

## ECMP - Organisational Capacity Assessment Tool

**Name of Organisation:**

**Date of Assessment:**


### Organisational Development Scale

**1= Needs very urgent attention**

**2= Needs urgent attention**

**3= Needs many improvements, but without urgency**

**4= Needs to improve some aspects, but without urgency**

**5= Needs some minor adjustments, but without urgency**

**6= No need for improvements**

	<b>First Eval.</b>	<b>Second Eval.</b>	

### A. Governance

#### A1. Mission and Goals

	<b>0.0</b>		<b>0.0</b>
5-1. The Organisation has a Strategic Plan that guides its work over the medium and long-term.	0.0		0.0
5-2. The Organisation has a clearly defined vision and mission that guides all of its work.	0.0		0.0
5-3. The Organisation has a few clearly defined programme goals that are compatible with its mission.	0.0		0.0
5-4. The Board members, staff and beneficiaries of the Organisation have a clear understanding of the Organisation's vision, mission, and goals.	0.0		0.0
5-5. The Organisation actively involves the Board, Fiscal Committee, staff, beneficiaries and other key stakeholders in their planning processes.	0.0		0.0

#### A2. Beneficiary Group

	<b>0.0</b>		<b>0.0</b>
6-1. The Organisation has a clearly defined beneficiary group.	0.0		0.0
6-2. The Organisation's beneficiary group includes Orphans and Vulnerable Children.	0.0		0.0
6-3. The Organisation involves representatives of its beneficiary group(s) as key partners.	0.0		0.0
6-4. The Organisation conducts regular assessments of the needs of its beneficiary groups and the findings are used for planning purposes.	0.0		0.0
6-5. Women and girls are adequately represented among those who benefit from the Organisation's programmes.	0.0		0.0
6-6. The beneficiary group is regularly involved in the Organisation's planning processes	0.0		0.0

#### A3. Leadership

	<b>0.0</b>		<b>0.0</b>
7-1. The Executive Team has a very clear understanding of its responsibilities and its relationship to the Board and the Fiscal Committee.	0.0		0.0
7-2. The Executive Team encourages staff participation in decision-making.	0.0		0.0
7-3. The Organisation's decision-making process is transparent.	0.0		0.0
7-4. The Executive Team delegates decision-making to relevant staff as appropriate.	0.0		0.0
7-5. The Executive Leadership is accessible to the staff.	0.0		0.0
7-6. The Executive Team is conscious of the need to build the Organisational capacity of the Organisation	0.0		0.0

### B. Human Resources

#### B1. Staff

	<b>0.0</b>		<b>0.0</b>
1-1. The personnel recruitment process is clearly defined, competitive, and followed.	0.0		0.0
1-2. Each staff members has a written job description that clearly defines his/her responsibilities, tasks, and reporting relationships.	0.0		0.0
1-3. The staff exercise their functions in accordance with their job descriptions.	0.0		0.0
1-4. The talents, skills and experience of the staff is consistent with the mission and programmes of the Organisation	0.0		0.0

#### B2. Human Resource Development

	<b>0.0</b>		<b>0.0</b>
2-1. The Organisation incorporates staff training as a part of its annual plan.	0.0		0.0
2-2. The staff training plan is based upon the training needs of the Organisation.	0.0		0.0
2-3. The staff training plan is funded.	0.0		0.0
2-4. Staff training is considered a priority for the Organisation.	0.0		0.0
2-5. Once trained staff have many opportunities to put into practice the knowledge acquired	0.0		0.0

#### B3. Internal Work Style

	<b>0.0</b>		<b>0.0</b>
3-1. Staff meetings are held on a regular basis.	0.0		0.0
3-2. Staff participate in executive decisions.	0.0		0.0
3-3. Group work is promoted.	0.0		0.0
3-4. The staff is encouraged to take initiative.	0.0		0.0

#### B4. Gender Issues

	<b>0.0</b>		<b>0.0</b>
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4-1. Men and Women are evenly represented on the staff, within the Executive Team and on the Board and Fiscal Committee	0.0		0.0
<b>B5. Diversity Issues</b>	<b>0.0</b>		<b>0.0</b>
5-1. The management and the staff understand and respect the habits and customs of the beneficiary groups	0.0		0.0
<b>B6. Supervision</b>	<b>0.0</b>		<b>0.0</b>
6-1. Each staff member meets with his or her supervisor at least once a month for orientation and feedback on his/her work.	0.0		0.0
6-2. Staff receive a formal performance evaluation from their supervisor at least once a year.	0.0		0.0
6-3. Promotions and raises are based upon the results of the performance evaluations.	0.0		0.0
<b>C. Financial Management</b>	<b>0.0</b>		<b>0.0</b>
<b>C1. Accounting</b>	<b>0.0</b>		<b>0.0</b>
1-1. The Organisation has a clearly defined Chart of Accounts.	0.0		0.0
1-2. All transactions are coded in accordance with the Chart of Accounts.	0.0		0.0
1-3. The Organisation's Accounting System enables it to report by project.	0.0		0.0
1-4. The Organisation's Accounting System enables it to report by donor.	0.0		0.0
1-5. The Organisation's Accounting System enables it to handle more than one currency.	0.0		0.0
1-6. Cash and bank transactions are filed separately.	0.0		0.0
1-7. The Organisation follows donor requirements in terms of opening separate accounts.	0.0		0.0
<b>C2. Budget</b>	<b>0.0</b>		<b>0.0</b>
2-1. The Organisation has an annual budget.	0.0		0.0
2-2. The annual budget is approved by the Board and Fiscal Committee.	0.0		0.0
2-3. The annual budget is fully funded.	0.0		0.0
2-4. Expenses are made in accordance with the annual budget.	0.0		0.0
2-5. Expenses against budget are analyzed at least quarterly	0.0		0.0
2-6. The Organisation has a staff-person or management unit specifically responsible for budget management	0.0		0.0
<b>C3. Financial Control and Inventory Management</b>	<b>0.0</b>		<b>0.0</b>
3-1. Cash transactions are kept to a minimum	0.0		0.0
3-2. Cash is kept in a locked safe that requires two people to open.	0.0		0.0
3-3. The cashier keeps a cash book documenting all cash transactions.	0.0		0.0
3-4. All cash transactions are documented by a receipt that shows who disbursed the funds, who received the funds, who authorised the funds and how the funds will be spent.	0.0		0.0
3-5. A person may not receive a cash advance if s/he already has an outstanding advance.	0.0		0.0
3-6. Cash advances are only cancelled when adequate receipts and change are submitted.	0.0		0.0
3-7. Bank checks are signed by at least two people, neither of whom is directly responsible for preparing financial reports.	0.0		0.0
3-8. Bank payments are reviewed and authorised by someone who checks that proposed disbursement is in accordance with the approved budget.	0.0		0.0
3-9. All fixed assets are coded and incorporated in a fixed asset inventory control.	0.0		0.0
3-10. Consumption of office and other supplies is managed by an inventory control system.	0.0		0.0
3-11. Internal audits are conducted at least once a year by the Fiscal Committee.	0.0		0.0
3-12. External Audits are conducted by a reputable firm at least once every two years.	0.0		0.0
3-13. Expenses are controlled by project and donor.	0.0		0.0
3-14. Competitive procurement practices are followed for all purchases over \$500	0.0		0.0
<b>C4. Financial Reports</b>	<b>0.0</b>		<b>0.0</b>
4-1. The Organisation produces internal monthly financial reports	0.0		0.0
4-2. The monthly reports are prepared by staff who have a strong accounting background.	0.0		0.0
4-3. The monthly reports are reviewed and approved by the Executive Director.	0.0		0.0
4-4. Quarterly financial reports are submitted for the review and approval of the Fiscal Committee.	0.0		0.0
4-5. The financial report includes a balance sheet.	0.0		0.0
4-6. The financial report includes a cash reconciliation.	0.0		0.0
4-7. The financial report includes a bank reconciliation.	0.0		0.0
4-8. The financial report includes a statement of expenses against budget.	0.0		0.0
4-9. Expenses are reported by project.	0.0		0.0
4-10. Expenses are reported by donor.	0.0		0.0
4-11. The financial reports are used to assist the budgeting process.	0.0		0.0
4-12. The Organisation presents a full financial statement in its annual report for public consumption.	0.0		0.0
4-13. The Organisation prepares and submits accurate financial reports to donors in a timely fashion	0.0		0.0
<b>D. Programmes</b>	<b>0.0</b>		<b>0.0</b>
<b>D1. Programme Development</b>	<b>0.0</b>		<b>0.0</b>
1-1. The staff, beneficiary groups and other key stakeholders are involved in the identification and design of programmes.	0.0		0.0
1-2. All of the Organisation's existing programmes have written annual plans.	0.0		0.0
1-3. All programme plans include goals, objectives, results, activities and inputs	0.0		0.0
<b>D2. Sectoral Expertise</b>	<b>0.0</b>		<b>0.0</b>
2-1. The Organisation has a clear sectoral focus on the assistance of Orphans and Vulnerable Children.	0.0		0.0
2-2. The Board, Executive and staff of the Organisation are recognised by their partners as being highly skilled and credible in the design and management of OVC projects.	0.0		0.0
<b>D3. Beneficiary Group Participation</b>	<b>0.0</b>		<b>0.0</b>
3-1. The Organisation's priorities are defined in collaboration with representatives of the OVC groups to be targeted.	0.0		0.0
3-2. The beneficiary groups targeted by this programme are actively involved as true partners in programme implementation.	0.0		0.0
3-4. The Organisation has appropriate channels for reaching the NGOs and other agencies that serve the targeted beneficiary groups.	0.0		0.0
3-5. The Organisation is able to reach the end beneficiaries through these NGOs and other agencies.	0.0		0.0
<b>D4. Programme Monitoring and Evaluation</b>	<b>0.0</b>		<b>0.0</b>

4-1. All of the Organisation's existing programmes have clearly defined indicators of success.	0.0		0.0
4-2. Data to measure these performance against indicators is gathered and analysed regularly.	0.0		0.0
4-3. The results of the monitoring process are used to make programme adjustments.	0.0		0.0
4-4. The Organisation has performed internal evaluations of programme impacts.	0.0		0.0
<b>D5. Programme Reports</b>	<b>0.0</b>		<b>0.0</b>
5-1. Internal programme reports are prepared at least quarterly.	0.0		0.0
5-2. Programme reports are reviewed and approved by the Executive Director and the Board.	0.0		0.0
5-3. The Organisation presents high quality, tailored reports to its donors in a timely fashion.	0.0		0.0
5-4. The Organisation publishes the results of its programme evaluations.	0.0		0.0
<b>E. External Relations and Partnerships</b>	<b>0.0</b>		<b>0.0</b>
<b>E1. Relationship with the Beneficiary Groups</b>	<b>0.0</b>		<b>0.0</b>
1-1. The Organisation has credibility in the eyes of the vulnerable groups it has served to date.	0.0		0.0
1-2. The Organisation has a very good understanding of the needs and capabilities of the vulnerable groups it currently serves.	0.0		0.0
<b>E2. Relationship with NGO partners</b>	<b>0.0</b>		<b>0.0</b>
2-1. The Organisation works collaboratively with all of the national and international NGOs with whom it collaborates.	0.0		0.0
2-2. The Organisation has worked in partnership with local and international NGOs in the past.	0.0		0.0
2-3. The Organisation has experience involving NGO partners in advocacy networks serving the interests of its beneficiary groups.	0.0		0.0
<b>E3. Relationship with Government Partners</b>	<b>0.0</b>		<b>0.0</b>
3-1. The Organisation works collaboratively with all of the key government agencies responsible for some aspect of social assistance for the vulnerable groups it currently targets.	0.0		0.0
3-2. The Organisation has credibility in the eyes of its partners government agencies.	0.0		0.0
3-3. The Organisation is insulated from political pressures that might inhibit its ability to meet its objectives.	0.0		0.0
<b>E4. Relationship with Donors and the Private Sector</b>	<b>0.0</b>		<b>0.0</b>
4-1. The Organisation has a diversified funding base.	0.0		0.0
4-2. The Organisation is well respected by its current and potential donors.	0.0		0.0
4-3. The Organisation is able to have a free and open dialogue with its donors.	0.0		0.0
4-4. The Organisation has received support for its programmes from the private sector.	0.0		0.0
<b>E5. Public Relations</b>	<b>0.0</b>		<b>0.0</b>
5-1. The Organisation has skills and experience in promoting its image.	0.0		0.0
5-2. The Organisation has a clearly defined image that is well known.	0.0		0.0
5-3. The Organisation disseminates information on its programmes to the public.	0.0		0.0
<b>E6. Press Relations</b>	<b>0.0</b>		<b>0.0</b>
6-1. The Organisation makes use of the press to promote its own public image.	0.0		0.0
6-2. The Organisation is often contacted by the press to comment on an issue relevant to its mission.	0.0		0.0
6-3. The Organisation uses the press for public education purposes about issues related to its mission.	0.0		0.0
	0.0		0.0
<b>F. Sustainability</b>	<b>0.0</b>		<b>0.0</b>
<b>F1. Programme Sustainability</b>	<b>0.0</b>		<b>0.0</b>
1-1. The NGOs that the Organisation has worked with in the past have always participated with cash or in-kind support for their programmes.	0.0		0.0
1-2. The programmes started by the Organisation have been turned over to the beneficiaries for on-going management.	0.0		0.0
1-3. The Organisation prepares its NGO and community partners to take over responsibility for its programmes.	0.0		0.0
<b>F2. Institutional Sustainability</b>	<b>0.0</b>		<b>0.0</b>
2-1. The Organisation has a clear understanding of its role within the Social Assistance arena.	0.0		0.0
2-2. The Organisation actively supports the development of civil society.	0.0		0.0
2-3. The Organisation is an active member of fora and networks with Organisations that share its concern for the vulnerable groups it targets.	0.0		0.0
2-4. The Organisation has linkages to universities and other relevant research institutions.	0.0		0.0
2-5. The Organisation has the capacity to adapt its Organisational structure according to changing needs.	0.0		0.0
<b>F3. Financial Sustainability</b>	<b>0.0</b>		<b>0.0</b>
3-1. The Organisation has the ability to develop a diversified funding base capable of sustaining its programmes over the long-term.	0.0		0.0
3-2. The Organisation has engaged in income generating activities as a means of limiting its dependence on donors.	0.0		0.0
4-3. The Organisation has a clearly defined fundraising strategy.	0.0		0.0
4-4. The Organisation has the capacity to successfully implement this strategy.	0.0		0.0
4-5. The Organisation has the capacity to write successful fundraising proposals.	0.0		0.0