated with key management staff within reasonable time	
i. Summarized accounts are distributed to interested parties	

2. Auditing	
a. Audit contract(s) are clear in scope/program and authority	
b. Auditing findings are addressed as standard practice	
c. Project auditors are appropriately qualified	
d. Project auditors are properly independent of the functions which they are auditing	
e. Project auditors visit project/end-use sites on a test basis	
f. Project audit reports are issued within a reasonable time following each project audit (e.g. 1 month)	
g. Project audit reports are adequately followed up // A separate file is maintained for each project audit performed	
h. Work papers are signed and dated by the auditor	
i. Audit staff are not involved in project management	
j. An independent professional audit of the annual accounts is arranged each year	
k. The management committee and governing body consider the report and recommendations of the auditor at the meeting when the annual accounts are discussed	
l. Recommendations from previous audit reports are followed up	
D. POLICY ENVIRONMENT	
1. Ethics	
a. There is a written employment policy. It is objectively reasonable and universally applied. Policy and practice demonstrate attention to prohibition of nepotism or favoritism through processes of:	
b. Employment of new staff	
c. Review of staff performance with a view to promotion or increase in salary	
d. Dismissal of staff for whatever reason	
e. Policy and practice dictate that employees are not permitted to hold office or positions in other companies or bodies with which the organization has contractual relationships	
f. A “Conflict of Interest” clause, especially in relation to project management or business transactions, is a documented policy	
g. Policy prohibits absolutely any illegal dealings on behalf of itself or other parties	
h. The organization has an environmental policy	
i. There is no evidence of instances of misuse of the assets of the organization by employees	
j. There is no evidence of instances of employees being involved in their own private enterprise during office hours	
k. Policy encourage staff, through clear and confidential mechanisms, to report any practices or deals which do not conform to generally accepted ethical standards	
l. Policy as well as general constitution, both written and unwritten, encourage high moral thinking and conduct	

2. Organizational Policy	
a. Documented policies establish events or transactions that the organization is authorized to engage in by law, regulation or management policy	
b. Documented policies and procedures exist for processing transactions in accordance with laws, regulations or management policy	
3. Personnel Policy & Management	
a. The management has a list of all staff employed	
b. Each new employee is interviewed before s/he is employed	
c. References are required and followed up	
d. A Contract of Employment in writing is prepared for each employee (before commencing employment)	
e. Written Job Descriptions are prepared for each employee, showing what each person is expected to do, when it should be done and to whom they are accountable	
f. A personal file is kept for each employee, with details of salary and other personal matters	
g. Salary rates (and any changes to these) are agreed by the management committee and the details recorded in the minute book	
h. The organization has written internal regulations covering such maters as hours of work, holiday, sick leave, discipline, dismissals, etc.	
i. Employees show with whom they can discuss any work or personal problems	
j. Adequate and appropriate financial provision is made for pensions and/or gratuities for retiring employees	
4. Travel/Transport Policy & Management	
a. The organization has a travel policy and applies it on a consistent basis	
b. Travel financial support for staff, both domestic as well as regional/international is clear in policy and practice	
c. Mechanisms exists for reporting and liquidating travel expenses	
d. The number of vehicles is reasonable given the size and requirements of the organization	
e. A vehicle register exists, showing cost, date of purchase and estimated date of replacement	
f. Vehicles are garaged in a safe place	
The use of vehicle is properly controlled:	
g. use is limited to the business of the project	
h. use is limited to employees of the project	
i. the users of vehicles maintain the vehicle log book, showing date, journey details, kilometers at start and end	
j. users report any vehicle faults to the manager	

k. There are no circumstances when project vehicles are used for private purposes by staff or other persons	
l. If the answer to the previous question is "NO", the circumstances and conditions of private usage are clearly indicated in the office regulations	
The purchase of petrol is properly controlled:	
m. Purchases are made only by authorized persons, from authorized suppliers	
n. A record is kept each time fuel is purchased	
o. A control is kept of fuel consumption for each vehicle	
5. Property Policy & Management	
a. The organization has suitable premised to accommodate the staff and to carry out its activities	
b. If the organization owns land or building: the title deeds are legally registered, and kept in a secure place	
c. Leases (tenancy agreements) have been prepared for all property rented to or from the organization	
d. Someone has been nominated as responsible for the proper maintenance of all property	
e. Adequate insurance has been taken out against fire, burglary, public liabilities, etc.	
f. Records are kept of agreements with persons using premises owned by the organization, including rent payable, etc.	

Annex 4: Sample MCAT Results Report

Management Control Assessment Tool (MCAT)

This tool has been designed by Pact Worldwide staff and incorporates elements from the following two publications:

1. *"Assertions taken from "Management Controls for Development Organisations" by Richard Collins. Copyright ~ 1994 by Stephen Sims & Partners. Used by permission." and*
2. *USAID General Notice, M/MPI and M/OP, 08/06/1999*

Name of Organization:	**Org X Hospital**
Date of Assessment:	**21-Aug-07**
Conducted by:	**Erica Mongelli and William Luka**

Assessment Scales

RISK LEVEL DETERMINATION	**RATINGS**	
	n/a	NOT APPLICABLE
EXTREMELY HIGH 0-20%	1	NEVER/DEFINITIVE "NO"
HIGH 21-35%	2	RARELY/DEMONSTRATED CAPACITY IS LIMITED
MODERATELY HIGH 36-50%	3	SOMETIMES/CAPACITY EVIDENT BUT LACKING IN CRITICAL AREAS
MODERATE 51-70%	4	USUALLY/ADEQUATE CAPACITY IN MOST AREAS
MODERATELY LOW 71-85%	5	OFTEN/GOOD CAPACITY WITH ONLY MINOR IMPROVEMENTS REQUIRED
LOW 86-100%	6	ALWAYS/DEFINITIVE "YES"/STRONG CAPACITY

SUMMARY OF FINDINGS

1. Level of Risk: 77%

2. Baseline Findings:

Accounting Procedures:	82%
Internal Controls:	73%
Budgeting, Reporting, & Auditing:	78%
Policy Environment:	75%

3. Conclusion

Annex 5: Sample Pact BAIT Tool

Building Organizational Networks for Good Governance and Advocacy (BONGA)

BONGA Advocacy Index Tool (BAIT)

Name of Organization:_____

Date of Assessment: _____

Facilitated by:_____

RATING SCALE

N/A	Not applicable
X	Sufficient information unavailable to assess
1	Needs immediate attention
2	Needs major attention
3	Needs attention on a wide scale
4	Needs attention on a limited scale
5	Acceptable, needs minor attention
6	Acceptable, no need for immediate attention

A. GOVERNANCE AND MANAGEMENT								
1. Vision, Mission and Goals								
a. All key stakeholders, staff and members understand the CSO's clearly articulated vision	N/A	X	1	2	3	4	5	6
b. All members, staff and other key stakeholders understand the articulated mission	N/A	X	1	2	3	4	5	6
c. CSO activities reflect the mission statement	N/A	X	1	2	3	4	5	6
d. CSO has clearly articulated goals	N/A	X	1	2	3	4	5	6
2. Credibility of the Board								
a. CSO has democratically selected board	N/A	X	1	2	3	4	5	6
b. CSO board demonstrates openness and transparency in its operations	N/A	X	1	2	3	4	5	6
c. CSO reflects a balanced composition in its board (Gender)	N/A	X	1	2	3	4	5	6
d. CSO board demonstrates accountability to stakeholders	N/A	X	1	2	3	4	5	6
e. Governing body provides overall policy oversight	N/A	X	1	2	3	4	5	6
f. Governing body ensures that CSO complies with laws affecting the CSO sector	N/A	X	1	2	3	4	5	6

3. Advocacy Capacity of the Board								
a. CSO board has a good understanding of advocacy and policy issues relating to advocacy	N/A	X	1	2	3	4	5	6
b. CSO board has varied experience in advocacy, lobbying and policy analysis among the members	N/A	X	1	2	3	4	5	6
c. CSO board supports and believes in the advocacy work that the CSO is involved in	N/A	X	1	2	3	4	5	6
d. CSO board actively participates in the CSO advocacy activities	N/A	X	1	2	3	4	5	6
e. CSO board demonstrates commitment to advocacy work	N/A	X	1	2	3	4	5	6
f. Governing body and management clearly understand their respective roles and responsibilities as explained in the constitution	N/A	X	1	2	3	4	5	6
4. Leadership Roles and Responsibilities								
a. CSO board provides overall direction to advocacy and related policy issues	N/A	X	1	2	3	4	5	6
b. CSO board approves personnel and finance policies	N/A	X	1	2	3	4	5	6
c. CSO board monitors and evaluates implementation of policies	N/A	X	1	2	3	4	5	6
d. CSO board facilitates policies for CSO networking	N/A	X	1	2	3	4	5	6
e. Board understands its role in advocacy vis-à-vis management	N/A	X	1	2	3	4	5	6
5. Legal Status								
a. CSO is legally established and registered in Tanzania	N/A	X	1	2	3	4	5	6
b. CSO advocacy work/activities conform to local legislation and by-laws	N/A	X	1	2	3	4	5	6
c. CSO board and management have access to legal advice and services when needed	N/A	X	1	2	3	4	5	6
d. CSO board and management is aware of legislation that affect the NGO sector	N/A	X	1	2	3	4	5	6
e. CSO board and management are guided by the organization's constitution	N/A	X	1	2	3	4	5	6
f. CSO board ensures all levels of the CSO understand its constitution	N/A	X	1	2	3	4	5	6
g. CSO reviews and amends the constitution and guidelines as needed	N/A	X	1	2	3	4	5	6
6. Membership/Constituents								
a. CSO has a clear membership recruitment strategy	N/A	X	1	2	3	4	5	6
b. CSO has an updated list of members/constituents	N/A	X	1	2	3	4	5	6
c. Membership/constituency exercises rights and responsibilities as defined by the constitution	N/A	X	1	2	3	4	5	6
d. Members/constituencies elect office bearers at AGMs	N/A	X	1	2	3	4	5	6
e. Membership/constituency contributes to CSO policy formulation	N/A	X	1	2	3	4	5	6
f. CSO has mechanisms in place to allow membership to have input into the organization's activities	N/A	X	1	2	3	4	5	6

7. Stakeholders								
a. CSO clearly identifies its primary (valuable and influential) stakeholders	N/A	X	1	2	3	4	5	6
b. CSO clearly identifies its secondary (valuable but less influential) stakeholders	N/A	X	1	2	3	4	5	6
c. CSO recognizes the role of stakeholders in advocacy work	N/A	X	1	2	3	4	5	6
d. CSO ensures participation of stakeholders in advocacy work.	N/A	X	1	2	3	4	5	6
e. CSO outlines mechanisms for receiving feedback from stakeholders	N/A	X	1	2	3	4	5	6
f. CSO values and makes use of feedback/recommendations from stake-holders	N/A	X	1	2	3	4	5	6
8. Strategic Planning								
a. CSO undertakes periodic strategic planning	N/A	X	1	2	3	4	5	6
b. CSO involves its Board, Management, Staff and membership in strategic planning	N/A	X	1	2	3	4	5	6
c. CSO has a strategic planning document that clearly outlines the advocacy activities it is undertaking	N/A	X	1	2	3	4	5	6
d. Current advocacy plan has been drawn from the overall organizational strategic plan	N/A	X	1	2	3	4	5	6
9. Organizational structure								
a. CSO has a functional organizational structure	N/A	X	1	2	3	4	5	6
b. Roles and responsibilities of the organizational structure are defined	N/A	X	1	2	3	4	5	6
c. CSO has systems for multi-level accountability	N/A	X	1	2	3	4	5	6
d. Job descriptions are clearly written for each position	N/A	X	1	2	3	4	5	6
e. CSO has adequate staff / personnel to carry out advocacy.	N/A	X	1	2	3	4	5	6
f. CSO has a database of resource persons to complement in-house capacity	N/A	X	1	2	3	4	5	6
10. Information Systems								
a. Systems exist to collect, analyze and manage information	N/A	X	1	2	3	4	5	6
b. CSO uses a system to solicit feedback from stakeholders	N/A	X	1	2	3	4	5	6
c. CSO has a system to monitor, evaluate and report on advocacy activities	N/A	X	1	2	3	4	5	6
11. Policies and Procedures								
a. CSO follows clearly articulated personnel policies	N/A	X	1	2	3	4	5	6
b. CSO follows clear administrative procedures	N/A	X	1	2	3	4	5	6
c. CSO regularly updates procedures and operating manuals	N/A	X	1	2	3	4	5	6
d. CSO uses participatory decision making procedures	N/A	X	1	2	3	4	5	6
e. CSO uses internal checks and controls to minimize abuse of organizational resources	N/A	X	1	2	3	4	5	6

12. Planning								
a. CSO aligns implementation plans to strategic plans	N/A	X	1	2	3	4	5	6
b. CSO regularly updates its implementation plans	N/A	X	1	2	3	4	5	6
c. CSO projects and allocates resource needs in its plans	N/A	X	1	2	3	4	5	6
d. Flexibility exists to adjust plans as a result of the monitoring and evaluation processes	N/A	X	1	2	3	4	5	6
13. Credibility of Management								
a. CSO has a transparent system of recruiting and appointing its management staff	N/A	X	1	2	3	4	5	6
b. CSO Management has a good track record in advocacy	N/A	X	1	2	3	4	5	6
c. CSO Management demonstrates openness and transparency in its operations	N/A	X	1	2	3	4	5	6
d. CSO reflects a balanced composition in its Management (Gender)	N/A	X	1	2	3	4	5	6
e. CSO Management has mechanisms to ensure accountability to stakeholders	N/A	X	1	2	3	4	5	6
14. Advocacy Capacity of Management								
a. CSO Management has a good understanding of advocacy and related policy issues	N/A	X	1	2	3	4	5	6
b. CSO Management has a wide experience in advocacy, lobbying and policy analysis	N/A	X	1	2	3	4	5	6
c. CSO Management has varied advocacy, lobbying and policy analysis skills	N/A	X	1	2	3	4	5	6
d. CSO Management demonstrates commitment to advocacy work	N/A	X	1	2	3	4	5	6
e. CSO Management understands the advocacy issues that the organization is pursuing.	N/A	X	1	2	3	4	5	6

B. HUMAN RESOURCES								
1. Organizational Structure								
a. CSO has an organizational structure with clear reporting lines	N/A	X	1	2	3	4	5	6
b. CSO has clearly defined the advocacy roles and responsibilities for key staff	N/A	X	1	2	3	4	5	6
c. CSO has clearly demonstrated the linkages between the different positions and units in the organization	N/A	X	1	2	3	4	5	6
2. Staffing								
a. CSO has adequate staff to carry out advocacy activities.	N/A	X	1	2	3	4	5	6
b. CSO staff and / or volunteers are (adequately)skilled and experienced in advocacy and lobbying	N/A	X	1	2	3	4	5	6
c. CSO staff and/or volunteers have research and analysis skills	N/A	X	1	2	3	4	5	6
d. CSO staff has information and documentation skills	N/A	X	1	2	3	4	5	6
e. CSO staff has negotiating and communication skills.	N/A	X	1	2	3	4	5	6
f. CSO staff has skills to mobile the constituency around an advocacy issue.	N/A	X	1	2	3	4	5	6
g. CSO has expertise in policy development and analysis	N/A	X	1	2	3	4	5	6
h. CSO has capacity to monitor implementation of recommended advocacy policies/practices/behavior changes.	N/A	X	1	2	3	4	5	6
i. CSO has a database of resource persons to enhance capacity to do advocacy and policy where the capacity lacks in-house.	N/A	X	1	2	3	4	5	6
j. CSO deploys staff correctly	N/A	X	1	2	3	4	5	6
3. Advocacy Skills Development								
a. CSO identifies advocacy and policy training needs for its staff, volunteers, constituency and the affected	N/A	X	1	2	3	4	5	6
b. CSO has on-going staff development plans for training staff in advocacy and policy skills.	N/A	X	1	2	3	4	5	6
c. CSO trains its volunteers in advocacy and policy issues	N/A	X	1	2	3	4	5	6
d. CSO trains its constituency members in advocacy and policy issues	N/A	X	1	2	3	4	5	6
e. CSO implements a human resources development plan	N/A	X	1	2	3	4	5	6
4. Personnel Policies and Procedures								
a. CSO has clear personnel policies that guide the operations of staff	N/A	X	1	2	3	4	5	6
b. CSO has mainstreamed advocacy, Gender into personnel policies (e.g. induction, appraisal, recruitment, termination policy, motivation, burnout)	N/A	X	1	2	3	4	5	6
c. CSO has policies on volunteers' recruitment, training, motivation and retention.	N/A	X	1	2	3	4	5	6
d. CSO adheres to its comprehensive personnel policies	N/A	X	1	2	3	4	5	6
e. CSO complies with statutory labor regulations	N/A	X	1	2	3	4	5	6

C. FINANCIAL RESOURCES								
1. Resource Mobilization								
a. CSO has a broad funding base for advocacy activities	N/A	X	1	2	3	4	5	6
b. CSO has developed a clear fund-raising strategy to sustain advocacy activities	N/A	X	1	2	3	4	5	6
c. CSO has in-house capacity to fund raise	N/A	X	1	2	3	4	5	6
d. CSO has a track record of mobilizing resources both locally and internationally	N/A	X	1	2	3	4	5	6
e. CSO implements fundraising strategy	N/A	X	1	2	3	4	5	6
f. CSO manages a diverse funding base	N/A	X	1	2	3	4	5	6
g. CSO's banking and investment practices maximize both security and returns	N/A	X	1	2	3	4	5	6
2. Resources Allocation/Budgeting								
a. CSO has an adequate a resource base (financial, time, personnel, transport and assets)	N/A	X	1	2	3	4	5	6
b. CSO allocates adequate resources for advocacy work (financial, time, personnel, transport, assets)	N/A	X	1	2	3	4	5	6
c. CSO allocates adequate resources for gender mainstreaming (financial, time, personnel, transport, assets)	N/A	X	1	2	3	4	5	6
d. CSO integrates budget process into annual implementation plans	N/A	X	1	2	3	4	5	6
e. All relevant staff participate in budgeting processes	N/A	X	1	2	3	4	5	6
3. Accounting								
a. CSO appreciates the need for separate accounting for advocacy funds	N/A	X	1	2	3	4	5	6
b. CSO has a clear reporting/accounting framework for advocacy funds (accounting manual)	N/A	X	1	2	3	4	5	6
c. CSO conducts regular audits with external registered accounting firms.	N/A	X	1	2	3	4	5	6
d. CSO is financially transparent to stakeholders	N/A	X	1	2	3	4	5	6
e. Accounting practices are in line with fiscal policies and laws	N/A	X	1	2	3	4	5	6
4. Financial Reporting								
a. CSO conducts internal audits on a regular basis	N/A	X	1	2	3	4	5	6
b. CSO prepares accurate financial reports in a timely manner	N/A	X	1	2	3	4	5	6
c. Governing body reviews and comments on financial reports	N/A	X	1	2	3	4	5	6
d. CSO uses reports for planning, monitoring, and review purposes	N/A	X	1	2	3	4	5	6
e. CSO disseminates annual financial reports to stakeholders	N/A	X	1	2	3	4	5	6
5. Stock control and procurement	N/A	X	1	2	3	4	5	6
a. CSO adheres to its procurement system and procedures	N/A	X	1	2	3	4	5	6
b. CSO tenders for contracts	N/A	X	1	2	3	4	5	6
c. CSO follows its stock control system and procedures	N/A	X	1	2	3	4	5	6
d. CSO updates its assets register annually	N/A	X	1	2	3	4	5	6

D. EXTERNAL RELATIONS								
1. Coalitions and Networks (local, Regional and International)								
a. CSO is aware of the existence of strategic coalitions and/ or networks	N/A	X	1	2	3	4	5	6
b. CSO has strategies to build new networks and/or coalitions	N/A	X	1	2	3	4	5	6
c. CSO is a member of strategic coalitions and/or networks.	N/A	X	1	2	3	4	5	6
d. CSO shares resources with other local, regional and international CSOs	N/A	X	1	2	3	4	5	6
e. CSO is an active participant in coalitions/networks	N/A	X	1	2	3	4	5	6
f. CSO actively participates in advocacy activities of networks/coalitions	N/A	X	1	2	3	4	5	6
2. Public Relations								
a. CSO has established contact points for dialogue on advocacy issues with the general public	N/A	X	1	2	3	4	5	6
b. CSO has a clear communication policy	N/A	X	1	2	3	4	5	6
c. CSO has strategy on sensitization of the public on the advocacy issues	N/A	X	1	2	3	4	5	6
d. CSO builds public support on the issue(s)	N/A	X	1	2	3	4	5	6
3. Media and Communication								
a. CSO has a clear policy on external communications	N/A	X	1	2	3	4	5	6
b. CSO has a clear media strategy	N/A	X	1	2	3	4	5	6
c. CSO seeks to ensure that key stakeholders understand its goals and objectives	N/A	X	1	2	3	4	5	6
d. CSO works at creating a positive image among stakeholders	N/A	X	1	2	3	4	5	6
e. CSO uses a communication strategy to work a variety of media	N/A	X	1	2	3	4	5	6
f. CSO responds to media consultations on relevant issues	N/A	X	1	2	3	4	5	6
g. CSO gets its message across through the media	N/A	X	1	2	3	4	5	6
h. CSO recognizes and utilizes media networks	N/A	X	1	2	3	4	5	6
4. Funding Partner Relations								
a. CSO and funding Partners have a shared understanding of the advocacy program	N/A	X	1	2	3	4	5	6
b. CSO and funding Partners relationship promotes partnership	N/A	X	1	2	3	4	5	6
c. CSO understands funding partners' reporting requirements on advocacy activities	N/A	X	1	2	3	4	5	6
d. CSO has diversified contacts within the funding community	N/A	X	1	2	3	4	5	6
e. CSO solicits information from funding partners	N/A	X	1	2	3	4	5	6
5. Private Sector Relations								
a. CSO has established contact points for dialogue in the private sector on the advocacy issue.	N/A	X	1	2	3	4	5	6
b. CSO has strategy on engaging private sector on the advocacy issue	N/A	X	1	2	3	4	5	6
c. CSO develops strategy for tapping into resources from private sector for sustaining advocacy activities	N/A	X	1	2	3	4	5	6

6. Government Relations/Collaboration								
a. CSO has substantive contacts within government	N/A	X	1	2	3	4	5	6
b. CSO monitors implementation of advocacy policies with policy makers and decision makers	N/A	X	1	2	3	4	5	6
c. CSO provides written feedback to government bodies over advocacy issues	N/A	X	1	2	3	4	5	6
d. CSO seeks to participate in relevant government planning processes	N/A	X	1	2	3	4	5	6
e. CSO takes national, regional and/or district development priorities into account in its plans	N/A	X	1	2	3	4	5	6
E. ACTUAL ADVOCACY WORK								
1. Issue Identification								
a. CSO has clearly defined its advocacy issue	N/A	X	1	2	3	4	5	6
b. CSO has fully engaged the constituency in identifying the advocacy issue	N/A	X	1	2	3	4	5	6
c. Issue is understood and shared by CSO, constituency and the public.	N/A	X	1	2	3	4	5	6
d. CSO has a clear and shared goal for the identified issue with its constituency, board and staff)	N/A	X	1	2	3	4	5	6
e. Advocacy issue objectives are clear and concise	N/A	X	1	2	3	4	5	6
f. New opportunities for effective action exist	N/A	X	1	2	3	4	5	6
g. At least a few key decision makers are receptive to the issue	N/A	X	1	2	3	4	5	6
h. Issue is critically important to the current or future well-being of the CSO	N/A	X	1	2	3	4	5	6
2. Constituency								
a. CSO is aware of its constituency and its role in advocacy.	N/A	X	1	2	3	4	5	6
b. CSO has done constituency mapping in order to identify Geographical boundaries	N/A	X	1	2	3	4	5	6
c. CSO has done constituency mapping in order to identify Gender	N/A	X	1	2	3	4	5	6
d. CSO has done constituency mapping in order to identify Numbers (population)	N/A	X	1	2	3	4	5	6
e. CSO has done constituency mapping in order to identify Geographical boundaries	N/A	X	1	2	3	4	5	6
f. CSO has done constituency mapping in order to identify Age	N/A	X	1	2	3	4	5	6
g. CSO has done constituency mapping in order to identify Socio-economic strata	N/A	X	1	2	3	4	5	6
h. CSO has done constituency mapping in order to identify community structures	N/A	X	1	2	3	4	5	6
i. CSO has done constituency mapping in order to identify Key influential persons /informants	N/A	X	1	2	3	4	5	6
j. CSO has done constituency mapping in order to identify % of affected people	N/A	X	1	2	3	4	5	6
k. CSO has mechanism to identify the needs of the constituency	N/A	X	1	2	3	4	5	6
l. CSO has mechanisms to receive feedback from Constituency.	N/A	X	1	2	3	4	5	6
m. Constituency is aware of the existence of CSO and its advocacy role.	N/A	X	1	2	3	4	5	6
n. Constituency has a positive image of the CSO.	N/A	X	1	2	3	4	5	6
o. Constituency understands its own role in the advocacy program.	N/A	X	1	2	3	4	5	6

3. Target Group / Stakeholders								
a. CSO has identified its target groups who may be policy or decision makers, membership, public, media, networks or coalitions.	N/A	X	1	2	3	4	5	6
b. CSO has identified its primary (influential and very important) target groups / stakeholders.	N/A	X	1	2	3	4	5	6
c. CSO has defined its secondary (important but less influential) target groups / stakeholders.	N/A	X	1	2	3	4	5	6
d. CSO actively engages the target group	N/A	X	1	2	3	4	5	6
e. CSO has a clear strategy to address interests of the different target groups	N/A	X	1	2	3	4	5	6
f. CSO has a coordinated advocacy action plan to convince the target group.	N/A	X	1	2	3	4	5	6
4. Gender Analysis of present and future policy								
a. CSO understands the importance of gender **dimensions** in the advocacy program	N/A	X	1	2	3	4	5	6
b. CSO carries out studies on differential implications on men and women (*e.g. tax effects, ability to earn income, receive benefits*) of policies, practices / behaviors and systems on the advocacy issue	N/A	X	1	2	3	4	5	6
c. CSO has a gender policy	N/A	X	1	2	3	4	5	6
d. CSO analyses the ability of women and men to participate in decision-making at different levels (e.g. local, community, business or NGO)	N/A	X	1	2	3	4	5	6
5. Advocacy Plan								
a. CSO has developed an advocacy plan	N/A	X	1	2	3	4	5	6
b. Advocacy plan is understood and shared by everybody	N/A	X	1	2	3	4	5	6
c. Staff members have individual work-plans drawn from the overall advocacy plan.	N/A	X	1	2	3	4	5	6
d. Key players understand their roles as articulated in the advocacy plan	N/A	X	1	2	3	4	5	6
e. Key players are implementing the advocacy program according to the plan.	N/A	X	1	2	3	4	5	6
f. CSO monitors implementation of the advocacy plan	N/A	X	1	2	3	4	5	6
6. Research								
a. CSO understands the critical role of research in advocacy	N/A	X	1	2	3	4	5	6
b. CSO has a culture of conducting research driven advocacy	N/A	X	1	2	3	4	5	6
c. CSO generates information in libraries, internet, archives, media reports and primary documents through interviews	N/A	X	1	2	3	4	5	6
d. CSO collects information around the issue using different participatory methods.	N/A	X	1	2	3	4	5	6
e. Research information is used to guide and strengthen the advocacy program or CSO uses the information for supporting arguments and building support for advocacy	N/A	X	1	2	3	4	5	6

7. Policy Analysis								
a. CSO is aware of the existence of policies on the issue(s)	N/A	X	1	2	3	4	5	6
b. Policy analysis such as the legal, political, social justice or health aspects of the issue are conducted	N/A	X	1	2	3	4	5	6
c. CSO understands the role of policy analysis in addressing the issue	N/A	X	1	2	3	4	5	6
d. CSO uses information from policy analysis to pursue the advocacy issue	N/A	X	1	2	3	4	5	6
8. Formulation of alternative policy position								
a. CSO has conducted a legal and social audit of the existing policies related to the issue	N/A	X	1	2	3	4	5	6
b. CSO shares audit results with their constituency	N/A	X	1	2	3	4	5	6
c. Constituency contributes solutions and recommendations for policy change/ formulation.	N/A	X	1	2	3	4	5	6
d. CSO formulates alternative policy position based on recommendations gathered from the constituency and other stakeholders.	N/A	X	1	2	3	4	5	6
9. Public Education								
a. General public input is solicited on the advocacy issue	N/A	X	1	2	3	4	5	6
b. CSO has mechanism to inform and receive feedback from the public about the advocacy issue	N/A	X	1	2	3	4	5	6
c. CSO understands the role of public education in advocacy	N/A	X	1	2	3	4	5	6
d. CSO packages the advocacy messages differently for the different target groups taking into account age, culture, literacy and education	N/A	X	1	2	3	4	5	6
e. CSO has a well defined strategy for public education	N/A	X	1	2	3	4	5	6
f. CSO is actively involved in public education on the advocacy issue.	N/A	X	1	2	3	4	5	6
g. CSO develops and distributes education materials such as distribution of pamphlets on the advocacy issue.	N/A	X	1	2	3	4	5	6
10. Action to Influence Policy								
a. Members/citizens encouraged to take appropriate actions, such as writing letters to policy and decision makers such as legislators and councilors	N/A	X	1	2	3	4	5	6
b. Contacts made with groups of policy and decision makers such as Parliamentary Committees including invitations to MPs to participate in workshops	N/A	X	1	2	3	4	5	6
c. CSOs make oral contributions to Parliamentary committee hearings or other policy makers	N/A	X	1	2	3	4	5	6
d. CSO has mechanisms to monitor operationalization of amended and/or new policies	N/A	X	1	2	3	4	5	6
e. Constituency takes a leading role to influence the policy/practices/behavior changes	N/A	X	1	2	3	4	5	6
f. CSO takes a leading role in simplifying and disseminating information on the amended and/or new policies.	N/A	X	1	2	3	4	5	6

12. Networking and Building Coalitions								
a. CSO has identified potential networks and has formed/established coalitions.	N/A	X	1	2	3	4	5	6
b. CSO has mobilized strategic allies around the advocacy issue.	N/A	X	1	2	3	4	5	6
c. CSO has joint or coordinated activities with networks and/or coalitions	N/A	X	1	2	3	4	5	6
d. CSO has benefited from the networking and/or coalition	N/A	X	1	2	3	4	5	6
13. Documentation								
a. CSO has a register of issue related policies and other related materials/ documents	N/A	X	1	2	3	4	5	6
b. CSO has established an information centre for advocacy related issues.	N/A	X	1	2	3	4	5	6
c. CSO produces an advocacy bulletin on a regular basis	N/A	X	1	2	3	4	5	6
14. Advocacy Risks								
a. CSO takes measures to ensure that it does not lose track of its mission and goals	N/A	X	1	2	3	4	5	6
b. CSO is aware of the risks involved in advocacy	N/A	X	1	2	3	4	5	6
c. CSO has rescue plans and/or support systems for managing advocacy risks (political and social alienation, access to legal services)	N/A	X	1	2	3	4	5	6
d. CSO analyses and manages the opposing forces / opponents	N/A	X	1	2	3	4	5	6
e. CSO ensures that it remains non–partisan to maintain credibility with funding partners and other stakeholders.	N/A	X	1	2	3	4	5	6
15. Participatory Impact Monitoring and Evaluation								
a. CSO has developed a participatory impact monitoring system for use in the advocacy program	N/A	X	1	2	3	4	5	6
b. Participatory impact monitoring system is being used by both CSO and con-stituency.	N/A	X	1	2	3	4	5	6
c. Monitoring results are used to review and make program adjustments where necessary	N/A	X	1	2	3	4	5	6
d. CSO has plans to undertake annual evaluations of the advocacy program	N/A	X	1	2	3	4	5	6
F. SUSTAINABILITY								
1. Advocacy Program Sustainability								
a. CSO mobilizes constituency on the advocacy issue	N/A	X	1	2	3	4	5	6
b. CSO instills a sense of ownership and benefits on the advocacy issue	N/A	X	1	2	3	4	5	6
c. CSO has mechanisms to transfer skills to the constituency	N/A	X	1	2	3	4	5	6
d. CSO builds public support on the advocacy issue	N/A	X	1	2	3	4	5	6
e. CSO has established community structures to drive the advocacy agenda	N/A	X	1	2	3	4	5	6
f. CSO has strategies to minimize advocacy risks	N/A	X	1	2	3	4	5	6
g. CSO maintains a database of resource persons and experts for the sustenance of advocacy issue	N/A	X	1	2	3	4	5	6

2. Organizational Sustainability								
a. CSO has a shared advocacy vision and role in society	N/A	X	1	2	3	4	5	6
b. CSO demonstrates capacity in lobbying and advocacy (skilled personnel)	N/A	X	1	2	3	4	5	6
c. CSO conforms to legislation affecting the NGO sector	N/A	X	1	2	3	4	5	6
d. CSO actively participates in a dynamic development arena	N/A	X	1	2	3	4	5	6
e. CSO builds coalitions and networks in advocacy	N/A	X	1	2	3	4	5	6
f. CSO recruits and retains high quality staff	N/A	X	1	2	3	4	5	6
g. CSO maintains a database/pool of volunteers to sustain advocacy activities.	N/A	X	1	2	3	4	5	6
3. Financial Sustainability								
a. CSO allocates financial resources for advocacy	N/A	X	1	2	3	4	5	6
b. CSO identifies and utilizes local and international resources base for advocacy	N/A	X	1	2	3	4	5	6
c. CSO has plans to diversify its resource base for advocacy	N/A	X	1	2	3	4	5	6
4. Institutionalization of Advocacy								
a. CSO has oriented/sensitized all staff to the advocacy issue	N/A	X	1	2	3	4	5	6
b. Staff has internalized the advocacy issue	N/A	X	1	2	3	4	5	6
c. CSO has internalized Gender dimensions of advocacy.	N/A	X	1	2	3	4	5	6

Annex 6: Sample PCAT (BAIT) Results Report

EXECUTIVE SUMMARY

The BAIT (BONGA Advocacy Index Tool) was used to assess the performance of NGO Xs Forum in relation to the MCA Objectives. The assessment was conducted in July 2007 with facilitation from PACT Tanzania. This was the second BONGA assessment for NGO Xs and was conducted in a participatory manner. The performance of individual components is summarized in the table below:

	First BONGA 2006		Second BONGA 2007	
Component	Score	Stage	Score	Stage
Governance and Management	3.2	Expanding	4.3	Expanding
Human Resource	3.4	Expanding	3.8	Expanding
Financial Resources	3.7	Expanding	3.9	Expanding
External Relations	3.4	Expanding	3.8	Expanding
Actual Advocacy Work	3.6	Expanding	3.6	Expanding
Sustainability	4.0	Expanding	3.5	Expanding

Following the last assessment NGO XS Forum has worked to improve the weakness areas. The CSO has improved in M&E, human resources, translation of documentations into Swahili, capacity building to its members and internal control system. There are some areas NGO XS has not yet improved, these areas are like gender balance in management and Board, sharing information with community, interactions with government, guideline for volunteers, inadequate strategy for local fundraising, lack of comprehensive mapping and analysis of its constituency the details of which are presented in the main report and the rating (Appendix 1).

It is interesting to note that NGO Xs has remained in the expanding stage in all its components although the scores have varied slightly from the previous assessment reflecting some changes. Of interest is the fact that the organization is close to maturity in terms of governance and management. However, in sustainability the rating is comparatively low because of donor dependence and insufficient internalization of gender dimensions. Specific recommendations are made in section 4.2 of the report.

1. INTRODUCTION

1.1 Background

Pact Tanzania, under its MCA-BONGA program has one of its objectives to building the capacity of its partners in different developmental capacities. The program is conducting Organization Capacity Assessment (OCA) to monitor organizational growth experienced by its partners. The OCA is therefore regularly done using the BAIT for that purpose.

NGO X's Forum is an umbrella network established under the Trustee incorporation in 1994 aiming to advocate for improved social welfare and livelihood of the pastoralists and hunter-gatherers in Tanzania and the protection of nature and the ecology of the land through sustainable utilization of resources, technology and good governance. Although its headquarters is based in Arusha, NGO Xs has a diversified membership of NGOs and CBOs from eight regions of Tanzania. These are Arusha, Manyara, Kilimanjaro, Mbeya, Iringa, Morogoro, Tanga and Rukwa. NGOs and CBOs in Shinyanga region have show interest to join the network

NGO Xs Forum is one of the Pact Tanzania partners in the implementation of the MCA-BONGA Program. NGO Xs has been a partner of Pact Tanzania since the implementation of TAPP (Tanzania Advocacy Partnership Program) program, under which the organization was assessed three times using the OCAT. Under the MCA-BONGA program, NGO Xs was assessed once in 2006 and the current assessment is the second one. During the last assessment all of its components were in the expanding stage implying that NGO Xs had a track record of achievements that are recognizable by stakeholders and other actors who have a similar focus in the same services although the organization will still need to improve in some areas.

1.2 Vision and Mission of NGO XS

Broad vision and mission statements that guide NGO Xs Forum are presented bellow:

VISION

Human rights and sustainable development for the indigenous pastoralists, hunters and gatherers in Tanzania

Mission Statement

Coordinate and promote solidarity for the improvement of the livelihoods of indigenous pastoralists, hunter - gatherers in Tanzania through advocacy for human rights and sustainable development

1.3 Purpose of Assessment

The MCA - BONGA assessment exercise for NGO XS serves a variety of purposes. The main objective is to facilitate a process where staff, leaders and beneficiaries of the network will get an opportunity to identify the strengths and shortcomings of the organization and to establish possible intervention strategies. It was also used as a diagnosis instrument to determine the measure of the existing structure and capacity that may serve as a point of comparison for subsequent assessments. The assessment therefore determines the stages of the organizational growth and specific changes that may be needed to strengthen its performance.

2.0 METHODOLOGY

2.1 Framework

This assessment exercise using the BAIT under the MCA-BONGA program is the second one for NGO XS.

It represents continuation of Pact's engagement with the network in the context of achieving the MCA-BONGA program objectives. As such, the findings observed in this assessment in terms of strengths, weaknesses and recommendations will serve in developing the status and levels of the organizational growth of the network over years.

2.2 Data collection

The assessment involved NGO Xs management team, professional staff within NGO Xs, some Board members, representatives from NGO XS members and partners and NGO XS support staff. The exercise was facilitated by two facilitators from Pact Tanzania namely Prof. John Kessy (Consultant) and Ms Angelina Mtowa (Pact staff). The data collection methods used in this assessment included: Individual and group interviews, literature review and analysis of various documents/reports associated with the implementation of NGO Xs activities. The team also used informal interaction with staff and other respondents either seeking for clarifications or triangulating some facts. To ensure free and informal dialogues during the assessment, the team explained the objectives of the assessment to respondents. It was emphasized that the assessment was essentially a learning process for both parties and was by the means judgmental. It was further emphasized that the responsibility for filling any gaps that would be identified through the assessment lies with both parties.

2.3 Analysis of Data

After interviewing the respondents, and collecting the relevant information/data, the findings were transferred to the BAIT assessment sheet and rated in relation to the six growth assessment components namely Governance and Management, Human Resources, Financial Resources, External Relations, Actual Advocacy Work and Sustainability. Each component has different categories and elements. From the analysis each component was assessed to fall into one of the following stages of growth:

1. ***Nascent stage***

   Scores of categories and components that ranges from 0 - 1.4 are classified into this stage. The salient features of this stage are that the organization is at the earliest stages of development. Some structures are at rudimentary stage, while others are non-existent at all.

1. ***Emerging stage***

   A component or category will be under this stage if it has scores ranging from 1.5 - 2.9. This stage is characterized by having some capacities developed and is vivid in some areas. Deliberate structures such as the board, human resources and management practices are in place.

3. ***Expansion stage***

   This stage runs from 3.0 – 4.4. For a component to be in this stage there has to be a track record of achievements that are recognizable by stakeholders and other actors who have a similar focus in the same services. Even with such achievements, the organization will still need to improve in some areas.

4. Mature Stage

This is the highest stage of an organizational growth. It ranges from 4.5 - 6.0. The organization in this stage is fully functioning, with most of its components at a sustainable stage. It has a diversified resource base, varied partnerships and existing networks at local, national and international levels.

The BAIT assessment and rating tool is attached as appendix 1.

2.4. Feedback Session

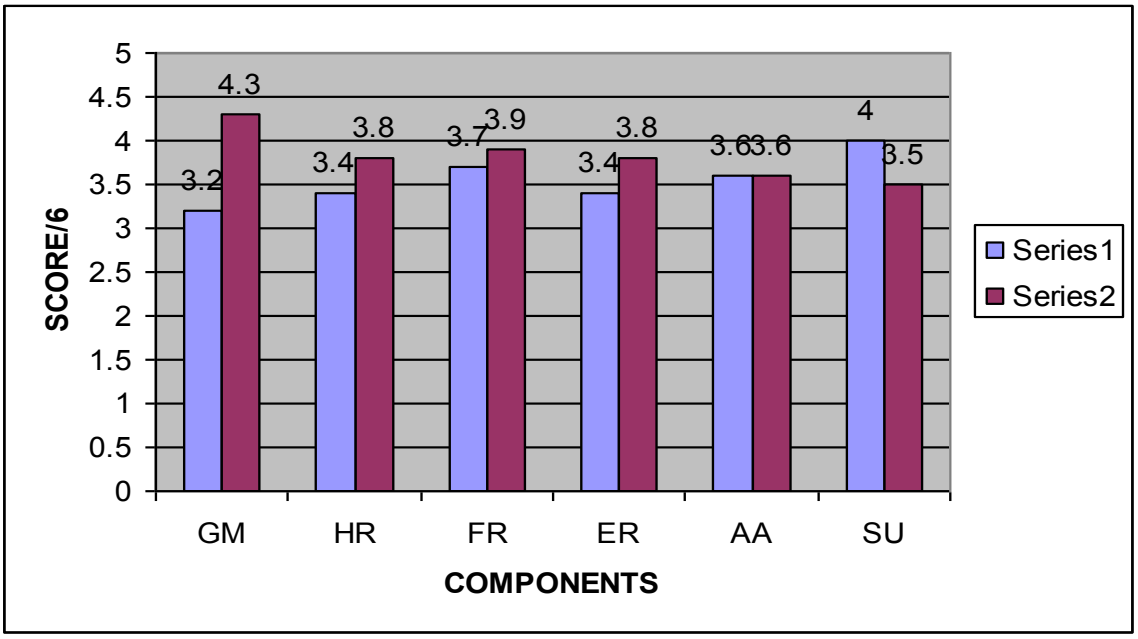
After completion of the first draft of the report, the facilitators requested for a joint debriefing session with some of the people involved in the interviewing process. This included the representatives from NGO Xs management team and professional staff. The de-briefing session served two purposes. One was to provide feedback of the outcomes from the analysis of information to the respondents and to verify or check accuracy or obvious omissions. The second was to provide an initial synopsis of how NGO XS was assessed and to show the status of growth at each category. Additional information for clarity and factual corrections were made on specific areas of the report

3.0 ANALYSIS OF THE FINDINGS

3.1 General findings on levels of growth of components

From the rating exercise that was performed using the BAIT, it was generally found that the organization was in the expanding stage in all its components. The growth status of individual components is summarized in Figure 1.

Figure 1: Status of individual components



Series 1 = BONGA 2006; Series 2 = BONGA 2007

Key to Figure 1: GM = Governance and Management; HR = Human Resources; FN = Financial Management; ER = External Relations;
AA = Actual Advocacy; SU = Sustainability

3.2 Specific findings per component

3.2.1 Governance and Management

Strengths

During the last assessment[5] NGO Xs was found to be organizationally strong in a number of issues partly because the CSO had been assessed several times before the last assessment and had addressed identified weaknesses by then. As such, the strengths of the organization were expressed in the aspects described in this part of the report as follows. NGO Xs was legally registered as trustee and complied to all legal regulations governing CSOs in the country with well defined membership and addressing the needs of pastoralists. The vision and mission were in

place, well shared and understood by members and the constituency. Further, a democratically elected Board of Trustees existed with both geographic coverage and gender consideration. The organizational structure offered clear lines of command and responsibilities for respective groups of actors. The board members and staff were aware and knowledgeable on issues of advocacy. NGO Xs was found to have networks with like minded organizations and coalition with other stakeholders at different levels. Team spirit was observed and the CSO was in good touch with its relevant stakeholders. NGO Xs was found to have adequate planning capacity and was guided by strategic plan which was developed in a participatory manner and approved by the AGM focusing on advocacy issues. A transpired recruitment system for staff was in place and communication between the management and staff was good. Activity and financial progress reports (annual, quarterly) were compiled and shared with respective users (mainly donors and the board). It was also observed by then that forums to share program information were in place including for example staff meetings, management meetings, AGM, Board and specific task forces. Monitoring and evaluation was done using different formats as demanded by respective donors. Financial and administration policies existed and were followed. Internal checks and balances such as resource centre loan ledger and motor vehicle logbooks were in place and occasionally used for recording purposes. The current assessment (2007) revealed that NGO XS has strived to maintain these strong points. The assessment further identified the following as additional strengths of the organization:

- The organization has a constitution that was last revised in 2005.
- NGO Xs has an updated list of members exists.

[5] Throughout this report when reference is made to "the last assessment" we specifically refer to the last BONGA report conducted by Makongo and Muro in March 2006

- Rights and responsibilities between NGO XS and its members are clearly defined. Members participate in policy formulation for the network and election of office bearers through the AGM
- The CSO has mainstreamed HIV/AIDS in all project activities[6]

Weaknesses

The last assessment identified several weaknesses some of which have been addresses by NGO XS. The identified weaknesses by the year 2006 are briefly described in this paragraph. NGO X's constitution was not in a simple and user-friendly format and was available in English language only. This is still a weakness to date. The capacity of some board members was found to be low as well as the interaction between members because of long distances between then in terms of location. The role of the board to engage in actual in advocacy dialogue at national and local levels is not well articulated. According to the current assessment, (2007) the articulation of board members to engage in advocacy dialogue at national level was still low and this was confirmed by an interviewed board member. The capacity of member organizations was relatively reported to be low. The last assessment also reported that information dissemination mechanisms were weak and in most cases delayed response and feedback. Further that the CSO had weak connection with local government authorities and was very much donor dependent. These problems still exist to-date. It was reported in the last assessment that most of the tools and documents (e.g. administration systems and financial regulations) did not show dates when they were prepared or reviewed and were prepared in English. The situation is still the same. Additional weaknesses have been identified by the current assessment and they include the following:

- NGO XS is more of an implementer of projects than a coordination forum for activities which could be undertaken by some of its members. It was made clear during the feedback session that some activities like those related to land issues need direct engagement of NGO Xs for the purpose of continuity of advocacy. However, with capacity building of its members, a good number of activities can be pursued by NGO Xs members while the centre serves to coordinate its members towards intended outcomes.
- The information management system in the resource centre needs to be improved and systematized to ease accessibility.
- Gender balance is the management team and the board is still skewed in favor of the male
- Gender policy does not exist despite initial interventions by Pact through the TAPP to mainstream gender

Interventions since last assessment

- Training and capacity building to board members was conducted
- Mentoring and capacity building to NGO Xs member organizations was done for the forum to strengthen its advocacy base

[6]NGO Xs Annual Report 2006

- Revival of defunct CBOs was done including NGOPADEO and KIPOC[7]
- Evaluation of the implementation of the 2003 – 2006 strategic plan was done and preparation of the new strategic plan (2007 – 2010) which is now in place as strongly recommended by the previous assessment
- The process of improving and systematizing NGO Xs monitoring and evaluation system has started and the framework document is in place
- NGO Xs engagement in pastoralists advocacy issues beyond the northern zone e.g. Mbeya and Lindi has diluted the notion that the organization is intended to serve the northern zone. Its members are also from all over the country
- Introduction of electronic database would improve information sharing has been initiated

3.2.2 Human Resources

Strengths

The last assessment identified a several strong points in this component. The observed strengths by then are hereby described briefly. To start with, the CSO was found to have a simple and clear organizational structure in place indicating the required positions and responsibilities of each staff. Further, advocacy roles and responsibilities were clearly defined to all members of staff and NGO Xs possessed skilled and committed staff including two volunteers by then. The current assessment (2007) realized that NGO Xs has maintained these strong points. Additionally the current assessment identified the following strengths:

- Existing staff have adequate skills and experience in lobbying and advocacy. Currently NGO Xs has only one volunteer but she is very much motivated to learn and participate actively in organizational matters.
- NGO Xs staff and its members have the capacity to develop and analyze policy needs for advocacy purposes.
- NGO Xs has personnel policies and procedures
- NGO Xs engage and utilize human resources from its partners and members in the implementation of advocacy work

Weaknesses

During the last assessment (2006) a set of weaknesses were identified some of which have been rectified by NGO Xs. It was observed then that, linkages between different positions and units in the organization were not clearly defined. This has improved by the fact that currently NGO Xs has elaborate job descriptions for all its positions in the organization structure. In the last assessment it was also reported that the CSO had inadequate research skills among and skills for information collection and documentation were also low. The situation has improved as per interventions reported later in this

[7]NGO Xs Annual Report 2006

section. Understaffing in relation to the need of diversifying other professional aspects such as sociology, community development, and environment was reported as a problem in the last assessment and still is. Another weakness which still prevails is the lack of policy that guides the work of volunteers. This assessment (2007) has identified the following as an additional weakness:

- The organization structure ends (downwards) with the management team without showing what is actually managed by the team that is projects/activities and member organizations.
- Annual staff appraisals are not done
- Orientation of volunteers to NGO Xs activities and norms is not adequately done

Interventions since last assessment

- The CSO has recruited additional staff including a competent monitoring and evaluation officer
- The organization has developed elaborate job descriptions for all its positions.
- The organization has organized a number of training sessions for its staff and members

  Initiatives to provide employees with health insurance schemes through NSSF are being explored

3.2.3 Financial Resources

Strengths

According to the 2006 assessment report, NGO XS was found to be relatively strong in terms of financial management. The observed strengths included existence of opportunities to mobilize resources from donors, flexibility for re-allocating advocacy activities in other funded programs, flexibility to incorporate activities in other programs, integration of budgets into annual plans and participatory budget process where each department is responsible for developing their own priorities. It was also observed then that within NGO Xs accounting procedures were in place and followed and that separate account reports facilitated communication with donor requirements. Further, external audit was done annually and the audited report verified by the board. Transparency in financial management to all key stakeholders existed through sharing of audited reports with donors, partners, board and members. Procurement system and procedures were place and asset register had been recently introduced to manage internal control systems. The current assessment revealed that the observed strong points in the previous assessment were still valid and the following aspects have been added to the list:

- Annual budgets reflect the strategic plan and activity budgets are very specific. The management ensures that activity budgets are strictly adhered to.
- The organization meets its obligations in terms of remitting PAYE and NSSF dues for its employees.
- The organization has good track record in managing donor funds

Weaknesses

In the previous assessment (2006) weaknesses were identified, some of which have been addressed as

presented in this section. The CSO was weak in terms being very much donor dependent. The situation is still the same. Local funding opportunities had not been fully exhausted and internal audit was not carried out as control measure. Currently, local fund raising is still far from optimal. It was the opinion of the management that since the organization is not too big and financial procedures are adhered to, having an internal auditor was unnecessary cost to the financially constrained NGO Xs. All financial reports, including audited reports were and still are in English, and therefore not easily understood by all stakeholders especially members. Assets and stock ledgers were not up to date by the time the last assessment was done. This has been addressed. The following weaknesses were observed by the current assessment: had been done recently

- The organization does not have a fund raising strategy. However, during the feedback session the team was informed that NGO Xs use its strategic plan for fund raising purposes. It is the opinion of the facilitators that since Pact has conducted several trainings in fund raising, its partners should develop the culture of preparing fund raising strategies in a more systematized way.
- Budget allocations are constrained by availability of financial resources
- The organization has not managed to raise funds to construct their own office premises. NGO XS operated on a rented house which is costly to the organization.

Interventions since the last assessment

- Financial and audit reports were translated to Kiswahili and presented to the AGM
- Asset and stock registered have been updated

NGO Xs finance department has assisted member NGOs in terms of capacity building for handling financial resources. Organizations like MWEDO, CRT, Inyuat EMAA and TNRF have benefited from the process

3.2.4 External Relations

Strengths

The strong points presented below were identified during the previous assessment (2006) and they are still valid to date. NGO Xs has linkages and networks with local, regional and international organizations and is good in involves media in advocacy work, by working with variety of media such as radio, TV, newspapers, community radio. NGO Xs also provide relevant information and immediate response to media. NGO Xs share its advocacy vision and programming with its donors and adheres to donors report requirements. NGO Xs has maintained a diversified contact list with donor community and donors appreciate the work of the CSO. The frame work for engagement of CSO in government process is clearly defined in the Local Government Reform Program (LGRP) and MKUKUTA. Further, NGO Xs is linked with strategic policy decision makers such as Pastoralist Parliamentary Group (PPG) and has good connections to some government sources and therefore able to access information even at a very short notice. NGO Xs has initiated some partnership with private sector namely hunting companies. Additionally, the current assessment identified the following strong points:

- NGO Xs is active in information dissemination and produced several advocacy related publications in Kiswahili for wider readership within local communities.
- The organization often sensitizes the public on advocacy issues in hand.
- The relationship between NGO XS and its funding partners has been good as confirmed by VET AID representative
- The inclusion of pastoralists issues in the MKUKUTA has some contributions from NGO Xs

Weaknesses

During the last assessment the NGO Xs was weak in terms of collaboration with local authorities, limited capacity given the wide geographical coverage and had not developed a Communication and Media strategy to guide its advocacy work. These weaknesses still prevail. Further, the organization was also weak in terms of lack of systematic approach to monitor and review the impact of media work and limited capacity to develop, simple and user-friendly advocacy materials. Some of these have been addresses as indicated in the interventions below. Other weaknesses included lack of strategy for engaging the private sector in advocacy issues and resource mobilization, on existence of a formal feedback mechanism to the government on the implication of policy issues to the communities and the environment. These weaknesses are still there. The biggest weakness in the opinion of the consultants is that of limited interactions and collaboration with local authorities in areas where NGO Xs operate.

Interventions since last assessment

- The recruitment of a competent monitoring and evaluation officer is likely to address the weakness of poor monitoring of advocacy impacts
- NGO Xs has published a good number of advocacy materials for public consumption

3.2.5 Actual Advocacy Work

Strengths

The previous assessment in relation to this component reported that NGO Xs was strong in the sense that the organization was addressing issues affecting pastoralist communities in a holistic way and some of its members are engaged in promotion of Early Childhood Development (ECD) and prevention of Genital Female Mutilation (GFM). Further, the organization realizes the importance of carrying out well researched advocacy issues and has diversified sources of researched information including library, partners, internent and interpersonal communication. NGO Xs was also commended for having the ability to respond promptly to core advocacy issues. These strengths are maintained by NGO Xs as demonstrated by the interventions carried out since the last assessment. Further, the organization has an Information centre with publications, reports, posters, and has employed staff for education and information. NGO Xs was further commended for using public media for information and not only being aware of existing advocacy risks but also having shared mechanism to handle risks through coalitions or working committees. These strong points are still within NGO Xs as revealed by the current assessment. Additionally, the following strengths were identified in this assessment:

- NGO XS has identified its key stakeholders in advocacy work and established good working relations
- The organization is aware of the importance of gender dimensions in advocacy work

Weaknesses

The previous assessment revealed that the organization had weaknesses demonstrated by not having done a comprehensive mapping and analysis of its constituency, lack capacity to implement research findings and recommendations, low capacity to develop consistent public dialogue forums of advocacy at local levels, weak mechanism for feedback from and to the public, lack Information, Education and Communication (IEC) strategy for different target groups and finally inability to mobilize constituency to contribute to develop alternative policies. The organization has attempted to address some of these weaknesses as indicated in the interventions section bellow. However, some of these weaknesses do exist up to now specifically lack of comprehensive constituency mapping. More details are indicated in the attached BAIT rating. Additionally this assessment identified the following weaknesses which need some attention:

- NGO XS needs to improve its capacity and its members to address key MCA BONGA advocacy issues in relation to PET and anti-corruption
- NGO XS has not done participatory impact monitoring and evaluation. However, the team was informed during the feedback session that the process of pre-monitoring has started in Kisiwani same
- NGO Xs does not have an elaborate strategy for public education and interactions with the target group

Interventions since last assessment

- Timely engagement in a number of advocacy interventions including those related to the controversial government decision to move pastoralists from the Usangu plains to Lindi, Mtwara and Kisarawe
- Prepared a documentary covering the pastoralists journey fro Ihefu to Lindi for advocacy purposes
- Engaged in advocacy against marginalization of the Hadzabe tribe in Yaeda Chini by foreign investors
- Engaged in advocacy for Ngorongoro Conservation area as a multiple land use and opposed to plans to evict pastoralists and hunter-gatherers from the area and contributed to the development of an alternative bill for Ngorongoro Conservation area
- Conducted several fact finding missions (research) and identified the right footings for advocacy interventions from research findings

3.2.6 Sustainability

Strengths

The previous assessment identified the following strengths which are still valid: links with strong coalitions and partners willing to carry forward advocacy issues, existence of skills within NGO Xs for keeping the advocacy issues alive, involving others and spreading the responsibilities and having constituencies which are easily available for mobilization. This assessment added the following strong points for sustainability of NGO Xs:

- The organization has a set of local resource persons from its members
- NGO XS strives to recruit and maintain high quality staff and volunteers
- NGO XS has established links with local, regional, national and international organizations and networks with similar interests.
- The organization, its staff, volunteers and members have internalized advocacy activities in their mandate.

Member's commitment to advocacy issues pursued by NGO Xs is remarkable. The team was informed that members contributions to the network *in kind* if quantified could challenge donor's support

Weaknesses

The previous assessment reported that in terms of sustainability NGO Xs had not optimally built internal capacities for its staff and members. Also ownership of the advocacy was perceived by some members to belong to NGO Xs. Additionally this assessment revealed the following weaknesses which are likely to affect the sustainability of the network:

- Most of the programs conducted by NGO XS are donor dependent and the organization does not have income generating activities of its own
- Local level fund raising is low
- NGO Xs has limited strategies to minimize advocacy risks
- NGO Xs has not adequately internalized gender dimensions of advocacy

Interventions since the last assessment

NGO Xs has engaged itself in capacity building for its staff and members

4. CONCLUSIONS AND RECOMMENDATIONS

4.1 Conclusion

The performance of individual components from the rating exercise compared to the previous assessment is summarized in the table bellow.

	First BONGA 2006		Second BONGA 2007	
Component	Score	Stage	Score	Stage
Governance and Management	**3.2**	**Expanding**	**4.3**	**Expanding**
Human Resource	**3.4**	**Expanding**	**3.8**	**Expanding**
Financial Resources	**3.7**	**Expanding**	**3.9**	**Expanding**
External Relations	**3.4**	**Expanding**	**3.8**	**Expanding**
Actual Advocacy Work	**3.6**	**Expanding**	**3.6**	**Expanding**
Sustainability	**4.0**	**Expanding**	**3.5**	**Expanding**

The analysis has revealed that NGO XS as an organization is in its expanding stage in all its components although the score varies from one component to another. Highest score was observed in the Governance & Management component which is close to maturity. This confirms the fact that NGO XS is a networking organization with well established governing body and laid down management procedures. The expanding stage signifies the fact that the organization has a track record of achievements that are recognizable by stakeholders and other actors who have a similar focus in the same services. Even with such achievements, the organization will still need to improve in some areas. Specific recommendations for every component are provided in the following sub sections.

4.2. Recommendations

It is generally recommended that NGO XS should strive to maintain the strong elements that have been identified through this assessment and seek for opportunities to address the identified weaknesses. Specific recommendations for each component are presented in the following sub sections.

4.2.1 Governance and Management

- The governing body should be supported to improve the network‘s capacity in handling MCA objectives specifically PET and anti-corruption
- The governing body should be more active in fulfilling its fund raising roles
- The organization should be supported to develop an elaborate feedback system
- Support should be sought to speed up the process of having an electronic data base for NGO Xs which has started in the resource centre.
- The organization should strive to improve gender balance in the management and Board. NGO Xs should also be supported to develop a gender policy.
- Capacity building to member organizations should be enhanced

4.2.2 Human Resources

- The organization should revise its organization structure to include members and projects
- Annual appraisals of staff should be introduced
- Volunteer policy should be developed and volunteers should be thoroughly oriented to the

network before their work starts

- The organization should strive to improve the existing staffing condition and develop a clear policy on volunteers
- The organization needs support to improve its capacity in monitoring and evaluation of advocacy interventions, the process which has started.

4.2.3 Financial Resources

- NGO XS should be supported to develop a fund raising strategy that takes into consideration both local, national and international funding options. Involvement of the private sector in funding advocacy initiatives should be explored further.
- Capacity building to member organization in financial management should be maintained
- The organization needs support to acquire its own office premises to reduce annual expenditure which is currently increased by payment of house rent.

4.2.4 External Relations

- NGO Xs needs to improve its relations and interactions with local authorities to make bigger impact
- The organization needs support to develop a clear communication policy and strategy.
- NGO XS needs support to develop and document its media strategy
- NGO XS should strive to adequately sensitize its members and the constituency in every advocacy intervention

4.2.5 Actual Advocacy Work

- Substantial training and capacity building towards meeting MCA objectives in PET and anti corruption is needed both for the governing body, management team and members.
- NGO Xs need support to conduct an extensive constituency mapping exercise.
- The organization needs support to improve its capacity in conducting participatory impact monitoring and evaluation
- The organization should strive to improve its capacity in alternative policy analysis and formulation

4.2.6 Sustainability

- More fund raising and income generating options need to be explored
- The organization should strive to reach most of its members and constituency and cultivate the sense of ownership for every advocacy issue being addressed
- Gender dimensions in every intervention need to be internalized by the organization

Annex 7: Sample PCAT (OVC Assessment) Tool

OVC Assessment

Part 1: Organizational and Service Delivery Profile

Biographical Data
Organization Name
Location (Town/City and District)
Number of full time staff (attach an organigram if available)
Number of volunteers
Years in operation
Years working in the HIV/AIDS sector
Year and amount of largest grant received
Average grant size
Year and amount of first grant received for HIV/AIDS
Activities conducted with first grant received for HIV/AIDS
Geographic coverage by ward/district (name/s of wards/districts & number of OVC served in the past 6 months):
Do you have a register of OVC receiving services?

Staff Training/Skills Development

1. What type/s of training have the staff and volunteers in your organization had?

   Staff:

   (please list topic/s)

   Volunteer:

   (please list topic/s)

2. Does your organization have a standardized curriculum/training manual for staff and volunteers?

   Please list curriculum/manual/s

3. Who usually conducts staff and volunteer training in your organization?

   List name/s and qualification:

Mark each service you provide by entering "1" for an "occasional, supplemental or ad hoc service" and "2" for a "regular service that is central to your program" in the box next to the service category. Do not mark the boxes of services you do not provide.

1. Food and Nutritional Support
   - ☐ Nutritional assessment of OVC
   - ☐ Nutritional counseling of OVC
   - ☐ Training of OVC caregivers in nutrition, child feeding practices, food preparation, food hygiene, and special dietary needs of HIV positive children.
   - ☐ Training of OVC caregivers and others in detection of malnutrition
   - ☐ Referral of cases of severe malnutrition to health care services
   - ☐ Meal provision to OVC (prepared)
   - ☐ Food assistance to OVC and their households (bulk foodstuff, groceries, coupons, cash transfers)
   - ☐ Referrals to OVC and their households for food assistance
   - ☐ Nutrient supplements for OVC
   - ☐ Gardens, agricultural or animal husbandry projects directly benefiting OVC
   - ☐ Food storage projects (local production, to mitigate seasonal scarcity) directly benefiting OVC
   - ☐ Advocacy with government for nutrition programs
   - ☐ Other _____
   - ☐ Other _____

2. Shelter and Care
   - ☐ Housing construction for households caring for OVC
   - ☐ Housing renovation or improvements for households caring for OVC
   - ☐ Construction of latrines for households caring for OVC
   - ☐ Rent assistance for households caring for OVC
   - ☐ Provision of clothing to OVC
   - ☐ Provision of bedding, household utensils and/or personal hygiene kits for OVC
   - ☐ Training of OVC caregivers in childcare skills
   - ☐ Assessment and placement of children not currently living in a stable home environment
   - ☐ Monitoring and case follow-up of children in institutional care
   - ☐ Family tracing and recruitment of caregivers from extended family
   - ☐ Recruitment of foster families/community care groups
   - ☐ Incentives for households that care for OVC
   - ☐ Drop-in centers, daycare and other daytime care options for OVC
   - ☐ Advocacy with government for improved child placement policies
   - ☐ Anti-stigma campaigns to encourage community monitoring and assistance to OVC
   - ☐ Other_____
   - ☐ Other_____

3. Protection
   - ☐ Professional legal aid to OVC (certified lawyers)
   - ☐ Paralegal aid to OVC

- ☐ Birth registration assistance to OVC
- ☐ Death registration assistance to OVC (of death of parents or guardians)
- ☐ Writing of wills to ensure inheritance of OVC
- ☐ Planning of future guardianship of OVC
- ☐ Documentation of cases of child abuse, exploitation, and neglect
- ☐ Resolution of cases of child abuse, exploitation, and neglect outside state judicial system
- ☐ Assistance to OVC in resolution of child abuse or exploitation cases brought before the state judicial system
- ☐ Training of child protection committee/community volunteers
- ☐ Directed education and capacity-building about child's rights and child abuse (to local leaders, judges, police, etc.)
- ☐ BCC campaigns on child's rights and child abuse
- ☐ Advocacy with government for improvement legislation protecting children and defending their rights
- ☐ Participatory development of alternatives to criminal prosecution and incarceration of children for petty crimes
- ☐ Other_____
- ☐ Other_____

4. Health Care
   - ☐ Provision of professional health care (licensed doctor or nurse) to OVC
   - ☐ Provision of paraprofessional health care (trained health workers) to OVC
   - ☐ Provision of pediatric ARV therapy
   - ☐ Provision of VCT of OVC and their caregivers
   - ☐ Referrals for pediatric ARV therapy
   - ☐ Structural improvement of health facilities directed specifically towards OVC
   - ☐ Training of community health workers/volunteers in OVC specific care
   - ☐ Organization and deployment of community health workers/volunteers to OVC households
   - ☐ Maintenance of OVC health records
   - ☐ Health education and HIV prevention for children, youth and OVC caregivers
   - ☐ BCC related to HIV prevention and healthy lifestyles directed at OVC
   - ☐ Get-tested campaigns with information on VCT sites
   - ☐ Capacity-building of local healthcare providers in OVC specific care and pediatric HIV care guidelines
   - ☐ Provision of bed nets, first aid kits, basic medicines
   - ☐ Transport of OVC and/or caregivers to healthcare facilities
   - ☐ Organization of community health funds/collective medical insurance
   - ☐ Home-based care for OVC and their caregivers
   - ☐ Training of caregivers of HIV positive children
   - ☐ Advocacy with government for improved access to pediatric health care, especially pediatric ARV therapy and palliative care for children
   - ☐ Other_____
   - ☐ Other_____

5. Psychosocial Support
   - ☐ Provision of professional counseling services to OVC
   - ☐ Provision of counseling services to OVC caregivers
   - ☐ Referrals for professional counseling services
   - ☐ Training of adults and youth who work with children and community volunteer counselors in emotional health assessment and psychosocial support issues and skills
   - ☐ Organization and deployment of counselors to provide informal counseling to OVC
   - ☐ Self-help/support groups for vulnerable youth, HIV positive youth, and OVC caregivers
   - ☐ Life skills development activities for OVC
   - ☐ Recreational, arts, and sports activities "exclusively" for OVC
   - ☐ Recreational, arts, and sports activities that integrate OVC with non-vulnerable children
   - ☐ Assistance to parents with disclosure of HIV positive status to children
   - ☐ Memory books and other memory tools
   - ☐ Facilitation of planning for the future within families affected by HIV
   - ☐ Special counseling and monitoring of emotional health for children living on the streets
   - ☐ Special counseling and monitoring of emotional health for children living in institutional care
   - ☐ Mentorship programs for OVC
   - ☐ Community-wide anti-stigma campaigns to increase sensitivity and responsiveness to vulnerable children's psychosocial needs
   - ☐ Other_____
   - ☐ Other_____

6. Education and Vocational Training
   - ☐ Provision of school materials to OVC
   - ☐ Provision of school uniform to OVC
   - ☐ Payment of school fees for OVC
   - ☐ Leverage of waivers for school fees for OVC
   - ☐ Organization of a community education fund to benefit OVC
   - ☐ Assistance with enrollment of OVC
   - ☐ Monitoring of OVC's attendance and progress
   - ☐ Intervention and advocacy against discrimination in enrollment of OVC
   - ☐ Tutoring and homework assistance for OVC
   - ☐ Education and recreational after-school programming benefiting OVC
   - ☐ Educational vacation programming benefiting OVC
   - ☐ Youth or adult mentoring program for OVC
   - ☐ Vocational apprenticeships for older OVC
   - ☐ Vocational training for older OVC
   - ☐ Improvement of OVC's access to flexible or alternative education (i.e.. evening/weekend classes, street classes)
   - ☐ Curriculum improvement to include life skills and HIV education

- ☐ Early childhood development programs targeted to OVC
- ☐ Training for teachers and parents (PTAs) to increase monitoring for, sensitivity to, and response to the needs of OVC
- ☐ School-centered anti-stigma campaigns to improve the learning environment for OVC
- ☐ Other_____
- ☐ Other_____
- ☐ Assist local groups in scaling up to fill service gaps
- ☐ Information campaigns to publicize services to caregivers, community leaders and directly to older OVC
- ☐ Advocacy with government for increased service coverage, interagency coordination and cooperation with NGOs
- ☐ Other_____
- ☐ Other_____

7. Economic Opportunity/Strengthening
   - ☐ To be developed….

8. Coordination of Care
   - ☐ Training of social workers and case managers within existing organizations in coordination of care
   - ☐ Facilitate sharing of service information and referral mechanisms between service providers
   - ☐ Service mapping (identification of service and geographic gaps)
   - ☐ Organization of geographically focused networks of service providers for continual information sharing and referral of OVC
   - ☐ Organize larger networks of organizations providing assistance to OVC to determine best practices, quality standards, gaps in service provision, national coverage plans, etc.
   - ☐ Promotion of a unified monitoring, evaluation and reporting system and of transparency and oversight of quality
   - ☐ Mobilize community groups and committees to oversee care of OVC and to fill gaps

OVC Assessment

Part 2: Key Informant Discussion Guide/Site Visit Discussion Guide

The Pact team will use the following guide during their assessment visit to individual organizations or the following questions can be asked through a key informant interview.

The assessment team should familiarize themselves with the issues listed here. Additionally, the review team should have reviewed the Part 1 questionnaire responses prior to the site visit and made a note of any points that need to be further discussed and/or clarified.

Service Provision and Needs Assessment

Invite NGO/CBO staff and volunteers to discuss the range of services and/or activities that they provide to clients as a way of initiating discussion.

In addition to listing services and activities, you need to verify the methodology for determining the needs of OVCs in the community:

- Was there a formal needs assessment carried out before your service was started?
- Does your program have access criteria?
- How do you take on new clients – are they referred to you by other organizations/ community members?
- What percentage of your clients self refer?
- At this time, how many people do you estimate are in need of your services but your organization is not able to take on these clients?
- Does your organization support/manage support groups for PLHIV in addition to working with OVCs?

The following questions can be used to focus the discussion and to get NGOs/CBOs thinking about the range of services that comprise comprehensive OVC care & support. You will already have a check-list of services being provided by the organization so you should only focus on services and issues that still might need clarification:

- Do you assist with access to legal assistance, including accessing birth certificates and succession planning?
- Do you assist with access to health care (including counseling and testing)?
- Do you assist with access to education including school fees, uniforms or tutoring?
- Do you assisting with access to economic support such as accessing social grants, income generation projects?
- Do you provide food and/or nutrition support including supplements or food gardens?
- Do you provide or link OVC to psychosocial support?
- Do you provide protection from abuse?
- Do you provide life skills education/training?
- Do you provide information on sex education?
- Do you provide clothing or other basic needs of the household?

To address scope and coverage, ask for the following information:

- What are the different contexts in which you provide services to OVCs – is it focused on home visits; school visits; support clubs/meetings etc.
- How are the home visits carried out – individual volunteers or in teams? How many times a week do volunteers conduct home visits?
- What is the "case" load of an individual volunteer? What is the maximum number of clients that one volunteer will be responsible for?
- What is the average number of clients that one volunteer will visit?

Minimum service "package":

- Does your organization have a **documented** minimum package of services that you provide to all clients?
- Do all staff have a copy of the Standard Operating Procedures (SOPs)? How about volunteers who provide services?
- When were the SOPs developed? Have they been revised? When?
- What is the process for reviewing the SOPs? Who is responsible for reviewing and editing the SOPs?

Service Provider Capacity

Staffing:

- Do you have a staffing plan (based on needs)?
- Is there a written job description or clear selection criteria for all staff (especially volunteers)
- Is there a written contract between organization and volunteers?
- How do you distinguish between the roles and responsibilities between paid staff and volunteers?
- What kind of incentives (financial and/or non financial) do you have for volunteers (awards; materials e.g. bicycles; transportation allowance; exchange visit etc.)?
- Do you provide respite care to your volunteers?
- Do you keep a roster of all volunteers?
- Do you have meetings or other feedback sessions with volunteers? If so, how often?
- How many volunteers are supervised a member of staff?
- Have supervisors been trained on supervision skills and on palliative care/HBC?
- How many clients per individual staff/volunteers?

Training:

- Do you have a training package/curriculum/manual?
- Who trains the volunteer care providers (is it organization's staff or MOH staff?)?
- Are all staff and volunteers trained on the entire package before they start providing services?
- Do you have refresher trainings on a regular basis? How often?
- Are all care providers given a copy of the training manual and/or other reference materials?

- What educational materials are staff and volunteers provided with to use with clients and family members?
- Who is responsible for training family caregivers? Is there a formal system to train family caregivers?

Checklist of training topics: optional based on what information you have already gathered:

Referral systems and linkages for clients and families

- Do you have a referral form that you use?
- Does your organization maintain a list of service providers that clients can be referred to?
- Do the volunteers have a referral resource manual?
- How do you verify a "successful" referral? How do you know that client went for the service and that they actually received the service?
- Do you have a designated staff member who follows up on referrals?
- Do you maintain a list of clients that have referred to other services? Do clients report back to you on the referral results?
- What are the most common service/s that clients are referred to?
- Are the majority of referrals made to NGO/CBOs or to formal government clinics/ departments?
- Do you work with clients to access government endorsed/provided services for OVCs e.g. food supplements; grants etc?
- What kind of relationship do you have with district level government medical staff – is there 2-way referral from your community to the formal health system and vice versa?
- Are any of your staff and/or volunteers assisted or supervised by MOH district level medical staff? What kind of assistance and/or supervision?

Other community-level activities

- Are your staff and/or volunteers involved in stigma reduction activities within the community?
- What kinds of other community mobilization/awareness activities is your organization involved in?
- What other projects do you have in place to help PLHIV – IGA; kitchen gardening etc.

Annex 8: Sample PCAT (OVC Assessment) Results Report

Pre Award Assessment Report:

24 August 2007: Org X

Org X is an FBO ran by St Annes Catholic Mission at Karonga Boma in the Northern Region. Org X started with a program for support for OVCs but has over the period expanded to respond to the community need for palliative care and HIV prevention activities for the youth with support from CRS private funding. The proposed project focuses on scaling up the same areas.

Assessment Summary

Organizational Details

- Implementing program with 20 full time staff including 1Logistics officer, 5 field supervisors, 4 program Coordinators, 1 Training officer, 1Nurse home craft worker 1 Finance and administration manager and the rest are supportive staff

- Services are extended to communities with use of Volunteers i.e. 600 for OVC services, 104 for Palliative care and 40 PLWHA group members. Volunteer are motivated by service provision to the needy and occasionally given some chitenge cloth

- Geographical coverage is in 2 T/As in Karonga and propose to continue in the same areas but increasing in village coverage from 52- 65

- They collaborate with related Govt. departments such as DHO, Agriculture, DAC, Social Welfare, police. They have copies of govt. guidelines but do not share any reports

Training Skills

- Only one nurse is trained for Palliative care, the rest have been given some orientation to HBC, two OVC trainers have provided training for 400 volunteers and 59 have been trained by Social welfare department. None have been trained for youth program but adopt what other organizations are doing

- No refresher training has been done yet

General Questions

- Use govt. definition for OVC and community systems are used to identify clients and similar systems are used for palliative care and referrals from the health facilities

- They have a monitoring system in place

Services

OVC care and support

Major focus for Org X with children receiving at least 3 services and includes the following:

- Child protection activities such as campaigns on children's rights, encouraging birth registration and writing wills and inheritance of orphans
- Early child development through CBCC, provision of school fees, uniforms and other requisites to a few children and vocational training to a few older children
- Health care facilitated through HBC, CBCC, and referrals to health services using special referral forms
- Food and nutrition by provision of food supplements to i.e. milk and soya porridge to children below 2years, through nutrition rehabilitation center for severely malnourished children, feeds provided at CBCCs , community feeding centers, provision of food rations to child headed households and home/community gardens
- Economic support for affected households and volunteers by provision of business starter packs
- Village OVC committees are actively involved in community OVC care activities

Palliative Care services include

- Home based care by provision of basic nursing care for the sick in the community including provision of beddings whenever possible and simple home remedies to relieve pain but referrals to hospital and other services for very sick patients
- Nutrition counseling, assessment and some food and RTF support for the malnourished whenever possible. Home garden support is also provided and small scale dairy cows and livestock promotion in some villages
- Psychosocial support through PLWHA support groups is not well established yet but PLWHA are involved in palliative care and stigma reduction activities
- PLWHAs are supported with bed nets
- Pediatric HIV care and support is provided to a few children that have requested for support as this service component is not well established
- The community participates in organization of palliative care activities through the village HIV committees.

Youth Program implemented by two coordinators with help of 40 volunteers and activities include:

- Sensitization of the in and out of school youth on AB and HTC using different methods in-

cluding sport. Teachers and parents are actively involved

- This is a new component which is not well established yet

Recommendations

Org X has been implementing a comprehensive OVC program and gradually expanded to other program areas as indicated but have very limited technical capacity. The following would assist to improve quality of services provided

- Hiring of some technical staff for the three program areas i.e. OVC, HBC and BCC interventions for prevention of HIV especially the youth who are the window of hope for a future HIV free generation

- Need for capacity building through training and mentoring of staff and volunteers in the three program areas to improve quality of services provided

- Need TA to expand care and support services to include care of children living with HIV/AIDS (CLWHA)

- Need TA to facilitate formation of support groups for PLWHA and clubs for post test support to meet needs of the HIV positive to live positively and negative clients to maintain their negative status.

- Need for TA to fully establish the in and out of school youth program

- Need for technical support in maintaining service records and reports as well as sharing the information with stake holders including the related government ministries and departments such as MOH, DAC and Social welfare department

Annex 9: Sample MER-OCAT Tool

PACT MONITORING, EVALUATION AND REPORTING

Organizational Capacity Assessment Toll

This document is adapted from assessment tools developed by Pact programs in Kenya, and South Africa as part of the tool kit for assessing MER capacity for grantees as well as measuring outcomes of capacity building programs for Monitoring and Evaluation

This Version was developed by Pact SA for the Grants Management Program - Funded by the U.S. Agency for International Development under Cooperative Agreement 628-A-00-02-00012-00

MER- OCAT

DISCLAIMER:

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

NAME OF ORGANIZATION: _____

DATE OF ASSESSMENT: _____

FACILITATORS: _____

Rating scale

N/A = Not Applicable

X = Insufficient information available to assess
1 = Nothing in place needs urgent attention
2 = Needs substantial attention
3 = Needs some improvements
4 = Needs some minor adjustment but without urgency
5 = No need for improvements: system are adequately implemented & utilized

Summary Score: _____

MER CAPACITY – RATING SCALE

1 = Nascent Organization MER Capacity
2 = Emerging Organization MER Capacity
3 = Marginal Organization MER Capacity
4 = Expanding Organization MER Capacity
5 = Mature Organization MER Capacity

PERFORMANCE MONITORING, EVALUATION AND LEARNING							
1. General MER Systems							
A) Organization has general knowledge in MER systems	N/A	X	1	2	3	4	5
B) Organization has clear documentation of MER procedures (MER Plans)	N/A	X	1	2	3	4	5
C) Organization has staff skilled in MER procedures & systems	N/A	X	1	2	3	4	5
D) Organization has staff dedicated to MER	N/A	X	1	2	3	4	5
E) Organization has a budget allocation for MER in programs/projects	N/A	X	1	2	3	4	5
F) Organization sets aside time to reflect on M&E findings and learning	N/A	X	1	2	3	4	5
G) MER is built into Organization's strategic plan and program/project documents	N/A	X	1	2	3	4	5
H) Organization has program indicators representing different levels of results (input, output, outcome, impact)	N/A	X	1	2	3	4	5
I) Organization includes analysis of marginalized and vulnerable groups in the project monitoring & evaluation process	N/A	X	1	2	3	4	5
J) Program MER documents are accessible and can be easily retrieved from archives	N/A	X	1	2	3	4	5
2. Data Management Systems and Practices							
A) Organization has well defined program information needs	N/A	X	1	2	3	4	5
B) Organization routinely collects data from relevant sites/sources							
C) Organization has well defined and documented data flow process	N/A	X	1	2	3	4	5
D) Organization has established systems and tools for data collection, collation and analysis	N/A	X	1	2	3	4	5
E) The Organization's database (paper/electronic) is sufficient for current needs	N/A	X	1	2	3	4	5
F) Organization has specific tools to solicit Feedback from beneficiaries	N/A	X	1	2	3	4	5
G) Organization routinely obtains data/feedback from Beneficiaries	N/A	X	1	2	3	4	5
3. Data quality Management							
A) Organization uses data collection tools that ensure Validity & Reliability of data	N/A	X	1	2	3	4	5
B) Organization has established data verification and validation processes along the data flow cycle	N/A	X	1	2	3	4	5
C) Frequency of data analysis is adequate for the Organization's program needs							
D) Organization has a comprehensive data quality management plan							
4. Program Management and Decision Making							
A) All existing programs of the Organization have clearly defined results /logical frameworks (theory of change)	N/A	X	1	2	3	4	5
B) Organization regularly produces high quality reports on timely basis	N/A	X	1	2	3	4	5
C) Reports are shared with all key internal/external stakeholders regularly	N/A	X	1	2	3	4	5
D) Organization regularly uses information generated from M&E for decision making	N/A	X	1	2	3	4	5
E) Flexibility exists to adjust program plans as a result of M&E processes	N/A	X	1	2	3	4	5
F) Organization has a system to monitor evaluate and report on the effectiveness of their advocacy efforts	N/A	X	1	2	3	4	5
G) Organization has a system to monitor evaluate and report on the effectiveness of their network/coalition efforts	N/A	X	1	2	3	4	5
H) Organization undertakes regular and timely evaluations of the programs/projects	N/A	X	1	2	3	4	5
I) Organization uses monitoring and evaluation information to influence program/ project design	N/A	X	1	2	3	4	5

Facilitator's Comments and Recommendations for improvements

1. **General MER systems**

2. **Data Management Systems and Practices**

3. **Data Quality Management**

4. **Program Management and decision Making**

5. **Recommendations**

Annex 10: Sample MER-OCAT Results Report

Date of visit: Tuesday 3rd July, 2007

Site:
Conducted by:

I Objectives of Visit:

- To conduct a rapid monitoring, evaluation and reporting capacity assessment to be used to inform the KCSSPs planning for MER capacity building interventions
- To conduct a baseline survey using applicable KCSSP indicators
- To orient NGO X to the KCSSP quarterly reporting template and data forms

II Overview of the NGO X KCSSP funded program

NGO X is an independent, indigenous and non-partisan private, non-profit making organization established in 1994 with a mandate to conduct social science policy analysis, research and training, with the aim of improving human welfare in Kenya. The vision of NGO X is to become a national centre of excellence offering constructive policy ideas to the Government of Kenya and its development partners in order to enhance human welfare. Traditionally, NGO X has not been involved in direct advocacy, but their research materials are extensively used for advocacy.

Through Pact/KCSSP, NGO X is receiving two sub-grants – one to continue support to the USAID funded CORE program on the Public Policy Process in Kenya. Research under this project will seek to identify factors constraining effective management of public institutions and resources in Kenya. The second project is on Transparency and Participatory Budgeting in Kenya. Research under this project will seek to identify factors constraining democratic transparency and citizens' participation in state budgetary processes.

III Key findings from MER capacity assessment

a) General MER knowledge, skills and data quality

Every five years NGO X Board and staff engage in a Strategic planning process that also brings together stakeholders such as GoK, business community, donors and embassies. The current Strategic plan's theme is 'Poverty and Human Rights development.' NGO X staff use the strategic plan to develop annual plans that identify five to six key activities (or researches) to be completed within the year. NGO X has a sub-committee of board members who guide the researcher in work planning. NGO X staff also have experience using logical frameworks to plan for contracted or commissioned projects (i.e. those where NGO X is paid a fee for the service).
NGO X staff have experience with preparing progress reports to donors and board, as well as annual reports. Regular progress monitoring is also done through weekly discussions with the Executive Director (which are on an as needed basis) and Administrative updates circulated by the Administrator.

NGO X research assistants serve as team leaders on any research and a standard process *(see (b) below)* for data collection is usually followed for all researches. This 'standardization' helps with quality control for the data that is finally generated and disseminated.

NGO X has been through some external evaluations for its projects e.g. a mid term review conducted by consultants contracted by USAID and Africa Capacity Building Foundation in 2004. The evaluation reports are used in developing follow up projects or improve NGO Xs.

The Research Assistant for the KCSSP funded project has previously attended a one-day training in M&E organized by European Union for a UNESCO project in 2003. Overall, a majority of the NGO X staff have not received formal M&E training.

b.) Information and data collection processes

Data collection process: The research process has an inbuilt M&E system that allows staff and external stakeholders to review and give input during the process (e.g. through brown bag meetings) as summarized below:

- Prepare Concept note to define the research problem and describe methodology
- Collect data and analyse findings.
- Prepare draft research paper and present to staff for input. During this initial review, the researcher (or research team) is required to describe the data collection tools and methodology used e.g. which literature was reviewed.
- Prepare a second draft and send to a minimum of three external reviewers
- Prepare a third draft and share this with the NGO X Executive Director
- ED reviews prior to approving for publication
- Once approved, the Editor does the final review and sends this to the publisher.
- Dissemination of paper through workshops, wherein stakeholders' views are also collected and NGO X can thereafter prepare a policy brief that is shared with GoK and other stakeholders.

Data collection is usually done with the assistance of interns from related institutions and government departments. The data collection process followed for most researches is as follows:

- Definition of the Theoretical framework for the research (mainly done through literature review?)
- Definition of the analytical framework/model
- Definition of the data sources, sample size, data collection tools, methodology and timeframe. Data collection methods used include telephone or direct interviews and FGDs etc.

NGO X adequately budgets for data collection, analysis and reporting (including dissemination).

Due to NGO Xs deliberate focus on policy research and information dissemination, it has not been possible for the organization to track higher level results of their work (outcome and impact level). Focus has been more on measuring lower level results such as number of research papers disseminated and

number of participants. Indicators are developed per project. NGO X is however interested in finding ways to work with the users of their research to track higher level results e.g. results of successful advocacy by CSOs on the target population. In addition to GoK and donors, some of the CSOs using NGO X materials include Legal Resources Foundation, Kenya Human Right Commission and Kenya Private Sector Alliance.

Lessons learnt during the research process are usually captured during the draft paper reviews. During dissemination, NGO X also includes a questionnaire for recipients (both local and international) to provide feedback on the research paper, but response rates to these have been low. The programs Advisory Committee which meets every four months also deliberates on lessons learnt which are captured in the meeting minutes and actions from these followed up by the Administrator. NGO X is also deliberate to learn from other countries that may have undertaken similar research to further enrich its products. For example, the research paper on political [arties funding borrowed a lot from countries like US, Canada and South Africa.

Constituency legitimacy: NGO X defines its constituency as all political parties and the Kenya public in general and the GoK which is the main user of its research.

Coalitions and Networks: NGO X is not a member of any coalition, but does network with like minded institutions such as KIPPRA, Tristar University in Italy, Oxford University. NGO X has in the past partnered with private sector groupings such as the Matatu Welfare Association, Matatu Owners Association and Kenya Private Sector Alliance when conducting research on public transport in 2005.

Effectiveness of advocacy and watchdogging efforts: NGO X has not been directly involved in advocacy and has therefore not instituted any processes for measuring effectiveness.

c) Recommendations

- NGO X staff to go through the KCSSP Advocacy MER Module 1 training to build capacity in system and tools development
- NGO X to develop an M&E plan for the current project and apply lessons learnt. The M&E plan will help to refine project indicators and develop indicator protocols
- NGO X to develop a process for tracking higher level results in collaboration with users of its research papers
- Develop a database and identify a data analyst to support the data entry process.
- NGO X to institute an appropriate back up system for all the data as currently many of the staff save only on their computers
- Build capacity of the media to accurately report on policy findings.
- Review and improve methodology and tools currently in use to collect feedback.
- Institutionalize a process for annual lesson learning and documentation

Annex 11: Sample Subgrant Pre-Award Assessment Tool

SUB-GRANT PREAWARD ASSESSMENT TOOL

Name of Organization:	
Type of Organization:	
Date of Assessment:	
Conducted By:	

Summary of Assessment & Recommended Follow-up Action:

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G. TECHNICAL CAPACITY

H. EXTERNAL RELATIONS & ADVOCACY

Documents requested from organization prior to visit:

1. A copy of the organization's certificate of registration, incorporation or an equivalent document granting legal status to do business.
2. A copy of the organization's bylaws.
3. A copy of the most recent annual report, or some other document(s), which includes: (a) mission statement, (b) list of current Board of Directors, and (c) key personnel.
4. A list of individuals authorized to sign on behalf of the organization.
5. A copy of the organization's latest audited or prepared Financial Statements.
6. Minimum of two reference letters. If organization has received prior donor funding, reference letters must come from the donor organization.

A. ACCOUNTING PROCEDURES

No.	Topic	Comments
1	**General System**	
a.	There is a written policy on accounting. It is objectively reasonable and universally applied	
b.	"Cash" or "Accrual" system is defined and applied on a consistent basis	
2	**Receipts and Handling of Cash**	
a.	Grants received, but not yet spent for the purposes for which they were given, are carried forward as restricted funds	
b.	Procedures and responsibilities are clearly defined. For example, only the cashier is authorized to receive cash	
c.	Pre-numbered receipts bearing the name of the organization are issued for all cash receipts	
d.	Unused receipt books and voided receipts are kept properly secured and there are proper procedures as regards their issue	
e.	All cash received is recorded immediately and promptly deposited in the bank	
f.	There are adequate security arrangements as regards custody and transit of cash	
3	**Recording**	
a.	All payments are supported by payment vouchers	
b.	Vouchers are properly supported by adequate documentation and explanations This documentation may include: local purchase order, quotations, invoices, receipts, correspondence, proof of delivery	
c.	Vouchers together with supporting documentation are filed in the order in which they are entered in the cash book and can be readily found	
d.	Documents are properly approved for payment and cancelled (ie. stamped PAID) upon payment	
e.	Payments are properly allocated to the correct project	
f.	All bank accounts are in the name of the organization	
g.	All bank accounts are included in the accounts of the organization	
h.	There is proper control over use and safekeeping of checks	

i.	All checks or funds transfers are signed jointly by two of at least three signatories (one check signatory is someone other than the person who has authorized payment)	
j.	No checks are signed in blank	
4	**Bank Accounts**	
a.	Are you willing to open up a separate bank account for sub-grant funds received from Pact?	
b.	The details of each check payment are recorded on the check counterfoil (or check stub)	
c.	Bank reconciliations are prepared	
d.	Bank reconciliations are prepared on a regular basis for example, at the end of each month.	
e.	Bank reconciliations are checked and approved by someone other than the one who prepared the reconciliation	
f.	Outstanding items on bank reconciliations are followed up promptly and out of date items written off	
g.	There are adequate controls as regards signing of checks. For instance, above a certain threshold, more than one signatory is required.	
h.	If bank accounts are maintained in both USD and local currency, are USD amounts converted to local currency in accordance with the country's legal requirements, and adequately supported?	
5	**Cash Book(s)**	
a.	Cash book(s) are kept for all cash and bank transactions	
b.	All entries are made in ink	
c.	The cash book is written up to date	
d.	Cash book additions and cross additions are correct	
6	**Petty Cash Records**	
a.	Petty cash counts are carried out at intervals, two people being present (including the petty cashier), and the cash balance agreed to records	
b.	There are no "IOU's", or similar payments entered in the petty cash book Note: These may come to light when the cash reconciliation is controlled by a person other than the petty cashier.	
c.	The petty cash impress (float) is established at a reasonable level	

d.	Petty cash expenses are supported by adequate documentation	
e.	The petty cash book is checked when the cash float is replenished	
f.	Petty cash is properly secured in a cash box with limited access to unauthorized personnel	
7	**Ledger**	
a.	Postings of amounts from the cash book(s) to the accounts in the ledger are kept up to date	
b.	Are any reports generated periodically from the ledger for review by management?	
c.	An up to date Chart of Accounts together with account reference numbers is available	
d.	The authorization of the executive director (or equivalent position) is required when it is proposed to open new accounts or close old ones	
e.	Opening balances agree with prior year end balances. Additions and postings to individual ledger accounts are correct	
f.	Are funds from different donors tracked separately?	
g.	If an automated accounting system is in use, is there a mechanism in place to ensure that the accounts cannot be manipulated after period closure?	
8	**Journal**	
a.	Transfers between one ledger account and another are recorded in a journal which shows the reason for the transfer and supporting documentation is attached as appropriate	
b.	All journal entries are authorized by the Finance Director	
9	**Trial Balance**	
a.	A trial balance is prepared within a reasonable time at the end of each month	
b.	The trial balance accurately lists all account balances	
c.	The trial balance is mathematically correct and the debits balance with the credits	
d.	The trial balance agrees with the figures on the monthly financial report	

10	**Payroll and Salary**	
a.	Adequate payroll records are kept, are accurate and negotiated salaries and increments are the basis for payment	
b.	There are adequate procedures to ensure that pay is correctly calculated, adjustments being made where appropriate for unpaid leave, overtime, etc.	
c.	The payroll is reviewed, authorized and countersigned by the Finance Director	
d.	Time sheets are completed by all employees, and are countersigned by an immediate supervisor. Payments are correctly charged to cost centers based on the time sheets	
e.	Someone other than the person who prepares the payroll is responsible for paying out wages to employees	
f.	Employees are required to sign for their pay	
g.	In an accrual based accounting system, are payroll accruals properly recorded and tracked?	
h.	All payroll taxes and other deductions are properly calculated in accordance with local regulations	
i.	Payroll taxes and other withholdings are paid over to relevant government departments on time	

B. INTERNAL CONTROLS

No.	Topic	Comments
1	**Approval Controls**	
a.	Specific transactions are approved by persons having the authority to do so in accordance with established policies and procedures	
b.	Key records are matched before a transaction is approved (matching purchase order, receiving report and vendor invoice before the invoice is approved for payment)	
2	**Segregation of Duties**	
a.	The individual responsible for the cash receipts function does not prepare checks, sign checks or reconcile the bank accounts, and is not responsible for non-cash accounting records such as accounts receivable, the general ledger or the general journal	
b.	The person receiving cash does not have the authority to sign checks and reconcile bank accounts and does not have access to accounting records other than cash receipts	
c.	Different individuals are responsible for purchasing merchandise or services, receiving merchandise or services and approving vouchers	
3	**Design and Use of Records**	
a.	Key pre‐numbered forms are used to record all of an organization's transactions, and accountability is maintained for the sequence of all numbers used	
b.	Receiving reports, inspection documents, etc. are matched with billing notices or other documents used to record delivered orders and related liabilities to provide assurance that only valid transactions are recorded	
c.	Transaction documents, such as vendor invoices and shipping documents, are date stamped and tracked to ensure that they are recorded on a timely basis	

d.	Source documents are stamped "PAID" after processing to provide assurance that the same documents will not be reused and will not result in recording transactions more than once. Also, only original documents are used to process transactions	
e.	Voided documents are not to be shredded or destroyed but are retained as support documentation	
4	**Safeguards over assets and records**	
a.	Cash receipt totals are recorded before cash is transmitted for deposit	
b.	Secured facilities are used when appropriate, and access to critical forms and equipment is limited to authorized personnel	
c.	Procedures are established to provide reasonable assurance that current files can be recovered in the event of a computer failure	
5	**Independence checks**	
a.	Extensions, additions and accounting classifications are independently reviewed	
b.	Assets on hand are periodically inspected and counted, and the results are compared with asset records	
c.	Management reviews and acts upon performance (finance, program, audit or other) reports	
d	Actual operating results are compared with approved budgets, and variances are explained	

C. BUDGETING, REPORTING, AUDITING

No.	Topic	Comments
1	**Budgeting and Reporting**	
a.	What is the ending date of your fiscal year? ___/___/___ (MM/DD/YY)	
b.	Does the organization prepare annual financial statements (Balance Sheet / Income and Expense Statement)?	
c.	Long-term and annual financial projections for the organization are prepared	
d.	Budget approval authority is described in policy documents	
e.	Grant/Contract conditions are communicated to all interested parties	
f.	Cash flow (Income/Expense) is integral to financial plan	
g.	Monthly financial statements are compared to approved budget and material variances are addressed	
h.	Policy and practice provide evidence that financial reports are:	
i.)	Summarized monthly	
ii)	Tie directly to established set of accounting records	
iii)	Communicated with key management staff within reasonable time	
i.	Summarized accounts are distributed to interested parties	
2	**AUDITING**	
a.	Has the organization ever been audited in accordance with OMB Circular A-133 guidelines for USG Funds? Will it be required if applicant receives a grant from Pact?	
b.	An independent professional audit of the annual accounts is arranged each year? If yes please provide the name, address, phone number and contact person of the organization's accounting firm.	

c.	Independent audit contract(s) are clear in scope/ program and authority	
d.	Independent auditors are licensed to perform audits	
e.	Audit findings are addressed as standard practice	
f.	Project auditors are properly independent of the functions which they are auditing	
g.	Project auditors visit project/end‑use sites on a test basis	
h.	Project audit reports are issued within a reasonable time following each project audit (e.g. 1 month)	
i.	Project audit reports are adequately followed up. A separate file is maintained for each project audit performed	
j.	Audit staff are not involved in project management or in maintaining the organization's books of accounts	
k.	The management committee and governing body consider the report and recommendations of the auditor at the meeting when the annual accounts are discussed	
l.	Recommendations from previous audit reports are followed up	
3	**COST SHARE/MATCH**	
a.	Does the company have experience in cost sharing?	
b.	Are the cost share sources included in the proposed budget reasonable.	

D. POLICY ENVIRONMENT

No.	Topic	Comments
1	**ETHICS**	
a.	There is a written employment policy. It is objectively reasonable and universally applied	
b.	Policy and practice demonstrate attention to prohibition of nepotism or favoritism through processes of:	
i)	Employment of new staff	
ii)	Review of staff performance with a view to promotion or increase in salary	
iii)	Dismissal of staff for whatever reason	
c.	Policy and practice dictate that employees are not permitted to hold office or positions in other companies or bodies with which the organization has contractual relationships. Disclosure of potential "conflict of interest" is documented.	
d.	Policy prohibits absolutely any illegal dealings on behalf of itself or other parties	
e.	There is no evidence of instances of misuse of the assets of the organization by employees	
f.	There is no evidence of instances of employees being involved in their own private enterprise during office hours	
g.	Policy encourages staff, through clear and confidential mechanisms, to report any practices or deals which do not conform to generally accepted ethical standards	
h.	Policy as well as general constitution, both written and unwritten, encourage high moral thinking and conduct	
2	**ORGANIZATIONAL POLICY**	
a.	Documented policies establish events and/or transactions that the organization is authorized to engage in, in accordance with law, regulation or management policy	
b.	The organization has an environmental policy	

3	**PERSONNEL POLICY & MANAGEMENT**	
a.	Organization has sufficient staff with appropriate skills and experience to implement the program proposed or can demonstrate ability to recruit and bring on staff without impacting program timelines.	
b.	Workforce appears stable and it is not anticipated that the project will be impacted by high staff turn-over.	
c.	The organization has a written personnel policy and procedures manual	
d.	The personnel policies are followed and apply to all staff.	
e.	The management has a list of all staff employed, their designations and remuneration levels	
f.	The organization has written recruitment procedures and they are applied to all positions being hired.	
g.	Each new employee is interviewed before s/he is employed	
h.	References are required, followed up and documented.	
i.	A Contract of Employment in writing is prepared for each employee (before commencing employment), and signed by both Employer and Employee	
j.	Written Job Descriptions are prepared for each employee, showing what each person is expected to do, when it should be done and to whom they are accountable	
k.	A personal file is kept for each employee, with details of salary and other personal matters	
l.	Salary rates (and any changes to these) are authorized by the highest governing body and the details recorded in the minute book	

m.	The organization has written internal regulations covering such matters as hours of work, holidays, sick leave, discipline, dismissal, etc.	
n.	An organizational chart exists and the list of board of directors is available	
o.	Employees know with whom they can discuss any work or personal problems	
p.	Adequate and appropriate financial provision is made for pensions and /or gratuities for retiring employees	
4	**TRAVEL & TRANSPORT POLICY & MANAGEMENT**	
a.	The organization has a written travel policy and applies it on a consistent basis	
b.	Travel cost reimbursement for staff, both domestic as well as regional/international is clear in policy and practice	
c.	Mechanisms exists for reporting and liquidating travel expenses	
d.	If vehicles exist:	
i)	A vehicle register is maintained, showing cost, date of purchase and estimated date of replacement	
ii)	Vehicles are garaged in a safe place	
e.	The use of vehicles is properly controlled:	
i)	use is limited to the business of the project	
ii)	use is limited to employees of the project	
iii)	the users of vehicles maintain the vehicle log book, showing date, journey details, kilometers at start and end	
iv)	users report any vehicle faults to the manager	
v)	There are no circumstances when project vehicles are used for unauthorized private purposes by staff or other persons	
vi)	If the answer to the previous question is "NO", the circumstances and conditions of authorized private usage are clearly indicated in the office regulations	

f.	The purchase of petrol is properly controlled:	
i)	purchases are made only by authorized persons, from authorized suppliers	
ii)	a record is kept each time fuel is purchased	
iii)	a control is kept of fuel consumption for each vehicle	
5	**PROPERTY POLICY & MANAGEMENT**	
a.	The organization has suitable premises to accommodate the staff and to carry out its activities	
b.	If the organization owns land or buildings: the title deeds are legally registered, and kept in a secure place	
c.	Leases (tenant agreements) have been prepared for all property rented to or from the organization	
d.	Someone has been nominated as responsible for the proper maintenance of all property	
e.	Adequate insurance has been taken out against fire, burglary, public liability, etc.	
f.	Records are kept of agreements with persons using premises owned by the organization, including rent payable, etc.	
g.	An up to date fixed assets register is maintained	
h.	The fixed assets inventory is complete and regularly checked by management	
i.	The fixed assets listed actually exist	
j.	Additions and disposals of assets are authorized and properly recorded in the accounts	
k.	There is adequate insurance coverage for all assets	
l.	Assets are kept in suitable and secure locations	
m.	Donated assets are properly valued and recorded	
n.	Assets are properly marked and labeled	

6	**PROCUREMENT POLICY**	
a.	The organization has a written procurement policy and procedures manual	
b.	The policies are followed for every transaction and apply to all staff.	
c.	All procurement is authorized with different authorization levels for different thresholds	
d.	All procurement is supported with adequate documentation including quotations, requisition notes, purchase orders	
e.	A competitive solicitation process is practiced and justification for selection of vendor documented	
f.	Suitable records are maintained showing amounts due to suppliers	
g.	These records are regularly reconciled to statements and accounts received from the suppliers	
7	**SUB-GRANT MANAGEMENT**	
a.	Does the organization have a system that can manage a grant?	
8	**PROJECT MANAGEMENT**	
a.	Does the organization have a system that can track funds received and used by project?	
b.	Does the organization report to donors (if any) on time?	

E. PRIOR USG FUNDING

No.	Topic	Comments
a.	Is the organization generally familiar with the existing regulations and guidelines containing the cost principles and procedures for the determination and allowance of costs in connection with U.S. Federally funded projects (OMB Circular A-122 for non-profit organizations; OMB Circular A-128 for institutions of higher learning; FAR 31.2 for for-profit organizations)?	
b.	Is the organization receiving any USG funding directly from a U.S. Government agency or through another organization, during the current fiscal year? If yes, how much and when?	
c.	The anticipated award is XX% of the organization's current annual budget	
d.	Has the organization received other donor funding (EU, ADB, etc.) If yes, how much and when?	

F. USG REQUIRED DUE DILIGENCE

No.	Topic	Comments
a.	Organization and key personnel do not appear on the "List of Parties Excluded from Participation in Federal Programs" http://www.epls.gov/	
b.	Organization does not appear on the OFAC "SDN" (Specially Designated Nationals) list (www.ustreas.gov/ofac). or http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf,	
c.	Organization does not appear on the UN Terrorist List: http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm	
d.		

G. TECHNICAL CAPACITY

No.	Topic	Comments
a.	Proposed program fits within the organization's mission and vision	
b.	Organization has plans and strategies to ensure continuity of programs and operations.	
c.	Beneficiaries participate in planning, implementation and evaluation of the program.	
d.	Organization has infrastructure/facilities to implement the program and its size and structure is appropriate to implementing the program	
e.	Organization can demonstrate the ability to obtain resources in a realistic time frame to meet established timelines	
f.	Organization performs regular monitoring and evaluation of programs	
g.	Organization has previous experience in implementing the type of program proposed either supported by past performance references or institutional knowledge of Pact	
h.	Organization has a quality assurance system that supports delivery of products and services of consistent quality and content	
i.	Implementation plan demonstrates relevance to the beneficiaries and includes an exit strategy	
j.	Organization has clear systematic processes to capture lessons learned, build on program excellence and assure relevance to beneficiaries.	
k.	Geographic nature of the program fits within current mandate.	
l.	Organization can provide past performance references including donor, contact name, title, telephone/fax/email address	
m.	Demonstrated track record of timely, current reporting.	
n.	The organization routinely reviews its overall performance as demonstrated by monitoring reports and evaluations of past projects.	

H. EXTERNAL RELATIONS & ADVOCACY

No.	Topic	Comments
a.	Organization has coalitions or partnerships with other organizations located in the region for reasons of program implementation.	
b.	Organization networks and shares information with other similar groups, as appropriate.	
c.	The organization's donors attest to its credibility.	

Methodology:

1. **The assessor should avoid being "intrusive" during the exercise. Being sensitive to the organization during the exercise is as important as completing the job.**
2. **Much of the questionnaire should be completed before the face to face interview which is used to clarify and validate findings.**
3. **Examples of documents that can be reviewed before a face to face interview include, but are not restricted to, audit reports, organizational policies and procedures, constitution and by-laws, board meeting minutes, previous years' annual reports.**
4. **Other documents that can be reviewed during the visit are personnel records, accounting records, files containing supporting documentation, inventory register, petty cash records, staff meeting minutes**

This tool has been designed by Pact Worldwide staff and incorporates elements from the following two publications:

1. "Assertions taken from "Management Controls for Development Organizations" by Richard Collins. Copyright ~ 1994 by Stephen Sims & Partners. Used by permission."

and

2. USAID General Notice, M/MPI and M/OP, 08/06/1999

Annex 12: Capacity Assessment Framework

Visioning and Planning	Outreach and Support	Multisectoral HIV/AIDS Service Delivery	Financial Management Systems	Equipment and Infra-Structure	Information Management Systems	Lobbying and Advocacy	Leadership and Change	Monitoring and Evaluation	Human Resource Management and Development	Resource Mobilization	Networking
• Passion for vision/ mission • Clear vision and mission • Strategic planning skills • Innovation in multisectoral response	• Quality outreach programs • Community support and involvement • Spiritual support (FBOs) • Decentralized service provision • Bringing services as close to beneficiaries as possible	• Basic knowledge of HIV/AIDS issues • Ability to communicate HIV/AIDS impact • Building skills of beneficiaries • Mobilizing across sectors • Skills in using methodologies for participation • Monitoring and observational skills	• Transparency in financial management • Strong accounting system in place • Budgeting skills, Record keeping (skills)	• Equipment for effective running of the programs • Maintenance of infrastructure development • Means for mobility to reach out • Monitoring of equipment	• Information management skills • Documentation of activities • System for storing data	• Skills to lobby government • Understanding of traditional leadership structure • Understanding the culture of targeted community • Ability to create an environment for change	• Leaders inspire • Grooming others for leadership position • Effective Board • Willingness to adapt to change	• Monitoring and evaluation skills • Baseline data on stake holders • Skills to conduct needs assessments	• Team work • Unity and cooperation among organization members • Good management • Good staff recruitment • Skills/ knowledge shared among members • Motivation • Routine training of staff and volunteers • Qualified personnel to manage programs	• Fundraising strategy in place • Proposal writing skills • Knowledge of donors • Donor regulation skills	• Strong partnerships • Networking skills • Strengthened networking among stakeholders

Annex 13: Discussion Activities for OCA

Bull's eye

Used to assess how closely the organization is meeting its targets or how well it is performing in a given area or topic. Typically used for vision, mission, planning, service delivery/impact.

Prepare a flipchart with a bull's-eye (small circles surrounded by larger and larger circles).

Lead participants through a series of discussion questions. Begin by asking "O"-level questions to set the context and basis for the topic. You may also want to ask an "R"-level question to elicit participant's feelings or reactions related to the topic. For "I"-level questions, ask the participants to evaluate how closely they are "hitting the target" in terms of their performance related to the topic by placing dots on the bull's eye (the closer to the center, the better the performance). Dots can be made either by using markers or by using sticker-dots. To bolster anonymity, ask all participants to approach the bulls-eye and place their marks at the same time. To evaluate more than one performance area, use a different color dot or, if using markers, ask participants to make and X the first time and an O the second time.

Examples:

a) What are the top strategic priorities that you have set over the past 12 months?
b) To what extent have you achieved your strategic objectives? (*Mark on the bull's-eye)*
c) What constraints have you faced (human, financial etc.) while trying to meet your strategic objectives?

a) What is the mission and vision of the organization?
b)How did you learn the mission/vision?
c)How often is the organization's mission statement reviewed?
d) How closely does the mission and vision guide day-to-day activities? *Mark on bull's-eye using a red sticker.*
e) To what extent do staff members have the capacity to communicate the mission and vision to partners and stakeholders? *Mark on bull's-eye using a black sticker.*

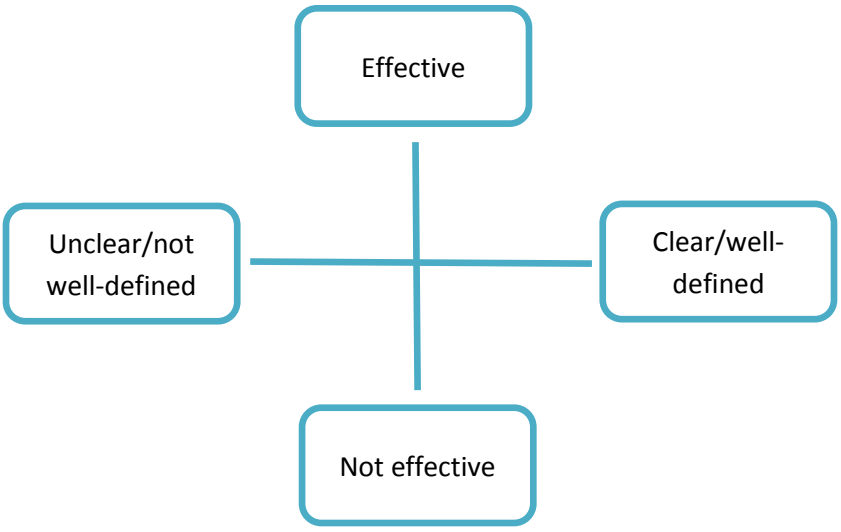
a) How do you go about assessing your clients' needs?

b) To what degree do your projects/services meet client needs? *(Participants mark on bull's-eye, with center representing the ideal for each services/project – use different colors for each project being evaluated)*.
c) How do you determine client satisfaction with your services? How do you determine impact?
d) To what extent are your projects/services having the intended impact? *(Participants mark on bull's-eye using an X)*

Evaluation Matrix

Used to assess performance using two dimensions. Can be used for discussing policies and procedures in which case the two dimensions might be clearly defined and understood vs. efficient. Might also be used to discuss strategies, in which case the dimensions might be clear and documented vs. successful and contributes to our mission.

Examples:

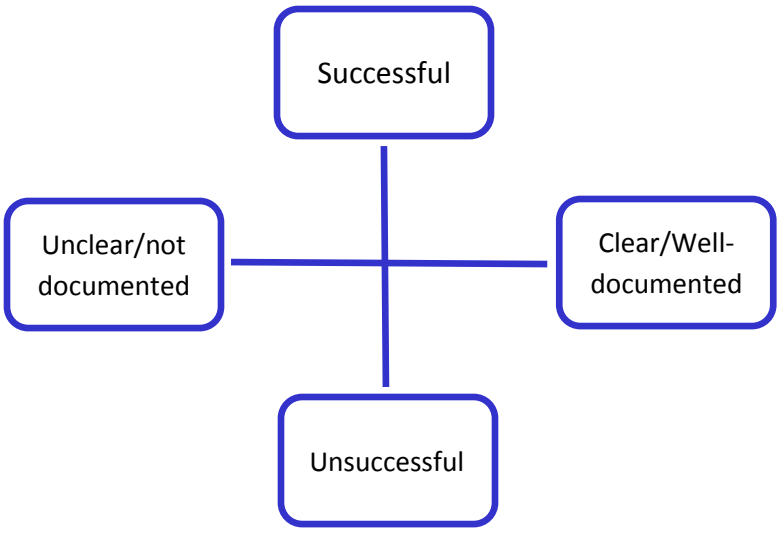


Lead participants through the following discussion questions, mapping their responses on a flipchart using the following matrix:

a) What is your organization's structure? To what extent is your organizational structure clearly defined and understood? To what extent is it effective in supporting your strategic objectives?

b) Give some examples of administrative policies and procedures. To what extent are your administrative rules and regulations clearly defined and understood? To what extent are they effective?

c) Describe your organization's governance structure/system. What is/are the governing body's primary responsibilities? To what extent is your governance structure clearly defined and understood? To what extent is it effective?



Lead participants through the following discussion questions, mapping their responses on a flipchart using the following matrix:

a) Do you have a strategy for generating resources from the general public? To what extent is your strategy clearly defined and documented? To what extent has it been successful? (Place mark on matrix.)

b) Do you have a strategy for generating resources from the business sector? To what extent is your strategy clearly defined and documented? To what extent has it been successful? (Place mark on matrix.)

c) Do you have a strategy for generating resources from international organizations? To what extent is your strategy clearly defined and documented? To what extent has it been successful? (Place mark on matrix.)

d) Do you have a defined strategy for generating income internally (e.g., through charging fees)? To what extent is your strategy for generating income clearly defined and documented? To what extent has it been successful? (Place mark on matrix.)

e) What are the biggest challenges you have faced in fundraising?

f) Looking at the overall matrix, what trends that you see?

Expert Consultant Role Play

Used to elicit best practices from participants and assess their actual performance against these ideal practices.

Examples:

Finance

a) Imagine that you are a consulting team that has been commissioned by the Coordinating Council for all Interfaith Networks nationally. Your assignment is to design and implement a financial management system that will serve as the prototype for all Interfaith Network

organizations all over the country. What would the key components of the system be? (Write answers on flipchart. Be sure to push the group to consider internal controls; budgeting processes; projections; audits; efficiency, transparency and accountability; procurement; maintenance and other concepts included in the indicators for this section.)

b) Now let's step out of the role play and get you to think about the reality of your own organization's financial management system. What are some of the key components of your financial management system? Which of these "ideal" areas that you identified in the role-play are actually in place/in practice in your organization? (Highlight where there are differences in what they COULD be doing and what they have ACTUALLY done over the last 12 months. Put a mark next to each of the areas being used. Discuss how budgets and reports are used, how efficiently systems are working, any feedback regarding accountability they may have received over the year)

c) If you were going to focus your energy for the next six months on one of these areas, which would it be? Why?

Information Management

a)Tell the group to imagine that they have been hired as a consulting team to design an information management system for another organization exactly like their own.

b) Ask the group to write (silently for 30 seconds) the elements of an ideal information management system. Have them consider both "process" and "technology".

c) Have participants share their work. Clarify comments and list up to 8 ideas on cards (3-5 words maximum). (If group hasn't mentioned anything about information management as it relates to clients, encourage them to do so here.)

d) Ask 1-3 volunteers to assemble the cards in an ideal "system".

e) Ask the group to assess each of the components of the ideal system as it relates to their *own* information management systems.

f) With a second set of cards, build a model of the current information system. Color in the cards to indicate instances where system components are complete or sub-optimal.

g) Look at the two representations on the wall and discuss the strengths and challenges you face managing information.

Bean Mapping

Used to assess performance in an area with multiple subcomponents. Often used for service delivery/ programs and projects.

Example:

For the capacity area of service delivery, with indicators related to quality service delivery; beneficiary participation; monitoring and evaluation.

a) Create three separate flip charts with the following written: quality service delivery; bene-

ficiary participation; monitoring and evaluation and lay in a circle or line on the floor. Place a single large pile of beans in the center.

b) Ask the group to share some specific examples from the last year of quality service delivery within their current programs. Share examples of beneficiary participation. Share examples of monitoring and evaluation.

c) Tell participants that they will be working together at the same time, but without speaking. Ask participants to redistribute the beans in piles on the three signs according to where they feel their organizational strengths lie. (For example, three equally distributed piles would suggest that the organization is equally skilled in the three areas. A participant who places all beans in one pile would be suggesting that all of the organization's capacity lies in one of the three areas.) Clarify that this is not a "vote" but a silent conversation and that it is OK for participants to move all beans, even after another participant moves them. It may be helpful to give a short demonstration.

d) Watch the group closely as they work, notice any debates or patterns. As soon as you notice that the "conversation" is either winding down or reached a deadlock, ask the group to stop and stand back. Then ask follow up questions about the debates or patterns you noticed. Ask about instances where there was a lot of movement between topics, or where there are particularly high or low numbers of beans. Ask participants to explain their reasoning. Be sure to have enough participants comment so that all perspectives are given.

Brainstorm Chain

Used to generate ideas and catalyze discussion around topic areas that may be sensitive while protecting participant anonymity. Often used for human resources, management practices, governance and leadership.

Example:

For the capacity area of human resource management with indicators focused on staff recruitment, staff development/training, volunteers, supervision/management systems, and work environments.

Distribute a sheet with brainstorm squares to each participant. The sheet should have three columns and as many rows as aspects you want to discuss (in this case, there are 6).

a) Ask, "What are 3 words you would use to describe staff recruitment processes in your org?" Participants write one word/phrase per box, filling in the top row only. Ask participants to turn their paper upside down, then pass around to their right until the facilitator says "stop!" (facilitator should ensure participants don't end up with their same paper)

b) Ask, "What are 3 words you would use to describe volunteer management processes in your org?" (Participants write in 2nd row and pass to right until facilitator says "stop!")

c) Ask, "What 3 words would you use to describe staff development/training in your organization? (Participants write in 3rd row and pass to right until facilitator says "stop!")

d) Ask, "What words would you use to describe supervision practices? (Continue with row 4, and then pass to right until facilitator says "stop!")

e) Ask, "What words would you use to describe decision-making? (Continue with row 5, and then pass to right until facilitator says "stop!")

f) Ask, "What words would you use to describe the overall work environment? (Continue with row 6 then pass to right until facilitator says "stop!")

Ask participants to share some of the comments for each row. Are the responses similar or very different? Can anyone give examples to support certain descriptions?

Ask and have participants discuss "Any surprises? Any areas where you would want to invest some energy and attention in the coming months?"

Radar Mapping

Typically used to assess an organization's partnerships, alliances, relationships and/or outreach strategies.

Example:
For the capacity area of external relations.

Draw a circle on a flipchart and divide into five "slices". Beside each slice, write the labels: government, business sector, national NGOs, international NGOs, civic groups)

Lead participants through the following discussion questions:

a) What are some of the key government agencies you have worked with (received funding, conducted projects/activities, collaborated closely) over the last 6 months? *Write on edge of radar map.* What are the key businesses? Local/national NGOs? International NGOs? Relevant civic groups? *Write all on map.*

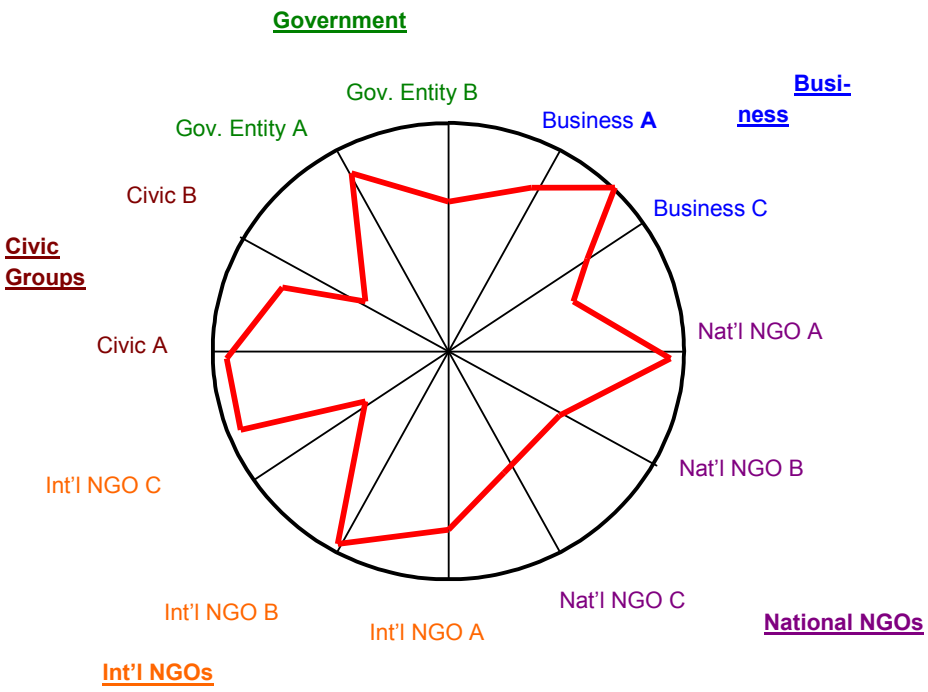
b) How productive has your relationship with each of these entities been (in supporting your mission or program objectives)? *Map out for each entity mentioned.*

c) Considering the categories mentioned, to what extent do you have a defined strategy for outreach to these groups? What is your usual approach to reaching out to these groups?

d) To what extent do you have the appropriate resources (right skills, sufficient funds, enough staff) needed for outreach to these groups?

e) Ask participants to look at the map. What do they notice? Any surprises? Where have their outreach/partnering efforts been most effective? Least effective?

When complete, the radar map should look something like this:



Structure or Process Mapping

Used to catalyze discussion in order to assess the effectiveness of a structure or process within the organization. Most often used for mapping organizational structure.

Example:

a) Place two blank flipcharts on opposite walls. Ask for two volunteers. Each volunteer should take a marker and stand in front of a flipchart with their back to the other volunteer.

b) Ask both volunteers to, at the same time, draw the organizational structure/organigram of the organization. The rest of the participants observe silently. When the participants have either finished or drawn as much as they know, ask them to sit down.

c) Ask participants to look at the two drawings. What do they notice? Are there differences? What corrections need to be made? Was it easy or hard to make the drawing? Why? Is the organizational structure clear? Are relationships and lines of reporting clear and do people follow them? Are roles and responsibilities clear? To what extent do staff have clear job descriptions or terms of reference?

d) Are volunteers included in the organizational structure? What about board members or governance? To what extent are the roles of volunteers/board clear and understood?

Color-coded Voting

Used to assess performance in an area with multiple subcomponents or aspects. Can be used for service delivery/programs and projects, communication and information sharing, etc.

Example:

For the capacity area of Internal Communications/Information and Knowledge Networking.

On a sheet of flipchart paper, write the following in large letters down one column: collecting and analyzing information, documenting experiences and programs, sharing information inside the organization, sharing information outside the organization, teamwork, learning from other organizations. Draw an empty column to the right.

a) Distribute red, yellow and green dots to each participant.

b) Ask participants "What are some examples of each of the items listed on the flipchart paper?"

c) What mechanisms/systems do we have in place to support and encourage information collection and exchange among staff/volunteers? With other organizations?

d) Ask participants to "vote" on performance for each of the items by placing a dot on each item. (red=needs improvement, yellow=satisfactory, green=excellent)

Lead reflection on the results of this activity. How are the colors distributed? Is there a lot of consensus or disagreement? Ask participants to give examples or theories to explain the results. Ask where the participants think they need to invest more effort to improve.

Group Headlines

This technique is useful in helping participants synthesize or summarize broad or more abstract issues.

Example:

From the program area of a tool for microfinance organizations

a) Ask the group to silently reflect on administrative and programmatic changes that have occurred over the last 12 months. *(Encourage group to consider programmatic changes that focus on client-level impact).*

b) Have three volunteers summarize these changes by offering a "headline" that best describes the overall change environment. The headlines should be modeled around the style and tone of local newspapers.

c) Introduce and define the principles of program *contraction, consolidation* and *expansion*.

d) What examples of program *contraction* did you experience over the last 12 months? How did you cope with these changes?

e) What examples of program *consolidation* did you experience over the last 12 months? How did

you cope with these changes?

f) What examples of program *expansion and growth* did you experience over the last 12 months? How did you cope with these changes? How has this growth impacted clients?

Voting Beans

This technique supports the ORID framework by giving individuals who do not verbally respond to a question the opportunity to express their views and level of agreement. It helps the facilitator to quickly gauge consensus.

Example:

From the area of financial management.

Hand out ten "voting" beans to each participant. Participants will represent their level of agreement (more beans) continuously throughout the discussion by pushing beans into the center of the table.

a) Over the last 12 months, what instances can you identify when you have modified program expenditures based on financial reports?

b) In each of these instances how effective have your accounting procedures been at keeping your accounts in balance? (Participants discuss and push beans to middle of table if they agree with the direction of the discussion).

c) How accurate have your projections been?

d) How effective have your cash management systems been at minimizing the risk of loss?

e) Do periodic internal audits help you improve your FM systems?

The facilitator can ask follow up questions of individuals as appropriate to explore areas of high consensus or disagreement. Be careful of putting participants on the spot – they should not feel trapped or attacked.

Card Ranking

This ranking exercise is helpful in getting a group to identify and discuss relative strengths and weaknesses in performance in a particular capacity area. Can be used for a variety of topics, including communications, information management, program design/delivery, etc.

Example:

For the capacity area of Information Sharing.

Prior to the exercise, write the following on 4 separate cards: collection and analysis of program data; documentation of program activities; maintenance of program database; and information sharing with stakeholders. Four cards with the underlined phrases below should be placed on wall so all participants can see them clearly.

a) What are some examples of ways in which your organization has collected and/or analyzed data over the past year?

b) What are some examples of ways in which your organization has documented program activities or lessons learned over the past year?

c) What are some examples of ways in which your organization has maintained a program-related information bank or database over the past year?

d) What are some examples of ways in which your organization has shared information with stakeholders over the past year?

e) Ask for a volunteer to come up to the wall and rank these four cards based on the organization's performance in these areas. (The card at the top of the list should represent the greatest strength and the card at the bottom the greatest challenge.)

f) After the volunteer has ranked cards ask the following: Why did you put the cards in this particular order?

g) Have other individuals in the room had *similar* experiences with information management? Please explain. Have other individuals in the room had *different* experiences with information management? Please explain.

As a variation you could ask more than one volunteer to rank the cards and explore differences and similarities. With a large group you could divide into smaller teams and each team rank the cards and explain their reasoning to the larger group.

Cardifacts

A variation of card ranking, this technique incorporates another layer of analysis at the individual level before moving into the ranking. It also includes an opportunity for individuals to summarize ideas at the end of the exercise. This variation, while somewhat more time consuming, is useful for groups in which full and balanced participation is a challenge.

Example:

From the Services area of a tool for microfinance organizations.

a) Handout a paper listing several critical factors that influence good savings and credit design: Pricing of services; participation; monitoring; client selection; delivering technical assistance; accountability; client-focused services.

b) Ask each participant to place a (+) mark next to the factor they think their branch office performs best. Have them place a (-) next to the factor where they believe they are weakest.

c) Have one volunteer come up and rank each of the 7 factors by moving the discussion session materials on the wall.

d) Discuss the ranking and clarify ideas in the order depicted on the wall.

e) Ask one person from group to describe how the branch office operationalizes each design factor in 30 seconds or less (Use Timer). (You can choose several different participants for this exercise.)

Annex 14: Example Participant Guided OCA Tool

Pact Namibia: Organizational Capacity Assessment

Civil Society Organizations Responding to HIV/AIDS

Statements of Excellence	Performance	Most Important
Capacity Area 1: Purpose and Planning		

Discussion Activity: Bullseye

Materials: sticky dots (2 colors, one of each color per participant); flip chart with the following:

1. Introduce the theme 'Purpose.' What do we mean when we talk about the purpose of an organization?
2. What purpose does your organization play within the response to HIV/AIDS in Namibia?
3. How are staff and volunteers made aware of the purpose of your organization?
4. To what extent do you feel that staff and volunteers share the same guiding purpose? *(Participants mark on bullseye with red)*
5. Discuss results: How do you feel about what you see? What patterns do you notice? Any surprises? etc.
6. What examples can you give from the last 12 months to show that staff and volunteers are committed to your organization's purpose?
7. Introduce the topic of 'Planning.' What do we mean when we use the term planning?
8. Does your organization have an active strategic plan? When / How was it developed? What information did you use? *(Try to get to whether the latest global and national policies and standards were reviewed)*
9. What is covered in your strategic plan?
10. So the strategic plan covers longer term issues. How do you decide how to spend your time on a weekly or monthly basis? How helpful are your organization's work-plans in assisting you to decide how to spend your time?
11. How do you know whether you are making progress with your work?
12. To what extent have *you* had the opportunity to be involved in organizational planning over the last 12 months? *(Participants mark on bullseye with blue)*
13. Discuss results: How do you feel about what you see? What patterns do you notice? Any surprises? etc.
14. Who else is involved in planning activities? How does your organization ensure that all key stakeholders are involved in planning?

	Statements of Excellence	**Performance**	**Most Important**
Capacity Area 1: Purpose and Planning			
Most important – each person selects 2 and places x.			
Statements of excellence for scoring (#1- #7)			
1	Our staff and volunteers have a clear understanding of our organization's purpose within the Namibian HIV/AIDS sector		
2	Passion for our organization's purpose is reflected in all of the actions taken by staff and volunteers		
3	We have a documented strategic plan that sets our direction and goals for the medium and long-term		
4	We review the latest global and national policies and standards in order to inform our strategic plans		
5	Our organization has a written annual work-plan that clearly states what we will do and by when		
6	We routinely monitor our work-plan to track progress in achieving our objectives		
7	Strategic and work planning activities are conducted with significant participation by key stakeholders, including people infected with and affected by HIV/ AIDS		

Statements of Excellence	Performance	Most Important
Capacity Area 2: Programs and Services		

Discussion Activity: Candy Voting

Candies, Index cards w/ the following:

Inclusive Design
Technical Expertise
Latest Approaches
Influencing Community Leaders
Capacity Building

1. Introduce the topic of "Programs and Services". What do we mean by programs and services?
2. What are some examples of programs and services that you have been implementing over the past 12 months?
3. Let's use one program as an example. What was your process for designing this program? Was there any research or analysis conducted as part of the design process? Who was involved?
4. What approaches are you using to implement your programs? Give some examples. Have you tried any new approaches in the last 12 months? How did you identify any new approaches?
5. What are the most important skills needed to implement programs. How do you know that your staff and volunteers have these skills?
6. How well do you think beneficiaries would cope if your program ended tomorrow? How do you intend to build beneficiary capacity for after your program finishes?
7. What are the native languages of your beneficiary communities? Do you have staff that are fluent in these languages?
8. Do your programs try to change existing HIV/AIDS practices? In the last 12 months Have you been able to influence community and traditional leaders to assist you in supporting these changes?
9. Candy mapping. Introduce the cards (see above). These are all attributes of high-quality programs and services. Distribute candies according to which attributes you feel you organization does best.
10. What do you observe? How do you feel about these results?

Most important – each person selects 2 and places x.

Statements of excellence for scoring (#8-#14)			
8	Our staff have adequate skills to analyze health data when designing programs		
9	Beneficiary groups and other key stakeholders are involved in the design of our programs		
10	We dedicate time to ensuring that we are well informed about the latest ap-proaches in the sector in which we work		
11	Our staff and volunteers possess technical expertise in the program sectors which they work		
12	Our organization builds the capacity of beneficiaries to respond to the multiple facets (economic, social, political, technological) of the HIV/AIDS pandemic		

	Statements of Excellence	Performance	Most Important
11	Our staff and volunteers possess technical expertise in the program sectors which they work		
12	Our organization builds the capacity of beneficiaries to respond to the multiple facets (economic, social, political, technological) of the HIV/ AIDS pandemic		
13	Our staff is able to effectively communicate in the native languages of beneficiary communities		
14	We effectively influence community/traditional leaders to support change in HIV/AIDS practices		

Capacity Area 3: Governance

Discussion Activity: Brainstorm Squares

Materials: brainstorm squares sheets (3X3 grid drawn on a single sheet of paper; 1 per participant)

1. What is your understanding of the term "leadership?" Ask for examples.
2. Why is leadership important?
3. Distribute one sheet to each participant.
4. What are some words/phrases to describe leadership in your organization? *(Participants write 1 word/phrase in each box of **row 1**. After they have written, collect, mix up, and pass out again).*
5. Does your organization have a board of directors?
6. What do they do?
7. What are some words/phrases to describe the Board of Directors in your organization? *(Participants write 1 word/phrase in each box of **row 2**. After they have written, collect, mix up, and pass out again).*
8. What is your understanding of the term "communication?"
9. Why is communication important?
10. What are some words/phrases to describe communication in your organization? *(Participants write 1 word/phrase in each box of **row 3**. After they have written, collect, mix up, and pass out again).*
11. Take one topic at a time. Ask volunteers to read the comments on their sheets. Discuss results. (How do you feel about what you hear? What patterns do you notice? Any surprises? etc.)
12. When was your last staff meeting? How often do you have staff meetings?
13. What information does management share with staff? How often does this happen?
14. Do you usually work individually, or in teams? Who leads your work teams? What opportunities do others have to take on leadership roles?

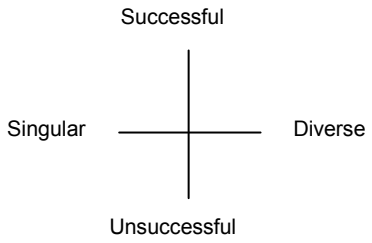
Most important – each person selects 3 and places x.

Statements of Excellence		Performance	Most Important
Statements of excellence for scoring (#15-#23)			
15	Our organization has an active and engaged board of directors		
16	Our board plays a leadership role for the organization. For example, fundraising, financial oversight, strategic direction and supervising the Executive Director		
17	Our leadership is a source of inspiration and motivation to staff and volunteers		
18	Our leadership actively promotes staff participation in planning and decision making		
19	Staff meetings are held on a regular basis		
20	Management regularly shares important information with all staff		
21	Teamwork and collaboration are characteristics of the way we operate		
22	Our staff and volunteers are given regular opportunities to take on leadership roles		
23	Our staff at all levels communicate openly and freely with each other		

Statements of Excellence	Performance	Most Important
Capacity Area 4: Organizational Sustainability		

Discussion Activity: Matrix

Materials: Flip chart with the following written:



1. What types of fundraising activities has your organization been involved in during the past 12 months?
2. Does your organization have a fundraising strategy? What are some key aspects of this strategy?
3. What are some examples of fundraising successes in the past 12 months?
4. To what extent were your fundraising activities successful and diverse? Invite participants up to the matrix and have them place an X in one of the four quadrants – successful and singular (meaning using just one kind of activity, such as a Brai), successful and diverse (meaning several types of fundraising were tried), unsuccessful and singular, or unsuccessful and diverse.
5. How do you feel about the result/outcome of the matrix? What does it tell us?
6. How many sources of income do your have? If any one of these funding sources were to stop funding you would your programs continue?

Statements of Excellence		Performance	Most Important
Capacity Area 4: Organizational Sustainability			
9. How many sources of income do your have? If any one of these funding sources were to stop funding you would your programs continue?			
10. Have you experienced any sudden changes in funding over the last 12 months? If yes, how did your organization cope? Do you have a plan in place in case there is a change in the next 12 months?			
11. What marketing materials do you have? When were they developed? How have you used them? What has been their effect?			
12. How would you describe your relationship with your donors? Are there any examples from the past 12 months of when you have interacted with donors to promote the interests of your organization and beneficiaries?			
Most important – each person selects 2 and places x.			
Statements of excellence for scoring (#24-#30)			
24	Our organization has a clearly defined fundraising strategy		
25	Our organization has successfully engaged in diverse fundraising activities. For example, organizing fundraising events, writing proposals, developing income generating activities and/or selling services		
26	Our organization has multiple sources of funding		
27	We have a clear plan for how we will cover our core operating costs for the next 12 months		
28	We consistently develop marketing materials that help our organization to be well-known in Namibia		
29	Our staff has the communication skills to explain and promote our work to others		
30	We consistently interact and negotiate with donors to promote the interests of our organization and beneficiaries		

Statements of Excellence	Performance	Most Important

Capacity Area 5: Financial and Operational Management

Discussion Activity = Line on the floor

Signs one either side of the line saying Agree and Disagree

1. Introduce the capacity area. What do we mean by financial management?
2. What are some key components of good financial management? Write these down on a flip chart (you're looking for budgeting, accounting, cash flow management, financial reporting, etc.)
3. Have people stand up.
4. Ask "In the last 12 months our organization has budgeted accurately." People show agreement/disagreement by stepping to one or other side of the line. Ask people why they agree or disagree.
5. Ask "In the last 12 months our organization has kept receipts for all expenditures." People show agreement/disagreement by stepping to one or other side of the line. Ask people why they agree or disagree.
6. Ask "In the last 12 months our organization has consistently produced accurate financial reports to donors on time." People show agreement/disagreement by stepping to one or other side of the line. Ask people why they agree or disagree.
7. Ask "In the last 12 months all staff members have prepared timesheets before receiving payment." People show agreement/disagreement by stepping to one or other side of the line. Ask people why they agree or disagree.
8. Ask participants to take their seats.
9. When was the last time you had an audit? Who performed the audit? How often do you usually have audits?
10. Do you have a filing system for key documents? What documents do you keep in your filing system? How easily can you find the documents you need?
11. What is meant by the term "information technology?" (for example, use of email, faxes, cellphones, etc.). What information technology do you use? Are there other types of information technology would help you to meet your operational needs?
12. Have you procured any equipment or services in the last 12 months? What procedure did you follow? Did anyone have a different experience?

Most important – each person selects 3 and places x.

Statements of excellence for scoring (#31-#39)

31	Our budget allocates funds in a way that closely reflects our programmatic, staffing and operational needs		
32	We always prepare timesheets before payment is made to staff for their work		
33	Our financial reporting is always complete and accurate		
34	Our financial reporting is always on time		
35	Our organization keeps receipts from every purchase made		

	Statements of Excellence	**Performance**	**Most Important**
36	We perform periodic (external or internal) audits		
37	Our organization has a filing system to retain key documents e.g. donor agreements, contracts, leases, reports etc.		
38	Our organization uses technology to meet its operational needs		
39	We follow transparent procedures for procuring equipment and services		

Statements of Excellence	Performance	Most Important

Capacity Area 6: Human Resources

Discussion Activity: Color-coded voting

Materials: sticky dots (each participant should get 4 of each color); a flip chart with the following chart written:

Recruitment and Retention	
Roles and Responsibilities	
Staff Development and Performance Review	
Appreciation and Morale	
Dealing with Difference	

A sheet with the following posted on the wall or floor:

green = excellent;
yellow = satisfactory/average;
red = needs improvement.

1. Introduce the capacity area. What do we mean by "human resources?"
2. Has anyone in this room been recruited over the last 12 months? What was the process?
3. Think of your own roles/responsibilities – how do you know these roles?
4. Has there been staff/volunteer turnover during the past 12 months? What factors contribute to this?
5. What staff development activities have you participated in during the past 12 months? How have they helped you?
6. Does the organization have a written personnel manual? Do you have a copy? What information is included? Does the personnel manual include a code of ethics? Does the personnel manual include an HIV/AIDS workplace policy?
7. How do you know if your supervisor is pleased with your work? Have you had a performance review in the last 12 months? Was it helpful for you? What other kinds of emotional or material support have you received from the organization in the last twelve months?
8. How does the organization show appreciation to high-performing staff and volunteers?
9. What has the organization done in the last 12 months to boost staff and volunteer morale?
10. In what ways are our staff and volunteers diverse? How is difference dealt with in your organization?
11. Introduce task. (Participants place one dot in the box next to each item listed. Green = excellent; yellow = satisfactory/average; red = needs improvement.)
12. Discuss results. (How do you feel about what you see? What patterns do you notice? Any surprises? etc.)

Most important – each person selects 3 and places x.

	Statements of Excellence	**Performance**	**Most Important**
Statements of excellence for scoring (#40-#49)			
40	Our organization follows a personnel recruitment process that is clearly defined		
41	Each staff member and volunteers understands his/her role within the organization		
42	Our organization successfully retains high-quality staff and volunteers		
43	Our staff and volunteer technical expertise is routinely strengthened through a number of ways. For example training, mentoring, attending conferences, participating in planning etc.		
44	Our staff and volunteer conduct is guided by a written personnel manual which includes a code of ethics and HIV/AIDS workplace policy		
45	Our staff members receive a formal performance evaluation from their respective supervisors at least once a year.		
46	Our staff and volunteers consistently receive emotional and material support from the organization in times of need		
47	Our organization regularly shows appreciation for staff and volunteer efforts		
48	Differences among our staff and volunteers are appreciated and respected. For example, ethnicity, gender, and people living with HIV/AIDS		
49	Our organization builds high morale among staff and volunteers		

Statements of Excellence	Performance	Most Important

Capacity Area 7: Monitoring and Evaluation

Discussion Activity = High/Low

Cards with the following written, one on each card: needs assessment, use of indicators, data collection & analysis, beneficiary feedback, organizational learning

1. Introduce the capacity area. What do we mean by monitoring and evaluation?
2. Have you done any monitoring and/or evaluation activities over the last 12 months? Share examples and describe activities.
3. Do you have any staff that are dedicated to monitoring and evaluation? How much of their time is dedicated to monitoring and evaluation?
4. How do you find out what services beneficiaries want? How frequently do you do this?
5. How do you know if you are on track to achieve your program goals? Do you have a plan for monitoring activities? Who is involved in program monitoring? How useful is the monitoring system in helping you to do your job better?
6. Have you conducted any evaluation studies in the last 12 months? How useful are the evaluation studies in helping the organization to improve its programs?
7. Introduce activity. Place cards on the wall, say the position of the cards is neutral (neither good nor bad). Ask the room to say whether the card should go higher or lower, based upon the organizations success in doing what is on the card. Repeat for all cards.
8. Ask "What patterns do you see?" "Why do you think we see these patterns?" "Were there any surprises?" etc.

Most important – each person selects 2 and places x.

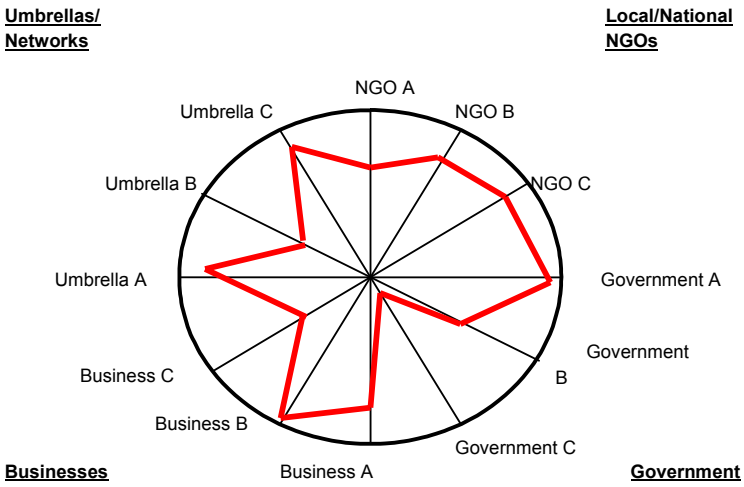
Statements of excellence for scoring (#50-#56)

50	Our organization has staff that are dedicated to monitoring and evaluation		
51	We thoroughly assess the needs and interests of our beneficiaries		
52	We routinely use indicators to monitor whether we are on track to achieve our program goals		
53	We conduct evaluation studies that tell us about the impact of our programs		
54	Our monitoring and evaluation provides us with useful information on the effectiveness of our projects and activities		
55	We regularly collect feedback from beneficiaries on the quality of our programs and activities		
56	We improve our programs based on findings generated through monitoring and evaluation		

Statements of Excellence	Performance	Most Important

Capacity Area 8: Networking

Discussion Activity = Radar map



1. What are the three local or national NGOs/CBOs that you have worked most closely with over the last 12 months? *Write on edge of radar map.*
2. Repeat question 1 using "Government departments/agencies", "Businesses", and "Umbrella organizations/Networks" in place of NGOs/CBOs. *Add to radar map.*
3. To what extent has your relationship with each of these entities helped you achieve your program objectives? *Place a marker pen on the line for each entity and move it closer to the center or edge depending upon the answer from participants. Repeat for each entity mentioned. The center of the map is 0 out of 10 and the edges are 10/10.*
4. What do you see?
5. Have you referred any beneficiaries to the services of other organizations in the last 12 months? Do you have a clear process for ref
6. errals?
7. What are the most important lessons you have learned in the past 12 months? Have you developed any new promising practices in the last 12 months? Who have you shared these lessons and practices with? How have you shared these lessons learned and promising practices? Have you adopted any lessons or practices from others based upon this sharing?

Most important – each person selects 2 and places x.

Statements of excellence for scoring (#57-#62)

57	We deliberately establish relationships with diverse groups that help us achieve our purpose		
58	We work collaboratively with all government agencies relevant to our beneficiary groups/communities		
59	Our organization is an active member of umbrella organizations and networks that share our concern for people affected by HIV/AIDS		

	Statements of Excellence	Performance	Most Important
60	Our organization routinely refers beneficiaries to appropriate services of other organizations		
61	Our organization actively shares lessons learned and promising practices with others		
62	We regularly gather new ideas and promising practices from other organizations		

Annex 15: Example Data Guided OCA Tool

Draft Pact Malawi Organizational Capacity Assessment Tool				
Name of Organization:				
Date of Assessment:				
Assessment Facilitated by:				
Names and Titles of those participating in the assessment:				
Organizational Development Scale				
N/A=Not Applicable				
1= Nothing in place and useful to have				
2= Needs substantial urgent attention				
3= Needs some improvements				
4= Needs some minor adjustment but without urgency				
5=No need for improvements, system is adequate				
	Focus Group	**Individual Scores**	**External Reviewer**	**Summary Baseline**
GOVERNANCE/LEADERSHIP				
Board of Directors				
The Organization has a Board of Directors.				
Board members are not paid for their participation on the Board.				
No voting member of the Board is also a paid member of the Organization's staff.				
The Executive Director of the Organization participates in Board meetings, but is not a voting member of the Board.				
There is a clearly defined time-limit to Board member mandates that does not exceed 3 years or whatever is Malawi law.				
The Board plays an active leadership role for the Organization including fundraising, financial oversight, strategic direction and supervising the Executive Director.				
Leadership/Senior Management				
Board and Executive Team/Senior Management provide vision, direction and inspiration to staff				
The Executive Team/Senior Management has a very clear understanding of its responsibilities and its relationship to the Board and the Financial Committee/financial controller.				
The Executive Team/Senior Management encourages staff participation in decision-making.				
Executive leadership is not dependent upon one person, but shared among several team members.				
The Organization's decision-making process is transparent.				
The Executive Team/Senior Management delegates decision-making to relevant staff as appropriate.				
The Executive Team/Senior Management is accessible to the staff.				
The Organization has individuals living with HIV at the decision-making level.				

The Executive Team/Senior Management is conscious of the need to build the capacity of the organization.				
The organization has a clearly defined vision and mission that guide all of its work.				
The organization implements activities based on a clearly defined strategic plan.				
Actions taken by staff and volunteers are inspired by our organization's mission and vision.				
The leadership/senior management has adequate strategic planning skills.				
Strategic plan developed in communication with staff and volunteers.				
HUMAN RESOURCES AND ADMINISTRATION				
Staff				
The personnel recruitment process is clearly defined.				
The personnel recruitment process is competitive.				
Our recruitment process help us obtain suitably skilled and qualified staff and volunteers.				
The organization has mechanism in place to fully orientate and integrate new staff.				
The staff includes PLHIV and other individuals affected by HIV/AIDS.				
Each staff member has a written job description that clearly defines his/her responsibilities, tasks, and reporting relationships.				
The organization successfully retains staff.				
The organization successfully retains volunteers.				
Both genders are appropriately represented at all levels of the organization.				
There is a formal compensation system/salary scales.				
Human Resource Development				
The Organization incorporates and funds staff training as a part of its annual plan				
The staff training plan is based upon the training needs of the organization				
Once trained, staff have many opportunities to put into practice the knowledge acquired				
All front line staff (in direct contact with beneficiaries) have been trained in the basic skills needed for specific technical based on national standards (e.g. peer education, STI referral, palliative care, OVC support, etc.)				
Most staff has training in gender as it applies to the organization's work				
The organization confidentiality & non discrimination procedures are promoted & enforced with all staff				
The organization has an HIV/AIDS workplace policy designed to protect and support PLWHA working in the organization.				
The organization has the capacity to adapt its organizational structure according to changing needs.				
Staff technical expertise is routinely strengthened through refresher/in-service training.				

Volunteer technical expertise is routinely strengthened through refresher/ in-service training.				
Staff/Volunteers can access up to date HIV/AIDS technical resources in-country.				
The organization has a library of technical resources.				
We regularly assess or staff performance.				
Internal Work Style				
Staff meetings are held on a regular basis				
Decisions are made and information is shared in a timely manner				
The Organization promotes team work at all levels				
The staff is encouraged to take initiative				
Organizational culture promotes peer learning among staff				
Organizational culture promotes an understanding and respect for habits and customs of target beneficiary group				
Staff conduct is guided by a written personnel manual in accordance with labor law.				
The personnel manual includes an organizational chart with clearly defined lines of authority				
Staff understand and apply the policies outlined in the personnel manual				
Our organization regularly shows appreciation for staff and volunteer efforts.				
We have clear lines of communication that support efficient operations.				
The work environment in our organization leads to high morale and positive relationships.				
Supervision				
Each staff member meets with his or her supervisor at least once a month for orientation and feedback on his/her work.				
Staff members receive a formal performance evaluation from their respective supervisors at least once a year.				
Staff self-assessment and goal setting is included as part of the annual staff performance evaluation process.				
Volunteers are adequately supervised to ensure quality service delivery.				
Administration				
Personnel files are maintained for current and previous staff.				
Timesheets maintained to track staff attendance.				
Code of Ethics included in personnel policy.				
Organization has an infrastructure and information system plan to ensure key data is stored.				
The organization has a filing system to retain key documents e.g. donor agreements, contracts, leases, reports, etc.				
The organization has a child protection policy if dealing with children.				
The organization has a disability policy.				
The organization has office space adequate to meet its needs.				
The organization has IT infrastructure and systems to meet its operational needs.				

PROGRAM DESIGN AND IMPLEMENTATION				
The staff, beneficiary groups and other key stakeholders (traditional and community leaders) are involved in the identification and design of programs				
Our organization always uses local and national HIV/AIDS survey data to design our programs.				
Our staff have appropriate skills to analyze various health survey data and use it to design evidence-based programs.				
Our programs are designed in collaboration with individuals living with HIV.				
Gender analysis is routinely integrated into the project planning process				
Projects are implemented in accordance with project plans and within budget.				
The service delivery strategy/system is cost-effective and sustainable				
Service delivery system is capable of expanding to meet increased demand for services				
Staff are trained to deliver services according to national standards.				
The service delivery system is understood by staff				
The service delivery system is understood by beneficiaries				
Details of the service delivery system are presented clearly in an operations or service delivery manual or job aides.				
The service delivery manual or job aides are followed methodically.				
We always check for gaps in our programming.				
We often conduct client satisfaction surveys.				
We collaborate with local, district and national governmental individuals and agencies during design, implementation and redesign phases of program development and implementation.				
Our organization always encourages supportive supervision to ensure quality service delivery.				
There is a referral system in place as a result of a mapping process identifying services in the geographic area.				
There is a system of follow-up to the referrals to monitor if they were effective.				
We regularly document our program's success stories.				
SUSTAINABILITY				
Relationship with the Beneficiary Groups				
The Organization has credibility in the eyes of the beneficiary groups it has served to date				
The Organization has a very good understanding of the needs and capabilities of the beneficiary groups it currently serves				
Relationship with NGO partners				
The Organization has credibility in the eyes of the national and international NGOs with whom it collaborates				
The Organization has experience involving NGO partners in advocacy networks serving the interests of its beneficiary groups				
Relationship with Government Partners				

The Organization works collaboratively with all of the key government agencies responsible for serving people and communities affected by HIV/AIDS				
The Organization has credibility in the eyes of its partner government agencies				
The Organization has frequent opportunities to influence government policies and attitudes through good working relationships				
The Organization is insulated from political pressures that might inhibit its ability to meet its objectives				
Relationship with Donors and the Private Sector				
The Organization has a diversified funding base				
The Organization is well respected by its current and potential donors				
The Organization is able to have a free and open dialogue with its donors				
The Organization has received support for its programs from the private sector				
Public Relations and Media				
The Organization has skills and experience in promoting its image				
The Organization disseminates information on its program success to the public				
Board and staff understand the importance having a well-crafted public relations effort				
Diverse communications strategies are used for public relations purposes				
The Organization is often contacted by the press to comment on an issue relevant to its mission				
The Organization uses the press for public education purposes about issues related to its mission				
Institutional Sustainability				
The Organization has a clear understanding of its role within the HIV/AIDS sector				
The Organization is consistently seeking out potential new implementing partners				
The Organization is an active member of fora and networks with organizations that share its concern for people and communities affected by HIV/AIDS				
The Organization has linkages to universities and other relevant research institutions				
Resource Mobilization				
The Organization has the ability to develop a diversified funding base capable of sustaining its programs over the long-term				
The Organization has engaged in income generating activities as a means of limiting its dependence on donors				
The Organization has a clearly defined fundraising strategy				
The Organization has the capacity to successfully implement this strategy				
The Organization has succeeded in meeting its fundraising targets				
No single funding source is providing more than 25% of total budget				
The core operating budget is covered for at least one year				
The Organization has engaged in some innovative fund-raising activities such as organizing successful fundraising events				

OVERALL ORGANIZATIONAL CAPACITY SCORE = Example 1.7 (NASCENT)

Nascent= 1	Emerging= 2	Moderate= 3	Expanding = 4	Mature= 5

Some guides on scoring and External Reviewer verification of the self-assessed scoring

What five things must I see as a facilitator to accept a high score of 4-5 and Other Thoughts on Conducting OCAs and Scoring

OCA tool has the following scoring scale:
N/A= Not applicable
1= Nothing in place and useful to have
2= Needs substantial urgent attention
3=Needs some improvements
4=Needs some minor adjustment but without urgency
5=No need for improvements, system being adequately implemented/utilized

Governance

Governance refers to the overall leadership and direction of a CSO. Leadership involves articulating and maintaining the CSO' vision and mission and is shared by membership or by other levels of the organization. The governing body provides direction, maintains independent oversight of the management and ensures that effective strategic planning takes place. The governing body provides oversight in identifying and procuring resources for activities; carry out public relations and lobby government for effective policy development or reform. Constitution or approved by laws are part of the governance system of the CSO.

Board of Directors

This is the governing body of the CSOs and terms used vary based on the registration and structure of the CSOs. Terms used include; governing board, advisory board, board of governors, board of trustee, Council, Executive committee etc.

- The organization is appropriately and legally registered in accordance to the laws of the country (can verify by citing legal documents). The legal document clearly outline the terms of reference for the board including duration in office.
- There is clear separation of roles - the governance and management function of the organization (the board does not interfere with daily operation of the organization e.g. the chair does not have office/desk where s/he operate from, there are defined levels of decision making and the board is involved at the appropriate level). Use the board meeting minutes to verify this
- The Board provides accountability and credibility – e.g. approval of budgets, reviewing and acting on audit findings, providing policy guidelines and standards for financial and program accountability, ensure adherence to national standards and promoting ethical practice
- The board defines the beneficiaries and the scope of the organization – especially in HIV/AIDS where most organizations are in service delivery, the board must define the services

and the population receiving the services, develops organization structures that ensure decentralized decision making and accountability for implementation remain close to the beneficiaries.

- Board members volunteer their time to be of service to the beneficiaries. Do not have self serving motives such as access to resources, get relatives jobs, use the position to improve their CV, receive sitting allowance, secure consultancies or other service provision contracts and most important, do not use the organization for their political ambitions.
- The Executive Director is the secretary to the board with no voting powers

Leadership/Senior management

- Board and Top level Managers (Executive Director in small orgs) – provides strategic direction, resource mobilization, management oversight, policy direction and high level advocacy and representation – the Executive Director can confirm this based on a) resources mobilized by the board, leadership provided to initiate and effect change in the organization e.g. start an new program or operate in previously un-reached area b) board members participating in events and meetings where they represent the organization c) being the guiding star (how clear and broad is the vision) etc
- There is shared responsibility and delegation of power to build a second layer of leaders in the organization. Currently there is growing importance in succession plans whereby leaders are grooming young and promising middle level managers for leadership positions.
- Executive director is accountable to the board (there are studies indicating that in some organizations the ED carries the burden of the organization including the board and in actual fact the board is dependent on the ED)
- Management is accessible to staff if there are channels for dialogue and learning from senior management, the ED is not always in meetings and traveling and never available to guide staff, the ED participates in most important meetings and processes for the organization (and especially team building)
- Management values enhancing staff skills and promote learning within the organization (can verify this by the number of out of town (esp. overseas) trips the ED requests the staff to represent her/him when it is appropriate, resources allocated to training and development and how well appraisal recommendation are implemented.
- How well is the organization coordinated – planning takes place, resources are available to implement plans, monitoring is done on timely basis etc

Human Resources

This component focuses on human resource capacity of the CSO. How staff whether short term or long term is recruited, utilized, managed, awarded/motivated and developed. In the context of HIV/AIDS, issues of GIPA are important in this component.

Staff

- there a human resource policies and procedure manual – however rudimentary? Documentation even a paragraph of a process demonstrate that there is thought put into it. This documentation does not however always mean that the policy or procedure is used and therefore there is need for probing to understand how understood the policy or proce-

dure is.

- Positions are competitively filled i.e. advertised using any specific media and selection done objectively. Are volunteers vetted in any way?
- There is a documented process to orient staff into the organization and specifically to the position they are recruited
- Roles and responsibilities are clearly assigned at different staff levels including volunteers and positions
- The organization promotes greater involvement of people living with HIV/AIDS and has demonstrated so by employing people who are living positively (and not just as volunteers)

HRD

- Funds set aside for this – most organization consider HRD under staff benefits while others are lucky to get institutional strengthening funds from donors. There is consistent utilization of this fund and staff are benefiting from it
- See if you can weave a thread through the strategic goals of the organization, skills or competencies of staff to achieve the goals + service delivery (roles and responsibilities – see JDs of managers), skills gaps/needs identification (usually at the annual performance appraisal level) and training that staff have taken in the last one year. If this links well, then the organization is committed to HRD to achieve vision and mission.
- Gender mainstreaming is critical – there are three levels – 1. Awareness/knowledge of the need to understand gender 2.ad hoc activities to include women or men 3. Mainstreaming at all levels of the organization and at every stage of program implementation. Note that some organizations have activities on gender sensitization but that doe not mean that they practice what they preach.
- HIV/AIDS workplace policy is critical especially if GIPA is to be achieved.

Internal Work Style

- In addition to staff meetings (which must be documented and decisions taken implemented) there is the important aspect of work organizations; ensuring that all the work planned is appropriately assigned to staff and there is clear supervision and balancing to ensure no staff or department is overwhelmed.
- CSOs have a tendency to leave staff on their own – It is important to see how staff even when taking their own initiative report back to the supervisor for affirmation or guidance
- On peer learning – staff take time to document what they are doing and challenges they are encountering in the program implementation and there is structured ways to reflect on these lessons as an organization. Most of CSOs in HIV/AIDS work using volunteers – time allocated to train volunteers and the process of updated their skills. If there are foreign volunteers – there is a process of transfer of skills to national staff
- It is important that the org spends some time to understand the context of the geographical area where the program is targeted - beneficiaries' customs and habits. This can be achieved through participatory program design and evaluation. Staff must also be con-

scious on the way they relate to beneficiaries e.g. use of appropriate language, dress etc, respect of seasons and local socio-economic activities in scheduling activities etc.

Supervision

- There is a clear appraisal system that is adhered to.

HIV/AIDS Programming (focus on program management as opposed to technical aspects of the program)

CSOs are initiated with an aim to benefit a membership (or target population), to serve a particular purpose. This constitutes its service delivery. Thus beneficiaries need to be actively involved in the initiating, planning, management, monitoring and evaluating programs and projects. CSO's focus on the sustainability of planned activities for more effective socio-economic development. Service delivery matched with staff development for better quality (improved quality, efficiency and efficacy)

- Rule of the thumb – BENEFICIARY PARTICIPATION – "there is nothing for us without us". The org must demonstrate the extent to which the target beneficiaries participate in the design and implementation of the programs
- Ask for program document of any other program not funded by Pact/USAID – that will let you know whether program planning matrix exist
- Gender analysis – see above
- Technical training see some points in HRD. It is be important to know what is required as basic technical training in the service delivery area as per national standards/guidelines
- Access to information is critical since HIV/AIDS is a very dynamic program – all three points on access to resources (e.g. name organization that provide resources if they have no library), information (e.g. name website) and mentorship (name of person and email address). Do not yes for an answer.
- Before the session review the national level standards for the specific service being delivered. I have found it useful to do so.
- On service delivery – visit a project and let the program officer walk you through the service delivery – look though service delivery manual, data forms, talk to front line staff etc
- Service delivery manual or protocols should be clear e.g. HBC volunteers are assigned clients and clients visits are scheduled in a regular manner as appropriate
- Volunteers are closely supervised to adhere to service delivery manual
- Most important – establish how the service delivery is linked to other similar or complementary services especially government and other CSOs

External Relations and Partnerships

Recognizing that effective CSOs cannot work in isolation, they need to engage with stakeholders such as government, other CSOs, media, influential individuals, beneficiaries, donors, institutions, competitors and opponents.

- Pact program officers will be important in reflecting this component before you visit the

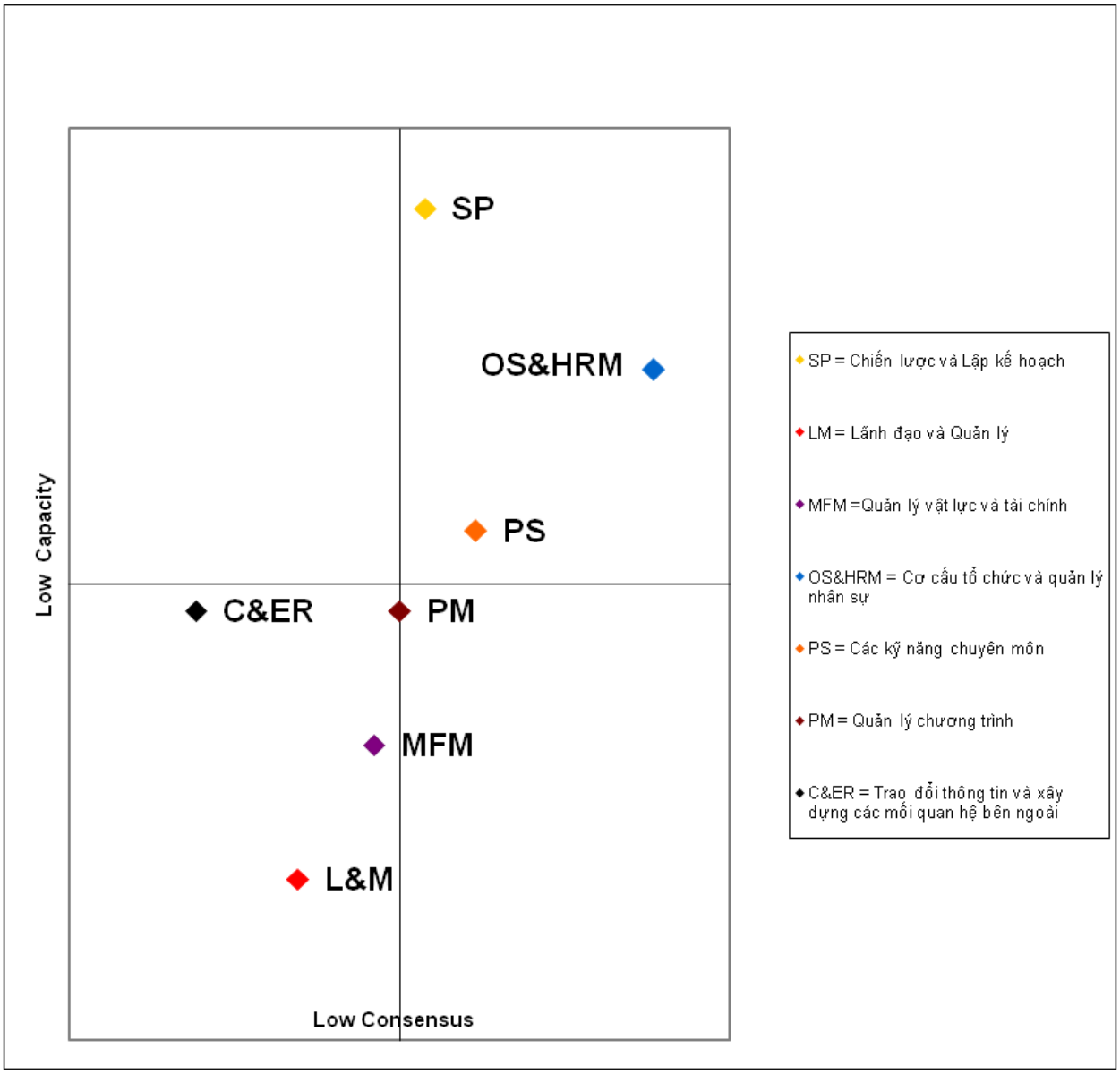
grantee. They will have interacted with the grantee before the session and also know what other people say about them e.g. USAID, Govt etc

- Get evidence on how CSO relate to beneficiaries e.g. a PRA report or other processes where they have worked together
- Can CSO demonstrate how they work with other CSOs (I noted that Swaziland CSOs work very closely – I was not sure whether this is by design or by default. Some orgs produced reports of shared activities)
- The CSO is working systematically with govt in service provision - Ask for examples of recent activities that the CSO implemented with government – detailed role of the CSO (any lesson learnt)?
- On working with donors – evidence on diversity of the projects funded and duration
- Have they received funds from Private sector – there is more support to CSOs from privates sector than in East African region
- On working with media – check for evidence e.g. contact media person, feature articles prepared by the CSO, newspaper cutting where they made news etc
- You can also get contacts of key people whom you can call to triangulate the information gathered

Annex 16: Participant Guided OCA Results Report

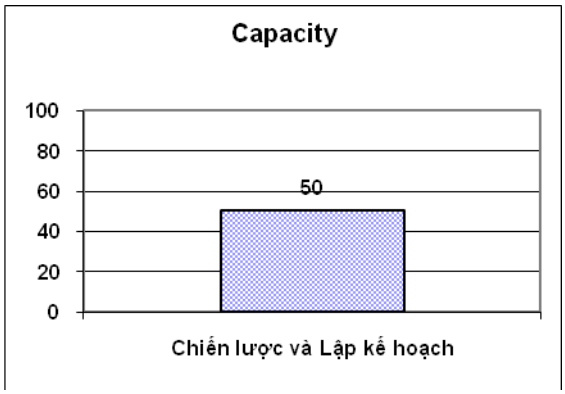
Organizational Capacity Assessment, 2008

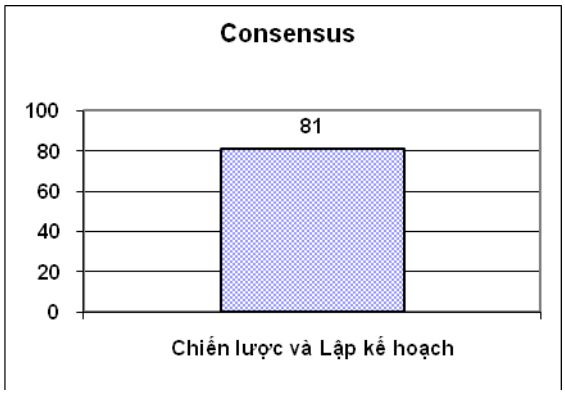
Organizational Overview



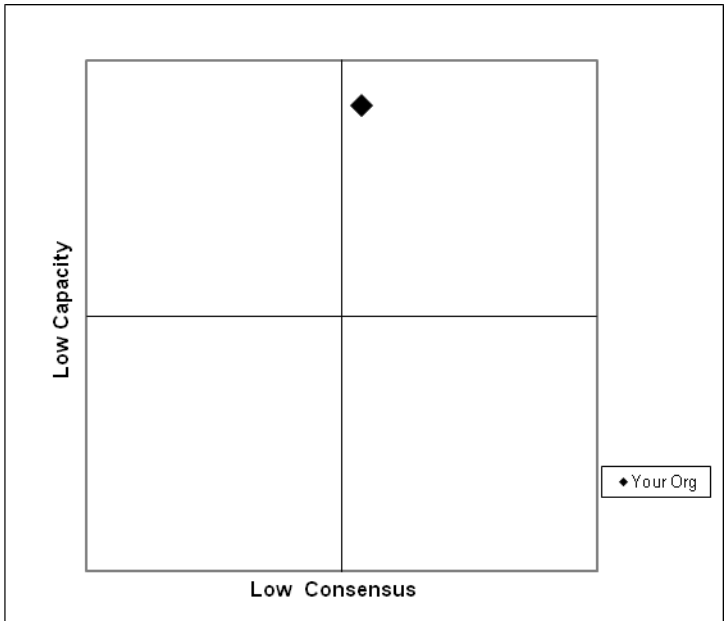
1. Chiến lược và Lập kế hoạch | Strategic and Planning

Ranking Table	Relative Rank (out of 7 success factors)
Capacity	3
Consensus	1





Chiến lược và Lập kế hoạch | Strategic and Planning



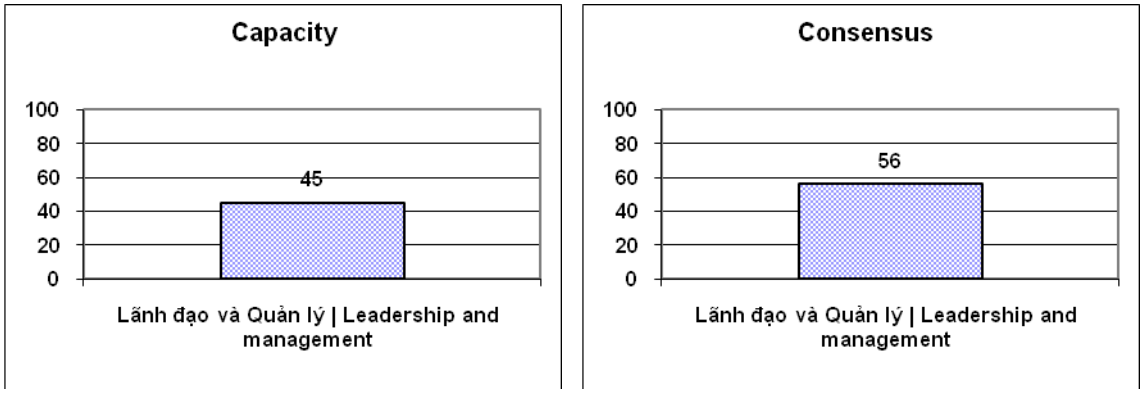
Indicator Analysis

5 = Rất đồng ý, 4 = Đồng ý, 3 = Không đồng ý cũng không phản đối, 2 = Không đồng ý, 1 = Rất không đồng ý

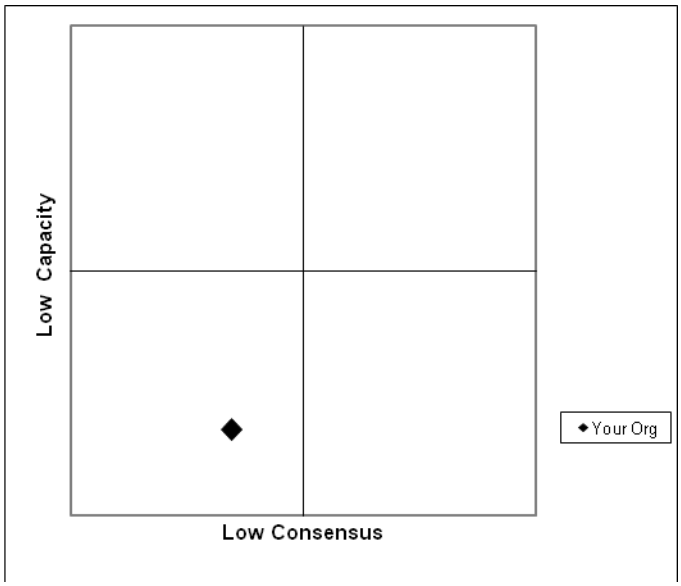
		Mean	1	2	3	4	5
1	Tổ chức có xác định rõ sứ mệnh tổ chức giúp định hướng tất cả các hoạt động. The organization has a clearly defined mission that guides all of its work.	4.2	-	-	20%	40%	40%
2	Sứ mệnh của tổ chức được phản ánh trong các hoạt động hàng ngày của cán bọ và tình nguyện viên. Our mission is reflected in the day-to-day actions taken by staff and volunteers.	4.0	-	-	-	100 %	-
3	Tổ chức có một kế hoạch chiến lược bằng văn bản xác định rõ phương hướng và mục tiêu dài hạn và trung hạn của tổ chức. We have a documented strategic plan that sets our direction and goals for the medium and long-term.	1.2	80%	20%	-	-	-
4	Tổ chức có một kế hoạch hoạt động năm bằng văn bản trong đó nêu rõ các hoạt động và khung thời gian. We have a written annual work plan that clearly states what we will do and by when	4.2	-	20%	-	20%	60%
5	Tất cả các hoạt động lập kế hoạch được thực hiện với sự tham gia tích cực của các bên liên quan chính (trong và ngoài tổ chức). All planning activities are conducted with significant participation by key stakeholders (external & internal).	4.0	-	-	40%	20%	40%
6	Tổ chức có một chiến lược huy động nguồn lực rõ ràng và thực tế. Our organization has a clearly and practical fund-raising strategy.	3.4	-	40%	-	40%	20%
7	Chiến lược huy động nguồn lực đã được thực hiện có hiệu quả trong công tác vận động các nguồn lực của tổ chức. Our fundraising strategy has been effective in mobilizing the resources.	3.4	-	20%	40%	20%	20%
8	Tổ chức có một cơ chế tài chính đa dạng giúp tổ chức duy trì các chương trình trong dài hạn. We have a diversified funding base capable of sustaining our programs over the long-term.	3.2	-	20%	40%	40%	-
9	Tổ chức hiểu rõ về vai trò của mình trong lĩnh vực HIV/ AIDS. Our organization has a clear understanding of its role within the HIV/AIDS sector.	4.4	-	-	-	60%	40%

2. Lãnh đạo và Quản lý | Leadership and management

Ranking Table	Relative Rank (out of 7 success factors)
Capacity	6
Consensus	7



Lãnh đạo và Quản lý | Leadership and management



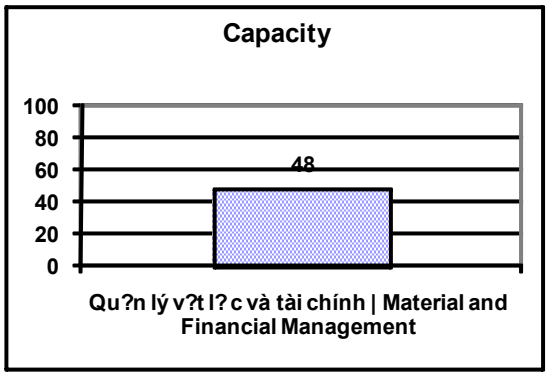
Indicator Analysis

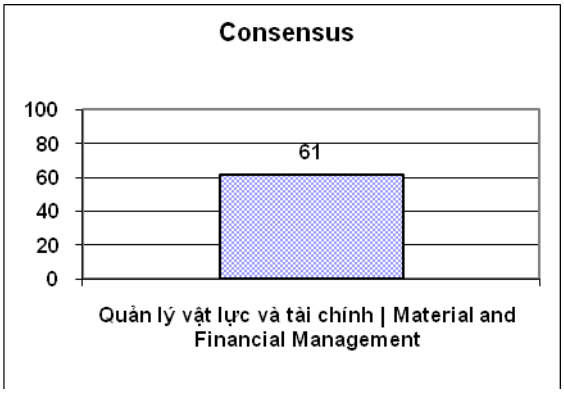
5 = Rất đồng ý, 4 = Đồng ý, 3 = Không đồng ý cũng không phản đối, 2 = Không đồng ý, 1 = Rất không đồng ý

		Mean	1	2	3	4	5
10	Bộ máy lãnh đạo của tổ chức đã giúp tạo động lực cho nhân viên. Our leadership is a source of motivation to our staff.	**3.7**	-	22%	11%	44%	22%
11	Lãnh đạo của tổ chức đã tích cực khuyến khích sự tham gia của nhân viên trong việc lập kế hoạch và ra quyết định. Our leadership actively promotes staff participation in planning and decision making.	**3.7**	-	11%	33%	33%	22%
12	Cơ chế quản lý của tổ chức không phụ thuộc vào một cá nhân, mà được chia sẻ giữa các thành viên trong nhóm. Management is not dependent on one person, but shared between several team members.	**3.2**	-	22%	33%	44%	-
13	Các cán bộ quản lý thường xuyên chia sẻ thông tin quan trọng với tất cả nhân viên. Management regularly shares important information with all staff.	**3.1**	-	44%	-	56%	-
14	Tổ chức có một ban giám đốc luôn chủ động và sâu sát với công việc. We have an active and engaged board of directors.	-	-	-	-	-	-
15	Ban giám đốc của tổ chức đã có sự chỉ đạo mạnh mẽ và có trách nhiệm với tổ chức. Our board of directors provides strong direction and accountability to the organization.	-	-	-	-	-	-

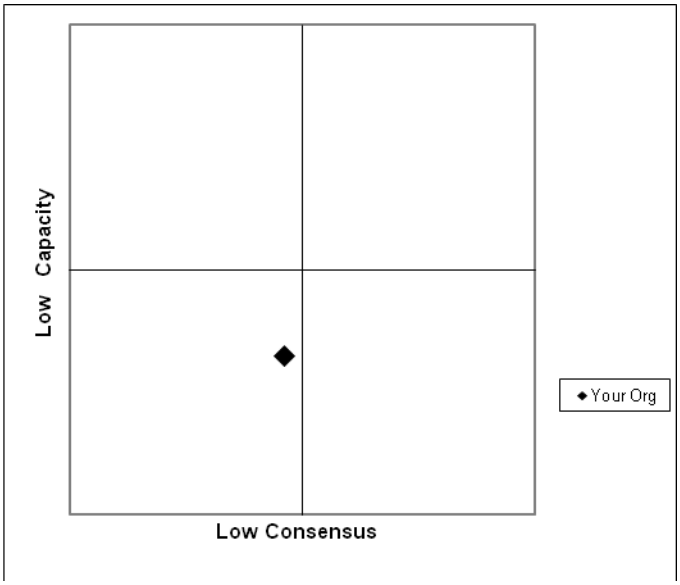
3. Quản lý vật lực và tài chính | Material and Financial Management

Ranking Table	Relative Rank (out of 7 success factors)
Capacity	5
Consensus	6





Quản lý vật lực và tài chính | Material and Financial Management



Indicator Analysis

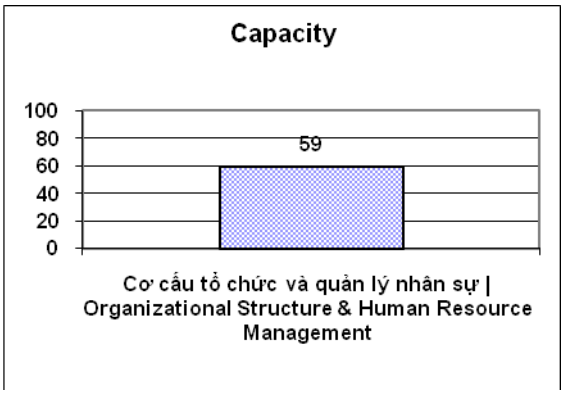
5 = Rất đồng ý, 4 = Đồng ý, 3 = Không đồng ý cũng không phản đối, 2 = Không đồng ý, 1 = Rất không đồng ý

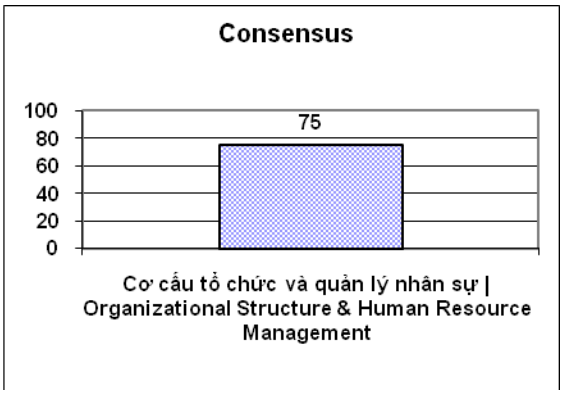
		Mean	1	2	3	4	5
16	Các chính sách và quy trình tài chính của tổ chức rất rõ ràng và được viết thành văn bản. Our financial policies and procedures are clear and documented.	3.8	-	-	20%	80%	-
17	Các nhân viên hiểu rõ và tuân thủ các chính sách và quy trình tài chính của tổ chức. Our financial policies and procedures are well-understood and followed by staff.	3.8	-	-	20%	80%	-
18	Các chính sách và quy trình tài chính của tổ chức giúp đảm bảo tính chính xác và minh bạch. Our financial policies and procedures ensure accountability and transparency.	3.6	-	-	40%	60%	-
19	Tổ chức có một hệ thống kế toán hoạt động chính xác và hiệu quả. We have an effective and accurate accounting system.	2.8	-	40%	40%	20%	-
20	Tổ chức đã dự trù ngân sách cho các chi phí hoạt động cho cả năm tài chính một cách chính xác và tránh được tình trạng thiếu hụt ngân sách. Our budgeting process allows us to accurately predict operational costs for the entire fiscal year and prevent shortfalls.	3.6	-	-	40%	60%	-
21	Các báo cáo tài chính luôn đầy đủ và chính xác. Our financial reports are complete and accurate.	2.4	-	60%	40%	-	-
22	Báo cáo tài chính thống nhất và đúng hạn. Our financial reporting is consistent and timely.	2.8	20%	20%	20%	40%	-

23	Tổ chức định kỳ tiến hành kiểm toán độc lập và minh bạch. We regularly carry out independent and transparent audits.	1.6	80%	-	-	20%	-
24	Cơ sở hạ tầng của tổ chức được đầu tư đầy đủ và phù hợp nhằm phục vụ hoạt động của tổ chức. We have adequate and appropriate infra-structure to support our operational needs.	4.6	-	-	-	40%	60%
25	Tổ chức lập ngân sách cho việc đầu tư các thiết bị và cơ sở hạ tầng cần thiết. We make provisions in our budget for the acquisition of necessary equipment and infrastructure.	4.4	-	-	-	60%	40%
26	Tổ chức có quy trình mua sắm thiết bị, hàng hóa và dịch vụ minh bạch. We have transparent procedures for pro-curing equipment, work and services.	4.6	-	-	-	40%	60%
27	Tổ chức có sự phân công nhiệm vụ rõ ràng giữa các cán bộ tài chính nhằm tránh xung đột về lợi ích và đảm bảo tính minh bạch. We have a clear segregation of duties among financial team members to avoid conflict of interests and ensure transpar-ency.	3.8	-	20%	-	60%	20%

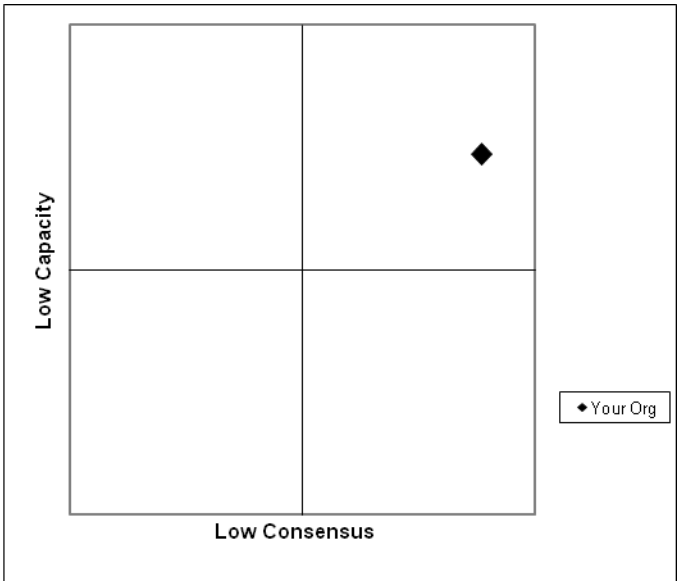
4. Cơ cấu tổ chức và quản lý nhân sự | Organizational Structure & Human Resource Management

Ranking Table	Relative Rank (out of 7 success factors)
Capacity	1
Consensus	2





Cơ cấu tổ chức và quản lý nhân sự | Organizational Structure & Human Resource Management



Indicator Analysis

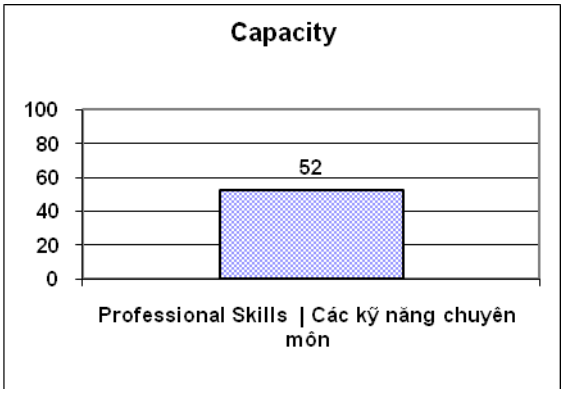
5 = Rất đồng ý, 4 = Đồng ý, 3 = Không đồng ý cũng không phản đối, 2 = Không đồng ý, 1 = Rất không đồng ý

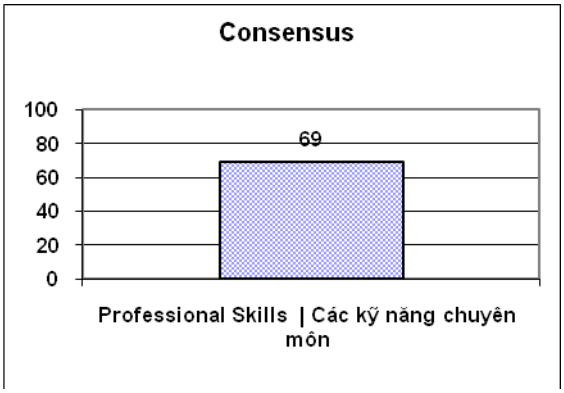
		Mean	1	2	3	4	5
28	Bố trí nhân sự trong tổ chức giúp hỗ trợ cho các chương trình. Our staff composition supports our programmatic priorities.	4.0	-	-	-	100 %	-
29	Tinh thần làm việc theo nhóm và hỗ trợ lẫn nhau là đặc điểm văn hóa của tổ chức. Teamwork and cooperation are characteristic of our organizational culture.	3.9	-	-	38%	38%	25%
30	Thông tin được chia sẻ hiệu quả và nhất quán giữa các nhóm và các bộ phận. We effectively and consistently share information across our teams and departments.	3.1	-	25%	50%	13%	13%
31	Môi trường làm việc tại tổ chức giúp hình thành các mối quan hệ tích cực hỗ trợ lẫn nhau giữa các nhân viên. The work environment at our organization leads to high morale and positive relationships among staff.	3.3	-	25%	25%	50%	-
32	Tổ chức có các chính sách về nhân sự hướng dẫn cho cán bộ nhân viên. We have documented personnel policies that provide guidance for our staff.	4.5	-	-	-	50%	50%
33	Cẩm nang nhân sự của tổ chức được thường xuyên cập nhật nhằm đảm bảo tính phù hợp. Our personnel manual is updated regularly to ensure its relevance.	4.5	-	-	-	50%	50%
34	Công tác tuyển dụng giúp tổ chức tuyển dụng được cán bộ và tình nguyện viên có năng lực. Our recruitment practices allow us to obtain qualified staff and volunteers.	4.3	-	-	-	75%	25%

35	Tổ chức có mức lương và gói phụ cấp cạnh tranh so với các tổ chức đồng đẳng khác. The organization offers staff a salary & benefits package that is competitive with peer organizations.	3.6	-	-	38%	63%	-
36	Tất cả các cán bộ và tình nguyện viên hiểu rõ vai trò và nhiệm vụ của mình trong tổ chức. All staff and volunteers clearly understand their roles and responsibilities within the organization.	3.9	-	-	13%	88%	-
37	Tổ chức có thể giữ nhân viên và tình nguyện viên. The organization successfully retains staff and volunteers.	3.0	-	13%	75%	13%	-
38	Tổ chức có một chính sách HIV/ AIDS tại nơi làm việc nhằm bảo vệ và hỗ trợ tất cả mọi người làm việc tại tổ chức. The organization has an HIV/AIDS workplace policy designed to protect and support all people working in the organization.	4.4	-	-	-	63%	38%
39	Sự trao quyền rất phù hợp với năng lực của nhân viên. Staff are extremely satisfied with level of role and responsibility they are given	3.9	-	-	25%	63%	13%

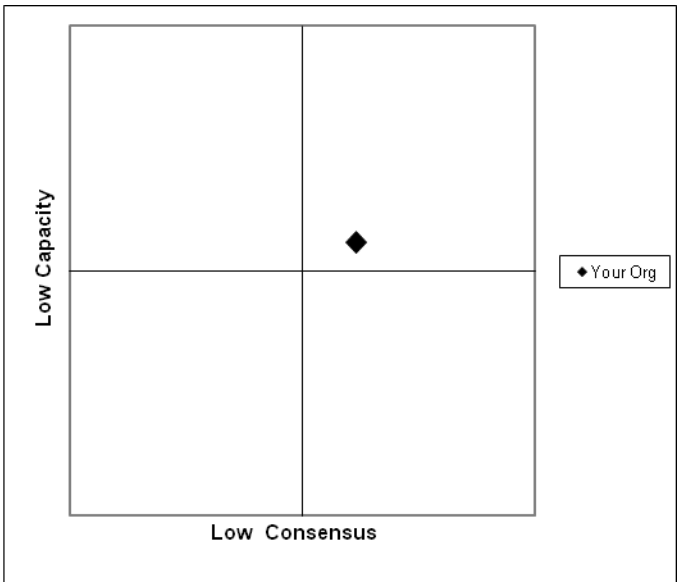
5. Professional Skills | Các kỹ năng chuyên môn

Ranking Table	Relative Rank (out of 7 success factors)
Capacity	2
Consensus	3





Professional Skills | Các kỹ năng chuyên môn



Indicator Analysis

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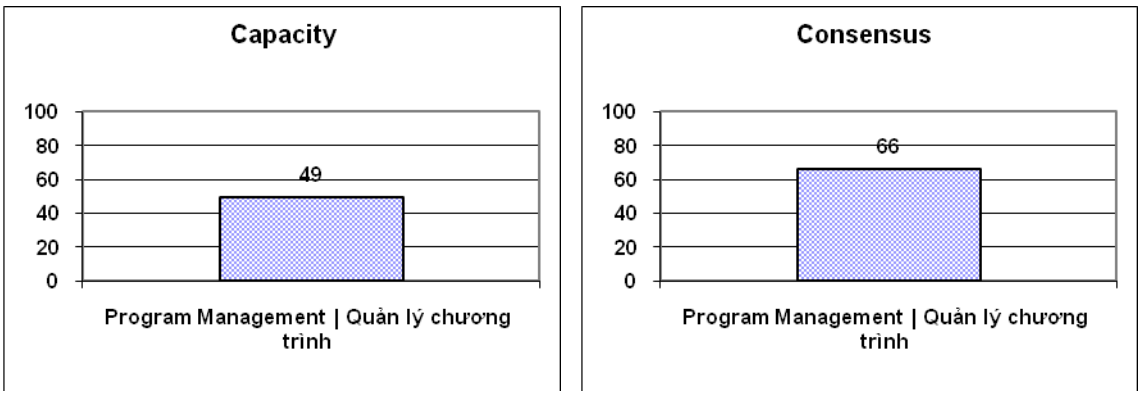
		Mean	1	2	3	4	5
40	Các cán bộ có năng lực chuyên môn phù hợp với chức năng của mình. Staff possess technical expertise related to their job function.	3.7	-	11%	11%	78%	-
41	Các cán bộ được cập nhật về các mô hình/ phương pháp tốt nhất trong lĩnh vực mà mình công tác. We are well-informed about leading approaches in the areas in which we work.	3.2	-	22%	44%	22%	11%
42	Các cán bộ thường xuyên được tập huấn về các chủ để liên quan đến lĩnh vực mà mình hoạt động. We regularly receive training relevant to our areas of work and job functions.	3.7	-	-	44%	44%	11%
43	Các cán bộ thường xuyên được tạo cơ hội để áp dụng những kiến thức kỹ năng mà mình có vào công việc thực tế. We are consistently given opportunities to put our knowledge and skills into practice.	3.8	-	-	22%	78%	-
44	Tổ chức thường xuyên thành công trong việc xây dựng đề xuất. We consistently write winning proposals.	3.6	11%	-	11%	78%	-
45	Các cán bộ có kỹ năng ngoại ngữ để có thể giao tiếp hiệu quả với cộng đồng quốc tế hoạt động trong lĩnh vực phát triển. The staff possesses foreign language skills that enable them to communicate effectively with the international development community.	3.8	-	-	22%	78%	-

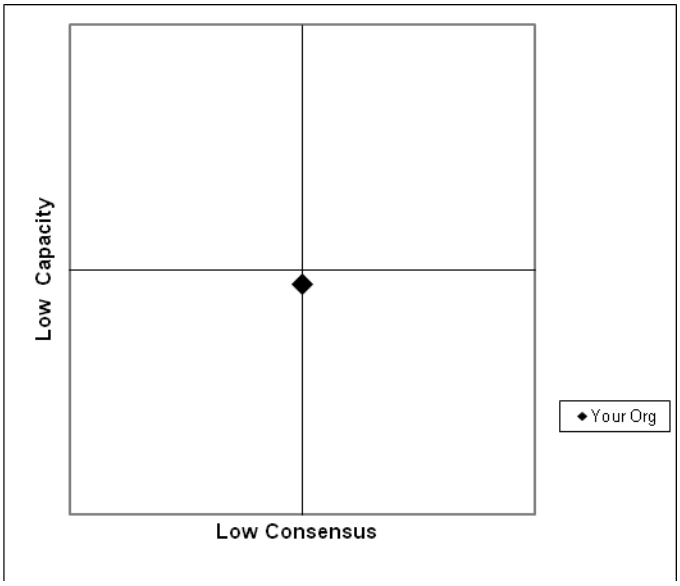
46	Cán bộ có kỹ năng sử dụng các công nghệ tiên tiến hỗ trợ cho công việc. Staff are skilled in utilizing technologies that support our work	3.2	-	-	78%	22%	-
47	Tổ chức khuyến khích cán bộ học hỏi trau dồi kiến thức và sáng tạo. Our organization encourages staff to learn new information and bring in new ideas.	4.2	-	-	11%	56%	33%

6. Program Management | Quản lý chương trình

Ranking Table	Relative Rank (out of 7 success factors)
Capacity	4
Consensus	4=



Program Management | Quản lý chương trình



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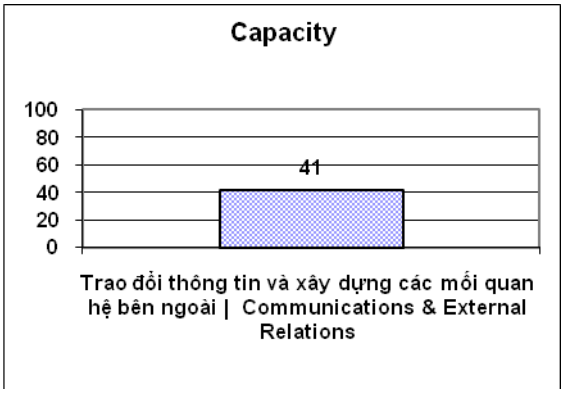
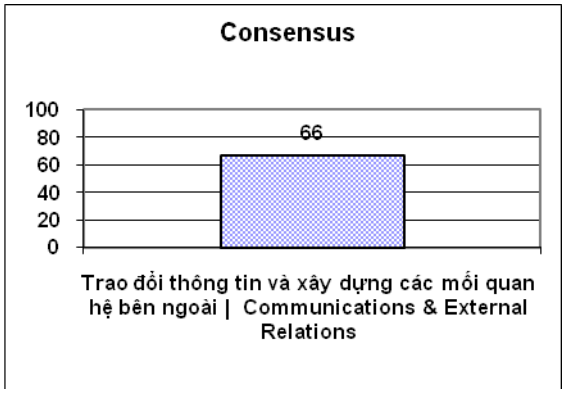
		Mean	1	2	3	4	5
48	Tổ chức luôn đánh giá toàn diện nhu cầu của đối tượng đích. We thoroughly assess the needs and demands of our intended beneficiaries.	3.4	-	22%	22%	44%	11%
49	Các nhóm đối tượng đích và các bên liên quan khác luôn tham gia trực tiếp vào quá trình thiết kế chương trình. We directly involve our beneficiary groups and other key stakeholders in the design of programs.	2.8	11%	22%	44%	22%	-
50	Tổ chức thường xuyên thu thập ý kiến phản hồi của đối tượng đích về chất lượng của chương trình và các hoạt động. We regularly collect feedback from beneficiaries on the quality of our programs and activities.	3.7	-	11%	11%	78%	-
51	Các dự án được triển khai đúng theo kế hoạch hoạt động và ngân sách. Projects are implemented in accordance with detailed project plans and budgets.	3.7	-	-	33%	67%	-
52	Tổ chức có một hệ thống giám sát tiến độ của các chương trình. We have appropriate systems in place to monitor the progress of our programs.	4.0	-	11%	11%	44%	33%
53	Tổ chức có một hệ thống đánh giá kết quả của các chương trình. We have appropriate systems in place to evaluate the outcomes of our programs.	3.2	-	33%	22%	33%	11%

54	Công tác giám sát và đánh giá cung cấp cho tổ chức các thong tin cần thiết về hiệu quả của các chương trình và hoạt động. Our monitoring and evaluation provides us with useful information on the effective-ness of our projects and activities.	3.4	-	-	56%	44%	-
55	Tổ chức sử dụng các kết quả của việc thu thập và phân tích dữ liệu để nâng cao việc thực hiện chương trình / dịch vụ. We use the findings generated through data collection and analysis to improve our practices / services.	3.8	-	-	22%	78%	-
56	Các chương trình và hoạt động thường xuyên đạt được các kế hoạch đề ra. Our projects and activities consistently achieve their intended results.	3.6	-	-	44%	56%	-

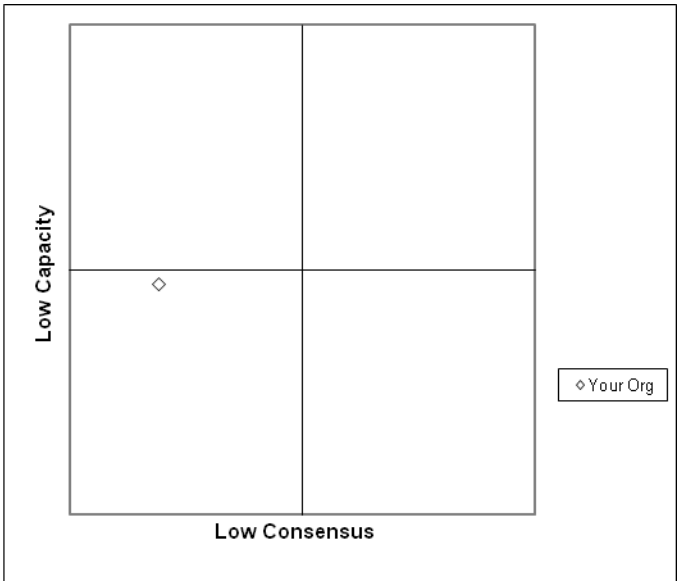
7. Trao đổi thông tin và xây dựng các mối quan hệ bên ngoài | Communications & External Relations

Ranking Table	Relative Rank (out of 7 success factors)
Capacity	7
Consensus	4=





Trao đổi thông tin và xây dựng các mối quan hệ bên ngoài | Communications & External Relations :



Indicator Analysis

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		Mean	1	2	3	4	5
57	Cán bộ tổ chức có kiến thức và kỹ năng giao tiếp để diễn đạt và thúc đẩy công việc với đối tác bên ngoài. Our staff have the knowledge and communications skills to explain and promote our work externally.	3.1	-	22%	44%	33%	-
58	Tổ chức thường xuyên ghi lại những bài học kinh nghiệm và câu chuyện thành công của các chương trình. We regularly document lessons learned and success stories from our programs.	3.2	-	22%	33%	44%	-
59	Tổ chức thường xuyên chia sẻ những bài học kinh nghiệm và thành công của chương trình với các bên liên quan (ví dụ: nhà tài trợ, đối tượng đích, ban giám đốc, công chúng). We regularly disseminate lessons learned and achievements from our programs to all stakeholders (i.e. donors, peers organizations, target group, board of directors, general public).	3.1	-	33%	33%	22%	11%
60	Tổ chức luôn hợp tác với các cơ quan chính phủ có liên quan đến nhóm đối tượng đích/ cộng đồng. We work collaboratively with all government agencies relevant to our beneficiary groups / communities.	4.0	-	-	-	100%	-
61	Tổ chức hoạt động độc lập và có thể vượt qua những áp lực về chính trị hoặc áp lực từ phía chính phủ một cách phù hợp. We operate independently and are able to manage government or political pressure appropriately.	2.6	33%	22%	-	44%	-

63	Lãnh đạo của tổ chức có các kỹ năng cần thiết để đàm phàn hiệu quả với nhà tài trợ. Our leadership has the necessary skills to negotiate effectively with our donors.	4.2	-	-	11%	56%	33%
64	Tổ chức xác định rõ kế hoạch vận động chính sách. We have a well-defined advocacy plan.	2.6	-	44%	56%	-	-
65	Tổ chức có các kỹ năng cần thiết để thực hiện các hoạt động vận động chính sách. Our organization has the necessary skills to conduct advocacy activities.	2.4	-	67%	22%	11%	-
66	Các sáng kiến vận động chính sách đã thành công trong việc tạo ra sự thay đổi. Our advocacy initiatives have been successful in bringing about change.	2.0	33%	44%	11%	11%	-
67	Tổ chức tích cực tìm kiếm đối tác mới nhằm thực hiện sứ mệnh của mình. Our organization actively seeks new partnerships that support our mission.	3.4	-	22%	22%	44%	11%
68	Tổ chức là một thành viên tích cực của các diễn đàn và mạng lưới hoạt động hỗ trợ cho những người và cộng đồng bị ảnh hưởng bởi HIV/ AIDS. Our organization is an active member of forums and networks that share its concern for people and communities affected by HIV/AIDS	3.7	-	-	44%	44%	11%

Priority Gap Analysis

Top Priority Items: ***At least 4 out of 9 respondents identified these as top priority areas*** **Những lĩnh vực cần được ưu tiên nhất:** ***đây là những lĩnh vực mà có ít nhất 4 người trên tổng số 9 người đánh giá là quan trọng nhất***		
Indicator	**Count**	**Score**
11. Lãnh đạo của tổ chức đã tích cực khuyến khích sự tham gia của nhân viên trong việc lập kế hoạch và ra quyết định. Our leadership actively promotes staff participation in planning and decision making.	6	3.7
16. Các chính sách và quy trình tài chính của tổ chức rất rõ ràng và được viết thành văn bản Our financial policies and procedures are clear and documented.	6	**3.8**
29. Tinh thần làm việc theo nhóm và hỗ trợ lẫn nhau là đặc điểm văn hóa của tổ chức Teamwork and cooperation are characteristic of our organizational culture.	5	**3.9**
57. Cán bộ tổ chức có kiến thức và kỹ năng giao tiếp để diễn đạt và thúc đẩy công việc với đối tác bên ngoài Our staff have the knowledge and communications skills to explain and promote our work externally.	5	**3.1**
63. Lãnh đạo của tổ chức có các kỹ năng cần thiết để đàm phàn hiệu quả với nhà tài trợ Our leadership has the necessary skills to negotiate effectively with our donors.	4	**4.2**

Annex 17: OCA Results Report Including only Capacity Data

Organization X (Organization X)

Organizational Capacity Assessment (OCA) Report

April 2009

Facilitated and reported by: ---_____ *(Name(s))*

Table of Contents

Acronyms and Abbreviations

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Attachments:

List of Participants Organization X OCAII – March 09

Capacity Building Plan

Acronyms and Abbreviations

BoT	Board of Trustees
CBO	Community Based Organization
CEO	Chief executive Officer
CEW	Conflict Early Warning
CM&PB	Conflict Management & Peace Building
CSO	Civil Society Organization
DPC	District Peace Committee
HR	Human Resources
JD	Job Description
KCSSP	Kenya Civil Society Strengthening Program
ME&R	Monitoring Evaluation and Reporting
MoU	Memorandum of Understanding
NGO	Non Governmental Organization
NSC	National Steering Committee
OCA	Organizational Capacity Assessment
OCAT	Organizational Capacity Assessment Tool
OD	Organizational Development
PMEL	Performance Monitoring Evaluation and Learning
SP	Strategic Plan
ToR	Terms of Reference

1.0 Introduction

This report contains findings and recommendations of the second Organizational Capacity Assessment (OCA) for Peace and Development Trust (Organization X) undertaken on 17th – 18th March, 2009. The assessment was facilitated by -_____ *(Names)*.

The objectives of the assessment were to assist Organization X:

- Understand its present organizational capacity;
- Identify areas of organizational strengths and weaknesses;
- Identify appropriate interventions based on the milestone chart to address weaknesses in order to achieve organizational sustainability;
- Develop a capacity building plan to implement interventions.

2.0 Background of Organization X Trust

The Organization X Trust (Organization X) was registered as a Trust in Kenya in August 200X. The organization's aim is to have a pervading culture of peace, stability and security in all Kenya, where human dignity, equity and justice prevail. Organization X has a database of up-to-date and verified information on all leadership and reconciliatory initiatives in regions that are experiencing post elections violence that is used by government and civil society. The Trust has worked to enhance the capacity of communities to organize peace and reconciliation processes and is recognized by all actors. Lessons learned about the current crisis have been captured to be used to influence the content and adoption of the Draft Peace Building and Conflict Management Policy that has been developed by Organization X. Organization X's mission is to sustain a broad-based coalition of peace worker's largely at the grassroots level, who strive to foster peace in their communities and in the nation at large.

Its key objectives are to:

- Galvanize practical action more widely in the government and political establishments and amongst other institutions and agencies for purposively addressing peace issues and causes of conflict and for dealing with incidences of violent conflict ;

- Promote and encourage resource-sharing and volunteerism among agencies and people committed to establishing peace building and conflict management as a basis for development;

- Develop collaborative and collective efforts between NGOs, CBOs, Donor agencies; Faith based organizations, community institutions and individuals involved in peace work.

3.0 A description of the OCA process

Literature Review

This is the first stage in the process. The literature review was done on March 13th and 16th, 2009 by the Pact OCA team prior to the assessment workshop. The team took time to read through various materials provided by Organization X management to better understand the background, purpose and current status of the organization. Out of the literature review, the OCA team developed key questions to guide discussions at the OCA workshop.

OCA Workshop and Data Collection

This was covered during the first day of the workshop held on 17th March at Organization X's Board-room. Organization X was represented by nine (9) participants at this workshop drawn from senior management and staff.

The workshop involved a self reflection and assessment process during which the participants identified and discussed strengths and weaknesses of their organization. They also had an opportunity to rate the effectiveness of their organization using the OCA tool specifically developed for use by civil society organizations (CSOs) under the Kenya Civil Society Strengthening Program (KCSSP). The tool comprises seven capacity areas, namely: 1) Governance and Management, 2) Human Resources, 3) Financial Resources, 4) Conflict Management & Peace Building, 5) Performance Monitoring, Evaluation and Learning, 6) External Relations and 7) Sustainability. Each of the 7 capacity areas in turn comprises a number of categories comprising a set of indicators (or statements of excellence) that characterize the capacity area.

Generation of strengths and weaknesses as well as scoring was done per capacity area. The facilitators first led a discussion on what the capacity area was seeking to measure and the ideal characteristic of that capacity area. This was then followed by sharing what (in the participants' views) is the current practice in their organization with regard to that capacity area. Equipped with this information, each participant was then asked to generate a list of strengths and weaknesses for the capacity area. The generated list was then displayed and reviewed by all participants to ensure they portrayed the correct image of the organization. Any issues of contention were noted and where necessary packed for triangulation by the facilitators. The facilitators then distributed score sheets for the capacity area and asked each participant to individually score, reflecting on the ideal status, the practice in their organization, the strengths and weakness identified and individual perspectives. Scoring was done on the scale of 1 (the lowest) and 5 (the highest) for each statement of excellence. Those statements that do not apply to the organization were marked "N/A" and those for which the participant did not have sufficient information to score were marked "X".

Data analysis and Interpretation

After the workshop the Pact Kenya team completed the data analysis. Analysis involved transcription of individual scores into an Excel worksheet programmed to automatically calculate the average score per capacity area. This was followed by interpretation of the average scores by comparing them with the strengths and weaknesses generated at the OCA workshop. The average scores were also equated to the four stages of organizational development as shown in the table below. This process assisted the facilitators to make a judgment whether the average score was high or low or mirrored the discussion at the OCA workshop.

Score	OD Stage	Characteristics
1.0-2.0	Nascent	The CSO is in the earliest stages of development. All capacity areas being measured by the OCA tool are in rudimentary form or non-existent
2.1-3.0	Emerging	The CSO is developing some capacities. Structures for governance, management practices, human resources and service delivery are in place and functioning
3.1-4.0	Expanding	The CSO has a track record of achievement; its work is recognized by its constituency/beneficiaries, the government, the private sector, funding partners and other CSOs in the sector
4.1-5.0	Mature	The CSO is fully functioning and sustainable, with a diversified resource base and partnership relationships with national and international networks

Feedback and Planning

Day two 18th March 2009, of the workshop involved presentation of feedback and planning. The first session of the workshop involved sharing results with participants and discussions of the weaknesses and comparing them with the respective scores per capacity area. Issues of contention were also discussed further and concluded. This was followed by a brainstorm session to generate appropriate interventions to address the weaknesses. The list of weaknesses and interventions would be used to complete the capacity building plan scheduled for a meeting set for a later date.

Report writing

Given that this is the 5th and last stage, the Pact team used the information (in collaboration with Organization X point person) to write both the OCA report and the Capacity Building plan.

Constraints in the methodology

Delay in starting the process led to stretching of the program until late in the evening, some discussions were not given sufficient time for discussion due to this late start

Individual scoring process was difficult for some participants because of fixed time to make their judgment

4.0 Results

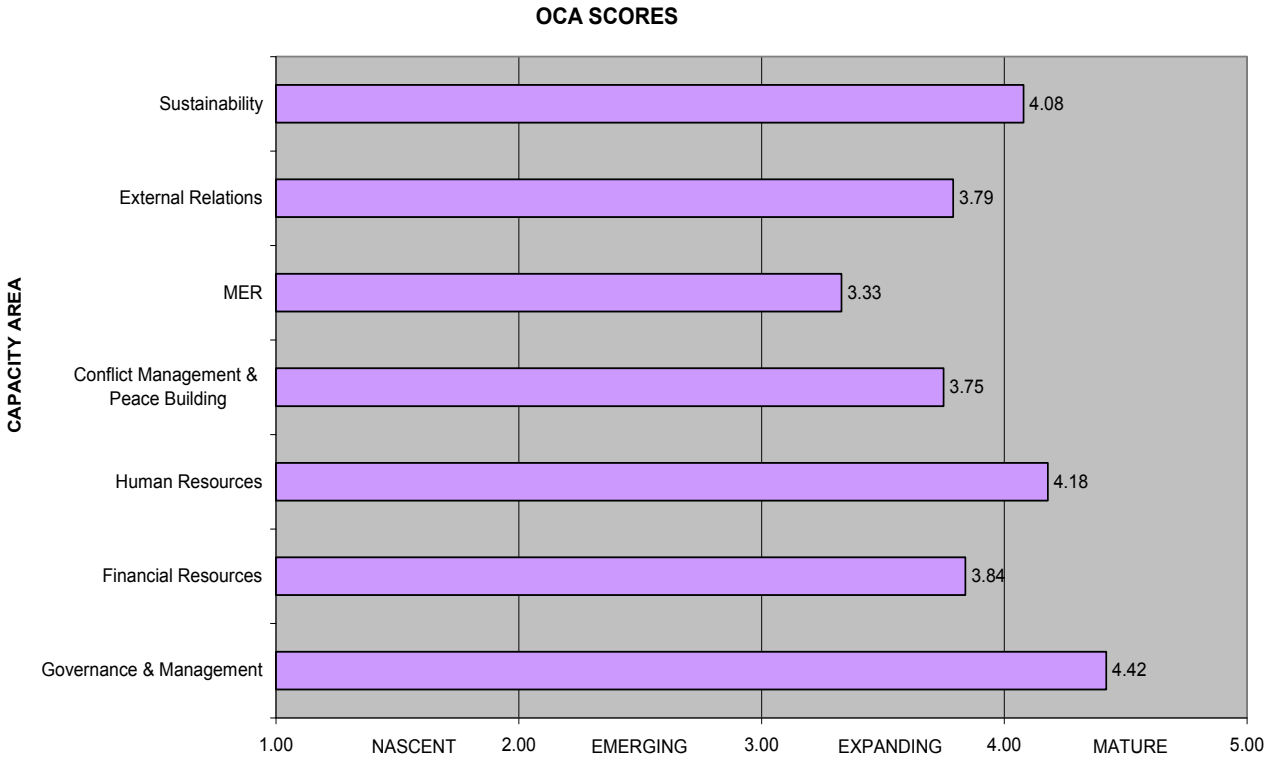
Summary Table

The following table presents the average OCA score's per capacity area and corresponding stages of Organization X's organizational development.

Capacity Area	Organization X Average Score	Stage in OD
Governance and Management	4.42	Mature
Financial Resources	3.84	Expanding
Human Resources	4.18	Mature
Conflict Management & Peace Building	3.75	Expanding
Performance monitoring, evaluation & learning	3.33	Expanding
External Relations	3.79	Expanding
Sustainability	4.08	Expanding

Graphical presentation of results

The following chart is a graphical presentation of Organization Xs's organizational effectiveness.



Summary of Strengths, Weaknesses & Interventions

Governance and Management

Strengths

- Clear goals and objectives
- Regular board meetings
- Operational guidelines and policies in place
- Roles of BoT and management well defined
- Well articulated mission and vision statements
- Transparent and accountable board and management
- Gender mainstreaming at the board and management levels
- Internal democracy and representation in the leadership
- Good coordination between board and the management
- Good internal feedback mechanism
- Equitable regional representation
- Operational organizational chart both at the secretariat and regional levels
- Diversity in the board and management (gender, skills, ethnicity)
- Active membership that makes decisions at all levels

Weaknesses	**Intervention**
Irregular regional elections (board level)	Streamline and implement board terms as per the organizational guidelines
	Have 3-year elections for the board renewable for only 2 terms
	Develop and implement regular timeframe for elections
Weak long-term strategy (not updated/ reviewed e.g. unclear wordings like 'pervading')	Conduct a participatory review of the SP
	Operationalize SP with clear targets, budget projections, indicators
Weak regional structures	Finalize strategy for the regional structures and adopt system
	Properly define the roles of the coordinators and trustees
	Document 'added value' for regional structures for fundraising purposes
	Rationalize regional structures
	Mobilize resources for the regional structures

Human Resources

Strengths

- Regular team building activities
- Promotes research among international students undertaking their thesis researches
- Staff have job descriptions
- Staff have medical cover
- Staff are competent and well trained

- Working internal feedback mechanisms (good internal communications)
- Keen on personal development of staff
- There are opportunities for capacity building for staff and membership
- There is an open door policy
- Good human relations among staff
- Regular staff meetings
- Positive social and task balance
- Strong engagement of interns and volunteers

Weaknesses	**Intervention**
Poor staff motivation at the grassroots	Design proper feedback mechanism/ communication strategy with the grassroots
	Train regional membership on philanthropy/ volunteerism
Weak bonding among structures (board, regional, secretariat)	Have an annual retreat bringing together the various structures
	Invite board and coordinators to social events
Inability to meet the demands of a growing program portfolio	Project workload regularly for appropriate HR requirements
	Encourage volunteerism and internships
	Source for additional resources to support extra staff
Relatively high staff turnover	Establish a HR department
	Assess capacity needs for the Organization X and staff regularly
	Create space for applying newly acquired skills
	Design an incremental salary scale and other fringe benefits
	Design a staff binding documentation for contracting training beneficiary (e.g. 2 years service after support to attend training)
Weak induction/ handing over mechanism	Design an induction and exit strategy for all staff
	Implement an induction and exit strategy for all staff
Fairly weak regional staff (in terms of staff capacity and support given to them)	Develop capacity building strategies for regional coordinators
	Professionalize recruitment of regional coordinators (not elections, but interviews!)
	Allocate financial resources for regional support

Financial resources

Strengths

- Timely financial reporting at all levels
- Broad multi donor funding
- Credibility from most of the donors

- Has a draft resource mobilization strategy
- Draft regional operational manual
- Proper internal and external audits
- Good internal controls
- Accountability by regional structures
- Operational financial systems

Weaknesses	**Intervention**
Weak regional financial reporting systems/ internal controls	Develop strategies for enhancing regional financial management
	Streamline regional management structures
	Build capacities of regional coordinators in financial management
Limited system for program budget monitoring	Implement a financial system that allows program officers to monitor their budgets

Monitoring and Evaluation

Strengths

- There is an internal appreciation of the need for a robust M&E system
- There are regular program meetings
- Senior staff are trained in M&E
- Updated and revised work plans
- Regular activity reports
- Gaps identified in project reports informs project planning
- In built M&E systems within programs (underway)
- Clear and various reporting formats
- Quarterly projections with clear standards for measuring progress. Includes reflections Quarterly midterm reviews

Weaknesses	**Intervention**
Loss of institutional memory (no central and accessible document depository)	Develop a strategy for improving institutional knowledge base
	Develop an internal central filing system with a search mechanism
Absence of specific staff to handle M&E	Fundraise for an M&E Officer
	Designate and build the capacity of a staff to undertake M&E
Staff less inducted in M&E	Facilitate an in-house training on M&E
Weak M&E system (weak baseline data)	Develop an integrated M&E system / framework

Conflict management and peace building

Strengths

- Excellent tools for capacity building for the network and partners in the sector

- Strong network of members and partners (national, regional, global)
- Inclusion of both men and women in the peace interventions
- Buy-in of our core mandate by stakeholders
- Increasing and active membership base
- Effective research in conflict management
- Well defined program framework
- Effective implementing structures
- Formation and capacity building of District Peace Committees
- Uses conflict sensitive approaches in all programming (institutionalized)
- A conflict tracking system in progress
- Increased influence on policy advocacy
- Traditional peace building initiatives utilized
- Trained and experienced conflict managers
- Has peace monitors (Organization X Peace monitors)
- Receives and gives strong feedback to stakeholders

Weaknesses	**Intervention**
Weak response mechanism to emergencies	Strengthen regional networking and data base
	Develop a rapid response initiative
	Fund raise for rapid response
High donor influence on programs	Share Organization X strategic priorities with donors
	Sign MoU with donors before commencement of projects
Lack of psychosocial component	Train staff and membership on psychosocial interventions
	Create linkages with specialists for referrals of psychosocial cases
Advocacy strategy not yet validated by staff after development (not yet clear)	Facilitate a meeting for the validation of the developed advocacy strategy by staff and membership
	Finalize the development of the advocacy strategy

External relations

Strengths

- Good relations with the government
- High quality of work endears to us many peace players
- Elected as local focal point for several networks
- Draft communications strategy in place
- Impartial in program implementation
- Good working relations with donors
- Developed as a brand in peace work in Kenya

Weaknesses	Intervention
Failure to position as a resource to the media	Finalize the communications strategy
	Explore avenues to utilize the media to promote sustainable peace
Unclear institutional guidelines on the engagement with the District Peace Committees and the National Steering Committee on Peace building	Define Organization X's engagement with DPCs and NSC
	Lobby the government to pass the peace policy
Weak relations with the private sector	Develop a strategy to engage the private sector

Sustainability

Strengths

- Relevant programs
- Membership committed to the values and core activities of Organization X
- Growing membership

Weaknesses	Intervention
Lack of emphasis on development component of the network	Design appropriate programs with a development component

5.0 Conclusion

The following table presents the results of the second OCA in comparison to the results from the first OCA.

	OCA I		OCA II	
	Average scores	OD Stage	Average scores	OD Stage
1.0. GOVERNANCE AND MANAGEMENT	**4.29**	**Mature**	**4.42**	**Mature**
1.1. Vision, Mission and Goals	4.30		4.14	
1.2. Credibility of the CSO	3.96		4.66	
1.3. Governing body	3.88		4.25	
1.4. Management	4.50		4.60	
1.5. Legal Status	4.48		4.72	
1.6. Membership	4.19		4.05	
1.7. Stakeholders/Constituency	4.33		4.63	
1.8. Strategic Planning	4.83		4.58	
1.9. Organizational Structure	4.01		4.25	
1.10. Policies and Procedures	4.45		4.31	
2.0. FINANCIAL RESOURCES	**4.16**	**Mature**	**3.84**	
2.1. Resource Mobilization	4.12		3.49	
2.2. Resource Allocation/Budgeting	3.70		3.59	
2.3. Accountability to Donors and Other Stakeholders	4.44		4.19	
2.4. Procurement	4.36		4.09	
3.0. HUMAN RESOURCES	**4.03**	**Expanding**	**4.18**	
3.1. Corporate Culture	4.51		4.48	
3.2. Technical Capacity	3.67		3.88	
3.3. HR Policies and Procedures	3.89		4.19	
4.0. CONFLICT MANAGEMENT & PEACE BUILDING	**3.61**	**Expanding**	**3.75**	**Expanding**
4.1. Surveillance and analysis	3.60		3.83	
4.2. Mobilization and education	3.57		3.58	
4.3. Intervention and Facilitation	3.69		4.04	
4.4. Networking and collaboration	4.38		4.30	
4.5. Sustaining peace-building efforts	3.49		3.44	
4.6. Information Dissemination	3.03		3.72	
4.7. Lobbying and Advocacy skills	3.48		3.36	

5.0. MONITORING, EVALUATION AND REPORTING	**3.50**	**Expanding**	**3.33**	**Expanding**
5.1. Systems	3.23		2.90	
5.2. Data Quality	3.50		3.19	
5.3. Information Management Systems and Practices	3.64		3.60	
5.4. Program Management and Decision Making	3.62		3.65	
6.0. EXTERNAL RELATIONS	**4.26**	**Mature**	**3.79**	**Expanding**
6.1. Relations with Funding Partners	4.67		4.50	
6.2.Private Sector Relations	3.68		2.36	
6.3. Relations/Collaboration with the Government	4.45		4.50	
7.0. SUSTAINABILITY	**4.08**	**Expanding**	**4.08**	**Expanding**
7.1. CM&PB Sustainability	3.90		3.64	
7.2. Organizational Sustainability	4.30		4.54	
7.3. Financial Sustainability	4.04		405	

Summary:

According to the table above, the scores from the second OCA do not depict an improvement in some capacity areas. This may not necessarily mean that the scores are not accurate but may portray the fact that Organization X is now setting their standards a little higher than last year. This clearly describes the cyclic nature of organizational development responding to the dynamic environment around it.

Sustainability capacity area's score was the same as the first OCA with program sustainability scoring less than OCA 1. The lowest scored capacity area was Monitoring Evaluation and Learning particularly systems. The reason for low scores according to the participants was due to inadequate comprehensive systems and frameworks as well as staff skills This means that Organization X's M&E system is inadequate to effectively monitor the progress of the organization's strategic plan as well as individual projects within the organization.

The capacity area that registered the most improvement was Human Resources specifically on the HR Policies and Procedures. During the first OCA, Organization X pointed out weaknesses in adherence to the HR policies, inadequate staffing, volunteer motivation and HR budget allocation. These issues were remedied by the implementation of the interventions planned for in the Capacity Building Plan 2008-2009. Three new staff have since been contracted and there are increasingly more opportunities for staff capacity building (one staff member is currently in the UK taking a short course). The operational guidelines (HR Manual) was printed and disseminated to each staff member. The guidelines are now fully adhered to by all staff. The management invests more on human relations for individual and group dynamics. Organization X's board is now meeting regularly and the members are more in touch with the membership.

Financial sustainability remains a key concern for Organization X. When there is no crisis, they feel they need to work even harder so as to be able to avert any such eventuality, but the donors work in the reverse and are more forthcoming in times of crisis. Post election crisis brought donors to Organization X's door; most donors were coming to Organization X because they wanted them to intervene. However, a major shortcoming experienced by Organization X is the short-term engagement with various donors. Organization X has a strategic plan that is not fully funded by a donor (start to end). A transition from project to program work is needed to boost the organizations financial sustainability.

Service delivery (Conflict Management & Peace Building) has improved in the last one year; information is disseminated more regularly to the constituents especially after the Advocacy Officer and the Information Officer were employed. Organization X has since received some good feedback on data quality from donors and other partners. Data collection by field monitors has also improved. Data collection and analysis has now been regularized and institutionalized.

Partnership with the private sector was not pursued during this year and this is to be followed up over the duration of the capacity building plan which is an output of the second OCA. This means that Organization X needs to prioritize the development of private sector engagement policies.

Attachments:

List of Participants Organization X OCAII – March 09

1. Person A – Staff
2. Person B – Staff
3. Person C – Trustee A
4. Person D – Staff
5. Person E – Staff
6. Person F – CEO
7. Person G – Trustee B
8. Person H – Trustee
9. Person I – Coordinator C

Annex 18: Rapid Organizational Scan (ROS)

Rapid Organizational Scan (ROS) – CSOs Operating in the HIV/AIDS Sector in Malawi

Outreach facilitators complete questions in interviews with CSO staff. Answers may be verified through interviews and supporting documentation where appropriate.

Biographical Data	
Organization Name	
Location (Town/City and District)	
Number of full time staff	
Number of volunteers	
Years in operation	
Years working in the HIV/AIDS sector	
Year and amount of largest grant received	
Activities conducted with largest grant received	
Average grant size	
Year and amount of first grant received for HIV/AIDS	
Activities conducted with first grant received for HIV/AIDS	
Service Areas – Check boxes next to service areas that your organization operates in	
Care and Support	
• Orphans and Vulnerable Children	
• Home-based care	
• Clinic-based care	
Treatment	
• Anti-retroviral	
• Sexually Transmitted Infection / Optimistic Infection diagnosis and treatment	
Testing and Counseling	
• Pre-testing counseling	
• Post-test counseling	
• Referral for treatment	
Prevention	
• Abstinence	
• Be Faithful	
• Condoms	

• Prevention of Mother to Child Transmission	
Advocacy	
• Direct advocacy activities	
• Advocacy training	
Capacity Building	
• Organizational development	
• HIV/AIDS technical assistance/training	
Impact Mitigation	
• Stigma/discrimination reduction activities	
• Positive living training	
• Income Generating Activities	

Capacity Checklist

Mission and Strategy

1. The organization is formally registered. Agree ☐ Somewhat Agree ☐ Disagree ☐
2. The organization has a written mission statement. Agree ☐ Somewhat Agree ☐ Disagree ☐
3. Staff and volunteers are familiar with the mission of the organization. Agree ☐ Somewhat Agree ☐ Disagree ☐
4. The day-to-day projects of the organization are directly related to its mission. Agree ☐ Somewhat Agree ☐ Disagree ☐
5. The organization has a strategic plan. Agree ☐ Somewhat Agree ☐ Disagree ☐

Financial Management

6. The organization has an accounting system in place. Agree ☐ Somewhat Agree ☐ Disagree ☐
7. Books are closed at the end of each month. Agree ☐ Somewhat Agree ☐ Disagree ☐
8. The organization regularly prepares financial reports. Agree ☐ Somewhat Agree ☐ Disagree ☐
9. The organization performs regular internal financial audits. Agree ☐ Somewhat Agree ☐ Disagree ☐
10. The organization performs regular external financial audits. Agree ☐ Somewhat Agree ☐ Disagree ☐
11. The organization prepares an annual budget. Agree ☐ Somewhat Agree ☐ Disagree ☐

Human Resources

12. Staff members have written job descriptions. Agree ☐ Somewhat Agree ☐ Disagree ☐
13. The organization is successful in recruiting volunteers/members. Agree ☐ Somewhat Agree ☐ Disagree ☐
14. The organization is successful in retaining volunteers/members. Agree ☐ Somewhat Agree ☐ Disagree ☐
15. Volunteers/members are adequately compensated for their efforts. [cash/in-kind] Agree ☐ Somewhat Agree ☐ Disagree ☐
16. Efforts are made to ensure that people living with HIV/AIDS are involved in *all aspects* of the organization. Agree ☐ Somewhat Agree ☐ Disagree ☐
17. Volunteers/staff receive regular refresher trainings to ensure they have the proper skills to complete their assigned duties. Agree ☐ Somewhat Agree ☐ Disagree ☐
18. The organization has successfully dealt with human resources challenges resulting directly from the HIV/AIDS pandemic. Agree ☐ Somewhat Agree ☐ Disagree ☐

Leadership and Governance

19. The organization has an active board of directors. Agree ☐ Somewhat Agree ☐ Disagree ☐
20. The composition of the board of directors – in terms of PLWHA – is representative of the broader community. Agree ☐ Somewhat Agree ☐ Disagree ☐
21. Organizational leaders model excellence in their actions. Agree ☐ Somewhat Agree ☐ Disagree ☐
22. The organization's staff/volunteers are given opportunities to take on leadership roles within the organization. Agree ☐ Somewhat Agree ☐ Disagree ☐

Accountability

23. The organization has systems in place to routinely monitor and evaluate its activities. Agree ☐ Somewhat Agree ☐ Disagree ☐
24. The organization openly reports on its activities and results. Agree ☐ Somewhat Agree ☐ Disagree ☐
25. The organization has mechanisms to ensure accountability to beneficiaries. Agree ☐ Somewhat Agree ☐ Disagree ☐
26. The organization has mechanisms to ensure accountability to donors. Agree ☐ Somewhat Agree ☐ Disagree ☐

Service Delivery

27. Before designing activities the organization conducts a thorough community needs assessment. Agree ☐ Somewhat Agree ☐ Disagree ☐
28. All clients of the organization and the services they receive are properly registered. Agree ☐ Somewhat Agree ☐ Disagree ☐
29. The organization maintains confidentiality for all clients. Agree ☐ Somewhat Agree ☐ Disagree ☐
30. The organization maintains an effective referral system to link clients to the services they need. Agree ☐ Somewhat Agree ☐ Disagree ☐
31. Clients' movement through the referral system is tracked on a regular basis by the organization. Agree ☐ Somewhat Agree ☐ Disagree ☐
32. All services provided by the organization follow national guidelines and standards related to HIV/AIDS related care and services. Agree ☐ Somewhat Agree ☐ Disagree ☐
33. The organization has written standard operating procedures for all of the services it provides. Agree ☐ Somewhat Agree ☐ Disagree ☐
34. The organization has mechanisms in place for gathering feedback from beneficiaries on the quality of services. Agree ☐ Somewhat Agree ☐ Disagree ☐

Care and Support (complete if appropriate)

35. The organization is successfully able to mobilize community members to participate in care and support activities. Agree ☐ Somewhat Agree ☐ Disagree ☐
36. The organization takes a holistic approach to home based care activities. Agree ☐ Somewhat Agree ☐ Disagree ☐
37. The organization takes a long-term approach to dealing with orphans of the HIV/AIDS pandemic (including education, livelihoods etc.) Agree ☐ Somewhat Agree ☐ Disagree ☐
38. Organization provides both medical and non-medical care and support services. Agree ☐ Somewhat Agree ☐ Disagree ☐

Treatment (complete if appropriate)

39. The organization has a regular and reliable source of medical supplies and drugs. Agree ☐ Somewhat Agree ☐ Disagree ☐
40. The organization works in close collaboration with fully trained medical staff. Agree ☐ Somewhat Agree ☐ Disagree ☐
41. Organization staff are properly trained in the administration of ARVs. Agree ☐ Somewhat Agree ☐ Disagree ☐

Testing and Counseling (complete if appropriate)

42. The organization utilizes safe needle protocols. Agree ☐ Somewhat Agree ☐ Disagree ☐
43. Counselors participate in regular training sessions. Agree ☐ Somewhat Agree ☐ Disagree ☐
44. The beneficiary's right to privacy is always maintained. Agree ☐ Somewhat Agree ☐ Disagree ☐
45. Counseled beneficiaries are always made aware of additional services available to them. Agree ☐ Somewhat Agree ☐ Disagree ☐
46. Clients receive pre and post test counseling. Agree ☐ Somewhat Agree ☐ Disagree ☐

Prevention (complete if appropriate)

47. The organization targets high-risk groups in its prevention activities. Agree ☐ Somewhat Agree ☐ Disagree ☐
48. Prevention messages are provided in the local language of beneficiaries. Agree ☐ Somewhat Agree ☐ Disagree ☐
49. Prevention messages use the most up-to-date and accurate information about HIV/AIDS. Agree ☐ Somewhat Agree ☐ Disagree ☐
50. Prevention messages are tailored to reach specific audiences. Agree ☐ Somewhat Agree ☐ Disagree ☐

Advocacy (complete if appropriate)

51. The organization has a well-defined advocacy plan. Agree ☐ Somewhat Agree ☐ Disagree ☐
52. The organization has the necessary skills to conduct advocacy activities. Agree ☐ Somewhat Agree ☐ Disagree ☐
53. The organization conducts advocacy training with community groups. Agree ☐ Somewhat Agree ☐ Disagree ☐

Capacity Building (complete if appropriate)

54. The organization ensures that local actors have the necessary technical skills to carry out HIV/AIDS activities. Agree ☐ Somewhat Agree ☐ Disagree ☐
55. The organization uses a variety of approaches to capacity building that go beyond traditional 'training' events. Agree ☐ Somewhat Agree ☐ Disagree ☐
56. The organization builds capacity in core management areas (financial management, strategic planning, resource mobilization, etc.) with a view to fostering strong, sustainable local institutions. Agree ☐ Somewhat Agree ☐ Disagree ☐

Impact Mitigation (complete if appropriate)

56. Internal stigma/discrimination is reduced through activities that build the self esteem of PLWHA. Agree ☐ Somewhat Agree ☐ Disagree ☐
57. PLWHA play significant and visible roles within the organization. Agree ☐ Somewhat Agree ☐ Disagree ☐
58. PLWHA are provided with a range of effective tools for positive living. Agree ☐ Somewhat Agree ☐ Disagree ☐
59. The organization conducts education sessions to decrease stigma/discrimination in the community. Agree ☐ Somewhat Agree ☐ Disagree ☐
60. Organization works with health care providers to reduce discrimination. Agree ☐ Somewhat Agree ☐ Disagree ☐

Annex 19: Action Planning Matrix

OCA Action Planning Matrix

Challenge Identified in OCA Debrief Activity	Priority Score

Tasks we can do ourselves	**Order of completion**	**Who is responsible?**

Tasks we can do with help from the community	**Order of completion**	**Who is responsible?**

Tasks we need external assistance to complete	**Order of completion**	**Who is responsible?**

Annex 20: ISP from Pact Malawi

Pact Malawi Institutional Strengthening Plan Template

Institutional Strengthening Plan: December 1, 2008 – October 30, 2009		
Training Events: Pact Malawi and our Organizational Development (OD) Partners – CABUNGO and MANASO – will offer three multi-partner trainings during FY09. These trainings will target cross-cutting needs identified through the OCA process.		
Capacity Area of Training	**Detailed Training Topics**	**Dates of Training**

Targeted Interventions: Before October 2009, Pact Malawi and our OD partners will offer each partner one three-day organizational development intervention tailored to meet a specific need identified by your organization during the OCA process.

Please indicate your preference of activity by marking 1, 2 and 3 next to each, 1 being your first preference, 2 your second preference, and 3 your third preference. When choosing your preferences, consider which intervention meets your most pressing organizational need.

Capacity Building Challenge Identified Through OCA Process	Suggestions for Activities to Address these Challenges	Outcomes Expected on Completion of Activities	Preference

Mentoring: In addition to the activities described above, Pact and our OD partners are able to provide mentoring assistance with any of the following activities. The mentoring to be provided will be decided in collaboration with your mentor. Support may include answering queries, providing reports or other intellectual capital, facilitating introductions, reviewing documents, etc.

We understand that it is not possible for you to focus on all of the activities below before October 2009. Please indicate up to six areas you would like mentoring assistance with during this period and which areas you would like to pend until next year.

Capacity Building Challenge Identified Through OCA Process	Priority (High scores = greater priority)	Suggestions for Activities to Address these Challenges	Outcomes Expected on Completion of Activities	Areas of Focus	
				2008/09	Pend
Material and Financial Resources					
Human Resources Management					
Knowledge Management					

Administration			Advocacy and Lobbying		

Annex 21: ISP from Pact South Africa

Pact South Africa HIV/AIDS Umbrella Grant Management Program	
Institutional Strengthening Plan	
Organization:	Date: October 9, 2008

Summary of findings from the MCAT conducted March 2008

-

Findings from monthly reviews and program monitoring

-

Intervention	Target Group in the organization	Process Tracking	Output	Means of verification	Role of Org X	Role of Pact	Timeframes

Key Financial Management Milestones/indicators for tracking progress

Summary of Findings from MER Capacity assessment and systems review

-

Intervention	Target Group in the organization	Process Tracking	Output	Means of verification	Role Org X	Role of Pact	Timeframes

Key MER milestones/indicators for tracking progress

Summary of OCA Findings: Governance and Leadership •							
Intervention	**Target Group in the organization**	**Process racking**	**Output**	**Means of verification**	**Role Org X**	**Role of Pact**	**Time-frames**
Summary of OCA Findings: Management Practices •							
Intervention	**Target Group in the organization**	**Process Tracking**	**Output**	**Means of verification**	**Role Org X**	**Role of Pact**	**Time-frames**
Summary of OCA Findings: Sustainability •							
Intervention	**Target Group in the organization**	**Process Tracking**	**Output**	**Means of verification**	**Role Org X**	**Role of Pact**	**Time-frames**
Key OD Milestones/indicators for tracking progress •							

Summary of Findings from Programmatic and technical support processes •							
Intervention	**Target Group in the organization**	**Process Tracking**	**Output**	**Means of verification**	**Role Org X**	**Role of Pact**	**Timeframes**
Key technical and programmatic milestones/indicators for tracking progress: •							

Annex 22: ISP from Pact Kenya

Capacity Building Plan: Organization XYZ: Sept 2009-Aug 2010

	Weakness/Issue Being Addressed	***Possible Causes***	***Proposed interventions***	***Benchmark/ Indicator for completion or progress made***	***Means of verification***	***Timeframe***		***Support from Pact/ KCSSP***	***Person responsible***	***Status***
CAPACITY AREA			*Choose high level interventions with multiplier effects*	*An activity/ action to demonstrate progress that has been made in addressing an issue/ weakness*	*Mainly documentation showing progress made e.g. training report; list of participants; board performance reviews*	*Start Date (Month/ Year)*	*Finish Date (Month /Year)*	*The interventions Pact/ KCSSP will support*	*The person or organ in a CSO to be responsible in implementation.*	*To be filled at every visit to review progress made*
GOVERNANCE & MANAGEMENT	Example: Irregular board meetings	Delayed communication and notifications of meeting dates	Set meeting dates early and notify board members promptly	Board meetings' dates set and communication sent to members promptly Board meetings regularized	Board meetings schedule Board minutes Copies of the invitations					

	Weakness/Issue Being Addressed	Possible Causes	Proposed interventions	Benchmark/ Indicator for completion or progress made	Means of verification	Timeframe	Support from Pact/ KCSSP	Person responsible	Status
FINANCIAL RESOURCES									
HUMAN RESOURCES									
CONFLICT MANAGEMENT & PEACEBUILDING									

	Weakness/Issue Being Addressed	Possible Causes	Proposed interventions	Benchmark/ Indicator for completion or progress made	Means of verification	Timeframe		Support from Pact/ KCSSP	Person responsible	Status
MONITORING & EVALUATION										
EXTERNAL RELATIONS										

Annex 23: Workshop Logistics and Budgeting

The Logistics of Organizing a Workshop

The first rule of workshop logistics is: do not under-estimate the time and effort required to organize a workshop.

Participant Invitations and Confirmations: Before you send out the invitation letters make sure that you know who you want to participate in your workshop. While the letter should go to the NGO Director, make it clear which staff or board member are targeted by the training. As a rule of thumb, invite more than one person per NGO and make sure to include a decision-maker as well as someone who will be required to exercise the new skill. If there are any selection criteria for participants, make these explicit in the invitation and require that the trainees document how they meet these criteria before accepting them into the workshop. If there are any expectations of follow-up required of participants once they return from the workshop, make sure that they sign a commitment letter confirming their agreement to all of the terms of participation.
Before sending out the invitation, you should at least know the dates of the event and the city where it will take place. Also clarify what Pact will pay for and what participants or their NGO are expected to contribute.

As you get participant names, keep a participant list, including their name, email address, NGO affiliation and address, and phone number. Leave space to track transport information, arrival and departure date and time. (Click here for a template)

Choosing and Booking the Venue and Hotel Rooms: Before choosing a venue, you will need to have chosen a city that is relatively centrally located in comparison to your out of town participants. If possible, choose a city where you have an office with some logistics capacity. Once you have chosen your city, you will need to choose a venue that has hotel rooms and meeting space within your price range and available when you need them. Don't complicate your life by putting your guests up in one hotel and having your meeting at another venue, unless it results in significant savings. The hotel prices should ideally include breakfast and don't hesitate to try to negotiate a lower price per room if you will be reserving ten or more rooms. You should also seek to include a clause in your agreement that establishes a cut off date before which you can hold the maximum number of rooms you expect to need and after which you need to commit to paying for a certain number of rooms with no guarantee of getting any more.

The meeting space should ideally include one large room, to accommodate your full group, which should be anywhere from 20 to 40. Anything above 20 should be led by more than one facilitator. You will need one possibly two breakout rooms. Make it clear that you want meeting rooms that will be organized in rounds or in a U shape. Avoid theatre style lay-out at all cost, since it is not conducive to group work and participatory learning. If you intend to use PowerPoint, make sure that the rooms can accommodate a projector. If you have a projector in your office, it will probably be a lot cheaper to use it, rather then rent one on a daily rate from the venue. If the area has frequent power outages, make sure that the venue has a functioning generator.

Before signing any contract, make sure that the venue has a restaurant that can cater to large groups. Often, if you commit to taking all of your lunches and coffee breaks on-site you can negotiate the meeting space for no additional charge or for a lowered daily rate. Make sure that you have explored at least three options before signing a contract confirming all the details you have agreed upon.

As you receive confirmation from participants, share the up-dated lists with the hotel, so that they can track the arrival and departure dates.

Organizing Participant Travel: If your original invitation letter did not include the details about the venue and how and when to get there, make sure that you send a follow-up letter or email with these details. If there are different options for travel, for example – both air and bus options are available, be clear about which options you are willing to pay for. Ask each participant to purchase their tickets ahead of time and send you their travel itinerary as soon as they have it. Make sure all participants know ahead of time which receipts they will need to keep and present for reimbursement. If any of the participants need to come from abroad and will require a visa, make sure to send them detailed instructions on how to go about obtaining a visa as well as a letter from Pact documenting the purpose of their trip.

Travel from the airport or bus or train station to the hotel can either be handled by each participant on their own or organized by Pact. If you choose to organize this transport and do not already have a reliable taxi or mini-bus service, ask the hotel to recommend one. We only recommend this option if you are concerned about the safety of your participants or if you can negotiate a group rate for Pact. Compare two or three options before making your choice.

Pre-Workshop Information: Once you have all of your logistics worked out, send out an email to your participants with the following information:

- Name and Address of the Venue
- Taxi arrangements for transport from Airport to Hotel
- Workshop Start Time
- Per Diem Arrangements

If the workshop involves international travel, information about the Country Context: weather, currency exchange rates, cultural realities that participants need to understand, other dos and don'ts

Participant Assessment Tool: If you want to measure the degree to which your participants knowledge has increased during the workshop, you might conduct a participant assessment at the beginning of the workshop and then again at the end. Alternatively, you may want to get a better idea of the level of your participants as well as their learning objectives, so that you can tweak the workshop agenda to make it more relevant to their needs. In this case, you would need a different type of participant survey with more open-ended questions (CLICK here for a sample attached.)

Welcome Packets: As participants check in, they should be handed a welcome packet that should include a summary agenda, which identifies the room where the meeting is to be held, a list of participants, the name of a contact person in case someone needs help, some background on the area around the hotel, and any reading materials that the participants need to have read prior to the first session.

Laying out the Room: When you book the rooms, you will probably be asked to choose a room layout. We strongly recommend rounds of up to 8 or a U shaped table. These rooms will usually be set up the night before. Ask to see the rooms ahead of time to make sure they are set up they way you want. Make sure that you have the AV equipment you need as well as the right number of flip chart stands. If you need internet access in the meeting room, arrange for it ahead of time. If you don't need it for your training purposes, we recommend not having it available, since it may lead to participants spending time reading their emails instead of focusing on the session. Alternatively, internet access should be available in the hotel rooms.

Social Events: Although they add cost to your workshop, social events are good to hold the evening of your first or second day to get you participants to interact in a more informal setting. Relationships among the participants are more likely to be sustained over time if people feel a personal connection. These events help develop these types of linkages.

Developing a Workshop Budget
As you analyze the cost of holding a workshop, here are the line items to consider:

- Facilitator Fees – Depending upon the size of the group, you will need to hire one or more facilitators. We recommend no more than 20 participants per experienced facilitator. If you are hiring a consultant this would be the daily rate, plus any cost of room and board during the workshop. You will probably need to add on a day or two at the beginning to tailor the agenda to the target audience and a day or two at the end to prepare a workshop report. If the workshop is going to be delivered by your staff, there will be no incremental cost, but keep in mind if s/he delivers the training to a group of NGOs at the same time, it will free him or her to provide follow-up one-on-one mentoring or TA support to each participating NGO.

- Space – The cost per day of renting a workshop venue that can accommodate 20 - 40 participants will vary from country to country, anywhere from nothing, if the space is borrowed from one of your partners, or $1,000, in a more developed country. Often meeting space fees can be negotiated down or eliminated if you are housing your participants and buying all your meals on-site. Don't forget to ask for one or two breakout rooms, which will be required for much of the group work included in the workshop curricula.

- Meals – If you are doing all day sessions, you will need to plan for lunch and two coffee breaks. Assume anywhere from $15 - $35/person/day. If your participants are lodged at the workshop facility you will need to add dinner for each participant each day, which will add another $10 - $20/person/day. Take into account that participants are likely to need food and lodging for one – two days extra days, assuming they arrive one day early and leave the day after the event is completed.

- Lodging – If you are bringing participants from several cities together in one location, you will need to house some or all of them. The cost of bed and breakfast will vary greatly from one place to another. It will likely add anywhere from $25 - $150/night/person.

- Transport to and from the Facility – Whether or not you are providing lodging to participants, you are likely to need to finance their transport to and from the workshop, unless they provide their own transportation as cost-share. For those who come only during the day, you will

need to cover round-trip transport for each day of the workshop. If there is an effective public transportation system, the cheapest option is to reimburse participants for bus fare. If no pubic transport exists, you can either provide transport yourself through a hired minibus service or reimburse for taxis. If your participants are coming from all over the country, you are likely going to need to pay for bus or airfare.

- Workshop materials – As a rule of thumb, assume that you will need roughly $20 in workshop supplies for each workshop participant. These will be spent on flip chart paper, markers, masking tape, name tags, photocopies and other printed material.

- Communications Costs – Depending how far away your NGO partners are, you may need to add a communications line item into your budget to cover the cost of telephone communications.

Below are two sample budgets that can be used as templates for estimating your workshop costs. The first assumes that you decide to bring 10 NGOs together in one location with two participants per NGO, all of whom require transportation, food and lodging. The second example assumes that you decided to train each of the 10 NGO individually, with the same two participants per NGO. The totals suggest that it is slightly more economical to train each of the NGOs separately, therefore, if you are not concerned with building solidarity among your NGO partners, nor about the extra time required by training each NGO in sequence, it makes more financial sense to train your NGOs one-by-one. In this case, you may choose to increase the number of trainees per NGO. If, for example, you decided to train six participants per NGO, the cost would approach $2500 per NGO, but would increase the chances that the NGO would actually adopt the systems, behaviors, and competencies you seek to transfer.

Workshop Budget Estimator - Example for 5 day Workshop involving 20 Participants

	Units	**Days**	**Cost/Unit**	**Total Cost**
Facilitators	1	9	$300	$2,700
Room Rental - Main Room	1	5	$400	$2,000
Room Rental – Breakouts	2	5	$200	$2,000
Lunch and Coffee Breaks	20	5	$25	$2,500
Extra Lunch for Lodged Participants	20	1	$20	$400
Dinner	20	6	$15	$1,800
Lodging - Bed and Breakfast	20	6	$50	$6,000
Transport - Round Trip	20	1	$20	$400
Materials	20	1	$20	$400
Sub-Total				*$18,200*
Unexpected Expenses @5%				$910
Total				***$19,110***
Cost per participant				$956
Cost per NGO assuming 2 participants /NGO				$1,911

Budget Estimator for Working with each of 10 NGO individually, with two participants each

	Units	Days	Cost/Unit	Total Cost
Facilitator	10	5	$300	$15,000
Lunch and Coffee Breaks	20	5	$25	$2,500
Materials	20		$20	$400
Sub-Total				*$17,900*
Unexpected Expenses @5%				$895
Total				***$18,795***
Cost per participant				$940
Cost per NGO				$1,880

Annex 24: Pact Mentoring Form

Capacity Building Activity	Progress			Comments	Follow-Up
	Complete	In Progress	Not Started		

Annex 25: Sample RFA for a Local Capacity Building Partner

Pact Malawi
Partnership for Capacity Building
Request for Proposals (RFP)

I: Introduction
Pact's mission is to help build strong communities that provide people with an opportunity to earn a dignified living, raise healthy families, and participate in democratic life. Pact achieves this by strengthening the capacity of grassroots organizations, coalitions, and networks, and by forging linkages among government, business, and the citizen sectors to achieve social, economic, and environmental justice.

Pact Malawi is implementing an HIV/AIDS program with funding through USAID/Malawi under the U.S. President's Emergency Plan for AIDS Relief (PEPFAR). The Pact Malawi Community REACH (Rapid and Effective Action Combating HIV/AIDS) program is a grants making and capacity building initiative that offers competitive awards to local NGOs, community based organizations (CBOs), and faith based organizations (FBOs) to support best practices and innovative approaches to community-based HIV/AIDS prevention, care, and support activities.

Currently, Pact Malawi is partnering with 15 organizations (and will eventually have approximately 30 partners by the end of 2008) including NGO, FBOs, and CBOs to implement prevention, care, and support activities throughout Malawi. These partners are spread out geographically from Chitipa to Nsanje. Pact Malawi's objectives are to provide the grant partners with a seamless and efficient process that integrates extensive institutional strengthening and access to technical resources at all stages of the partner's project.

II. Program Objectives
Pact Malawi aims to build organizational capacity among all its partners (estimated to be approximately 30 by the end of 2008) by integrating technical areas related to quality improvement of HIV programs (e.g., provision of quality palliative care; how to affect behavior change through peer education) with organizational aspects of capacity strengthening, such as financial and human resource management, monitoring, evaluation, reporting, and learning systems, program design and management,

governance, and sustainability through various training, networking, and mentoring programs.

Pact Malawi engages directly with partners to improve and ensure effective, efficient, and quality service delivery and to enable partners to receive and account for US Government and other international donor funds.

To supplement this technical assistance, Pact Malawi is seeking partner(s) to provide additional support for institutional and capacity strengthening for its grantees in the following key capacity areas:

- Human resources and administration
- Program design and management
- Governance and leadership
- Sustainability, resource mobilization, strategic planning, and networking
- Documenting best practices

Potential other areas of capacity building assistance could include:

- Financial management improvement
- Reporting, documentation, and learning

Examples of illustrative activities under these key areas include:

- Conducting organizational capacity assessments utilizing Pact methodologies
- Developing and implementing customized institutional strengthening plans utilizing Pact methodologies
- Human resource management improvement (e.g., staffing, volunteer policies and management, HIV workplace policy, personnel manuals in accordance with labor law, compensation/ salary scales, attracting, training, and retaining talent, gender balance, greater involvement of people living with HIV/AIDS (GIPA), child protection policies, timesheets, recruitment and hiring, disability policy, organizational procedures, etc.)
- Program design and management improvement (e.g., program planning and budgeting, reporting, involvement of beneficiaries, community involvement and mobilization, external relations with government and private sector, needs assessments, mapping, referrals and follow-up, mainstreaming HIV/AIDS and gender, etc.)
- Improved governance and leadership (e.g., board training, leadership/senior management, legal registration, constitution by-laws, vision/mission, anti-corruption, transparency and accountability, fraud detection, etc.)
- Improved organizational sustainability (e.g., resource mobilization, strategic planning, public relations, external relations with government and the private sector, networking, advocacy, board/staff ownership and commitment, project marketing, satisfaction of beneficiaries, donor relations, etc.)
- Documenting sharing and program integration of promising best practices and lessons learned/success stories for effective multi-sectoral response to HIV/AIDS
- Provide training on reducing stigma and discrimination through innovative, proven, and effective programming

Specific areas for funding might include those listed above. These are provided only as examples of the kinds of activities relevant to this RFP and are not exhaustive, nor are they necessarily targeted for funding. Pact's grant partners are at different stages of institutional development, and it is expected

that capacity building strategies/activities will be tailored to meet the needs of each grant partner.

Through this partnership for capacity building project, it is anticipated that partners' capacities will be strengthened to become more effective, efficient, and innovative in their approach to addressing the HIV/AIDS epidemic in Malawi.

III. Eligibility

This RFP is open to registered Malawian organizations, faith-based organizations (FBOs), community-based organizations (CBOs), foundations, private organizations affiliated with public academic institutions, professional organizations, non-profit organizations, for-profit organizations willing to forego profit, and consultants or teams of consultants. It is expected that any organization that submits a proposal will be able to demonstrate its technical and programmatic capacity to develop, implement, and monitor activities in **three or more capacity areas** outlined above.

The following organizations/programs are **not** eligible to apply for grants under this competition:

- Parastatal organizations
- Pact and the Constella Futures offices/programs
- International non-governmental or private voluntary organizations (though local organizations can propose clearly defined partnerships with international organizations for specific technical input).

Applicants are required to have expertise in **three or more** of the defined key areas.

Issuance of this RFP does not constitute an award commitment on the part of Pact Malawi nor a commitment to pay for costs incurred in the submission of a proposal. Furthermore, Pact Malawi reserves the right to reject any and all proposals, or to make an award without further discussion or negotiations if it is considered to be in the best interests of Pact Malawi and the Emergency Plan.

IV. Amount and Duration

Pact Malawi intends to enter into one or more agreements with suitable organizations to support institutional strengthening for grant partners. The total value of the agreements is estimated to be US $100,000 over an eighteen month period. These awards are contingent on continued availability of donor funds.

Applicants may submit a budget in the range of US$25,000-US$100,000 over an eighteen month period. Budget levels should correspond to the number of key areas of institutional strengthening that your organization is able to provide. See Section II above.

V. Request for Proposals

For this Partnership for Capacity Building RFP, applicants are required to submit the following information as part of their proposal package:

1. ***Proposal paper cover page*** (1 page)
   a. Name of Applicant, Contact Person, Organizational address, and contact information

2. ***Technical Application*** (8 page maximum)
   a. *Approach* - Applicant's experiences implementing similar programs in the key areas

outlined in Section II 'Program Objectives'. Describe experience by each key area, detailing not only your organization's experiences but also your overall approach and strategies. Pact is particularly interested in participatory capacity building that involves mentoring and coaching of grantee staff members, etc. Pact is not interested in only funding a series of workshops.

b. *Baseline Capacity Assessments and Institutional Strengthening Plans*- - Describe your methodological approach to conducting baseline organizational capacity assessments and documenting findings in action plans or institutional strengthening plans.

c. *Monitoring Plan* - Detail how you will monitor the overall progress of Pact Malawi's partners following your capacity building interventions. Please discuss your tools and methodologies that will be used to monitor impact including some illustrative indicators.

3. Relevant Experience (6 page maximum excluding CVs and past performance references)

a. Capacity Statement - An organizational capacity statement that demonstrates the applicant's understanding of the assignment, critical success factors, and applicant's approach to capacity building within the Malawi context (and HIV/AIDS if applicable). The statement should present a brief overview of the applicant's mission and goals and how they relate to the proposed project; relevant experience in relation to the proposed program and geographic area; comparative advantage in carrying out this work, such as prior successes in similar endeavors.

b. *Key Personnel* - Brief profile of team members and CVs for key personnel, including workshop trainers. CVs should be limited to two pages each. Please specify trainers/ facilitators that you have available on staff for each of the key areas outlined above in which your organization has expertise.

c. *Past Performance References* - All applicants must submit contact information for at least three (3) partners with whom they have worked in the past three (3) years, in implementing a similar program(s). The reference information shall include the procuring/financing organization, location, current telephone or e-mail information, points of contact, award number if available, dollar value of activity, and brief description of work and dates performed.

4. ***Budget (separate document not included in the page limit)***

a. Budgets must be submitted in the provided budget template with detailed budget notes responding to the following budget scenario: 1) conducting organizational capacity assessments (OCA) for 30 partners and developing individualized institutional strengthening plans for each and cross-cutting training analysis 2) providing mentoring, coaching, and formal training on a minimum of three capacity areas identified in Section II Program Objectives to 30 partners.

b. Budgets should be prepared in US dollars and Malawi Kwacha using conversion rates in effect on the submission date.

c. Organizations are not authorized to include a flat percentage allocation for administrative costs in the budget submissions; administrative costs should be directly costed in the budget submitted.

d. Applicants are not required to provide cost share for this award.

5. ***Intellectual Capital***- Applicants are required to submit copies of relevant tools and curricula related to institutional capacity building and as described in your technical application. These documents can be submitted as attachments or on a separate CD-ROM.

VI. Submission of Proposal

Proposals must be received by Pact Malawi no later than close of business (17:00 Malawi time) on **April 30, 2008** to be considered for funding. It is not anticipated that late applications will be reviewed. However, Pact reserves the right to consider any application for review at its discretion.

Applications must be submitted by hand or by mail service to the following address:

Pact Malawi
PO Box 1013
2nd Floor, Amina House
Off Chilambula/Kagame Road
Lilongwe, Malawi

Applicants much include:

- One original single‐sided application packet and four copies (unbound) and
- CD-ROM or flash disk with complete application packet

Delivery by courier can be significantly delayed and it is the responsibility of the applicant to take delays into consideration. We regret that we are unable to accept applications arriving after the deadline.

Electronic Applications (via email) will not be accepted.

VII. Evaluation Process and Criteria

Pact Malawi will conduct a compliance review of each application for basic responsiveness to the instructions in this RFP. Upon completion of the compliance review, all compliant applications will be subjected to a technical review by a review panel made up of representatives from Pact, USG agencies, and representatives of the Malawi government or other key stakeholders. All technical reviewers will be subjected to a screening process to eliminate any conflict of interest. For additional information, please see the Evaluation Criteria described

Evaluation Criteria

A total of 100 points are possible for the complete application. The relative importance of each criterion is indicated by approximate weight by points. Applicants are advised that the questions under

each bulleted scoring criterion are intended to broadly inform the scoring process and will not be individually scored or equally weighted.

The following evaluation criteria will be used for the concept paper review and weighted in favor of results-oriented projects:

Technical approach	40 points
Organizational capacity and past performance	30 points
Cost effectiveness	15 points
Intellectual capital	15 points

Technical approach 40 points

- ***Excellence of design and feasibility to achieve results and impact:*** Reviewers will evaluate whether the proposed technical design utilizes interventions that are theory-based and reflect best/promising practices in organizational development. A strong technical design will be informed by local circumstances and needs. Do the proposed objectives respond to the needs of the partner organizations? Do the proposed activities logically support achieving the objectives?

Monitoring Plan: The evaluators will assess if the application has proposed a clear, logical monitoring plan with inputs, outputs, and indicators that are feasible and relevant for tracking the project's progress. Does the monitoring plan include milestones and expected accomplishments? Does the applicant include a plan to monitor and evaluate the progress of Pact Malawi's partners against baseline organizational capacity assessment, etc.?

Organizational capacity and past performance 30 points

- ***Organizational capacity:*** Does the applicant have efficient and effective programmatic and financial management systems/policies and controls to ensure proper implementation, oversight, review, and ability to adjust in response to new information? Does the proposed partner have relevant programming experience in OD? What experience does the partner have in working with CSOs implementing HIV/AIDS activities in Malawi? Is the organization officially registered or chartered with appropriate authorities? Does the applicant have a system for organizational governance and oversight? Does the organization have current staff with the required skills in place? Does the organization have the capacity to begin working immediately upon award?

- ***Past Performance:*** The review committee will consider the following: prior demonstrated capacity of applicant to manage (technically, administratively, and financially) a project of similar type and complexity and to deliver the required results. In addition, the review committee will also consider the prior demonstrated experience of applicant in activity implementation, developing, tracking, and analyzing performance***.***

Cost Effectiveness 15 points

- ***Cost effectiveness and cost realism:*** The total budget will be evaluated for reasonableness and realism as it relates to the proposed project description. The overall budgetary competitiveness of the application may be determined based on composing an average ratio of activity vs. administrative costs. Does the applicant demonstrate that proposed results will be achieved with the most effective use of available resources? Does the applicant's budget include allowable, allocable, and reasonable costs? Does the applicant's technical approach support the costs proposed?

Intellectual Capital **15 points**

- Does the applicant already have existing tools and curricula that can be used for the purpose of this award? Are these curricula/tools relevant and applicable to the HIV/AIDS sector in Malawi? Does the applicant have curricula/tools that can be adapted for this project?

Appendix A: Organizational Questionnaire

Directions: Complete form electronically, then print out and submit with hard copy application and electronically.

Organization Name:	**Contact Person & Title:**
Address: Phone: Fax: Email:	Signature or Authorized Representative Typed name/Title

Project title:

Project Statistics:

Beneficiary(s) Targeted _____

_____

Duration of Project _____

Geographic service area: _____

RFP Focus Area(s)- check all that apply

_____ HR and administration
_____ Governance and Leadership
_____ Strategic Planning
_____ Financial management
_____ Reporting, documentation learning
_____ Program design and management
_____ Resource mobilization
_____ Networking
_____ Documenting best practices

Financial Statistics:

Total Project Cost: US $_____ Exchange Rate _____ = US$1.00

Amount Requested from Pact: US $_____

Inputs (in-kind or cash) from other sources (if applicable) US $_____

Organizational Statistics:

Type of Organization (check one) _____ Malawi NGO/CBO _____ Malawi private foundation _____
Malawi faith based organization _____ Malawi educational institution _____Malawi private company
_____Specify Other (e.g. consultants)

Prior Organizational development experience ____NO ____YES

If Yes, how many years experience _____

Approximate annual operating budget: _____ Number of employees: _____

Largest current donor or source of income _____ US $ _____

Registered with local authority ____NO ____YES

Banking Institution _____

Sub-partners:

Does your application propose sub-partners? _____ YES _____ NO

If yes, list organization (s) name and proposed sub-grant amount.

1. Proposed Partner Organization Name(s): _____

Amount of sub-contractor: US $ _____

2. Proposed Partner Organization Name(s): _____

Amount of sub-contractor: US $ _____

3. Proposed Partner Organization Name(s): _____

Amount of sub-contractor: US $ _____

SUMMARY BUDGET FORMAT

Line No.	Line Item Categories	Institutional Strength-ening GRAND TOTAL (USD Funding)	Year 1 Total - Six Months	Year 2 Total
1	Personnel-Salaries			
2	Fringe Benefits			
3	Travel			
4	Monitoring and Evaluation			
5	Sub-Contracts (list each separately)			
6	Trainings & Workshops			
7	Other Direct Charges			
	TOTALS			

Illustrative Summary and Detailed Budget- Summary and Detailed budgets are required

Summary Budget Format Based on Illustrative Detailed Budget

Line No.	Line Item Categories	Institutional Strengthening GRAND TOTAL (USD Funding)	Year 1 Total - Six Months	Year 2 Total
1	Personnel-Salaries	**$30,300**	**$10,100**	**$20,200**
2	Fringe Benefits	**$7,050**	**$2,350**	**$4,700**
3	Travel	**$8,950**	**$5,100**	**$3,850**
4	Monitoring and Evaluation	**$3,063**	**$988**	**$2,075**
5	Sub-Contracts (list each separately)	**$1,500**	**$500**	**$1,000**
6	Trainings & Workshops	**$10,725**	**$5,775**	**$4,950**
7	Other Direct Charges	**$23,100**	**$7,700**	**$15,400**
	TOTALS	**$84,688**	**$32,513**	**$52,175**

ILLUSTRATIVE DETAILED BUDGET

Line No.	Line Item Categories	Unit Price	Unit	Institutional Strengthening or Capacity Building for One year	GRAND TOTAL (USD Funding)	Year 1 Total- Six Months	Year 2 Total	BUDGET NOTES
1	**Personnel-Salaries** ***(Indicate each staff member by position title)***							*(Example information included below)*
1.1	sample salary	20,000	20 %	4,000	**6,000**	2,000	4,000	
1.2	sample salary - Trainer	17,000	60 %	10,200	**15,300**	5,100	10,200	
1.3	sample salary - Trainer	15,000	40 %	6,000	**9,000**	3,000	6,000	
	Total Personnel			**20,200**	**30,300**	**10,100**	**20,200**	
2	**Fringe Benefits** ***(example 18% determined by personnel policy)***							
2.1	Social Security			1,200	**1,800**	600	1,200	
2.2	Insurance	500	5	2,500	**3,750**	1,250	2,500	
2.3	Paid Leave	200	5	1,000	**1,500**	500	1,000	
	Total Fringe			**4,700**	**7,050**	**2,350**	**4,700**	
3	**Travel (see separate detailed tab)**							
3.1	In-Country				**8,950**	**5,100**	**3,850**	
	Total Travel			**3,850**	**8,950**			
4	**Monitoring and Evaluation (M&E)**							*(EXPLAIN EACH COST FOR THIS ITEM)*
4.1	Printing Costs			1,100	**1,650**	550	1,100	
4.2	Focus Groups	50	3	150	**175**	25	150	
4.3	Data Collection Travel			825	**1,238**	413	825	
	Total M&E			**2,075**	**3,063**	**988**	**2,075**	

5	**Subcontracts**							*(INDICATE EACH SEPARATELY AND BRIEFLY DESCRIBE SCOPE OF EACH)*
5.1	*(Sub-Contractor Name)*							
	Total Subcontracts			**1,000**	**1,500**	**500**	**1,000**	
6	**Training & Workshops (see separate detailed tab)**							*(EXPLAIN EACH COST FOR THIS ITEM)*
	Total Training & Workshops							
	Total Training & Workshops			**4,950**	**10,725**	**5,775**	**4,950**	
7	**Other Direct Charges**							*(EXPLAIN EACH COST FOR THIS ITEM)*
7.1	Office Rent	2,000	25 %	500	**750**	250	500	*(Cost can only be proportional to Pact Award)*
7.2	Office Supplies	150	12	1,800	**2,700**	900	1,800	
7.3	Utility Costs (electric; water)	500	20 %	3,000	**4,500**	1,500	3,000	*(Cost can only be proportional to Pact Award)*
7.4	Consultant 1	300	22	6,600	**9,900**	3,300	6,600	
7.5	Consultant 2	150	22	3,300	**4,950**	1,650	3,300	
7.6	Bank Fees			200	**300**	100	200	
	Total Other Direct Charges			**15,400**	**23,100**	**7,700**	**15,400**	
	TOTAL			**52,175**	**84,688**	**32,513**	**52,175**	

Travel Budget Line (SAMPLE items, revise as necessary)	Unit Cost	Unit	Year One		Year Two		TOTAL	NOTES
			Quantity	Amount	Quantity	Amount		
In-country								
Domestic Airfare - Route / Person 1	$100	RT	5	$500	2	$200	$700.00	
Per Diem	$20	day	25	$500	40	$800	$1,300.00	
Taxi To/From Airport	$5	trip	0	$0	0	$0	$0.00	
In-country Ground Transportation	$250	total	1	$250	4	$1,000	$1,250.00	
Vehicle Fuel- site visits	$100	tank	25	$2,500	12	$1,200	$3,700.00	
per diem - site visits	$20	day	30	$600	15	$300	$900.00	
lodging- site visits	$25	nights	30	$750	14	$350	$1,100.00	
TOTAL IN-COUNTRY TRAVEL				$5,100		$3,850	$8,950.00	

Training/Workshops Budget Line (SAMPLE items, revise as necessary)			Year One		Year Two		TOTAL	NOTES
	Unit Cost	Unit	Quantity	Amount	Quantity	Amount		
Venue for Training	$120	day	15	$1,800	10	$1,200	$3,000	
Fees for Trainers/Facilitators	$35	day	15	$525	10	$350	$875	
Travel expenses for participants	$20	unit	50	$1,000	50	$1,000	$2,000	
Supplies for participants	$10	unit	50	$500	50	$500	$1,000	
Refreshments/snacks	$30	unit	15	$450	10	$300	$750	
lodging for participants	$20	night	50	$1,000	30	$600	$1,600	
per diem for participants	$10	day	50	$500	100	$1,000	$1,500	
TOTAL TRAINING/WORKSHOPS				$5,775		$4,950	$10,725	

Annex 26: Sample RFP for One-Off Capacity Building Workshop

From: Nguyen Manh Toan [mailto:nmtoan@pactvietnam.org]
Sent: Thursday, July 30, 2009 5:43 PM
To: 'bichtam.learning@cecem.org'
Cc: 'Hazel Simpson'; 'Amy Sunseri'; 'Nguyen Minh Hien'
Subject: Pact seeks consultancy on fundraising training

Dear Ms. Tam

Pact plans to organize a training course on fundraising and resource mobilization which aims to build capacity of its partners in this regard. We are now seeking a consultant or provider who could be able to offer this training. I am sending the TOR for this consultancy to your organization for this purpose.

Hope that we will have a good cooperation in capacity building areas in the future.

Thank you and Best regards

Nguyen Manh Toan

TERMS OF REFERENCE

Title: Training on Resource Mobilization and Fundraising for VNGO Partners

Background

Pact Vietnam implements the Community REACH Program in Vietnam which aims to contribute to enhancements in the scale, quality and effectiveness of the civil society response to HIV/AIDS in Vietnam. Within the scope of this program, Pact supports its local NGO partners both in technical capacity building and in general organizational development, with an emphasis on promoting organizational sustainability.

Following a recent organizational capacity assessment, several of Pact's partners have identified resource mobilization as a priority area in which they would like to receive capacity building support. The following are some of the challenges that Pact's partners experience in this area:

- difficulty in accessing government funds and private sector donations, and an overall reliance on international donors
- absence of income generating activities to mitigate reliance on outside funders
- difficulty accessing information about funding opportunities and the capacity to raise funds
- no clear strategy for resource mobilization resulting in an opportunistic approach to fundraising

To assist its partners in addressing these issues, Pact seeks a skilled consultant or training provider to conduct a 4-day training course on resource mobilization and fundraising for up to 20 participants.

Aim and Objectives

This consultancy aims to develop capacity on resource mobilization and fundraising for Pact's local NGOs partners. Following the course, participants should possess the skills and knowledge needed to successfully design and implement a resource mobilization strategy within their organization.

Training Approach

The course will be conducted in a workshop format and utilize a variety of participatory training techniques that reflect adult learning principles. The technical content should cover the main concepts of resource mobilization and fundraising, and place an emphasis on practical tools and techniques for local NGOs.

Deliverables	Additional Info
In consultation with Pact staff, the consultant will: a) develop a 4-day bilingual training curriculum b) create customized training materials for participants (e.g. handouts & slides) c) provide facilitation (at least a two-person team) d) translation as needed (see addtl. info) e) draft a training report to Pact	Vietnamese should be the principal language of instruction for the training. If using non-Vietnamese trainers, high quality translation must be provided.

Training proposals will be judged on the following criteria:

- **degree of customization to the local context and funding environment**
- **quality of technical content & support materials**
- **quality of proposed training methodology**
- **subject matter expertise of the training provider**
- **ability to work with Pact to tailor the training its partners' needs within the short time-frame**
- **budget**

as well as,

- **satisfaction of previous trainees with similar courses**

Skills and Experience

The consultant or NGO lead team member will meet the following requirements and qualifications:

- Minimum of eight years experience in training on resource mobilization or a related topic
- Previous experience of working with CBOs, NGOs or donor agencies
- Excellent analytical, writing, communication, and facilitation skills required
- Full proficiency in both spoken and written English and Vietnamese, and/or capacity to provide translation into Vietnamese for workshops and materials.

Reporting and management

The consultants will report directly to the Director of Programs and cooperate closely with senior staff including in particularly Pact's Senior Program Officer for Capacity Building and Pact's Regional Advisor for Organizational Development.

Duration of contract: 15 August – 30 September 2009.

Timeline

Activity	**Deadline**
Proposal due to Pact	c.o.b., 10 Aug 09
Develop training program outline and training curriculum	24 Aug 09
****Target date*** for training course in Ha Noi	***1 -4 Sept 09***
Training report completed	30 Sept 09

***Please note that the target date to deliver the training workshop is from the 1st to the 4th of September, 2009.** Alternatively, we are considering September 22nd to the 25th, 2009. The training dates will be confirmed upon the granting of the consultancy depending on participant and provider availability.

Interested candidates should send a proposal containing the information below to Pact Vietnam no later than August 10, 2009:

- a technical outline of training curriculum / content
- evidence of subject matter expertise
- timeline & proposed budget
- sample materials
- references or contact information for two individuals or organizations that have previously attended similar course offered by the candidate
- CVs of the proposed trainers

Please send to:

Pact Vietnam, Attention: Mr. NM Toan Nguyen
37 A Xuan Dieu, Ha Noi;
or by email to: **nmtoan@pactvietnam.org**

No phone calls, please. Only short-listed candidates will be contacted.

Annex 27: Overview and Agenda of LINCS

Purpose of the LINCS Marketplace:
To create space for linking Pact Namibia Partners needing high quality capacity services with local service providers (LSPs) capable of delivering them.

Anticipated Outcomes of the LINCS Marketplace:

- Strengthened linkages between the NGO and local service provider communities
- Increased delivery of demand-driven services
- Strengthened capacity of Partners to initiate, arrange, and manage consultants that support them in their capacity building activities

Tone: lively, fun, interactive
Main Activities:

1.NGO/Local service provider community building activities.
2.LSPs introduce their services to all participants in the form of brief "commercials". These are followed by short questions from the Partners that further shed light on each LSP's experience and expertise.
3.Partners circulate among LSPs (set up at tables with marketing materials) to discuss a potential consultancy.
4.NGOs identify their preferred LSP, return to that LSP's table, and come to consensus on the details of a scope of work.

Because there are more Partners than LSPs, steps 2 and 3 will be repeated in three separate rounds (with only four partners circulating among LSPs in any given round).

Schedule:

8:30-11:30	Warm-up/Welcome Market Place Overview: Schedule and Guidelines Discussion: Characteristics of a good partnership between consultants/"clients" LSP "commercials" Question the consultant/interviews
11:30-1:00	Group 1, Tables/Q&A and reaching agreement
1:00-2:00	**Lunch**
2:00-3:30	Group 2, Tables/Q&A and reaching agreement
3:30-5:00	Group 3, Tables/Q&A and reaching agreement

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Photo (far right) by J. Philipson.