



**S O U T H S U D A N**  
**N N G O C A T**  
NATIONAL NON GOVERNMENT ORGANIZATION CAPACITY ASSESSMENT TOOL

# User Guide

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This document was developed by the National NGO capacity Development working Group of the South Sudan NGO Forum; was field tested, reviewed and finalized by an Organizational Development Consultant commissioned by the South Sudan NGO secretariat.

## FOREWORD

The outstanding issue in the development agenda of South Sudan is to strengthen capacity of local Civil Society Organisations (CSOs) so that they can respond to the needs of the grassroots communities. Non-Governmental Organisations (NGOs) form part of the key players in supporting and championing the civil society actions. One of their key roles therefore is mentorship of other smaller organisations. This involves capacity building to ensure smooth internal functioning and efficient performance by the organisations in order to reach their objectives and network with other stakeholders.

The Capacity Assessment Tool (CAT) gives clear guidelines and benchmarks under which one can thoroughly assess an organisation. The tool enables one to assess the stage at which an organisation falls in terms of growth and identifies capacity building needs that require interventions.

The CAT is designed to provide organizations with a set of criteria to assess their current organizational capacity to implement quality programmes, identify key areas that need strengthening, and highlight organizational aspects that can serve as a model for replication by other national NGOs

The CAT tool assesses organisational capacity in five domains - Governance, Organisational Management, Financial Management, Programme Management & Framework and Resource Mobilisation & Sustainability. Each domain has a number of sub-domains under which the organisation is assessed.

The tool also gives an opportunity for different ways to assess organisations. It must be understood that each organisation and situation is unique. So whereas in some organisations self assessments may be possible, in others only facilitator-led OCAs can be achievable. Also, in some organizations with over 10 staff, OCA sessions may be Done in groups and the results critiqued in plenary for consensus building.

This tool focuses on assessment and describes basic things to guide scoring organisation in each category. The assessment will allow analysis from defining the need to identifying the organisation's stage of development. At the end of the tool, an action planning template is provided to guide the development of the capacity building action plans which eventually would then be expanded into organisational capacity development plans.

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## LIST OF ABBREVIATIONS

AMREF	African Medical Research Foundation
CAT	Capacity Assessment Tool
CD	Compact Disc
CSO	Civil Society Organisation
HR	Human Resource
HRM	Human Resources Management
ICT	Information and Communication Technology
IT	Information Technology
JD	Job Descriptions
MIS	Management Information Systems
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
NGO	Non Governmental Organisation
OCA	Organisational Capacity Assessment
PLHIV	Persons Living with HIV
PWD	Persons With Disabilities
RRC	Relief and Rehabilitation Commission
SMART	Specific Measurable Achievable Realistic and Time-bound
ToR	Terms of Reference

## 1.0 INTRODUCTION

Many different factors define organisational capacity. An organisation's individual capabilities allow it to meet its objectives and therefore achieve the set goals. The ability of the organisation to effectively manage its programmes to achieve the stated goals and objectives with minimum external assistance defines its stage of development.

The process of assessing organisational capacity should embrace a set of methods and involve different tools that are designed to measure the capacity of an organisation or a specific aspect of the said organisation. Varying approaches may also be used in administering the CAT but the focus will always remain the same. The focus is on the internal components of an organisation although service delivery and external relations should also be considered.

Organisational Capacity Assessments (OCA) are usually carried out as an integral part in forming and maintaining a healthy organisation. OCA is usually used for evaluating organisational growth over time. This tool has been developed from the point of view of a South Sudan National NGO and therefore focuses more on the internally driven capacity assessment processes. From the self-assessment perspective, the main purpose of capacity assessment is to identify the root causes of issues that affect the performance of an organisation.

### 1.1 Organisational Capacity Assessment Process

An organisational analysis always meets some needs and has to be planned and implemented according to the needs and situation. The CA process can be divided into six basic steps:

- i) Defining the need and objectives;
- ii) Planning the Organisational Capacity Assessment process;
- iii) Defining the capacity areas of the organisation;
- iv) Defining indicators for each capacity area;
- v) Preparing the assessment tools and methods;
- vi) Defining the organisation's stages of growth.

The case example from AMREF - Maanisha programme will illustrate step by step how the CAT can be employed in practice.

## **1.2 Purpose of the CAT**

The purpose of the tool is to assist South Sudanese National NGO's to positively identify their capacity strengths and weaknesses towards the implementation of their organisational mandate in an effective and efficient manner and in compliance of their obligation to donor funding accountability and transparency.

## **1.3 Purpose of this CAT Guide**

This guide is designed to give further elaboration to each of the questions and answers as well as ranking in the CAT for purposes of providing the users of the tool a point of reference in case of clarity seeking.

## **2.0 CAT GOAL AND OBJECTIVES**

### **2.1 Goal**

To strengthen the capacity of the National NGO's in the Republic of South Sudan and enable them to work effectively.

### **2.2 Objectives**

To identify the various strengths and weaknesses in the composition and functionality of National NGO's in South Sudan

To assist in identification of a baseline capacity level in an NGO and development of a detailed action plan to guide capacity development and technical assistance to strengthen systems and procedures in the organization

To assist in the mapping of organisational capacity growth over time by implementing the OCA annually.

## **3.0 ORGANIZATIONAL CAPACITY ASSESSMENT GUIDELINES**

### **3.1 Organisation Capacity Ranking:**

The CAT is composed of five capacity domains, each sub-divided into different sub-domain s as follows;

- i) Governance
  - Organisation Mission / Vision / Goal
  - Board of Directors

- Leadership
- Legal Status
- Internal Communication
  
- ii) Organisational Management
  - Human Resource Management
  - Human Resource Sustainability
  - Office and Asset Management
  - Procurement and Logistics Management
  
- iii) Finance Management
  - Book Keeping
  - Budgeting and Budget Management
  - Resource Management
  - Financial Reporting
  - Audit
  - Financial Policies & Procedures
  
- iv) Programme Management & Framework
  - Programme / Project Planning
  - Programme / Project Management
  - Monitoring & Evaluation
  - Sub-grantee Partner Management
  - Gender Integration
  
- v) Resource Mobilization & sustainability
  - Programme Sustainability
  - Financial Sustainability
  - Organisational Sustainability
  - Institutional Sustainability
  - Resource Base Sustainability
  - External Relations

For each of the above capacity sub-domains, the tool presents a list of questions to check the organization's capacity level in that category. There are a total of 248 questions covered under the five capacity domains. Each question can be answered within a score ranging from 1 to 5 (as illustrated below) and the criteria for selecting each score is explained in this CAT User's Guide.

SCORE NUMBER	SCORE
1	Strongly disagree
2	Disagree
3	Fairly
4	Agree
5	Strongly Agree

### 3.2 Calculating the Category Average Score

Each category [e.g. Governance, organisation management etc.] consists of a set of questions and each question is scored between 1-5 depending on the respondents' feedback.

Category Average Score = Total Category Score ÷ Total Questions per category

*For Example: A National NGO called **SSYO** completes the CAT governance category section as below*

Under governance if the below answers were selected based on the NNGO's feedback

How much do you agree?	Strongly Disagree	Disagree	Fairly	Agree	Strongly Agree
1 The mission/vision & goal enhances the principles of equity & equality along the lines of gender, competence & marginalized groups	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>
2 The mission/vision & goals are supported by an organisation's strategic direction	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
3 The organisation's strategies are aligned with the organisation's mission/vision & goals & take the form of SMART objective statements as to how they can be achieved	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>

From the above example;

Question 1 would give a score of 5

Question 2 would give a score of 3

Question 3 would give a score of 5

Therefore;

Total Category score is  $5+3+5 = 13$

Total Questions per category = 3

Category Average Score = Total Category Score  $\div$  Total Questions per category

Category Average Score =  $13 \div 3$

**SSYO** Category Average Score = 4.3

### 3.3 Ranking an Organisation:

The grade of an organisation is ranked based on the results of the Category Average Score. This score will help determine what level of capacity development an organisation has attained within the particular category.

There are five levels that will help rank what stage of capacity development an organisation has attained. The levels are;

i) **Infant:** This is the lowest level which would indicate that the capacity of an organisation is in a very nascent stage of development meaning there is a very weak governance structure/mechanism, weak organisation management system, weak financial management system, weak programme management & framework, weak resource mobilization & sustainability, weak external relations mechanism; here, one or two of the systems could be at a moderate capacity level.

An organisation can be said to be at an Infant stage when their score is between 1 and 1.9

ii) **Emerging:** This level would indicate that an organisation has weak governance structure/mechanism, weak organisation management system, weak financial management system, weak programme management & framework, weak resource mobilization & sustainability, weak external relations mechanism BUT has taken verifiable steps to addressing these weaknesses with specified timelines; Here, two or three of the capacity systems could be at moderate and average capacity level.

An organisation can be said to be at an emerging stage when their score range is between 2.0 and 2.9

**iii) Average:** This level would indicate that an organisation has a satisfactory governance structure/mechanism, satisfactory organisation management system, satisfactory financial management system, satisfactory programme management & framework, satisfactory resource mobilization & sustainability, satisfactory external relations mechanism AND has taken verifiable steps to improve the weaknesses with specified timelines; here, one of the capacity systems could be at an advanced capacity level.

An organisation can be said to be at an Average stage when their score range is between 3.0 and 3.9

**iv) Advanced:** This level would indicate that an organisation has a fully functional governance structure/mechanism, fully functional organisation management system, fully functional financial management system, fully functional programme management & framework, fully functional resource mobilization & sustainability, fully functional external relations mechanism]

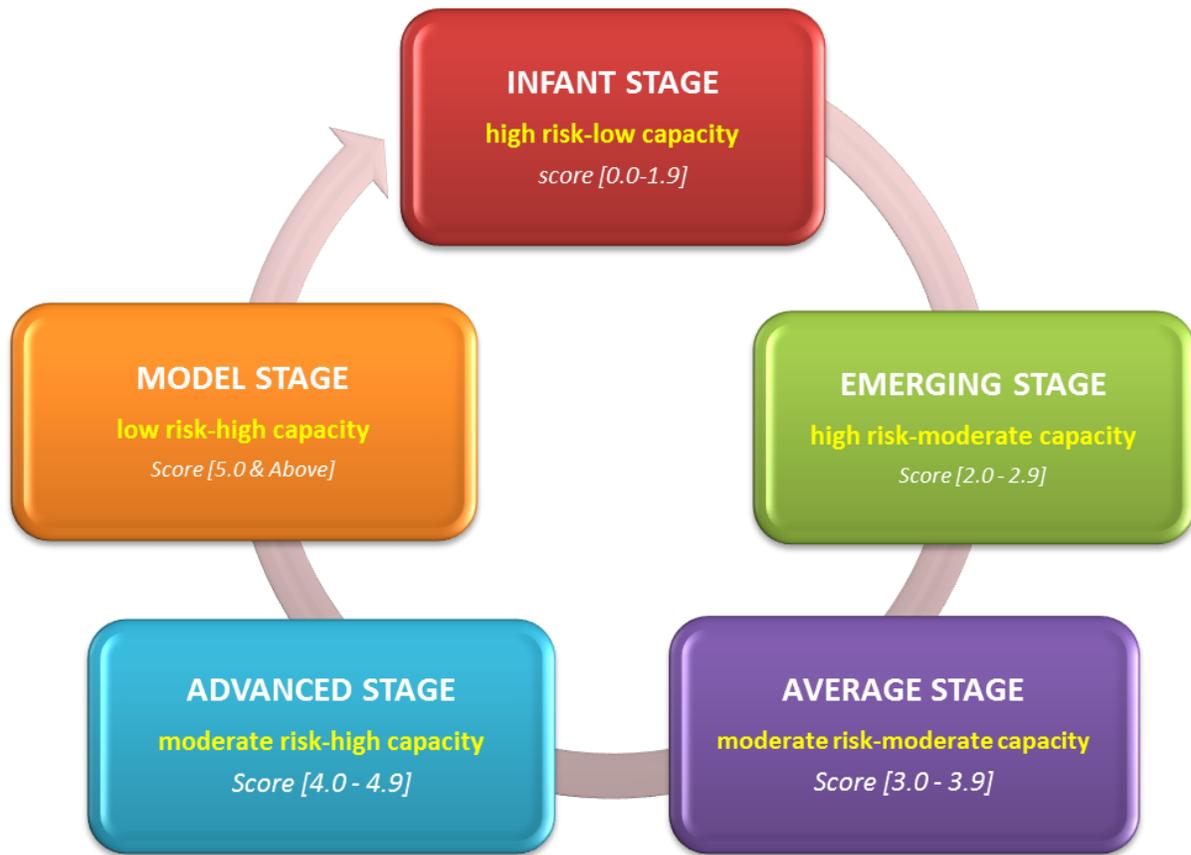
An organisation can be said to be at an Advanced stage when their score range is between 4.0 - 4.9

**v) Model:** This level would indicate that an organisation has a robust governance structure/mechanism, robust organisation management system robust financial management system, robust programme management & framework, robust resource mobilization & sustainability, robust external relations mechanism and is getting stronger.

An organisation can be said to be at a Model stage when their score range is and above 5.0

RANKING MATRIX	SCORE RANGE
Infant	1 - 1.9
Emerging	2.0 - 2.9
Average	3.0 - 3.9
Advanced	4.0 - 4.9
Model	5.0

#### 4.0 ORGANISATIONAL GROWTH CHART



Referencing the example of the National NGO called SSYO mentioned above with a category Average score of 4.3 in the Governance category, This would indicate that SSYO's governance systems are at an advanced stage of development.

**NOTE:** The same principle applied in calculating the category Average score is applied throughout all categories. There after the Total Average Score is calculated with the below formula

**Total Average Score = Total Category Average Score ÷ Total Questions Answered**

The Total Average Score will determine what stage of development an organisation will be ranked.

## 5.0 QUESTIONNAIRE GUIDELINES

### 5.1 Governance

#### 5.1.1 Organisation's Goal, Vision, Mission

a) Your organisation has a clearly articulated and documented Mission/Vision/Goal: (In the CAT, put the average score for the three categories of Mission/Vision/Goal and make a comment for which of them has to be developed or refined as a capacity development activity)

i) **Mission:**

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No mission statement
2	Disagree	Have a vague idea of their mission
3	Fairly	Can describe the mission but they have never been agreed upon or written down.
4	Agree	Mission written down at the time of registration, but few people were consulted or understand them now
5	Strongly agree	Mission agreed by all members and regularly used to guide decisions about projects and activities. Give examples

ii) **Vision:**

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No vision statement
2	Disagree	Have a vague idea of their vision
3	Fairly	Can describe the vision but they have never been agreed upon or written down.
4	Agree	Vision written down at the time of registration, but few people were consulted or understand them now
5	Strongly Agree	Vision statement agreed by all members and regularly used to guide mission and projects.

iii) Goal

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No stated Goal. Have a vague idea of the goal of the organisation
2	Disagree	Targets are non-existent or few, vague or confusing, or either too easy or impossible to achieve; not clearly linked to overarching goals and strategy; targets largely unknown or ignored by staff
3	Fairly	Realistic targets exist in some key areas, and are mostly aligned with overarching goals and strategy; may lack aggressiveness, be short-term, or lack milestones; targets are known and utilized by some staff.
4	Agree	Realistic yet demanding targets exist in most areas, and are aligned with overarching goals and strategy; primarily quantifiable and focused on outcomes; typically multi-year targets, though may lack milestones; targets are known and utilized by most staff who use them to broadly guide work
5	Strongly Agree	Realistic yet demanding targets exist in all areas; targets are tightly linked to overarching goals and strategy, quantifiable, outcome-focused, have annual milestones, and are long-term in nature; all staff consistently utilize targets and work diligently to achieve them.

b) Operational planning is conducted jointly by management staff & constituency

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of the need of joint operational planning
2	Disagree	Planning is done once during the proposal development stage
3	Fairly	Some activities to be carried out are listed by different departments
4	Agree	Sessions are held for planning meetings but only for senior staff
5	Strongly Agree	Regular of planning meetings are held to strategies on how to implement the programme activities with all departments represented and representatives of programme beneficiaries.

c) The organisation's board, leadership and staff comply with the organisation's Mission/ Vision & Goals

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The organisation does not have documented mission, vision and goals
2	Disagree	Board, leadership and staff are not conversant with the stated mission, vision and goals of the organisation
3	Fairly	The board, leadership and staff have a vague idea about the mission, vision and goals of the organisation
4	Agree	The board, leadership and staff are well aware of the requirements of the mission, vision and goal of the organisation.
5	Strongly Agree	Board, leadership and staff all participated in developing the mission, vision and goal of the organisation and therefore adhere to it

d) The organisation Mission/ Vision & Goals are reviewed in a regular systemized cycle

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No mission, vision or goals
2	Disagree	Not aware of the need to carry out the review
3	Fairly	Sometimes they are discussed when need arises
4	Agree	There are forums to discuss mission, vision and goals
5	Strongly Agree	The organisation always carries out performance review to establish the strategic direction which sometimes calls for regular review of the mission, vision and goals

e) The process of developing the organisation's Mission/ Vision & Goals is participatory and inclusive

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The organisation does not have mission/vision or goals stated or documented
2	Disagree	Only the founder members participated in developing mission/vision and goals as a requirement for registration
3	Fairly	Only senior management and board participated in developing the organisation's mission/vision & Goals
4	Agree	All the management, staff, board members were involved in developing the organisation's mission/Vision & Goals
5	Strongly Agree	The board, senior management, staff and other stakeholders were engaged in one way or another

f) The Organisation's Mission/ Vision & Goals are accessible to staff, leadership, board and other stakeholders for reference purposes

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No mission, vision or goal statements
2	Disagree	Mission, vision and goal not documented thus hard to access
3	Fairly	Mission, vision and goal exist in hard copies only accessible to the leadership, and staff
4	Agree	The Mission, Vision and goal statements exist both in hard and soft copies but not posted for easy access by other stakeholders
5	Strongly Agree	The mission, vision and goal exist in both hard and soft copies and posted on the organisational website, constitution or profile and therefore can easily be accessed by all

- g) The organisation's Mission/ Vision & Goals are well understood by staff, leadership, the board, constituents & the public.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No mission, vision or goal for the organisation
2	Disagree	Have a vague idea of their mission, vision and goal
3	Fairly	Can describe the mission, vision and goal but they have never been agreed upon or written down
4	Agree	Mission, vision and goal are written down at the time of registration, but few people were consulted or understand them now
5	Strongly Agree	Mission agreed by all members and regularly used to guide decisions about projects and activities. <b>Give examples of when and how it has been disseminated</b>

- h) The Mission/ Vision & Goal enhances the principles of equity & equality along the lines of gender, competency & marginalized groups

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The Mission/Vision/Goal statements do not express any fairness towards marginalized groups, men & women and the principle of merit
2	Disagree	The Mission/Vision/Goal statements vaguely hint on fairness towards Marginalized groups, men & women and the principle of merit
3	Fairly	The Mission/Vision/Goal statements does indeed refer to fairness towards marginalized groups, men & women and the principle of merit but is not known or adhered to by leadership/staff of the organisation
4	Agree	The mission/Vision/Goal statements do express fairness towards marginalized groups, men & women and the principle of merit but is only known to the senior management of the organisation
5	Strongly Agree	The Mission/Vision/Goal statements do express fairness towards marginalized groups, men & women and the principle of merit and is known and adhered to by leadership and staff of the organisation in planning and programme implementation.

i) The Mission/ Vision & goals are supported by an organisation strategic direction

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Have vague idea about mission, vision and goals
2	Disagree	Can describe the mission, vision and goal but they have never been agreed upon or written down
3	Fairly	Mission, vision and goal statements conforms to the organisational strategy but with minimal consultations with the stakeholders
4	Agree	Mission, vision and goals were set with clear mind on which direction the organisation would want to go after consultation with leaders and other stakeholders
5	Strongly Agree	The planned course of action or activities by the organisation are such that they will assist the organisation in the attainment of the set goals and strategy

j) The organisation's strategies are aligned with the organisation Mission/Vision & Goals in a realistic way & take the form of SMART objective statements

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Have no organisation strategy
2	Disagree	Have either no or vague idea of the organisation's strategy
3	Fairly	Can describe the organisation's strategy but the strategy has never been agreed upon or written down
4	Agree	The organisation's strategy is aligned with the organisation's Mission/Vision & Goal but with minimal consultations with stakeholders
5	Strongly Agree	The organisation's strategy is aligned with the organisation's Mission/Vision & Goal and is SMART with implementation timelines and clearly documented consultations with stakeholders.

### 5.1.2 Organisation's Board of Directors

a) The organisation has a formal board of directors

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No board in place
2	Disagree	Board in place but don't meet regularly
3	Fairly	Board meets but doesn't review organizational reports and carry out other functions in the organization such as resource mobilisation
4	Agree	Board in place, with documented roles and responsibilities but some members are not aware of their roles
5	Strongly Agree	Board in place with documented ToR, meets regularly and all members are aware of their duties and willing to participate in the leadership and functioning of the organisation.

b) The board has clear terms of reference and board members meet regularly as a statutory requirement

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	Aware of need but no documented ToR
3	Fairly	Informal roles of the board exist and members are aware and perform based on these
4	Agree	Board has well documented ToR, but some members are not up to date with the ToR
5	Strongly Agree	Well documented ToR for the board is in place, members are regularly refreshed and trained on their roles

c) The board complies with and respects by-laws concerning fixed terms of office and quorum

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No board in place
2	Disagree	Board members not willing to leave office
3	Fairly	Board members willing to leave office but no elections have been held or arranged
4	Agree	Plans are in place to hold elections to elect a new board. There has been only one board since the inception of the organisation
5	Strongly Agree	The board members strictly adhere to their fixed term of office. Elections are always held in time whenever the term of office of the sitting board expires

d) The board of directors provides overall direction, execute control and supervision of director/senior leadership of the organisation

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Board members not interested in the affairs of the organisation
2	Disagree	Board members are interested but there is a conflict of roles with the senior management, not clear segregation of powers
3	Fairly	The board is somewhat involved in decision making, but only to a certain extent
4	Agree	The board members have control over the organisation's business, but are not technically competent to provide overall direction
5	Strongly Agree	The board comprises a technical mix of experienced individuals and provides overall direction, execute control and supervision of director/senior leadership of the organisation

e) The board plays the role in providing overall policy direction and oversight

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The board members not informed on policies governing the organisation
2	Disagree	Board members aware of some policies governing the organisation's operation, but management instead decides on all organisation's business
3	Fairly	The board provides some oversight but only in a few areas where they are needed
4	Agree	Management consults the board on all policy issues in the organisation, but the board is not proactive in getting involved.
5	Strongly Agree	The board proactive and ratifies all policy related operations and decisions concerning the organisation's business, management consults the board on all policy issues

f) The board members are accessible to staff members and other stakeholders

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Board members are not in-country
2	Disagree	Board members are in-country but never come to the organisation
3	Fairly	Board members seldom come to the organisation and if they do, they come unannounced
4	Agree	Board members come to the office from time to time, attend organisation staff functions and staff are informed when board members are coming
5	Strongly Agree	There is a clear schedule on board / staff interactions, staff are allowed access to interact with board members and give feedback on their activities and challenges in the organisation

g) There is clarity of roles, responsibilities & authority of board of directors as well as organisation staff

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No specific roles in place
2	Disagree	Some roles are known but not documented as policy
3	Fairly	An organogram exists, and clear reporting lines are known but protocol is not followed at times by management and staff
4	Agree	Staff, management and board are aware of reporting lines and follow them
5	Strongly Agree	Organogram and JDs are documented and available to all staff

h) The board of directors has adequate membership in terms of Representation of minorities (gender, competence, age, etc)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of the need
2	Disagree	Aware of need but reluctant to involve some of these groups
3	Fairly	Some minority groups are on the board but not representative enough
4	Agree	The organisation has a fully representative board representing all groups but there is lack of technical competence, no policy exists on their inclusion
5	Strongly Agree	The organisation has a technically competent, fully representative board with women, PWD, youth, elderly, PLHIV, etc, and their inclusion is documented in the organisation's legal documents

- i) The board of directors is involved in lobbying, fundraising, advocacy and public relations

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not terms of reference for the board
2	Disagree	ToR exists but only on file, not distributed to board members
3	Fairly	Board members aware of the ToR, but have no capacity to conduct fundraising and advocacy
4	Agree	Board members have capacity to fundraise but are too busy with their regular employment
5	Strongly Agree	Board members have capacity to fundraise, conduct advocacy and lobbying for the organisation, training on these fields is done for them, and they are conducting these duties as required

### 5.1.3 Leadership

- a) The organisation has a clear leadership and management structures in place. (This is to establish whether there is an organisational organogram that spells out management and responsibilities levels)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Members do not know what an organogram is
2	Disagree	Have an organogram that cannot be interpreted by all members
3	Fairly	There is an organogram only known to top management
4	Agree	There is an organogram but not all roles are included
5	Strongly Agree	A detailed organogram exists with clear roles and reporting lines

b) Management analyses and uses information collected from projects and compares it with the organisation's plans. This means the management is able to monitor and evaluate the programmes as they are implemented and be able to use such information for decision making. This therefore requires availability of M&E tools.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No M&E tools available
2	Disagree	M&E tools available but not utilized
3	Fairly	M&E tools available but utilized occasionally
4	Agree	M&E tools available, utilized but the information not consumed
5	Strongly Agree	M&E tools available, information collected, analyzed and used for decision making

c) Senior Management relationship with staff is participatory, transparent, and management decisions are delegated

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Senior management do not have dialogue with staff at all
2	Disagree	Staff never involved in any management issues
3	Fairly	Staff are occasionally consulted by senior management on programme issues
4	Agree	Staff is involved and consulted on some managerial issues
5	Strongly Agree	Staff are always involved on the day-to-day running of the organisation and decisions are collectively made

- d) Staff and management have a clear understanding of their respective roles and staff knows whom they report and receive guidance from. (This point is trying to find out if there are clear job descriptions with clear reporting lines)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No clear organogram with clear reporting and communication lines
2	Disagree	Organogram exists but no clear job descriptions
3	Fairly	There is an organisational organogram and job description but with no clear reporting and communication lines
4	Agree	Clear organogram and job descriptions developed but not well disseminated to the staff
5	Strongly Agree	Well disseminated organogram and job description with clear reporting lines understood to all staff and management

- e) Management has adequate balance in terms of representation of minorities (This section is assessing Gender Mainstreaming). Does the organisation respect, encourage, and promote equal participation from people of all genders, *competence*)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Membership is not open to all in terms of gender e.g women or male organisations only and with no regard to the age.
2	Disagree	Gender equality is embraced in the membership only and participation rules
3	Fairly	Serious attempts are made to balance gender amongst officials
4	Agree	Responsibilities are equally distributed amongst male and female officials and members
5	Strongly Agree	Organisation develops and uses gender sensitive approaches in its work and promotes equal respect and rights for males and females

- f) The senior management has the capacity to develop an implementable organisation sustainability plan of action.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	There is no community involvement in programmes at any level
2	Disagree	Community only involved at planning level
3	Fairly	Community is only involved at planning and implementation level of programmes
4	Agree	Community is involved at all the three stages of planning, implementation and evaluation but has no say on decision making
5	Strongly Agree	The community members are equally involved in all the stages of the programme activities and usually participates in decision making informed by M & E.

- g) Senior management has an effective succession plan i.e. if senior manager were to leave the organisation would function without him/her. (The authority for and the method of filling vacancies on committees and/or empowering other staff to take up roles of other senior staff). Does the organisation have on capacity building strategy for junior staff? E.g. on job trainings

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No capacity building or empowerment programmes in the organisation
2	Disagree	Restricted empowerment for specific staff levels only
3	Fairly	Staff are encouraged to initiate personal capacity development at their own cost
4	Agree	The organisation has on job capacity building and on job trainings for staff
5	Strongly Agree	Fully sponsored capacity building programmes by the organisation for all carder of staff is available and everybody is given equal opportunity.

### 5.1.4 Legal Status

- a) The organisation is legally registered with the relevant government body and the organisation's registration status is up-to-date (This question seeks to know whether the organisation is legally registered under the relevant laws of the land and if the registration has been renewed after expiry)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Organisation is not legally registered
2	Disagree	Documentation to facilitate registration are still underway
3	Fairly	Documentation for registration has been completed and the relevant authority already working on the official registration
4	Agree	The organisation is registered and up to date but registration certificate not availed at the time of Assessment
5	Strongly Agree	The organisation is dully registered and the certificate is upto-date in terms of renewal where applicable. The original certificate of registration is available at the time of assessment.

- b) The board of directors/senior management is aware of legislation that affects the NGO sector

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Board of directors/senior management do not know of any such legislation and do not have any copy
2	Disagree	Board of directors/senior management know of such legislation but do not have copies
3	Fairly	Board of directors/senior management have copies of such legislation but they rarely use them
4	Agree	Board of directors/senior management have copies of such legislation but do not file returns as required
5	Strongly Agree	Board of directors/senior management have copies of such legislation and adhere to them. (Check copies of returns and financial reports)

- c) The organisation’s activities conform to the local legislation and by-laws.(Check in terms of the area coverage, and/or if they are not in the organisational mandate - confirm with the constitution and other relevant legal documents

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Activities are beyond specified borders and/or not per the constitution or other legal documents
2	Disagree	Engaged in activities not in the constitution
3	Fairly	Activities are mixed up, some are within the mandate while some are not
4	Agree	All activities conform to the local laws but no documentation to show
5	Strongly Agree	All activities conform to the local legislation and original documents are available for verification. (Check copies)

- d) The board of directors and senior management review and amend the organisation’s constitution and guidelines as required (Checks whether the organisation has a written constitution or rules that are accepted and approved by all the members of the organisation and whether such has been amended)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No constitution or rules
2	Disagree	Some rules or guidelines exist but they are not written down
3	Fairly	Some written rules or guidelines exist in writing
4	Agree	Written constitution / rules which were used for registration exist but only known to officials
5	Strongly Agree	Written constitution or rules exist and are known, reviewed, approved and disseminated to officials and members and other stakeholders (give examples of dates when this was done

- e) The actions of the board of directors/senior management are guided by the organisation's constitution. (This question requires to check adherence to the constitution of the organisation in terms of mandate, meetings, office tenure etc)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The Organisation has No constitution
2	Disagree	The Constitution exists but is not followed
3	Fairly	Some actions are guided by the constitution while others disregard the constitution
4	Agree	Constitution is followed but with complaints from some board of directors/senior management
5	Strongly Agree	Everything is done as per the constitution

- f) The board of directors/senior management have access to legal advice/services when needed

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Board of directors/senior management do not know about such legal advice
2	Disagree	The organisation cannot afford such legal advice
3	Fairly	They sometimes outsource such legal advice but at a prohibitive fee
4	Agree	Board of directors/senior management can outsource legal advice with ease but irregularly
5	Strongly Agree	The organisation has a lawyer of its own and officials get legal advice regularly

- g) The board of directors/senior management ensures that all levels of the organisation understand the organisation's constitution. (Does the organisation have a written constitution or rules that are accepted and approved by all the members of the organisation?)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No constitution or rules
2	Disagree	Some rules or guidelines exist but they are not written down
3	Fairly	Some written rules or guidelines exist in writing
4	Agree	Written constitution / rules which were used for registration exist but only known to senior management
5	Strongly Agree	Written constitution or rules exist and are known, reviewed, approved and disseminated to officials and members and other stakeholders (give examples of dates when this was done)

- h) The organisation's constitution is in line with the local equity legislation /clauses e.g. gender equality, disadvantaged groups etc (Does the organisation have a written constitution or rules that has equity legislation/clauses?)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No constitution or rules
2	Disagree	Some rules or guidelines exist but they are not written down
3	Fairly	Some written rules or guidelines exist in writing but not clear about equity clauses
4	Agree	Written constitution / rules with such clauses but has not been put into practices
5	Strongly Agree	Written constitution or rules exist and are known, reviewed, approved and disseminated to officials and members and other stakeholders (give examples of dates when this was done).

- i) The organisation benefits from the financial and legal status allowable under the local law [e.g. Tax exemptions]

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not legally registered
2	Disagree	Not aware of its legal rights
3	Fairly	Not aware of such benefits
4	Agree	Sometimes get such benefits
5	Strongly Agree	The organisation is aware and always demands for such benefits

- j) The organisation has the ability to fulfill its legal obligations

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The organisation lacks capacity in terms of personnel to fulfill its legal obligations
2	Disagree	Management are Not aware of the organisation's legal mandate
3	Fairly	The organisation has made attempts to fulfill its legal obligation either unsuccessfully or still in process at the time of the assessment
4	Agree	The organisation is able to fulfill on some legal obligations but not all
5	Strongly Agree	The organisation is aware and always strives to fulfill its legal obligation

### 5.1.5 Internal Communication

- a) The organisation has a clearly articulated and documented communication strategies

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No communications plan or articulated communications strategy in place; key messages not defined or articulated; stakeholders not identified; information messages about organisation are inconsistent
2	Disagree	Some strategies are verbally discussed but they are not written down nor known to members and therefore not practiced
3	Fairly	No communications plan or articulated communications strategy in place, but key messages defined and stakeholders identified; communications to stakeholders are fairly inconsistent
4	Agree	Communications plan and strategy in place; key messages defined and stakeholders identified; communications to stakeholders are generally consistent and coordinated
5	Strongly Agree	Communications plan and strategy in place and updated on a frequent basis; stakeholders and their values identified, and communications to each of those stakeholders customized; communications always carry a consistent and powerful message

- b) The organisation's communication policy was developed in a participatory manner involving management and staff

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No such policy exists in the organisation
2	Disagree	A professional was hired to develop the policy for the organisation
3	Fairly	Only senior management were involved in the development of the policy
4	Agree	Senior management only sought the opinion of the other staff after the document was developed
5	Strongly Agree	The management and staff were fully involved in the whole process as the document was being developed

c) The organisation submits good quality reports (Does the organisation prepare and submit reports to its stakeholders as required or expected?)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No experience in financial reporting i.e. no funded activity undertaken
2	Disagree	Reports compiled and submitted if required
3	Fairly	Reports compiled as part of project implementation
4	Agree	Reports submitted to donors in accordance with grant agreement in respect of time and format
5	Strongly Agree	Accurate reports submitted in accordance with grant agreements to donors, members and other stakeholders

d) The organisation holds regular staff and management meetings which are minuted

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	There are no staff meetings ever held
2	Disagree	Only the top management meet occasionally
3	Fairly	Adhoc meetings are held
4	Agree	Meetings are held among staff and senior management which are sometimes minuted
5	Strongly Agree	Meetings held among staff & management and minutes are kept

e) The organisation has a high rate of information flowing from the field to the head office/base

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need for information flow
2	Disagree	No information flow - each unit works independently
3	Fairly	informal information flow between staff in field and head office
4	Agree	There is evidence of formal channels of information flow between field and base but not frequently used
5	Strongly Agree	communication policy in place with evidence of high utilization of laid down channels of communication between head office and field offices

f) Information from external and management meetings is adequately shared within the organisation

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No sharing of external information within the organisation
2	Disagree	Such information remains the preserve of the management
3	Fairly	Information from external meetings are shared verbally within the organisation on adhoc basis.
4	Agree	Information from external meetings are shared in writing but management decides which information is suitable for staff circulation.
5	Strongly Agree	Information from external meetings are shared to all staff regularly through internal organisation bulletins, emails, memos etc

g) Information is shared/communicated within the organisation, worded in simple and understandable language and effort is made to ensure overall understanding of information communicated

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	There are no established channels of communication
2	Disagree	Information is transmitted informally with no regard for feedback
3	Fairly	There are both formal and informal means of communication but no efforts to get/give feedback
4	Agree	channels of communication are in place but communication is mainly up-down
5	Strongly Agree	There is a communication strategy in place with information flow in all directions and there are concerted efforts to ensure understanding and feedback is received

h) Information shared within the organisation is worded with sensitivity to equity and equality e.g. gender (he/she), disadvantaged groups

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Information is shared with no regard for equity and equality sensitivity.
2	Disagree	Organisation staff are not aware of the need for information to be equity and equality sensitive
3	Fairly	Information is shared in-discriminatively
4	Agree	Some sensitivity is attached to the information shared within the organisation
5	Strongly Agree	Information is shared with a lot of sensitivity to equity and equality

- i) The organisation invests in communication tools to enhance organisation's profile e.g. website, radio broadcasts, print publications (newspapers, magazines, fliers etc)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not Computer literate. The only communication tool used is mobile phone
2	Disagree	Additional to mobile phone usage, there is occasional email access from public facilities
3	Fairly	The organisation has computers /laptops but does not have website or organisational brochures or print publications
4	Agree	The organisation has their own computer with internet access; there is evidence of use of computer for project data capture, processing, storage and dissemination.
5	Strongly Agree	Evidence of high utilization of ICT for data collection, analysis, reporting, research and communication including posting of success stories and best practices on websites, CDs, manuals, brochures, pamphlets

## 5.2 Organisational Management

### 5.2.1 Human Resource Management

- a) The organisation has an organisational structure with clear reporting and demonstrated linkages between the different positions and units in the organisation

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Each group is expected to know its work
2	Disagree	Duties and responsibilities are defined before hand
3	Fairly	Assistance is sought based on the duties and responsibilities. The duties and responsibilities are documented in a job description Yes [ ] No [ ] Please verify
4	Agree	Work is discussed formally by all during meetings and reports submitted orally or in writing. Verify implementation reports or updates in files or minutes of past meetings
5	Strongly Agree	There are written job descriptions for key regular work and performance appraisals are conducted; Staff development and reward schemes established. Verify job descriptions performance appraisal

- b) All staff have up-to-date job descriptions that fit with the duties/roles the staff is actually doing and clearly defines the essential tasks/duties of the staff

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need for JDs
2	Disagree	Aware of the need for JDs but are not documented
3	Fairly	JDs are documented but not all staff follow their JDs, activities are allocated haphazardly without following the JDs
4	Agree	Staff have clear job descriptions, aligned to the organisation's goal, but are all independent of each other with no room for team work, sharing of tasks or backstopping, but delegation is sometimes done
5	Strongly Agree	Staff have clear JDs alligned to the organization's goals and strategies, are well understood by the staff and allow for multi-tasking and teamwork among staff

- c) There is a high level of compliance with transparent, merit based staff recruitment that include public job advertisements, professional interview panel and time balance from job vacancy stage, advertising, application handling and staff reporting(Does the organisation have documented staff recruitment procedure )

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No staff recruitment procedure
2	Disagree	Recruitment is based on who is known to the officials and/or organisation
3	Fairly	Some rules which are not documented are applied
4	Agree	Recruitment procedure well documented but not followed always
5	Strongly Agree	Recruitment procedure well documented and strictly followed

- d) Staff performance appraisal takes place regularly (Does the organisation have appraisal system that allows each carder to have a say in the all-round personnel performance)?360 degrees appraisal system?

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	Aware of need but has never been carried out
3	Fairly	Staff appraisals carried out irregularly/for some staff, no procedures/guidelines
4	Agree	Annual performance appraisals done by supervisors
5	Strongly Agree	A well-documented structure in place where a 360 <sup>0</sup> system of appraisals take place annually and recommendations implemented

- e) The organisation has a personnel manual catering for salaries and benefits packages, code of conduct, terms of employment, recruitment and dismissals, grievance and conflict resolution which complies with statutory labor regulations and is being applied

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No policies/manuals in place
2	Disagree	Informal policies and procedures are followed
3	Fairly	Unwritten procedures followed and it is believed that all know and understand them
4	Agree	An HR policy/manual present setting out term of employment & benefits for all cadre of staff
5	Strongly Agree	Formal HR policy setting out criteria on employment, employment benefits, rules and regulations which is strictly adhered to

- f) The personnel manual, code of conduct, and other personnel guiding documents are shared with all staff (Does the organisation have formal and documented personnel manual, code of conduct and other documents?)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No such documents
2	Disagree	Informal policies and procedures are followed
3	Fairly	Basic formal policies on recruitment, remuneration and work allocation followed
4	Agree	Job descriptions and terms of reference for volunteers, staff and service providers developed
5	Strongly Agree	Formal policies setting out criteria to be used for engaging officials on assignments, volunteers, staff and other service providers documented in a manual form. Verify manuals

- g) All HR policies and procedures are well known and understood by the staff. (Does the organisation have formal and documented policies and procedures to guide the overall management of people?)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No policies and procedures
2	Disagree	Informal policies and procedures are followed
3	Fairly	Basic formal policies on recruitment, remuneration and work allocation followed
4	Agree	Job descriptions and terms of reference for volunteers, staff and service providers developed
5	Strongly Agree	Formal policies setting out criteria to be used for engaging officials on assignments, volunteers, staff and other service providers documented in a manual form. Verify manuals

- h) There is a high level of adherence to equity and non-discrimination in recruitment (including but not limited to religion, race, gender, disability, minority, sexual orientation, etc)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	membership not equitably distributed
2	Disagree	Equity & non-discrimination embraced in the recruitment process
3	Fairly	serious attempts made to ensure staff are engaged from all walks of life
4	Agree	there are policies in place to ensure equity and non-discrimination practices in recruitment
5	Strongly Agree	the organisation is an equal opportunity employer and has provided opportunities to the disadvantaged in society to ensure equal representation in its work-force

- i) All relevant staff participate in budgeting processes

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Some experts are invited to do the budgeting for the organisation without involving any staff member.
2	Disagree	It is only top management that is involved in the budget without involving other staff members
3	Fairly	Top management initiates the budget process and provides general guidelines but lower-level employees are only invited to ratify the budget without serious budget discussion involving them.
4	Agree	All levels of employees are involved in the process but budget allocation is done by top management only
5	Strongly Agree	The organisation embraces a bottom-up approach which allows meaningful participation of lower-level employees in budgeting process. Top management initiates the budget process and provides general guidelines but it is lower-level employees who develop the budget for their own units. The final resource allocation is based on input of all staff.

- j) The staff have a safe and comfortable working environment (office space, equipment, communication facility)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No office, no equipment
2	Disagree	office facilities/meeting space and equipment provided by a member as and when needed
3	Fairly	has own office & equipment or occasional access to public services e.g. bureaus
4	Agree	has own office but sharing office equipment/communication facilities
5	Strongly Agree	Own office and equipment such as computer, printer, internet etc.

### 5.2.2 Human Resources Sustainability

- a) The organisation has a human resource development plan which is based in the organisation's capacity needs and strategic objective.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No human resource development plan in place. Qualifications and experiences are considered during recruitment.
2	Disagree	Sporadic on-the-job training offered only when opportunity presents itself for lucky staff only.
3	Fairly	Assistance is sought based on the duties and responsibilities. The duties and responsibilities are documented in a job description Yes [ ] No [ ] Please verify
4	Agree	Follows standard career paths, no consideration for staff development, there is limited training coaching and feedback. No regular performance appraisals and no incentives for promising new staff
5	Strongly Agree	Well thought and targeted development plans for all employees/positions; frequent, relevant training & mentoring, and consistent performance appraisals are institutionalized; continuous, proactive initiatives to identify promising new staff; recruitment methods ensure that staff reflect diversity

b) The skills acquired in staff training are integrated in the work environment.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No staff training offered for knowledge and skills development
2	Disagree	The organisation does not provide for forums for such skills integration
3	Fairly	Some staff share with their colleagues skills acquired from such trainings
4	Agree	Feedback of skills development trainings are only shared with the senior management team
5	Strongly Agree	There is an elaborate forum for sharing knowledge and skills acquired. There is organized continuous skills and knowledge sharing sessions.

c) The organisation has a merit based staff remuneration system that is up-to-date with market rates

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No compensation system in place
2	Disagree	An informal compensation system in place where remuneration is haphazardly administered
3	Fairly	A documented compensation system in place but its application not transparent
4	Agree	There is a staff compensation system in place but remuneration not competitive
5	Strongly Agree	Evidence of annual salary bench-marking and a merit based compensation system which is strictly adhered to

d) Staff appraisal feedback is highly integrated into the organisation's plans and actions

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No staff performance appraisals plans in place
2	Disagree	Only senior staff appraise their juniors and no feedback given
3	Fairly	Annual performance appraisals held but not all are discussed with supervisor
4	Agree	Annual performance appraisals held, discussed with supervisor but these are not incorporated into organisational plans
5	Strongly Agree	Annual performance appraisals held then discussed with supervisor; succession, development and other plans then integrated into organisation plans

e) Employment contracts, code of conducts and HR related regulations are always in writing

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No written documents
2	Disagree	HR regulations and staff contracts known informally
3	Fairly	a few HR manuals in writing but no staff with written contract
4	Agree	some of the HR policies are in writing with some staffs' contracts expired
5	Strongly Agree	HR policy/manuals present and well documented; and each staff has a written contracts which is current

f) The personnel manual, code of conduct and other HR documents are reviewed in a participatory process

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	There is preliminary participation involving some staff documents review.
2	Disagree	There is exploration of documents review by various departments or individuals
3	Fairly	Documents review plan is embedded in practice across the institution using qualitative and quantitative data to improve effectiveness but not all departments are involved
4	Agree	Development of a framework and review plan is in place and all departments are catered for when it comes to review of policy documents.
5	Strongly Agree	Policy document review processes are ongoing, systematic and used to assess and improve the organisational achievement. The organisation reviews and refines its policy documents to improve institutional effectiveness.

g) The organisation often conducts policy refresher trainings for its staff

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	There is no training at all for staff
2	Disagree	The organisation is contemplating offering such trainings for the staff but concrete plans are yet to be laid down.
3	Fairly	Trainings are offered at the employee's request
4	Agree	Training is offered although there is no guiding matrix to the employees needs
5	Strongly Agree	A training needs matrix is available in each department to assist Line Manager/Supervisors in identifying appropriate training needs for the staff serving under them

h) Equity is applied in staff promotions, salary increment, leave policy etc

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Promotions and salary increment are functions favored by
2	Disagree	The organisation does not put emphasis on internal equity but promotions and salary adjustments are based on loyalties
3	Fairly	Promotions and/or salary increment are based on job performance
4	Agree	The employee's promotions and salary adjustments are based on job-related qualifications and performance.
5	Strongly Agree	The organisation offers equal consideration for promotion, pay increment and leave days without regard to age, color, disability, ethnicity, gender, marital status, national origin, race, religion, sexual orientation, or veteran status

i) The salary and benefits offered by the organisation are sufficient to retain skilled staff

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Salary scales are fixed overtime and no increments and no other benefits
2	Disagree	The organisation offers a consolidated salary without other extra benefits
3	Fairly	The organisation reviews salaries once a year, but other benefits remain. Therefore, the organisation's pay is likely to be at market value just once a year.
4	Agree	The organisation is making deliberate attempt to offer good benefits and salaries to retain their staff which are reviewed continuously
5	Strongly Agree	The organisation evidently has a good compensation philosophy to attract, retain, and motivate good people by offering good base pay (salary); incentive pay, and/or non-financial rewards.

- j) The organisation has in place staff welfare schemes arising from occupational health hazards, death, sickness, childbirth

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	There is no staff welfare schemes
2	Disagree	Organisation is at the primary stage and intends to start employee benefits schemes.
3	Fairly	Some motivational benefits which are not documented are offered to the employees
4	Agree	There is staff welfare schemes but restricted to Pay supplements (Compensation for non-working periods) and Insurance (Group insurance, medical insurance) but without Retirement Benefits and Services like Child care units etc
5	Strongly Agree	The organisation has an elaborate staff welfare schemes which are well documented and are used as motivating factor but cost saving.

### 5.2.3 Office and Asset Management

- a) The organisation has sufficient human and technical capacity in the administration department

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No administration department
2	Disagree	A few staff have basic knowledge on administration issues i.e. procurement, custody of assets etc.
3	Fairly	Identified staffs in HR department attended training workshops in administration charged with administration issues
4	Agree	Separate administration department with own staff but low capacity - sometimes relies on consultants
5	Strongly Agree	All staff in the department understand administrative policies in place and have the capacity to efficiently/effectively undertake their duties. Refresher trainings regularly provided

- b) The organisation has personnel responsible for and makes sure that office equipment is properly used, routinely maintained

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No equipment
2	Disagree	Borrowed/hired equipment owner maintained
3	Fairly	Available equipment only repaired by users when not functioning
4	Agree	Out-sourced service employed for routine maintenance of equipment
5	Strongly Agree	A policy on assets management in place and routine maintenance religiously carried out as per manufacturer's recommendation

- c) The organisation's staff comply with the organisation's asset management guidelines

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No guidelines exist
2	Disagree	Desires to develop asset management guidelines but the organisation lacks the capacity
3	Fairly	Asset management plan is available but not followed
4	Agree	There is written down asset management plan but not always followed to ensure a desired level of service.
5	Strongly Agree	There is written down asset management plan which is being used to maintain desired level service at the lowest life cycle cost.

- d) The organisation always keeps track of in-coming and out-going correspondence, has a document filing system in place (Ensure your organisation operates optimal business practices managing correspondence and the response lifecycle, with built-in process to support staff and management facilities and ensure escalation, visibility and service level agreements are achieved)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No records
2	Disagree	No one charged with the functions - sometimes records captured, other times not
3	Fairly	Correspondence records maintained by each staff but no formal filing system in place
4	Agree	Correspondence records centrally kept; filing system maintained but not well organized
5	Strongly Agree	Correspondence records maintained centrally, with a good, accessible filing system in place with occasional archiving of outdated documents for more room

- e) The organisation has a system and guidelines for fleet management, asset management, travel benefits/entitlements (security of personnel and assets)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No system or guidelines on how vehicles are allotted, assigned, or managed, but operations are authorized as need may arise.
2	Disagree	No guidelines nor policies but usage of the vehicles are authorized by senior management
3	Fairly	Some guidelines exist but not yet formulated into policies and/or guidelines
4	Agree	Policies and/or procedures exist to promote the safe, legal, and responsible use of vehicles owned or operated for the benefit of the organisation but stewardship is lacking because no personnel directly in charge of the policy implementation.
5	Strongly Agree	Policies and/or procedures exist to promote the safe, legal, and responsible use of vehicles owned or operated for the benefit of the organisation including comprehensive wise stewardship of public resources, a good public image, conservation of budget, and responsibility to citizens.

f) The organisation's staff understand the organisation's administrative guidelines, procedures and refresher training is regularly conducted

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Staff have no idea on such guidelines.
2	Disagree	Some vague rules are put in writing to guide the organisation's staff training needs
3	Fairly	There is Administrative Guidelines but are rarely put into use to inform the needs of the organisation
4	Agree	There is Administrative Guidelines provided to help implement the organisation's on-job training policy, promotion and tenure but they have never been revised neither does the organisation seek recommendations of other staff members.
5	Strongly Agree	There is Administrative Guidelines which are revised periodically to reflect recommendations of other staff and administrators for improving the effectiveness and efficiency of the organisation. It provides for on-job training policy, promotion and tenure.

g) Facilities in the organisation are gender sensitive/disability sensitive, age sensitive etc.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Facilities do not favour the disadvantaged population
2	Disagree	facilities used by all indiscriminately
3	Fairly	facilities gender sensitive but the disabled not catered for
4	Agree	sensitization among staff and attempts being made to ensure all facilities cater for all without discrimination
5	Strongly Agree	various policies in place, sensitization ensured and facilities are sensitive to the disadvantaged in the organisation

h) The organisation has a functional IT system, electronic filing system and hardware/software management

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Offices not networked
2	Disagree	The offices and departments are networked but staff needs special training on IT in order to use the available computers
3	Fairly	Offices are networked but information and filing is restricted to particular departments
4	Agree	The organisation has Electronic Information system that contains and provides access to computerized records and other information
5	Strongly Agree	The organisation has well established IT and a good filing system developed through a basic filing plan by all staff. The offices are also adequately networked and equipped with the necessary soft/hardwares.

i) The organisation uses a fixed assets register which is up to date to track assets

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Asset register is not available
2	Disagree	Asset register exists but not updated
3	Fairly	Asset register only gets updated for audit purposes
4	Agree	Asset register exists, managed by the responsible staff and is updated.
5	Strongly Agree	Asset register exists and managed by the responsible staff. Assets are well coded, branded and with clear information on staff assigned, staff responsibility over asset management. Staff are aware of the policies on assets management and stewardship

### 5.2.3 Procurement and Logistics management

a) The organisation has a procurement management system/procedure/guidelines

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No procurement system in place
2	Disagree	Goods and services are sourced as deemed fit by every department
3	Fairly	There some rules followed in procuring processes
4	Agree	the organisation has documented procurement procedures and management systems but no staff directly in charge procurement department
5	Strongly Agree	The organisation has internal control system for procurement of goods and services to ensure orders are handled by the staff having skills in evaluating what purchases are required from suppliers offering the best deals, to ensure purchases made do not exceed the budget provided and to ensure purchased goods and services conform with the quantity and price specified in the order.

b) The organisation's procurement and logistics system/procedure/guidelines is effective

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	the department is dormant and nobody bothers on procurement is done
2	Disagree	There are some procedures in procurement and logistics rules but not documented
3	Fairly	Logistics and procurement guidelines exists in all departments
4	Agree	The department is headed by skilled staff and utilization is evidenced though there is no procurement and tendering committee
5	Strongly Agree	There is a department headed by qualified and skilled personnel fully trained on the roles and responsibilities of a procurement officers. All procurement of goods and services are sanctioned by the procurement and tendering committee

c) The staff of the organisation comply with the procurement and logistics procedures and guidelines

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No procedures followed
2	Disagree	Procurement and logistics are done anyhow disregarding the procedures laid down
3	Fairly	Some rules are followed when procuring goods and services
4	Agree	Staff somewhat observe the procurement and logistic procedures.
5	Strongly Agree	The staff plan, manage and fully document the process to acquire goods, services as per programme requirements; while ensuring compliance with the laid down procurement and logistics procedures

d) The organisation has a committee to verse the procurement process, especially with tenders

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No tender committee
2	Disagree	Tenders are offered depending on familiarities
3	Fairly	Adhoc tender committee is formed when need be
4	Agree	Formalized tender committee exists but not all are consulted during tendering
5	Strongly Agree	The organisation has formal tender committee that decides on how tenders are offered with participation of relevant staff

e) The process of procurement and logistics policy formulation is participatory and involves all staff

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No procurement and logistics policy in the organisation
2	Disagree	Some rules which are not documented are talked about by the senior managers
3	Fairly	Only the senior management are involved in policy formulation
4	Agree	Senior management come with policies which are later shared with other staff for their input
5	Strongly Agree	The organisation is gender sensitive when it comes to policy formulation. All staff are involved when coming up the policies.

f) Procurement guidelines and records are shared with staff members

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Other staff do not know what goes on in the procurement department
2	Disagree	All procurement records and guidelines are only kept by the concerned department
3	Fairly	Guidelines and records are shared with senior management team
4	Agree	Guidelines and records are shared during staff meetings only
5	Strongly Agree	Guidelines and records are shared through an elaborate IT system on regular basis

g) Procurement procedures include obtaining quotations from more than one source

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No procurement procedures followed
2	Disagree	Any quotation as long as it falls within required range of budget
3	Fairly	Some rules that are not adhered to that quotations must at least from two different sources
4	Agree	Emphasis is put on at least more than two quotations
5	Strongly Agree	the organisation adheres to the procedure that requires at least three quotations from three different sources

h) The committee to over- see the procurement process is adequately balanced in terms of age, gender, minority etc

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No committee in place
2	Disagree	procurement is carried out by senior management only
3	Fairly	Procurement committee is constituted but is not gender sensitive
4	Agree	An attempt to incorporate all in the committee is evident but not completely achieved
5	Strongly Agree	The organisation employees inclusivity approach as it constitute committees thus procurement committee not exceptional.

i) Logistics and procurement is always budgeted for in the organisation

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	no budget allocation for procurement and logistics
2	Disagree	Some logistical issues are handled as they arise
3	Fairly	minimal budget is allocated for logistics and procurement
4	Agree	General budget is allocated for procurement and logistics.
5	Strongly Agree	Each department hands in a budget to procurement and tendering committee for compilation.

j) There is a provision for declaration of interest by the procurement panel/office

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No such declaration
2	Disagree	Members of the procurement sometimes offers tenders to themselves
3	Fairly	Members of the procurement committee not allowed offering themselves tenders
4	Agree	Clear provisions for conflict of interest is available
5	Strongly Agree	Strict rules are set and documented about conflict of interest. All members of procurement committee must sign declaration forms as safety measure against conflict of interest

## 5.3 Financial management

### 5.3.1 Book-keeping

a) The organisation maintains up-to-date financial records

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No financial records maintained
2	Disagree	Only bank paying- in slips (income) are maintained and available for perusal
3	Fairly	Bank paying-in <u>and</u> withdrawal slips are maintained together with supporting documents for expenditure maintained in files <b>Please verify</b>
4	Agree	Registers maintained for income and expenditure records while supporting documents are held in files: Cash book Yes [ ] No [ ] Petty cash book Yes [ ]No.[ ] Bank reconciliations up to date Yes [ ] No [ ] <b>Please verify reconciliations in cash book</b>
5	Strongly Agree	Organisation prepares regular financial reports for discussion in meetings and annual accounts are audited. <b>Please review last audited accounts and indicate year-----</b>

b) There is a segregation of duties to protect cash

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No division of duties and one single person can authorize expenditures
2	Disagree	The top management are in charge of expenditures
3	Fairly	At least three officials must sign for any cash after departmental committees have approved
4	Agree	There is finance committee that decides on how monies are spent
5	Strongly Agree	There is well spelt out duties for staff on funds request and signatories that must authorize expenditure of the organisation's fund once the budgets are approved by the Board and finance committee.

c) A general/nominal ledger is maintained without exclusive reliance on cash accounting

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Ledger books are not kept
2	Disagree	Ledger books are available but not assigned to any staff.
3	Fairly	Ledger books are kept but not updated
4	Agree	Ledger books are kept by the responsible staff and duly updated.
5	Strongly Agree	Ledger books are kept by the responsible staff, duly updated and corresponds to the real situation of the organisations credits and debit accounts. Periodic checks are made by an internal auditor.

d) The organisation's fixed assets are expensed immediately on purchase or are recorded on the balance sheet with depreciation calculated

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Does not have fixed assets register
2	Disagree	No proper records on fixed assets
3	Fairly	Some records of fixed assets are kept but only done when a department is winding up
4	Agree	Assets register exist but no depreciation calculated
5	Strongly Agree	Up to-date assets register with depreciation calculated is available

- e) The organisational operating plan and different aspects are well documented to show its wider structure and business plan

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The organisation does not have a business development plan
2	Disagree	The organisation has a business plan but staff did not participate in its development
3	Fairly	The organisation has a business plan developed participatorily by staff but its content not well known to staff
4	Agree	The organisation has a business development plan developed through a participatory approach, has been disseminated to staff
5	Strongly Agree	The organisation has a business development plan developed through a participatory approach, has been disseminated to staff and all staff are aware of the organisations priorities, values and beliefs in working with partners, beneficiaries, staff relations and resource stewardship

- f) Daily cash and bank log books are maintained

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Log books not maintained
2	Disagree	Cash and log book exists but not assigned to any staff for management
3	Fairly	Cash and bank log books are kept by the responsible staff but not, duly updated
4	Agree	Cash and bank log books are kept by the responsible staff, duly updated and corresponds to the real situation of the organisations
5	Strongly Agree	Cash and bank log books are kept by the responsible staff, duly updated and corresponds to the real situation of the organisations. Periodic reviews are made to validate the consistencies

g) General, admin and joint costs are allocated to operational departments by designated officer/team

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	no allocation of expenditure
2	Disagree	each department keeps lump sum costs
3	Fairly	some departments have attempted allocating costs to relevant budget lines
4	Agree	finance department generally attempts to allocate costs but no one is answerable
5	Strongly Agree	a costing unit with trained staff continuously allocates costs to relevant budget lines/department

h) The organisation accounts for accruals, contingencies etc

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The organisation does not bother about the accruals and contingencies
2	Disagree	The organisation uses such funds on running costs
3	Fairly	There is some accounting done on such funds
4	Agree	Some records are available for the accruals and contingencies
5	Strongly Agree	The accruals and contingencies are factored back into the programme budget line items and records well kept

- i) Bank and cash reconciliation is performed in a systematic and timely manner and are always reconciled

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	Aware of need but not undertaking the reconciliations
3	Fairly	Reconciliations on needs basis
4	Agree	Reconciliations are done as a regular practice
5	Strongly Agree	Reconciliations are done as a regular practice, forms part of the mandatory financial reports and are used for decision making.

### 5.3.2 Budgeting and Budget Management

- a) A Regular budgeting process is developed and integrated in annual operating plans

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No experience in budgeting
2	Disagree	Budgets are only prepared if required for project proposals
3	Fairly	Budgets are prepared for project activities and used for resource mobilization
4	Agree	Both administration and activities budgets in place
5	Strongly Agree	Budgets and cash flow statements are reviewed regularly and adjusted as administration and project implementation needs require

b) The budgets against budgets is used in making decisions

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Working budgets are not made.
2	Disagree	Working budgets are made but not used for funds advance approval purposes
3	Fairly	Working budgets exists and used for funds advance approval purposes
4	Agree	Implementation teams develops working budgets for particular activities to be undertaken. The working budgets are referred to in making requests for budget funding.
5	Strongly Agree	Implementation teams develops working budgets for particular activities to be undertaken. The working budgets are referred to in making expense approvals by management. Main budget referred to regularly with adjustments made as appropriate

c) There is clarity on whose responsibility it is to ensure accountability accuracy, review, analysis, monitoring and performance against budgets

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware
2	Disagree	No internal mechanism for tracking and review of budgets
3	Fairly	There exists internal mechanisms for tracking budget performance,
4	Agree	There exists an internal mechanisms for tracking budget performance, reports are produced
5	Strongly Agree	There exists an internal mechanisms for tracking budget performance, reports are produced, reviewed and use in decision making. Verify existence of such reports.

d) Relevant staff are actively involved in the budget operation process - there is a process for frequent review, analyzing and monitoring of performance against budgets

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No experience in budgeting
2	Disagree	Budgets only prepared for project proposals
3	Fairly	Budgeting only done for project activities and resource mobilization
4	Agree	Specific staff involved in the budgeting process but with sporadic review, analysis and monitoring
5	Strongly Agree	Budgets staff actively involved in monitoring and evaluation activities which are then used to measure performance against work plans

e) The organisation has a clear process for preparing and managing projects budgets and overall organisation budgets

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	No experience in the budgeting process
3	Fairly	Some project budgets prepared and maintained
4	Agree	Organisation and project budgets prepared but relationship between the two unclear
5	Strongly Agree	Detailed project budgets prepared; then consolidated into a detailed organisation budget

f) The budget preparation process is participatory

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	Aware of need but no experience in budgeting
3	Fairly	Only resource mobilization staff are privy to budgets during proposal development
4	Agree	Budgeting staff and a few section heads involved in budgeting
5	Strongly Agree	Each section/department prepares own budget which is then presented in a meeting with finance/budgets department and all department heads for approval and consolidation

g) Budgets are prepared with sufficient details on activities

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	No experience in budgeting
3	Fairly	Budgets are prepared for activities but administrative costs not accounted for
4	Agree	Both administrative and activities budgets in place
5	Strongly Agree	Detailed budgets and work plans in place which are regularly reviewed and adjusted according to implementation requirements

h) The budget or budgeting process is sensitive to age, minority, disadvantaged groups, gender etc

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The budget is only done by professionals
2	Disagree	Budgeting process involves only senior managers
3	Fairly	Budgeting is done by senior managers and professionals only
4	Agree	Senior managers and professionals and later invite the rest for their input
5	Strongly Agree	The process is all inclusive. The organisation strives to ensure that equality is maintained during the budget process

i) Quarterly budget projections are made

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	No experience in budgeting
3	Fairly	Budgets only prepared for resource mobilization/project proposals
4	Agree	only annual budgets are in place
5	Strongly Agree	Detailed long term budgets been projected to quarterly with detailed work plans

j) The budget approval process is clear

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No budget approval systems
2	Disagree	Each staff can budget and approve for his/her budget
3	Fairly	Immediate supervisor approves the budgets
4	Agree	Budgets are approved by senior managers and finance manager
5	Strongly Agree	Strict electronic approval system in place

### 5.3.3 Resource Management

a) There has been good management of resources in the last year thus far

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Resources have not been managed well
2	Disagree	There are several audit questions on resource management
3	Fairly	There are few audit questions on resource management
4	Agree	Resources are somewhat utilized well and no audit questions raised
5	Strongly Agree	Resource are evidently managed well without any audit questions. Every activity carried out gives value for money

b) The organisation's resource management practices and procedures help prevent deficit

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	There is poor resource planning, numerous resourcing conflicts, increased project risk.
2	Disagree	No clear responsibility on resource allocations and expenditures
3	Fairly	There is resource management procedures in place but no visibility of who is doing what.
4	Agree	There is standardized resource management processes and procedures in place which are well documented
5	Strongly Agree	There is evidence of proper resource planning, visibility of who is doing what, and understanding of the talent available within the organisation.

c) The organisation's budget is used to allocate funds to required areas

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	not experience in budgeting
3	Fairly	funds utilized on a need basis
4	Agree	budgets used to allocation funds but there are some misallocation of funds
5	Strongly Agree	budgets strictly adhered to; funds only allocation to specific activities in budget

d) The financial situation of the whole organisation is reviewed in a participatory process

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	organisation finances not reviewed
3	Fairly	Each department reviews its financial situation independently
4	Agree	organisation's financial situation reviewed by some department heads
5	Strongly Agree	organisation's financial situation reviewed by relevant department/staff; then communicated to all staff

e) The organisation has a well documented resource management guidelines/procedures

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of such guidelines and procedures
2	Disagree	No documented guidelines to ensure proper utilization of resources
3	Fairly	Resources are managed by individual senior managers
4	Agree	Documented guidelines are available which helps in ensuring most valuable resources are used to maximum effect, and workload is balanced but not based on time line
5	Strongly Agree	There is standardized resource management processes and procedures in place which are well documented and help assess how well the entire resource pool is utilized on a daily, weekly or monthly basis.

- f) There is a balance in the amount of cash in the hand vs the number of personnel with access to it (who handles the key to the safe)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	No cash in hand maintained
3	Fairly	Any amount of cash held in the hand and all staff have access to it
4	Agree	There is a limit to the amount of cash at hand but more than 1 person has access to the safe
5	Strongly Agree	There is a limit to the amount of cash at hand and only 1 person has access to it at a time

- g) The staff and management team have a clear understanding of their respective roles in managing organisational resources

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	There is no division of roles and responsibilities
2	Disagree	Roles and responsibilities in terms resource management are unclear
3	Fairly	Senior management team manages the resources of the organisation
4	Agree	Finance committee manages the resources of organisation but there leadership is unclear
5	Strongly Agree	the organisation's resources is managed by Resource Management Committee lead by qualified finance manager.

- h) The resource management personnel is made up of an adequate mix of competencies that complete tasks

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	There is no committee in place to manage the resources of the organisation and no division of roles
2	Disagree	Resources are managed by senior staff only
3	Fairly	senior staff make major decisions about the organisational resources with minimal input by other staff that are not in the management
4	Agree	There are skilled resource management personnel but lack balance of competencies
5	Strongly Agree	The organisation uses integrated resource management software operated by skilled and competent personnel to show whenever resources are double booked, or a project plan has been rescheduled for easy spotting of any conflicts and quickly resolve them.

- i) The organisation has diversified funding and has taken successful steps towards achieving this

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The organisation depends on one donor only
2	Disagree	the organisation lacks resource mobilization skills and therefore has no diverse resource base
3	Fairly	The organisation has plan in place for resource mobilization in order diversify funding base
4	Agree	The organisation is capable of implementing more than one programme and therefore draws support from different donors. However, it still requires and outsources professional skills on proposal development
5	Strongly Agree	The management team has skills on proposal development and therefore able to mobilize resources. Besides the organisation has more than one donor and good sustainability strategy in place while involving the community as well as the government devolved structures

- j) Bank transactions are managed effectively, and one or more signatories are needed for a bank transaction

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No bank account. Someone's personal account is used to process funds
2	Disagree	Bank account exists in organisation's name but requires only the founder's signature
3	Fairly	Bank account exists in organisation's name with two or more signatories who decide when to withdraw funds
4	Agree	Banking arrangements and appointment of signatories made through a meeting
5	Strongly Agree	Withdrawals are authorized in a meeting based on approved budgets: Cash is withdrawn or cheques signed by authorized signatories. <b>(Verify last withdrawal from minutes of a meeting).</b>

### 5.3.3 Financial Reporting

- a) Financial statements are prepared for all activities of the organisation

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No experience in financial reporting i.e. no funded activity undertaken
2	Disagree	Reports compiled and submitted if required
3	Fairly	Reports compiled as part of project implementation
4	Agree	Reports submitted to donors in accordance with grant agreement in respect of time and format
5	Strongly Agree	Accurate reports submitted in accordance with grant agreements to donors, members and other stakeholders. <b>(Ask for samples).</b>

b) The organisation's financial reporting system links financial expenditures with activities/output

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	no experience in financial reporting
2	Disagree	financial reports only compiled and submitted if required
3	Fairly	financial reports compiled as part of project implementation
4	Agree	financial reports submitted according grant agreements - format and time
5	Strongly Agree	accurate reports submitted according to grant agreements and this includes narratives detailing activities undertaken/outputs and expected outcomes

c) The financial report compares actual expenditure with budgeted programme allocations

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	expenditures not monitored
3	Fairly	financial reports compiled as part of project implementation but not analyzed
4	Agree	reports are submitted according to grants agreements according to time/format
5	Strongly Agree	accurate financial reports that reveal differences between budgeted allocations and actual activity expenditures available

d) Financial reports are adequately monitored and reviewed in a transparent manner

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	the organisation does not prepare financial report
2	Disagree	Reports are available but not monitored
3	Fairly	Financial report is prepared monitored but not reviewed
4	Agree	Financial reports are closely monitored and reviewed by financial managers
5	Strongly Agree	Financial report closely monitored and reviewed by the financial management team in leadership of financial managers

e) The organisation prepares cumulative annual financial reports besides monthly or quarterly reporting

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Does not prepare any financial report
2	Disagree	Produces periodic reports only
3	Fairly	Sometimes refers to previous reports
4	Agree	reports are done quarterly
5	Strongly Agree	Always prepares cumulative financial reports from monthly, quarterly, semi-annually and annual reports

f) Financial information is adequately shared within the organisation

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Financial not shared at all
2	Disagree	Information about finance is only known to the finance committee
3	Fairly	Information is shared only amongst management staff
4	Agree	Finance information is shared only when a meeting is called
5	Strongly Agree	the finance information is shared adequately within the organisation through the communication network in open and transparent manner

g) Financial reports are presented to the board and recommendations from the board are implemented

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	the organisation does not prepare a financial report
2	Disagree	financial reports are kept secret of the organisation
3	Fairly	Financial reports are shared with board only if requested by the board
4	Agree	Financial reports are presented to the board for their information
5	Strongly Agree	Financial reports are presented to the board regularly as they are prepared and their recommendations factored in

h) There is a balance between internal reporting and external reporting

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	There is neither internal nor external reporting
2	Disagree	Reporting is only done internally
3	Fairly	Reporting is only done internally to avoid audit questions
4	Agree	The reports done internally are shared externally
5	Strongly Agree	internal reports inform the reports shared by the board for inputs and thereafter shared by stakeholders and donors alike

i) Funds from different donors are segregate along with a system to track the different groups/types of transactions

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	No experience in project implementation
3	Fairly	All donor funds kept in same bank account then used for any activity till depleted
4	Agree	Funds for each project kept in specific bank accounts but allocation done haphazardly
5	Strongly Agree	Funds for each activity kept in specific bank account; allocations specific as per budget/work plan

j) The organisation is able to achieve the reporting requirements of donor agencies within the organisational structures

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no experience in reporting
3	Fairly	reports compiled as part of implementation
4	Agree	reports submitted to donors according to grant agreements - time/format
5	Strongly Agree	accurate reports submitted as per grant agreements to donors, members and stakeholders ( <b>ask for samples</b> )

### 5.3.5 Audit

a) There is an internal audit unit/department within the organisation

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	No experience in auditing
3	Fairly	Staff in finance department routinely undertake auditing roles
4	Agree	There is an internal auditing section within finance department
5	Strongly Agree	there is an independent internal auditing unit with qualified personnel which performs its role independently without interference from other department

b) The internal audit unit works independent of the organisation's leadership influence and interference

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	No experience in auditing
3	Fairly	Staff in finance department routinely undertake auditing roles
4	Agree	There is an internal auditing section within finance department
5	Strongly Agree	An independent internal auditing unit performs its role independent from the organisations interference

c) The auditors management letter is always implemented

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No auditing takes place
2	Disagree	Audit reports never shared with other departments
3	Fairly	the audit notes usually shared within the organisation just for purposes of informing the staff but no action is taken
4	Agree	audit notes are usually shared within the organisation but with little attempt implement them
5	Strongly Agree	Audit reports usually with all staff and board members and their recommendations implemented

d) There is always positive attitude, participation, and transparency, towards external auditors identification process

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need of auditing
2	Disagree	No need for external auditors as the work is done appointed staff
3	Fairly	External auditors hand-picked without following due process as in procedures
4	Agree	There is good participation, transparency but ineffective process in external auditors' identification
5	Strongly Agree	The process of identifying external auditors follows the procurement procedures and is open and transparent

e) The organisation's financial policies reflect annual organisation auditing as mandatory requirement

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	No financial policies in place
3	Fairly	Annual organisation auditing sometimes carried out
4	Agree	Annual organisation auditing documented as mandatory and sometimes carried out
5	Strongly Agree	Annual organisation auditing documented as mandatory and always carried out

f) The auditors' reports are easily accessible to all staff and interested parties

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no skills in auditing
3	Fairly	report available only to specific people
4	Agree	report accessible to staff only
5	Strongly Agree	report accessible to all interested parties

g) The organisation's budget includes an allocation for annual financial audit

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	no audit done
2	Disagree	Audit usually done internally by staff so there is no budget for it
3	Fairly	Some small budget is done for audit activities done internally
4	Agree	Budget allocation for financial audit is done but with restrictions
5	Strongly Agree	The finance committee gives serious consideration to both internal and external audit processes and adequate allocation is given to the department

h) Audits always check for completeness, existence, accuracy, valuation, ownership and presentation of all items and transactions

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No audit done
2	Disagree	Audit only looks at the transactions records
3	Fairly	Audit only looks for transaction and ownership only
4	Agree	Audit checks for existence, accuracy, ownership and transactions only
5	Strongly Agree	Audit usually checks all the above and evidence of inclusiveness of board and stakeholders as well

### 5.3.6 Financial Policies and Procedures

- a) The organisation has clearly defined financial policies and procedures, which are documented and shared with staff

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No policies/procedures
2	Disagree	Donor based procedures followed for each project
3	Fairly	Organisation's financial systems approved by board/committee and responsibilities separated
4	Agree	Documented financial system in place complete with charts of accounts in place. <b>(Verify documented procedures to support this score)</b>
5	Strongly Agree	Working financial system in place governing all financial operations, statutory compliance and auditing

- b) All transactions are supported by documentation and a complete, uninterrupted audit trail

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	no experience in documentation
3	Fairly	most transactions lack documentation
4	Agree	transactions are supported by support documents but lack audit trail
5	Strongly Agree	all transactions supported with relevant supporting documents and clear evidence of audit

c) The organisation's financial policy that was developed in a participatory manner involving management and staff

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No policy
2	Disagree	Donor based policies adopted for each project
3	Fairly	Financial policy developed by board
4	Agree	Financial policy developed by the board and management
5	Strongly Agree	Financial policy developed in a participatory manner by all stakeholders

d) The organisation has no problems in implementing and following procedures

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	there is serious violation of financial procedure
2	Disagree	No checks and balances to guide the organisation to work within the recommended financial procedures
3	Fairly	The organisation tries to stick to the guidelines and procedure
4	Agree	staff is adequately informed on the procedures and able to follow
5	Strongly Agree	staff are aware and well equipped to follow procedure and qualified personnel with the competencies guide other staff on implementation plan

e) Documentation is reviewed by authorized personnel before payment is made

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	No experience in documentation
3	Fairly	Sometimes payment done without documentation
4	Agree	Documentation reviewed by any senior person
5	Strongly Agree	Documentation reviewed by authorized personnel before payment done

- f) The financial policies and procedures can easily be accessed by staff members for reference purposes

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	No procedures
3	Fairly	Informal policies & procedures are followed
4	Agree	Policies and procedures in place but only accessible to a few
5	Strongly Agree	Policies and procedures easily accessible to all staff

- g) The authorization procedures and limits as well as cash payment limits are highly effective and adhered to

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no authorization procedures/limits in place
3	Fairly	informal authorization and cash payment limits followed
4	Agree	Authorization procedures and cash payment limits ineffective
5	Strongly Agree	Authorization procedures and cash payment limit system in place and effectively followed

- h) Quotations and comparatives are always obtained for purchases in a fair and transparent manner

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No rules followed for any purchases done
2	Disagree	Personal interests take centre stage during any transaction in the organisation
3	Fairly	Some rules are available to guide purchases
4	Agree	Procurement procedures are followed
5	Strongly Agree	Documentation on conflict of interest and policies on procurement procedures are available and strictly followed.

- i) The organisation has adequate personnel to enforce and review the organisation's financial policies and procedures

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	financial policies and procedures do not exist
2	Disagree	no qualified, competent employees to do this
3	Fairly	the organisation higher expertise from outside to review the documents
4	Agree	departmental heads do review the policies and procedures from time-to-time
5	Strongly Agree	A department comprising of qualified, skilled and competent personnel exist guided by financial committee enforce and review the financial policies and procedures with the input of all other staff

- j) The organisation's financial policies and procedures include procurement, receipts, payroll, advances, travel and other expenses

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no financial policies and procedures
3	Fairly	informal financial policies/procedures followed
4	Agree	financial policies and procedures not inclusive
5	Strongly Agree	detailed financial policies and procedures all inclusive

## 5.4 Programme Management and Framework

### 5.4.1 Programme/Project Planning

a) Annual operation plans/activity plans are developed and used regularly

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	Activity work plan developed as part of a proposal for funding
3	Fairly	The organisation has identified /knows the necessary interventions to be carried out but has not developed a work plan for any of them
4	Agree	The organisation has identified/knows the necessary interventions to be carried out, has developed a work plan for some
5	Strongly Agree	The organisation has identified/knows the necessary interventions to be carried out, has developed a work plan for all; work plan is used to guide project implementation and solicit for funds. <b>Work plan period-----</b>

b) Baseline data is established before programmes/projects are implemented

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Do not understand the need to collect data
2	Disagree	Willing to do this but there is no capacity
3	Fairly	Baseline data obtained but only utilized if requested by the donor and/or partners
4	Agree	Baseline data are usually collected and kept for purposes of mobilizing resources
5	Strongly Agree	Organisation establishes Baseline data to help compare what was happening before the programme with what happens after and extension to claim credit for impact.

c) Annual work plans are broken down to quarterly, monthly work plans

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no experience developing work plans
3	Fairly	work plan only developed as part of proposal for funding
4	Agree	annual work plans only broken into quarterly projections
5	Strongly Agree	work plans broken into detailed quarterly month and even activity plans for ease of implementation

d) The organisation undertakes periodic strategic planning/annual planning/operational planning/activity planning review

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need for review
2	Disagree	no planning skills
3	Fairly	sporadic review of plans
4	Agree	review of all planning activities occasionally under-taken
5	Strongly Agree	review of all plans systematically carried out at regular predetermined periods

e) The organisation has a multi-year strategic plan

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need for one
2	Disagree	Aware of need for planning but not able to formulate/articulate strategic plan
3	Fairly	Can describe its purpose/role in project implementation
4	Agree	Can describe its purpose/role in community, and possible interventions but has no documented strategic plan
5	Strongly Agree	Can describe its purpose/role in community, HIV and AIDS situation and possible interventions, has a documented strategic plan. <b>Indicate strategic plan period</b> ----- --

f) Communities/beneficiaries are involved in the strategic planning/operational planning/activity planning of the organisation

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Indirectly at the programme identification stage in the course of a baseline survey
2	Disagree	People are only involved as beneficiaries in the implementation stage
3	Fairly	Directly at the programme implementation stage
4	Agree	Directly in programme implementation and monitoring
5	Strongly Agree	Involves community throughout the programme identification, implementation and M & E processes as participants, implementers and supervisors through membership committees

g) The organisation assesses the needs of the community through fair engagement with the community

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Community presence either not recognized or organisation is generally not regarded as a player in the community
2	Disagree	Few members of the community (e.g., other nonprofit leaders, government representatives, and academics) engage with organisation but community leaders rarely call on organisation for its input on issues important to organisation
3	Fairly	Community presence somewhat recognized, and organisation is generally regarded as a player in the community; some members of the community actively engage with organisation; community leaders occasionally call on organisation for its input on issues important to both the community and to organisation
4	Agree	Known within the community beyond just constituents/members; perceived as open and responsive to community needs; members of larger community (including some highly respected members) actively engage with organisation; community leaders often call on organisation for its input on issues important to both the community and organisation
5	Strongly Agree	Widely known within the community, and perceived as actively engaged with and extremely responsive to it; many members of the larger community (including many highly

		respected members) actively engage with organisation; community leaders always call on organisation for its input on issues important to both community and organisation
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#### 5.4.2 Programme/Project Management

a) All existing programmes/projects of the organisation have logical frameworks

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No idea about logical framework
2	Disagree	Willing to develop logical framework but lack capacity to do so
3	Fairly	In the process of developing logical framework
4	Agree	Logical frameworks exist but with some components missing
5	Strongly Agree	Complete logical framework for all the projects exist

b) The organisation has an efficient programme delivery structure/mechanism

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Does not understand the whole project as it did not participate in proposal development
2	Disagree	Programme delivery structure quite cumbersome and confusing with no clear roles and responsibilities
3	Fairly	There are some overlapping roles in the structure thus makes it difficult to implement
4	Agree	The delivery structure exist but with no clear leadership
5	Strongly Agree	Deliver structure is elaborate with clear roles and responsibilities

c) All stages of the project cycle are conducted in consultation with relevant stakeholders

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Does not understand the relevance of stakeholder consultations
2	Disagree	Understands the relevance of Stakeholders but chooses not to consult them in any stage of the project cycle
3	Fairly	Stakeholders are consulted but only at the start of the project or at the project development stage.
4	Agree	Stakeholders are consulted at all stages of the project cycle but their input and influence to the project is not documented.
5	Strongly Agree	Stakeholders are consulted at all stages of the project cycle with evidence of their input and influence to the project.

d) Work plans and budgets are reviewed periodically based on emerging needs

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no experience in budgeting
3	Fairly	budgets only prepared during project proposal preparation
4	Agree	budgets and work plans occasionally reviewed
5	Strongly Agree	budgets and work plans regularly reviewed and emerging issues taken into account

e) Services always meet the needs of the beneficiaries

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	no target beneficiaries
2	Disagree	services offered to whomever is available
3	Fairly	Tries to identify target beneficiaries
4	Agree	Services aimed at a specific target group
5	Strongly Agree	services focus on a specific group with whom work is designed to meet the groups' needs

f) The organisation effectively documents and manages programme information. A project documentation filing system is in place

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	need not understood
2	Disagree	no documentation skills
3	Fairly	some documents kept in no specific order
4	Agree	a filing system in place but not all documents are kept
5	Strongly Agree	Systematic filing system in place for all project documents

g) Community members are involved and consulted throughout project management and implementation and their opinions and concerns are heard and included where possible

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	indirectly at programmeme identification stage in course of baseline survey
2	Disagree	people only involved as beneficiaries in the implementation stage
3	Fairly	directly at programmeme implementation stage
4	Agree	directly at programmeme implementation and monitoring stages
5	Strongly Agree	community involved throughout the programme identification, implementation and M&E processes as participants,

		implementers and supervisors through membership committees
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#### 5.4.2 Monitoring and Evaluation

a) The organisation uses monitoring and evaluation frameworks (performance, monitoring frame, log frame)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	the organisation has no frameworks
3	Fairly	willing to develop frameworks but lacks capacity
4	Agree	in the process of developing logical frameworks
5	Strongly Agree	The organisation uses frameworks to examine the progress of the project and co-relate the activities carried out and results achieved

b) The organisation has programme indicators representing different levels of results (input, outcome, impact)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of the significance
2	Disagree	aware but does not know how to formulate indicators
3	Fairly	informally measures results
4	Agree	informally establishes results for activities
5	Strongly Agree	programme indicators in place to measure different results at different levels such as inputs, outputs, outcomes, impact

c) Project beneficiaries participate in M&E activities

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no formal M&E processes carried out
3	Fairly	responds to donor M&E guidelines only at proposal stage
4	Agree	M&E activities carried out but beneficiaries not involved
5	Strongly Agree	participatory M&E activities carried out and process well documented to inform management decisions and provide feedback to community

d) The organisation regularly conducts external valuation

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of significance
2	Disagree	no formal evaluation undertaken
3	Fairly	external evaluation done depending on donor requirements
4	Agree	external evaluation undertaken once in a while
5	Strongly Agree	external evaluation conducted for all activities regularly

e) The organisation's M&E system is designed based on the organisational strategy and plan

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Responds to donor guidelines only at the proposal stage
2	Disagree	The organisation has no M & E system
3	Fairly	Fairly - the organisation has no strategic plan
4	Agree	M & E tool exist but not aligned to the strategic plan of the organisation
5	Strongly Agree	M & E system is in tandem with the organisation strategic direction

f) The organisation's programme/M&E documents are easily retrievable

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no experience in documentation
3	Fairly	M&E documents for some activities available
4	Agree	M&E documents kept but not systematically stored
5	Strongly Agree	all M&E data well documented in a systematic way and easily retrievable

g) The organisation has a well defined programme information needs and sources

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	no defined information needs
2	Disagree	Has vague understanding of the information needs and sources
3	Fairly	some information needs identified but not documented
4	Agree	Programme information needs identified and documented
5	Strongly Agree	Information needs well documented and responded to in terms of resource allocation.

h) The organisation's M&E system reflects gender, minorities and disadvantaged groups

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The organisation has no M & E system
2	Disagree	Gender, minority or disadvantaged is not a serious consideration in the organisation's operations
3	Fairly	There is attempt to have inclusivity in the operations of the organisation
4	Agree	The system has slots allocated to the minority and disadvantaged groups
5	Strongly Agree	The system gives equal opportunities to the disadvantaged and the minority groups

i) The organisation has personnel skilled in M&E procedures and systems

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No formal monitoring and evaluation carried out by the organisation
2	Disagree	Only responds to donor monitoring and evaluation guidelines at the proposal stage and therefore no need to have skilled personnel in M & E
3	Fairly	Implements donor monitoring and evaluation guidelines only
4	Agree	Has M & E procedures, collects data on an on-going basis and evaluates activity results regularly done by skilled personnel
5	Strongly Agree	M&E processes are documented and data used to inform management decisions, donor reporting and to provide feedback to the community. Evaluated data and findings are used to inform implementation decisions and new interventions

j) The organisation's best practices are documented and shared to inform future programming

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No best practices identified
2	Disagree	No documenting skills or know how
3	Fairly	Know-how and skills exist but documentation not part of project design
4	Agree	skills and know-how exist, documentation part of project design but funds not available
5	Strongly Agree	evidence of documentation of experiences and lessons learnt available in records and these have been used in planning

#### 5.4.4 Sub-Grantee - Partner Management

- a) The organisation has a legally binding contract or Memorandum of Understanding with other agencies (lead agency, partner, sub-grantee) and the contract includes a work plan and budget, identifies the project activities

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware if significance
2	Disagree	no experience in contracting, budgeting
3	Fairly	informal contracting and budgeting in place
4	Agree	contracts available but do not include budgets and work plans
5	Strongly Agree	binding contracts available which include budgets & work plans; spelling out each partners' role in a project

- b) The organisation has in place a grant monitoring system that is well understood by the sub-grantee and the sub-grantor to ensure that reliable and programmematic data is readily available between the two parties

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of significance
2	Disagree	No experience in partnerships
3	Fairly	Informal grant monitoring systems in place
4	Agree	grant monitoring system documented but not clear to all involved parties
5	Strongly Agree	A reliable grant monitoring system in place, which is understood by all parties involved; relevant data well documented and used to inform project decisions

- c) The sub-grantee has been visited at least once in six months by the lead agency - The organisation has procedures, modalities and responsibilities for making major procurements, addressing human resource issues, registering sub-grantees, reporting etc. that is clearly defined

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no procedures in place
3	Fairly	sub-grantees rarely visited, informal procedures used in decision making
4	Agree	some sub-grantees visited and procedures in place but roles not clear on responsibilities
5	Strongly Agree	all sub-grantees visited at least bi-annually while problematic ones are visited more frequently for mentoring. All procedures in place and roles clearly defined for each activity

- d) The organisation has the ability to solve sub-grantee accountability and reporting problems and these have been identified and addressed

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	no problems with sub-grantees
2	Disagree	no experience in conflict resolution
3	Fairly	problems with sub-grantees identified but are yet to be resolved
4	Agree	some of the problems identified and resolved
5	Strongly Agree	any problem identified is resolved in a participatory manner; then concerned sub grantee mentored and capacity built to avoid repeat cases

e) The criteria for sub-granting is documented and systematically applied and shared with the sub-grantees

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of significance
2	Disagree	No sub-granting
3	Fairly	Informal sub-granting carried out
4	Agree	Criteria for sub-granting documented but not shared with sub-grantee
5	Strongly Agree	A well-documented sub-granting criteria in place and transparently applied; and shared with all involved

f) Due diligence is carried out on Sub-grantees, which involves consultation with relevant stakeholders by the organisation

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	organisation only consults with founding members
2	Disagree	organisation only consults with donors; and only on specific projects
3	Fairly	organisation only consults with donors and government
4	Agree	organisation only consults with donors, government and the board
5	Strongly Agree	organisation consults with all relevant stakeholders on all decisions

g) Relevant organisation staff have sufficient knowledge in grant management

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No grant management unit
2	Disagree	Some of the staffs have limited knowledge in grants management
3	Fairly	Organisation relies on grants management consultants
4	Agree	A few finance staff have learnt on the job and are charged with grants management
5	Strongly Agree	Fully fledged grants management unit with finance professionals who have sufficient grants management training in charge

h) All contractual obligations have been fulfilled by the sub-grantee in time and funds dispersed to the sub-grantee in time

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No funds have been dispersed because the sub-grantee has not fulfilled contractual obligation
2	Disagree	Organisation does not know what to do in order to have funds released
3	Fairly	Contractual obligations have been fulfilled but funds not yet released
4	Agree	Contractual obligations fulfilled and money released but implementation is yet to start
5	Strongly Agree	Project implementation is on-going having fulfilled the contractual obligations and funds released

### 5.4.5 Gender Integration

- a) The organisation has clear procedures and clear policy for integrating and mainstreaming gender concerns into the organisation's strategic framework

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need for gender mainstreaming
2	Disagree	Aware of need but no procedure in place
3	Fairly	Policies and procedures in place but not incorporated into strategic plan
4	Agree	Policies and procedures on gender mainstreaming incorporated into strategic plan and responsibilities equally distributed
5	Strongly Agree	Policies and procedures on gender issues incorporated into strategic plan and gender sensitive approaches that promote equal respect & rights used in project work

- b) The organisation's monitoring and evaluation measures participation and impact of/on males/females

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of significance
2	Disagree	No experience in monitoring and evaluation
3	Fairly	Gender issues are embraced in monitoring and evaluation
4	Agree	Monitoring and evaluation ensures responsibilities are equally distributed by gender
5	Strongly Agree	The organisation's monitoring and evaluation tools develop and use gender sensitive approaches in its work and promotes equal respect and rights for males and females

c) The organisation’s board of directors and leadership is committed to the gender equality

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The organisation’s board of directors and leadership does not know what gender equality is.
2	Disagree	The organisations’ board of directors and leadership is aware about the need of gender equality but does not prioritize it
3	Fairly	The organisation’s board of directors and leadership informally expresses their commitment to gender equality (Not documented or implemented in practice)
4	Agree	The organisations’ board of directors and leadership has ensured that all organisation’s documents & policies spell out principles of gender equality but is seldom practiced
5	Strongly Agree	The organisations’ board of directors and leadership has ensured that all organisations’ documents & policies articulate the organisations commitment to gender equality and mechanisms have been put in place to ensure that they are adhered to e.g. equal opportunity clauses in job adverts/recruitment processes, gender balanced organogram, internal gender policy etc.

d) The organisation has conducted an assessment of gender issues both within the organisation and among beneficiaries

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	No experience in assessing gender issues
3	Fairly	Gender issues have been informally assessed within the organisation
4	Agree	Gender issues have been scientifically assessed within the organisation
5	Strongly Agree	Gender issues have been scientifically assessed in the organisation and among beneficially and gender mainstreaming carried out

- e) The organisation's gender policy has been developed with the adequate participation of both male and female staff as well as stake holders

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Need not understood
2	Disagree	No gender policy
3	Fairly	in informal gender strategy in place
4	Agree	gender policy was developed by staff of both gender but other stakeholders not involved
5	Strongly Agree	a well-articulated gender policy in place which was developed through active contribution from all stakeholders consisting members of both gender

- f) The organisation has tools and resource materials on gender issues which is easily retrievable by staff and stakeholders

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	No experience in developing gender tools and resource materials
3	Fairly	some resource materials on gender available to staff
4	Agree	Resource materials on gender and tools available but not easily accessible to stakeholders
5	Strongly Agree	Tools and resource materials on gender issues available and these are easily available to all stake-holders

g) The organisation's vision, mission, values, objectives and principles are gender sensitive

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of significance
2	Disagree	No set vision, mission, values and objectives
3	Fairly	Gender issues have not been incorporated into policies but informally handled
4	Agree	Gender issues are documented but have not been mainstreamed
5	Strongly Agree	Organisation has documented and mainstreams gender in all programme activities

h) The organisation has a balanced representation of both males and females in the board of directors, senior management and all levels of staffing

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	membership not open to all
3	Fairly	serious attempts are made to balance gender amongst staff only
4	Agree	there is a balanced representation amongst directors, senior management and all levels of staff
5	Strongly Agree	there is a balanced representation and the organisation develops and uses gender sensitive approaches

- i) The organisation's staff (particularly programme staff) has sufficient knowledge and skills in gender analysis and planning

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no capacity in gender analysis and planning
3	Fairly	Programme staff generally appreciate gender but lack skills and knowledge to do any analysis
4	Agree	Some programme staff are trained in gender analysis
5	Strongly Agree	Every department has at least one staff trained in gender analysis

- j) Sex disaggregated data and gender analysis is incorporated in programme planning

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	data collected are generalized
2	Disagree	data is based on total populations without gender disaggregate
3	Fairly	Some data are disaggregated but others are not
4	Agree	Serious attempts are made to develop tools with disaggregated data
5	Strongly Agree	All data are collected and analysed in disaggregated form taking care of male and female gender

- k) The organisation has resource materials and tools on gender which can easily be retrieved by the staff and stakeholders

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No materials nor tools on gender in the organisational system
2	Disagree	Materials only exist in hard copies
3	Fairly	Some materials exist but are not easy to retrieve
4	Agree	The organisation has comprehensive website containing basic information on organisation as well as up-to-date latest developments; most information is organisation-specific; easy to maintain and regularly maintained. This includes materials and tools on gender
5	Strongly Agree	The organisation has sophisticated, comprehensive, and interactive website, regularly maintained and kept up to date on latest area and organisation developments; praised for its user-friendliness and depth of information; includes links to related organisations and useful resources on topic addressed by organisation like gender.

## 5.5 Resource Mobilization & Sustainability

### 5.5.1 Programme Sustainability

- a) The organisation has developed systems for short and long term continuity (Does the organisation have long term and short term strategic plans?)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No knowledge of strategic planning
2	Disagree	Have some plans in mind which have not been documented
3	Fairly	Some short term and long term plans have been documented but not discussed by members
4	Agree	Many of the officials, members, volunteers and staff have the skills needed for their tasks a few have certificates of competency issued by relevant authorities and other implementing agents
5	Strongly Agree	Organisation's work issues are well understood, officials, members, staff and volunteers are trained for the work they do and often provide training and support to others.

b) Beneficiaries to a high extent have ownership of the projects

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	Beneficiaries only involved indirectly at programme identification stage during baseline survey
3	Fairly	Beneficiaries only involved during implementation
4	Agree	Beneficiaries involved directly during implementation and monitoring
5	Strongly Agree	Beneficiaries involved throughout from programme identification, implementation and M&E processes as participants, implementers and supervisors through membership committees

c) The programme is always focused and prioritized

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Activities are not focused nor prioritized
2	Disagree	Activity plan is never reviewed nor evaluated to inform the programme action points
3	Fairly	The programme has a framework on which it operates
4	Agree	The programme has well thought strategic plan and detailed implementation plan
5	Strongly Agree	The programme has documented strategic direction to align itself with the strategic plan which is reviewed often to respond to immediate and relevant needs

d) The beneficiaries/constituencies are involved in assessing impact and results of the programme on a regular basis

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	beneficiaries only involved indirectly at programme identification stage during baseline survey
3	Fairly	beneficiaries only involved during implementation
4	Agree	beneficiaries involved directly during implementation and monitoring
5	Strongly Agree	beneficiaries involved throughout from programme identification, implementation and M&E processes as participants, implementers and supervisors through membership committees

e) The organisation has a clear programme strategy

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no skills in formulating/articulating strategic plan
3	Fairly	organisation can describe its purpose/role in the community
4	Agree	organisation can describe its purpose/role in the community but has no documented strategic
5	Strongly Agree	Can describe its purpose/role in community and has a well-documented strategic plan. <b>Indicate strategic plan period.....</b>

- a) Programme activities always continue despite behavioral/attitude and capacity changes in the community/constituency

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Programme activities stop with the end of donor funding
2	Disagree	Programme activities stop once the capacity or behavioral changes have been achieved
3	Fairly	Programme activities continue as long as there is continuation of funding
4	Agree	there is programme sustainability plan in place which ensures continuation of activities
5	Strongly Agree	there is community involvement and ownership which ensures programme sustainability and continuation

- f) The programme strategy is shared and well understood by staff and beneficiaries

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need for sharing
2	Disagree	have vague idea of their programme strategy
3	Fairly	can describe their programme strategy but this has not been agreed upon or written down
4	Agree	programme strategy written down but has not been shared and well understood by all stakeholders
5	Strongly Agree	programme strategy documented has been shared and is well understood by all stakeholders

g) Inclusion of gender and equity issue is addressed effectively by the organisation

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of the importance
2	Disagree	Gender and equity is not a priority to the organisation
3	Fairly	The organisation strives to achieve this
4	Agree	Gender and equity is strongly entrenched in the programme documents
5	Strongly Agree	The organisation strongly advocates for gender and equity and therefore they factored well the organisational structure and programme document.

h) The organisation has adequate staff and skills to facilitate mobilization of the communities

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No idea
2	Disagree	no experience in mobilization
3	Fairly	Organisation sometimes calls on management, staff and volunteers to facilitate community mobilization
4	Agree	Organisation uses project staff to facilitate mobilization
5	Strongly Agree	Resource mobilization unit in place with qualified staff in-charge of mobilization

i) The organisation had developed a phasing out strategy

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Need to understand
2	Disagree	Need understood but no identified strategy
3	Fairly	Exit strategy well-articulated in project documents
4	Agree	Evidence of involvement of communities in project design and implementation as part of exit strategy - all stakeholders understand this
5	Strongly Agree	Exit strategy mechanisms included in project review framework, analysis and documentation - evidence of handover plans and modalities in place. <b>Ask for evidence.....</b>

### 5.5.2 Financial Sustainability

a) The organisation has a resource mobilization officer or personnel dedicated fulltime to fundraising

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No personnel nor officer in-charge of resource mobilization
2	Disagree	Personnel exist but the organisation has no resource mobilization strategy nor resource mobilization plan.
3	Fairly	The organisation has a resource mobilization strategy and plan documented but has no personnel dedicated to full time fundraising.
4	Agree	The organisation has a resource mobilization strategy and plan documented but the personnel is not familiar with them.
5	Strongly Agree	The organisation has a resource mobilization strategy documented, resource mobilization plan exists with resource mobilization personnel familiar with them and dedicated to full time fundraising. the organisation has a very good cost effectiveness, cost recovery, and practice on cost sharing with partners in programme activities

b) The organisation has a very good cost effectiveness, cost recovery & practice on cost sharing with partners in programme activities

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No financial procedures with mechanism for cost efficiency, cost recovery and cost sharing with partners.
2	Disagree	Attempt is made for cost efficiency, cost recovery and cost sharing with partners but is not documented.
3	Fairly	There is documented mechanism for cost efficiency, cost recovery and cost sharing with partners but this is not captured in financial policy and procedure
4	Agree	There is documented mechanism for cost efficiency, cost recovery and cost sharing with partners captured in financial policy and procedure.
5	Strongly Agree	There exists a financial policy and partnership procedure highlighting the mechanism for cost effectiveness, cost recovery, and cost sharing with partners.

c) The board of directors has fundraising responsibilities which they comply with

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Board of directors has no responsibilities for fundraising.
2	Disagree	There is general rule on board participation in fundraising which is not documented.
3	Fairly	Board of director's responsibilities for fundraising is documented but not being complied to.
4	Agree	Board of director's responsibilities for fundraising is documented but not part of their obligation in their contractual obligations
5	Strongly Agree	A terms of reference exists for the board members, board members participate in fundraising efforts evident from records of minutes

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d) The organisation gets contributions from communities they serve

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	No contribution from community received
3	Fairly	Communities sometimes volunteer in organisation's activities
4	Agree	Communities contribute time and/or a few other resources to the organisation
5	Strongly Agree	Communities contribute resources to the organisation and are involved in the whole project cycle activities

e) The organisation has a fund raising strategy

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	No experience in strategy formulation
3	Fairly	Informal fund-raising plans in place
4	Agree	Organisation has a fund-raising policy that is sometimes bypassed
5	Strongly Agree	A fund-raising policy that is always adhered to

f) The organisation has sources of information about donor agencies and makes information available to donor agencies in a timely manner

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Need not understood
2	Disagree	No sources of information/information availed to donor agencies
3	Fairly	Organisation has sources of inform on donors
4	Agree	has sources of information on donors and sometimes avails information to donors
5	Strongly Agree	has sources of information on donors and always avails rel-

	evant information to donors
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g) The organisation's fundraising is equity sensitive i.e. has consideration for gender balance, minorities and disadvantaged groups

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	no consideration of the disadvantaged groups and gender equity
2	Disagree	Disadvantaged groups are not recognized in the fundraising efforts.
3	Fairly	There is undocumented attempt for consideration of equity in fundraising efforts.
4	Agree	There exist a resource mobilization strategy and plan that promotes gender equity and participation of disadvantaged groups
5	Strongly Agree	There exists a fundraising policy on equity. Resource mobilization strategy and plan promotes gender equity and participation of disadvantaged groups.

h) Relevant staff in the organisation have the capacity to write quality proposals

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no experience in proposal writing
3	Fairly	any staff free to attempt writing a proposal
4	Agree	relevant staff writing proposals but capacity still wanting
5	Strongly Agree	organisation has staff with capacity in writing winning proposals

- i) The organisation does fundraising outside international donors e.g. corporate companies, philanthropic bodies, charity foundations

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of significance
2	Disagree	no international donors
3	Fairly	organisation has other sources of funds locally - income generating activities
4	Agree	organisation developing alternate sources of funds but not as wide as would like
5	Strongly Agree	has extensive active resource base both international and local

### 5.5.3 Organisational Sustainability

- a) The organisation has systems such as MIS, M&E, HRM etc

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No Management Information system, M & E nor HRM in place
2	Disagree	The organisation wishes to put the systems in place but no concrete plans in place yet
3	Fairly	The organisation is in the process of developing the said systems with the help of external expertise
4	Agree	The organisation has some systems in place but not all
5	Strongly Agree	Robust systems are in place and being used adequately

b) Staff meetings, encourage information sharing and brainstorming

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No proper planned staff meetings
2	Disagree	Information usually passed over in ad hoc meetings
3	Fairly	Some staff meeting are held only when called for by the senior management
4	Agree	Staff meetings are held regularly but only to pass information from senior management
5	Strongly Agree	Staff meetings regulars held for concerned staff with in-depth brainstorming on organisational & staff concerns

c) The leaderships takes into consideration input from the staff in decision-making

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no consultation
3	Fairly	input from staff sometimes sought but never considered
4	Agree	staff inputs sought and sometimes considered in decision making
5	Strongly Agree	staff input always sought and considered in all decision making processes

d) The organisation has a clear strategy that guides organisational learning

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	Lacks skills in strategy formulation
3	Fairly	Organisation learning informally guided
4	Agree	A policy on organisational learning in place but not always adhered to
5	Strongly Agree	A formal organisation learning policy in place which is always adhered to

e) The organisation staff have access to motivational facilities e.g. health insurance, maternal related considerations, trainings, etc

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no motivational facilities
3	Fairly	only legally mandated facilities available to staff
4	Agree	organisation has provided motivational facilities but these are accessible to top management
5	Strongly Agree	various motivational facilities in place and available to all staff irrespective of rank

f) The organisation incorporated lessons learnt in the day to day life of the organisation to improve the it's practices

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not understood
2	Disagree	no skills in identifying lessons learnt
3	Fairly	can identify good and bad experiences
4	Agree	impact evaluations carried out routinely and documented
5	Strongly Agree	documentation available on how lessons learnt are shared and adopted to effectively respond to challenges encountered in implementation. <b>List some of the lessons learnt documented...</b>

g) The organisation is accountable and transparent

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	openness seen as unwelcome exposure and the organisation sees itself as only accountable to founding members
2	Disagree	openness tolerated under duress if demanded by authorities, and organisation sees itself as only accountable to donors and only for given amounts
3	Fairly	openness tolerated if demanded by authorities & stakeholders and the organisation sees itself as accountable to donors and government
4	Agree	organisation makes itself known through information
5	Strongly Agree	organisation disseminates information on its activities & results to stakeholders and sees itself as accountable to donors, government, board, beneficiaries and community

h) The organisation is innovative while implementing its activities in the field by ensuring they are cost effective, and easy to be replicated by other stakeholders

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need for innovation
2	Disagree	aware of need but no mechanism is in place to document the innovations.
3	Fairly	There are personnel in charge of innovation
4	Agree	There are personnel in charge of innovation with a plan in place for identification and documentation.
5	Strongly Agree	There exist a mechanism for identification, documentation, adoption and adaption of innovations with personnel in charge of innovation.

- i) The environment in the organisation is always conducive to people. Admitting they have made mistakes that they would like others to learn from

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No attempt to make the environment conducive
2	Disagree	Organisation does not focus on the welfare of staff. Emphasis laid on the work that is to be done.
3	Fairly	Staff welfare is considered only at a time of emergency. Utilities not provided to support a conducive environment for staff
4	Agree	Staff are supported to develop results based objectives for their performance, there is continuous review, mentorship and coaching from the supervisors;
5	Strongly Agree	Staff are supported to develop results based objectives for their performance, there is continuous review, mentorship and coaching from the supervisors; a workplace policy for tolerance, growth and staff recognition for exemplary performance exists.

#### 5.5.4 Institutional sustainability

- a) The organisation has to a greater extent entered into formal Agreements (contracts, MOUs)

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of significance
2	Disagree	no Agreement of any kind in place
3	Fairly	informal agreements in place
4	Agree	organisation has documented Agreements for all its activities but these are occasionally ignored
5	Strongly Agree	organisation has documented/formal Agreements governing all its activities; that are strictly adhered to

b) The organisation has sector skilled staff working within the sector of training and qualifications

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	the organisation has no department in charge of training
2	Disagree	organisation has training department but no skilled staff
3	Fairly	staff with basic skills is in charge of trainings
4	Agree	well trained personnel is in charge of training department
5	Strongly Agree	there is training committee to identify training needs for the staff and decide on appropriate budget allocation for the department.

c) The organisation is highly credible in the field and has established legitimacy in the community

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Organisation does not involve community in its activities at any level
2	Disagree	Community presence either not recognized or organisation is generally not regarded as a player in the community, community leaders rarely call on organisation for its input on issues important to organisation
3	Fairly	Community presence somewhat recognized, and organisation is generally regarded as a player in the community; some members of the community actively engage with organisation; community leaders occasionally call on organisation for its input on issues important to organisation
4	Agree	Known within the community beyond just constituents/members; perceived as open and responsive to community needs; members of larger community (including some highly respected members) actively engage with organisation; community leaders often call on organisation for its input on issues important to organisation
5	Strongly Agree	Widely known within the community, and perceived as actively engaged with and extremely responsive to it; many members of the larger community (including many highly respected members) actively engage with organisation; community leaders always call on organisation for its input on issues important to organisation

d) The organisation participates and provides input in national development process

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	Organisation has no networking/collaboration
3	Fairly	Organisation responds to own objectives
4	Agree	Organisation responds to community needs
5	Strongly Agree	Responds to community needs that build into national goals

e) The organisation is a member of /share information with umbrella organisations/networks and has sectoral linkages with others

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	Not a member of any network
3	Fairly	Has sectoral linkages and shares information with them but not a member of umbrella network
4	Agree	A member of umbrella organisation with sectoral linkages with occasional sharing of information
5	Strongly Agree	An active partner of national network with strong sectoral linkages and always shares information with the networks/links

f) The organisation has understanding of the problems in the community

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Organisation seeks to do what others are doing
2	Disagree	new projects created mainly in response to available funds
3	Fairly	organisation responds to own objectives
4	Agree	organisation responds to own and national objectives
5	Strongly Agree	organisation responds to community needs that build into national goals

g) The organisation is effective in mobilizing internal and external support

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	does not understand the need advocacy
2	Disagree	Constituent involvement is limited; planning involves little constituent input; constituents not trained or supported in their involvement
3	Fairly	Constituents offered a range of roles in the organisation; volunteer positions of leadership open to constituents, but rarely filled by them; paid staff responsible for planning; constituent work mostly task-oriented; constituents trained or supported in their work on an ad hoc basis
4	Agree	One or two systems in place to actively recruit and involve constituents; constituents take on a variety of roles in organisation, including volunteer positions of leadership; paid staff take a large role in planning, but constituents are involved and help define some desired outcomes; training provided to constituents in some of the skill areas needed to affect change
5	Strongly Agree	Variety of systems in place to actively recruit and involve constituents; constituents take on a wide variety of roles in organisation, including volunteer positions of leadership; paid staff work collaboratively with constituents to plan and lead much of the organisation's work and define desired outcomes; training is provided to constituents in all of the skill areas needed to affect change

h) The organisation participates in research, fact finding, statics generating

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Has no idea about research or fact finding activities
2	Disagree	Does not participate in any research or fact finding activities
3	Fairly	A few staff engage in research work
4	Agree	The organisation base its programmes in research work
5	Strongly Agree	Operations research informs the interventions that the organisation carries out in the community.

### 5.5.5 Resource Base Sustainability

a) The organisation has an active potential funding source database in place

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no funding database in place
3	Fairly	project proposals sent out haphazardly
4	Agree	a dormant funding database in place
5	Strongly Agree	a highly active and prospective donors' database in place

b) The organisation is affiliated with income generating activities which are highly efficient

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no income generating activities
3	Fairly	affiliated to a specific kind of income generating activities
4	Agree	various kinds of income generating activities being undertaken e.g. farming, craft making, real estate, hospitality, medical services etc.
5	Strongly Agree	highly effective, diversified income generating activities being undertaken e.g. fund raising rallies/events, internet fundraising mechanisms, televised fund raising adverts/documentaries, lobbying exercises, farming, craft making, real estate, hospitality, medical services etc

c) The organisation's income generating is in line with the organisation's mandate

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no income generating activities
3	Fairly	some income generating takes place intermitted
4	Agree	an aggressive income generating going on but not necessarily according to organisations' mandate
5	Strongly Agree	aggressive income generating on-going all based on organisation's work

d) The organisation always updates its active and potential funding source Database

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	has no funding source database
3	Fairly	organisation has funding source database but not active
4	Agree	has an updated active but no potential funding source database
5	Strongly Agree	organisation has an active and potential funding source database which is frequently updated

e) The organisation has a resource diversification plan in place

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	no experience in planning
3	Fairly	informal resource mobilization plans in place
4	Agree	documented resource mobilization plans in place but rarely employed
5	Strongly Agree	documented plans in place and these are aggressively engaged to attract new resources

- f) There is a clear understanding among the staff, leadership and board of directors about the need and importance of an alternative resource base

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Does not see the need for alternative resource base
2	Disagree	there is conflict among the leadership, staff and the board about alternative resource base
3	Fairly	there is general agreement on this though the organisation is lacking the skills to do this.
4	Agree	the staff, leadership and board are in agreement to diversify the resource base for sustainability
5	Strongly Agree	Significant internal understanding on revenue generation exists; therefore the need for alternative resource base.

- g) The organisation includes equity and equality promoting funders in its target donor list e.g. gender promoting funders, disability funders, human rights funders etc.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	equity and equality does not form core business of the organisation
2	Disagree	The organisation only enlist funders according to the strategic plan
3	Fairly	Some special group funders are given consideration but does not form equal ratio of all other funders
4	Agree	The organisation has equity and equality promoting funders for specific projects the organisation implements
5	Strongly Agree	The organisation has long term equity and equality promoting funders with a partnership and donor record of 2 or more years

- h) The organisation has identified human resource/personnel dedicated to ensuring the sustainability of the organisation resource base

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Human resource management position does not exist in the organisation
2	Disagree	The position exists but no skilled, knowledgeable personnel recruited yet in this position.
3	Fairly	Many volunteers working up to their potential; mostly reliable, loyal, and committed to organisation's success are hired to work with the staff.
4	Agree	Capable set of individuals that bring required skills to organisation; culturally competent, reliable, loyal, and generally committed to organisation's success and to "making things happen"; work easily with most staff, but do not generally play core roles without staff supervision
5	Strongly Agree	Extremely capable set of individuals that bring complementary skills to organisation; culturally competent, reliable, loyal, highly committed to organisation's success and to "making things happen"; often go beyond call of duty; able to work easily with wide range of staff and play core roles without special supervision have been hired to ensure resource base sustainability

- i) The organisation participate/establishes and maintains links with Grant-making networks, events, conferences etc

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of significance
2	Disagree	Only responds to calls for proposals as they occur
3	Fairly	Attempts are made to keep in-touch with grant-making organisations and networks
4	Agree	Engages very strongly with grant-making programmes and organisation
5	Strongly Agree	Very strong in networking and engagement with grant-making partners with an elaborate communication system

### 5.5.6 External Relations

a) The organisation has a networking and collaboration strategy in place

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need for one
2	Disagree	not involved in networking and collaboration
3	Fairly	an informal networking and collaboration strategy in place
4	Agree	formal networking and collaboration strategy in place but no networking
5	Strongly Agree	strategy in place and organisation an active partner of various networks

b) The organisation is recognized and gets acknowledgement from government, donors, INGOs etc.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The organisation is not known to any other agencies
2	Disagree	No partnerships or alliances with other for-profit, nonprofit, or public sector entities
3	Fairly	Early stages of building relationships and collaborating with other for-profit, nonprofit, or public
4	Agree	Some key relationships with a few types of relevant entities (e.g., for-profit, nonprofit, public sector) have been built and leveraged; action around common goals is generally short term e.g. partner agreements, MOUs
5	Strongly Agree	Strong, high-impact, relationships with variety of relevant entities (local, government as well as for-profit, other nonprofit, and community agencies) have been built, leveraged, and maintained; relationships anchored in stable, long-term, mutually beneficial collaboration through Memorandum of Understanding, partnership agreements, membership certificates, listed in government, for profit and non profit agency databases.

- c) The organisation is regarded as a credible and valuable resource to donors and engages in open and frank dialogue with donors

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	does not implement any donor project
2	Disagree	the organisation has accountability issues with donors, therefore, is not regarded as credible
3	Fairly	strives to comply to donor requirements
4	Agree	the organisation is credible in the way it handles donor money. It complies with the donor requirements and gives accurate reports
5	Strongly Agree	the organisation sticks to the donor requirements, evaluates its activities and has good practice in knowledge management by documenting best practices and human interest stories and is invited to donor consultation meetings, dialogue events

- d) The organisation has a mechanism in place that helps in deciding which workshops, conferences to attend and which relationships to build

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	organisation attends any available functions
3	Fairly	informally, the organisation networks locally and attends functions attended by others in its field
4	Agree	mechanism in place to help decide on valuable functions to attend but this is rarely followed e.g. Humanitarian meeting calendar, donor event calendar, public event calendar
5	Strongly Agree	mechanism in place which helps identify the right workshops and conferences to attend and relationships to build all aimed at enhancing its objectives e.g. division of labour mechanism that assigns meetings and events across staff members and an alternate system in place

- e) The organisation is able to engage policy makers in dialogue, integrate its activities with the national plans as well as exchange resources such as training, technical assistance, materials with government

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of need
2	Disagree	organisation has no skills in advocacy
3	Fairly	invites members of local administration to its activities and for their expertise
4	Agree	attends public functions and looks for opportunities to speak about its work
5	Strongly Agree	has developed targeted activities and is involved in different stakeholders' taskforces; its activities build into national goals

- f) The organisation has established and nurtured strong relationship with the private/business sector for technical expertise, material and human resources e.g. board of directors

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	Not aware of need
2	Disagree	works in isolation
3	Fairly	at least a member of the board is from government, private sector or other civil society organisations
4	Agree	some funding/technical expertise has been received from government, private sector or civil society organisations
5	Strongly Agree	some joint activities have been undertaken and there are effective partnerships and networking arrangements

- g) The organisations programme staff has knowledge and skills in networking and collaboration as well as play a leadership role in promoting coalitions, networks and mechanisms for advocacy

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No advocacy skills among staff
2	Disagree	Advocacy work is focused only on short-term achievements; long-term strategy does not exist; campaign targets are sometimes vague; organizing tactics may not be those best suited to the constituency
3	Fairly	Some understanding of the need to grow constituent capacity and social capital to tackle issues/problems; advocacy work generally promotes short-term gains rather than long-term capacity building; organizing tactics are engaged in without a detailed plan of how they will lead to long-term change
4	Agree	Broad understanding of the need to grow constituent capacity and social capital to tackle issues/problems; advocacy work is directed toward that end, but could be better aligned; a strategy for long-term change exists, with appropriate campaign targets and organizing tactics
5	Strongly Agree	Primary focus is on growing constituent capacity and social capital to tackle issues/problems; advocacy work is aligned with that focus; a carefully developed strategy for long-term change exists, with appropriate campaign targets and organizing tactics

- h) The organisation's image is well known and associated with equity and also has effective information dissemination mechanisms for public relation purposes

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	the organisation is not known to anybody apart from the founder members
2	Disagree	The organisation is known only to the officials, founder members and a few beneficiaries
3	Fairly	It is known to a few board members and a few beneficiaries
4	Agree	the organisation involves the community in its programme design and implementation and practices equity in terms of gender and disadvantaged groups in every programme activities
5	Strongly Agree	the organisation has robust information system to disseminate information to the general public, and practices equity in everything they it does

- i) The organisation always uses information technology (internet, email, telephone) for communication and networking

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	No ICT facilities
2	Disagree	organisation has telephone facilities
3	Fairly	in addition to telephone, has own computer/laptop
4	Agree	has own computer with internet access, telephone and there is evidence of computer usage in project work
5	Strongly Agree	evidence of highly utilized ICT in project work and dissemination of same

- j) The organisation opinions and experiences are always solicited by the media and it uses the media as a means to inform the public about its work

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	not aware of significance
2	Disagree	has no relationship with media
3	Fairly	opinions and experiences sometimes solicited but rarely uses media in its work
4	Agree	opinions and experiences sometimes solicited and sometimes uses media
5	Strongly Agree	opinions and experiences always solicited by media and always uses different media to publicize work

## 5.6 Community Engagement

- a) The Organization's Board of Directors includes at least one former or current direct beneficiary.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The Board of Directors does not include a member of the community the Organization serves and neither does it make efforts to consult with the communities they serve to make decisions
2	Disagree	The Board of Directors does not include a member of the community the Organization serves, however the Organization makes efforts to consult with communities they serve to make decisions
3	Fairly	One or more members of the Organization's Board of Directors is from the community the Organization serves but does not participate in ensuring that the Organization's decisions are in line with the community's needs
4	Agree	One or more members of the Organization's Board of Directors is from the community the organization serves and is sometimes engaged in ensuring the Organization's decisions

		are always in line with the community's needs
5	Strongly Agree	One or more members of the Board of Directors is from the community the Organization serves, has benefited directly from the Organization's program, and there is evidence to show that they are actively engaged in ensuring that the Organization's decisions are always in line with the community's needs

b) The community/constituents of the Organization are involved in all stages of the Organizations planning processes (including problem identification).

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	None of the Organization's projects or programs are based on the information provided by or initiated at the community level and do not fully engage communities in identification of problems and prioritizing the recommended solutions as well as implementation
2	Disagree	Most of the Organization's projects or programs are not based on the information provided by or initiated at the community level and do not fully engage communities in identification of problems and prioritizing the recommended solutions as well as implementation
3	Fairly	Some of the Organization's projects or programs are based on the information provided by or initiated at the community level with active engagement of the community throughout the implementation process and some are initiated independent of the community's involvement, unless as beneficiaries of the project or program
4	Agree	The community/Organization's constituents volunteer their time or money to the Organization only when there is a project to be implemented and are informed of their obligation to make some contribution towards their own development
5	Strongly Agree	Most of the volunteers the Organization has come from the community the Organization serves and the Organization has a constituency contribution component in their budget which documents the monetary and in kind contribution of the community towards each of the Organization's projects/programs

- c) The community or Organization's constituency conducts assessments or social audits of the Organization's programs.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The communities/constituents do not carry out assessments/reviews/social audits of the Organization's programs because they are not aware of the program details/plans of the Organization and are not aware that they can carry out social audits of the Organization's program
2	Disagree	The communities/constituents do not carry out assessments/reviews/social audits of the Organizations programs because they are not aware of the program details/plans of the Organization
3	Fairly	The communities/constituents carry out assessments/reviews/social audits of the Organization's programs but only when the project or donor demands it
4	Agree	The communities/constituents carry out assessments/reviews/social audits of the Organization's programs on an adhoc basis or whenever the community feels there is need for social audit of the organization's programs
5	Strongly Agree	The communities/constituents carry out periodic assessments/reviews of the Organization's programs to ensure that it is in line with the community's priorities and is well documented/recorded

- d) The community/Organization's constituency donate their time or money to the Organization.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The community/Organization's constituents do not volunteer their time or money to the Organization's projects/programs because they do not feel it is their responsibility or they have been accustomed to receiving relief from NGOs and are not usually compelled to make any contributions to projects/programs of the Organization
2	Disagree	The community/Organization's constituents do not volunteer their time or money to the Organization's projects/programs because they are unable to do so due to abject poverty , physical disability, conflict, environmental hazards, etc.
3	Fairly	The community/Organization's constituents volunteer their time or money to the Organization's projects/programs as

		a part of donor/legal requirement
4	Agree	The community/Organization's constituents volunteer their time or money to the Organization only when there is a project to be implemented and are informed of their obligation to make some contribution towards their own development
5	Strongly Agree	Most of the volunteers the Organization has come from the community the Organization serves and the Organization has a constituency contribution component in their budget which documents the monetary and in kind contribution of the community towards each of the Organization's projects/programs

e) The community/constituents of the Organization considers their programs/services to be high quality and produce outputs that are desired and appreciated by the community/constituents.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The community/constituents of the Organization do not consider their programs/services to be high quality because they are not high quality and do not produce the outputs desired and appreciated by the community/constituents
2	Disagree	The community/Organization's constituents do not volunteer their time or money to the Organization's projects/programs because they are unable to do so due to abject poverty , physical disability, conflict, environmental hazards, etc.
3	Fairly	There is an even or almost even split. Some members of the community/constituents consider the Organization's programs/services to be high quality and some do not
4	Agree	The Organization's programs/services are well known within the community/constituents for being high quality, however the constituents' opinions are not actively documented
5	Strongly Agree	There is documented evidence (such as survey reports, independent opinion polls, independent audits) to demonstrate a high approval rating of the Organization's programs/services among the community/constituents

f) The organization provides capacity building training to their constituents.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The Organization does not provide capacity building training to their constituents because it is not part of the Organization's mandate or is not needed or has not been solicited by the Organization's constituents
2	Disagree	The Organization does not provide capacity building training to their constituents because they have limited capacity themselves
3	Fairly	The Organization provides capacity building training to their constituents but only as part of a donor funded project
4	Agree	The Organization provides capacity building training to their constituents on ad hoc basis or based on the needs expressed by the community but does not follow a systemized annual training cycle
5	Strongly Agree	The Organization has and actively implements a standard/systemized annual training calendar for members of the community or beneficiaries of the Organization's projects/services whether supported by donor funding or not

g) The organization is perceived to be politically independent.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The Organization is well known among its constituents as the mouthpiece of a political party or affiliated with partisan ideologies
2	Disagree	Most members of the community or Organization's constituents believe the Organization has a political agenda or the Organization's programs are not politically neutral
3	Fairly	Some members of the community or Organization's constituents believe the organization is politically independent and some do not believe the organization is politically independent
4	Agree	Enquiries or interviews with the communities/constituents would reveal that there is general understanding among communities/Organization's constituents that the Organization's work is nonpolitical however there is no documented evidence to demonstrate it
5	Strongly Agree	There is evidence (such as independent polls, audit reports etc.) to demonstrate that the community/Organization's constituents believe that the Organization is not affiliated

		to any political party or championing any political interests
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h) The Organization’s Board of Directors includes people who are well known and respected in the community the Organization serves.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The Organization’s Board of Directors does not include people who are well known and respected in the community the Organization serves and the Organization has neither identified it as a need nor instituted measures to include such members in their Board
2	Disagree	The Organization’s Board of Directors does not include people who are well known and respected in the community the Organization serves, however the Organization is planning on including some well-respected members in their Board
3	Fairly	The Organization’s Board of Directors has some accomplished and well respected members of the community but they are not actively engaged or identified by the community as a Board member of the Organization
4	Agree	The Organization Board of Directors comprises of some members who are well known and respected by the community the Organization serves, but may not be necessarily from the same community
5	Strongly Agree	The Organization’s Board of Directors has some accomplished and well respected members of the community the Organization serves and who are actively engaged in the community

i) The Organization conducts community needs assessments before beginning any new programs.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The Organization does not conduct community needs assessments before beginning any new programs but relies on their own assessment of the needs of the community to design new programs
2	Disagree	The Organization does not conduct community needs assessments before beginning any new programs because they are provided a list of priority focus areas by a donor (whether based on community needs assessments or not), based on the donor’s designation of need for the programs

3	Fairly	The Organization sometimes conducts community needs assessments at the beginning of any new program but other times they design new programs based on data gathered from other sources such as joint inter agency assessments, desk top reviews, media reports, etc
4	Agree	The Organization conducts community needs assessments at the beginning of any new programs because it is required by the donor
5	Strongly Agree	The Organization carries out community needs assessments before beginning any new programs as a part of their strategic plan or internal due diligence policies/practice

j) The Organization is viewed as a source of credible information by political leaders, community members and the media.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The organization is not viewed as a source of credible information by political leaders, community members and the media because their information is often not credible, not well researched, inaccurate and inconsistent
2	Disagree	The Organization is not viewed as a source of credible information by political leaders, community members and the media because they either do not produce a lot of credible information for public consumption, or their information is not known or accessed by the political leaders, community members and media
3	Fairly	Some political leaders, community members and the media view the Organization as a source of credible information and some do not
4	Agree	The Organization is viewed as a source of credible information by political leaders, community members and the media, but mostly or predominantly at the national level and not so much in the sub national levels
5	Strongly Agree	The Organization's reports, statistics, and/or analysis is quoted and referenced by members of the media, community and political leadership and the Organization's views on various thematic areas is often solicited by the media, community and political leaders

- k) The Organization’s staff and leaders are viewed as competent people with integrity by the community/organization’s constituents.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The Organization’s constituents do not view the Organization’s staff and leaders as competent people with integrity because they don’t know them and have not benefited from the Organization’s projects/services
2	Disagree	Most members of the Organization’s constituents do not view the Organization’s staff and leaders as competent people with integrity because their projects/services do not often produce results that are desired by the community
3	Fairly	Some of the Organization’s constituent’s view the Organization’s staff and leaders as competent people with integrity and some do not
4	Agree	The community’s measure of the competence of the Organization’s staff and leaders is through their projects/services, which is good but do not interact with the staff or leadership enough to appraise their competence
5	Strongly Agree	The community is generally confident that the staff and leaders of the Organization are highly skilled in their work and have demonstrated their competence through their deliverables in the community and the community is provided an opportunity to independently appraise the Organization’s human resources competence

- l) The Organization shares its financial reports with its constituents in an open and transparent manner.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The Organization does not share its financial information with their constituents because the Organization does not keep regular financial records that can be shared
2	Disagree	The Organization does not share its financial information with their constituents because it does not think they need to know their institutional financial details
3	Fairly	The Organization shares its financial information with their constituents sometimes, however there is no clear consistency to the sharing cycle/process
4	Agree	The Organization shares its financial information with their constituents only when the constituents ask for it or if compelled by donor requirements

5	Strongly Agree	The Organization shares its financial information with the constituents they serve in different ways such as annual meetings, annual financial reports, allowing walk in consultations by constituents, etc. and the community perceives the Organization to be very open and transparent
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m) The Organization produces Organization Annual Reports that it shares broadly with their constituency, community leaders, politicians, traditional leaders and the media.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The Organization does not produce annual reports because it does not believe in they increase value of the Organization's image and program
2	Disagree	The Organization does not produce annual reports because it is less than a year old or it does not have enough projects/programs to report about
3	Fairly	The Organization produces annual reports but not consistently
4	Agree	The Organization produces annual reports but does not share them broadly. It may share them with some, such as their constituency, community leaders, but not the media, traditional leaders, or politicians
5	Strongly Agree	The Organization produces annual reports and shares them broadly with their constituency, community leaders, politicians, traditional leaders and the media

n) The Organization has established relationships with government institutions in the community such as RRC, County Commissioner, Governor, etc. and political parties in the community.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The Organization works in isolation of government institutions in the community
2	Disagree	The Organization has not yet established a rapport with any state government institutions and political parties in the community but has a plan in motion to do so
3	Fairly	The Organization has established a fair rapport with some state government institutions and not so good rapport with others
4	Agree	The Organization has established a good rapport with the

		state government institutions but is working to improve it
5	Strongly Agree	The Organization has established strong reliable rapport with the state government institutions and political parties that enables regular dialogue, information sharing and mutual support

o) The Organization meets with the Member of Parliament of the community where the Organization works at least twice per year to provide information on the Organization's activities or lobby an issue.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The Organization does not meet with the area member of parliament because they do not believe it is helpful in any way to the Organization's work or the community
2	Disagree	The Organization does not meet with the area member of the Parliament because it is either difficult or not possible to access the area member of Parliament
3	Fairly	The Organization meets with the area member of the Parliament when there is an issue to lobby or when a crisis calls for it, however there is no established consistency to the dialogue with the area member of the Parliament
4	Agree	The Organization meets with the area member of the Parliament at least twice a year, however these dialogues have not yet resulted in actual policy reforms or progresses in the community
5	Strongly Agree	The Organization meets with the area member of the Parliament at least twice a year and these dialogues have resulted into policy reforms or progress at the state or national level

p) The Organization meets with national and sub national government officials at least twice a year to provide information on their activities or lobby specific issue.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The Organization does not meet with national and sub national government officials because they do not believe it is helpful in any way to the organization's work or the community
2	Disagree	The Organization does not meet with national and sub national government officials because it is either difficult or not possible to access the national and sub national government officials

3	Fairly	The Organization meets with national and sub national government officials when there is an issue to lobby or when a crisis calls for it, however there is no established consistency to the dialogue with national and sub national government officials
4	Agree	The Organization meets with national and sub national government officials at least twice a year, however these dialogues have not yet resulted in actual policy reforms or progresses in the community
5	Strongly Agree	The Organization meets with national and sub national government officials at least twice a year and these dialogues have resulted in reforms or progress at national and sub national level

q) The Organization speaks on radio/TV or to journalists at least 6 times per year.

	SCORE	WHAT THIS MEANS IS.....
1	Strongly Disagree	The Organization does not speak to the media about their activities or issues they may be lobbying or to create awareness of their progress because speaking on radio/TV or to journalists may jeopardize the Organization's programs or staff safety due to the obstruction on free media in the country
2	Disagree	The Organization does not speak to the media about their activities or issues they may be lobbying or to create awareness of their progress because the Organization has never or does not warrant it necessary or particularly useful to the Organization's objectives or mandate
3	Fairly	The Organization speaks to the media about their activities or issues they may be lobbying for or to create awareness of their progress or a specific issue but from time to time when circumstances call for it or if the project/donor requires it
4	Agree	The Organization speaks to the media about their activities or issues they may be lobbying or to create awareness of their progress or a specific issue less than 6 times a year
5	Strongly Agree	The Organization speaks to the media about their activities or issues they may be lobbying or to create awareness of their progress or a specific issue about 6 times a year and more



## 6.0 APPENDICES

### 6.1 Organisational Capacity Assessment Timetable

Days	Time / Sessions 8.30-10.30		Time / Sessions 11.00-1.00		Time / Sessions 2.00-3.30		Time / Sessions 4.00-5:00
<u>Day 1</u>	<p>Introductions, Ice breaker Exercise OCA Goal and objectives</p> <p><b><u>Governance</u></b></p> <ul style="list-style-type: none"> <li>• Mission / vision / goal</li> <li>• Board of Directors</li> </ul>	<b>REFRESHMENT BREAK</b>	<p><b><u>Governance (cnt'd)</u></b></p> <ul style="list-style-type: none"> <li>• Leadership</li> <li>• Legal Status</li> <li>• Internal Communications</li> </ul>	<b>LUNCH BREAK</b>	<p><b><u>Organisational Mgt</u></b></p> <ul style="list-style-type: none"> <li>• HR Mgt</li> <li>• HR Sustainability</li> <li>• Office &amp; Asset Mgt</li> </ul>	<b>REFRESHMENT BREAK</b>	<p><b><u>Organisational Mgt (cnt'd)</u></b></p> <ul style="list-style-type: none"> <li>• Procurement &amp; Logistics Mgt</li> </ul>
<u>Day 2</u>	<p><b><u>Financial Mgr</u></b></p> <ul style="list-style-type: none"> <li>• Book Keeping</li> <li>• Budgeting &amp; Budget Mgt</li> </ul>		<p><b><u>Financial Mgt (cnt'd)</u></b></p> <ul style="list-style-type: none"> <li>• Resource Mgt</li> <li>• Financial Reporting</li> </ul>		<p><b><u>Financial Mgt (cnt'd)</u></b></p> <ul style="list-style-type: none"> <li>• Audit</li> <li>• Financial Policies &amp; Procedures</li> </ul>		<p><b><u>Programme Mgt &amp; Framework</u></b></p> <ul style="list-style-type: none"> <li>• Programme / Project Planning</li> </ul>
<u>Day 3</u>	<p><b><u>Programme Mgt &amp; Framework (cnt'd)</u></b></p> <ul style="list-style-type: none"> <li>• Programme/Project Management</li> <li>• Monitoring &amp; Evaluation</li> <li>• Sub-grantee Partner Mgt</li> </ul>		<p><b><u>Programme Mgt &amp; Framework (cnt'd)</u></b></p> <ul style="list-style-type: none"> <li>• Gender Integration</li> </ul> <p><b><u>Resource Mobilization &amp; Sustainability</u></b></p> <ul style="list-style-type: none"> <li>• Programme Sustainability</li> <li>• Financial Sustainability</li> <li>• Organisational Sustainability</li> </ul>		<p><b><u>Resource Mobilization &amp; Sustainability (cnt'd)</u></b></p> <ul style="list-style-type: none"> <li>• Institutional Sustainability</li> <li>• Resource Base Sustainability</li> <li>• External Relations</li> </ul>		<p><b><u>Action Planning</u></b></p> <ul style="list-style-type: none"> <li>• Action Plan</li> <li>• Next Steps</li> <li>• Closure</li> </ul>

## 6.2 Organisational Capacity Building Action Plan Template

S/N	Capacity Gap	Capacity Building Activity	Target Group	Person Responsible	Resources Needed	Implementation Timeline	Follow-up Date
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							