INFORMATION ON NGO CAPACITY ASSESSMENT

Background

As the umbrella organisation of NGOs in our country, we want to facilitate our members to be effective in their work. We have been active in conducting and co-ordinating training courses for NGO to assist in NGO staff development. We want to extend our services in capacity building to other aspects that are important for NGOs. Our organisation will identify 10-15 NGOs from your sector to take through an exercise of capacity assessment and to follow up on their capacity building.

Capacity

Capacity is defined as the ability of individuals and organisations to perform functions effectively, efficiently and sustainably. Capacity is the power of something (a system, an organisation, a person) to perform or to produce.

In this assessment we want to focus on 7 core capacities of NGOs:

- Human Resource Management: the most valuable of the entity’s resources and upon which change, capacity and development primarily depend.
- Financial Resource Management: both operating and capital, required for the efficient and effective functioning of the NGO, including fund-raising.
- Equitable Participation: involvement of local knowledge and stakeholders related to project access and project benefit.
- Sustainability of Program Benefits: impact of the NGOs’ work looking at different aspects like environmental, economic, political, institutional and cultural factors.
- Partnering: collaboration with other NGOs, donors, policy makers, and private sector entities.
- Organisational Learning: teamwork, information-sharing and capacity for generating information that leads to improvement of current practice.
- Strategic Management / Governance: board practices, planning, commitment to goals, mission and philosophy or culture.

Capacity Building Process

The general process of NGO capacity building has 5 stages:

1. Setting the stage and formulating the ‘entry point’ of the process.
2. Capacity assessment
3. Strategic Capacity planning and bench marking
4. Implementing capacity building strategies
5. Sustaining capacity by ongoing monitoring and bench marking

We have invited your organisation to be part of this Capacity Building Process. We are planning to go through the capacity assessment and planning from August to November 2003. This will involve a number of workshops with your organisation. After that a longer (2-
3 year) program of capacity building will be offered, depending on the outcomes of the assessment and planning.

**Capacity Assessment Process**

The assessment of capacity of your organisation will be carried out by our organisation in collaboration with your own staff. We will use the Participatory Organisational Evaluation Tool (POET) to cover 7 main capacity areas of your organisation. During a 1-day workshop information on the capacity will be gathered by the assessment team. POET produces two kinds of measures, a capacity score, which indicates how an organisation perceives its strengths and weaknesses to the capacity areas, and a consensus score, which measures the degree to which assessment team members agree on their assessment. Since we will perform this exercise with 10-15 NGOs from the same sector, the assessment also provides an overview of capacities of other organisations. In this process anonymity of NGOs will of course be guaranteed.

The assessment outcomes will be shared with your organisation to analyse the capacity and to focus capacity building strategies.

**Capacity Assessment Workshop**

For this workshop we invite your organisation to form an internal assessment team. Members of the team should be staff or board members of the organisation. The team should have both junior and senior staff (support staff, technical, managerial) and should have a reasonable gender balance. The assessment team should consist of 5 to 10 people, who must be available during the whole day of the assessment.

The capacity assessment workshop leads the capacity assessment team through focused group discussions on various topics on capacity areas. After each discussion all team members individually (and anonymously) will give a score to the capacity of the organisation concerning the single topic. The scoring team facilitate the discussions and will take the outcomes of the assessment for analysis and reporting.

An overview of topics and subjects of the capacity discussions can be found in the appendix.

**Advantages of the Capacity Assessment**

Your organisation will benefit from the assessment in several ways:

- The assessment creates a clear picture of your organisations strengths and weaknesses.
- It will allow the NGO to compare with other organisations from the same sector.
- It kicks off a focused plan for capacity building
- It creates organisational learning, team building and understanding of different perspectives on topics of capacity.
- It forms the basis foundation for ongoing monitoring of your organisations capacity.

For more information about the NGO Capacity Assessment, please contact:

...
Appendix: Topics of the Capacity Discussions

The discussions of during the capacity assessment will focus on concrete and relevant experiences or examples of events related to the following topics:

- Staff training events
- Staff retention; Recruitment; compensation; personnel evaluation; promotion; conflict resolution; staffing; and supervision?
- Financial procedures and practises
- Budget Projections
- Cash flows
- Diversity of financial support
- Stakeholders involvement in projects
- Local leadership and local knowledge
- Policy development and advocacy
- Sustainability of project benefits
- Technical support to target groups
- Partnering and networking
- Organisational learning and team work
- Information sharing
- Participatory decision making
- Donor reporting
- Board practises
- Governance and decision making along consistent goals, mission and philosophy
- Strategic Planning
Appendix B.

Participatory Capacity Assessment

Facilitator’s Questionnaire

*Using Participatory Organisational Evaluation Tool to Measure the Capacity of Civil Society Organisations to Support Sustainable Human Development*

**Directions:**

Questions that appear under the heading "discussion," should be addressed through facilitated, whole group review. Team members should spend *approximately* five to ten minutes considering each set of discussion questions as a whole group. Despite the fact that discussion questions appear as a set, they should be addressed sequentially, one by one. Each team member should score numbered items that follow each discussion question *individually* before the facilitator invites the group to consider the next set of discussion questions. Team members who cannot participate in the full set of structured, group discussion questions should not submit their answer sheets for scoring.

Make sure all team members have a member questionnaire and a score sheet.

All 100 numbered, **bold-faced items** should be scored individually by each member of the organisational assessment team using the following scale which appears on the accompanying score sheet: 5=strongly agree; 4=agree; 3=neutral; 2=disagree; 1=strongly disagree.

Please refer to the *Participatory Capacity Building Facilitator’s Toolbox* for additional information on administration, scoring and interpretation.

**Anonymity of scoring is guaranteed.**
I. Human Resource Management

Discussion 1: Staff Training
a) When was our most recent staff training? This can be in house, on-the-job, etc.
b) How often over the last 12 months have staff members been sent to training events?

1. We routinely offer staff training.

Discussion 2: Staff Training
a) For our three most recent staff training events, what evidence is there that they strengthened staff capacity and performance?
b) To what degree did these training events prepare staff to respond to our organisational priorities?
c) To what extent is our staff training relevant to our human resource needs?

2. Our staff training directly contributes to the achievement of our Organisation’s priorities.

Discussion 3: Staff Skills and Numbers
a) What are three primary, ongoing functions that we carry out to achieve our mission?
b) To what extent do staff, as a group, have the necessary skills to carry out these functions?
c) To what extent is the number of employees carrying out these functions appropriate?

3. We have the appropriate staff skills to achieve our mission.
4. We have the appropriate staff numbers to achieve our mission.

Discussion 4: Staff Diversity
a) For the same three functions identified in the proceeding question set, to what degree are female employees in critical leadership positions?
b) To what extent does the composition of our staff reflect the population we serve?

5. Our staff reflects the diversity of our constituents.

Discussion 5: Staff Retention
a) Over the last 12 months, to what extent have we experienced loss of competent staff?
b) How (if at all) have the following factors contributed to this loss: recruitment; compensation; personnel evaluation; promotion; conflict resolution; staffing; and supervision?
c) How (if at all) have the following factors contributed to retention of competent staff: recruitment; compensation; personnel evaluation; promotion; conflict resolution; staffing; and supervision

The following systems or practices help us to achieve desirable levels of staff retention:
6. Recruitment
7. Compensation (salary and benefits)
8. Personnel evaluation
9. Promotion (professional advancement)
10. Grievance and conflict resolution policy
11. Staffing (allocation of tasks and responsibilities)
12. Supervision
Discussion 6: Supervision

a) Consider three recent supervisor-supervisee interactions with which you are familiar (these examples should be representative of prevailing supervisory practices).

b) To what degree did these interactions enhance the supervisee’s ability to meet organisational expectations?

13 Supervisory practices enhance our staff’s capacity to meet the Organisation’s objectives.

II. Financial Resource Management

Discussion 1: Balancing Revenues and Expenditures

a) What practices and procedures do we have in place to help us avoid deficits?

b) How effective are these practices and procedures?

14 We regularly use established procedures to maintain our revenue and expenses in balance.

Discussion 2: Financing our Priorities

a) What are our organisational priorities this fiscal year, and, to what extent are these priorities mirrored in our current budget?

b) How did you take these priorities into account when making this year’s budget? How are they reflected in the budget?

15 The budgeting process leads us to allocate funds in a way that closely reflects our organisational priorities.

Discussion 3: Financial Projections

a) How accurate were last year’s financial projections in relation to our final results?

b) How timely is the distribution of reports on financial projections versus our final results?

c) How can we prevent organisational disruptions if projected revenues fail to materialise?

16 Our financial projections are accurate.

17 We modify our expenditures on a timely basis whenever we have revenue shortfalls.

18 Our financial system and procedures prevent operational disruptions.

Discussion 4: Cash Management

a) Over the past year, what problems, if any, have we had regarding delayed transfer of funds to projects or to our target groups?

b) What mechanisms are in place to ensure that money flows to projects or to target groups in a timely manner?

c) How effective are these mechanisms?

19 Our cash management procedures lead to the timely disbursement of funds.
Discussion 5: Levels of Financial Support

a) What are the current levels of financial support provided by donors in each of the following categories: private individuals or corporations; public sector/government; donors (bilaterals/multilaterals, foundations)?

b) For the following three categories, how do the current levels of financial support compare to those of last year: private individuals or corporations; public sector/government; donors (bilaterals/multilaterals, foundations)

The level of financial support from donors in each of the following categories is remaining steady or increasing:

20 Private individuals, corporations or income generation
21 Public Sector/Government
22 Donors (Bilaterals/multilaterals, foundations)

Discussion 6: Diversity of Financial Support

a) What concrete measures have we taken over the last 12 months to diversify our funding?

b) How effective have these measures been?

c) To what degree is our organisational viability dependent upon the continued support of just a few large donors?

We take concrete measures to increase our financial support from each of the following donor categories to make our organisation less dependent on few financial sources:

23 Private individuals, corporations or income generation
24 Public Sector/Government
25 Donors (Bilaterals/multilaterals, foundations)

Discussion 7: Levels of Resources

a) Over the past year, what are problems or challenges, if any, we faced with regards to the level of available resources for the following categories: project activities; infrastructure; communication; transport?

b) To what extent are these problems or challenges blocking us from carrying out our core functions to achieve our mission?

c) What mechanisms do we have in place to counter-balance these problems?

The level of available resources for each of the following categories is appropriate to achieve our mission:

26 Project activities
27 Infrastructure and equipment (offices, supplies)
28 Communication (computers, telephones)
29 Transport

III. Equitable Participation

Discussion 1: Stakeholder Involvement

a) Identify three representative projects in our current program portfolio. Who are the stakeholders in these projects?

b) For the three projects identified, what are some concrete examples of stakeholder involvement in each of the following processes: needs assessment; project design; implementation; monitoring, and impact assessment?
Our projects reflect high levels of participation of most important stakeholders in:
30 Assessing needs
31 Designing projects
32 Implementing projects
33 Monitoring projects
34 Assessing project impact

Discussion 2: Equitable Access and Benefits
a) For the three projects identified in the preceding question set, what specific measures have we taken to ensure that traditionally under-represented stakeholder groups (e.g., rural poor, women, ethnic minorities) have equitable access to project activities?
b) For these same three projects, what specific measures have we taken to ensure that traditionally under-represented stakeholder groups derive equitable benefit from project activities?
c) For the same three projects, to what degree are traditionally under-represented groups engaged in each of the following processes: needs assessment; project design; implementation; monitoring, and impact assessment?

35 Traditionally under-represented stakeholder groups have equitable access to project activities.
36 Traditionally under-represented stakeholder groups derive equitable benefit from project activities.
37 Our projects consistently promote equity at all stages of their design and implementation.

Discussion 3: Modifying to Changing Target Group Needs
a) Choose three projects that are at least three years old. To what degree have the needs of our project participants changed since each of these projects began?
b) For these same three projects, what modifications have we introduced over the last 12 months to meet the changing needs of our participants?
c) Who (e.g., staff, project participants, funders, evaluators) were important in identifying these needs and proposing the modifications?

38 We regularly examine project participant needs to assess if they are changing.
39 We modify projects to reflect changing participant needs.

Discussion 4: Capacity of Local Leadership
a) For the same three projects identified in the preceding question set, who are the formal and informal leaders at the local level who help implementing these projects?
b) What steps were taken over the last twelve months to examine the capacities of these leaders?
c) For the same three projects, what specific measures were taken over the last twelve months to build the capacity of these formal and informal leaders?

40 We ensure that local leadership has the necessary skills to carry out programs.

Discussion 5: Local Knowledge
a) For the same three projects identified in the preceding question set, what examples can we cite of local knowledge (expertise, strengths, and best practice) that we used in the projects?
b) For the same three projects, what activities have we undertaken to help us identify specific areas of local knowledge related to project objectives?
41 Our programs routinely build on local knowledge and available best practices.

Discussion 6: Lobbying and Advocacy
a) Over the past 12 months, what has been the frequency and nature of our organisational contacts with policy makers?
b) To what degree are these contacts part of a formally defined advocacy strategy?
c) To what degree do these contacts promote equitable and participatory development?

42 We regularly engage relevant policy makers and institutions in dialogue that contributes to equitable and participatory development.

IV. Sustainability of Program Benefits

Discussion 1: Sustainability of Project Design
a) For the three most recent project design efforts in our current portfolio, to what degree did we address the following five kinds of sustainability: (a) environmental (how project activities influence the quality of water, air, soil, and bio-diversity); (b) economic (how recurrent costs associated with project activities will be met); (c) political (how project-supported innovations will be accommodated within the framework of existing laws, policies, and political institutions); (d) institutional (how the long-term viability of institutions created through project activities will be maintained); and, (e) cultural (how project-supported innovations fit within the framework of existing norms, values, roles, and practices)?
b) For which kinds of sustainability (environmental, economic, political, social, cultural) do we have written policies that influence how we design projects?

When doing project design work, we routinely give adequate attention to:
43 Environmental sustainability
44 Economic sustainability
45 Political sustainability
46 Institutional sustainability
47 Cultural sustainability

Discussion 2: Sustainability of Project Implementation
a) Select three current projects from our portfolio that are at least three years old. To what degree have we addressed each of the following kinds of sustainability during the project’s implementation: environmental, economic, political, social, and cultural?
b) For these same three projects, to which kinds of sustainability (environmental, economic, political, social, cultural) have we paid most and least attention during implementation?

When implementing projects, we routinely give adequate attention to:
48 Environmental sustainability
49 Economic sustainability
50 Political sustainability
51 Institutional sustainability
52 Cultural sustainability
Discussion 3: Sustainability of Monitoring and Evaluation

a) For the three most recently completed projects in our portfolio, to what degree have we addressed each of the following categories of sustainability in our monitoring and impact assessment activities: environmental, economic, political, social, and cultural?

b) For these same three projects, to which kinds of sustainability (environmental, economic, political, social, cultural) have we paid most and least attention when doing monitoring and impact assessment?

When doing project monitoring and impact assessment we give adequate attention to:

53 Environmental sustainability
54 Economic sustainability
55 Political sustainability
56 Institutional sustainability
57 Cultural sustainability

Discussion 4: Sustainability of Technical Support

a) Choose three projects that are representative of our current portfolio. What technical support to grassroots communities and Organisations have we provided through these projects?

b) To what degree has this technical support been timely and appropriate?

c) What discernible impact has this technical support had on meeting project objectives?

58 The quality of technical support for our field-based activities contributes to project sustainability.

V. Partnering

Discussion 1: New Linkages

a) Over the past 12 months, what were our most important new contacts with policy makers, private business, and other NGOs?

b) Which specific organisational priorities did we hope to advance through these new contacts?

c) To what degree were these new contacts useful in advancing our organisational priorities?

We establish valuable new linkages to:

59 Relevant policy makers.
60 Private business sector representatives.
61 Other NGOs.

Discussion 2: Partnerships

a) Over the last 12 months, in what formal institutional partnerships have we engaged?

b) What evidence is there that each of these partnerships is helping us to meet our organisational objectives? Think of financial benefits, technical skills or new networks.

c) What have been our most and least successful partnership efforts over the last 12 months?

62 We actively engage in productive partnerships with other Organisations.
63 We monitor the effectiveness of our partnerships with other Organisations.

Through partnering we gain:

64 financial benefits that enhance our ability to accomplish our mission.
65 technical skills that enhance our ability to accomplish our mission.
66 new networks and relationships that enhance our ability to accomplish our mission.
Discussion 3: Partnerships
a) For our three most significant partnerships, what practices, if any, demonstrate the partners’ commitment to work openly?
b) For these same three partnerships, to what degree do all partners both contribute and benefit appropriately?
c) What mechanisms are in place in these three partnerships to foster information-sharing and to resolve disputes among partners to foster trust and co-operation?

67 Partners openly share information.
68 Partnerships have mechanisms in place to foster trust and co-operation.
69 Individual partners contribute appropriately to shared goals.
70 Individual partners share in the benefits of the co-operative effort.

VI. Organisational Learning

Discussion 1: Measuring Progress and Impact
a) For three representative projects in our current portfolio, what are indicators that we use to monitor and evaluate our project objectives to see if our project had any impact?
b) For these same three projects, what indicators do we use to monitor whether project implementation matches project plans?
c) What are some lessons that we have learned through our review of these impact indicators? What can we say about the intended impact?

We routinely:
71 use results-based indicators to assess project impact on those we serve.
72 monitor project implementation against project plans.
73 achieve intended impact as captured through internal or external evaluation.

Discussion 2: Integrated Problem Solving
a) Over the last 12 months, what are some significant organisational problems or internal or external challenges that we have chosen to address?
b) How did we involve the different departments or units of our organisation in solving these problems?

74 We routinely recognise the interdependence of our Organisation’s units, departments or divisions when analysing problems.
75 We routinely involve multiple units, departments or divisions in meeting our major organisational challenges.

Discussion 3: Information Sharing
a) What are two or three current internal or external organisational priorities?
b) What information must be shared with people throughout our Organisation to respond effectively to these priorities?
c) To what extent is this sharing currently occurring?

76 Important information is openly shared throughout our Organisation.
77 We have adequate information to respond to our priorities.
**Discussion 4: Information Sharing**

a) Over the last month, what examples do we have of information that has been widely shared? Is this common practice?
b) How timely was this information?
c) To what degree did this information help people do their jobs more effectively?

78 Shared information is timely.
79 People routinely have the information they need to do their jobs effectively.

**Discussion 5: Teamwork**

a) Over the last 12 months, what are some of the most difficult organisational challenges that we have faced?
b) To what degree have we used teamwork to resolve these challenges?
c) To what degree did team efforts help us meet these challenges?

80 We use teamwork effectively to respond to organisational challenges.

**Discussion 6: Participation in Decision-Making**

a) Over the last 12 months, what are two or three important general decisions that we have had to make?
b) For each of these decisions, to what degree did we get an appropriate mix of viewpoints and an appropriate level of staff participation?
c) In each of these instances, how influential was staff input in the shaping the decisions taken by our leadership?

81 Our leadership effectively uses staff input to strengthen decision-making.

**Discussion 7: Staff Meeting**

a) To what degree did staff meetings held during this past month lead to progress in achieving organisational objectives?
b) What are some specific examples of organisational learning that emerged from these meetings?
c) To what degree did these meetings help us to identify new and better ways of achieving our organisational mission? Is this common practise?

82 Our staff meetings directly contribute to organisational learning.

**Discussion 8: Innovations**

a) To what degree did meetings held during this past month include the expression and discussion of different or innovative opinions?
b) Over the last twelve months, what examples of innovation can we identify within our Organisation that have led us to do things differently?
c) To what degree are these innovations the product of personal or organisational risk-taking?

83 Even when they know that their opinions are not widely shared by colleagues or supervisors, people generally feel comfortable expressing themselves in staff meetings.
84 Our Organisation is a safe place for risk-taking innovators.
VII. Governance and Strategic Management

Discussion 1: Donor Reporting
a) Over the last 12 months, to what kinds of donors (e.g., bilateral, multilateral, major foundations, corporations) have we submitted narrative or financial reports?
b) What is the quality of the information we have provided in these reports, looking at what they require?
c) To what degree have these reports increased donor confidence in our work?

85 The information contained in our reports to donors is of high quality.
86 Our reporting to donors demonstrates a clear understanding of their needs and requirements.

Discussion 2: Board Practises
a) With respect to each of the following areas, what are some representative actions (not necessarily decisions) that our board has taken in the last 12 months: fund raising; public relations; advocacy; financial oversight; policy definition; and, strategic direction-setting?
b) What has been the discernible impact of these actions on our Organisation?
c) To what degree is our board representative of our key constituencies and stakeholders?

Our board has contributed competently in carrying out such functions as:
87 Fund raising
88 Public relations
89 Advocacy
90 Financial oversight
91 Policy definition
92 Strategic direction-setting

93 Our board has adequate representation from our key constituencies

Discussion 3: Commitment to Mission, Goals and Values
a) Identify two or three major decisions that our board has taken in the last 12 months. To what degree have these decisions been consistent with our mission, goals, and values?
b) Identify two or three major decisions that our staff has taken in the last 12 months. To what degree have these decisions been consistent with our mission, goals, and values?
c) For the last two months, what are some actions taken by junior staff that demonstrate commitment to our mission, goals, and philosophy?

Commitment to our mission, goals, and values is routinely reflected in:
94 decisions made by staff.
95 decisions made by board members.
96 the day-to-day actions of junior staff.

Discussion 4: Strategic Planning
a) Over the last 12 months, in what strategic planning activities have we engaged? These can be any activity that uses analysis of the external environment as a tool for goal setting or project planning.
b) What conclusions about our external environment did we draw as a result of these activities?
c) What changes did we make in our internal operations to reflect an enhanced understanding of the external environment in which we operate?

97 We use strategic planning to examine ourselves in relation to our external environment.
98 We modify our strategic objectives based on findings generated through strategic planning exercises.
Discussion 5: Strategic Operating
a) What are the three projects or events over the past year that have accounted for the most staff time and organisational resources?
b) To what extent do these initiatives reflect our strategic and operating plans?

99 Our initiatives are developed and implemented in ways that are consistent with our strategic and operating plans.

Discussion 6: Tracking Progress
a) What are our major strategic objectives?
b) What evidence do we have that we are meeting our strategic objectives?

100 We routinely track progress in achieving our strategic objectives.

Thank you for taking part in this capacity assessment!
Appendix C.

Participatory Capacity Assessment

Team Member’s Questionnaire

*Using Participatory Organisational Evaluation Tool to Measure the Capacity of Civil Society Organisations to Support Sustainable Human Development*

**Directions:**

Items that appear under the heading “discussion,” should be addressed through facilitated, whole group review. Team members should spend *approximately* five to ten minutes considering *each set* of discussion items as a whole group.

Each team member should score numbered items that follow each discussion question individually before the facilitator invites the group to consider the next set of discussion questions. Team members who cannot participate in the full set of structured, group discussion questions should not submit their answer sheets for scoring.

All 100 numbered, **bold-faced items** should be scored individually by each member of the organisational assessment team using the following scale which appears on the accompanying score sheet: 5=strongly agree; 4=agree; 3=neutral; 2=disagree; 1=strongly disagree.

**Anonymity of scoring is guaranteed.**
I. Human Resource Management

Discussion 1: Staff Training
- Most recent staff training?
- Number of training events last 12 months?
1 We routinely offer staff training.

Discussion 2: Staff Training
- Effectiveness of training events?
- Responding to organisational priorities?
- Relevant to our human resource needs?
2 Our staff training directly contributes to the achievement of our Organisation’s priorities.

Discussion 3: Staff Skills and Numbers
- Availability of staff skills and numbers to carry out ongoing functions?
3 We have the appropriate staff skills to achieve our mission.
4 We have the appropriate staff numbers to achieve our mission.

Discussion 4: Staff Diversity
- Female employees in critical leadership positions?
- Representation of the population we serve?
5 Our staff reflects the diversity of our constituents.

Discussion 5: Staff Retention
- Loss of competent staff?
- Influence of recruitment; compensation; personnel evaluation; promotion; conflict resolution; staffing; and supervision to staff retention?
The following systems or practices help us to achieve desirable levels of staff retention:
6 Recruitment
7 Compensation (salary and benefits)
8 Personnel evaluation
9 Promotion (professional advancement)
10 Grievance and conflict resolution policy
11 Staffing (allocation of tasks and responsibilities)
12 Supervision

Discussion 6: Supervision
13 Supervisory practices enhance our staff’s capacity to meet the Organisation’s objectives.
II. Financial Resource Management

Discussion 1: Balancing Revenues and Expenditures
14 We regularly use established procedures to maintain our revenue and expenses in balance.

Discussion 2: Financing our Priorities
15 The budgeting process leads us to allocate funds in a way that closely reflects our organisational priorities.

Discussion 3: Financial Projections
16 Our financial projections are accurate.
17 We modify our expenditures on a timely basis whenever we have revenue shortfalls.
18 Our financial system and procedures prevent operational disruptions.

Discussion 4: Cash Management
19 Our cash management procedures lead to the timely disbursement of funds.

Discussion 5: Levels of Financial Support
The level of financial support from donors in each of the following categories is remaining steady or increasing:
20 Private individuals, corporations or income generation
21 Public Sector/Government
22 Donors (Bilaterals/multilaterals, foundations)

Discussion 6: Diversity of Financial Support
We take concrete measures to increase our financial support from each of the following donor categories to make our organisation less dependent on few financial sources:
23 Private individuals, corporations or income generation
24 Public Sector/Government
25 Donors (Bilaterals/multilaterals, foundations)

Discussion 7: Levels of Resources
The level of available resources for each of the following categories is appropriate to achieve our mission:
26 Project activities
27 Infrastructure and equipment (offices, supplies)
28 Communication (computers, telephones)
29 Transport
III. Equitable Participation

Discussion 1: Stakeholder Involvement
- Stakeholders involvement in three representative projects

Our projects reflect high levels of participation of most important stakeholders in:
30 Assessing needs
31 Designing projects
32 Implementing projects
33 Monitoring projects
34 Assessing project impact

Discussion 2: Equitable Access and Benefits
35 Traditionally under-represented stakeholder groups have equitable access to project activities.
36 Traditionally under-represented stakeholder groups derive equitable benefit from project activities.
37 Our projects consistently promote equity at all stages of their design and implementation.

Discussion 3: Modifying to Changing Target Group Needs
- Changing needs of project participants
- Modifications to meet the changes?
38 We regularly examine project participant needs to assess if they are changing.
39 We modify projects to reflect changing participant needs.

Discussion 4: Capacity of Local Leadership
40 We ensure that local leadership has the necessary skills to carry out programs.

Discussion 5: Local Knowledge
41 Our programs routinely build on local knowledge and available best practices.

Discussion 6: Lobbying and Advocacy
- Organisational contacts with policy makers
- Formally defined advocacy strategy
- Promote of equitable and participatory development
42 We regularly engage relevant policy makers and institutions in dialogue that contributes to equitable and participatory development.
IV. Sustainability of Program Benefits

Discussion 1: Sustainability of Project Design
- Addressing of sustainability:
  a) *environmental* (how project activities influence the quality of water, air, soil, and bio-diversity);
  b) *economic* (how recurrent costs associated with project activities will be met);
  c) *political* (how project-supported innovations will be accommodated within the framework of existing laws, policies, and political institutions);
  d) *institutional* (how the long-term viability of institutions created through project activities will be maintained); and,
  e) *cultural* (how project-supported innovations fit within the framework of existing norms, values, roles, and practices)?

When doing project design work, we routinely give adequate attention to:

43 Environmental sustainability
44 Economic sustainability
45 Political sustainability
46 Institutional sustainability
47 Cultural sustainability

Discussion 2: Sustainability of Project Implementation

When implementing projects, we routinely give adequate attention to:

48 Environmental sustainability
49 Economic sustainability
50 Political sustainability
51 Institutional sustainability
52 Cultural sustainability

Discussion 3: Sustainability of Monitoring and Evaluation

When doing project monitoring and impact assessment we give adequate attention to:

53 Environmental sustainability
54 Economic sustainability
55 Political sustainability
56 Institutional sustainability
57 Cultural sustainability

Discussion 4: Sustainability of Technical Support
- Technical support to grassroots communities and Organisations
- Impact of technical support on meeting project objectives

58 The *quality* of technical support for our field-based activities contributes to project sustainability.
V. Partnering

Discussion 1: New Linkages
- New contacts with policy makers, private business, and other NGOs?
- Organisational priorities we hope to improve?

We establish valuable new linkages to:
59 Relevant policy makers.
60 Private business sector representatives.
61 Other NGOs.

Discussion 2: Partnerships
- Formal institutional partnerships
- Relevance and benefits of partnerships
62 We actively engage in productive partnerships with other Organisations.
63 We monitor the effectiveness of our partnerships with other Organisations.

Through partnering we gain:
64 financial benefits that enhance our ability to accomplish our mission.
65 technical skills that enhance our ability to accomplish our mission.
66 new networks and relationships that enhance our ability to accomplish our mission.

Discussion 3: Partnerships
67 Partners openly share information.
68 Partnerships have mechanisms in place to foster trust and co-operation.
69 Individual partners contribute appropriately to shared goals.
70 Individual partners share in the benefits of the co-operative effort.
VI. Organisational Learning

Discussion 1: Measuring Progress and Impact
- Indicators to monitor and evaluate project objectives
- Indicators to monitor project implementation
- What can we say about the intended impact?

We routinely:
71 use results-based indicators to assess project impact on those we serve.
72 monitor project implementation against project plans.
73 achieve intended impact as captured through internal or external evaluation.

Discussion 2: Integrated Problem Solving
- Significant organisational problems or internal or external challenges
- Involvement of different departments or units to solve problems
74 We routinely recognise the interdependence of our Organisation’s units, departments or divisions when analysing problems.
75 We routinely involve multiple units, departments or divisions in meeting our major organisational challenges.

Discussion 3: Information Sharing
- Internal or external organisational priorities?
- Needed information to respond to these priorities
76 Important information is openly shared throughout our Organisation.
77 We have adequate information to respond to our priorities.

Discussion 4: Information Sharing
78 Shared information is timely.
79 People routinely have the information they need to do their jobs effectively.

Discussion 5: Teamwork
- Organisational challenges
- Teamwork to resolve challenges
80 We use teamwork effectively to respond to organisational challenges.

Discussion 6: Participation in Decision-Making
- Important general decisions
- Level of staff participation
81 Our leadership effectively uses staff input to strengthen decision-making.

Discussion 7: Staff Meeting
- Effective meetings
- Examples of organisational learning
82 Our staff meetings directly contribute to organisational learning.

Discussion 8: Innovations
- Different or innovative opinions in meetings
- Examples of innovation
83 Even when they know that their opinions are not widely shared by colleagues or supervisors, people generally feel comfortable expressing themselves in staff meetings.
84 Our Organisation is a safe place for risk-taking innovators.
VII. Governance and Strategic Management

Discussion 1: Donor Reporting
- Narrative or financial reports to donors
- Quality of the information
- Donor confidence
85 The information contained in our reports to donors is of high quality.
86 Our reporting to donors demonstrates a clear understanding of their needs and requirements.

Discussion 2: Board Practises
Our board has contributed competently in carrying out such functions as:
87 Fund raising
88 Public relations
89 Advocacy
90 Financial oversight
91 Policy definition
92 Strategic direction-setting
93 Our board has adequate representation from our key constituencies

Discussion 3: Commitment to Mission, Goals and Values
Commitment to our mission, goals, and values is routinely reflected in:
94 decisions made by staff.
95 decisions made by board members.
96 the day-to-day actions of junior staff.

Discussion 4: Strategic Planning
- Strategic planning activities
- Conclusions on external environment
- Changes in our internal operations
97 We use strategic planning to examine ourselves in relation to our external environment.
98 We modify our strategic objectives based on findings generated through strategic planning exercises.

Discussion 5: Strategic Operating
99 Our initiatives are developed and implemented in ways that are consistent with our strategic and operating plans.

Discussion 6: Tracking Progress
- Major strategic objectives
100 We routinely track progress in achieving our strategic objectives.

Thank you for taking part in this capacity assessment!
# Appendix D

## Individual PCA Score Sheet

Organisation name:_____________________ Individual Name (encoded): ______________

Scale: 5=Strongly Agree; 4=Agree; 3=Neutral; 2=Disagree; 1=Strongly Disagree

Individually, give a score on each of the following items after the focused group discussions.

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Item</td>
<td>Score</td>
<td>Item</td>
<td>Score</td>
<td>Item</td>
<td>Score</td>
<td>Item</td>
</tr>
<tr>
<td>1</td>
<td>14</td>
<td>2</td>
<td>30</td>
<td>43</td>
<td>59</td>
<td>7</td>
</tr>
<tr>
<td>2</td>
<td>15</td>
<td>3</td>
<td>31</td>
<td>44</td>
<td>60</td>
<td>72</td>
</tr>
<tr>
<td>3</td>
<td>16</td>
<td>4</td>
<td>32</td>
<td>45</td>
<td>61</td>
<td>73</td>
</tr>
<tr>
<td>4</td>
<td>17</td>
<td>5</td>
<td>34</td>
<td>47</td>
<td>63</td>
<td>75</td>
</tr>
</tbody>
</table>

Total = Total = Total = Total = Total = Total = Total =

After completing each capacity area, please calculate the total for that dimension by adding up all the scores in that particular column. Also write this total figure on a separate piece of paper if provided.
## I. Human Resource Management

**Score Worksheet:** In columns 2-16 place the encoded name of each individual respondent

<table>
<thead>
<tr>
<th></th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
<th>J</th>
<th>K</th>
<th>L</th>
<th>M</th>
<th>N</th>
<th>O</th>
<th>Sum</th>
</tr>
</thead>
<tbody>
<tr>
<td>x = Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$x^2$ = Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Tabulating Capacity Score

**Step 4:**

$$\frac{\text{Sum of Row } x}{\text{Number of Participants}} = \_\_\_\_\_\_ = \text{Raw Capacity Score}$$

**Step 5:**

$$\frac{\text{Raw Capacity Score}}{65} = \_\_\_\_\_\_$$

**Note:** 65 is equal to the maximum number of points for this section (number of questions X 5)

**Step 6:**

$$\times 100 = \_\_\_\_\_\_ = \text{Standardised Capacity Score}$$

### Tabulating Consensus Score

**Step 2:**

$$\text{Sum of the row } x^2 = \_\_\_\_\_\_$$

**Step 3:**

$$\times \frac{\text{Sum of Row } x}{\text{Number of Participants}} = \_\_\_\_\_\_$$

**Step 4:**

$$\times \left( \frac{\text{Number of Participants}}{\text{Number of Participants}} - 1 \right) = \_\_\_\_\_\_$$

**Step 5:**

$$\times \left( \text{Step 2 Result} - \text{Step 3 Result} \right) = \_\_\_\_\_\_$$

**Step 6:**

$$\frac{\text{Step 5 Result}}{\text{Step 4 Result}} = \_\_\_\_\_\_$$

**Step 7:**

$$\text{Square Root of Step 6 Result} = \_\_\_\_\_\_$$

**Step 8:**

$$\times 52 \times 100 = \_\_\_\_\_\_ = \text{Raw Consensus Score}$$

**Note:** 52 is the maximum number of points minus the minimum number of points possible

**Step 9:**

$$100 - \left[ \frac{\text{Raw Consensus Score}}{2} \right] = \_\_\_\_\_\_ = \text{Standardised Consensus Score}$$
## II. Financial Resource Management

**Score Worksheet:** In columns 2-16 place the encoded name of each individual respondent

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
<th>J</th>
<th>K</th>
<th>L</th>
<th>M</th>
<th>N</th>
<th>O</th>
<th>Sum</th>
</tr>
</thead>
<tbody>
<tr>
<td>x = Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(x^2 = \text{Total})</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Tabulating Capacity Score

**Step 4:**
\[
\frac{\text{Sum of Row } X}{\text{Number of Participants}} = ______ = \text{Raw Capacity Score}
\]

**Step 5:**
\[
\frac{\text{Raw Capacity Score}}{80} = ______
\]

**Note:** 80 is equal to the maximum number of points for this section (number of questions \(\times 5\))

**Step 6:**
\[
X \times 100 = ______ = \text{Standardised Capacity Score}
\]

### Tabulating Consensus Score

**Step 2:**
\[
\frac{\text{Sum of the row } x^2}{\text{Sum of Row } X} = ______
\]

**Step 3:**
\[
\frac{\text{Sum of Row } x}{\text{Number of Participants}} = ______
\]

**Step 4:**
\[
\text{Number of Participants} \times \left(\frac{\text{Number of Participants}}{\text{Number of Participants}} - 1\right) = ______
\]

**Step 5:**
\[
\text{Number of Participants} \times \left(\frac{\text{Step 2 Result}}{\text{Step 3 Result}}\right) = ______
\]

**Step 6:**
\[
\frac{\text{Step 5 Result}}{\text{Step 4 Result}} = ______
\]

**Step 7:**
\[
\text{Square Root of Step 6 Result} = ____
\]

**Step 8:**
\[
\frac{\text{Step 7 Result}}{64} \times 100 = ______ = \text{Raw Consensus Score}
\]

**Note:** 64 is the maximum number of points minus the minimum number of points possible

**Step 9:**
\[
100 - \left[\frac{\text{Raw Consensus Score}}{2}\right] = ______ = \text{Standardised Consensus Score}
\]
III. Equitable Participation

Score Worksheet: In columns 2-16 place the encoded name of each individual respondent.

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
<th>J</th>
<th>K</th>
<th>L</th>
<th>M</th>
<th>N</th>
<th>O</th>
<th>SUM</th>
</tr>
</thead>
<tbody>
<tr>
<td>x = Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(x^2 = \text{Total} \times \text{Total})</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Tabulating Capacity Score**

Step 4: 
\[
\frac{\text{Sum of Row } x}{\text{Number of Participants}} = \text{Raw Capacity Score}
\]

Step 5: 
\[
\frac{\text{Raw Capacity Score}}{65} = \text{Standardised Capacity Score}
\]

**Note:** 65 is equal to the maximum number of points for this section (number of questions X 5).

Step 6: 
\[
\text{Step 5 Result} \times 100 = \text{Standardised Capacity Score}
\]

**Tabulating Consensus Score**

Step 2: 
\[
\text{Step 2 Result} = \text{Sum of Row } x^2 / \text{Number of Participants}
\]

Step 3: 
\[
\text{Step 3 Result} = \frac{\text{Sum of Row } x}{\text{Step 2 Result}} \times \text{Step 3 Result}
\]

Step 4: 
\[
\text{Step 4 Result} = \text{Number of Participants} \times (\text{Step 2 Result} - 1)
\]

Step 5: 
\[
\text{Step 5 Result} = \text{Step 2 Result} - \text{Step 3 Result}
\]

Step 6: 
\[
\frac{\text{Step 5 Result}}{\text{Step 4 Result}} = \text{Step 7 Result}
\]

Step 7: 
\[
\sqrt{\text{Step 6 Result}} = \text{Standardised Consensus Score}
\]

Step 8: 
\[
\frac{\text{Step 6 Result}}{52} \times 100 = \text{Raw Consensus Score}
\]

**Note:** 52 is the maximum number of points minus the minimum number of points possible.

Step 9: 
\[
100 - [\text{Raw Consensus Score} \times 2] = \text{Standardised Consensus Score}
\]
IV. Sustainability of Program Benefits

Score Worksheet: In columns 2-16 place the encoded name of each individual respondent

<table>
<thead>
<tr>
<th></th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
<th>J</th>
<th>K</th>
<th>L</th>
<th>M</th>
<th>N</th>
<th>O</th>
<th>SUM</th>
</tr>
</thead>
<tbody>
<tr>
<td>x</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Total</td>
</tr>
<tr>
<td>(x^2)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Total</td>
</tr>
</tbody>
</table>

**Tabulating Capacity Score**

Step 4: \[
\frac{\text{Sum of Row } X}{\text{Number of Participants}} = \ \ \ = \ \ \ \ \text{Raw Capacity Score}
\]

Step 5: \[
\frac{\text{Raw Capacity Score}}{80} = \ \ \ \ \text{Note: 80 is equal to the maximum number of points for this section (number of questions } \times 5)\]

Step 6: \[
\times 100 = \ \ \ \ \text{Standardised Capacity Score}
\]

**Tabulating Consensus Score**

Step 2: \[
\frac{\text{Sum of Row } X^2}{\text{Number of Participants}} = \ \ \ \ \text{Step 3: } \frac{\text{Sum of Row } X}{\text{Step 4 Result}} = \ \ \ \ \text{Step 5 Result}
\]

Step 4: \[
\times \left( \frac{\text{Step 3 Result}}{-1} \right) = \ \ \ \ \text{Step 5 Result}
\]

Step 5: \[
\times \text{Step 2 Result} - \text{Step 3 Result} = \ \ \ \ \text{Step 6 Result}
\]

Step 6: \[
\frac{\text{Step 5 Result}}{64} \times 100 = \ \ \ \ \text{Raw Consensus Score}
\]

Step 7: \[
\text{Square Root of Step 6 Result} = \ \ \ \ \text{Step 7 Result}
\]

Step 8: \[
\text{Step 7 Result} \times 64 = \ \ \ \ \text{Standardised Consensus Score}
\]

Note: 64 is the maximum number of points minus the minimum number of points possible.
V. Partnering

Score Worksheet: In columns 2-16 place the encoded name of each individual respondent

<table>
<thead>
<tr>
<th></th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
<th>J</th>
<th>K</th>
<th>L</th>
<th>M</th>
<th>N</th>
<th>O</th>
<th>SUM</th>
</tr>
</thead>
<tbody>
<tr>
<td>x = Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>x² = Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Tabulating Capacity Score**

Step 4: \( \frac{\text{Sum of Row } X}{\text{Number of Participants}} = \text{ ____ } = \text{ Raw Capacity Score} \)

Step 5: \( \frac{\text{Raw Capacity Score}}{60} = \text{ ____ } \)

Note: 60 is equal to the maximum number of points for this section (number of questions X 5)

Step 6: \( \frac{\text{ ____ } \times 100}{\text{ ____ }} = \text{ Standardised Capacity Score} \)

**Tabulating Consensus Score**

Step 2: \( \frac{\text{Sum of the row } X^2}{\text{Number of Participants}} = \text{ ____ } \)

Step 3: \( \text{ ____ } \times \frac{\text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ }}{\text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ ____ } \times \text{ __________ } = \text{ Standardised Consensus Score} \)

Note: 48 is the maximum number of points minus the minimum number of points possible
VI. organisational Learning

Score Worksheet: In columns 2-16 place the encoded name of each individual respondent

<table>
<thead>
<tr>
<th></th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
<th>J</th>
<th>K</th>
<th>L</th>
<th>M</th>
<th>N</th>
<th>O</th>
<th>SUM</th>
</tr>
</thead>
<tbody>
<tr>
<td>x = Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>x² = Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Tabulating Capacity Score**

Step 4: \[
\frac{\text{Sum of Row } X}{\text{Number of Participants}} = \underline{\phantom{0}} = \text{Raw Capacity Score}
\]

Step 5: \[
\frac{\text{Raw Capacity Score}}{70} = \underline{\phantom{0}}
\]

Note: 70 is equal to the maximum number of points for this section (number of questions X 5)

Step 6: \[
\text{Step 5 Result} \times 100 = \underline{\phantom{0}} = \text{Standardised Capacity Score}
\]

**Tabulating Consensus Score**

Step 2: \[
\frac{\text{Sum of Row } x^2}{\text{Number of Participants}} = \underline{\phantom{0}}
\]

Step 3: \[
\frac{\text{Sum of Row } x}{\text{Number of Participants}} = \underline{\phantom{0}}
\]

Step 4: \[
\frac{\text{Sum of Row } x}{\text{Number of Participants}} \times \left(\frac{\text{Sum of Row } x}{\text{Number of Participants}} - 1\right) = \underline{\phantom{0}}
\]

Step 5: \[
\text{Step 4 Result} \times \text{Step 2 Result} - \text{Step 3 Result} = \underline{\phantom{0}}
\]

Step 6: \[
\frac{\text{Step 5 Result}}{\text{Step 4 Result}} = \underline{\phantom{0}} \quad \text{Step 7:} \quad \frac{\text{Step 7 Result}}{\text{Step 6 Result}} = \underline{\phantom{0}}
\]

Step 8: \[
\frac{\text{Step 8 Result}}{56 \times 100} = \underline{\phantom{0}} = \text{Raw Consensus Score}
\]

Note: 56 is the maximum number of points minus the minimum number of points possible

Step 9: \[
100 - \left[\frac{\text{Step 9 Result}}{\text{Raw Consensus Score}} \times 2\right] = \underline{\phantom{0}} = \text{Standardised Consensus Score}
\]
VII. Governance / Strategic Management

Score Worksheet: In columns 2-16 place the encoded name of each individual respondent

<table>
<thead>
<tr>
<th></th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
<th>G</th>
<th>H</th>
<th>I</th>
<th>J</th>
<th>K</th>
<th>L</th>
<th>M</th>
<th>N</th>
<th>O</th>
<th>SUM</th>
</tr>
</thead>
<tbody>
<tr>
<td>x</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>x²</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Tabulating Capacity Score**

Step 4: \( \frac{\text{Sum of Row } x}{\text{Number of Participants}} \) = _______ = Raw Capacity Score

Step 5: \( \frac{\text{Raw Capacity Score}}{80} \) = _______

Note: 80 is equal to the maximum number of points for this section (number of questions X 5)

Step 6: \( \frac{\text{Step 5 Result}}{\times 100} \) = _______ = **Standardised Capacity Score**

**Tabulating Consensus Score**

Step 2: \( \frac{\text{Sum of Row } x^2}{\text{Number of Participants}} \) = _______

Step 3: \( \frac{\text{Sum of Row } x}{\text{Number of Participants}} \) X _______

Step 4: \( \text{Number of Participants} \times (\text{Number of Participants} - 1) \) = _______

Step 5: \( \frac{\text{Number of Participants} \times \text{Step 2 Result} - \text{Step 3 Result}}{\text{Step 5 Result}} \) = _______

Step 6: \( \frac{\text{Step 5 Result}}{\text{Step 4 Result}} \) = _______

Step 7: \( \frac{\text{Square Root of Step 6 Result}}{\text{Step 7 Result}} \) = _______

Step 8: \( \frac{\text{Step 7 Result}}{64 \times 100} \) = _______ = Raw Consensus Score

Note: 64 is the maximum number of points minus the minimum number of points possible

Step 9: \( 100 - \left[ \frac{\text{Raw Consensus Score}}{\times 2} \right] \) = _______ = **Standardised Consensus Score**
## GRID Worksheet

<table>
<thead>
<tr>
<th>A Standardised Score</th>
<th>B Scaled Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 - 22</td>
<td>5</td>
</tr>
<tr>
<td>23 - 32</td>
<td>10</td>
</tr>
<tr>
<td>33 - 39</td>
<td>15</td>
</tr>
<tr>
<td>40 - 45</td>
<td>20</td>
</tr>
<tr>
<td>46 - 50</td>
<td>25</td>
</tr>
<tr>
<td>51 - 55</td>
<td>30</td>
</tr>
<tr>
<td>56 - 59</td>
<td>35</td>
</tr>
<tr>
<td>60 - 63</td>
<td>40</td>
</tr>
<tr>
<td>64 - 67</td>
<td>45</td>
</tr>
<tr>
<td>68 - 71</td>
<td>50</td>
</tr>
<tr>
<td>72 - 74</td>
<td>55</td>
</tr>
<tr>
<td>75 - 78</td>
<td>60</td>
</tr>
<tr>
<td>79 - 81</td>
<td>65</td>
</tr>
<tr>
<td>82 - 84</td>
<td>70</td>
</tr>
<tr>
<td>85 - 87</td>
<td>75</td>
</tr>
<tr>
<td>88 - 89</td>
<td>80</td>
</tr>
<tr>
<td>90 - 92</td>
<td>85</td>
</tr>
<tr>
<td>93 - 95</td>
<td>90</td>
</tr>
<tr>
<td>96 - 98</td>
<td>95</td>
</tr>
<tr>
<td>99 - 100</td>
<td>100</td>
</tr>
</tbody>
</table>

### Capacity Area

<table>
<thead>
<tr>
<th>Capacity Area</th>
<th>A Stand. Capacity Score</th>
<th>B Scaled Capacity Score</th>
<th>A Stand. Consensus Score</th>
<th>B Scaled Consensus Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Resource Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Financial Resource Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Partnering</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sustainability of Program Benefits</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equitable Participation</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Organisational Learning</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strategic Management/Governance</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Appendix F.

Capacity Assessment Workshop Report

1.1 Introduction

<Introduce your organisation and the reason why the capacity assessments are being undertaken e.g.>

As the umbrella organisation of NGOs in our country, we want to facilitate our members to be effective in their work. We have been active in conducting and co-ordinating training courses for NGO to assist in NGO staff development. We want extend our services in capacity building to other aspects that are important for NGOs. Our organisation will identify 10-15 NGOs from your sector to take through an exercise of capacity assessment and to follow up on their capacity building.

<the organisation> is part of this capacity assessment program. <date> we conducted a capacity assessment workshop at the x office in which information about the capacity of x was collected.

1.2 Assessment Workshop Overview

The assessment workshop was conducted by <x>. Participants were x staff members of x:

Program overview:
9.15 Welcome and Introduction
9.45 Assessment 1: Human Resource Management
10.30 Tea break
11.30 Assessment 3: Equitable Participation
12.15 Assessment 4: Sustainability of Program Benefits
12.45 Presentation of first results
13.00 Lunch
13.45 Assessment 5: Partnering
14.15 Assessment 6: Organisational Learning
15.00 Assessment 7: Governance / Strategic Management
15.45 Presentation of second results
16.00 Next Steps and Closing Reflection

1.3 Workshop objectives and benefits for x

The assessment workshop has the following objectives:

- To discuss topics of the capacity of the organisation and share information and experiences of assessment team members
- To create insight in capacity areas of the organisation by indicating the level of capacity on different dimensions
- To create insight in the level of consensus that exists within the organisation about the present capacity

By taking part in the NGO assessment process x will gain the following benefits:

- The assessment creates a clear picture of your organisations strengths and weaknesses.
- It will allow the NGO to compare with other organisations from the same sector.
- It kicks off a focused plan for capacity building
- It creates organisational learning, team building and understanding of different perspectives on topics of capacity.
- It forms the basis foundation for ongoing monitoring of your organisations capacity.
1.4 Role of facilitator

During the assessment workshop the facilitators will lead some focused group discussions. The role of the facilitators is to:

- Guide the group during the discussions by asking questions and probing
- Make some notes of the discussions on flip chart for quick reference
- Allow full participation of all assessment team members
- To keep time and stay focused on the topics at hand
- To clarify the questions and process whenever needed and to translate the discussions in a local language when necessary.

The assessment facilitators are non-judgemental and is not contributing to the discussions. They only collect answers and create a platform for sharing of ideas. They will also collect the scoring data and facilitate the analysis of the data. Everything that will be said during the discussions must be regarded as confidential. All capacity scores will be handled with strict anonymity.

1.5 Introduction to Capacity Assessment

Capacity is defined as the ability of individuals and organisations to perform functions effectively, efficiently and sustainably. Capacity is the power of something (a system, an organisation, a person) to perform or to produce.

Capacity areas of NGOs that will be included in the assessment are:

- Human Resource Management: how you deal with staff
- Financial Resource Management: getting and dealing with money
- Equitable Participation: involvement of target groups
- Sustainability of Program Benefits: how your projects impact
- Partnering: effective liaisons with other stakeholders
- Organisational Learning: sharing and learning from information
- Strategic Management / Governance: looking at the bigger picture

Capacity Building is a process in 5 stages:

1. Setting the stage and formulating the ‘entry point’ of the process.
2. Capacity assessment
3. Strategic Capacity planning and bench marking
4. Implementing capacity building strategies
5. Sustaining capacity by ongoing monitoring and bench marking

This capacity assessment workshop is the beginning of the process.

1.6 Assessment Methodology

The Capacity Assessment workshop uses the Participatory Organisational Evaluation Tool (POET) as a method for data collection and analysis. POET was developed by UNDP in 1998 to assist NGOs in self-assessment for capacity building.

POET is a method that uses the "critical incident" technique to focus group discussions about organisational capacity. This assessment team is lead through a number of questions referring to incidents that have happened to their organisation in relation to capacity dimensions. Each member of the assessment team then ‘scores’ the level of capacity, based on discussions and their own views and experiences.

POET provides statistical information that can easily be administered and analysed also in comparison to other organisations. During the whole process anonymity of individual capacity scores and organisation scores (if shared with others) is guaranteed.
Overview of the Capacity Assessment of ...

Capacity Assessment Workshop date:

<table>
<thead>
<tr>
<th>Capacity Score</th>
<th>Cohort Means</th>
<th>Consensus Score</th>
<th>Cohort Means</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Human Resource Management</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Equitable Participation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Sustainability of Program Benefits</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Partnering</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Organisational Learning</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Governance / Strategic Management</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total average scores</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Rule of thumb:**

Scores below 60 indicate a weak or very weak capacity and consensus, which causes reason for concern.

Scores between 60 and 70 indicate a level of capacity and consensus that is more or less acceptable, but that still needs improvement.

Scores above 71 indicate a high or very high capacity and consensus, which may point at strong elements of the organisation to build on.
### Human Resource Management

The following scores were given during the Capacity Assessment of your organisation.

<table>
<thead>
<tr>
<th>Capacity Item</th>
<th>Assessment Statement:</th>
<th>Capacity Score</th>
<th>Consensus Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Staff training</td>
<td>We routinely offer staff training.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Training effect</td>
<td>Our staff training directly contributes to the achievement of our Organisation’s priorities.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Staff skills</td>
<td>We have the appropriate staff skills to achieve our mission.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Staff numbers</td>
<td>We have the appropriate staff numbers to achieve our mission.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Staff diversity</td>
<td>Our staff reflects the diversity of our constituents.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Effective:**

<table>
<thead>
<tr>
<th>Capacity Item</th>
<th>Assessment Statement:</th>
<th>Capacity Score</th>
<th>Consensus Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>6. Recruitment</td>
<td>Recruitment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Compensation</td>
<td>Compensation (salary and benefits)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Person evaluation</td>
<td>Personnel evaluation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Promotion</td>
<td>Promotion (professional advancement)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Conflict resolution</td>
<td>Grievance and conflict resolution policy</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Staffing</td>
<td>Staffing (allocation of tasks and responsibilities)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12. Supervision</td>
<td>Supervision</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13. Superv. Interactions</td>
<td>Supervisory practices enhance our staff’s capacity to meet the Organisation’s objectives.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Financial Resource Management

The following scores were given during the Capacity Assessment of your organisation.

<table>
<thead>
<tr>
<th>Capacity Item:</th>
<th>Assessment Statement:</th>
<th>Capacity Score</th>
<th>Consensus Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>14. Balancing finances</td>
<td>We regularly use established procedures to maintain our revenue and expenses in balance.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>15. Budgeting = prioritising</td>
<td>The budgeting process leads us to allocate funds in a way that closely reflects our organisational priorities.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>16. Accurate projections</td>
<td>Our financial projections are accurate.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>17. Modifying expenditures</td>
<td>We modify our expenditures on a timely basis whenever we have revenue shortfalls.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>18. Contingency measures</td>
<td>Our financial contingency measures prevent operational disruptions.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>19. Cash management</td>
<td>Our cash management procedures lead to the timely disbursement of funds.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Present level of:</th>
<th>The level of financial support from donors in each of the following categories is remaining steady or increasing:</th>
</tr>
</thead>
<tbody>
<tr>
<td>20. Private funding</td>
<td>Private individuals or corporations</td>
</tr>
<tr>
<td>21. Public funding</td>
<td>Public Sector/Government</td>
</tr>
<tr>
<td>22. Foundations / Bilaterals</td>
<td>Donors (Bilaterals/multilaterals, foundations)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Measures to increase:</th>
<th>We take concrete measures to increase our financial support from each of the following donor categories:</th>
</tr>
</thead>
<tbody>
<tr>
<td>23. Private funding</td>
<td>Private individuals or corporations</td>
</tr>
<tr>
<td>24. Public funding</td>
<td>Public Sector/Government</td>
</tr>
<tr>
<td>25. Foundations / Bilaterals</td>
<td>Donors (Bilaterals/multilaterals, foundations)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Present level of:</th>
<th>The level of available resources for each of the following categories is appropriate to achieve our mission:</th>
</tr>
</thead>
<tbody>
<tr>
<td>26. Project activities</td>
<td>Project activities</td>
</tr>
<tr>
<td>27. Infrastructure</td>
<td>Infrastructure and equipment (offices, supplies)</td>
</tr>
<tr>
<td>28. Communication</td>
<td>Communication (computers, telephones)</td>
</tr>
<tr>
<td>29. Transport</td>
<td>Transport</td>
</tr>
</tbody>
</table>
### Equitable Participation

The following scores were given during the Capacity Assessment of your organisation.

#### Total Standardised Scores in this Capacity Area

<table>
<thead>
<tr>
<th>Capacity Item</th>
<th>Assessment Statement:</th>
<th>Capacity Score</th>
<th>Consensus Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stakeholder participation in</td>
<td>Our projects reflect high levels of stakeholder participation in:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>30. Needs assessment</td>
<td>Assessing needs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>31. Project design</td>
<td>Designing projects</td>
<td></td>
<td></td>
</tr>
<tr>
<td>32. Implementation</td>
<td>Implementing projects</td>
<td></td>
<td></td>
</tr>
<tr>
<td>33. Monitoring</td>
<td>Monitoring projects</td>
<td></td>
<td></td>
</tr>
<tr>
<td>34. Impact assessment</td>
<td>Assessing project impact</td>
<td></td>
<td></td>
</tr>
<tr>
<td>35. Equitable access</td>
<td>Traditionally under-represented stakeholder groups have equitable access to project activities.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>36. Equitable benefit</td>
<td>Traditionally under-represented stakeholder groups derive equitable benefit from project activities.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>37. Equity promotion</td>
<td>Our projects consistently promote equity at all stages of their design and implementation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>38. Changing needs</td>
<td>We regularly examine project participant needs to assess if they are changing.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>39. Modify to needs</td>
<td>We modify projects to reflect changing participant needs.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>40. Local leadership skills</td>
<td>We ensure that local leadership has the necessary skills to carry out programs.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>41. Local knowledge</td>
<td>Our programs routinely build on local knowledge and best practices.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>42. Dialogue for participation</td>
<td>We regularly engage relevant policy makers and institutions in dialogue that contributes to equitable and participatory development.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Sustainability of Program Benefits

The following scores were given during the Capacity Assessment of your organisation.

### Total Standardised Scores in this Capacity Area

<table>
<thead>
<tr>
<th>Capacity Item:</th>
<th>Assessment Statement:</th>
<th>Capacity Score</th>
<th>Consensus Score</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>In project design:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>43. Environmental sustainability</td>
<td>When doing project design work, we routinely give adequate attention to:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>44. Economic sustainability</td>
<td>Economic sustainability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>45. Political sustainability</td>
<td>Political sustainability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>46. Institutional sustainability</td>
<td>Institutional sustainability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>47. Cultural sustainability</td>
<td>Cultural sustainability</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>In project implementation</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>48. Environmental sustainability</td>
<td>When implementing projects, we routinely give adequate attention to:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>49. Economic sustainability</td>
<td>Economic sustainability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>50. Political sustainability</td>
<td>Political sustainability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>51. Institutional sustainability</td>
<td>Institutional sustainability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>52. Cultural sustainability</td>
<td>Cultural sustainability</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>In Monitoring &amp; Evaluation</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>53. Environmental sustainability</td>
<td>When doing project monitoring and impact assessment we give adequate attention to:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>54. Economic sustainability</td>
<td>Economic sustainability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>55. Political sustainability</td>
<td>Political sustainability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>56. Institutional sustainability</td>
<td>Institutional sustainability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>57. Cultural sustainability</td>
<td>Cultural sustainability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>58. Sustainable support</td>
<td>The quality of technical support for our field-based activities contributes to project sustainability.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**Participatory Capacity Building**

The following scores were given during the Capacity Assessment of your organisation.

### Total Standardised Scores in this Capacity Area

<table>
<thead>
<tr>
<th>Capacity Item:</th>
<th>Assessment Statement:</th>
<th>Capacity Score</th>
<th>Consensus Score</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Valuable linkages to:</strong></td>
<td>We establish valuable new linkages to:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>59. Policy makers</td>
<td>Relevant policy makers.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>60. Private sector</td>
<td>Private business sector representatives.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>61. NGO’s</td>
<td>Other NGOs.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>62. Active partnerships</td>
<td>We actively engage in productive partnerships with other Organisations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>63. Monitor effectiveness</td>
<td>We monitor the effectiveness of our partnerships with other Organisations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Partnerships bring:</strong></td>
<td>Through partnering we gain:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>64. Financial benefits</td>
<td>Financial benefits that enhance our ability to accomplish our mission.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>65. Technical skills</td>
<td>Technical skills that enhance our ability to accomplish our mission.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>66. New networks</td>
<td>New networks and relationships that enhance our ability to accomplish our mission.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>67. Share information</td>
<td>Partners openly share information.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>68. Foster trust</td>
<td>Partnerships have mechanisms in place to foster trust and co-operation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>69. Partner contributions</td>
<td>Individual partners contribute appropriately to shared goals.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>70. Share benefits</td>
<td>Individual partners share in the benefits of the co-operative effort.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

**Partnering**

The following scores were given during the Capacity Assessment of your organisation.
## Organisational Learning

The following scores were given during the Capacity Assessment of your organisation.

<table>
<thead>
<tr>
<th>Capacity Item:</th>
<th>Assessment Statement:</th>
<th>Capacity Score</th>
<th>Consensus Score</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Effective:</strong></td>
<td>We routinely:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>71. Impact assessment</td>
<td>use results-based indicators to assess project impact on those we serve.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>72. Project monitoring</td>
<td>monitor project implementation against project plans.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>73. Impact achieved</td>
<td>achieve intended impact as captured through internal or external evaluation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>74. Integral analysis</td>
<td>We routinely recognise the interdependence of our Organisation’s units, departments or divisions when analysing problems.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>75. Integral solutions</td>
<td>We routinely involve multiple units, departments or divisions in meeting our major organisational challenges.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>76. Sharing information</td>
<td>Important information is openly shared throughout our Organisation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>77. Information availability</td>
<td>We have adequate information to respond to our priorities.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>78. Timely information</td>
<td>Shared information is timely.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>79. Routinely information</td>
<td>People routinely have the information they need to do their jobs effectively.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>80. Effective teamwork</td>
<td>We use teamwork effectively to respond to organisational challenges.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>81. Participatory dec-making</td>
<td>Our leadership effectively uses staff input to strengthen decision-making.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>82. Meeting = learning</td>
<td>Our staff meetings directly contribute to organisational learning.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>83. Open discussions</td>
<td>Even when they know that their opinions are not widely shared by colleagues or supervisors, people generally feel comfortable expressing themselves staff meetings.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>84. Safe environment</td>
<td>Our Organisation is a safe place for risk-taking innovators.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Governance and Strategic Management

The following scores were given during the Capacity Assessment of your organisation.

#### Total Standardised Scores in this Capacity Area

**Scores in this Capacity Area:**

<table>
<thead>
<tr>
<th>Capacity Item</th>
<th>Assessment Statement</th>
<th>Capacity Score</th>
<th>Consensus Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>85. Quality donor reports</td>
<td>The information contained in our reports to donors is of high quality.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>86. Report meets needs</td>
<td>Our reporting to donors demonstrates a clear understanding of their needs and requirements.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Board contributes to:</td>
<td>Our board has contributed competently in carrying out such functions as:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>87. Fund-raising</td>
<td>Fund raising</td>
<td></td>
<td></td>
</tr>
<tr>
<td>88. Public relations</td>
<td>Public relations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>89. Advocacy</td>
<td>Advocacy</td>
<td></td>
<td></td>
</tr>
<tr>
<td>90. Financial oversight</td>
<td>Financial oversight</td>
<td></td>
<td></td>
</tr>
<tr>
<td>91. Policy definition</td>
<td>Policy definition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>92. Strategic direction</td>
<td>Strategic direction-setting</td>
<td></td>
<td></td>
</tr>
<tr>
<td>93. Representative board</td>
<td>Our board has adequate representation from our key constituencies</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strategic:</td>
<td>Commitment to our mission, goals, and philosophy is routinely reflected in:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>94. Staff decisions</td>
<td>decisions made by staff.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>95. Board decisions</td>
<td>decisions made by board members.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>96. Operational work</td>
<td>the day-to-day actions of non-supervisory staff.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>97. Strategic planning</td>
<td>We use strategic planning to examine ourselves in relation to our external environment.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>98. Modifying strategies</td>
<td>We modify our strategic objectives based on findings generated through strategic planning exercises.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>99. Consistent initiatives</td>
<td>Our initiatives are developed and implemented in ways that are consistent with our strategic and operating plans.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>100. Tracking progress</td>
<td>We routinely track progress in achieving our strategic objectives.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Interpretation of Standardised Scores

<table>
<thead>
<tr>
<th>Interpretation for Capacity Scores</th>
<th>Standardised Score</th>
<th>Interpretation for Consensus Scores</th>
</tr>
</thead>
<tbody>
<tr>
<td>NGO has little or no capacity in this area</td>
<td>20-39</td>
<td>Very low level of consensus</td>
</tr>
<tr>
<td>NGO’s capacities fall below acceptable performance standards in this area</td>
<td>40-59</td>
<td>Low level of consensus</td>
</tr>
<tr>
<td>NGO’s capacities approximate acceptable performance standards in this area</td>
<td>60-70</td>
<td>Moderate level of consensus</td>
</tr>
<tr>
<td>NGO’s capacities fall above acceptable performance standards in this area</td>
<td>71-80</td>
<td>High level of consensus</td>
</tr>
<tr>
<td>NGO’s capacities are far above acceptable performance standards in this area</td>
<td>81-100</td>
<td>Very high level of consensus</td>
</tr>
</tbody>
</table>

**Rule of thumb:**

Scores below 60 indicate a weak or very weak capacity and consensus, which causes reason for concern.

Scores between 60 and 70 indicate a level of capacity and consensus that is more or less acceptable, but that still needs improvement.

Scores above 71 indicate a high or very high capacity and consensus, which may point at strong elements of the organisation to build on.
Participatory Capacity Assessment Workshop Report (example)

<this sample report includes data from a real assessment. All names of organisations, except that of NANGO, have been changed>

1. Introduction
1.1 Introduction

As the umbrella organisation of NGOs in Zimbabwe, NANGO wants to facilitate its members to be effective in their work. NANGO has been active in conducting and co-ordinating training courses for NGO to assist in NGO staff development. In 2002 NANGO has extended her services in capacity building to other aspects that are important for NGOs. NANGO has identified 10-15 NGOs from the women/gender sector to take through an exercise of capacity assessment and to follow up on their capacity building.

NGO x is part of this capacity assessment program. 14 November 2002 NANGO conducted a capacity assessment workshop at the NGO x office in which information about the capacity of NGO x was collected.

1.2 Assessment Workshop Overview

The assessment workshop was conducted by Mr. Jouwert van Geene, a Dutch consultant, assisted by Mrs. Judith Chaumba, NANGO Training Officer. Participants were 12 staff members of NGO x: country program co-ordinator, 1 program officer, 6 field officers and 4 support staff.

Program overview:

9.15 Welcome and Introduction
9.45 Assessment 1: Human Resource Management
10.30 Tea break
11.30 Assessment 3: Equitable Participation
11.30 Assessment 4: Sustainability of Program Benefits
12.15 Lunch
13.45 Assessment 5: Partnering
14.15 Assessment 6: Organisational Learning
15.00 Assessment 7: Governance / Strategic Management
16.00 Next Steps and Closing Reflection

1.3 Workshop objectives and benefits for NGO x:

The assessment workshop has the following objectives:

- To discuss topics of the capacity of the organisation and share information and experiences of assessment team members
- To create insight in capacity areas of the organisation by indicating the level of capacity on different dimensions
- To create insight in the level of consensus that exists within the organisation about the present capacity

By taking part in the NGO assessment process NGO x will gain the following benefits:
The assessment creates a clear picture of your organisation's strengths and weaknesses.
It will allow the NGO to compare with other organisations from the same sector.
It kicks off a focused plan for capacity building
It creates organisational learning, team building and understanding of different perspectives on topics of capacity.
It forms the basis foundation for ongoing monitoring of your organisation's capacity.

1.4 Role of NANGO and facilitator
During the assessment workshop the facilitators lead some focused group discussions. The role of the facilitators is to:
- Guide the group during the discussions by asking questions and probing
- Make some notes of the discussions on flip chart for quick reference
- Allow full participation of all assessment team members
- To keep time and stay focused on the topics at hand
- To clarify the questions and process whenever needed and to translate the discussions in Shona when necessary.
The assessment facilitators are non-judgemental and is not contributing to the discussions. They only collect answers and create a platform for sharing of ideas. NANGO will also collect the scoring data and facilitate the analysis of the data. Everything that will be said during the discussions must be regarded as confidential. All capacity scores will be handled with strict anonymity.

1.5 Introduction to Capacity Assessment
Capacity is defined as the ability of individuals and organisations to perform functions effectively, efficiently and sustainably. Capacity is the power of something (a system, an organisation, a person) to perform or to produce.

Capacity areas of NGOs that will be included in the assessment are:
- Human Resource Management: how you deal with staff
- Financial Resource Management: getting and dealing with money
- Equitable Participation: involvement of target groups
- Sustainability of Program Benefits: how your projects impact
- Partnering: effective liaisons with other stakeholders
- Organisational Learning: sharing and learning from information
- Strategic Management / Governance: looking at the bigger picture

Capacity Building is a process in 5 stages:
1. Setting the stage and formulating the 'entry point' of the process.
2. Capacity assessment
3. Strategic Capacity planning and benchmarking
4. Implementing capacity building strategies
5. Sustaining capacity by ongoing monitoring and benchmarking
This capacity assessment workshop is the beginning of the process.

1.6 Assessment Methodology

The Capacity Assessment workshop uses the Participatory Organisational Evaluation Tool (POET) as a method for data collection and analysis. POET was developed by UNDP in 1998 to assist NGOs in self-assessment for capacity building.

POET is a method that uses the “critical incident” technique to focus group discussions about organisational capacity. This assessment team is lead through a number of questions referring to incidents that have happened to their organisation in relation to capacity dimensions. Each member of the assessment team then ‘scores’ the level of capacity, based on discussions and their own views and experiences. The items for all scoring can be found in the appendix.

POET provides statistical information that can easily be administered and analysed also in comparison to other organisations. During the whole process anonymity of individual capacity scores and organisation scores (if shared with others) is guaranteed.

2. Findings

2.1 Capacity and Consensus Scores

In general most capacity scores of NGO x are average or above average. As in the figure below governance / strategic management, human resource management and organisational learning are scoring above average levels according to the standardised score interpretation.

As for the consensus, all the scores are far or above average. The staff shows highest agreement on the level of capacity of governance, partnering, financial resource management and target group involvement (equitable participation).

The GRID stands for guided reflections for institutional development. GRID provides another graphic representation of the capacity scores. In the GRID we make use of Scaled Scores. The
Scaled Scores provide an overview of scores brought back to a 1-100 Capacity and Consensus scale. It converts the standardised scores to an exponential scale. The average level of all capacity areas is 52; the average of all consensus areas is 68. Financial Resource Management, Partnering and Sustainability of Program Benefits has a Scaled score of less than 50. The other areas score above 50.

In this case its reflecting that financial resource management, partnering and sustainability of program benefits are the areas where the capacity is below 50 whereas the rest of the items are in the quadrant where there is high capacity and high consensus.
2.2 Human Resource Management

Items that are far above average are regular staff training, staff diversity, division of tasks and responsibility to staff (staffing) and supervision. The assessment shows that critical and varied positions existing in NGO x have got skilled personnel and the staff have consistent technical back up to perform their duties. Staff numbers seem to be adequate to perform the activities. Staff turnover is very low (not a single staff member left the organisation in the past twelve months). The motivation that is evident in the current staff complement is both intrinsic and due to systems or practices that help NGO x to achieve desirable levels of staff retention such as recruitment, compensation (salary and benefits), personnel evaluation and conflict resolution. Opportunities for promotion within are low but positions allow for much personal growth through training. Supervision practices are strong and enhance staff capacity to meet organisational objectives. The overall consensus level for human resource management is very high, though consensus on capacity of promotion opportunities, personnel evaluation and staff training were below average.
2.3 Financial resource management

As shown in the figure below, within NGO x there is average to very high capacity in procedures to balance finances, to budget according to priorities, to make accurate projections, to apply measures to cushion against unpredictable events, to modify the budgetary provisions and to timely disburse funds for project activities.

In spite of the financial procedures being in place the current rate of inflation has limited the organisation to achieve all set objectives. The level and diversity of funding of NGO x seems to be low from the public and private sector, though high from foundations and other donors. They make efforts to diversify funding by approaching individuals and corporations and new donors, however these measures to increase level of funding have not been very effective so far. The level of resources available for project activities and infrastructure are adequate, but those for communication and transport are inadequate to achieve the organisation’s mission. There is general consensus about the capacity of financial resource management, though opinions on some individual items are below average.
2.4 Equitable participation

As shown in the figure below NGO x has got an average to very high level of stakeholder participation in all aspects of the project cycle.

There are high levels of participation by traditionally underrepresented groups. The organisation has very well developed systems for adapting programs to changing target groups needs and has well developed capacity to build on local strengths and best practises. Examples were given of current projects that were modified to address HIV/AIDS-related problems and the economic hardship. The capacity to dialogue with policy makers to promote equitable participation and development is rather low.
2.5 Sustainability of Program Benefits

NGO x gives average to high attention to most sustainability factors throughout the project cycle. As shown in the figure below during project implementation, monitoring and impact assessment the attention to political sustainability (how project-supported innovations will be accommodated within the framework of existing laws, policies, and political institutions) is below average level.

Also cultural sustainability (how project-supported innovations fit within the framework of existing norms, values, roles, and practices) is a just below average in the monitoring and impact assessment phase. Attention to environmental sustainability (how project activities influence the quality of water, air, soil, and bio-diversity) scores highest since NGO x is active in projects like organic gardening. The attention to economic and institutional sustainability is above average in the design stage since beneficiaries initiated the projects themselves: NGO x supports existing efforts. The technical support to projects in order to achieve sustainability is above acceptable level. The overall level of consensus in this capacity area is above average, though on individual items the opinions may differ.
2.6 Partnering

As shown in the figure below, NGO x has average to high capacity to establish linkage to policy makers and other NGOs.

Examples of these linkages are a local consultancy organisation, a corporate business (telecom) and a Ministry. Linkages with the private sector are below average level. NGO x actively involves in new partnerships such as with a corporate business, an NGO and Women’s Coalition. Through these partnerships NGO x gains an average level of financial benefits, technical skills and new networks. NGO x has average capacity of negotiating and sustaining partnerships that are both equitable and beneficial to all parties. The overall consensus about the level of capacity to engage in partnering is above average level, though some individual items score lower.
2.7 Organisational Learning

NGO x has average capacity to use impact assessment and project monitoring to assess achieved results. It has an average capacity to use internal communications in multiple directions for problem solving.

As shown in the figure above NGO x has internally generated information that is highly accessible to those who need it and that is timely, useful and accurate. NGO x uses a very high level of effective teamwork, participatory decision making and learning in staff meetings. The organisation provides a safe environment for risk-taking innovators and provides open and effective staff meetings. Consensus on the level of capacity in this area is generally high, though there seems to be less consensus on the level of capacity in integrated analysis and solving of problems as well as on the effectiveness and openness of staff meetings.
2.8 Governance and Strategic Management

NGO x has very high capacity to perform effective and quality report writing to donors to meet their needs and requirements. The NGO x Board has a high level of capacity to assist in fund-raising, public relations, advocacy, financial oversight, policy definition and strategic direction setting. The board has adequate representation from NGO x’s key target groups. NGO x demonstrates a pattern of managerial decision-making that is consistent with its mission, goals and philosophy and it has a well developed system for setting and tracking strategic objectives. Examples of recent strategic initiatives are mainstreaming of HIV/AIDS activities and integrating gender in all programs. There is average or high level of consensus for all items in this capacity city area, as shown in the figure below.
3. Conclusions and Recommendations

NGO x in general has adequate level of capacity to perform its key functions and to achieve its mission. It has high levels of consensus about this capacity, which makes it easier to address issues.

There are 3 capacity areas of NGO x that can characterised as “low” capacity with “high” consensus, meaning below 50 on the Scaled Capacity Score, and on or above 50 Scaled Consensus Score:

- Financial Resource Management. Within this area, clear weaknesses are the lack of funding diversity and constraints in availability of resources, particularly for project activities and infrastructure.

- Sustainability of Program Benefits. This area is average overall, but not all categories of sustainability get enough attention in project implementation and monitoring and evaluation. Since NGO x is already trying to improve the system of monitoring and evaluation the aspect of sustainability might be build in.

- Partnering. This capacity area is just average and might not be priority to address first.

For these areas team members agree there is lower capacity and they agree on the nature of the problems. Focusing on these areas for improvement might build the confidence and ability of team members.

All other four capacity areas are existing in the “high” capacity and “high” consensus area, with Governance and Human Resource Management scoring highest both on capacity and consensus. NGO x should make deliberate efforts to build on these areas of strength. These capacity areas may be models of excellence that can be studied for clues as the organisation seeks to determine how best to address weaknesses.
Appendix

List of Capacity Items of all capacity areas

Following statements were individually scored by the assessment team members on a 1-5 scale, with the following interpretation: 1=strongly disagree; 2=disagree; 3=neutral; 4=agree; 5=strongly agree. The scores were given after a focused conversation about each item, referring to practical examples of capacity in that area.

I. Human Resource Management
1. We routinely offer staff training.
2. Our staff training directly contributes to the achievement of our Organisation’s priorities.
3. We have the appropriate staff skills to achieve our mission.
4. We have the appropriate staff numbers to achieve our mission.
5. Our staff reflects the diversity of our constituents.

The following systems or practices help us to achieve desirable levels of staff retention:
6. Recruitment
7. Compensation (salary and benefits)
8. Personnel evaluation
9. Promotion (professional advancement)
10. Grievance and conflict resolution policy
11. Staffing (allocation of tasks and responsibilities)
12. Supervision
13. Supervisory practices enhance our staff’s capacity to meet the Organisation’s objectives.

II. Financial Resource Management
14. We regularly use established procedures to maintain our revenue and expenses in balance.
15. The budgeting process leads us to allocate funds in a way that closely reflects our organisational priorities.
16. Our financial projections are accurate.
17. We modify our expenditures on a timely basis whenever we have revenue shortfalls.
18. Our financial contingency measures prevent operational disruptions.
19. Our cash management procedures lead to the timely disbursement of funds.

The level of financial support from donors in each of the following categories is remaining steady or increasing:
20. Private individuals or corporations
21. Public Sector/Government
22. Donors (Bilaterals/multilaterals, foundations)

We take concrete measures to increase our financial support from each of the following donor categories:
23. Private individuals or corporations
24. Public Sector/Government
25. Donors (Bilaterals/multilaterals, foundations)
The level of available resources for each of the following categories is appropriate to achieve our mission:
26 Project activities
27 Infrastructure and equipment (offices, supplies)
28 Communication (computers, telephones)
29 Transport

III. Equitable Participation
Our projects reflect high levels of stakeholder participation in:
30 Assessing needs
31 Designing projects
32 Implementing projects
33 Monitoring projects
34 Assessing project impact
35 Traditionally under-represented stakeholder groups have equitable access to project activities.
36 Traditionally under-represented stakeholder groups derive equitable benefit from project activities.
37 Our projects consistently promote equity at all stages of their design and implementation.
38 We regularly examine project participant needs to assess if they are changing.
39 We modify projects to reflect changing participant needs.
40 We ensure that local leadership has the necessary skills to carry out programs.
41 Our programs routinely build on local knowledge and best practices.
42 We regularly engage relevant policy makers and institutions in dialogue that contributes to equitable and participatory development.

IV. Sustainability of Program Benefits
When doing project design work, we routinely give adequate attention to:
43 Environmental sustainability
44 Economic sustainability
45 Political sustainability
46 Institutional sustainability
47 Cultural sustainability
When implementing projects, we routinely give adequate attention to:
48 Environmental sustainability
49 Economic sustainability
50 Political sustainability
51 Institutional sustainability
52 Cultural sustainability
When doing project monitoring and impact assessment we give adequate attention to:
53 Environmental sustainability
54 Economic sustainability
55 Political sustainability
56 Institutional sustainability
57 Cultural sustainability
58 The quality of technical support for our field-based activities contributes to project sustainability.
V. Partnering
We establish valuable new linkages to:
59 Relevant policy makers.
60 Private business sector representatives.
61 Other NGOs.
62 We actively engage in productive partnerships with other Organisations.
63 We monitor the effectiveness of our partnerships with other Organisations.

Through partnering we gain:
64 financial benefits that enhance our ability to accomplish our mission.
65 technical skills that enhance our ability to accomplish our mission.
66 new networks and relationships that enhance our ability to accomplish our mission.
67 Partners openly share information.
68 Partnerships have mechanisms in place to foster trust and co-operation.
69 Individual partners contribute appropriately to shared goals.
70 Individual partners share in the benefits of the co-operative effort.

VI. Organisational Learning
We routinely:
71 use results-based indicators to assess project impact on those we serve.
72 monitor project implementation against project plans.
73 achieve intended impact as captured through internal or external evaluation.
74 We routinely recognise the interdependence of our Organisation’s units, departments or divisions when analysing problems.
75 We routinely involve multiple units, departments or divisions in meeting our major organisational challenges.
76 Important information is openly shared throughout our Organisation.
77 We have adequate information to respond to our priorities.
78 Shared information is timely.
79 People routinely have the information they need to do their jobs effectively.
80 We use teamwork effectively to respond to organisational challenges.
81 Our leadership effectively uses staff input to strengthen decision-making.
82 Our staff meetings directly contribute to organisational learning.
83 Even when they know that their opinions are not widely shared by colleagues or supervisors, people generally feel comfortable expressing themselves in staff meetings.
84 Our Organisation is a safe place for risk-taking innovators.

VII. Governance and Strategic Management
85 The information contained in our reports to donors is of high quality.
86 Our reporting to donors demonstrates a clear understanding of their needs and requirements.

Our board has contributed competently in carrying out such functions as:
87 Fund raising
88 Public relations
89 Advocacy
90 Financial oversight
Policy definition

Our board has adequate representation from our key constituencies.

Commitment to our mission, goals, and philosophy is routinely reflected in:

- decisions made by staff.
- decisions made by board members.
- the day-to-day actions of non-supervisory staff.

We use strategic planning to examine ourselves in relation to our external environment.

We modify our strategic objectives based on findings generated through strategic planning exercises.

Our initiatives are developed and implemented in ways that are consistent with our strategic and operating plans.

We routinely track progress in achieving our strategic objectives.
Appendix I.

Instructions to prepare the presentation

Take overview sheets with capacity and consensus scores for all subgroup members. Also take the empty presentation flip-chart to prepare your presentation. Prepare this presentation in 20 minutes.

1. Read your overview sheet with capacity and consensus scores of your capacity area. Copy the total capacity and consensus scores on the presentation flip-chart? What do they mean?

2. Mark the capacity scores of items higher than 80 with a “+” and capacity scores below 70 with a “-”. Write down 3 strongest and 3 weakest items (with their score) on the presentation flip chart.

3. Look for areas of low consensus (put circle around any consensus score below 60) and write down the areas of low consensus, with the scores on the presentation flip-chart.

4. Brainstorm for possible reasons or causes for strong capacity items and write on the presentation flip-chart.

5. Brainstorm possible causes or reasons of weak capacity items and write down on the presentation flip-chart.

6. Brainstorm possible causes or reasons for low consensus on capacity items and write down on the presentation flip-chart.

7. Brainstorm specific recommendations in the capacity area of concern and write on the presentation flip-chart.

One sub-group member will perform the presentation to the plenary. You only need to read the flip-chart to the group on 2 or 3 minutes. There will be room for plenary questions or additions after this.
Questionnaire: Organisational Overview
Capacity Building Program

For the development of a comprehensive capacity building program we will need some input from your organisation. This is mainly focused on general information to attach to the proposal. We also ask you to emphasise on the need for capacity building.

Please send us an Organisational Overview including the following items on maximum of 2 pages:

1. **Name Organisation**

2. **Contact details**
   - Contact person
   - Physical and postal address
   - Telephone, fax
   - E-mail

3. **Mission and Vision**

4. **Staff**
   - # of employed staff + # volunteers
   - gender balance

5. **Organisational Structure (organogram)**

6. **Programs**
   - current major activities or projects
   - direct target group,

7. **Members**
   - Information about the type of membership and number of members you have (if applicable).

8. **Budget**
   - Total project budget (optional)
   - Total overhead / organisational budget (optional)
   - number of donors

9. **Infrastructure**
   - Office spaces
   - Supporting structure (tel, fax, PC, internet etc)
   - Vehicles

10. **Partnerships**
    - Main partnerships with other NGOs and private sector
    - Public Sector relations

11. **Need for capacity building**
    - What is the biggest capacity challenge for your organisation?
    - What will be the benefits of this capacity building program for your organisation?
Participatory Capacity Building Impact Assessment

Questionnaire

Measuring the Impact of Capacity Building Efforts

Directions:

Items that appear under the heading “discussion,” should be addressed through facilitated, whole group review. Team members should spend approximately 30 minutes considering each capacity area as a whole group.

Each team member should score the impact of capacity building activities on the capacity area following the discussion individually. Team members who cannot participate in the assessment of all capacity areas should not submit their answer sheets for scoring.

All 7 capacity areas should be scored individually by each member of the impact assessment team. The question for scoring is: What has been the impact from the capacity building activities on this capacity area?

Use the following scale to establish your score:

1. The Capacity has severely decreased
2. The Capacity as decreased
3. The Capacity has remained more or less the same
4. The Capacity in this area has improved
5. The Capacity has very much improved

Anonymity of scoring is guaranteed.
I. Human Resource Management

The following items are considered in this capacity area:

- Staff training events
- Staff retention:
  - Recruitment;
  - Compensation;
  - Personnel evaluation;
  - Promotion;
  - Conflict resolution;
  - Staffing;
- Supervision

Discuss:
1. Which Strategic Capacity Direction(s) was this capacity area part of?
2. What activities have taken place in this area?
3. Which went on well? Which encountered difficulties?
4. What are outcomes that are result of these activities?
5. What positive contribution did they make to improve our capacity in this area?
6. What other factors might have contributed positively or negatively to our capacity in this area?
7. What remain the critical issues or problems in this capacity area?

Scoring Question:

What has been the impact from the capacity building activities on Human Resource Management?
II. Financial Resource Management

The following items are considered in this capacity area:

- Financial procedures and practices
- Budget Projections
- Cash flows
- Diversity of financial support from
  - Private individuals, corporations or income generation;
  - Public Sector/Government;
  - Donors (Bilaterals/multilaterals, foundations).

Discuss:
1. Which Strategic Capacity Direction(s) was this capacity area part of?
2. What activities have taken place in this area?
3. Which went on well? Which encountered difficulties?
4. What are outcomes that are result of these activities?
5. What positive contribution did they make to improve our capacity in this area?
6. What other factors might have contributed positively or negatively to our capacity in this area?
7. What remain the critical issues or problems in this capacity area?

Scoring Question:
What has been the impact from the capacity building activities on Financial Resource Management?
III. Equitable Participation

The following items are considered in this capacity area:

- Stakeholders involvement in projects
- Access to and benefits of projects for traditionally under-represented groups
- Local leadership and local knowledge
- Policy development and advocacy in field of equal participation of traditionally under-represented groups

Discuss:
1. Which Strategic Capacity Direction(s) was this capacity area part of?
2. What activities have taken place in this area?
3. Which went on well? Which encountered difficulties?
4. What are outcomes that are result of these activities?
5. What positive contribution did they make to improve our capacity in this area?
6. What other factors might have contributed positively or negatively to our capacity in this area?
7. What remain the critical issues or problems in this capacity area?

Scoring Question:
What has been the impact from the capacity building activities on Equitable Participation?
IV. Sustainability of Program Benefits

The following items are considered in this capacity area:

- Environmental sustainability
- Economic sustainability
- Political sustainability
- Institutional sustainability
- Cultural sustainability

In
- Project design;
- Project implementation and
- Project monitoring and evaluation.

- Sustainability of technical support to target groups

Discuss:
1. Which Strategic Capacity Direction(s) was this capacity area part of?
2. What activities have taken place in this area?
3. Which went on well? Which encountered difficulties?
4. What are outcomes that are result of these activities?
5. What positive contribution did they make to improve our capacity in this area?
6. What other factors might have contributed positively or negatively to our capacity in this area?
7. What remain the critical issues or problems in this capacity area?

Scoring Question:
What has been the impact from the capacity building activities on Sustainability of Program Benefits?
V. Partnering

The following items are considered in this capacity area:

- New contacts and linkages with
  - Relevant policy makers;
  - Private business sector representatives;
  - Other NGOs.

- Type of current partnerships and their effectiveness

Discuss:
1. Which Strategic Capacity Direction(s) was this capacity area part of?
2. What activities have taken place in this area?
3. Which went on well? Which encountered difficulties?
4. What are outcomes that are result of these activities?
5. What positive contribution did they make to improve our capacity in this area?
6. What other factors might have contributed positively or negatively to our capacity in this area?
7. What remain the critical issues or problems in this capacity area?

Scoring Question:
What has been the impact from the capacity building activities on Partnering?
VI. Organisational Learning

The following items are considered in this capacity area:

- Learning from project evaluations
- Integrated problem solving and team work
- Information sharing
- Participatory decision making

Discuss:
1. Which Strategic Capacity Direction(s) was this capacity area part of?
2. What activities have taken place in this area?
3. Which went on well? Which encountered difficulties?
4. What are outcomes that are result of these activities?
5. What positive contribution did they make to improve our capacity in this area?
6. What other factors might have contributed positively or negatively to our capacity in this area?
7. What remain the critical issues or problems in this capacity area?

Scoring Question:
What has been the impact from the capacity building activities on Organisational Learning?
VII. Governance / Strategic Management

The following items are considered in this capacity area:

- Donor reporting
- Board practices
- Governance and consistent decision making along goals, mission and philosophy
- Strategic Planning

Discuss:
1. Which Strategic Capacity Direction(s) was this capacity area part of?
2. What activities have taken place in this area?
3. Which went on well? Which encountered difficulties?
4. What are outcomes that are result of these activities?
5. What positive contribution did they make to improve our capacity in this area?
6. What other factors might have contributed positively or negatively to our capacity in this area?
7. What remain the critical issues or problems in this capacity area?

Scoring Question:
What has been the impact from the capacity building activities on Governance and Strategic Management?
**Appendix L.**

**Individual PCB Impact Score Sheet**

Organisation name:_____________________  Individual Name (encoded): __________________

Individually, give a score on each of the following capacity areas after the focused group discussions.

The question for scoring is: **What has been the impact from the capacity building activities on this capacity area?** Use the following scale to establish your score:

1.  The Capacity has severely decreased
2.  The Capacity as decreased
3.  The Capacity has remained more or less the same
4.  The Capacity in this area has improved
5.  The Capacity has very much improved

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Score</td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
</tr>
</tbody>
</table>
About the Toolbox and cd-rom

The Participatory Capacity Building toolbox and cd-rom were developed in 2003 for the Institute of Cultural Affairs in Zimbabwe by Jouwert van Geene in collaboration with the National Association of NGOs in Zimbabwe (NANGO) with the support of ICCO-PSa and PSO, the Netherlands.

The toolbox and cd-rom were designed for facilitation purposes only. Large-scale reproduction, widespread distribution, or inclusion of any materials in publications for sale or third party training is prohibited without prior written permission. Please send requests to:

ICA-Zimbabwe
P.O. Box CY 905 Causeway, Harare, Zimbabwe
(e) icazim@africaonline.co.zw

For updates and new experiences with Participatory Capacity Building please visit the PCB-website:
www.geocities.com/part_cap_building

About the Author

Jouwert van Geene (1970) has a Masters in Business Administration from the University of Nijmegen, the Netherlands. During his studies he took several subsidiary courses at the Centre for International Development Issues in Nijmegen.

Jouwert worked for several Dutch and international organisations in the field of international development both as a free-lance consultant and on long term contracts. He is specialised in group facilitation methods, participatory project cycle management and organisational development. Jouwert has developed and conducted several training programs on these topics for a wide variety of participants including public and NGO-sectors.

Work has brought him to Uganda, Tanzania, Kenya, Zimbabwe, South-Africa, USA and Armenia.

Jouwert is a partner of Facilicom Consult, a Dutch consultancy and training firm, he is an individual associate member of ICA-International (Brussels) and capacity building advisor of ICA-Zimbabwe. Jouwert is a qualified trainer in Technology of Participation®.
Who is ICA-Zimbabwe?

The Institute of Cultural Affairs (ICA) – Zimbabwe is a unique facilitation, training and research organisation providing effective participatory skills to thousands of people across Zimbabwe and in thirty-five other nations. Globally we have a successful experience spanning over 35 years and a network of world-wide independent and autonomous organisations. ICA-Zimbabwe uses facilitation methods that result in improved organisational effectiveness and output.

Our **Vision** is to be a high quality provider of services in facilitation, community building and organisational development and transformation in Zimbabwe.

Our **Mission** is to promote social innovation through participation.

At the heart of ICA-Zimbabwe is the Technology of Participation® (ToP®), a series of methods that promote dialogue, produce consensus and solve problems in today’s working environment.

Some programs of ICA-Zimbabwe:
- Community development programs, which engage youth and other community members in community building;
- Capacity Building programs that focus on integrated organisational strengthening of NGOs, business and Government agencies;
- HIV/AIDS programs that take on this issue at community level by engaging the whole community in research, awareness and action.

ICA-Zimbabwe has a pool of experienced trainers and facilitators. We offer training and facilitation services in, amongst others:
- Group Facilitation Methods;
- Participatory Strategic Planning;
- Participatory Project Management;
- Participatory Capacity Building.

All services of ICA-Zimbabwe are customised to the specific situations.

**ICA-Zimbabwe**
P.O. Box CY 905 Causeway, Harare, Zimbabwe
(tel & fax) + 263 4-705197
(cell) + 263 91 309335
(e-mail) icazim@africaonline.co.zw