

**FRONTIERS**  
PREVENTION PROJECT

International  
HIV/AIDS

**Alliance**

Supporting community action on AIDS in developing countries



**NGO  
CAPACITY  
ANALYSIS**

**A toolkit for assessing and building capacities  
for high quality responses to HIV/AIDS**

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# Acknowledgements

## About the Alliance

The International HIV/AIDS Alliance (the Alliance) is an international non-governmental organisation (NGO) that supports communities in developing countries to make a significant contribution to HIV/AIDS prevention, as well as care and support for those affected. Since its establishment in 1993, the Alliance has provided financial and technical support to NGOs and community-based organisations (CBOs) from more than 40 countries, through linking organisations, country offices and other partner organisations. In addition, the Alliance identifies, develops and disseminates good practice in community responses to HIV/AIDS more broadly through evaluation, operations research, the development of training materials and tools, as well as policy and advocacy activities.

## Acknowledgements

The Alliance gratefully acknowledges the contributions of Alliance partners, linking organisations, workshop participants, consultants, staff and others in the development of this publication. In particular the support, collaboration and patience of the Khmer HIV/AIDS NGO Alliance and Community Development Action in Cambodia, Kimirina and EUDES in Ecuador and Hyderabad Leprosy Control and Health Society, LEPR India, Alliance India and Vasavya Mahila Mandali in India.

## Feedback

Understanding and building NGO capacity is an on-going project that can only improve as we build on practical experiences from the field and reflections that give the project meaning and purpose. We would be most interested in any feedback and comments on this toolkit – please send to [mail@aidsalliance.org](mailto:mail@aidsalliance.org).

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# Introduction to the toolkit



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## 1. What is this toolkit?

In many countries, community-based organisations (CBOs) and non-governmental organisations (NGOs) have mobilised to respond to HIV/AIDS. As responses are scaled up, organisations are finding they need to develop their own capacity to deliver and support such programmes.

This is a toolkit that can be used to identify capacity building needs, plan technical support interventions and monitor and evaluate the impact of capacity building.

## 2. Who is this toolkit for?

This toolkit is for people and organisations that support NGOs and CBOs responding to HIV/AIDS in developing countries. These include NGO support programmes, training institutions and individual trainers. The toolkit can be adapted for use by NGOs and CBOs themselves as a framework to facilitate discussion, analyse a wide range of their own capacities and prioritise areas for development.

It is important that people using this toolkit already have some basic facilitation skills, for example in guiding large group discussions and small group activities. The following additional resources may also be useful in preparing for using this toolkit:

- **A Facilitators' Guide to Participatory Workshops with NGOs/CBOs Responding to HIV/AIDS**, which provides some ideas that will be useful for facilitating the type of workshop described in this toolkit. These ideas include how to prepare for a participatory workshop and how to prepare and facilitate participatory activities. (Also available in French and Spanish.)
- **100 Ways to Energise Groups: Games to Use in Workshops, Meetings and the Community**, which documents 100 energisers for use during participatory technical support activities. (Also available in French and Spanish.)

These publications can be downloaded from the Alliance website: [www.aidsalliance.org](http://www.aidsalliance.org)

# Introduction to the toolkit

## ***3. How can this toolkit be used?***

This toolkit is designed to be flexible and adapted for use to meet the needs of different NGOs. It provides tools for analysing and building capacity using a number of different methods. It includes tools and guidance for:

- holding a planning and preparation meeting with management of the NGO
- developing an organisational profile
- facilitating a 1-2 day workshop with staff, management and volunteers to discuss and self assess capacities and prioritise areas for capacity building
- interviewing members of the organisation using questionnaire templates
- using the document review form to assess and analyse relevant documents
- documenting the process and outcomes using the suggested report format
- agreeing the conclusions reached, the action plan and next steps with the leadership of the NGO.

The workshop is structured with five different sessions looking at specific areas of capacity in addition to an introduction and wrap-up session. These sessions can be used in any order and in any combination, as appropriate for the NGO. The workshop is designed for use with staff and management from one individual NGO. However, guidance notes in each section provide suggestions for how the activities can be adapted to facilitate analysis with a group of NGOs. For smaller NGOs, where there may not be sufficient people to make the workshop activities appropriate, the questionnaire templates can be used to structure a simple group discussion around the indicators instead.

The toolkit provides:

- Quantitative and qualitative methods to determine scores for capacity indicators and capture more dynamic issues and perceptions of staff.
- Self-assessment techniques to encourage better ownership of results.
- Objective criteria to use for external validation to provide comparable results for evaluation purposes.
- Multiple instruments for triangulation to develop a comprehensive picture of capacity from different perspectives and assess the level of consensus over issues.

The toolkit is available for free electronic download in both Adobe Acrobat and Microsoft Word formats at the Alliance website **[www.aidsalliance.org](http://www.aidsalliance.org)**. This is to ensure that users can easily adapt the materials contained in this toolkit for their own use.

## ***4. Why was this toolkit developed?***

This toolkit was developed to enable the use of participatory methods to analyse, evaluate and build levels of capacity with NGOs in a range of areas critical to high quality HIV/AIDS work.

A large part of the Alliance's work has always been to provide technical support to build the capacity of NGOs and CBOs to deliver sustainable, effective programmes using the best methods available.

This toolkit was developed for use in the Alliance's Frontiers Prevention Project, which is a multi-country implementation and study of prevention methods in lower prevalence settings. An important element of the study was to evaluate the additional positive outcomes arising from the technical support provision. This required a process capable of assessing levels of capacity at baseline, while the urgency of implementation required a tool that was capacity building in its own right.

There are a range of **organisational capacity** assessment tools that already exist, some of which the Alliance and its partners have used in some form in the past (see Section 7 – Other capacity analysis resources). This toolkit was developed to analyse additional capacities that are important to HIV/AIDS work, in particular:

- **technical** skills and experience
- inclusive and empowering approaches that promote the **participation** of people living with HIV/AIDS and other affected communities
- **institutional capacity**, to work in alliance with others or to use advocacy.

These capacities can be important in bringing about change when working with communities in HIV/AIDS work, but are clearly also important in many other related fields of public health, human rights and development work.

## **5. How was this toolkit developed?**

As a reflection of its dual roles to measure and to build capacity, the development of this toolkit was initiated jointly by teams for Research & Evaluation and for Technical Support at the Alliance. After some initial consultations with staff and stakeholders at secretariat offices in Brighton, the major development of this toolkit took place with Alliance partners in FPP countries.

Working with a skeleton draft, to trial and test different indicators, facilitation approaches and evaluation methods, the toolkit was taken, translated into local languages and tested in three countries, over 2003:

- In Ecuador, in collaboration with Kimirina, an NGO support organisation in Quito that has been mobilising community responses to HIV/AIDS throughout the country since 1995.
- In Cambodia, with the Khmer HIV/AIDS NGO Alliance (KHANA), based in Phnom Penh. KHANA has been working since 1996 and supports 36 different partner organisations working in HIV/AIDS across the country. The toolkit was tested with the help and co-operation of Community Development Action, an NGO based in Battambang developing prevention strategies with youth, men who have sex with men and people who sell sex.
- In India, with Alliance India and the lead partner working in Andhra Pradesh, LEPR India, who took responsibility for developing the toolkit further with the co-operation of Vasavya Mahila Mandali, which is also a lead partner in Vijayawada, and the Hyderabad Leprosy Control and Health Society.

Each stage resulted in a considerable amount of discussion, feedback and re-development. A final major revision came up with a format that could meet the needs and suggestions that came from all three countries.

At the time of writing, this toolkit had been used for assessment workshops with over 50 NGOs and CBOs across the three countries. Initial results show that it enabled systematic analysis of relevant capacities in the context of the activities each organisation planned to deliver. It enabled honest, open and critical reflection and self-appraisal at each NGO, but it also informed staff and management about capacity and how it can be strengthened.

The assessment workshops generated meaningful, comparable, quantitative data, by providing a variety of different benchmarks and indicators against which the NGOs could compare and score themselves. Although NGOs and CBOs were encouraged to focus only on the indicators that had relevance for them, the process clearly revealed gaps in their abilities and generated the motivation to strengthen them.

## 6. What this toolkit doesn't do

It is important to be clear about the limitations of the capacity analysis toolkit as it is presented here, so that users might easily adapt it to suit their particular needs.

This toolkit can be used with a wide range of NGOs in different countries with the methods and indicators suggested. It could be further adapted to good effect, by each user, to increase the participation of those with whom it will be used locally. This could be done by involving representative stakeholders in re-designing the indicators for use with a particular group of NGOs, or even by consulting each NGO as to the relevance of particular capacities and indicators before each workshop.

Users of this toolkit should also be aware of the particular dynamics that can occur in workshop settings and the power relationships that can persist within group discussions. While participatory workshops can provide a good forum for group learning and consensus building, the use of additional interviews, questionnaires and neutral, external observers can help to triangulate and validate findings.

This toolkit currently only looks at five areas of capacity. Participatory re-design of the indicators could allow different or additional capacities to be analysed, in more or less depth. Capacities that relate to conducting research, documenting findings, providing support to other NGOs and mobilising communities are all examples of areas that could be explored further using the existing workshop format. The Alliance is developing ways of understanding and analysing other such capacities, which will be looked at in future versions of this toolkit.

While the suggested indicators are believed to be relevant for many NGOs, users of this toolkit should also be aware that some might seem ambitious or unrealistic for smaller CBOs. This should be considered sensitively, as otherwise their application may unduly depress or disappoint a small but aspiring CBO. Furthermore, in reality many capacities (for example in advocacy work) are dependent on the capabilities and passion of individuals, which can be difficult to capture and measure adequately. Sometimes, such capacity can only be measured by proxy. The indicators that point to such proxies, however, are not intended as a scientific measure of capabilities.

## 7. What is capacity?

Capacity can be seen as a function of many different factors: individual capabilities, ways of organising, cultural norms and physical assets all combine to enable an organisation to work towards its mission. However, the availability of physical assets may contribute little to capacity beyond what is needed for the scope and scale of the mission, especially if used poorly. This toolkit deliberately emphasises the value of other factors contributing to capacity to ensure, as far as possible, that it remains relevant for large and small NGOs alike.

This toolkit identifies five areas of capacity important for delivering and supporting responses to HIV/AIDS:

- **Organisational strength** has long been recognised as important for the sustainability and efficacy of an organisation's work.
- **HIV/AIDS technical capacity** – The understanding of the epidemic continues to evolve as it is developed and shared from different contexts. Those organisations that are able to refresh their methods and approaches in line with this understanding will likely serve their mission better.
- The **promotion of participation of people living with HIV/AIDS and other affected communities** is integral to challenging inequality and marginalisation which is often the underlying cause of people's vulnerability to HIV. This is also often a sign of how much an organisation believes in its own messages and feels solidarity with its community.



- **Partnerships, referral systems and co-ordination** with others enables an NGO to magnify the effect of its actions by the power of all those around it. Rather than working in competition with others and duplicating effort, it seeks to address the needs of its community in the best way it can.
- **Involvement in evidence- and consultation-based advocacy** harnesses the power of institutions that can affect the lives of an NGO's community to a far greater extent than the NGO can itself. The inequalities and vulnerabilities faced by some people may be embedded in the structure of society and, in some cases, may only be addressed through advocacy.

For the majority of AIDS service organisations, working in specific geographical areas or with specific population groups, all five areas of capacity will complement and reinforce each other, and together combine to enhance the sustainability, quality, integrity and impact of interventions.

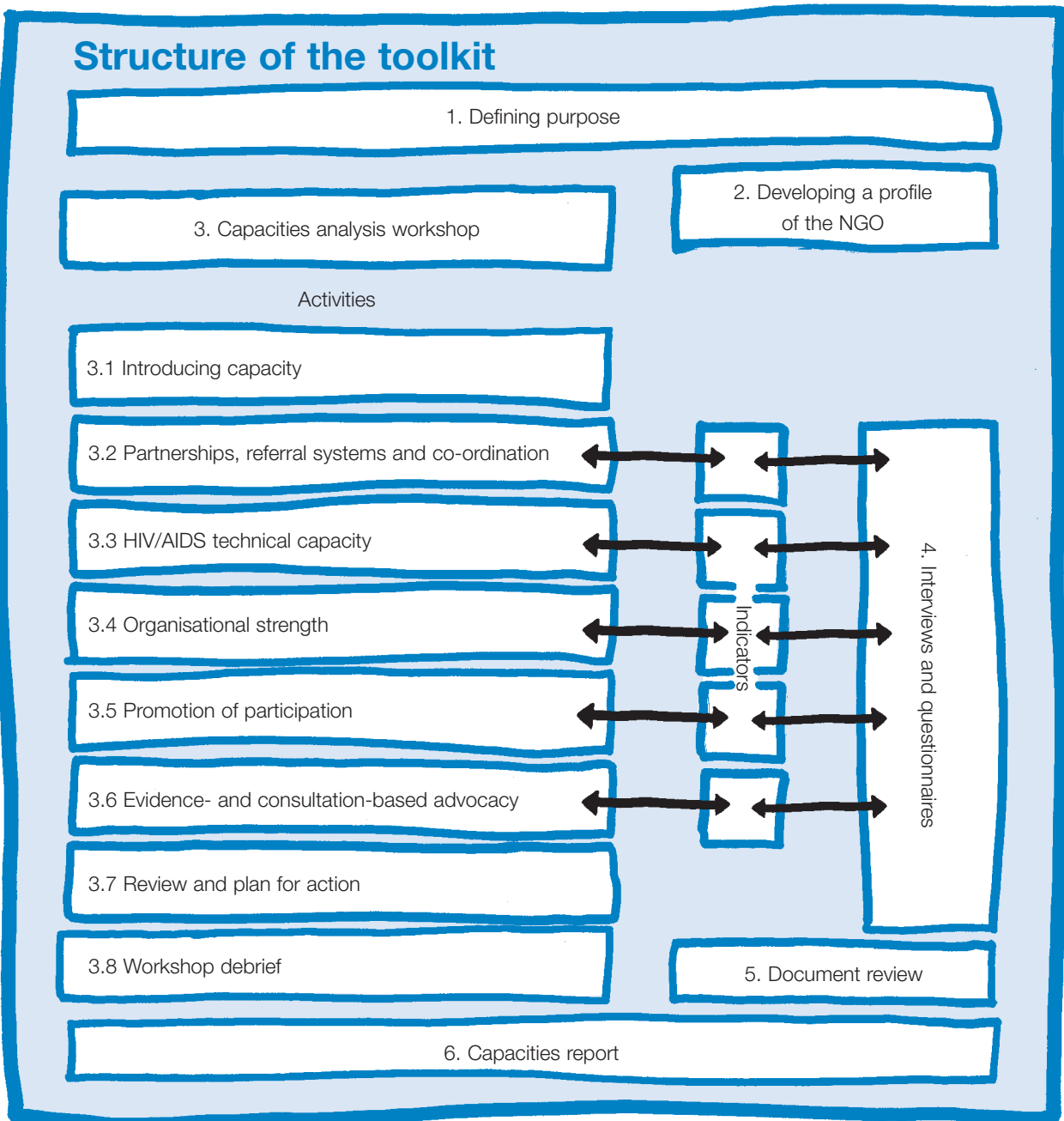
## 8. How this toolkit is structured

The sections in this toolkit provide guidance, notes and materials for conducting a variety of different activities that can be used in different ways to contribute to the analysis of the NGO:

- 1 Defining purpose** – Any analysis must begin by holding a meeting with all stakeholders and facilitators to clarify why the capacity of the NGO is being analysed, how the analysis will be done and how it will be used.
- 2 Developing a profile of the NGO** – The same meeting, or a separate one, could be used to find out, agree and document key facts and details about the NGO which will provide useful reference at a later stage.
- 3 Capacities analysis workshop** – The activities in the workshop are structured into distinct sessions to introduce the concept of capacity, to suggest five possible areas of capacity for detailed analysis, to review all strengths and weaknesses and develop a plan for action. Each area of capacity has an associated set of indicators that participants use to compare with their own organisation's capacities.
- 4 Interviews and questionnaires** – The questionnaire templates can be used with the associated indicators in a variety of ways. They can be used:
  - to structure a focus group discussion in place of a workshop
  - to enable participants to reflect separately on the capacities of their own organisation if facilitating a group of participants from many different NGOs
  - or to interview other stakeholders to triangulate findings, in addition to a workshop.
- 5 Document review** – The quality and sustainability of many of the capacities of an organisation are supported through the way systems, reports and events are documented. This section provides a checklist for facilitators, or for an organisation itself, to review the completeness of documentation to triangulate workshop findings.
- 6 Capacities report** – The analysis should bring out a great deal of information about the NGO. It will also generate some rich discussions between staff and management. These should be captured in detail in the report template as they will all provide valuable reference for the future.



## Structure of the toolkit



### 9. Other toolkits in this series

This is one in a series of toolkits for organisational and institutional development produced by the Alliance. These are all available for download or to order for free, at the Alliance website [www.aidsalliance.org](http://www.aidsalliance.org). Other toolkits in the series include:

- **NGO Support Toolkit** (also available in Portuguese) – This publication, CD-ROM and on-line toolkit features over 500 resources useful for those providing support to NGOs in a variety of ways.
- **Raising Funds and Mobilising Resources for HIV/AIDS Work** (also in French, Spanish and Portuguese) – This toolkit introduces an approach to planning and carrying out resource mobilisation strategically and systematically.
- **Advocacy in Action** – This toolkit aims to support NGOs and CBOs in developing countries to plan and implement effective advocacy work around HIV/AIDS.
- **Documenting and Communicating HIV/AIDS Work** (also in French and Spanish) – This toolkit focuses on how NGOs and CBOs can plan and develop specific skills to document and communicate their work more effectively and share good practice experiences with others.
- **Pathways to Partnerships Toolkit** (also in Spanish and Portuguese) – This toolkit focuses on how NGOs and CBOs involved in HIV/AIDS can build effective partnerships with other organisations.

### ***Aim***

To hold a meeting to clarify why capacity is being analysed, how the analysis will be done and how it will be used.

### ***Introduction***

Whether the NGO is planning the analysis internally or with outside facilitators, an important first step is for management and facilitators to discuss and agree the purpose of the capacity analysis, explain any background to why the analysis is being conducted, and clarify the process to be followed. It is important to take as many opportunities as possible to ensure everyone at the NGO feels happy, open and comfortable with the process.

### ***Guidance***

- 1** Discuss – Who will manage the process and facilitate the workshop? Will external facilitators be used?
- 2** Discuss – How can the information generated help the NGO plan capacity building efforts in the future?
- 3** Discuss – Could the capacity analysis be used to evaluate increases in capacity over time and the contribution such increases make to programme outcomes?
- 4** Discuss – How will the final report be used? It could be used to share needs identified with people who could provide support to the organisation. It could also be a valuable way of showing the NGO's strengths to donors and other stakeholders.
- 5** Plan which areas of capacity the analysis will look at and the overall process and methods to be used. Discuss if and when you will:
  - develop an organisational profile
  - use the workshop activities or just facilitate discussion using the questionnaires and indicators
  - conduct additional interviews outside the workshop
  - review organisational documents using the checklist.

### ***Notes***

The purpose of the analysis could be:

- to identify capacity building needs
- to gather information for an evaluation of a capacity building programme
- as an intervention in itself to help the NGO better understand capacity
- or some combination of these.

*Your Notes*

# Developing a profile of the NGO

## Section 2

### ***Aim***

To document basic information about the history, the scale and the work of the NGO.

### ***Introduction***

If the analysis is being conducted by external facilitators it is vital that they meet with the leadership of the NGO to find out basic information about the organisation. A good understanding of the organisation will help the facilitation team to ask relevant, probing and sensitive questions during the assessment process, and thus help the NGO to find out more about itself. If the analysis is being conducted internally, it may also be worth developing an organisational profile as this will provide valuable information to include in the capacity analysis report if it is to be shared with others.

Developing a profile of the NGO includes documenting the background of the NGO, providing details of its main programmes and activities, and highlighting some key achievements and challenges. It can provide vital information and future reference for the facilitators of the workshop as well as other future providers of technical support.

### ***Organisational profile checklist***

Use the checklist over the page to document information about the organisation. Answer questions as fully as possible, with examples and quotes if possible. The information asked for below should be used as a checklist, so not all questions may be relevant. If there is not enough space, additional information should be documented separately.

## Organisational profile checklist

**1. Title of NGO** Include the full title of the NGO, e.g HIV/AIDS Co-ordinating Committee (HACC).

**2. Contact details of the NGO** Include the name of the director and contact details for the NGO, including postal address, telephone/fax numbers and email, if relevant.

**3. When the NGO was established**

**4. Location** Offices, if any, and where they are working, e.g. which province and which communes/villages etc.

**5. Strategy & structure** The NGO vision, mission and objectives (if developed); basic organisational structure, e.g. if there is a Board of Trustees; lines of responsibility and reporting.

**6. Human resources** Number of full/part time paid staff; full/part time volunteers.

**7. Financial resources** Approximate annual income/turnover; major donors.

**8. Support** Who does the NGO receive technical support from?

**9. Overview of projects** Who does the NGO work with, i.e. who are the target group(s)? What is the focus of projects, e.g. prevention, care, OVC etc? Are other projects implemented, besides HIV/AIDS? If so, what?

**10. Project activities** Activities carried out and details – e.g. if the activity is peer education, how many peer educators are trained, how often they lead sessions, how many people in each peer education group, where sessions take place, what kind of issues the sessions cover.

**11. Key achievements** What are some of the key highlights/successes?

**12. Main challenges** What has the NGO/CBO found difficult? What are some of the main problems and issues that it faces?

**13. Lessons learned** What would the NGO/CBO do differently or the same, based on their experiences?

**14. Future plans** What are the future directions of the NGO/CBO? e.g. plans to scale up activities by expanding coverage or reaching new groups?

**15. Date and name of facilitator/programme officer** Include the date when the NGO profile was written and by whom. This is useful so that others know how up-to-date the information is and who to contact for any clarifications.

*Your Notes*



# Capacities analysis workshop

## Section 3

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### Aim

To facilitate discussion and consensus building through systematic analysis of different capacities with stakeholders of one or several NGOs.

### Introduction

The workshop is a way of bringing together staff and management over 1-2 days to analyse capacities and decide scores for a series of objective indicators relating to capacity. The sessions in the workshop are structured so as to allow individual perceptions to be compared with the collective opinion of participants and also to see how much consensus there is in the organisation on these issues.

### Planning

The following steps should be discussed and planned with the management of the NGO and the facilitators of the workshop:

- 1** Who should participate – at least 2-3 each from the Board/management; from project and administration managers; project and administration staff/volunteers. For an effective workshop aim for 6-12 participants in total, with well-balanced representation from all levels.
- 2** The date, venue and time needed for the workshop – to analyse all five areas of capacity suggested in this toolkit, review documents and conduct some interviews, it is recommended you allow at least 1.5 to 2 days.
- 3** How participants will be briefed – to ensure they understand why they are there and what the workshop is about.

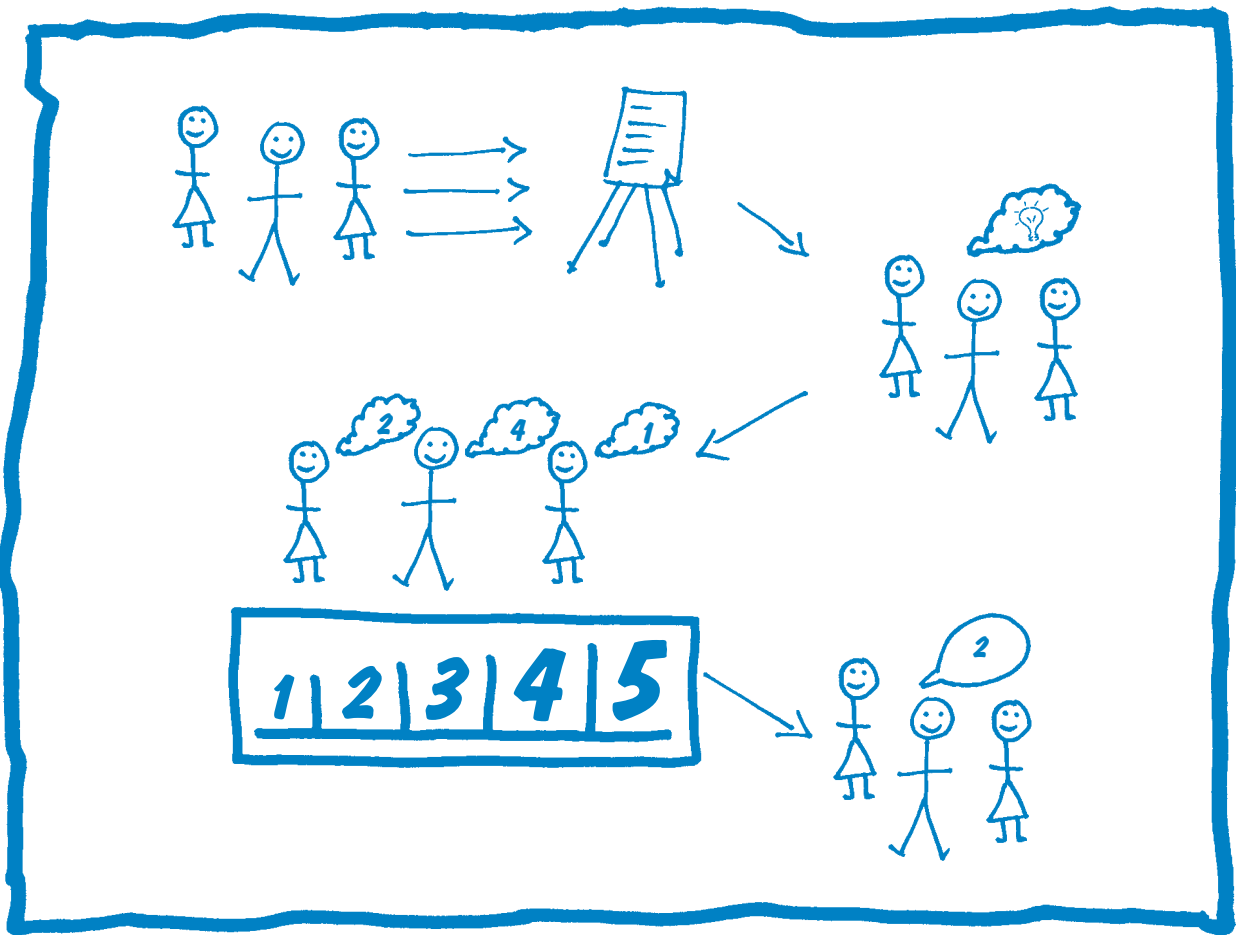
## Preparation, materials and resources

- Flipcharts; marker pens; sticky labels
- Scoring scale showing the scale 1 to 5 on a flipchart sheet
- Handouts for participants of the indicators for each capacity area to be analysed
- A co-facilitator or documentor will be valuable to record qualitative discussions.

## Session format

Each session follows a similar format:

- Participants come up with relevant information about the organisation, in a group discussion.
- The group analyses the information through participatory activities or discussion.
- Each participant will then think for themselves how he/she would score the organisation on a scale of 1 to 5, for that capacity.
- Keeping individual scores anonymous, the group discusses and decides together what to score the organisation.
- Guidance is provided in the toolkit for facilitating a group of participants from different NGOs. Participants should be given time at the end of each session to reflect in private, how they would score their organisation, with colleagues only from their own NGO.



## Suggested facilitation agenda

The discussion sessions are intended to be flexible, and may vary in length depending on the size and complexity of the NGO. In some cases, it may be possible to complete the whole analysis in a day and a half, in other cases it may take a full two days to run the workshop.

The following is only a suggested agenda. It assumes that:

- the session on Partnerships is often the least controversial, easiest to engage with and so could come first
- the session on Promotion of participation of people living with HIV/AIDS and other affected communities requires honest self-evaluation from participants, and so is best done once the group is comfortable with the process and has established trust with the facilitator.

### Suggested agenda

#### Day 1

**9.00 - 10.00**

Introducing capacity

**10.00 - 11.15**

Partnerships, referral systems and co-ordination

**11.15 - 11.30**

*Tea Break*

**11.30 - 1.00**

HIV/AIDS technical capacity

**1.00 - 2.00**

*Lunch*

**2.00 - 3.30**

Organisational strength

**3.30 - 3.45**

*Tea break*

**3.45 - 5.00**

Organisational strength continued

#### Day 2

**9.00 - 10.00**

Promotion of participation of people living with HIV/AIDS and affected communities

**10.00 - 10.15**

*Break/energiser*

**10.15 - 11.15**

Evidence- and consultation-based advocacy

**11.15 - 11.30**

*Break*

**11.30 - 1.00**

Review and plan for action

**After lunch**

Document review and debrief management

**Aim**

To introduce participants to the concept of capacity and the way it will be analysed during the workshop.

**Introduction**

This session should be used to introduce participants, and to discuss aims, objectives, expectations, ground rules and an outline of the workshop. Participants should also be introduced to the concept of capacity and how different types of capacity are relevant for their organisation and how these will be analysed in the workshop. This is particularly important as participants will be drawn from different backgrounds. They may have different perspectives on organisational aspects of the organisation, and this may be the first time they have been asked to discuss them openly in front of the management and leadership of the NGO.

**Materials****Timing: 1 hour**

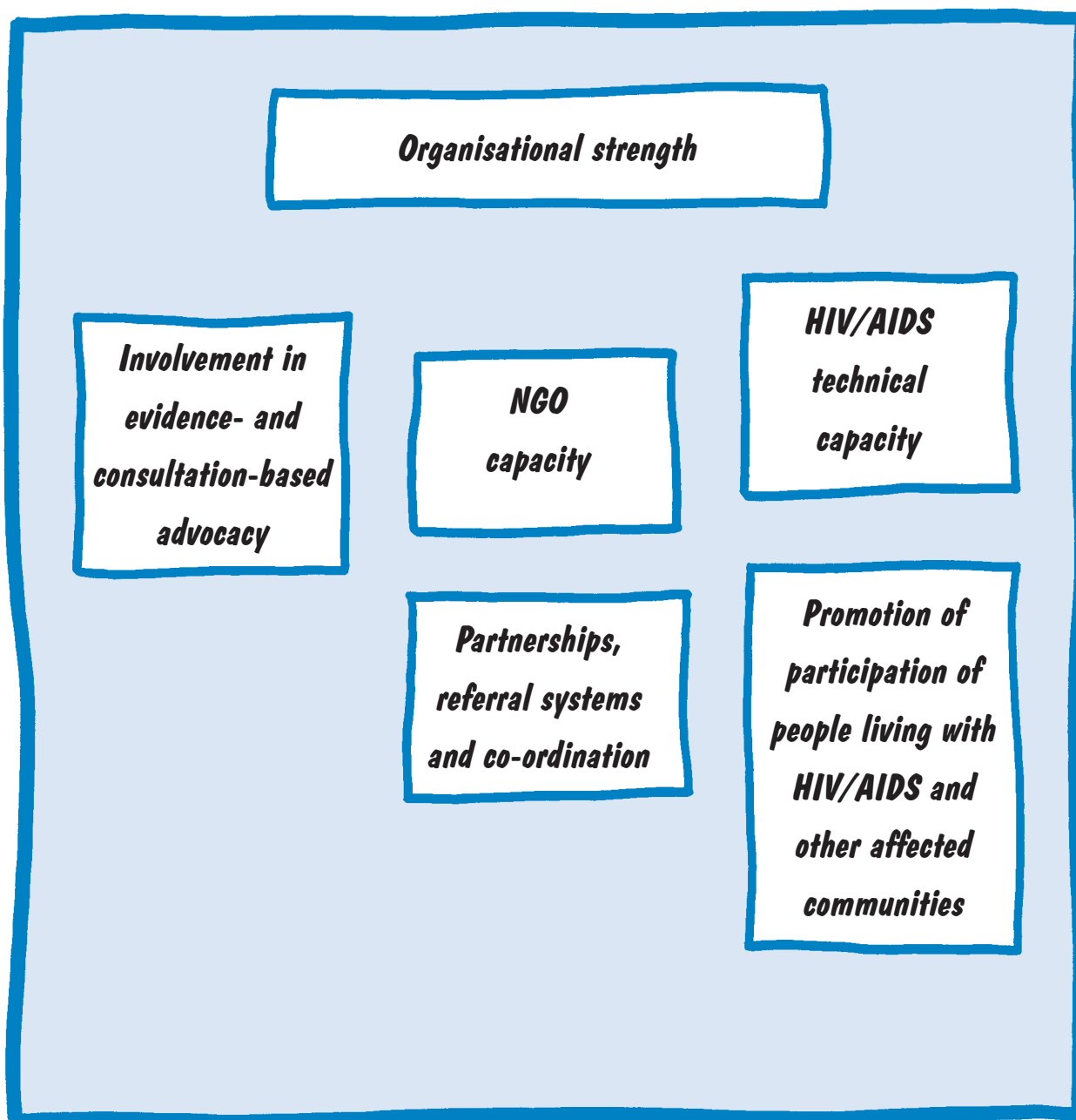
Goal and objectives written on flipcharts; diagram of the areas of capacity on flipchart/poster.

**Guidance**

- 1 Start with brief introductions and expectations. Discuss goals and objectives of the workshop, ground rules and confidentiality.
- 2 Discuss with participants what they understand by capacity (use the notes in the introduction to the toolkit – What is capacity?). Ask participants to write their understanding of the different elements or types of capacity on separate sticky labels, stick these up on a wall and then work together to group the labels into categories.
- 3 Show the areas of NGO capacity that will be analysed in this workshop and discuss their meaning and relevance for the group.
- 4 Compare these categories to the participants' grouping of responses:
  - ? Did the participants suggest any capacities that do not fit into any of the boxes?
  - ? Do any of the boxes represent capacities that were not suggested by participants?
- 5 Most of the participants' suggestions may fall under Organisational Strength; or HIV/AIDS Technical Capacity – traditional ways of understanding capacity. Explain any areas of capacity new to them.
- 6 Are there any participants' suggestions that do not fit into any of the boxes, or will not be covered by the workshop? Discuss if and how they could be assessed for the NGO (this could be done in the final session).
- 7 Describe the outline/agenda of the workshop, the different sessions to look at each area of capacity and a final session to develop action plans.
- 8 Explain how each session will work:
  - discussion and analysis of relevant information
  - individual scoring of indicators and group scoring of indicators.
  - Explain how participants will be asked to score capacities in each session, first individually and privately, then collectively as a group.

## Notes

- To get participants to understand and practice the approach to scoring themselves, work through an easy example, such as rating their cooking skills. On a scale of 1-5, if 1 meant a person couldn't cook at all, or could only cook rice (or some other simple local dish), but 5 indicated the ability to cook a big meal for a party of 30 people, ask each participant how they would score their own ability to cook.
- Remind them they need to be honest and realistic. The programme is committed to strengthening weak areas, thus low scoring is not 'bad', but reflects areas the organisation can develop in the future.
- The tool should only be used to indicate levels of capacity. It is up to the NGO to decide where and how it wants to develop capacity. Use the cooking example: if someone doesn't need to cook, they shouldn't feel bad about not being able to cook and having a low score for it. However, this process may make them realise that they need to cook better or more often and so should develop their skills in that area.



### Aim

To analyse and reflect upon the different relationships, partnerships and referrals systems the NGO has and evaluate these for the organisation.

### Introduction

In this session, participants are asked about the different relationships their NGO has with other organisations. The session looks at different types of relationships, including personal contacts, memberships of networks and fora, referral systems, exchange and learning programmes and collaborative or joint projects. Participants can reflect on the importance of these, identify new opportunities and evaluate their capacity for developing such relationships.

### Materials

Relationships index; 1-5 scoring scale.

**Timing: 1 hour 15 minutes**

### Guidance

- 1 Introduce the capacity area suggested by the title. What does it mean and why might it be important?
- 2 Ask participants to list all the organisations they know of that are involved in HIV/AIDS work and write these up.
- 3 Group the discussion:
  - List all NGOs, starting with local, then regional, and finally national and international.
  - Then list all governmental organisations, first local/municipal, then regional/state, then national.
  - Then ask about all private/for-profit organisations and university/research institutions.
- 4 Record the results as one vertical list on the far left of a flipchart sheet, using as many sheets as necessary.
- 5 Across the top of each flipchart sheet write the letters A, B, C,...through to F. Then draw lines downwards next to each letter to form a grid. Using the flipchart sheets in landscape (i.e. short and wide) will help ensure there is enough space to fit all the letters along the top.
- 6 Hand out copies of the relationships index (see overleaf) or write this up on a flipchart. The relationship index explains what each letter means.
- 7 Explain each of these types of relationships in more detail. Make sure that the group understands the difference between each type of relationship.
- 8 Spread the flipchart sheets around and ask participants to walk around in pairs and review the grids on each sheet. Ask them to tick every box where there is some type of relationship that they have with each organisation.
- 9 Now ask them to think about what relationships they want to have with each organisation. Do the exercise again, but this time put a circle in each box to indicate the desired relationship with each organisation.
- 10 Ask participants: (write the responses on a flipchart to record later)
  - ! to explain any circles, i.e. relationships they have indicated that they want to have
  - ! how they would develop such relationships
  - ! whether the NGO participates in any networks/coalitions/advisory panels.

- 11** Ask participants about referrals:
- ? Does the NGO make any kind of referrals?
  - ? Does the NGO have a functioning referral system? How does this work? How is it reviewed? How are referrals followed up and evaluated?
- 12** Distribute and score the indicators for this capacity.

## Notes

- Explain the difference between casual referrals and an established system. An established referral system with another organisation means that both organisations would record referrals (made and received) and regularly meet to review outcomes.
- If the discussion has produced a long list of organisations (i.e. many sheets) you will need to facilitate a quick way of everyone getting to work on every sheet. Spread the sheets around the room, and ask participants to work in pairs (put old staff with new, so it can be a learning exercise for new staff). Make it a rapid exercise – give participants two minutes per sheet and use a whistle (or something similar) to make them go from one sheet to the next

## Relationship index

- A** Personal contacts with staff from the organisation
- B** Meet with the organisation regularly or as part of a network or forum
- C** Casual referrals sometimes made to this organisation
- D** Established referrals system
- E** Have had exchange visits/learning/sharing lessons
- F** Collaborated together on a project or initiative

## Guidance for facilitation of multi-NGO groups

- \* Come up with the list of known, relevant organisations with all participants in one big group.
- \* When reviewing the grids and identifying relationships they have, ask participants to walk around in groups with colleagues only from their own NGO. Each NGO should use a different colour marker pen (or mark the grids with a different symbol).
- \* It will be valuable for all the NGOs to see the contacts and relationships their peers have – discuss whether any participants can establish new relationships by using the contacts other NGOs have.
- \* Now ask participants to go into groups with colleagues only from their own NGO, and discuss and score the indicators for this capacity in private.
- \* After the private discussions in NGO groups, keep the scores confidential and bring all participants together to facilitate some sharing:
  - Ask any NGO that feels it scored well in this area to explain its strengths to others.
  - Ask if any NGO which is weak in this area feels comfortable sharing this and explaining why to others.
  - Ask if anyone has decided to change their score based on this reflection. If not, move on to the next session.



## Indicators of capacity for partnerships, referral systems and co-ordination

The ability to form successful and productive working relationships with other organisations doing similar or related work, including government agencies, for-profit companies, regulating authorities and other NGOs.

### 3.2.1 Awareness and working relationships with other organisations

Score <b>5</b> if all criteria are met	Score <b>4</b> if 7-8 criteria are met	Score <b>3</b> if 5-6 criteria are met	Score <b>2</b> if 3-4 criteria are met	Score <b>1</b> if 2 or less criteria are met
<ul style="list-style-type: none"> <li>✓ Staff can describe the work &amp; objectives of all organisations doing HIV/AIDS work that operate locally, regionally and nationally.</li> <li>✓ There are personal contacts with over 50% of all national HIV/AIDS organisations.</li> <li>✓ There are personal contacts with over 70% of all regional HIV/AIDS organisations.</li> <li>✓ There are personal contacts with all local HIV/AIDS organisations.</li> <li>✓ NGO has participated in a national or regional forum of organisations at least once in the last year.</li> <li>✓ NGO leads or participates in a local forum of organisations which meets at least every 6 months.</li> <li>✓ Over 50% of staff have participated in an exchange visit with another organisation in the last 2 years.</li> <li>✓ NGO has collaborated on joint projects with at least 3 different organisations in the last 2 years.</li> <li>✓ NGO has existing contracts (to provide or receive funding) with at least 5 different organisations.</li> </ul>				



Participants in Cambodia reviewing all relevant organisations and identifying relationships

Reference: Photo taken at a capacity analysis workshop for Community Development Action, Battambang, Cambodia, August 2004

### 3.2.2 Referrals (i.e. directing clients to other organisations as sources of help and information)

Score <b>5</b> if all criteria are met	Score <b>4</b> if 5 criteria are met	Score <b>3</b> if 4 criteria are met	Score <b>2</b> if 2-3 criteria are met	Score <b>1</b> if 1 or less criteria are met
✓ Front-line staff know of all available services in the area and regularly help clients get access to them.				
✓ Outreach staff carry (or can provide) the IEC material of all other local organisations to guide clients to other services.				
✓ Staff fill out referral cards for clients to take with them to show details of the referral.				
✓ A system is in place to follow up the outcome of referrals made, with both client and service provider.				
✓ The referral system is documented.				
✓ Referral system (& monitoring data) is reviewed with all organisations at least every 6 months.				

#### Guidance on scoring the indicators

- 1 Discuss the indicator first – is it clear?
- 2 Each participant should score the capacity of their organisation (without discussion) and write this score on the back (i.e. sticky side) of a sticky label. These labels act like votes, with each participant’s recommended score for the indicator.
- 3 On a flipchart, draw a scale 1 to 5 and indicate how many votes there are for each score – by sticking the appropriate labels up next to each score. The reason for writing on the **back** of the label is so that when you stick the labels up, the facilitator does not reveal the handwriting of any person, and so keeps the voting confidential.
- 4 If you don’t have sticky labels, use pieces of paper for participants to write their score down, and on the flipchart simply write or mark with a number of ticks, how many votes each score got.
- 5 Looking at the individual votes, the group should decide on a collective score. An average score may be obvious, but if there is a big difference in how people have voted, this might require some discussion.
- 6 Here is one way to facilitate discussion to reach collective agreement:
  - One of the people who voted for the highest score could explain their reasons why.
  - Then one of the people who voted for the lowest score could also explain their reasons. Challenge each other and discuss!
  - Now see if people have changed their minds after listening to these arguments.
  - As a last resort, vote again, and use the score with the most votes.
- 7 **No half-marks allowed!** – this is an easy compromise that might prevent some valuable discussions over disagreements.

## Section 3.3 HIV/AIDS technical capacity of key and front-line staff

### Aim

To analyse and evaluate the technical capacity of key and front-line staff and the ability of the organisation to access and develop new methods and approaches.

### Introduction

This session stresses the importance of technical capacity available to the organisation. HIV/AIDS technical capacity will often be concentrated in a few key people, who will take the responsibility to stay updated and to share knowledge and support others. It is also important that all front-line staff have sufficient technical skills and knowledge to work effectively with clients or beneficiaries. At an organisational level, technical capacity can be improved by retaining key staff and exposing them to new methods and approaches through conferences and external trainings, providing front-line staff with induction and continued training and support, while also ensuring new knowledge is regularly brought into the organisation and shared freely.

### Materials

Scoring scale.

**Timing: 1 hour 30 minutes**

### Guidance

- 1 Introduce the capacity area suggested by the title. What does it mean and why might it be important?
- 2 Discuss and clarify the concept of front-line staff:
  - ! Front-line staff means those dealing directly with clients and beneficiaries.
  - ! Suggest the example of waiters at restaurants – they deal directly with clients. These are front-line staff, unlike the kitchen staff or the management. For the NGO, front-line staff might be peer educators or project staff.
- 3 Ask how many front-line staff the organisation has, and what training is or has been provided to support them. Write this up on a flipchart.
- 4 Discuss and clarify the concept of key staff:
  - ! Key staff means specialists who have dedicated areas of expertise, and to whom other people can go for advice.
  - ! Suggest the example of cooking skills – ask participants who they go to when they want advice on cooking a special or difficult meal?
  - ! In this case, we are looking at expertise in HIV/AIDS technical areas (e.g. monitoring and evaluation) not general technical areas (e.g. M&E, project management, etc).
  - ! Often key staff members are also working at the front line.
- 5 Ask what are the main HIV/AIDS technical areas the NGO needs expertise in for its work now and in the near future. List these on a flipchart.
- 6 Draw a table on a different flip chart with the headings: 'Key staff', 'Expertise', 'Experience', 'Date joined', 'Training & conferences'.

- 7 Now ask participants to help list all key specialist staff in the organisation. The list could also include people who aren't full time staff, but experts who the organisation can consult for advice (e.g. lawyers, doctors who sit on the Board).
- 8 For each key staff person, identify:
  - areas of HIV/AIDS expertise (if they have more than three, list the top three)
  - years of experience working in that technical area (including before they joined the NGO)
  - when they joined/became involved with the NGO
  - any major and relevant training or conferences they have attended since.
- 9 Compare this to the earlier list of HIV/AIDS technical areas the NGO works in. Discuss whether they have key staff with expertise in all the technical areas the NGO needs, now and in the near future.
- 10 Distribute and score the indicators for this capacity.

### ***Guidance for facilitation of multi-NGO groups***

- \* Facilitate the general discussion about the concepts of key and front-line staff with all participants in one big group. Ask participants to share with everyone what type of training they provide to their front-line staff.
- \* Provide the handout with a table to identify key staff. Ask participants to fill this out in groups of colleagues from the same NGO.
- \* Now ask participants to stay in the same groups, and discuss and score the indicators for this capacity in private.
- \* After the private discussions in NGO groups, keep the scores confidential and bring all participants together to facilitate some sharing.
  - Ask any NGO that feels it scored well in this area to explain its strengths to others.
  - Ask if any NGO that is weak in this area feels comfortable sharing this and explaining why to others.
  - Ask if anyone has decided to change their score based on this reflection. If not, move on to the next session.

### HIV/AIDS technical capacity of key staff in the organisation

Major HIV/AIDS technical areas for your organisation (e.g. youth prevention, home-based care, etc.)

Key staff	Expertise (top three areas of HIV/AIDS expertise)	Experience (number of years working in specific technical area)	Date joined/ (when joined/ became involved with the NGO)	Training & conferences (major and relevant training or conferences attended)

## Indicators of capacity for HIV/AIDS technical capacity of key and front-line staff

The level of HIV/AIDS experience, knowledge and skills and access to further resources.

### 3.3.1 Experience, knowledge and skills

Score <b>5</b> if all criteria are met	Score <b>4</b> if 5 criteria are met	Score <b>3</b> if 4 criteria are met	Score <b>2</b> if 2-3 criteria are met	Score <b>1</b> if 1 or less criteria are met
<ul style="list-style-type: none"> <li>✓ Each key specialist has at least 2 years' experience working in the specific HIV/AIDS area the NGO operates in.</li> </ul>				
<ul style="list-style-type: none"> <li>✓ All key staff regularly update their knowledge and skills, attending at least 2 conferences/trainings per year.</li> </ul>				
<ul style="list-style-type: none"> <li>✓ At least 2 technical specialists relevant to HIV/AIDS work (e.g. clinical, academic, public health) serve on the Board or provide regular voluntary support to the NGO.</li> </ul>				
<ul style="list-style-type: none"> <li>✓ All front-line staff have received basic HIV/AIDS awareness training.</li> </ul>				
<ul style="list-style-type: none"> <li>✓ All front-line staff have been trained in the basic skills needed for the specific HIV/AIDS areas in which the NGO operates (e.g. STI referral, peer education, home-care, etc).</li> </ul>				
<ul style="list-style-type: none"> <li>✓ Over 70% of front-line staff have received at least 5 days' formal training relevant to the specific HIV/AIDS areas in which the NGO operates, in the last year (in addition to awareness and basic skills).</li> </ul>				

### 3.3.2 Access to technical resources and knowledge

Score <b>5</b> if all criteria are met	Score <b>4</b> if 6 criteria are met	Score <b>3</b> if 5 criteria are met	Score <b>2</b> if 3-4 criteria are met	Score <b>1</b> if 2 or less criteria are met
<p>✓ Staff can access up-to-date HIV/AIDS technical resources, books and information at the NGO or somewhere nearby.</p>				
<p>✓ The NGO can name a person/organisation for each HIV/AIDS technical area it operates in, that it communicates with at least every 3 months, to get extra technical knowledge.</p>				
<p>✓ The NGO has internet access in its own offices.</p>				
<p>✓ The NGO subscribes to regular relevant journals and email-based updates on HIV/AIDS issues.</p>				
<p>✓ The NGO has its own library of technical resources.</p>				
<p>✓ The NGO has its own resource centre managed by dedicated staff and regularly used by people outside the NGO for research.</p>				
<p>✓ All key specialist staff each have their own access to the internet.</p>				

#### Guidance on scoring the indicators

- 1 Discuss the indicator first – is it clear?
- 2 Each participant should score the capacity of their organisation (without discussion) and write this score on the back (i.e. sticky side) of a sticky label. These labels act like votes, with each participant's recommended score for the indicator.
- 3 On a flipchart, draw a scale 1 to 5 and indicate how many votes there are for each score – by sticking the appropriate labels up next to each score. The reason for writing on the **back** of the label is so that when you stick the labels up, the facilitator does not reveal the handwriting of any person, and so keeps the voting confidential.
- 4 If you don't have sticky labels, use pieces of paper for participants to write their score down, and on the flipchart simply write or mark with a number of ticks, how many votes each score got.
- 5 Looking at the individual votes, the group should decide on a collective score. An average score may be obvious – but if there is a big difference in how people have voted, this might require some discussion.
- 6 Here is one way to facilitate discussion to reach collective agreement:
  - One of the people who voted for the highest score could explain their reasons why.
  - Then one of the people who voted for the lowest score could also explain their reasons. Challenge each other and discuss!
  - Now see if people have changed their minds after listening to these arguments.
  - As a last resort, vote again, and use the score with the most votes.
- 7 **No half-marks allowed!** – this is an easy compromise that might prevent some valuable discussions over disagreements.



***Your Notes***

**Aim**

To analyse and evaluate the organisational capacity of the NGO.

**Introduction**

In this session, participants are asked to consider and discuss statements that represent good practice in different aspects of a well managed organisation. Some large and complex NGOs could have long and meaningful discussions over each statement, while for other small organisations many may not seem relevant. The exercise covers a broad range of issues in a short space of time, but allows for shared group learning to improve everyone's understanding of where there may be gaps and where the NGO can benefit from organisational development.

**Materials****Timing: 2 hours 30 minutes**

Discussion statements photocopied and cut up into strips, Scoring scale.

**Guidance**

- 1 Introduce the capacity area suggested by the title. What does it mean and why might it be important?
- 2 Divide participants into two groups. Try to get a balance of seniority and experience in each group.
- 3 Ask the Executive Director and the person responsible for administration of the NGO (if separate) not to participate in the groups but to keep themselves available as information resources to be consulted by either of the groups.
- 4 Ask each group to take a flipchart sheet and draw lines to split it into three columns, headed: 'Completely True', 'Partly True', 'Not True'.
- 5 Distribute the discussion statements for 3.4.1: Governance, strategy & organisational structure to one group and 3.4.2: Human resources & administration to the other group. Ask the groups to discuss each statement and stick it in the relevant column of the flipchart.
- 6 There may be areas where participants are unsure, for example on the functioning of the Board, compliance with local regulations, etc. Encourage them to consult with the Executive Director or manager of administration as necessary.
- 7 Bring everyone back together and ask each group to present their findings. After these presentations, score indicators 3.4.1 and 3.4.2.
- 8 Now do the same for indicators 3.4.3 and 3.4.4.

## Notes

- ✦ If the workshop group is too small, or participants do not have enough knowledge or background to complete this exercise in sub-groups, this activity could be done with everyone together, one indicator at a time.
- ✦ It is suggested that the Director and manager of administration are kept out of the sub-groups to encourage open discussion within the groups. Otherwise participants may be afraid of criticising or offending anyone. Also, participants may not be familiar with all organisational systems, and so both groups will need to ask the Director or manager of administration questions in order to complete the exercise.
- ✦ Often the participants may place statements in the true column without much thought – but facilitators should challenge the group to look carefully at the wording in the whole statement and consider whether it is completely true.

For example:

All necessary project reports are completed and sent to donors on time.

Do **all** necessary project reports **always** get completed? Do they **always** get to the donor **on time**?

## Guidance for facilitation of multi-NGO groups

- \* Get participants to work in groups with colleagues only from their own NGO, to discuss each set of discussion statements.
- \* Now ask participants to stay in the same groups, and discuss and score the indicators for the capacity in private.
- \* After the private discussions in NGO groups, keep the scores confidential and bring all participants together to facilitate some sharing:
  - Ask any NGO that feels it scored well in this area to explain its strengths to others.
  - Ask if any NGO which is weak in this area feels comfortable sharing this and explaining why to others.
  - Ask if anyone has decided to change their score based on this reflection. If not, move on to the next session.



Participants using discussion statements to review organisational practices in their own NGO

Reference: Photo taken at a capacity analysis workshop for Community Development Action, Battambang, Cambodia, August 2004

**3.4.1 Governance, strategy and structure**

An independent board/committee (or some other system) supervises management and takes responsibility for all actions of the NGO. This system is governed by a documented constitution/by-laws.

The board has at least six voluntary (unpaid) members with limited terms of office (e.g. only appointed for 2 years)

The board has representatives from the community and from beneficiary groups. No more than 75% of board members are of one gender.

At least 70% of board members meet every 3 months.

Board members fundraise for the NGO and can provide legal, medical and management advice.

The NGO has a written and costed strategic plan that has been revised within the last 3 years.

Board members, staff and volunteers all know the strategic values, vision and mission of the organisation.

All annual workplans and budgets are developed in line with the strategic plan.

The NGO has a documented organisational structure (organogram).

Management delegate tasks and share information with everyone through regular meetings and do not try to do everything by themselves.

The NGO is properly registered according to local regulations. The board and management ensure the NGO complies with all local reporting, tax and labour requirements.

### 3.4.2 Human resources and administration

It is clear who is responsible for administrative work, such as paperwork, office maintenance, transport, paying suppliers, organising events and workshops.

The procedures for administrative tasks are understood by everyone and always followed.

All administrative procedures are documented in a manual.

There is a policy for recruitment, including how:

- positions are filled (internally and externally)
- people are interviewed
- job offers are made.

This policy is documented.

There is a policy on salaries and promotions, including how:

- salaries are structured
- pay rises are given
- promotions are made.

This policy is documented.

All job descriptions are:

- clearly defined
- documented
- regularly reviewed.

There are clear procedures for how:

- the work of staff is evaluated
- feedback is given.

These procedures are documented.

There are clear procedures for how:

- staff are disciplined
- staff make grievances against the NGO.

These procedures are documented.

There are clear procedures for how volunteers are managed, including:

- recruitment & induction
- training
- payment of incentives/stipends.

These procedures are all documented.

Policies exist to:

- ensure non-discrimination and support
- minimise risk of spread of infection for HIV+ staff
- ensure staff are fully aware of HIV.
- between staff members

These policies are documented.

There is a clear policy for training and development, including:

- identifying training needs of staff
- providing for study leave if possible
- providing financial support if possible.

This policy is documented.

### 3.4.3 Programme management, monitoring, evaluation & reporting

All projects follow all stages of the project cycle:

- needs assessment
- project planning & budgeting
- regular monitoring
- re-planning of projects based on evaluation outcomes.
- project design & indicator development
- evaluation of project and outcomes

All stages of the project cycle are done in consultation with all stakeholders, including all project staff and members from the community.

Projects and programmes are developed in line with the strategic mission, goals and objectives of the organisation.

Indicators have been identified for each objective/goal. All objectives are SMART (Specific, Measurable, Achievable, Relevant, Time-based).

All projects have documented workplans. These are reviewed against activity and updated between staff and management at least every 3 months.

All projects have documented budgets. These are reviewed against expenditure and updated between staff and management at least every 3 months.

The NGO has a monitoring and evaluation system:

- Project staff collect and submit accurate monitoring data on time.
- Collected data is summarised, analysed and produced in reports at least every 3 months.
- Monitoring reports are used by project staff and managers to review and update workplans at least every 3 months.

The M&E system is clearly documented and functions fully.

All necessary project reports are completed and sent to donors on time.

The NGO completes evaluation reports at the end of every project and distributes these to relevant audiences including management, the board and donors.

Project reports are compared to financial expenditure reports to ensure activity matches with expenditure.

Project teams all meet (or communicate) at least once a week to review and co-ordinate work.

### 3.4.4 Financial management and sustainability

All financial transactions are recorded with relevant receipts and supporting documentation.

All staff clearly understand the procedures for how:

- income is received and accounted for
- staff purchase goods
- suppliers are paid
- money is held in bank accounts
- staff claim expenses
- staff are paid salaries.

All these financial policies and procedures are documented in a manual.

Project staff plan and budget for their own projects themselves.

Management prepare an overall budget for the organisation as part of the annual planning process.

Systems are in place to prevent fraud, such as:

- two signatures required for every cheque
- strict procedures for purchase of goods/services.
- regular audits of stock/inventory

All expenditure is accounted for under different account categories and different donors funds.

Management compare expenditure against budgets for projects and overheads at least every 3 months and investigate any variances with staff.

An external audit is conducted at least every 18 months and includes a review of management practices. Recommendations made in audits are implemented.

The NGO always has enough cash to pay for things on a day-to-day basis.

The main funding source (donor) of the NGO provides no more than 65% of the NGOs total funds. The NGO has developed many different sources of income including the local community.

The NGO has the capacity to develop successful proposals and wins over 50% of the bids it applies for.

The NGO tries to ensure its programmes and services will be sustained by the community when its funding runs out.

The NGO engages in external relations with the community, the media, networks and coalitions of organisations.

Funders and external organisations invite the NGO to contribute to discussions and policy development.



## Indicators of capacity for organisational strength

The systems, structure and culture in the organisation to deliver and maintain long term performance and sustainability.

### 3.4.1 Governance, strategy and structure

Score <b>5</b> if all criteria are met	Score <b>4</b> if 5 criteria are met	Score <b>3</b> if 4 criteria are met	Score <b>2</b> if 2-3 criteria are met	Score <b>1</b> if 1 or less criteria are met
✓ The NGO has an independent Board governed by a documented constitution.				
✓ The NGO is properly registered according to local regulations.				
✓ The Board is diverse, representative and provides technical expertise.				
✓ The Board is effective and committed to the NGO.				
✓ The NGO has a documented, up-to-date strategic plan, clearly understood by all staff and used in planning.				
✓ The organisational structure is effective for delegating responsibility and sharing information between staff.				

### 3.4.2 Human resources and administration

Score <b>5</b> if all criteria are met	Score <b>4</b> if 5 criteria are met	Score <b>3</b> if 4 criteria are met	Score <b>2</b> if 2-3 criteria are met	Score <b>1</b> if 1 or less criteria are met
✓ Administrative responsibilities are well understood, documented and followed.				
✓ All procedures for managing Human Resources (of staff and volunteers) are well developed and documented.				
✓ All staff have clear job descriptions that are documented, regularly reviewed and relevant to their actual jobs.				
✓ There is a documented system for reviewing and managing performance of staff and volunteers.				
✓ The NGO has a HIV/AIDS workplace policy in place.				
✓ Training and development is based on a systematic needs analysis and well supported by the NGO, which provides time off and financial support.				



### 3.4.3 Programme management, monitoring, evaluation & reporting

Score <b>5</b> if all criteria are met	Score <b>4</b> if 6-7 criteria are met	Score <b>3</b> if 5 criteria are met	Score <b>2</b> if 3-4 criteria are met	Score <b>1</b> if 2 or less criteria are met
<ul style="list-style-type: none"> <li>✓ Project management is well understood and followed at every stage of the project cycle in consultation with all stakeholders.</li> <li>✓ All programmes are in line with the strategic goals.</li> <li>✓ Indicators are developed at the project design stage of every project.</li> <li>✓ Information on indicators is collected regularly for all projects.</li> <li>✓ All projects have workplans and budgets that are regularly reviewed at least every 3 months.</li> <li>✓ The NGO has a fully documented M&amp;E system.</li> <li>✓ Periodic monitoring reports and end-of-project evaluation reports are always completed and sent to stakeholders and donors on time.</li> <li>✓ Work is organised and information shared through regular staff meetings and other channels of communication.</li> </ul>				

### 3.4.4 Financial management and sustainability

Score <b>5</b> if all criteria are met	Score <b>4</b> if 7-9 criteria are met	Score <b>3</b> if 5-6 criteria are met	Score <b>2</b> if 3-4 criteria are met	Score <b>1</b> if 2 or less criteria are met
<ul style="list-style-type: none"> <li>✓ There are financial policies in place to control use of money, prevent fraud and ensure accountability.</li> <li>✓ All financial procedures are well documented.</li> <li>✓ There have been no cases of fraud or misuse of funds in the last two years.</li> <li>✓ Managers are responsible for the sanctioned budgets of their projects.</li> <li>✓ An annual budget is prepared for the NGO as a whole.</li> <li>✓ An audit is completed at least every 18 months by an independent organisation or donor.</li> <li>✓ The NGO reports expenditure on projects separately to more than one different donor and for several different budgets.</li> <li>✓ The NGO has not run short of cash to pay suppliers or salaries in the last 2 years.</li> <li>✓ The NGO is financially sustainable with a diverse funding base.</li> <li>✓ The NGO is credited for its work by external stakeholders (e.g. by community leaders/ meetings, media, profiled by donors, etc).</li> </ul>				

#### Guidance on scoring the indicators

- 1 Discuss the indicator first – is it clear?
- 2 Each participant should score the capacity of their organisation (without discussion) and write this score on the back (i.e. sticky side) of a sticky label. These labels act like votes, with each participant’s recommended score for the indicator.
- 3 On a flipchart, draw a scale 1 to 5 and indicate how many votes there are for each score – by sticking the appropriate labels up next to each score. The reason for writing on the **back** of the label is so that when you stick the labels up, the facilitator does not reveal the handwriting of any person, and so keeps the voting confidential.
- 4 If you don’t have sticky labels, use pieces of paper for participants to write their score down, and on the flipchart simply write or mark with a number of ticks, how many votes each score got.
- 5 Looking at the individual votes, the group should decide on a collective score. An average score may be obvious – but if there is a big difference in how people have voted, this might require some discussion.
- 6 Here is one way to facilitate discussion to reach collective agreement:
  - One of the people who voted for the highest score could explain their reasons why.
  - Then one of the people who voted for the lowest score could also explain their reasons. Challenge each other and discuss!
  - Now see if people have changed their minds after listening to these arguments.
  - As a last resort, vote again, and use the score with the most votes.
- 7 **No half-marks allowed!** – this is an easy compromise that might prevent some valuable discussions over disagreements.

*Your Notes*

## Section 3.5 Promotion of participation of people living with HIV/AIDS and other affected communities

### Aim

To analyse and evaluate the level of participation of people living with HIV/AIDS and other affected communities within the organisation and the extent to which the organisation promotes their further participation.

### Introduction

This session is based on an initial survey to discover the level of participation of people living with HIV/AIDS and other affected communities within the organisation. In the context of prevention work, affected communities might mean groups that play an important role in epidemic dynamics. In the context of impact mitigation work, the relevant affected communities for the NGO might be orphans and vulnerable children, or other groups vulnerable to the effects of HIV/AIDS. Ensuring the maximum possible participation of affected communities, and more generally anyone the NGO works with, is an important capacity to develop and can contribute to successful outcomes in its work. Participants are asked to think about the challenges to promoting greater participation and how these could be overcome.

### Materials

**Timing: 1 hour**

Scoring scale.

### Guidance

- 1 Introduce the capacity area suggested by the title. What does it mean and why might it be important?
- 2 Ask participants what are the relevant affected communities for their work?
- 3 Draw a table on a flipchart showing the different levels of staff in the organisation, with two columns, headed: 'Total' and 'Affected Communities' – one for how many people in total there are at each level (e.g. there may be nine members on the board) and the other to show how many of those are from affected communities.
- 4 Ask participants for the information to fill the staff numbers into the columns.
- 5 Calculate approximate percentages next to the table to show what percentage of people at each level are from affected communities.
- 6 Draw blocks in rough proportion to the percentages.

	Total	Affected Communities	
Board	9	1	12%
Advisory groups	35	5	15%
Management	5	0	0%
Project staff	17	0	0%
Auxillary/support staff	6	0	0%
Volunteers	93	93	100%

- 7** Ask what different types (e.g. men who have sex with men, people living with HIV/AIDS, orphans and vulnerable children, etc.) of communities are involved with the organisation. Colour in the blocks in proportion, with different colours to represent each group.
- 8** Ask participants:
  - ?** Do you have enough people from affected communities in the organisation?  
Also consider:
    - What does ‘enough’ mean for them?
    - What type of organisation is it?
    - What type of work does it do?
  - ?** Do you have enough people living with HIV/AIDS or from other affected communities at decision-making levels in the organisation? Also consider:
    - The shape – is it a pyramid? Why are there no communities represented at levels of decision making?
    - If there was more representation at higher levels (e.g. the Board), would this encourage more recruitment from affected communities at lower levels?
  - ?** Do you have enough different types of affected communities represented in the organisation? Also consider:
    - Which communities does the NGO work with, directly and indirectly?
    - Are some communities served by other NGOs in the area?
- 9** Now draw four columns on a new flipchart, headed: ‘Challenges’, ‘Actions’, ‘Past’, ‘Future’.
- 10** In the first column, brainstorm all the challenges that the NGO perceives in recruiting/involving people living with HIV/AIDS and other affected communities.
- 11** In the next column, against each challenge ask what the NGO could do to make it easier for people living with HIV/AIDS and other affected communities to become involved. Keep the discussion about actions the NGO itself could take (e.g. changing its working practices, the way it recruits/interviews, the way it trains/inducts).
- 12** Now ask which of these ‘Actions’ the NGO has actually taken in the ‘Past’, or at least plans to do in the ‘Future’? For each one, mark with a tick, otherwise, mark with a cross.
- 13** Distribute and score the indicators for this capacity.

## Guidance for facilitation of multi-NGO groups

- \* Ask participants to work in groups with colleagues only from their own NGO to analyse the number of people living with HIV/AIDS and other affected communities at each level of the organisation. Working in smaller groups, participants could draw and colour in blocks to show the level of participation in their organisation.
- \* When presenting back to the larger group, identify some of the NGOs that seem to have high levels of participation. Ask participants from those NGOs to share:
  - ? Why is participation of people living with HIV/AIDS and other affected communities so important for their NGO?
  - ? Does it improve/affect their work in any way?
  - ? How have they achieved such high levels of participation?
- \* Now discuss some of the 'Challenges' and 'Actions' for recruiting and involving people living with HIV/AIDS and other affected communities, with all participants in one large group.
- \* Now ask participants to go back to the groups with colleagues only from their own NGO, and discuss and score the indicators for the capacity in private.
- \* After the private discussions in NGO groups, keep the scores confidential and bring all participants together to facilitate some sharing:
  - Ask any NGO that feels it scored well in this area to explain its strengths to others.
  - Ask if any NGO which is weak in this area feels comfortable sharing this and explaining why to others.
  - Ask if anyone has decided to change their score based on this reflection. If not, move on to the next session.

## Indicators of capacity for promotion of participation of people living with HIV/AIDS and other affected communities

The promotion of participation of people living with HIV/AIDS and other affected communities in projects, staff, management and decision-making structures within and outside the NGO (such as networks and advisory groups).

### 3.5.1 Level and range of involvement of people living with HIV/AIDS and other affected communities

Score <b>5</b> if all criteria are met	Score <b>4</b> if 5 criteria are met	Score <b>3</b> if 4 criteria are met	Score <b>2</b> if 3 criteria are met	Score <b>1</b> if 2 or less criteria are met
<ul style="list-style-type: none"> <li>✓ The NGO has worked with a community affected by HIV/AIDS as a specific targeted group for more than 1 year.</li> </ul>				
<ul style="list-style-type: none"> <li>✓ The NGO has more than 1 year's experience of working with/involving at least 2 different affected communities.</li> </ul>				
<ul style="list-style-type: none"> <li>✓ The NGO has recruited people living with HIV/AIDS and other affected communities as volunteers/consultants for more than 1 year.</li> </ul>				
<ul style="list-style-type: none"> <li>✓ The NGO has set up advisory groups of people living with HIV/AIDS and other affected communities to consult with in planning and programme review.</li> </ul>				
<ul style="list-style-type: none"> <li>✓ The NGO has had people living with HIV/AIDS and other affected communities as paid project staff for more than 1 year.</li> </ul>				
<ul style="list-style-type: none"> <li>✓ The NGO has had people living with HIV/AIDS and other affected communities at decision-making levels (Board/management) for more than 1 year.</li> </ul>				

### 3.5.2 Efforts made to promote involvement of people living with HIV/AIDS and other affected communities

Score <b>5</b> if all criteria are met	Score <b>4</b> if 7-9 criteria are met	Score <b>3</b> if 5-6 criteria are met	Score <b>2</b> if 3-4 criteria are met	Score <b>1</b> if 2 or less criteria are met
<ul style="list-style-type: none"> <li data-bbox="228 422 754 508">✓ The NGO has an equal opportunity policy which is made clear whenever it tries to find or interview new staff.</li> <li data-bbox="228 567 759 653">✓ All job adverts state that people living with HIV/AIDS and other affected communities are actively encouraged to apply.</li> <li data-bbox="228 698 740 814">✓ When paid/voluntary positions become available the NGO actively promotes these to people living with HIV/AIDS and other affected communities.</li> <li data-bbox="228 853 767 998">✓ The NGO has offered to change its working practices (e.g. hours, work from home) to provide the flexibility for people living with HIV/AIDS and other affected communities to become more involved.</li> <li data-bbox="228 1049 770 1166">✓ The NGO has offered training/skills building to support involvement from people living with HIV/AIDS and other affected communities without formal education.</li> <li data-bbox="228 1226 774 1343">✓ The NGO has conducted training to sensitise existing staff to be able to work and respect colleagues from people living with HIV/AIDS and other affected communities.</li> <li data-bbox="228 1386 719 1472">✓ The NGO has confidentiality and non-discrimination procedures that are promoted and enforced with all staff.</li> <li data-bbox="228 1509 724 1625">✓ The NGO has an HIV/AIDS workplace policy designed to protect and support people living with HIV/AIDS working in the organisation.</li> <li data-bbox="228 1673 740 1731">✓ The NGO is financially sustainable with a diverse funding base.</li> <li data-bbox="228 1791 780 1877">✓ The NGO is credited for its work by external stakeholders (e.g. by community leaders/ meetings, media, profiled by donors, etc).</li> </ul>				



## Guidance on scoring the indicators

- 1 Discuss the indicator first – is it clear?
- 2 Each participant should score the capacity of their organisation (without discussion) and write this score on the back (i.e. sticky side) of a sticky label. These labels act like votes, with each participant's recommended score for the indicator.
- 3 On a flipchart, draw a scale 1 to 5 and indicate how many votes there are for each score – by sticking the appropriate labels up next to each score. The reason for writing on the **back** of the label is so that when you stick the labels up, the facilitator does not reveal the handwriting of any person, and so keeps the voting confidential.
- 4 If you don't have sticky labels, use pieces of paper for participants to write their score down, and on the flipchart simply write or mark with a number of ticks, how many votes each score got.
- 5 Looking at the individual votes, the group should decide on a collective score. An average score may be obvious – but if there is a big difference in how people have voted, this might require some discussion.
- 6 Here is one way to facilitate discussion to reach collective agreement:
  - One of the people who voted for the highest score could explain their reasons why.
  - Then one of the people who voted for the lowest score could also explain their reasons. Challenge each other and discuss!
  - Now see if people have changed their minds after listening to these arguments.
  - As a last resort, vote again, and use the score with the most votes.
- 7 **No half-marks allowed!** – this is an easy compromise that might prevent some valuable discussions over disagreements.

## *Your Notes*



## Section 3.6 Involvement in evidence- and consultation-based advocacy

### **Aim**

To analyse and evaluate the skills and experience of the NGO in conducting effective evidence- and consultation-based advocacy.

### **Introduction**

Many NGOs may do some advocacy work, exploiting opportunities when they arise, but few fundraise, plan and budget for it as a core part of their activities. Successful advocacy to change the environment for services provided, increase freedom from harassment from people in power, and change legislation that marginalises people living with HIV/AIDS and other affected communities can dramatically improve efforts to prevent or respond to HIV/AIDS. In this session, participants are exposed to some key skills for good advocacy work and reflect upon how well they have applied these skills in previous campaigns.

### **Materials**

**Timing: 1 hour**

Scoring scale.

### **Guidance**

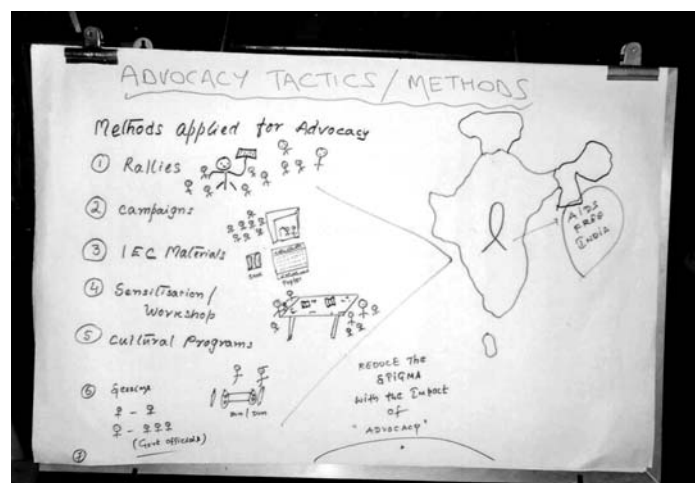
- 1 Introduce the capacity area suggested by the title. What does it mean and why might it be important?
- 2 On the top of three flipchart sheets, write 'Community consultations', 'Evidence-based advocacy' and 'Tactics & methods'.
- 3 Discuss these three elements of advocacy work and why they might be important.
- 4 Ask the group to think about a specific advocacy project/campaign that the NGO did where they used some or all of these approaches.
- 5 Split the participants into three groups. Each group will look at one of these elements. Explain that participants should split up so that each group has someone who knows the project or campaign well.
- 6 Ask each group to design a poster to show the approach they took, for example how they consulted with the community.
- 7 The poster should show what they actually did for a specific project. If they have never taken such an approach (e.g. if they have never done a community consultation) get them to think about how they could do it in the future.
- 8 Distribute and score the indicators for this capacity.

## Notes

- When introducing the session, some NGOs may not recognise the term advocacy, or may not have done much specific advocacy work. If so, ask them to consider any initiatives where they have tried to influence people or institutions with power.
- The following questions could be used as prompts for further discussion about the advocacy campaign. If there are many participants, more groups could be created to produce posters also for:
  - ! Mobilising resources. When resources are limited, much can be achieved by using resources creatively, and mobilising people in the community. How have they done this, or how would they in future?
  - ! Making allies. By building broad coalitions and working with other organisations and people, advocacy campaigns can create a bigger voice and also mobilise many more methods and many more communities. How have they done this, or how would they?
  - ! Building on results. Whether a campaign has been successful or not, the results can always be used to take the campaign further, to try to influence more people or to learn lessons for future advocacy work. How have they done this, or how would they?

## Guidance for facilitation of multi-NGO groups

- \* Facilitate a general discussion with the whole group on Community consultations, Evidence-based advocacy and Tactics & methods. Then split the participants into three groups, trying to ensure that people are separated from colleagues from their own NGO. Ask each group to look at one of these three elements of advocacy work, to share their experiences and to design a poster to demonstrate good practice in this. For example, one group might design a poster demonstrating different types of evidence that can be used in advocacy, or to highlight an instance of how one NGO in the group used evidence to persuade people of its advocacy.
- \* This will allow some participants who have never done advocacy work to learn from others, and should mean that each NGO will have had some opportunity to learn about all three of these elements of advocacy work.
- \* After each group has presented back, ask participants to go into groups with colleagues only from their own NGO, and discuss and score the indicators for the capacity in private.
- \* After the private discussions in NGO groups, keep the scores confidential and bring all participants together to facilitate some sharing:
  - Ask any NGO that feels it scored well in this area to explain its strengths to others.
  - Ask if any NGO which is weak in this area feels comfortable sharing this and explaining why to others.
  - Ask if anyone has decided to change their score based on this reflection. If not, move on to the next session.



Example of a poster demonstrating advocacy tactics and methods. The poster shows tactics and methods applied for an advocacy campaign including rallies, campaigns, IEC materials, sensitisation workshops, cultural programmes, meetings and training sessions.

Reference: Photo taken at a capacity analysis workshop for Vasavya Mahila Mandali, Andhra Pradesh, India, July 2003

## ***Community consultations***

Good advocacy should be based on research and consultations with communities:

- to ensure advocates understand the issues and opinions of those affected and represent them correctly to others
- to ensure advocates are, and are seen to be, advocating for what the community want, not just their own interests
- to build support among the community
- to agree priorities and strategies
- to involve or mobilise the community in the advocacy work itself.

## ***Evidence-based advocacy***

Advocacy is most effective if backed up by evidence or the experiences of working with communities. No-one will be convinced by personal opinions, but it's difficult to argue with hard facts and evidence.

## ***Tactics and methods***

Different methods work better on particular types of institutions and for particular issues. Successful advocacy requires good skills in a variety of methods (e.g. letter writing, meetings, using the media, lobbying, etc) and knowing strategically when each method will work best.

## Indicators of capacity for involvement in evidence- and consultation-based advocacy

The ability to influence a broad range of institutions using evidence and consultations, to promote the interests of the NGO and its beneficiaries.

### 3.6.1 Research, consultation and analysis as a foundation for advocacy work

Score <b>5</b> if all criteria are met	Score <b>4</b> if 4 criteria are met	Score <b>3</b> if 3 criteria are met	Score <b>2</b> if 2 criteria are met	Score <b>1</b> if 1 or less criteria are met
<ul style="list-style-type: none"> <li>✓ The NGO has conducted at least one advocacy project to change the policy or practices of an institution.</li> </ul>				
<ul style="list-style-type: none"> <li>✓ The NGO has conducted research to find evidence (data, publications, what other influential institutions have said) to support its advocacy work.</li> </ul>				
<ul style="list-style-type: none"> <li>✓ The NGO has analysed research and presented evidence to make it relevant and effective for the institutions targeted.</li> </ul>				
<ul style="list-style-type: none"> <li>✓ The NGO has tried to find and network with other organisations to understand how it could collaborate or improve its advocacy campaign.</li> </ul>				
<ul style="list-style-type: none"> <li>✓ The NGO has conducted participatory consultations with communities and affected groups to identify how it should help them through its advocacy work.</li> </ul>				

### 3.6.2 Effective, targeted advocacy work

Score <b>5</b> if all criteria are met	Score <b>4</b> if 4 criteria are met	Score <b>3</b> if 3 criteria are met	Score <b>2</b> if 2 criteria are met	Score <b>1</b> if 1 or less criteria are met
✓ In its advocacy project(s), the NGO identified influential individuals or institutions to target.				
✓ In its advocacy project(s), the NGO partnered with specific community groups and community leaders.				
✓ In its advocacy project(s), the NGO implemented and sustained at least 3 different methods/approaches to achieve its goals.				
✓ In its advocacy project(s), the NGO joined with at least 3 other organisations to work collectively to achieve its goals.				
✓ In its advocacy project(s), the NGO evaluated the results of its advocacy work, and used it to advocate to a wider audience.				

#### Guidance on scoring the indicators

- 1** Discuss the indicator first – is it clear?
- 2** Each participant should score the capacity of their organisation (without discussion) and write this score on the back (i.e. sticky side) of a sticky label. These labels act like votes, with each participant's recommended score for the indicator.
- 3** On a flipchart, draw a scale 1 to 5 and indicate how many votes there are for each score – by sticking the appropriate labels up next to each score. The reason for writing on the **back** of the label is so that when you stick the labels up, the facilitator does not reveal the handwriting of any person, and so keeps the voting confidential.
- 4** If you don't have sticky labels, use pieces of paper for participants to write their score down, and on the flipchart simply write or mark with a number of ticks, how many votes each score got.
- 5** Looking at the individual votes, the group should decide on a collective score. An average score may be obvious – but if there is a big difference in how people have voted, this might require some discussion.
- 6** Here is one way to facilitate discussion to reach collective agreement:
  - One of the people who voted for the highest score could explain their reasons why.
  - Then one of the people who voted for the lowest score could also explain their reasons. Challenge each other and discuss!
  - Now see if people have changed their minds after listening to these arguments.
  - As a last resort, vote again, and use the score with the most votes.
- 7** **No half-marks allowed!** – this is an easy compromise that might prevent some valuable discussions over disagreements.

**Aim**

To review all the capacities analysed, identify strengths and weaknesses and develop plans to build capacity where gaps have been prioritised.

**Materials & preparation****Timing: 1 hour 30 minutes**

Write up all scores for indicators on a flipchart.

**Guidance**

- 1 Ask participants:
  - ? What have they found interesting or new in the workshop so far?
  - ? Has the workshop raised any issues or questions that they want to follow up with each other, after the workshop?
- 2 Show them the scores they have given for each indicator on a flipchart.
- 3 Take two different colours of sticky labels. Get participants to stick one on the indicator where they think the NGO is strongest and the other where they think the NGO most needs to develop. (Each person can use as many labels as they want, but must identify at least one strength and one weakness.)
- 4 First discuss the strengths:
  - ? What does the NGO do to make itself so strong?
  - ? Is it strong enough to provide technical support to others in this area?
- 5 Then discuss weaknesses. Drawing a table as shown below, start with the indicator with the most stickers (i.e. highest priority). Write this up in the first column and then discuss:
  - ? Why has this been stressed as a weakness?
  - ? What action could be taken to strengthen the NGO in this area?
  - ? How urgent is it?
  - ? Who will take responsibility for this? Do they need external help, or is it something they can develop themselves?
  - ? Are there any resources that could help in this?
- 6 Do the same with all weaknesses identified and put together an action plan. See the example below.
- 7 Discuss what the next steps should be:
  - When the report will be written and how it will get distributed.
  - If you plan to conduct any follow-up interviews with other stakeholders.
  - How you will agree conclusions and the action plan with management.
  - How to follow up on the actions agreed. Suggest that participants could set up a capacity building working group to meet regularly to monitor and implement the action plan.

**Thank the group for its participation.**



## Guidance for facilitation of multi-NGO groups

- ★ Facilitate a general discussion with the whole group about what they have learned from the analysis; any key strengths or weaknesses about their own organisations that this analysis has highlighted; anything they have learnt from other organisations or want to follow up.
- ★ Ask participants to work in groups with colleagues only from their own NGO, and analyse all the scores they have given their own NGO for the different capacities analysed.
- ★ Using the example of the Capacity Building Action Plan as a handout, ask them to prioritise weaknesses in their own NGOs; determine actions needed to build capacity; identify any help or technical support they might need in this; decide who will be responsible for following up and taking action.
- ★ Allow plenty of time for this work in separate groups. It is important for the facilitators to be able to spend time with each NGO reflecting on their scores and the way they have prioritised their capacity building needs.
- ★ Ask each NGO to come back and report back to the whole group on the plans they have decided. Ask them to highlight in particular the What/How? – the actions they will take to build capacity. This may give valuable ideas to other NGOs.

## Capacity Building Action Plan – Example

<b>Indicator</b>	<b>Need Weakness identified</b>	<b>What/How? Action needed to strengthen weakness</b>	<b>When? Now/Soon/Later</b>	<b>Who? On our own/with others</b>	<b>Resources required</b>
<b>C2</b>	Different groups of volunteers get different incentives/ stipends and this causes arguments.	Even though different donors have different budgets/ allowances, the NGO needs to establish one policy for all projects.	In the next 3 months	Admin manager to suggest, all staff will agree at next staff meeting.	Are there any standard procedures for volunteers that other NGOs use?
<b>A2</b>	No way of following up referrals to see if client has received successful help.	Create register/ note-book to record all referrals made. These can be investigated once a month.	Next week	STI outreach worker to develop and agree with other outreach workers.	None
<b>B2</b>	Etc.				

*Your Notes*



## Section 3.8 Workshop debrief

### **Aim**

For facilitators to meet briefly with management at the end of the workshop, to discuss findings and plan next steps.

### **Materials**

None.

**Timing: 1 hour**

### **Guidance**

- 1** If the facilitators are also completing the document review, review all documents available.
- 2** Discuss whether there are any areas where they would disagree with the score decided in the workshop. Why? Go through and discuss each indicator and record any differences in the report.
- 3** Discuss whether there are any parts of the action plan that they would change or disagree with. Why? These should also be recorded in the report.
- 4** Discuss any feelings or concerns on the overall process. Did they think it was useful?
- 5** Plan immediate next steps. Agree when the final report will be prepared to present back and sign-off (no later than two weeks after the workshop).

### **Guidance for facilitation of multi-NGO groups**

- \* Ensure copies of completed questionnaires (with any comments), completed tables identifying key staff and KP participation, and all action plans are gathered for each NGO.
- \* Agree who will be responsible for writing these up. Ideally this should be the facilitation team, who could prepare individual draft reports that could be sent to each NGO for additional comments and approval. This will help the facilitation team if it is to be involved in supporting capacity building with any of the NGOs in the future, and will also help them evaluate the quality of the analysis and outcomes for future workshops.

*Your Notes*

# Interviews and questionnaires

## Section 4

### *Introduction*

For small or early stage organisations, the analysis can be simplified. Instead of a full workshop, the indicators can be used with the questionnaire template below to interview key members of the organisation or to structure a focus group discussion. For larger organisations, they could be used to conduct interviews outside the workshop, to triangulate findings. When working with a group of NGOs, the questionnaires could be used outside plenary discussions to enable participants to reflect on their particular organisation's capacities, privately.

When conducting interviews, it is important that the interviewer establishes a good trusting relationship with those interviewed. Early-stage organisations will likely score quite low in many of the areas of capacity looked at, and it is important that those interviewed see this in the context of the needs of that particular organisation and its stage of development.

In many cases, the interviewer will have to explain terms and concepts that are only relevant for large and established NGOs. The interviewer should be aware that the discussion will be informative for those interviewed and may instruct them as to areas that their organisation could develop – but it is important to prioritise carefully which are the areas the organisation *should* develop.

This questionnaire template should be used with the indicators for each capacity. For each indicator, ask the interviewee (or group) how they would score their organisation and to give their reasons why.

## Capacities analysis

Name of interviewee(s):

.....

Experience, roles & responsibilities at NGO:

.....

.....

.....

### 3.2 Partnerships, referral systems and co-ordination

3.2.1 Awareness and working relationships with other organisations

1

2

3

4

5

Comments

.....

.....

.....

3.2.2 Referrals (i.e. directing clients to other organisations as sources of help and information)

1

2

3

4

5

Comments

.....

.....

.....

### 3.3 HIV/AIDS technical capacity of key and front-line staff

3.3.1 Experience, knowledge and skills

1
  2
  3
  4
  5

Comments

.....

.....

.....

3.3.2 Access to technical resources and knowledge

1
  2
  3
  4
  5

Comments

.....

.....

.....

### 3.4 Organisational strength

3.4.1 Governance, strategy and structure

1
  2
  3
  4
  5

Comments

.....

.....

.....

3.4.2 Human resources and administration

1
  2
  3
  4
  5

Comments

.....

.....

.....

3.4.3 Programme management, monitoring, evaluation & reporting

- 1
- 2
- 3
- 4
- 5

Comments

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3.4.4 Financial management and sustainability

- 1
- 2
- 3
- 4
- 5

Comments

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***3.5 Promotion of participation of people living with HIV/AIDS and other affected communities***

3.5.1 Level and range of involvement of people living with HIV/AIDS and other affected communities

- 1
- 2
- 3
- 4
- 5

Comments

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3.5.2 Efforts made to promote involvement of people living with HIV/AIDS and other affected communities

- 1
- 2
- 3
- 4
- 5

Comments

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### 3.6 Involvement in evidence- and consultation-based advocacy

3.6.1 Research, consultation and analysis as a foundation for advocacy work

- 1
- 2
- 3
- 4
- 5

Comments

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3.6.2 Effective, targeted advocacy work

- 1
- 2
- 3
- 4
- 5

Comments

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*Your Notes*

# Document review

## Section 5

### **Aim**

To validate and triangulate workshop findings by reviewing the completeness and quality of relevant supporting documents.

### **Introduction**

The checklist below can be used to review organisational documents by the organisation itself or to prepare documents for review by facilitators. Not all of these documents may be held by the NGO or be easily available. Documents might be reviewed for quality, completeness, how recently they have been reviewed or updated and how well they have been disseminated within the organisation. Space is provided to capture comments on each document.

Strategic plan and/or document with vision, mission, goals, objectives, values of the NGO

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Organogram showing the NGO structure and positions that are filled

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Constitution/by-laws of Board of Trustees or management committee

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Fundraising strategy/action plan

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Volunteer policy/procedures

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HIV/AIDS workplace policies

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Human resources procedures manual

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Evidence of a salary system/volunteer expenses system

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Sample job descriptions

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Annual audit report, quarterly and annual financial reports

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Evaluation reports

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Evidence of impact on policy through advocacy work

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Evidence of a monitoring and evaluation system/framework

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Financial policies and procedures

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Monitoring/progress reports

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Documented lessons learned for internal and/or external audiences

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Documented lessons learned for internal and/or external audiences

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Media coverage

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# Capacities report

## Section 6

Once all elements of the report have been written up, this should be sent to the Executive Director of the NGO, for approval. The report should have documented all sections of the process that were carried out, including:

- Organisational profile
- Document review
- Workshop report/Questionnaire reports
- Summary capacity scores
- Conclusions and feedback from management
- Recommendations from facilitator based on overall analysis
- Capacity Building Action Plan

A final interview with the Executive Director should clarify:

- Has capacity been reflected accurately in the report?
- How will they share the findings with the rest of the staff?
- Do they want to share the report with other stakeholders (e.g. donors, Board, etc).
- Immediate next steps and actions.
  - How will the Action Plan be implemented and monitored?
  - Should the organisation set up a Capacity Building Working Group to take responsibility for implementing and monitoring action?
  - What assistance do they need to implement any action points?
  - What technical support can be offered?

Any major changes should be written into the report. Otherwise arrange for the report to be signed and returned by the Executive Director. Arrange for sufficient copies to be made available for the NGO.

# NGO Capacities Analysis Report

## ***NGO/CBO Name, Address, Contact:***

.....

.....

.....

.....

## ***Section A: Approval and sign-off***

### **This report has been written and prepared by:**

(Facilitator's/Documentor's name)

Signed: ..... Date: .....

### **This report has been prepared on behalf of:**

(Organisation sponsoring the analysis)

Signed: ..... Date: .....

(M&E Programme Officer or other representative if different to facilitator)

### **This report has been reviewed and agreed by:**

(NGO/CBO Analysed)

Signed: ..... Date: .....

(Executive Director or other representative)







## Section C: Summary Capacity Scores

	Workshop individual scores	Workshop group score*	Notes (criteria not met by NGO, issues from discussion, differences in management opinion & interviews)
<b>3.2: Partnerships, referral systems and co-ordination</b>			
3.2.1			
3.2.2			
<b>Summary score for 3.2</b> (to be completed by external facilitator based on all evidence gathered)			
Comments/reason for recommended score/issues to follow up			
<b>3.3: HIV/AIDS technical capacity of key and front-line staff</b>			
3.3.1			
3.3.2			
<b>Summary score for 3.3</b> (to be completed by external facilitator based on all evidence gathered)			
Comments/reason for recommended score/issues to follow up			
<b>3.4: Organisational strength</b>			
3.4.1			
3.4.2			
3.4.3			
3.4.4			
<b>Summary score for 3.4</b> (to be completed by external facilitator based on all evidence gathered)			
Comments/reason for recommended score/issues to follow up			

\*Where interviews were also conducted (or conducted instead of the workshop) substitute interview scores.

	Workshop individual scores	Workshop group score*	Notes (criteria not met by NGO, issues from discussion, differences in management opinion & interviews)
<b>3.5: Promotion of participation of people living with HIV/AIDS and other affected communities</b>			
3.5.1			
3.5.2			
<b>Summary score for 3.5</b> (to be completed by external facilitator based on all evidence gathered)			
Comments/reason for recommended score/issues to follow up			
	Workshop individual scores	Workshop group score*	Notes (criteria not met by NGO, issues from discussion, differences in management opinion & interviews)
<b>3.6: Involvement in evidence- and consultation-based advocacy</b>			
3.6.1			
3.6.2			
<b>Summary score for 3.6</b> (to be completed by external facilitator based on all evidence gathered)			
Comments/reason for recommended score/issues to follow up			

\*Where only interviews were conducted replace this section with completed interview questionnaire.

### **Section D: Workshop narrative report**

Document notes on discussions that took place and information arising in each session:

#### **Partnerships, referral systems and co-ordination**

Major collaborations/exchanges with other organisations:

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Participation in networks and coalitions:

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How referral systems work (if any):

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Plans or desires to network with any organisations:

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#### **HIV/AIDS technical capacity of key and front-line staff**

Technical areas the NGO works in and will work in under FPP:

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Training provided for front-line staff:

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Technical capacity:

Key Staff	Areas of expertise	Years and type of experience	Date joined the NGO	Trainings & conferences attended

Key staff that have left the organisation:

.....

.....

.....

***Promotion of participation of people living with HIV/AIDS and other affected communities***

People living with HIV/AIDS and other affected communities represented in the organisation:

Level in organisation	Total number of people	Number of people living with HIV/AIDS and from other affected communities
Board		
Advisory groups		
Management		
Project staff		
Auxiliary/support staff		
Volunteers		



*Your Notes*



# Other capacity analysis resources



**A Composite Framework for Assessing the Capacity of Development Organizations**, prepared for USAID by Jerry VanSant, February, 2000

**Assessing Management Capacity Among Non-Governmental Organizations**, Maurice I. Middleberg, Care Population Program, July 1993

[www.capacity.org](http://www.capacity.org)

**Community Capacity Assessment Tool**, Foster G., 2002

**Demystifying Organisation Development, Practical Capacity-Building Experiences of African NGOs**, James R., 1998, Oxford: INTRAC

**Discussion-Oriented Organizational Self-Assessment (DOSA)**, Pact, Inc and the Education Development Center, 1997

**Enhancing Organizational Performance, A Toolbox for Self-assessment**, Lusthaus C. et al, 1999, IDRC

**Evaluating Capacity Development, Experiences from Research and Development Organizations around the World, International Service for National Agricultural Research (ISNAR)**, The Netherlands; International Development Research Centre (IDRC), Canada; ACP-EU Technical Centre for Agricultural and Rural Cooperation, The Netherlands.

[www.isnar.cgiar.org](http://www.isnar.cgiar.org)

**From the Roots Up: Strengthening Organisational Capacity through Guided Self Assessment**, Peter Gubbels and Catheryn Koss, 2000, World Neighbours Field Guide, World Neighbours, USA

**Institutional Assessment Instrument**, World Learning, September 1995

**Intermediary NGOs: The Supporting Link in Grassroots Development**, Carroll, Thomas F., Kumarian Press. 1992

**Management Assessment Tool**, June 1998, PACT Cambodia

**Management and Organizational Sustainability Tool (MOST)**, Management Sciences for Health,

[www.msh.org](http://www.msh.org)

**Measuring Capacity Building, Brown L. et al, 2001, MEASURE Evaluation**, Carolina Population Center, University of North Carolina at Chapel Hill, USA

**Measuring Community Capacity Building – A Workbook-in-Progress for Rural Communities**, The Aspen Institute Rural Economic Policy Program

**Organisational Capacity Assessment Tool (OCAT)**, PACT Ethiopia, PACT Zambia

**Organisational Capacity Building Monitor**, Asian Partners of the Christian Reformed World Relief Committee

**Participatory Organizational Evaluation Tool (POET)**, Beryl Levinger and Evan Bloom, Education Development Center and Pact, 1988

**Partner Assessment Forms**, Oxfam Australia

**Recent Practices in Monitoring and Evaluation: TIPS: Measuring Institutional Capacity**, 2000, USAID Center for Development Information and Evaluation

**SFPS NGO Assessment Tools**, Santé Familiale et Prévention du SIDA (SFPS)

**Striking a Balance: a guide to enhancing the effectiveness of non-governmental organisations in international development**, Fowler, A., 1997, London: Earthscan

**The Earthscan Reader on NGO Management**, Edwards, M. and Fowler, A. (eds), 2002, London: Earthscan

**USAID Madagascar Institutional Capacity Questionnaire**, USAID Madagascar

**UNAIDS/UNITAR AIDS Competence Programme**, <http://www.unitar.org/acp/>

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