
POLICY FORUM

ORGANIZATIONAL CAPACITY ASSESSMENT REPORT

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APRIL 2013

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List of Abbreviations

CEO	Chief Executive Officer
CSOs	Civil Society Organizations
IT	Information Technology
NGOs	Non-Governmental Organizations
PF	Policy Forum
Tshs	Tanzania shillings
WASH	Water Sanitation and Hygiene

I. INTRODUCTION

1.1 Background Information

The Policy Forum (PF) has been in existence since July 2003. It is a network of NGOs engaging in policy advocacy and is registered as a Non-profit company under the Companies Act. The Policy Forum (PF) is a growing network of civil society organizations brought together in their interest in *poverty reduction, equity and democratization*. The network seeks to enhance and augment the voice of ordinary citizens in national policy processes. The primary objective is to make policies work better for the people of Tanzania, especially the poor. In terms of vision, the Policy Forum envisages a future where policy processes are participatory and involve the broad-based engagement of all sectors of society, including NGOs and the people they work with, in an accountable, empowered, informed and informing manner, at all stages in the policy process and all levels of society. The mission contributing towards the accomplishment of the vision states that the Policy Forum will encourage NGOs to work together to open up and influence policy processes that improve the lives of all people, especially those who are socially disadvantaged and impoverished, in order to empower them to self-organize and become part of a movement for change. Some of the objectives according to the constitution include:

- The implications and impact of policies and their implementation are analysed, monitored independently, and the resulting information is used by a broad base of civil society and advocacy actors to improve the effectiveness and quality of their advocacy.
- Analysis and monitoring information produced by Policy Forum and or its members is widely disseminated to policy makers, organised civil society and the general public in a manner that is accessible, interesting, relevant and useful to the intended target audience.
- The capability of civil society organisations to understand, to monitor, and to strategically, proactively and effectively engage with and or influence national and local processes is enhanced.
- Participation by Policy Forum as a network in national policy processes is selective and strategic in order to engage where impact is most likely to be achieved and to enhance the quality of its engagement.
- To organise, hold and/or sponsor conferences, seminars, workshops, advocacy, meetings, public debates, media programs and such other activities with a view of promoting Policy Forum objectives.
- To raise funds in order to support the projects of Policy Forum but on such terms and conditions congruent to the principal aim of Policy Forum.

The structure of the organization is attuned to meeting the needs and aspiration of members as expressed in the vision, mission and objectives. The Annual General Meeting – comprising all members of the forum, is the highest decision making body. The strategic activities of the organization are overseen by the Board of Directors – seven in number elected by the General Assembly. The directors provide oversight to the secretariat and are accountable to the General Assembly. The Secretariat lead by the Coordinator carries out the day-to-day functions of the organization. The coordinator is assisted by the finance and administration manager, manager

CSO capacity enhancement, manager communication and advocacy as well as manager policy analysis

In its first three years of operation Policy Forum focused on engaging primarily with three policy processes, the Poverty Reduction Strategy (now MKUKUTA), the Public Expenditure Review Process, and the Local Government Reform Process. The current strategy taking into account the lessons learnt from the previous years, focuses on the use various advocacy strategies to achieve greater effectiveness and impact in advocacy work. And the current practice underlines improving the quality of policy analysis and engagement and the secretariat has expanded to accommodate this tenet.

1.2 Purpose of organizational capacity assessment

In the implementation of its strategy 2011-2016, WaterAid places special emphasis on working with civil society organization to achieve its mission. This is in cognizance of the critical role played by these organizations in democratization, participation, good governance, poverty reduction, peace and development. This explains the commitment of WaterAid to work in partnership with national CSOs to influence change in the water and sanitation sector. However, WaterAid does not have a clear view of the capacities of these organizations in undertaking this and other roles. It is from this backdrop Water Aid undertook an institutional capacity assessment of Policy Forum to inform its engagement approach and capacity building plan.

Therefore the main purpose of organizational capacity assessment of Policy Forum is to generate data/information on the capacity status of the organization in relation to required organizational performance as a means of determining strengths and weaknesses and ultimately developing capacity enhancement interventions. However, organizational assessment is in itself a very important intervention in organization development and its benefits to the organization are many and varied including:

- Establishment of baseline measure of the existing structure and capacity of the organization that would serve as a point of comparison for subsequent assessments.
- Monitor and evaluate progress towards organizational development objectives of Policy Forum.
- Create a strong and shared commitment to change within Policy Forum (following recommended change interventions).
- Obtain a rapid assessment or “snapshot” of Policy Forum by asking selected questions.
- Serve as a basis on which to design improved systems and procedures.
- Provide a structure with which to plan and implement sustainability strategies.

According to the terms of reference of this assignment, the expected outcomes of the assessment include:

- The organizational capacity assessment providing a comprehensive perspective of organizational strengths and weaknesses in terms of capacities, and propose priority areas of capacity development in the next couple of years.
- Organizational capacity building plan for Policy Forum addressing identified capacity gaps as well as enhancing existing strengths to optimal levels.

1.3 Methodology

Participative methods were used in data collection involving the staff. Effective engagement of staff was used to ensure optimal ownership of the process and outcome of the assessment. The self-assessment process entailed use of a number of tools including two organizational capacity assessment tools, a checklist on various aspects of lobbying and advocacy and matters related to WASH, and a capacity development planning tool. In the first phase of the assessment the staff worked on its own and in the second phase they worked jointly with the consultant. In this phase all components were revisited, the consultant asking questions to ensure participants' objectivity and in-depth analysis of issues. The use of the assessment tools was complemented by interviews, review of key documents of the organization, and observations. Reviewed documents include Policy Forum Performance Monitoring Framework 2011-2013, Policy Framework Approach 2011-2013, Policy Framework Annual Work plan 2013, Policy Forum Final Strategy 2011-2013, Memorandum and Articles of Association, Fundraising Strategy and Annual Report 2012.

II. FINDINGS

2.1 GOVERNANCE

Policy Forum is led by well articulated vision and mission, which in essence, explain its *raison d'être* – reason for existence and strategic direction. The goals define the organization's areas of focus. The vision, mission and goals are to a good extent understood by the key stakeholders of the organization. The foundations of the organization, further, determine the basic structure of the forum and its *modus operandi*. In the course of its development, the Policy Forum has developed a set of values and/or principles that guide the practice and behavior which is part of the organizational culture. The focus of the forum on matters of openness and transparency, accountability and democratic governance is reflective of adherence to its values.

As mentioned in the introduction, the Board of Directors carries out the governance functions of the organization. The organ is constituted in line with the memorandum of understanding and articles of the association. The board provides overall leadership, charged with carrying out the strategic functions including policy and strategy formulation and review as well as other functions of strategic nature. To a greater extent, the board is conversant with its roles and responsibilities. However, its performance would be better enhanced with improved capacity in matters of policy and strategy formulation and review and other functions related to oversight of the secretariat as it implements key decisions from above and other operational functions.

Policy Forum is registered as limited company by guarantee with no share capital. From the interviews and other sources including review of documents, there are endeavours to ensure that the memorandum and articles of the association is strictly adhered to in running the business of the organization – elections, meetings, operation of program activities, among others. The memorandum and articles of the association is reviewed regularly to accommodate changes and developments in the organization and the environment in which it operates.

Organizational sustainability is one of the critical concerns of the forum and to this end, viable programs based on the needs and aspirations of the members have been developed and implemented. In the last couple of years, Policy Forum has been able to raise substantial funds to finance its operations from external donors. For instance in the year 2012 of the total budgeted amount of Tshs 1,303,780,445, Tshs 831,610,037 was obtained. The organization is working to expand its funding base to include funds from within the country.

2.2 MANAGEMENT

As hinted above, the structure of the Policy Forum is functional indicating the functions of various organs of the organization. From the interviews it was learned that the structure is simple and reflects the network nature of the organization. The secretariat for instance has only three levels, what might be termed as top management constituting the coordinator, middle level management comprising managers and the operational management including program officers. The coordinator and the four managers constitute the management of the organization. So, one could talk of two levels of management. It is noteworthy that the secretariat comprises 10 staff.

The simplicity of the structure makes it easy to be understood by the key stakeholders including board members, staff and some members of the forum. Lines of communication and accountability are clearly shown though for some people support might be needed to interpret the graphic presentation of the structure.

The organization has an administrative policy manual which streamlines all administrative matters in terms actual policies guideline and procedures. Matters related to human resources management are also included in the administrative manual. The manual is regularly updated to accommodate changes and developments. The policies are written in English and as such they may not be understood by some of the stakeholders.

It was underlined during the interviews that working as a team at the Policy Forum secretariat is almost a necessity. This is because of the nature of the activities and the interdependence required in the implementation of activities. The organization has been able to recruit experienced and qualified staff in all areas of general management, finance and administration, capacity enhancement, policy and budget analysis, media communication and advocacy.

2.3 PROGRAM PLANNING

Policy Forum is in its last year of implementing its strategic plan 2011-2013. The strategic plan is developed through a planning process of finding interplay between the strategic direction or vision, the mission – the organization’s reason for existence and the analysis of the internal and external situations of the organization. The development of the strategic plan is preceded by evaluations, studies, and review of research findings already published. Some key stakeholders do take part in the strategic planning process including staff, board members, and selected development partners. The latter bring in the external outlook in the planning process.

Monitoring and evaluation of program activities is carried out but the organization is yet to develop a comprehensive monitoring and evaluation system. The logical framework approach and performance monitoring framework have so far been used in monitoring and evaluation of various interventions. However, there is a well developed practice of conducting regular reviews to enable staff members and other stakeholders reflect on the results of the interventions. Some of the processes are formalized and others are informal. However, it is important to emphasize that the reflections should be well captured and used in improving subsequent intervention processes.

In terms of documentation, reports are produced on quarterly, semi-annual and annual basis and shared with relevant stakeholders through weekly and quarterly meetings. The reports are also posted on the website, face book and the Policy Forum directory. The means of sharing reports are valid but most of them cannot be accessed by members in the countryside where technology is not as developed. The Policy Forum has done a lot in research, studies and interventions in the area of policy analysis and advocating for change in the course of which a lot in terms of data, information, outcomes and lessons has been generated. But there has been no systematic way of documenting the outcomes and lessons for more reflection and learning.

2.4 HUMAN RESOURCE

In regard to staffing, the Policy Forum has engaged personnel in line with the functions the secretariat is expected to carry out and the resources that are at its disposal. There are ten members of staff including the coordinator who is the CEO of the organization. Much as it may be difficult to assert the adequacy of staff, it may be said without hesitation that the available staff has proved competence and been able to do what it expected to in spite of the ever increasing demand for support from the constituency. Human resource management is backed by the human resource policy which is part of the organization's administrative policies manual. The human resource policy and regulations details the recruitment, selection and placement procedures, which are strictly adhered to in the employment process. Looking at what amounts to "job specifications" of the PF staff one finds congruence with the qualifications and experiences in the secretariat which indeed has bearing on its performance.

The thinking of Policy Forum on the development of its personnel is translated in the formulation of human resource development plan. Interviews indicated that the plans have not been effectively implemented due to limited budget allocations. Previously the sum of Tshs 15/- million per year was allocated for training/scholarships, and in spite of the fact that this was far from being adequate, it has been reduced to Tshs 10/- million a year. However, the sum has been used to support staff in short-term courses. This may have had an implication interpreted as – not well-streamlined capacity development arrangements well understood by the secretariat staff. It is however noteworthy that, this has not been a source of lack of motivation and commitment on the part of the secretariat staff.

There is a system of appraising the performance of staff carried out twice a year the outcomes of which are used to enable staff improve their performance levels by working on the shortfalls identified by the appraisal and seeking ways to use the strengths of individual staff in the team. The outcomes are also used in determining promotions particularly those based on merit.

Comparatively speaking, Policy Forum staff is adequately remunerated in terms of salary packages and other benefits. This is supported by the survey that is carried out on annual basis – comparing remuneration levels among organizations of similar standing. Last year - 2012 Policy Forum was ranked number two.

Staff employment is guided by formal contracts in line with the labor laws of the country. Policies and other key documents spell out modalities that ensure accountability at different levels and the administration of discipline in the organization. The human resource policy spells out the grievance and conflict resolution procedure.

2.5 FINANCIAL MANAGEMENT

Policy Forum has had good flow of funds from external funding agencies in the last couple of years, so its funding base has been, comparatively speaking broad. Interview with PF staff indicates that the budget for PF has been increasing year after year.

A number of funding agencies that support the current strategic plan for the year 2012 include Agha Khan Foundation, American Jewish, Agricultural Non-State Actors Forum (ANSAF), Canadian International Development Agency, European Union, HIVOS, International Budget Partnership, Irish Embassy, Revenue Watch, Swiss Development Corporation and Tax Justice Network.

Part of the success in raising funds to finance PF programs could be attributed to formulation and implementation of the fundraising strategy aimed at enhancing the organization's financial sustainability. This is progressively realized through diversification of sources funds to include non-traditional donors both local and international. Special emphasis is laid on contributions from the members with an intention of having at least one third of PF budget financed through member contributions.

Policy Forum has been apprehensive of accessing material and financial resources from government at different levels due to the possibility of compromising its mission. This is because most of the activities involve challenging and criticizing the way government policies are formulated and implemented which are often times misconstrued by the government.

Budgeting is a process which follows specified steps. It is originated from the secretariat based on the strategy, submitted to the Board of Directors for approval and finally to the Annual General Meeting. It is also shared with donors for remarks and comments. To a greater extent, the actual budgeting work has been a recipe for experts in financial management, but it would be worthwhile considering the possibility of exposing members of staff on the basics of budgeting so that they participate effectively in the budgeting in their respective departments.

The organization's accounting procedures and systems are based on the financial management policies and principles which in essence comply with acceptable professional standards. To a larger extent, the system is user-friendly and there have always been endeavours to streamline it and make it less complex without compromising its quality. Proper books of accounts including cash book, payment voucher and petty cash, among others are used in the day to day financial transactions. The package used in accounting is "quick books" which to some extent helps in the production of financial reports. However, it has limitations because according to the finance and administrative manager quick books is more of a bookkeeping rather than an accounting package.

The controls in the system are spelled out in the financial manual and are to a greater extent known to the staff and other relevant stakeholders. The audit system comprises internal and external audit processes. Internal audit is handled by an audit firm contracted locally and external audit is conducted by a renowned international audit firm. For the last three years, PF accounts have been audited by RSM Ashrir

Financial reports include auditor's report which is produced on annual basis and bank reconciliation as well as income versus expenditure both of which are produced on monthly basis. Annual reports are shared with donors, the Annual General Meeting, the Board of Directors, members and the public. The financial reports are mainly used for decision making and information purposes.

2.6 INFRASTRUCTURE AND LOGISTICS

Policy Forum office is in rented premises at Mikocheni in Dar-es-Salaam. The office has ample working space for the staff and the setting provides a good working environment. It is user-

friendly and accommodates the needs of children and people with disabilities. The offices are adequately equipped in terms of materials and equipment/machines. With regard to transport, the secretariat has one four wheel drive vehicle mainly suited for field work. An additional-smaller vehicle for movements in the city would greatly reduce the cost of hiring taxis when the aforementioned vehicle is in the field.

There is a system of communication to ensure effective communication with the outside world. The organization is connected to the landline telephone system. It also has an internet connection and a well constructed website. However, the organization does not have information technology personnel. The services of IT personnel are hired as and when there are hick ups in the system. This may be one of the bet options in regard to value for money, but there are times when the expert being looked for is not readily available and hence delays in accomplishing tasks

There is a good system of stock control and procurement as spelled out in the administrative manual. The fixed asset register is effectively utilized and it is updated with changes in stock levels. Approved procurement procedures for assets and services are strictly adhered to.

2.7 EXTERNAL/PUBLIC RELATIONS

The government is aware of the role played by Policy Forum in policy analysis and advocacy for positive changes geared to the improvement of the well being of the people of this country. Over the years, PF has worked with the Ministry of Finance, Prime Minister's Office Regional Administration and Local Government, as well as Ministry of Natural Resources and Energy. In other words, the activities of the forum were directed mainly to the three ministries. Policy Forum is aware of the importance of understanding government structures and its *modus operandi* for the success of its interventions. However, the staff and members of Policy Forum are yet to be adequately conversant with government structures and systems, which in one way or the other restrain the processes of engagement. This is on top of the bureaucratic tendencies which characterize the operations of government institutions. It is no wonder therefore that access of data and information from relevant government departments has not always been easy. Basic knowledge and skills on how the government operates for the staff and selected members will certainly improve the situation in this regard.

It is part of the PF fundraising strategy to establish and maintain good working relationship with funding agencies including potential ones, as a way of accessing funds from both internal and international funding agencies on a long-term basis. And as indicated in section 2.5 above, PF's performance has been good in financing the current strategic plan. Interestingly, in some cases the relations have gone beyond funding to include other forms of capacity strengthening including training, development of systems and procedures, among others.

Policy forum has a fully fledged department for communication and advocacy which maintains a database of media houses/institutions and their contacts. Journalists from relevant media institutions are invited to cover specific PF events; on top of that, selected journalists are invited to participate in workshops organized by PF as a way of exposing them on the technicalities involved in policy analysis and advocacy in order to sharpen their skills in reporting on the issues in this arena. This is very crucial as most of the journalists in Tanzania are generalists. It is also important to mention the fact that most of the media houses in Tanzania are privately owned and inclined to profit making. So the editors are looking for stories that can sell easily. Development

issues could be important but not sensational enough to sell the paper and hence limited chance of having the stories carrying them published

2.8 BUILDING COALITIONS AND NETWORKS

The Policy Forum is a member to some coalitions and networks including the Justice Network – Africa Chapter and the International Budget Partnership. This is mainly because networking and working as coalitions is critical in pushing advocacy agenda. Its participation in network activities is indeed geared to strengthening the networks, and a lot in terms of time and other resource e.g. finances have gone into strengthening the networks and coalitions be they permanent or ad hoc.

The achievement of objectives of Policy Forum is through various forms of advocacy and specific issues have been identified in the last couple of years. These include the amendment of the national constitution, transparency in the extractive industry – e.g. mining act, parliamentary budget office, and the citizens' budget. Policy Forum has so far not worked on issues around water and sanitation.

Members of Policy Forum participate in the formulation of advocacy agenda, this is because the business of the forum emanates from the concerns of the members scattered in the whole country. However, the technical aspects of shaping the advocacy issue is the preserve of the secretariat and some selected members because of the expertise required. Almost all the secretariat staff is involved in the advocacy activities, this is because they are required to do so, and the organization has invested heavily in training them both in and outside the country. The main targets of advocacy include the Ministry of Finance, Prime Minister's Office Regional Administration and Local Government, Ministerial Development Agencies, the media, the Parliament and councilors.

Processes used in lobbying and advocacy include campaigns, media, briefs, debates and discussions including breakfast debates. Some of the outcomes of advocacy include production of citizen's budget; the government has confirmed that it will establish a parliamentary budget office and 85% of PF suggestions were included in the current mining act. PF has developed a culture of conducting reviews of advocacy work and processes, but there has not been a good system of documenting lessons emerging from the previous advocacy work.

The Policy Forum has followed some established procedures in its advocacy work in a sense that there is a certain level of standardization for various actors. However, things would be much clearer with an advocacy strategy for the organization.

As already mentioned, water and sanitation has not been part of PF advocacy agenda. According to the data available, the organization has adequate campaign skills which could be deployed in water and sanitation in case the organization decides to go in that direction

III. RECOMMENDATIONS AND PRIORITY AREAS FOR CAPACITY BUILDING

3. Recommendations

- i. The capacity of the Board of Directors to carry out strategic functions of the organization including formulation and review of policies and strategies, review of financial reports and management of boardroom dynamics.
- ii. Comprehensive monitoring and evaluation system should be developed for effective monitoring and evaluation of all program and project activities. The system should include documentation that captures outcomes and lessons to enhance the learning of the organization.
- iii. The staff of Policy Forum should be exposed to the basics of financial management especially the aspect of budgeting in order to improve the quality of planning in their departments as well as increasing the efficiency of planning at organizational level.
- iv. Policy Forum should consider employing an information technology expert even on part time basis to ensure that IT services are readily available when required. The expert could provide basic training to staff on some aspects especially simple programming and trouble shooting that could be handled by staff.
- v. The staff and members of the organization should have their capacities improved in government structures and systems of operations in order to determine good entry points for getting the right data and information as well leverages in engagement.
- vi. The Policy Forum should develop and implement an advocacy strategy so as to be able to approach policy analysis and advocacy strategically and in a standardized and consistent manner.

3.2 Priority Areas for Capacity Building

- i. Enhancement of Board of Directors' capacity to perform strategic functions of Policy Forum.
- ii. Development of an effective Monitoring and Evaluation System.
- iii. Improvement of documentation of outcomes and lessons in the organization.
- iv. Skills development in financial management especially budgeting for Policy Forum professional staff.
- v. Development of an understanding of government structures and systems of operation on the part of staff and members of Policy Forum.
- vi. Development of Policy Forum advocacy strategy.

CAPACITY BUILDING PLAN FOR POLICY FORUM 2013-2014

	Category	Objective	Activity	Indicator	Duration	Resources	Responsibility
1.	Governance	1.1 The capacity of Board of Directors to carry out strategic functions improved.	1.1.1 Conduct training for members of the Board of directors on carrying out strategic functions of the Board	<ul style="list-style-type: none"> ▪ Training conducted on formulating and reviewing policies, strategies and systems. ▪ Number of Board of Directors members trained. ▪ Improved capacity of BoD members to carry out strategic functions of the organization. ▪ Increased efficiency of the BoD in carrying out its business. 	15-17 July 2013	Funds Consultant Material Time	Coordinator
2.	Program Management	2.1 Monitoring and Evaluation system improved	2.1.1 Conduct training of PF staff on monitoring and evaluation	<ul style="list-style-type: none"> ▪ Number of staff trained in monitoring and evaluation. ▪ PF staff able to monitor and evaluate program and project activities proficiently. 	9-13 Sep. 2013	Funds Consultant Material Time	Coordinator
			2.1.2 Develop the M&E system and tools to capture results and lessons.	<ul style="list-style-type: none"> ▪ M&E system developed. ▪ Standardized monitoring and evaluation of planned activities. ▪ Intervention results and lessons effectively captured, documented and shared. 	16-20 Sep. 2013		

3.	Financial Management	3.1 Proposal writing and budgeting skills for staff and selected members improved	3.1.1 Train staff and selected members on proposal writing and budgeting.	<ul style="list-style-type: none"> ▪ Number of staff and members trained in proposal writing and budgeting. ▪ Training conducted in proposal writing and budgeting. ▪ Enhanced knowledge and skills of staff and members in proposal writing and budgeting. ▪ Trained staff and members producing winning proposals. ▪ Good quality budgets produced by respective staff. 	7-11 April 2014	Funds Consultant Material Time	Finance and Administrative Officer
4.	External/Public Relations	4.1 Improved understanding of staff and members on government structures and systems of operation.	4.1.1 Conduct training workshop on government structures and systems of operation for staff and selected members of Policy Forum.	<ul style="list-style-type: none"> ▪ Training workshop on government structures and systems of operation conducted. ▪ Number of staff and members trained. ▪ Staff and members able to penetrate the systems of government and engage targeted actors effectively. 	12-16 May 2014	Funds Resource person Material Time	Communication and Advocacy Manager

Average score per category and component

AVERAGE SCORES PER CATEGORIES AND COMPONENTS

Raw Scores	Interpretation
1	The CSO is functioning at the lowest stages of its institutional growth. The components assessed by require urgent attention to sustain credibility of the organization.
2	The CSO is improving and developing some capacity in the component assessed. However, it needs more attention and on a wide scale to reach high standard and also to maintain high performance
3	The CSO is functioning adequately on this area, but it still needs improvement on certain limited scale/aspects for optimal achievement.
4	The CSO is functioning at acceptable level, but there is no guarantee that good performance could be sustained in a long time. Improvement need to sustain same performance.
5	The CSO is fully functioning and indicates high level of maturity. There are all signs that this performance could be sustained over a long duration. Effort must be made to maintain performance at this level

Note that the lowest score is 1 and the highest is 5

	Category and component	Average score
1.0	GOVERNANCE	4.5
1.1	The foundations of the CSO	4.7
1.3	Governing Organ	4.6
1.4	Legal Status	4.3
1.5	Sustainability	4.5
2.0	MANAGEMENT	4.7
2.1	Organizational Structure	5.0
2.2	Policies, and Procedures	4.3
2.3	Management's Capabilities	4.7
3.0	PROGRAM MANAGEMENT	4.4
3.1	Strategic Planning	5.0
3.2	Monitoring and Evaluation	4.2
3.3	Documentation	4.0
4.0	HUMAN RESOURCES	4.6
4.1	Staffing	4.8
4.3	Human Resource Development Plan	4.4
4.4	Human Resource Management	4.7
5.0	FINANCIAL MANAGEMENT	4.5
5.1	Sources of Funds	4.0
5.2	Budgeting	4.5
5.3	Accounting	5.0

5.4	Financial Reporting	4.3
6.0	INFRASTRUCTURE AND LOGISTICS	4.5
6.1	Infrastructure	4.5
6.2	Equipment and Materials	4.2
6.3	Stock control and Procurement	4.7
7.0	EXTERNAL/PUBLIC RELATIONS	4.4
7.1	The Government	4.0
7.2	The Donors	5.0
7.3	The Media	4.3
9.0	BUILDING COALITIONS AND NETWORKS	4.2
8.1	Membership to Network/Coalitions	4.3
8.2	Engagement in Policy Advocacy	4.0

Annex 2 Main tool used in the assessment

Tool for Organizational Self Assessment (TOSA)

This tool is intended to be used as an instrument assisting CSOs in conducting participatory capacity self-assessment. Note that the instructions are on page 8

Identification
Name of CSO:
Address:
Date of Assessment:
Facilitators: Internal Lead Facilitator:
External Facilitator:

The interpretation of the raw scores is shown in the table below:

Raw Scores	Interpretation
N/A	N/A (Not Applicable) is used in cases where the rated element does not apply to the realities of the organization/component in question. It is important to agree which elements will be assessed with key stakeholders.
1	The CSO is functioning at the lowest stages of its institutional growth. The components assessed by require urgent attention to sustain credibility of the organization.
2	The CSO is improving and developing some capacity in the component assessed. However, it needs more attention and on a wide scale to reach high standard and also to maintain high performance
3	The CSO is functioning adequately on this area, but it still needs improvement on certain limited scale/aspects for optimal achievement.
4	The CSO is functioning at acceptable level, but there is no guarantee that good performance could be sustained in a long time. Improvement need to sustain same performance.
5	The CSO is fully functioning and indicates high level of maturity. There are all signs that this performance could be sustained over a long duration. Effort must be made to maintain performance at this level

	Category	Rating levels						Average
1.0	GOVERNANCE							
1.1	The foundations of the CSO							

a	Our CSO is led by well articulated vision, mission and goals	N/A	1	2	3	4	5	
b.	The vision, mission of our CSO is well articulated and clearly understood by all stakeholders	N/A	1	2	3	4	5	
c.	The operations of our CSO is guided by a clear set of “value systems” and working norms	N/A	1	2	3	4	5	
1.2	Governing Organ							
a.	Our CSO has a governing organ (the Board or Executive Committee) that has been elected in accordance to agreed procedures	N/A	1	2	3	4	5	
b.	Our governing organ has demonstrated ability to provides overall leadership to the CSO’s operations	N/A	1	2	3	4	5	
c.	Our governing organ carries out strategic functions including formulation and review of policies, strategies and systems.	N/A	1	2	3	4	5	
d.	The governing organ understands its roles, responsibilities/limits & complies with the constitution and the laws governing the CSOs	N/A	1	2	3	4	5	
1.3	Legal Status							
a.	Our CSO is constituted and registered in accordance to the legal requirements	N/A	1	2	3	4	5	
b.	Our constitution is easily accessible to all members and other stakeholders.	N/A	1	2	3	4	5	
c.	The constitution of the CSO is reviewed/amended to accommodate major developments.	N/A	1	2	3	4	5	
d.	The implementation of activities in our CSO complies with legal requirements.	N/A	1	2	3	4	5	
1.4	Sustainability							
a.	Our CSO has adequate resources for the implementation of programs and activities	N/A	1	2	3	4	5	
b.	Our programs are derived from the needs of our members/constituent	N/A	1	2	3	4	5	
2.0	MANAGEMENT							
2.1	Organizational Structure							

a.	We have a functional organizational structure which clarifies the main functions of the CSO actors	N/A	1	2	3	4	5	
b.	The organizational structure of our CSO is clearly understood by the staff, members, Board of Directors/executive committee	N/A	1	2	3	4	5	
c.	The structure clearly defines lines of communication, accountability and delegation of authority in the CSO.	N/A	1	2	3	4	5	
2.2	Policies, and Procedures							
a.	Our CSO has clearly documented administrative policies and guidelines.	N/A	1	2	3	4	5	
b.	Policies and guidelines are known by all members and staff	N/A	1	2	3	4	5	
c.	Systems and procedures are regularly updated to accommodate changes/developments.							
2.3	Management's Capabilities							
a.	The management facilitates integration, coordination & building team work	N/A	1	2	3	4	5	
b.	The management team has the requisite expertise, skills and knowledge in leadership, management to guide the growth of our CSO.	N/A	1	2	3	4	5	
c.	The management communicates decisions timely and in a transparent manner.	N/A	1	2	3	4	5	
3.0	PROGRAM MANAGEMENT							
3.1	Strategic Planning							
a.	Our planning process is realistic and based on in the mission & goals of the CSO.	N/A	1	2	3	4	5	
b.	Our plans are based on well researched baseline information (data)	N/A	1	2	3	4	5	
c.	Key stakeholders are involved in the development of strategic plans at various stages.	N/A	1	2	3	4	5	
3.2	Monitoring and Evaluation							
a.	The CSO has an effective system for tracking, monitoring and evaluating the implementation of its program	N/A	1	2	3	4	5	

b.	Regular reviews are conducted to enable staff, members reflect on the results of interventions.	N/A	1	2	3	4	5	
c.	Staff/members have been trained in skills for policy advocacy and monitoring of activities and results	N/A	1	2	3	4	5	
d.	There are simple and user-friendly standard tools for activity and result monitoring	N/A	1	2	3	4	5	
e.	There is a good system of giving and receiving feedback.	N/A	1	2	3	4	5	
3.3	Documentation							
a.	Progress reports (quarterly/annual) are prepared and shared with all key stakeholders through various means of communication	N/A	1	2	3	4	5	
b.	CSO has developed or adapted user-friendly tools for documentation of outcomes and lessons	N/A	1	2	3	4	5	
4.0	HUMAN RESOURCES							
4.1	Staffing							
a.	Our CSO has employed adequate staff in accordance with the needs and the establishment of the departments/units	N/A	1	2	3	4	5	
b.	Our CSO has a recruitment and employment policy	N/A	1	2	3	4	5	
c.	Policies are followed in recruitment and deployment of staff at all levels	N/A	1	2	3	4	5	
d.	Staff is allocated responsibilities in accordance to the qualifications and experiences	N/A	1	2	3	4	5	
4.3	Human Resource Development Plan							
a.	The CSO has a human resources development policy and plan	N/A	1	2	3	4	5	
b.	Staff capacity building in the CSO is well articulated and understood by staff	N/A	1	2	3	4	5	
c.	Job appraisals and staff performance is part of the human resource development plan and are conducted every year	N/A	1	2	3	4	5	
d.	Staff are adequately remunerated according to their qualifications and economic situation	N/A	1	2	3	4	5	

e.	Promotions within the CSO are based on laid down procedures including outstanding staff performance	N/A	1	2	3	4	5	
4.4	Human Resource Management							
a.	Our CSO has recruited experienced and competent staff	N/A	1	2	3	4	5	
b.	Our CSO is attractive and competitive in the labour market	N/A	1	2	3	4	5	
c.	Staff employment is guided by formal contracts in line with labour laws, taxes, insurance etc	N/A	1	2	3	4	5	
d.	Our CSOs uses laid down policies for enhancing accountability and work discipline among its staff	N/A	1	2	3	4	5	
e.	The CSO has a defined incentive and motivation packages established on the basis of work conditions, innovations, competition and the organizational needs	N/A	1	2	3	4	5	
f.	The CSO has a clear grievance and conflict resolution procedure.	N/A	1	2	3	4	5	
5.0	FINANCIAL MANAGEMENT							
5.1	Sources of Funds							
a.	Our CSO has a reliable funding bases to assure availability of adequate financial resources for program implementation	N/A	1	2	3	4	5	
b.	We have a fundraising strategy for generating resources from both internal (locally generated) and external sources	N/A	1	2	3	4	5	
c.	Our CSO has a strategy for enhanced financial sustainability through alternatives other than direct funding from donors.	N/A	1	2	3	4	5	
d.	Our CSO has managed to access material and financial resources from the government (local or central) budget to implement some of our activities	N/A	1	2	3	4	5	
e.	Member of our CSO contribute resources to the program activities through various means.	N/A	1	2	3	4	5	
5.2	Budgeting							
a.	The CSO has a budgeting process which involves	N/A	1	2	3	4	5	

	stakeholders participation							
b.	Our annual budgets and projections are based on the identified priorities, goals, and targets	N/A	1	2	3	4	5	
c.	Staff/members have been exposed to some basic skills and experience in budgeting processes	N/A	1	2	3	4	5	
d.	The budget process is given adequate timeframe for reflection from various stakeholders	N/A	1	2	3	4	5	
5.3	Accounting							
a.	Our CSO has developed well defined accounting procedures and systems which comply with accounting standards	N/A	1	2	3	4	5	
b.	Our financial system is user-friendly and transparent to staff and stakeholders.	N/A	1	2	3	4	5	
c.	There are proper books of accounts duly filled on daily basis as required	N/A	1	2	3	4	5	
d.	The financial control system is known to all relevant actors	N/A	1	2	3	4	5	
e.	The finance department has a system for facilitating timely internal and external audit and quality assurance practices	N/A	1	2	3	4	5	
5.4	Financial Reporting							
a.	Relevant financial reports are produced according to approved policies and procedures of our CSO	N/A	1	2	3	4	5	
b.	The financial reports are developed and shared with the relevant governing organs	N/A	1	2	3	4	5	
c.	Financial reports are timely disseminated to relevant stakeholders for decisions and actions.	N/A	1	2	3	4	5	
6.0	INFRASTRUCTURE AND LOGISTICS							
6.1	Infrastructure							
a.	Our CSO has a convenient and adequate working space (offices, workshop, storage etc) to facilitate program implementation	N/A	1	2	3	4	5	
b.	The infrastructure is conveniently designed and user-friendly to accommodate the needs of users such as children, women, and people with	N/A	1	2	3	4	5	

	disabilities							
6.2	Equipment and Materials							
a.	Our office has adequate working facilities and furniture	N/A	1	2	3	4	5	
b.	The CSO is adequately equipped with reliable transport facilities (<i>vehicle, bicycles, motorcycles etc</i>).	N/A	1	2	3	4	5	
c.	Our CSO has set up an effective communication system (faxes, telephones, computers etc) suitable to our working environment	N/A	1	2	3	4	5	
d.	Our CSO uses modern Information & Communication Technology (ICT) such as websites and internet services	N/A	1	2	3	4	5	
e.	Staff/members have been trained in the use of ICT facilities and technology	N/A	1	2	3	4	5	
6.3	Stock Control and Procurement							
a.	The CSO has a fixed assets register which is regularly updated	N/A	1	2	3	4	5	
b.	The CSO uses approved procurement procedures for its assets and services	N/A	1	2	3	4	5	
c.	The procurement procedures are transparent and effectively utilized by respective actors	N/A	1	2	3	4	5	
7.0	EXTERNAL/PUBLIC RELATIONS							
7.1	The Government							
a.	Our CSO is recognized and accepted by relevant government departments and agencies	N/A	1	2	3	4	5	
b.	The staff/members of the CSO understands the government structures, policies and how it operates at different portfolio areas	N/A	1	2	3	4	5	
c.	Our CSO cooperates with various departments to influence changes on policy issues	N/A	1	2	3	4	5	
d.	Our CSO can easily access data and information on policies, plans, and budgets etc) from government departments	N/A	1	2	3	4	5	
e.	Our CSO uses data and information from the government for informing the public and	N/A	1	2	3	4	5	

	influencing changes in policy							
f.	Our CSO shares its reports and other information with relevant government agencies in the constituency.	N/A	1	2	3	4	5	
7.2	The Donors							
a.	The CSO has established a good working relationship with funding agencies locally and internationally	N/A	1	2	3	4	5	
b.	Donors perceive our CSO positively and have established long-term working relationship with us.	N/A	1	2	3	4	5	
c.	The relationship with most of our donors is to a larger extent beyond funding modalities	N/A	1	2	3	4	5	
d.	The relationship with donors is built on the basis of transparency and mutual trust	N/A	1	2	3	4	5	
7.3	The Media							
a.	Our CSO has established a close working relationship with various media to propel its work	N/A	1	2	3	4	5	
b.	Our CSO cooperates with media to access and disseminate information regarding policy and other development issues	N/A	1	2	3	4	5	
c.	Staff/members have been exposed to basic training on how to use media for policy advocacy work	N/A	1	2	3	4	5	
d.	Our CSO has allocated adequate budget to facilitate our work with the media.	N/A	1	2	3	4	5	
8.0	BUILDING COALITIONS AND NETWORKS							
8.1	Membership to Network/Coalitions							
a.	Our CSO is a member to various networks advancing goals which are similar to our vision and mission.	N/A	1	2	3	4	5	
b.	Our CSO participates effectively in building strong coalition and activities of other CSOs and networks	N/A	1	2	3	4	5	
c.	We have adequate resources in our budget to facilitate advocacy and network activities	N/A	1	2	3	4	5	

8.2	Engagement in Policy Advocacy							
a.	Our CSO has identified specific policy issues for propagating its advocacy initiatives	N/A	1	2	3	4	5	
b.	One of the policy issues in on water and sanitation	N/A	1	2	3	3	5	
c.	Members of our CSO are involved in the process of selection and prioritization of advocacy agenda	N/A	1	2	3	4	5	
d.	Our CSO has established clear procedures to guide leaders, members and staff to participate in advocacy processes	N/A	1	2	3	4	5	
e.	We often conduct reviews of our advocacy work and process	N/A	1	2	3	4	5	

INSTRUCTIONS

1. The self- assessment group should comprising staff, members of the board or executive committee and other stakeholders selected by the CSO reflects on the capacity status in the organization. The group reads and scores each element under the category based on the realities in the organization based on the interpretation on the first page of this tool. Group members should reach an agreement based on convincing reasons and evidence. This is very crucial because reasons and evidence will be shared with the consultant in the second part of the exercise.
2. The scoring of all elements will be added and divided by the total number of elements in each component. This will give an average for each component on the basis of which the status of each component will be determined. And based on the interpretation above, interventions could be proposed.
3. The scores in the first part of self-assessment will essence be provisional as each and every element will be revisited and discussed on the session with the consultant, that is when final scores will be reached. In view of the fact that the exercise is meant to identify strengths and weaknesses of the CSO on the basis of which areas of capacity development interventions are identified it is prudent to be objective in the assessment.