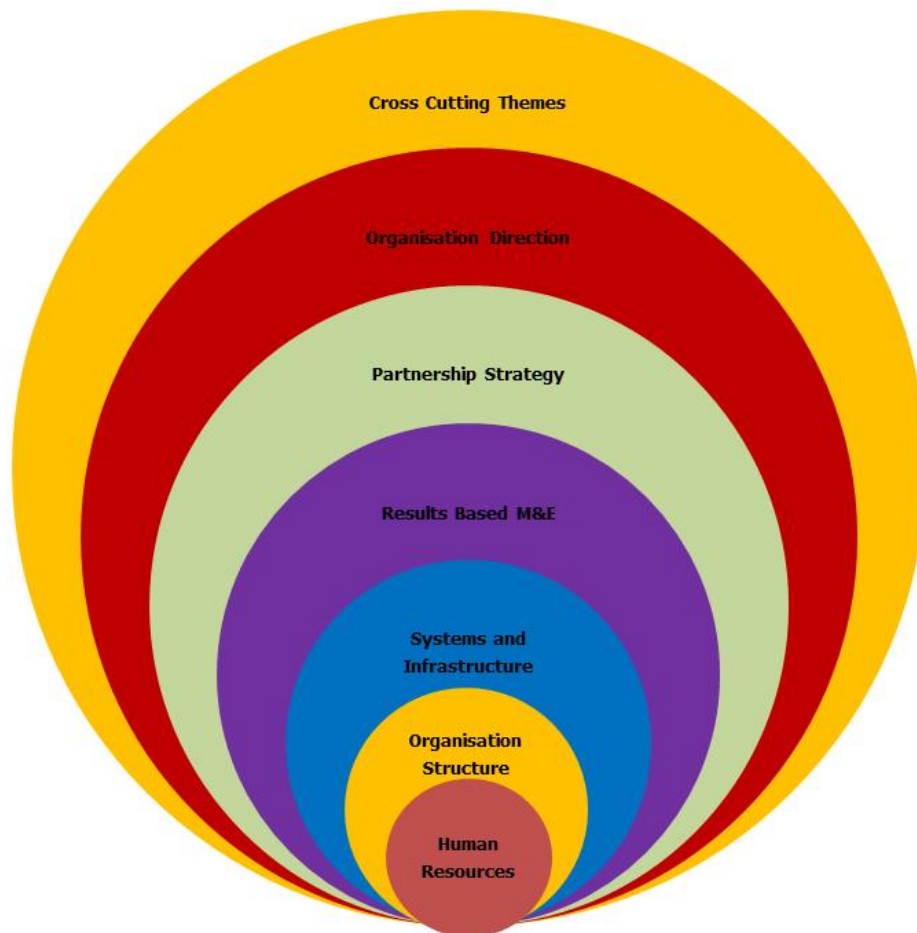




# Results Based Management Capacity Assessment Toolkit



RECABASO

# **Results Based Management Capacity Assessment Toolkit**

## **Content**

1. Introduction
2. Implementation – step by step Process and Checklist
3. The RECABASO Capacity Assessment Grid
- 3.1 Capacity Assessment Grid Content and Description
4. Tools and Template Options

Annex 1 List of Workshop Participants

Annex 2 Capacity Assessment Grid

Annex 3 Capacity Assessment Record Scoring Sheet

Annex 4 Alignments to Solutions:

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# 1. Introduction

The RECABASO Capacity Building Toolkit is a tool designed to help Aids Service Organisations (ASO) assess their organisational capacity to apply Results Based Management (RBM) approaches. At a workshop held 17 – 19 May 2011 in Nairobi 35 consultants from East and Southern Africa worked together in developing much of the material contained in this short Toolkit.

The workshop was a participative process over three days in which participants actively engaged in building the content for this Toolkit. Participants comprised a mixture of representatives from: independent consultants; AID Service Organisations; and, regional development agencies. The twelve countries represented at the workshop were: Zimbabwe; Zambia; Lesotho; Swaziland; Botswana; Malawi; Uganda; Ethiopia; Rwanda; Kenya; Tanzania and Uganda. For further information on the participants and their organisations see Annex 1.

The workshop was part of the Comprehensive RBM Capacity Building for HIV AIDS Service Organizations (RECABASO) project that is an innovative initiative of the Regional AIDS Training Network (RATN) and aimed at utilising best practices in identifying and addressing RBM capacity gaps among organisations implementing HIV programmes in Eastern and Southern Africa.

RECABASO is implemented by the Regional AIDS Training Network (RATN) based in Nairobi, Kenya, in partnership with Eastern Africa Networks of AIDS Service Organizations (EANNASO), based in Arusha, Tanzania.

The purpose of this Toolkit is to provide RATN staff and consultants with a practical guide and tools to support them in the field when undertaking capacity assessment work.

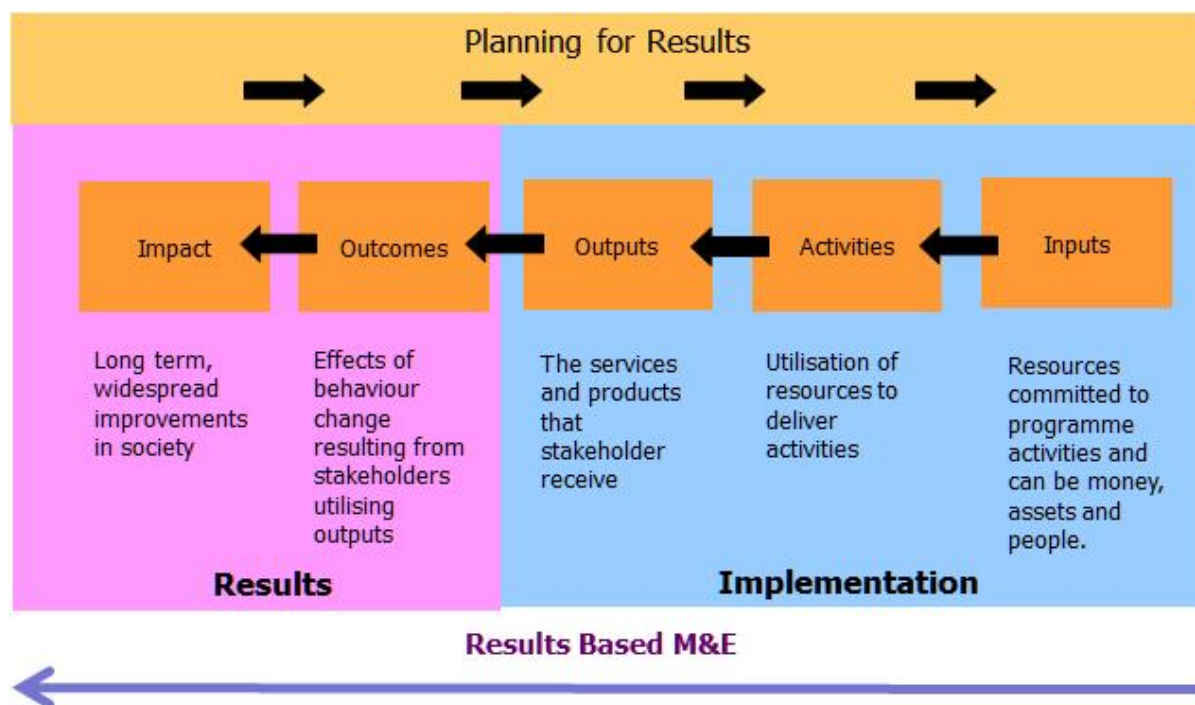
## Results Based Management

Results Based Management is now becoming widely used in many development agencies and NGOs around the world. UN agencies describe Results Based Management in the following way:

### A Strategy for Achieving Outcomes and Impact

Results Based Management is a shift from focusing on inputs and activities (the resources and procedures) to focusing on outputs, outcomes, impact and the need for sustainable benefits (the results of what you do). Results are the changes occurring as an effect of a development intervention and imply that a change of behaviour by individuals, groups of people, organisations, government bodies or society has taken place.

Results Based Management is a whole system. The culture of an organisation; its values; operational systems and decision making procedures; staff and their skill and capacity; and, all its partners should be **focused on achieving outcomes and impact** rather than activities and inputs.



RBM is now recognised as the methodology in development used by most donors, multilateral and bilateral agencies and NGOs. It includes the Logical Framework, Project Cycle Management and Outcome Mapping.

The key piece of work undertaken at the workshop was to develop the Capacity Assessment Grid for diagnosing the capacity of Aids Service Organisations to apply Results Based Management approaches in their organisations and projects. The workshop also developed a process guide to how consultants should approach ASOs and included a number of suggested tools to support the assessment of ASOs' capacity to apply and use RBM approaches.

It is recognised that when undertaking the capacity assessment some of the tools and exercises will also contribute directly to the actual capacity building process. The emphasis therefore is on using participatory tools and exercises. There was also a focus on the need for ASOs to become good at monitoring and evaluation (M&E) as a main contributor to RBM capacity development. To support the application of M&E a set of M&E templates were introduced to enable ASOs to build simple M&E systems for monitoring and evaluating their projects. These should be customised to suit the particular ASO as it will help them set up a basic M&E system.

## 2. Implementation – Step by Step Process and Checklist

The eight step process, necessary to undertake the ASO capacity building assessment, is a composite of the workshop results from the four groups' work. This is of course a guide and the actual process will vary in relation to the location, type and size of each ASO and the level of assistance required.

However, in order to learn and develop the capacity building assessment framework it would be useful for consultants to use the eight step process, as near as possible, so that there is consistency in this pilot project and the best approach for future capacity building programmes can be understood and refined.

As part of this pilot project it would be very helpful if consultants could also include a short evaluation of the eight step process in undertaking the capacity building assessment with ASOs.

**Table 1 - The 8 Steps for undertaking the Capacity Assessment**

Description of Process	Expected Outcomes
<b>Step 1 Communications</b>	
<ul style="list-style-type: none"> <li>Send an E-mail to introduce the mission/assignment objectives, duration of the assessment, expectations, request list of background information, key contact person, share a draft of the schedule of activities – when do expect to meet staff, partners etc.</li> <li>List of possible documents to be requested; annual project reports, strategic plan, ASOs organisational diagram, annual work plans, M&amp;E plan, M&amp;E strategy, national HIV/AIDS strategic plan, and national HIV/AIDS policy , any previous organisational review reports</li> <li>List of potential respondents for the assessment will be AIDS Service Organisations, training providers, relevant government support bodies and international and regional NGOs</li> </ul>	<p>Relationship and working modalities established</p> <p>Shared understanding of the process between the consultant and the client</p> <p>Web address and links to documents identified</p> <p>Knowledge about the organisation gathered and internalised</p> <p>A list of external and internal respondents and contacts</p>
<b>Step 2 Document Review</b>	
<ul style="list-style-type: none"> <li>Read all documents, visit the ASO website and view partner organisations' websites</li> <li>Undertake an initial review of the ASO organisation and its approach to RBM, and any gaps</li> <li>Write a short summary of the document and website review</li> <li>Prepare for the initial meeting with the ASO</li> </ul>	<p>A review of documents and their findings</p> <p>Insight into the current use or otherwise of RBM approaches</p> <p>A set of questions for the inception meeting</p>

<b>Step 3 Inception visit</b>	
<ul style="list-style-type: none"> <li>• Orientation of the consultant(s) to the organisation</li> <li>• Free interaction with management. The interactions will help in refining the tools and methodologies, and further understanding of organisation documents.</li> <li>• Identification of key partners, donors, beneficiaries, respondents – and to initialise discussions with them</li> <li>• A plan and schedule of the capacity building assessment prepared and agreed between the ASO and consultant(s)</li> </ul>	<p>Familiarisation with the organisation</p> <p>A short bullet pointed inception report highlighting key gaps and findings</p> <p>A plan for the Capacity Assessment process</p>
<b>Step 4 Briefing</b>	
<ul style="list-style-type: none"> <li>• Present agreed plan to RATN and elicit their agreement</li> <li>• RATN agrees with ASO and issues agreement letter</li> <li>• RATN issues contract to consultant(s)</li> </ul>	<p>A formal agreement is reached between the ASO, RATN and the consultant(s)</p>
<b>Step 5 Actual data collection – using the Capacity Assessment Grid</b>	
<ul style="list-style-type: none"> <li>• Conduct a participatory assessment using interviews, group discussion, facilitated workshops and role play exercises</li> <li>• Use the Capacity Assessment Grid and other tools described in this Toolkit</li> <li>• Where possible build capacity through the methods used to undertake the assessment</li> <li>• Actual data collection with key partners; donors, beneficiaries and partners</li> <li>• Prepare initial assessment findings and report to ASO and RATN</li> </ul>	<p>A capacity gap analysis will have been conducted</p> <p>An agreement between the ASO, RATN and consultants(s) reached on the conclusions and way forward</p>
<b>Step 6 Data analysis &amp; report writing</b>	
<ul style="list-style-type: none"> <li>• Analyse the responses to the Capacity Assessment Grid</li> <li>• Design a capacity building plan for the ASO</li> </ul>	<p>A clear understanding of the capacity weaknesses of the ASO to apply RBM approaches and a plan for the way forward</p>
<b>Step 7 Dissemination of the draft report</b>	
<ul style="list-style-type: none"> <li>• Draft report – dissemination with ASO and partners – to agree on findings and proposed methods/approaches for capacity building</li> <li>• All staff of the ASO to receive and comment on the draft report, perhaps as a focus group discussion</li> </ul>	<p>Feedback from stakeholders on the draft report</p> <p>An agreed plan of action for building capacity in the ASO to apply RBM approaches</p>
<b>Step 8 Final report/submission</b>	
<ul style="list-style-type: none"> <li>• Incorporation of comments and inputs</li> <li>• Produce final report and disseminate appropriately</li> </ul>	<p>Final report and agreement on how to proceed</p>

### 3. The RBM Capacity Assessment Grid

The framework and the descriptions in this Capacity Assessment Grid were developed based on the McKinsey Capacity Assessment Grid and adapted in a facilitated workshop of capacity building experts organised by the Regional Aids Training Network (RATN) in Nairobi in May 2011. The Capacity Assessment Grid is in Annex 2 – this can be printed separately for consultants to use in conducting the assessment. It is accompanied by a similar grid for scoring and commenting on the results of the capacity assessment and is in Annex 3.

The Grid may be used by NGO managers, staff, board members and external capacity builders and donors with the following objectives:

- To identify those particular areas of capacity that are strongest and those that need improvement in order to apply Results Based Management approaches in Aids Service Organisations
- To measure changes in an organisation's capacity over time and identify where further changes are needed
- To draw out different views within an organisation regarding its capacity; different responses to the Grid among staff, Board members and funders, for example, can be a valuable discussion-starter within an organisation

The Grid is not a scientific tool, and should not be used as one. It is very difficult to quantify the dimensions of capacity, and the descriptive text under each score in the Grid is not meant to be exact. The scores are meant to provide a general indication of an organisation's capacity level, in order to identify potential areas for improvement. Furthermore, the results of the exercise should be interpreted in the context of the organisation's stage of development. This tool is meant to be a starting point only. We encourage you to adapt the Grid to meet your own organisation's capacity assessment needs.

The Grid asks the reader to score the organisation on each element of organisational capacity, by selecting the text that best describes the organisation's current status or performance.

For example, a score of "2" on "organisation direction" may be sufficient for a new organisation, and this area may not merit immediate attention. In fact, many organisations may never get to level 4 on some elements.

In some cases the process of undertaking the assessment using the Grid and other Tools will be part of the actual capacity building process and consultants should, wherever possible, try to use tools that will both assess weaknesses and build capacity in applying RBM methods.



### **Guidelines for those filling out the Capacity Assessment Grid**

Mark the box that is closest to describing the situation at hand; descriptions will rarely be perfect. Interpret the text loosely where necessary and keep in mind that you are trying to score the organisation on the continuum scale of "1" to "4." You may select the limit between two boxes if this seems most accurate. If a row is not relevant to the organisation assessed, designate the row "Not Present"; if you simply have no knowledge, mark the row "Not known."

## **3.1 Capacity Assessment Grid Content and Description**

Below is a detailed explanation of the Capacity Assessment Grid including the list of questions and a brief description of the purpose of the section and the expected outcomes.

### **1. Organisation Direction**

The questions in this section focus on the organisation and how it is structured and how well the staff, Board members and other stakeholders know the organisation and in so doing support the 'culture' and shared values.

The organisation direction should indicate whether or not the ASO is clear about its purpose and direction, if it understands the MDGs and the wider context in which it works and how internally consistent it is between what it says it does and what it actual does.

Is there shared knowledge, understanding and values amongst the staff and between the staff and board members; RBM requires openness to learning how to improve performance and shared approaches in order for staff and board members to feel confident of expressing their honest opinions.

Furthermore, has the ASO got custom and practice (culture) in using 'results' as a reference point for decision making about everything it does and all its activities.

This section should indicate if the organisation possesses shared values and if those values are RBM focused. The assessment of the organisation should tell us if it is RBM conscious and RBM inclusive or if it needs to spend some time bringing all stakeholders on board with RBM.

The Organisation Direction questions are:

- Purpose of Organisation
- Clarity of purpose for Results Based Approaches
- Clarity of purpose for achieving the Millennium Development Goals (MDGs)
- Overall Objectives
- Overall Strategy
- Strategy performance targets and indicators in place
- Programme constancy with purpose and strategy
- Programme growth, mainstreaming and sustainability



- New programme development
- Funding model
- Performance as shared value
- Other shared beliefs and values
- Shared references and practices

## **2. Partnership Strategy**

In order to achieve results that last it is essential that ASOs have good links and partnerships with a range of government and non-government organisations. Not only should the ASO be clear about its partnerships and their purpose but it should be actively maintaining them and engaging with partners in its programmes and activities.

There will be a strong relationship between the Organisation Direction and its Partnership Strategy. If the former is weak then the latter is also likely to be weak so in looking at solutions to they will need to be found to deal with both areas.

The organisation's Partnership Strategy will inform us of its standing in the locality and if what it does has the opportunity of being sustained and mainstreamed into other organisations. It should give us an indication of how participative it is within the communities it serves and how much stakeholders are or can be involved; an important part of RBM.

The Partnership Strategy questions are:

- National Context
- Local Context
- General Stakeholders
- Beneficiaries
- Donors
- Partnerships and alliances
- Local community presence and involvement
- Public relations and social marketing
- Influencing of policymaking

## **3. Results Based M&E**

All funded organisations will undertake some form of M&E, the question is does the organisation do it for its funders or for its performance management as well as its funders? M&E is a key part of RBM and we should look for a high degree of M&E throughout the organisation.

If there is an M&E system in place is it used and is it results focused? Do all staff know about the M&E system and are they involved in some way, if not there might be a need to establish some training in M&E for all staff.

Is the information from the M&E being used? Is it used for feedback and accountability; for performance review and changing course if needed; decision making for future programmes; or as a formality and for report writing?

The M&E questions are:

- Performance measurement
- Performance analysis and programme adjustments
- Monitoring of landscape
- Logical Framework
- M&E Objectives, Indicators and Progress records
- Regular analysis and review
- Strategic planning
- Operational planning

#### **4. Systems and Infrastructure**

Systems and Infrastructure cover both the physical and soft systems: for RBM approaches to operate properly these systems need to be in place and operationalized. They will provide channels of communication, decision making and historical data on which organisations depend for their smooth running and internal and external information exchange. RBM should be part of all systems' focus and provide the direction for any improvements and new developments.

There should be some sort of the management information system (MIS) in place that is not just emails between whoever is listed; it should have a structure with clear references of who get what.

Increasingly organisations are using their website as the key source of information and where information is recorded and disseminated. Obviously before contacting an ASO the consultant will look at their website and this will provide invaluable information about its systems and infrastructure. Is the website up to date; does it contain easy to access and clear information; is it designed to be read from the users point of view i.e. is clear and well-presented or cluttered and confusing; and, if further information is required does the website show how to access the information?

If there is no planning this may be related to Human Resource issues or a rather hierarchical organisational structure.

The Systems and Infrastructure questions are:

- Management Information System (MIS)
- Planning systems
- Decision making framework
- Financial operations management
- Human resources management – management recruiting, development, and retention
- Knowledge management

- Physical infrastructure – buildings and office space
- Technological infrastructure – computers, applications, network, and e-mail
- Technological infrastructure – Web site
- Technological infrastructure – databases and management reporting systems

## **5. Organisation Structure and Skills**

In applying RBM to small organisations it is important to know if internal connections support the overall approach to achieving results. All the components of this section should specifically point everyone in the direction of results.

How decisions are made and authority exercised is determined by the job descriptions and the organisational diagram showing lines of connection and authority. For RBM we expect to see some devolution of authority and some flexibility in the way tasks are carried out. The role of the board and its members should have clear terms of reference and again be directed towards results in their planning and overall governance.

The Organisation Structure and Skills questions are:

- Board governance
- Organisational design and diagram
- Inter functional coordination
- Individual job description
- Human resources planning

## **6. Human Resource & Skills**

RBM requires that there is a reasonable degree of representation from stakeholders in order to understand and know what results are in relation to the different stakeholder constituents. The composition of the board members and staff should reflect the diversity of stakeholders. All job descriptions and terms of reference for staff, board members and volunteers should refer to RBM and M&E in the relevant context.

RBM requires openness and this will depend on internal relations and how external stakeholders view the staff and board members.

The Human Resource & Skills questions are:

- Staffing levels
- Board – composition and commitment
- Board – involvement and support
- Management/manager
- People and organisational leadership/effectiveness
- Personal and interpersonal effectiveness
- Analytical and strategic thinking
- Experience and standing
- Staff
- Volunteers

## **7. Cross Cutting Themes**

An important part of all humanitarian organisations is their ability to work to the global agenda of fairness and equality. As part of RBM it is essential that human rights are observed; democracy is in some way practiced; gender is all areas of the organisation and its programmes and projects is well established and practiced; and, the whole organisation and its programmes and projects act environmentally responsibly.

Often cross cutting themes are not only good practice for the organisation but they are also good in attracting funding.

The Cross Cutting Themes are:

- Human Rights
- Democracy
- Gender
- Environment

## 4. Tools and Template Options

At the workshop participants were asked to identify the relationship between the six Capacity Assessment Grid headings and the five Alignment Solutions. (The five Alignment Solutions are part of the pilot project that is to be used and tested as the method for assisting ASOs build capacity to apply RBM, see Annex 4.) The matrix below provides the responses participants gave and the additional ideas on particular tools that can be used to support both the assessment and the solution processes. In the following section the Results Based Monitoring and Evaluation Templates that were introduced at the workshop, are described. **Table 2 - Alignment Solutions**

Areas of Capacity Assessment	Possible methods and Tools to support capacity building in RBM
Organisation Direction	<ul style="list-style-type: none"> <li>• Motivational speaker</li> <li>• SWOT Analysis – Template 9</li> <li>• Strategic Planning – Template 1</li> <li>• Stakeholder Analysis – Template 2</li> <li>• PESTEL Analysis</li> <li>• Social Marketing/Branding</li> <li>• Process Mapping</li> <li>• Logical Framework – Template 4</li> <li>• Retreats/Learning Circles</li> </ul>
Partnership Strategy	<ul style="list-style-type: none"> <li>• Organisation Roles, Tasks and Responsibility Matrix – Template 7</li> <li>• Problem and Objective Analysis – Activity Planning – Template 5</li> </ul>
Results Based M&E	<ul style="list-style-type: none"> <li>• Project Cycle Management Approach</li> <li>• Logical Framework – Template 4</li> <li>• M&amp;E Template Set</li> <li>• Questionnaire design and application</li> <li>• Online Polls</li> </ul>
Systems and Infrastructure	<ul style="list-style-type: none"> <li>• Ratio Analysis</li> <li>• Organisational Audit</li> <li>• Activity Ratios</li> </ul>
Organisation Structure	<ul style="list-style-type: none"> <li>• Governance Structure/Statement</li> <li>• Change Management</li> <li>• Roles, Tasks and Responsibility Matrix</li> </ul>
Human Resources	<ul style="list-style-type: none"> <li>• Balance Scorecard</li> <li>• Roles, Tasks and Responsibility Matrix</li> </ul>

## Annex 1 List of Participants

NO	NAMES	ORGANISATION	COUNTRY
1.	WEBSTER CHIHAMBAKWE	ZOU	ZIMBABWE
2.	DEACON HANGOMA	CHIKANKATA	ZAMBIA
3.	CATHERINE MULIKITA	CHAZ	ZAMBIA
4.	MARGARET PHIRI	KARA	ZAMBIA
5.	MAPIERS MOHAPI	IDM	MASERU, LESOTHO
6.	VUSI WONDERBOY TSABEDZE	IDM	SWAZILAND
7.	MR THUTO TOMELETSO	IDM	BOTSWANA
8.	PETER CHIGONA MWANZA	MIM	MALAWI
9.	MOSES FUNNAH	TASO	UGANDA
10.	TESFAYE EJIGU TEFERA	CAFS	ETHIOPIA
11.	GEOFFREY NDASHIMYE	KHI	KIGALI
12.	DR. RANGA TARUVINGA	MANANGA	SWAZILAND
13.	LUCIANA CHEPKOECH KOSKE	KAPC	KENYA
14.	DR RICHARD AYAH	CEU	KENYA
15.	HELLEN CHEBET KOSKEI	LVCT	KENYA
16.	MARGARET WAITHAKA	RATN	KENYA
17.	ENOCK BANDA	RATN	KENYA
18.	ALEX DIANGA	RATN	KENYA
19.	DANIEL MWISUNJI	RATN	KENYA
20.	EMILY NYARIKI	RATN	KENYA
21.	KELVIN STOREY	RATN	KENYA
22.	PHYLLIS OMBONYO	RATN	KENYA
23.	FRANK MWAURA	RATN	KENYA
24.	CRISPUS KAMANGA	INDEPENDENT CONSULTANT	KENYA
25.	NICHOLAS NJOKA	INDEPENDENT CONSULTANT	KENYA
26.	WANGUI KARANJA	INDEPENDENT CONSULTANT	KENYA
27.	PHILLIP WAMBUA	INDEPENDENT CONSULTANT	KENYA
28.	AIMTONGA AMANI MAKAWIA	INDEPENDENT CONSULTANT	TANZANIA
29.	ALEMU MEKONNEN TAREKEGN	INDEPENDENT CONSULTANT	KENYA
30.	DR. FRED TUSUUBIRA MUWANGA	INDEPENDENT CONSULTANT	UGANDA
31.	OLIVE MUMBA	EANNASO	TANZANIA
32.	ROMAN MUKENDI	EANNASO	TANZANIA
33.	JONNIAH MOLLEL	EANNASO	TANZANIA
34.	DR BEN NGOYE	TSF	KENYA
35.	ROSSETTE ONDENG	RATN SECRETARIAT	KENYA
36.	FREER SPRECKLEY	WORKSHOP FACILITATOR	UNITED KINGDOM

## Annex 2 Capacity Assessment Grid – 1. Organisation Direction

1. Organisation Direction	N/A	1. Clear need for increased capacity	2. Basic level of capacity in place	3 Moderate level of capacity in place	4 High level of capacity in place
<b>1.1 Purpose of Organisation</b>		<ul style="list-style-type: none"> <li>No written statement or limited expression of the organisation's reason for existence;</li> <li>lacks clarity or specificity;</li> <li>either held by very few in organisation or rarely referred to</li> </ul>	<ul style="list-style-type: none"> <li>Some expression of organisation's reason for existence that reflects its values and purpose, but may lack clarity;</li> <li>held by only a few;</li> <li>lacks broad agreement</li> </ul>	<ul style="list-style-type: none"> <li>Clear expression of organisation's reason for existence which reflects its values and purpose;</li> <li>held by many within organisation and often referred to</li> </ul>	<ul style="list-style-type: none"> <li>Clear expression of organisation's reason for existence which describes an enduring reality that reflects its values and purpose;</li> <li>broadly held within organisation and frequently referred to</li> </ul>
<b>1.2 Clarity of purpose for Results Based approaches</b>		<ul style="list-style-type: none"> <li>Little shared understanding of what Results Based approaches aspires to become or achieve beyond the stated overall purpose</li> </ul>	<ul style="list-style-type: none"> <li>Somewhat clear or specific understanding of what Results Based approaches aspires to achieve;</li> <li>lacks specificity or clarity, but rarely used to direct actions</li> </ul>	<ul style="list-style-type: none"> <li>Clear and specific understanding of Results Based approaches and held by many within the organisation and often used to direct actions and set priorities</li> </ul>	<ul style="list-style-type: none"> <li>Clear, specific, and compelling understanding of what Results Based approaches aspires to achieve;</li> <li>broadly held within organisation and consistently used to direct actions</li> </ul>
<b>1.3 Clarity of purpose for achieving the MDGs</b>		<ul style="list-style-type: none"> <li>Little shared understanding of the Millennium Development Goals 4, 5 and 6 beyond the stated overall purpose</li> </ul>	<ul style="list-style-type: none"> <li>Somewhat clear or specific understanding of the Millennium Development Goals 4, 5 and 6; lacks specificity or clarity, but rarely used to direct actions</li> </ul>	<ul style="list-style-type: none"> <li>Clear and specific understanding of the Millennium Development Goals 4, 5 and 6 and held by many within the organisation and often used to direct actions and set priorities</li> </ul>	<ul style="list-style-type: none"> <li>Clear, specific, and compelling understanding of the Millennium Development Goals 4, 5 and 6; broadly held within organisation and consistently used to direct actions</li> </ul>
<b>1.4 Overall Objectives</b>		<ul style="list-style-type: none"> <li>Purpose (if it exists) not explicitly translated into small set of concrete objectives, though there may be general (but inconsistent and imprecise) knowledge within organisation of overall objectives and what it aims to achieve</li> </ul>	<ul style="list-style-type: none"> <li>Purpose translated into a concrete set of objectives;</li> <li>objectives lack at least two of following four attributes: clarity, boldness, associated metrics, or time frame for measuring attainment;</li> <li>objectives known by only a few, or only occasionally used to direct actions or set priorities</li> </ul>	<ul style="list-style-type: none"> <li>Purpose translated into small set of concrete objectives, but objectives lack at most two of following four attributes;</li> <li>clarity, boldness, associated metrics, or time frame for measuring attainment;</li> <li>objective are known by many within organisation and often used by them to direct actions and set priorities</li> </ul>	<ul style="list-style-type: none"> <li>Purpose translated into clear, bold set of (up to three) objectives that organisation aims to achieve, specified by concrete indicators;</li> <li>objectives are broadly known within organisation and consistently used to direct actions and set priorities</li> </ul>
<b>1.5 Overall strategy</b>		<ul style="list-style-type: none"> <li>Strategy is either non-existent, unclear, or incoherent (largely set of scattered initiatives);</li> <li>strategy has no influence over day-to-day behaviour</li> </ul>	<ul style="list-style-type: none"> <li>Strategy exists but is either not clearly linked to purpose and objectives or lacks coherence, or is not easily actionable;</li> <li>strategy is not broadly known and has limited influence over day-to-day behaviour</li> </ul>	<ul style="list-style-type: none"> <li>Coherent strategy has been developed and is linked to purpose and objectives but is not fully ready to be acted upon;</li> <li>strategy is mostly known and day-to-day behaviour is partly driven by it</li> </ul>	<ul style="list-style-type: none"> <li>Organisation has clear, coherent medium- to long-term strategy that is both actionable and linked to purpose and objectives;</li> <li>linked to Results Based approaches and Millennium Development Goals;</li> <li>strategy is broadly known and consistently helps drive day-to-day behaviour at all levels</li> </ul>



<b>1.6 Strategy Results Based targets and indicators in place</b>		<ul style="list-style-type: none"> <li>• Targets are non-existent or few;</li> <li>• targets are vague, or confusing, or either too easy or impossible to achieve;</li> <li>• not clearly linked to purpose and strategy, and may change from year to year;</li> <li>• targets largely unknown or ignored by staff</li> </ul>	<ul style="list-style-type: none"> <li>• Realistic targets exist in some key areas, and are mostly aligned with purpose and strategy;</li> <li>• may lack aggressiveness, or be short-term, lack milestones, or mostly focused on “inputs” (things to do right), or often renegotiated;</li> <li>• staff may or may not know and adopt targets</li> </ul>	<ul style="list-style-type: none"> <li>• Quantified, aggressive targets in most areas; linked to purpose and strategy;</li> <li>• mainly focused on outputs/ outcomes” with some “inputs”;</li> <li>• typically multiyear targets, though may lack milestones;</li> <li>• targets are known and adopted by most staff who usually use them to broadly guide work</li> </ul>	<ul style="list-style-type: none"> <li>• Limited set of quantified, genuinely demanding results based targets in all areas;</li> <li>• targets are tightly linked to purpose and strategy, output/outcome have annual milestones, and are long-term nature;</li> <li>• staff consistently adopts targets and works diligently achieve them</li> </ul>
<b>1.7 Programme constancy with purpose and strategy</b>		<ul style="list-style-type: none"> <li>• Core programmes and services vaguely defined and lack clear alignment with purpose and objectives;</li> <li>• programmes seem scattered and largely unrelated to each other</li> </ul>	<ul style="list-style-type: none"> <li>• Most programmes and services well defined using a Logical Framework and can be solidly linked with purpose and objectives;</li> <li>• programmes’ focus may be somewhat scattered and not fully integrated into clear strategy</li> </ul>	<ul style="list-style-type: none"> <li>• Core programmes and services well defined using all the elements of the Logical Framework and aligned with purpose and objectives;</li> <li>• programme focuses fit together well as part of clear strategy</li> </ul>	<ul style="list-style-type: none"> <li>• All programmes and services well defined using the Logical Framework and problem analysis and clear indicators for M&amp;E;</li> <li>• fully aligned with purpose and objectives;</li> <li>• programme focuses are clearly linked to one another and to overall strategy;</li> <li>• synergies across programmes are captured</li> </ul>
<b>1.8 Programme growth, mainstreaming and sustainability</b>		<ul style="list-style-type: none"> <li>• No assessment of possibility of scaling up existing programmes;</li> <li>• no ability to mainstream results to partners existing programmes</li> </ul>	<ul style="list-style-type: none"> <li>• Limited assessment of possibility of scaling up existing programmes and, even when judged appropriate, little or limited action taken to plan for mainstreaming;</li> <li>• limited ability to plan for sustainability of existing programme</li> </ul>	<ul style="list-style-type: none"> <li>• Occasional assessment of possibility of scaling up existing programmes and when judged appropriate, action occasionally taken;</li> <li>• able to plan for mainstreaming and sustainability</li> </ul>	<ul style="list-style-type: none"> <li>• Frequent assessment of possibility of scaling up existing programmes and when judged appropriate, action always taken;</li> <li>• efficiently and effectively to plan and implement mainstreaming and sustainability of existing programmes to meet needs of clients</li> </ul>
<b>1.9 New programme development</b>		<ul style="list-style-type: none"> <li>• No assessment of gaps in ability of current programme to meet client needs;</li> <li>• limited ability to create new programmes;</li> <li>• new programmes created largely in response to funding availability</li> </ul>	<ul style="list-style-type: none"> <li>• Limited problem analysis and beneficiary participation in ability of existing programme to meet client needs, with little or limited action taken;</li> <li>• some ability to modify existing programmes and create new programmes</li> </ul>	<ul style="list-style-type: none"> <li>• Occasional problem analysis and beneficiary involvement in ability of existing programme to meet client needs, with some adjustments made;</li> <li>• demonstrated ability to modify and fine-tune existing programmes using the Logical Framework and create new programmes</li> </ul>	<ul style="list-style-type: none"> <li>• Continual problem analysis and involvement of beneficiaries in ability of existing programmes to meet beneficiary needs and adjustment always made using the Logical Framework;</li> <li>• ability and tendency to efficiently and effectively create new, programmes to the needs of potential beneficiaries in local area or other geographies;</li> <li>• continuous pipeline of new ideas</li> </ul>

<b>1.10 Funding model</b>		<ul style="list-style-type: none"> <li>• Organisation highly dependent on a few funders, largely of same type (e.g., government or international donors)</li> </ul>	<ul style="list-style-type: none"> <li>• Organisation has access to multiple types of funding (e.g., government, bilateral, multilateral) with only a few donors in each type, or has many donors within only one or two types of donors</li> </ul>	<ul style="list-style-type: none"> <li>• Solid basis of donors in most types of funding source (e.g., government, bilateral, multilateral); some activities to hedge against donor instabilities (e.g., building of endowment);</li> <li>• organisation has developed some sustainable revenue generating activity</li> </ul>	<ul style="list-style-type: none"> <li>• Highly diversified funding across multiple source types;</li> <li>• organisation insulated from potential donor instabilities (e.g., fully developed endowment) and/or has developed sustainable revenue generating activities</li> </ul>
<b>1.11 Shared references and practices</b>		<ul style="list-style-type: none"> <li>• No major common set of practices and references exists within the organisation (such as Results Based focused approaches)</li> </ul>	<ul style="list-style-type: none"> <li>• Common set of references and practices exists in some groups within the organisation, but are not shared broadly;</li> <li>• may be only partially aligned with organisational purpose or only rarely harnessed to produce impact</li> </ul>	<ul style="list-style-type: none"> <li>• Common set of references and practices exists, and are adopted by many people within the organisation;</li> <li>• references and practices are aligned with organisational purpose and occasionally harnessed to drive towards impact</li> </ul>	<ul style="list-style-type: none"> <li>• Common set of references and practices exist within the organisation, which may include: contribution to M&amp;E, participation in groups, using the same terminology and Results Based orientation are truly shared and adopted by all members of the organisation;</li> <li>• actively designed and used to clearly support overall purpose of the organisation and to drive Results Based approaches and performance</li> </ul>

## 2 Partnership Strategy

2. Partnership Strategy	N/A	1. Clear need for increased capacity	2. Basic level of capacity in place	3 Moderate level of capacity in place	4 High level of capacity in place
<b>2.1 National Context</b>		<ul style="list-style-type: none"> <li>Limited or no national state policy in support of Results Based Management ;</li> <li>limited or no recognition by government agencies of RBM;</li> <li>national development agencies have limited understanding of RBM and do not apply it in their programmes</li> </ul>	<ul style="list-style-type: none"> <li>National bodies aware of Results Based Management and understand that it is becoming recognised as a useful approach in development projects;</li> <li>taking some steps to understand and support development in applying Results Based Management</li> </ul>	<ul style="list-style-type: none"> <li>Government bodies actively investigating and formulating policies and incentives for using Results Based Management;</li> <li>other national agencies actively supporting the use by development projects of Results Based Management</li> </ul>	<ul style="list-style-type: none"> <li>Clear and formally established national policies in place that require development projects to apply Results Based Management;</li> <li>national and international donors actively supporting the use of Results Based Management;</li> <li>government agencies actively support ASOs apply Results Based Management</li> </ul>
<b>2.2 Local Context</b>		<ul style="list-style-type: none"> <li>Local government has limited or no knowledge of Results Based Management and is not supportive of its use;</li> <li>local agencies and training institutes are not including RBM in any of their training</li> </ul>	<ul style="list-style-type: none"> <li>Awareness of Results Based Management is present in local government bodies and educational institutes but not actively pursued;</li> <li>will support the use of Results Based Management if requested</li> </ul>	<ul style="list-style-type: none"> <li>Results Based Management is actively supported but not mandatory;</li> <li>local educational institutes provide basic level Results Based Management and M&amp;E training on request</li> </ul>	<ul style="list-style-type: none"> <li>Local government has formulated policy in support of RBM and actively supports development projects apply Results Based Management;</li> <li>local educational institutes regularly run Results Based Management training and where appropriate include in the curriculum of other training</li> </ul>
<b>2.3 Beneficiaries</b>		<ul style="list-style-type: none"> <li>Limited involvement by beneficiaries throughout the project cycle;</li> <li>the project only has a general understanding of who the beneficiaries are;</li> <li>beneficiaries have not been categorised in terms of gender, age, location, etc.</li> </ul>	<ul style="list-style-type: none"> <li>Mapping and categorisation of beneficiaries have been conducted;</li> <li>the project has a good general understanding of who beneficiaries are</li> <li>no regular updates are carried out and no attempt to monitor stakeholders' responses to projects</li> </ul>	<ul style="list-style-type: none"> <li>Some beneficiaries have been active in the implementation of the project and have some influence over its direction;</li> <li>there is no regular monitoring of beneficiary responses to the project deliveries</li> </ul>	<ul style="list-style-type: none"> <li>The project has engaged with beneficiaries throughout the cycle from the original problem analysis to the on-going implementation and monitoring;</li> <li>beneficiaries are actively involved in directing some of the projects' activities;</li> <li>beneficiaries are involved in the M&amp;E</li> </ul>
<b>2.4 Donors</b>		<ul style="list-style-type: none"> <li>No requirement for ASOs to use Results Based Management or Logical Framework methods when applying for funds;</li> <li>donors not using any RBM methods in their support of projects</li> </ul>	<ul style="list-style-type: none"> <li>Limited use of Results Based Management by ASOs when applying for funds from donors;</li> <li>donors starting to use Results Based Management in M&amp;E but not in project formulation and proposal preparation</li> </ul>	<ul style="list-style-type: none"> <li>ASOs have to use Results Based Management in project proposal, implementation and M&amp;E;</li> <li>the donors expect the ASOs to build their own capacity in using Results Based Management</li> </ul>	<ul style="list-style-type: none"> <li>Donors expect ASOs to fully use Results Based Management and provide capacity building support;</li> <li>ASOs feel confident to request capacity building support for RBM from donors;</li> <li>donor approach and operational guidelines fully support Results Based Management</li> </ul>
<b>2.5 Partnerships</b>		<ul style="list-style-type: none"> <li>Limited use of partnerships and</li> </ul>	<ul style="list-style-type: none"> <li>Early stages of building relationships</li> </ul>	<ul style="list-style-type: none"> <li>Effectively built and leveraged some</li> </ul>	<ul style="list-style-type: none"> <li>Built, leveraged, and maintained</li> </ul>

<b>and alliances</b>		alliances with public sector, NGOs and privates sector companies	and collaborating with other NGOs or public sector entities; • involved in informal networks	key relationships with few types of relevant organisations; • some relations may be precarious or not fully beneficial	strong, high-impact, relationships with variety of relevant organisations (local and central government bodies, as well as NGOs); • relationships deeply anchored in stable, long-term, mutually beneficial collaboration
<b>2.6 Public relations</b>		<ul style="list-style-type: none"> <li>• ASO makes no or limited use of public relations;</li> <li>• general lack of social marketing skills and expertise (either internal or accessible external expertise)</li> </ul>	<ul style="list-style-type: none"> <li>• ASO takes opportunities to engage in public relations as they arise;</li> <li>• some public relations skills and experience within staff or via external assistance</li> </ul>	<ul style="list-style-type: none"> <li>• ASO considers public relations to be useful, and actively seeks opportunities to engage in these activities;</li> <li>• critical mass of internal expertise and experience in public relations or access to relevant external assistance</li> </ul>	<ul style="list-style-type: none"> <li>• ASO fully aware of power of public relations activities, and continually and actively engages in them;</li> <li>• broad pool of public relations expertise and experience within organisation or efficient use made of external, sustainable, highly qualified resources</li> </ul>
<b>2.7 Influencing of policymaking through realization of results/outcomes</b>		<ul style="list-style-type: none"> <li>• ASO does not have ability or is unaware of possibilities for influencing policy-making;</li> <li>• never called in on substantive policy discussions;</li> <li>• ASO is not aware of the purpose of the partnership (i.e. partnership not designed to achieve a collective outcome) never called in on substantive policy discussions</li> </ul>	<ul style="list-style-type: none"> <li>• ASO is aware of its possibilities in influencing policy-making;</li> <li>• some readiness and skill to participate in policy discussion, but rarely invited to substantive policy discussions;</li> <li>• ASO can specify the Millennium Development Goals or other outcome that the partnership is intended to achieve</li> </ul>	<ul style="list-style-type: none"> <li>• ASO is fully aware of its possibilities in influencing policy-making and is one of several organisations active in policy-discussions on state or national level;</li> <li>• ASO has a mechanism for operationalizing the Partnership</li> </ul>	<ul style="list-style-type: none"> <li>• ASO pro-actively and reactively influences policymaking, in a highly effective manner, on state and national levels;</li> <li>• always ready for and often called on to participate in substantive policy discussion and at times initiates discussions;</li> <li>• ASO periodically meets or communicates with its partners to review joint results</li> </ul>

### 3 Results Based M&E

3. Results Based M&E	N/A	1. Clear need for increased capacity	2. Basic level of capacity in place	3 Moderate level of capacity in place	4 High level of capacity in place
<b>3.1 Performance measurement</b>		<ul style="list-style-type: none"> <li>• Very limited measurement and tracking of performance;</li> <li>• all or most evaluation based on anecdotal evidence;</li> <li>• organisation collects some data on programme activities and outputs, but has no outcome or impact measurement</li> </ul>	<ul style="list-style-type: none"> <li>• Performance partially measured and progress partially tracked;</li> <li>• organisation regularly collects solid data on programme activities and outputs, but lacks data-driven, externally validated outcome and impact measurement</li> </ul>	<ul style="list-style-type: none"> <li>• Performance measured and progress tracked in multiple ways, several times a year, considering outputs, outcome and impact of programme and activities;</li> <li>• multiplicity of performance indicators;</li> <li>• output, outcome and impact measured, but control group, longitudinal (i.e., long term) or third-party nature of evaluation is missing</li> </ul>	<ul style="list-style-type: none"> <li>• Well-developed comprehensive, integrated system (RBM) used for measuring organisation's performance and progress on continual basis, including outputs, outcome and impact of programme and activities;</li> <li>• small number of clear, measurable, and meaningful key performance indicators;</li> <li>• outcome and impact measured based on longitudinal studies with control groups, and performed or supervised by third-party experts</li> </ul>
<b>3.2 Performance analysis and programme adjustments</b>		<ul style="list-style-type: none"> <li>• Few external performance comparisons made;</li> <li>• internal performance data rarely used to improve programme and organisation</li> </ul>	<ul style="list-style-type: none"> <li>• Some efforts made to benchmark outputs and outcomes against outside world;</li> <li>• internal performance data used occasionally to improve organisation</li> </ul>	<ul style="list-style-type: none"> <li>• Effective internal and external benchmarking occurs but driven largely by top management and/or confined to selected areas;</li> <li>• learnings distributed throughout organisation, and often used to make adjustments and improvements</li> </ul>	<ul style="list-style-type: none"> <li>• Comprehensive internal and external benchmarking part of the culture and used by staff in target-setting and daily operations;</li> <li>• high awareness of how all activities rate against internal and external best practice benchmarks;</li> <li>• systematic practice of making adjustments and improvements on basis of benchmarking performance</li> </ul>
<b>3.3 Monitoring of landscape</b>		<ul style="list-style-type: none"> <li>• Minimal knowledge and understanding of other actors and alternative models in programme area</li> </ul>	<ul style="list-style-type: none"> <li>• Basic knowledge of actors and alternative models in programme area but limited ability to adapt behaviour based on acquired understanding</li> </ul>	<ul style="list-style-type: none"> <li>• Solid knowledge of other actors and alternative models in programme area;</li> <li>• good ability to adapt behaviour based on acquired understanding, but only occasionally carried out</li> </ul>	<ul style="list-style-type: none"> <li>• Extensive knowledge of actors and alternative models in programme area;</li> <li>• refined ability and systematic tendency to adapt behaviour based on understanding</li> </ul>
<b>3.4 Logical Framework</b>		<ul style="list-style-type: none"> <li>• No understanding of how the Logical Framework is used and why;</li> <li>• limited skills for methodology of Logical Framework</li> </ul>	<ul style="list-style-type: none"> <li>• Some understanding of the Logical Framework in project design and implementation;</li> <li>• poor skill levels in how to use the Logical Framework;</li> <li>• no attempt to use the Logical Framework as an M&amp;E tool</li> </ul>	<ul style="list-style-type: none"> <li>• Good knowledge and understanding of Logical Framework;</li> <li>• used in project formulation and partly used in M&amp;E;</li> <li>• some staff members know how to use the Logical Framework</li> </ul>	<ul style="list-style-type: none"> <li>• Extensive understanding and knowledge of the Logical Framework within the organisation;</li> <li>• most staff have sufficient skills to use the Logical Framework;</li> <li>• the Logical Framework is used for implementation and M&amp;E</li> </ul>
<b>3.5 M&amp;E</b>		<ul style="list-style-type: none"> <li>• Limited or no clear M&amp;E indicators</li> </ul>	<ul style="list-style-type: none"> <li>• Some objectives and imprecise</li> </ul>	<ul style="list-style-type: none"> <li>• Objectives and verifiable indicators</li> </ul>	<ul style="list-style-type: none"> <li>• Comprehensive M&amp;E system in place</li> </ul>

<b>Objectives, Indicators and Progress records</b>		<ul style="list-style-type: none"> <li>in place;</li> <li>poor understanding of use of M&amp;E indicators for measuring performance and managing projects</li> </ul>	<ul style="list-style-type: none"> <li>indicators in evidence;</li> <li>not regularly used to measure progress or inform management of performance;</li> <li>limited use of indicators for accountability</li> </ul>	<ul style="list-style-type: none"> <li>in place and regularly used;</li> <li>staff have good skill in data collection and recording;</li> <li>limited M&amp;E record templates in use</li> </ul>	<ul style="list-style-type: none"> <li>and all staff, in some capacity, involved;</li> <li>external independent evaluator involved;</li> <li>regular progress reports are prepared and disseminated to all relevant stakeholders;</li> <li>the organisation is partly managed through the use of the M&amp;E results</li> </ul>
<b>3.6 Regular analysis and review</b>		<ul style="list-style-type: none"> <li>Very limited analysis of M&amp;E results and no reviews with staff;</li> <li>no understanding of what results means in terms of M&amp;E;</li> <li>only reporting to donor on budget and activities</li> </ul>	<ul style="list-style-type: none"> <li>Analysis of M&amp;E undertaken regularly and staff M&amp;E reviews carried out at least once a year;</li> <li>limited involvement in the analysis by most staff;</li> <li>analysis covers only the budget, activities and outputs</li> </ul>	<ul style="list-style-type: none"> <li>Regular analysis of full M&amp;E undertaken by management;</li> <li>analysis covers most of the objectives and indicators, stakeholders and assumptions;</li> <li>staff participate in reviews and learning lessons;</li> <li>full accountability is in evidence</li> </ul>	<ul style="list-style-type: none"> <li>Regular analysis of full M&amp;E undertaken by management and staff;</li> <li>analysis covers the full range of objectives and indicators, stakeholders and assumptions;</li> <li>staff are involved in the analysis and actively participate in reviews and learning lessons;</li> <li>full accountability is in evidence</li> </ul>
<b>3.7 Strategic planning</b>		<ul style="list-style-type: none"> <li>Limited ability and tendency to develop strategic plan, either internally or via external assistance;</li> <li>if strategic plan exists, it is not used</li> </ul>	<ul style="list-style-type: none"> <li>Some ability and tendency to develop high-level strategic plan either internally or via external assistance;</li> <li>strategic plan roughly directs management decisions</li> </ul>	<ul style="list-style-type: none"> <li>Ability and tendency to develop and refine concrete, realistic strategic plan;</li> <li>some internal expertise in strategic planning or access to relevant external assistance;</li> <li>strategic planning carried out on a near-regular basis;</li> <li>strategic plan used to guide management decisions</li> </ul>	<ul style="list-style-type: none"> <li>Ability to develop and refine concrete, realistic and detailed strategic plan;</li> <li>critical mass of internal expertise in strategic planning, or efficient use of external, sustainable, highly qualified resources;</li> <li>strategic planning exercise carried out regularly;</li> <li>strategic plan used extensively to guide management decisions</li> </ul>
<b>3.8 Operational planning</b>		<ul style="list-style-type: none"> <li>Organisation runs operations purely on day-to-day basis with no short- or longer-term planning activities;</li> <li>no experience in operational planning</li> </ul>	<ul style="list-style-type: none"> <li>Some ability and tendency to develop high-level operational plan either internally or via external assistance;</li> <li>operational plan loosely or not linked to strategic planning activities and used roughly to guide operations</li> </ul>	<ul style="list-style-type: none"> <li>Ability and tendency to develop and refine concrete, realistic operational plan;</li> <li>some internal expertise in operational planning or access to relevant external assistance;</li> <li>operational planning carried out on a near regular basis;</li> <li>operational plan linked to strategic planning activities and used to guide operations</li> </ul>	<ul style="list-style-type: none"> <li>Organisation develops and refines concrete, realistic, and detailed operational plan;</li> <li>has critical mass of internal expertise in operational planning, or efficiently uses external, sustainable, highly qualified resources;</li> <li>operational planning exercise carried out regularly;</li> <li>operational plan tightly linked to strategic planning activities and systematically used to direct operations</li> </ul>

## 4 Systems and Infrastructure

4. Systems and Infrastructure	N/A	1. Clear need for increased capacity	2. Basic level of capacity in place	3 Moderate level of capacity in place	4 High level of capacity in place
<b>Systems</b>					
<b>4.1 Management Information System (MIS)</b>		<ul style="list-style-type: none"> <li>• Very limited Management Information System in place;</li> <li>• reliant on sending emails and having meetings;</li> <li>• no formally agreed system of how information is communicated or stored;</li> <li>• no one in the organisation has specific responsibility for information exchanges, either internally or externally</li> </ul>	<ul style="list-style-type: none"> <li>• Some form of agreement on how information is communicated and stored is present in the organisation;</li> <li>• there is a basic filing system for different types of information;</li> <li>• only a few staff members are fully able to understand the system</li> </ul>	<ul style="list-style-type: none"> <li>• A system of communicating information internally and externally exists;</li> <li>• there is clear evidence of specific responsibility for information exchange;</li> <li>• a good system is in place with easy to use access, storage and retrieval points;</li> <li>• limited staff use</li> </ul>	<ul style="list-style-type: none"> <li>• A fully integrated communication system exists within the organisation;</li> <li>• the system is able to accommodate M&amp;E, general management information and is able to share with internal and external stakeholders;</li> <li>• all staff understand the system and are able to fully use it</li> </ul>
<b>4.2 Planning systems</b>		<ul style="list-style-type: none"> <li>• Planning happens on an ad hoc bases only and is not supported by systematically collected data</li> </ul>	<ul style="list-style-type: none"> <li>• Planning done regularly and uses some systematically collected data;</li> <li>• few staff involved in planning</li> </ul>	<ul style="list-style-type: none"> <li>• Regular planning complemented by ad hoc planning when needed;</li> <li>• some data collected and used systematically to support planning effort and improve it;</li> <li>• staff actively involved in planning</li> </ul>	<ul style="list-style-type: none"> <li>• Regular planning complemented by ad hoc planning when needed;</li> <li>• clear, formal systems for data collection in all relevant areas;</li> <li>• data used systematically to support planning effort and improvements</li> </ul>
<b>4.3 Financial operations management</b>		<ul style="list-style-type: none"> <li>• Gifts and grants deposited and acknowledged, bills paid, supporting documentation collected/retained;</li> <li>• few staff are aware of the budget situation</li> </ul>	<ul style="list-style-type: none"> <li>• Financial activities transparent, clearly and consistently recorded and documented, include appropriate checks and balances;</li> <li>• tracked to approve budget</li> </ul>	<ul style="list-style-type: none"> <li>• Formal internal controls governing all financial operations;</li> <li>• fully tracked, supported and reported, annually audited fund flows well managed;</li> <li>• attention is paid to cash flow management</li> </ul>	<ul style="list-style-type: none"> <li>• Robust systems and controls in place governing all financial operations and their integration with budgeting, decision making, and organisational objectives/strategic goals;</li> <li>• cash flow actively managed</li> </ul>
<b>4.4 Human resources management – management recruiting, development, and retention</b>		<ul style="list-style-type: none"> <li>• Standard career paths in place without considering managerial development;</li> <li>• no or very limited training, coaching, and feedback;</li> <li>• no regular performance appraisals;</li> <li>• no systems/processes to identify new managerial talent</li> </ul>	<ul style="list-style-type: none"> <li>• Some tailoring of development plans for ambitious staff;</li> <li>• personal annual reviews incorporate development plan for each manager;</li> <li>• limited willingness to ensure high-quality job occupancy;</li> <li>• some formal recruiting networks are in place</li> </ul>	<ul style="list-style-type: none"> <li>• Recruitment, development, and retention of key managers is priority;</li> <li>• some tailoring in development plans for ambitious staff;</li> <li>• relevant training, job rotation, coaching/feedback, and consistent performance appraisal are institutionalised;</li> <li>• genuine concern for high-quality job occupancy;</li> <li>• well connected to potential sources of new talent</li> </ul>	<ul style="list-style-type: none"> <li>• Well-planned process to recruit, develop, and retain key managers;</li> <li>• individually tailored development plans for ambitious staff;</li> <li>• relevant and regular internal and external training, job rotation, coaching/feedback, and consistent performance appraisal are institutionalised;</li> <li>• proven willingness to ensure high quality job occupancy;</li> <li>• well connected to potential sources</li> </ul>



					of new talent
<b>4.5 Knowledge management</b>		<ul style="list-style-type: none"> <li>No formal systems to capture and document internal knowledge</li> </ul>	<ul style="list-style-type: none"> <li>Systems exist in a few areas but either not user friendly or not comprehensive enough to have an impact;</li> <li>Systems known by only a few people, or only occasionally used</li> </ul>	<ul style="list-style-type: none"> <li>Well-designed, user-friendly systems in some areas;</li> <li>not fully comprehensive;</li> <li>systems are known by many people within the organisation and often used</li> </ul>	<ul style="list-style-type: none"> <li>Well-designed, user-friendly, comprehensive systems to capture, document, and disseminate knowledge internally in all relevant areas;</li> <li>all staff is aware of systems, knowledgeable in their use, and make frequent use of them</li> </ul>
<b>Infrastructure</b>					
<b>4.6 Physical infrastructure – buildings and office space</b>		<ul style="list-style-type: none"> <li>Inadequate physical infrastructure, resulting in loss of effectiveness and efficiency (e.g., unfavourable locations for clients and staff, insufficient workspace for individuals, no space for teamwork)</li> </ul>	<ul style="list-style-type: none"> <li>Physical infrastructure can be made to work well enough to suit organisation's most important and immediate needs;</li> <li>a number of improvements could greatly help increase effectiveness and efficiency (e.g., no good office space for teamwork, no possibility of holding confidential discussions, staff share desks)</li> </ul>	<ul style="list-style-type: none"> <li>Fully adequate physical infrastructure for the current needs of the organisation;</li> <li>infrastructure does not impede effectiveness and efficiency (e.g., favourable locations for clients and staff, sufficient individual and team office space, possibility for confidential discussions)</li> </ul>	<ul style="list-style-type: none"> <li>Physical infrastructure well-tailored to organisation's current and anticipated future needs;</li> <li>well-designed and thought out to enhance organisation's efficiency and effectiveness (e.g., especially favourable locations for clients and staff, plentiful team office space encourages teamwork, layout increases critical interactions among staff)</li> </ul>
<b>4.7 Technological infrastructure – computers, applications, network, and e-mail</b>		<ul style="list-style-type: none"> <li>Limited/no use of computers or other technology in day-to-day activity;</li> <li>and/or little or no usage by staff of existing IT infrastructure</li> </ul>	<ul style="list-style-type: none"> <li>Well-equipped at central level;</li> <li>incomplete/limited infrastructure at locations aside from central offices;</li> <li>equipment sharing may be common;</li> <li>satisfactory use of IT infrastructure by staff</li> </ul>	<ul style="list-style-type: none"> <li>Solid hardware and software infrastructure accessible by central and local staff;</li> <li>no or limited sharing of equipment is necessary;</li> <li>limited accessibility for frontline programme deliverers;</li> <li>high usage level of IT infrastructure by staff;</li> <li>contributes to increased efficiency</li> </ul>	<ul style="list-style-type: none"> <li>State-of-the-art, fully networked computing hardware with comprehensive range of up-to-date software applications;</li> <li>all staff has individual computer access and e-mail;</li> <li>accessible by frontline programme deliverers as well as entire staff;</li> <li>used regularly by staff;</li> <li>effective and essential in increasing staff efficiency</li> </ul>
<b>4.8 Technological infrastructure – Web site</b>		<ul style="list-style-type: none"> <li>Organisation has no individual Web site</li> </ul>	<ul style="list-style-type: none"> <li>Basic Web site containing general information, but little information on current developments;</li> <li>site maintenance is a burden and performed only occasionally</li> </ul>	<ul style="list-style-type: none"> <li>Comprehensive Web site containing basic information on organisation as well as up-to-date latest developments;</li> <li>most information is organisation-specific;</li> <li>easy to maintain and regularly maintained</li> </ul>	<ul style="list-style-type: none"> <li>Sophisticated, comprehensive and interactive Web site, regularly maintained and kept up to date on latest area and organisation developments;</li> <li>praised for its user-friendliness and depth of information;</li> <li>includes links to related organisations and useful resources on topic addressed by organisation</li> </ul>

<b>4.9 Technological infrastructure – databases and management reporting systems</b>		<ul style="list-style-type: none"> <li>• No systems for tracking clients, staff volunteers, programme outcomes and financial information</li> </ul>	<ul style="list-style-type: none"> <li>• Electronic databases and management reporting systems exist only in few areas;</li> <li>• systems perform only basic features, are awkward to use or are used only occasionally by staff</li> </ul>	<ul style="list-style-type: none"> <li>• Electronic database and management reporting systems exist in most areas for tracking clients, staff, volunteers, programme outcomes and financial information;</li> <li>• commonly used and help increase information sharing and efficiency</li> </ul>	<ul style="list-style-type: none"> <li>• Sophisticated, comprehensive electronic database and management reporting systems exist for tracking clients, staff, volunteers, programme outcomes and financial information;</li> <li>• widely used and essential in increasing information sharing and efficiency</li> </ul>
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## 5 Organisation Structure

5. Organisation Structure and Skills	N/A	1. Clear need for increased capacity	2. Basic level of capacity in place	3 Moderate level of capacity in place	4 High level of capacity in place
<b>5.1 Board governance</b>		<ul style="list-style-type: none"> <li>Board does not scrutinise budgets or audits, does not set performance targets and hold manager accountable or does not operate according to formal procedures;</li> <li>executive, treasury, and board functions unclear</li> </ul>	<ul style="list-style-type: none"> <li>Roles of legal board, advisory board and management are clear;</li> <li>board functions according to governance, reviews budgets, and occasionally sets organisational direction and targets;</li> <li>but does not regularly review management performance, monitor potential conflicts of interest or scrutinise operations</li> </ul>	<ul style="list-style-type: none"> <li>Roles of legal board, advisory board, and managers are clear and function well;</li> <li>board reviews budgets, audits and state filings; size of board set for maximum effectiveness with rigorous nomination process;</li> <li>board co-defines performance targets and actively encourages management to meet targets;</li> <li>annual review of management's performance, but board not prepared to hire or fire managers</li> </ul>	<ul style="list-style-type: none"> <li>Legal board, advisory board and managers work well together from clear roles;</li> <li>board fully understands and fulfils fiduciary duties;</li> <li>size of board set for maximum effectiveness with rigorous nomination process;</li> <li>board actively defines performance targets and holds management fully accountable;</li> <li>board empowered and prepared to hire or fire managers if necessary;</li> <li>board periodically evaluated</li> </ul>
<b>5.2 Organisational design</b>		<ul style="list-style-type: none"> <li>Organisational entities (e.g., headquarters, regional and local offices) are not "designed," and roles, responsibilities of ASO are neither formalised nor clear;</li> <li>absence of organisation chart</li> </ul>	<ul style="list-style-type: none"> <li>Some organisational entities are clearly defined, others are not;</li> <li>most roles and responsibilities of ASO are formalised but may not reflect organisational realities;</li> <li>organisation chart is incomplete and may be outdated</li> </ul>	<ul style="list-style-type: none"> <li>Organisational entities are clearly defined;</li> <li>all roles and responsibilities of organisational entities are formalised but do not necessarily reflect organisational realities;</li> <li>organisation chart is complete but may be outdated</li> </ul>	<ul style="list-style-type: none"> <li>Roles and responsibilities of all organisational ASO (e.g., headquarters, regional and local entities) are formalised, clear and complement each other;</li> <li>organisation chart is complete and reflects current reality</li> </ul>
<b>5.3 Decision making framework</b>		<ul style="list-style-type: none"> <li>Decisions made largely on an ad hoc basis by one person and/or whomever is accessible;</li> <li>highly informal</li> </ul>	<ul style="list-style-type: none"> <li>Appropriate decision makers known;</li> <li>decision making process fairly well established and process is generally followed, but often breaks down and becomes informal</li> </ul>	<ul style="list-style-type: none"> <li>Clear, largely formal lines/systems for decision making but decisions are not always appropriately implemented or followed;</li> <li>dissemination of decisions generally good but could be improved</li> </ul>	<ul style="list-style-type: none"> <li>Clear, formal lines/systems for decision making that involve as broad participation as practical and appropriate;</li> <li>along with dissemination/interpretation of decisions</li> </ul>
<b>5.4 Individual job design</b>		<ul style="list-style-type: none"> <li>Lack of positions created to address a number of key roles (e.g., HR, team working, learning and M&amp;E);</li> <li>unclear roles and responsibilities with many overlaps;</li> <li>job descriptions do not exist;</li> <li>some positions are unfilled</li> </ul>	<ul style="list-style-type: none"> <li>Positions exist for most key roles, with a few still missing;</li> <li>most key positions are well-defined and have job descriptions;</li> <li>some unclear accountabilities or overlap in roles and responsibilities;</li> <li>job descriptions tend to be static;</li> <li>experience turnover of staff</li> </ul>	<ul style="list-style-type: none"> <li>All key roles have associated positions;</li> <li>most individuals have well defined roles with clear activities and reporting relationships and minimal overlaps;</li> <li>job descriptions are continuously being redefined to allow for organisational development and</li> </ul>	<ul style="list-style-type: none"> <li>All roles have associated dedicated positions;</li> <li>all individuals have clearly defined core roles which must be achieved and an area of discretion where they can show initiative and try to make a difference;</li> <li>core roles are defined in terms of results of services rather than</li> </ul>

				individuals' growth within their jobs; • expected staff retention	activities; • individuals have the ability to define their own activities and are empowered to continuously re-examine their jobs
<b>5.5 Human resources planning</b>		• Organisation uncovers and/or addresses Human Resource needs only when too large to ignore; • lack of Human Resource planning activities and expertise (either internal or accessible external); • no experience in Human Resource planning	• Some ability and tendency to develop high-level Human Resource plan either internally or via external assistance; • Human Resource plan loosely or not linked to strategic planning activities and roughly guides HR activities	• Ability and tendency to develop and refine concrete, realistic Human Resource plan; • some internal expertise in Human Resource planning or access to relevant external assistance; • Human Resource planning carried out on near-regular basis; • Human Resource plan linked to strategic planning activities and used to guide HR activities	• Organisation is able to develop and refine concrete, realistic, and detailed Human Resource plan; • has critical mass of internal expertise in Human Resource planning (via trained, dedicated HR manager), or efficiently uses external, sustainable, highly qualified resources; • Human Resource planning exercise carried out regularly; • Human Resource plan tightly linked to strategic planning and systematically used to direct activities

## 6 Human Resources

6. Human Resource & Skills	N/A	1. Clear need for increased capacity	2. Basic level of capacity in place	3 Moderate level of capacity in place	4 High level of capacity in place
<b>The Board</b>					
<b>6.1 Board – composition and commitment</b>		<ul style="list-style-type: none"> <li>• Membership with limited diversity of fields of practice and expertise;</li> <li>• drawn from a narrow spectrum of constituencies (from among NGOs, academia, corporate, government, etc.);</li> <li>• little or no relevant experience;</li> <li>• low commitment to organisation's success, purpose and objectives;</li> <li>• meetings infrequent and/or poor attendance</li> </ul>	<ul style="list-style-type: none"> <li>• Some diversity in fields of practice;</li> <li>• membership represents a few different constituencies (from among NGOs, academia, corporate, government, etc.);</li> <li>• moderate commitment to organisation's success, purpose and objectives;</li> <li>• regular, purposeful meetings are well-planned and attendance is good overall</li> </ul>	<ul style="list-style-type: none"> <li>• Good diversity in fields of practice and expertise;</li> <li>• membership represents most constituencies (NGOs, academia, corporate, government, etc.);</li> <li>• good commitment to organisation's success, purpose and objectives;</li> <li>• regular, purposeful meetings are well-planned and attendance is consistently good, occasional subcommittee meetings</li> </ul>	<ul style="list-style-type: none"> <li>• Membership with broad variety of fields of practice and expertise, and drawn from the full spectrum of constituencies (NGOs, academia, corporate, government, etc.);</li> <li>• includes functional and programme content-related expertise, as well as high-profile names;</li> <li>• high willingness and proven track record of investing in learning about the organisation and addressing its issues;</li> <li>• outstanding commitment to the organisation's success, purpose and objectives;</li> <li>• meet in person regularly, good attendance, frequent meetings of focused subcommittees</li> </ul>
<b>6.2 Board – involvement and support</b>		<ul style="list-style-type: none"> <li>• Provide little direction, support, and accountability to leadership;</li> <li>• board not fully informed about 'material' and other major organisational matters;</li> <li>• largely "feel-good" support</li> </ul>	<ul style="list-style-type: none"> <li>• Provide occasional direction, support and accountability to leadership;</li> <li>• informed about all 'material' matters in a timely manner and responses/decisions actively solicited</li> </ul>	<ul style="list-style-type: none"> <li>• Provide direction, support and accountability to programmatic leadership;</li> <li>• fully informed of all major matters, input and responses actively sought and valued;</li> <li>• full participant in major decisions</li> </ul>	<ul style="list-style-type: none"> <li>• Provide strong direction, support, and accountability to programmatic leadership and engaged as a strategic resource;</li> <li>• communication between board and leadership reflects mutual respect, appreciation for roles and responsibilities;</li> <li>• shared commitment and valuing of collective wisdom</li> </ul>
<b>Management and or manager</b>					
<b>6.3 Management /manager</b>		<ul style="list-style-type: none"> <li>• Focused purely on social impact;</li> <li>• financials viewed as an unfortunate constraint;</li> <li>• fails to deliver impact consistently; delays decision making;</li> <li>• reluctant to change status quo;</li> <li>• mandates rather than leads change</li> </ul>	<ul style="list-style-type: none"> <li>• Focused on social impact with some appreciation for cost-effectiveness when possible;</li> <li>• constantly delivers satisfactory impact given resources;</li> <li>• promptly addresses issues;</li> <li>• understands implications and impact of change on people</li> </ul>	<ul style="list-style-type: none"> <li>• Sees financial soundness as essential part of organisational impact, together with social impact;</li> <li>• focuses on ways to better use existing resources to deliver highest impact;</li> <li>• has a sense of urgency in addressing issues and rapidly moves from decision to action;</li> <li>• develops and implements actions to</li> </ul>	<ul style="list-style-type: none"> <li>• Guides organisation to succeed simultaneously in dual purpose of social impact and optimal financial efficiency;</li> <li>• constantly seeks and finds new opportunities to improve impact;</li> <li>• anticipates possible problems;</li> <li>• has sense of urgency about upcoming challenges;</li> </ul>

				overcome resistance to change	<ul style="list-style-type: none"> <li>communicates compelling need for change that creates drive;</li> <li>aligns entire organisation to support results/impact</li> </ul>
<b>6.4 People and organisational leadership/ effectiveness</b>		<ul style="list-style-type: none"> <li>Has difficulty building trust and rapport with others;</li> <li>micromanages projects;</li> <li>shares little of own experiences as developmental/coaching tool</li> </ul>	<ul style="list-style-type: none"> <li>Is responsive to opportunities from others to work together;</li> <li>expresses confidence in others' ability to be successful;</li> <li>shares own experience and expertise</li> </ul>	<ul style="list-style-type: none"> <li>Actively and easily builds rapport and trust with others;</li> <li>effectively encourages others to succeed;</li> <li>gives others freedom to work their own way;</li> <li>gives people freedom to try out ideas and grow</li> </ul>	<ul style="list-style-type: none"> <li>Constantly establishing successful, win-win relationships with others, both within and outside the organisation;</li> <li>delivers consistent, positive and reinforcing messages to motivate people;</li> <li>able to let others make decisions and take charge;</li> <li>finds or creates special opportunities to promote people's development</li> </ul>
<b>6.5 Personal and interpersonal effectiveness</b>		<ul style="list-style-type: none"> <li>Fails to show respect for others consistently, may be openly judgmental or critical;</li> <li>has difficulty influencing without using power, limited charisma or influence;</li> <li>limited curiosity about new ideas and experiences</li> </ul>	<ul style="list-style-type: none"> <li>Earns respect of others, takes time to build relationships;</li> <li>has presence, is able to influence and build support using limited communication style;</li> <li>accepts learning and personal development opportunities that arise</li> </ul>	<ul style="list-style-type: none"> <li>Is respected and sought out by others for advice and counsel;</li> <li>has strong presence and charisma;</li> <li>uses multiple approaches to get buy-in, appreciates the impact of his/her words or actions;</li> <li>seeks new learning and personal development opportunities</li> </ul>	<ul style="list-style-type: none"> <li>Is viewed as outstanding "people person"; uses diversity of communication styles, including exceptional charisma, to inspire others and achieve impact;</li> <li>continually self-aware, actively works to better oneself;</li> <li>outstanding track record of learning and personal development</li> </ul>
<b>6.6 Analytical and strategic thinking</b>		<ul style="list-style-type: none"> <li>Is uncomfortable with complexity and ambiguity and does whatever possible to reduce or avoid it;</li> <li>relies mainly on intuition rather than strategic analysis</li> </ul>	<ul style="list-style-type: none"> <li>Is able to cope with some complexity and ambiguity;</li> <li>able to analyse strategies but does not yet generate strategies</li> </ul>	<ul style="list-style-type: none"> <li>Quickly assimilates complex information and able to distil it to core issues;</li> <li>welcomes ambiguity and is comfortable dealing with the unknown;</li> <li>develops robust strategies</li> </ul>	<ul style="list-style-type: none"> <li>Has keen and exceptional ability to synthesise complexity;</li> <li>makes informed decisions in ambiguous, uncertain situations;</li> <li>develops strategic alternatives and identifies associated rewards, risks, and actions to lower risks</li> </ul>
<b>6.7 Experience and standing</b>		<ul style="list-style-type: none"> <li>Limited experience in NGO management and few relevant capabilities from other field(s);</li> <li>little evidence of social entrepreneur-like qualities;</li> <li>limited recognition in the NGO community</li> </ul>	<ul style="list-style-type: none"> <li>Some relevant experience in NGO management;</li> <li>some relevant capabilities from other field(s);</li> <li>emerging social entrepreneur-like qualities;</li> <li>some local recognition in the NGO community</li> </ul>	<ul style="list-style-type: none"> <li>Significant experience in NGO management;</li> <li>many relevant capabilities from other field(s);</li> <li>significant evidence of social entrepreneur-like qualities;</li> <li>some national recognition as a leader/shaper in particular sector</li> </ul>	<ul style="list-style-type: none"> <li>Highly experienced in NGO management;</li> <li>many distinctive capabilities from other field(s) (e.g., private sector, academia);</li> <li>exceptional evidence of social entrepreneur-like qualities;</li> <li>possesses a comprehensive and deep understanding of the sector;</li> <li>recognised nationally as a leader/shaper in particular sector</li> </ul>
<b>Staff and Volunteers</b>					

<b>6.8 Staff</b>		<ul style="list-style-type: none"> <li>• Staff drawn from a narrow range of backgrounds and experiences;</li> <li>• interest and abilities limited to present job;</li> <li>• little ability to solve problems as they arise</li> </ul>	<ul style="list-style-type: none"> <li>• Some variety of staff backgrounds and experiences;</li> <li>• good capabilities, including some ability to solve problems as they arise;</li> <li>• many interested in work beyond their current jobs and in the success of the organisation's purpose and objectives</li> </ul>	<ul style="list-style-type: none"> <li>• Staff drawn from diverse backgrounds and experiences, and bring a broad range of skills;</li> <li>• most are highly capable and committed to mission and strategy;</li> <li>• eager to learn and develop, and assume increased responsibility</li> </ul>	<ul style="list-style-type: none"> <li>• Staff drawn from extraordinarily diverse backgrounds and experiences, and bring broad range of skills;</li> <li>• most staff are highly capable in multiple roles, committed both to purpose/strategy and continuous learning;</li> <li>• most are eager and able to take on special projects and collaborate across divisional lines;</li> <li>• staff are frequent source of ideas and momentum for improvement and innovation</li> </ul>
<b>6.9 Local Volunteers</b>		<ul style="list-style-type: none"> <li>• Limited abilities;</li> <li>• may be unreliable or have low commitment;</li> <li>• volunteers are poorly managed</li> </ul>	<ul style="list-style-type: none"> <li>• Good abilities;</li> <li>• mostly reliable, loyal, and committed to organisation's success;</li> <li>• volunteers managed but without standards and little accountability</li> </ul>	<ul style="list-style-type: none"> <li>• Very capable set of individuals, bring required skills to organisation;</li> <li>• reliable, loyal and highly committed to organisation's success and to "making things happen";</li> <li>• work easily with most staff, but do not generally play core roles without substantial staff supervision;</li> <li>• volunteers are managed and contribute to the overall success of the organisation</li> </ul>	<ul style="list-style-type: none"> <li>• Extremely capable set of individuals, bring complementary skills to organisation;</li> <li>• reliable, loyal, highly committed to organisation's success and to "making things happen";</li> <li>• often go beyond call of duty;</li> <li>• able to work in a way that serves organisation well, including ability to work easily with wide range of staff and play core roles without special supervision;</li> <li>• volunteers managed very well and significantly contribute to overall success of organisation</li> </ul>
<b>6.10 International Volunteers</b>		<ul style="list-style-type: none"> <li>• Limited abilities;</li> <li>• may be unreliable or have low commitment;</li> <li>• volunteers are poorly managed</li> </ul>	<ul style="list-style-type: none"> <li>• Good abilities;</li> <li>• mostly reliable, loyal, and committed to organisation's success;</li> <li>• volunteers managed but without standards and little accountability</li> </ul>	<ul style="list-style-type: none"> <li>• Very capable set of individuals, bring required skills to organisation;</li> <li>• reliable, loyal and highly committed to organisation's success and to "making things happen";</li> <li>• work easily with most staff, but do not generally play core roles without substantial staff supervision;</li> <li>• volunteers are managed and contribute to the overall success of the organisation</li> </ul>	<ul style="list-style-type: none"> <li>• Extremely capable set of individuals, bring complementary skills to organisation;</li> <li>• reliable, loyal, highly committed to organisation's success and to "making things happen";</li> <li>• often go beyond call of duty;</li> <li>• able to work in a way that serves organisation well, including ability to work easily with wide range of staff and play core roles without special supervision;</li> <li>• volunteers managed very well and significantly contribute to overall success of organisation</li> </ul>



## 7. Cross Cutting Themes

7. Cross Cutting Themes	N/A	1. Clear need for increased capacity	2. Basic level of capacity in place	3 Moderate level of capacity in place	4 High level of capacity in place
<b>7.1 Human Rights</b>		<ul style="list-style-type: none"> <li>No policy or statement on the human rights of as laid out in the UN Declaration of Human Rights;</li> <li>no link between HIV and AIDS and the right to equality of access to medication and health care;</li> <li>staff are not aware of the connection between human rights and the rights of HIV and AIDS sufferers</li> </ul>	<ul style="list-style-type: none"> <li>a written statement of the recognition of human rights and the rights of HIV and AIDS sufferers;</li> <li>no regular review of human rights statement and the policy and practice of supporting HIV and AIDS sufferers;</li> <li>staff are only vaguely aware of human rights and its connection to their work with HIV and AIDS sufferers.</li> </ul>	<ul style="list-style-type: none"> <li>The human rights statement is regularly reviewed and attempts made to connect it with the work of the ASO;</li> <li>staff are aware of human rights and how they support the work they carry out;</li> <li>some discussion on work can be enhanced by using human rights to help formulate programme policy and design.</li> </ul>	<ul style="list-style-type: none"> <li>Human rights is one of the key drivers of the policy and practice of the ASO;</li> <li>the ASO regularly reviews its human right policy and uses it to formulate all its other policies in relation to HIV and AIDS;</li> <li>the board, staff and stakeholders are aware of the human rights statement of the ASO and understand how that drives and support other policy initiatives;</li> </ul>
<b>7.2 Democracy</b>		<ul style="list-style-type: none"> <li>staff are not involved in decision making;</li> <li>management is not democratic</li> <li>Board members act un - democratically;</li> <li>staff do not feel that they are part of a team;</li> <li>programme and projects do not promote democratic practice;</li> <li>Stakeholders not involved in review and forward planning of programmes and projects they are involved in.</li> </ul>	<ul style="list-style-type: none"> <li>a limited degree of involvement of staff;</li> <li>The Board of the ASO operates democratically i.e. they vote on issues;</li> <li>Programmes and projects are designed to incorporate some democratic practices.</li> </ul>	<ul style="list-style-type: none"> <li>Management involves staff in some decision making;</li> <li>Staff and management review how the ASO is being managed and how its programmes and projects are working;</li> <li>Some stakeholders are involved</li> <li>staff feels able to approach management and Board members about any issue that affects them.</li> </ul>	<ul style="list-style-type: none"> <li>staff involved in all decisions that affect the way the organisation is managed and structured;</li> <li>Board members act democratically and expect the same from management;</li> <li>staff feel they're listened to and are confident that they are part of a team;</li> <li>all programme and projects are designed to be as democratic as possible within the constraints of the conditions of funding and the type of work to be undertaken;</li> <li>Stakeholders are involved in some form of review and forward planning of programmes and projects they are involved in.</li> </ul>
<b>7.3 Gender</b>		<ul style="list-style-type: none"> <li>no policy on gender</li> <li>No equal opportunities statements in job advertisements and recruitment process;</li> <li>Poor representation of women</li> <li>Board members not aware of gender issues.</li> </ul>	<ul style="list-style-type: none"> <li>a general policy on gender exists but it is not regularly reviewed;</li> <li>the policy on gender is not used to inform recruitment.</li> <li>The policy on gender is not used to inform programme work</li> </ul>	<ul style="list-style-type: none"> <li>policy on gender exists and regularly reviewed</li> <li>all job advertisements and recruitment process reflect the policy on gender and operate under equal opportunity processes</li> <li>there is a reasonable gender balance amongst the staff;</li> </ul>	<ul style="list-style-type: none"> <li>a good gender balance in staff and Board members;</li> <li>all HR is undertaken within clear policy framework on gender;</li> <li>gender policy is reflected in programme and project work;</li> <li>all publicity is marked with an equal opportunity statement.</li> </ul>

				<ul style="list-style-type: none"> <li>• there is a reasonable gender balance of Board members ;</li> <li>• Gender issues viewed as important by staff and Board members.</li> </ul>	
<b>7.4 Environment</b>		<ul style="list-style-type: none"> <li>• No awareness of the environment or environmental practices could be improved;</li> <li>• no policies on within the ASO on environmental issues;</li> <li>• no environmental practices in operation.</li> </ul>	<ul style="list-style-type: none"> <li>• a general statement of environmental responsibility within the ASO;</li> <li>• no regular review and no connections to other parts of the organisation's operations;</li> <li>• Staff and board members are not aware of how the ASO impacts on the environment.</li> </ul>	<ul style="list-style-type: none"> <li>• clear policies on the environment;</li> <li>• the environmental policy influences some of the work and programmes of the ASO;</li> <li>• staff and Board members are aware of environmental issues and to a limited degree try to act environmentally responsible.</li> </ul>	<ul style="list-style-type: none"> <li>• a clear and robust policy on environmental issues applied across the organisation;</li> <li>• all programmes and projects are influenced by the environmental policy;</li> <li>• all staff and Board members are fully aware and insist that environmental responsible actions are included in all the ASOs work.</li> </ul>

## Annex 3 - Capacity Assessment Record Scoring Sheet

Questions	Low Scoring High					Explain your scoring results	Actions/Solutions to be done, if any	What can RECABASO do?
	0	1	2	3	4			
<b>1 Organisation Direction</b>								
1.1 Purpose of Organisation								
1.2 Clarity of purpose for Results Based Approaches								
1.3 Clarity of purpose for achieving the Millennium Development Goals (MDGs)								
1.4 Overall Objectives								
1.5 Overall Strategy								
1.6 Strategy Results Based targets and indicators in place								
1.7 Programme constancy with purpose and strategy								
1.8 Programme growth, mainstreaming and sustainability								
1.9 New programme development								
1.10 Funding model								
1.11 Shared references and practices								
<b>2 Partnership Strategy</b>								
2.1 National Context								
2.2 Local Context								
2.3 Beneficiaries								
2.4 Donors								
2.5 Partnerships and alliances								
2.6 Public relations								
2.7 Influencing of policymaking								
<b>3 Results Based M&amp;E</b>								
3.1 Performance measurement								
3.2 Performance analysis and programme adjustments								

3.3 Monitoring of landscape								
3.4 Logical Framework								
3.5 M&E Objectives, Indicators and Progress records								
3.6 Regular analysis and review								
3.7 Strategic planning								
3.8 Operational planning								
<b>4 Systems and Infrastructure</b>								
4.1 Management Information System (MIS)								
4.2 Planning systems								
4.3 Financial operations management								
4.4 Human resources management – management recruiting, development, and retention								
4.5 Knowledge management								
4.6 Physical infrastructure – buildings and office space								
4.7 Technological infrastructure – computers, applications, network, and e-mail								
4.8 Technological infrastructure – Web site								
4.9 Technological infrastructure – databases and management reporting systems								
<b>5 Organisation Structure and Skills</b>								
5.1 Board governance								
5.2 Organisational design and diagram								
5.3 Decision making framework								
5.4 Individual job description								
5.5 Human resources planning								
<b>6 Human Resource &amp; Skills</b>								
6.1 Board – composition and commitment								
6.2 Board – involvement and support								
6.3 Management/manager								
6.4 People and organisational leadership/ effectiveness								

6.5 Personal and interpersonal effectiveness								
6.6 Analytical and strategic thinking								
6.7 Experience and standing								
6.8 Staff								
6.9 Local Volunteers								
6.10 International Volunteers								
<b>7 Cross Cutting Themes</b>								
7.1 Human Rights								
7.2 Democracy								
7.3 Gender								
7.4 Environment								
<b>General Comments:</b>								

## Annex 4

### **Alignment to Solutions:**

This stage is the core of the project strategy because it is the stage where the panel will recommend how each of the shortlisted applications will be linked to relevant capacity building. The project will involve a total of five (5) options to which the shortlisted applications shall be aligned to. Each of the options is discussed below in detail.

**Option 1:** Identify relevant training within or outside the network – This option shall mean that the panel has observed that the capacity gap identified by the applicant organization can be well addressed through an existing training programme within RATN. In the event that RATN has no programmes that meets the need identified, the panel shall recommend relevant training programmes identified through other networks and initiatives e.g. IPDET (Work Bank), UNAIDS and other Donor Agencies.

**Option 2:** Pooling applicants with common gaps – This option will involve the panel observing that a number of applicants have capacity gaps that have much in common and therefore these gaps can be best addressed by pooling the applicants into a group that a set of MI trainers can be brought together to provide the training to the applicants as a group.

**Option 3:** Experiential learning by placement – This option shall involve the panel observing that the capacity gaps identified by the applicant organization can be best addressed through experimental learning (i.e. the process of learning via reflection and transfer of knowledge into skills through practice to facilitate the learner derive meaning from direct experience. The applicants shall be placed in an institution that is practicing best practices from which the applicant can directly learn and acquire new skills to address the capacity gaps identified in their own organizations. During the time of placement is also expected that both the learner and the host institution shall learn through a mutual sharing relationship.

#### Key Implementation Issues for Experimental Learning by Placement

##### **a) Identification of the host institution**

The next step involves identification of host service provider institution where the learner will be placed to develop the skills identified in the appraisal. Such institution may be part of the RATN MIs or one that is willing to host the learner. Identification of the host institution will be a responsibility of RATN secretariat where a database will be developed specifying the kind of skills mix in different service provider organizations. However, it is also possible that the learner and the parent organization can identify an appropriate host institution.

### **b) Formalization of relationships**

In all cases, a memorandum of understanding will be entered between RATN and the host institution. It will stipulate the duration of the placement, the supervisory role of the host institution, the roles of the learner, the funding arrangements and provision of the basic necessities required to facilitate the skills transfer process. Another MoU will be entered between RATN and the parent institution detailing the funding arrangements for the learner and the relationship between RATN and the parent organization. During the placement, the learner will be supported by RATN financially through provision of a small stipend during the placement. The parent institution will be expected also contribute financial and material support to the learner.

### **c) The skills transfer plan**

Upon selection, the learners will develop a detailed skills transfer plan with guidance from the host institution mentor and the supervisor at the parent institution. The plan will expound on the concept paper and detail out activities the learner will undertake while at the host institution and the results thereof in terms of outputs and outcomes to both the learner and the host institution. The placement duration will range from one to six months depending on the nature of skills transfer required. During placement, each learner will be supported to identify two staff with whom he/she will work with throughout. This is intended to generate a multiplier effects in the skills transfer process. The two staff will participate in developing and implementing the proposal. The learners will be required to develop clear action plans on how they will address the problems that motivated their acquiring the new skills. The learners will be supported to refine their proposals and thereafter return to their parent institutions to implement their projects. Each learner is allocated a mentor in the parent institution to facilitate the skills transfer process.

### **d) Supervision of the learner**

The learner will be allocated a mentor who will not only facilitate the skills transfer process but also provide career guidance to the learner. It is important that the mentors be given an induction on how to manage the process, this will be followed by regular update on their mentorship roles at appropriate intervals.

**Option 4:** Technical Support and on-job experiential learning: – This option shall involve the panel observing that the identified capacity gaps can be best addressed within the parent organization. This will therefore identifying experts or mentors from RATN MIs or other organizations practicing best practices in the area related to the identified capacity needs. In this case the learners will be identified using the criteria similar to that provided in Option 3 above. The learners or organizations will be allocated a mentor/expert(s) to facilitate the transfer of the skills to build capacity for addressing the identified needs.



**Option 5:** Twining of organizations – This option will involve the panel observing that two organizations can effectively learn from each other's comparative advantages to address their identified capacity gaps.