

Organisational Development (OD)

Partner Capacity Assessment (PCA)

Questionnaire for measuring Organisational Capacity of NGOs

For the purpose of measuring UMN's OD Area of Work impact and monitoring of Partnerships through Exit Strategy, the following capacity assessment questionnaire has been developed. These questions are directly related to the OD strategic plan outputs 1-7 and the Partnership Exit Strategy Criteria. The questions are most appropriate for use with NGO partners and to some extent with Co-operative partners as well.

When can this assessment be done?

This assessment will form an important part of Participatory Organisational Assessment (POA), which is conducted between the time period of Potential Partnership Agreement and Partnership Agreement. The data from this assessment will provide inputs for action planning and serve as a baseline for measurement of change in organizational capacity areas over time. It will also be part of setting the objectives for the Partnership as guided by the Exit Strategy process.

This assessment will be conducted at least 3 times over a partnership period: first one at the time of POA for establishing a baseline (as described above), second one during the middle of partnership as a monitoring tool (probably on the 3rd year of partnership) and final one towards the end of the partnership as an evaluation tool (which will form a part of UMN Exit Strategy). Partner Organisations can also conduct this assessment themselves every year as a part of their annual review.

How to use this assessment?

There are specific questions under each output covering different aspects of the OD strategic plan output. Each question has four different options and each respondent(s) can choose only one option for each question that describes most closely the situation of their organisation.

When completing the assessment please **tick only the one that describes your organisation best.**

It is recommended that the following people participate as respondents.

1. Chairperson, Vice Chairperson, Secretary and Treasurer-mandatory
2. 50% of other EC members selected randomly
3. 20% or 10 which ever is less, general members.
4. Target Group representatives as appropriate

The data obtained from this assessment will be processed in spreadsheet format. This will provide quantifiable indicators which are presented in a bar chart or spider web for reporting and interpretation.

Output 1: Partner Organisations have functional management systems (policies and procedures) so that they make use of their technical skills to achieve their mission, vision and goal.

1.1. LEGAL FRAMEWORK and GOVERNANCE

111. How far is the organisation operating in the existing legal framework of the government?

- A The organisation is registered with the local authorities but no other place
- B The organisation is registered with local authorities and also affiliated with SWC
- C Is registered with local authorities, affiliated to SWC and also acquired either PAN number or tax certificate.
- D The organisation has fulfilled all the legal requirements and these are maintained or renewed as required.

112. EC membership and governance

- A EC is composed of close family members with EC members serving as staff.
- B EC is composed of relatives with EC members serving as staff.
- C EC members are unrelated but some of the EC members serve as staff in the organisation
- D None of the EC members are related nor staff in the organisation.

113. How clearly do the EC members understand their roles and responsibilities?

- A Roles and responsibilities are not clearly defined
- B Roles and responsibilities are clearly written but the members do not understand it.
- C EC members understand their roles and responsibilities but do not follow it.
- D Roles and responsibilities are understood and followed by EC members.

114. How have been the EC meetings been functioning?

- A EC meetings have not been held in past six months.
- B EC meetings are held but irregularly.
- C Regular EC meetings have been held but lack open discussion on the agenda items.
- D Regular EC meetings have been held in an open environment with minutes recorded.

1.2. MANAGEMENT

121. To what extent are written rules and policies used by the organisation?

- A There are no written policies except the constitution
- B Organisation has identified the need for other policies but not developed them.
- C All required policies were developed and now being implemented
- D Policy development, implementation and revision is a part of ongoing process.

122. To what extent is the staff recruitment or selection process open and transparent?

- A Open competition for staff positions has not been held so far.
- B Though the vacancy was open to all, nepotism and political pressure guided the staff selection.
- C Vacancy was open to all, however EC members put pressure to select their own people
- D Staff were selected through open competition based on knowledge, skills and experience demonstrated.

123. How have the staff of the organisation been managed?

- A Staff have been asked to work verbally.
- B A contract letter was signed but no job description given.
- C A contract letter was signed along with job description.
- D Contract letter, job description and performance development system have guided the management process.

124. To what extent have the staff been given opportunity for their professional development?

- A Non of the staff members participated in staff development activities during the past year.
- B On average the staff participated in one staff development activity during the past year.
- C On average the staff participated in two staff development activities during the past year.
- D On average the staff participated in three or more staff development activities during the past year.

1.3. PROCESSES

131. To what extent do planning processes lead to smooth organisational functioning?

- A Organisation has not developed planning processes yet.
- B Organisation has developed and written plans
- C Organisation has prepared and implemented a planning process .
- D Organisation has developed, implemented and carried out revisions of its planning processes.

132. To what extent has the organisation made plans for its future?

- A There is no thinking about the future.
- B Organisation has thought of preparing a strategic plan but not developed it yet.
- C Strategic plan was prepared with outside support but is not referred to.
- D Strategic plan was developed and all short term plans are referred to it.

133. How is annual planning carried out in the organisation?

- A There is no system of annual planning
- B General plans are developed but not referred to during implementation
- C Annual plans are prepared and implemented without any revision or review processes
- D Annual plans are prepared, implemented against set time lines and reviewed regularly

134. To what extent are monitoring and evaluation processes developed and used?

- A Organisation has not developed any M&E processes yet.
- B Organisation has developed a monitoring and evaluation process but it is only used for reporting.
- C Organisation has implemented its monitoring and evaluation process and uses the findings in planning.
- D Organisation has developed, implemented and regularly revises its M&E processes.

135. How is the budgeting carried out in the organisation?

- A There is no system of financial planning
- B General budgets are developed but not adhered to or referred to.
- C Budgets prepared and implemented against the approved line items.
- C Budgets prepared, revised semi-annually and implemented against set time lines.

Output 2: Partner Organisations are actively involved in networking at local, national and international level.

2.0. NETWORKING

201. To what extent is the organisation affiliated to networks or federations?

- A Organisation has not been affiliated with any relevant networks or federations
- B Organisation is in the process of affiliating with one or more local networks or federations
- C Organisation is a member of one or more regional level networks/federations along with local ones.
- D Organisation is involved with national* networks/federations along with local and regional ones.
(*for UMN national level Partners this will be international networks/federations)

202. What is the organisation's level of participation in the networks/federation?

- A Networking is maintained informally or through occasional renewal of membership.
- B Networking is maintained through regular renewal of general membership only.
- C Representatives of the organisation serve as EC members of one or more networks/federations
- D Representatives of the organisation serve as key EC members of one or more networks/federations.

203. To what extent has the organisation benefited from networking?

- A There have been no apparent benefits
- B Some sharing and learning from information such as lessons learned, good practices and experiences.
- C Organisation has received either of technical or financial assistance from its network members
- D Organisation has received both technical and financial assistance from its network members.

Output 3: Partner Organisations are increasingly able to access independently of UMN the necessary resources (financial and technical expertise) to achieve their mission, vision and goal.

3.0. SUSTAINABILITY

301. How able is the organisation to access its own resources?

- A Organisation has no ability to write its own proposals
- B Some of the EC members can write proposals with outside assistance
- C Organisation has written and submitted proposals without outsiders assistance
- D Organisation has prepared proposals and accessed funds from outside independently.

302. To what extent is the organisation dependent on UMN for resources?

- A Organisation is highly dependent on UMN for both technical and financial support.
- B Organisation is somewhat dependent on UMN for either technical or financial support.
- C Only critical situations require some technical support from UMN .
- D The organisation can sustain its activities without any support from UMN.

303. How good is the organisation at maintaining a database of potential and actual resource organisations?

- A There is no database or list of organisations that may provide resources.
- B Database of a few local organisations is initiated but not updated.
- C Database of local and outside organisations maintained but no frequent contact takes place.
- C Database of local and outside organisations maintained with demonstrated frequent contacts and updating.

304. How diversified are the organisation's sources of funding?

- A Organisation has no funding base at all.
- B Organisation has access to some local agencies (eg; VDCs) or an INGO
- C Organisation has access to some district level funding (eg; VDCs, DDC or GoN line agencies.) or INGOs
- D Organisation has access to diversified bases of funding including DDC/VDCs, GoN line agencies and INGOs.

305. To what extent has the organisation developed professionalism in its own work?

- A Members/staff are not able to apply any technical expertise to the work of the organisation.
- B Members/staff served as resource persons for less than twenty percent of activities in last year.
- C Members/staff served as resource persons for twenty to fifty percent of activities in last year.
- D Members/staff served as resource persons for more than fifty percent of activities in last year.

306. To what extent has the organisation provided technical assistance to others?

- A Members/staff are unable to provide technical expertise to others OR consultancy has not been requested.
- B Members/staff served as resource persons providing less than two consultancy in last year.
- C Members/staff served as resource persons providing three to five consultancy in last year.
- D Members/staff served as resource persons providing more than five consultancy in last year.

Output 4: Partner organisations are using non-financial approaches to achieve their Mission, Vision and Goal.

4.0. LOCAL RESOURCES

401. How good is the organisation at volunteering its services?

- A The members prefer not to volunteer their services.
- B Members have occasionally volunteered to implement organisational activities.
- C A volunteering policy have been developed but most of the members fail to comply with it.
- D Members have documented evidence of their volunteering work complying with the volunteering policy.

402. How good is the organisation at mobilizing local resources? (Taking last year as reference)

- A Less than 5 % of the activities were implemented through mobilizing local resources.
- B 6-10% of the activities were implemented through mobilizing local resources
- C 11-15% of the activities were implemented through mobilisation of local resources.
- D >15% of the activities were implemented through mobilizing local resources.

Output 5: Partner organisations are accountable for their outputs and transparent in their financial and other transactions to their target groups.

5.1. IMPLEMENTATION OF ACTIVITIES

511. To what extent were the planned activities achieved in last year?

- A Less than 40% of the planned activities were implemented.
- B 40- 60% of the planned activities were implemented.
- C 61-80% of the planned activities were implemented.
- D More than 80% of the planned activities were implemented.

512. To what extent was the budgeted amount spent in last year?

- A Less than 60% budget was spent.
- B Budget spending was 60-75 percent.
- C Budget spending was 76-90 percent.
- D Budget spending was over 90 percent.

5.2. TARGET GROUPS and OTHER STAKEHOLDERS

521. What degree of participation do the stakeholder¹s have in the planning cycle?²

- A Planning is carried out by either the chairperson or secretary only.
- B Planning involves the key EC persons (Chair/vice chair person, secretary and treasurer only).
- C All the EC members are involved in planning
- D All concerned people (EC, target group and key stakeholders) are involved in the planning.

522. How far does the organisation address the real needs of the target groups?

- A Organisation prepares plans and programmes itself by staff in the office.
- B Organisation follows a consultative process internally to prepare its plans and programmes.
- C Organisation carries out the need assessment of community and occasionally includes results in its plans.
- D Organisation demonstrated inclusion of target groups through participatory need assessment or similar

523. How clearly are the target groups or working area defined?

- A There is no definition of either
- B A written definition of one exists (either target group or working area)
- C A written definition of both exists but members are not aware of it.
- D All members have clear understanding about the target group and working area

524. How far is the organisation concerned with serving its target groups in a sustainable way?

- A The leaders have not thought about this.
- B Leaders express a superficial concern towards uplifting its target groups.
- C Some concern is demonstrated towards uplifting the lives of target groups.
- D The organisation has a long term vision and plan to serve its target groups and following this plan.

5.3. TRANSPARENCY of PROGRAMMES and BUDGET

531. To what extent are the organisational activities known to others?

- A Only the EC members can explain about the organisation and its activities
- B All general members are aware of their organisation and its key activities.
- C All members and selected target group representatives can explain about the organisation and it's activities
- D All members and randomly selected target groups can explain about the organisation and its activities.

532. How have the accounts been managed?

- A No accounts have been maintained
- B Treasurer or Chairperson notes the details of transactions showing income and expenditures separately.
- C Organisation has maintained double entry book keeping but clarity and understanding is limited.
- D Organisation maintains up to date, fair and clear accounts and provides monthly financial statements.

¹ Stakeholders are communities, line agencies, other local NGOs, general members

² Planning cycle includes need assessment, implementation, monitoring and evaluation

533. Have the organisations accounts been audited?

- A External audits have not been held since last year.
- B External audit has been carried out regularly but most of the recommendations have not been implemented.
- C Most of the recommendations given by external audit have been implemented.
- D The organisation carries out both internal and external audit and implements the recommendations.

534. To what extent are the organisational programme and budget known to others?

- A Only the chairperson and treasurer know the programme and budget details
- B All EC members are aware of the programme and budget matters.
- C All general members are aware of the programme and financial matters
- D Programme and budget/expenditure are both shared with concerned stakeholders.

Output 6: Partner Organisations are confident, inclusive and show servant leadership.

6.1. CONFIDENCE

611. How democratic is the election process for the Executive Committee (or other positions)?

- A Open elections have not been considered or held so far
- B There is a pressure from members to hold an open election but the EC is reluctant to hold that.
- C Open elections held but members did not participate, dispute the legitimacy or have fear of giving candidacy.
- D Organisation has been holding free and fair elections to all posts and all members participated freely.

612. How far are the Vision, Mission, Goals and Objectives (VMGOs) of the organisation shared?

- A VMGOs have not been developed except for writing objectives in the constitution
- B Only Chairperson and few other key EC members understand VMGOs
- C Most of the EC members but no others have understanding of VMGOs
- D There is a shared understanding of VMGOs among all EC and general members

613. To what extent have the activities of the organisation achieved their goal and objectives

- A The organisation has made no visible progress towards their goal and objectives.
- B The organisation can demonstrate progress towards achieving some of their goal and objectives.
- C The organisation can demonstrate progress towards achieving most of their goal and objectives.
- D The organisational documentation and activities demonstrate that they achieve all their goal and objectives.

6.2. INCLUSIVENESS

621. To what extent are the key structures³ such as the EC inclusive?

- A The key structures are composed of upper caste and/or males only.
- B The key structures include either some women (33% minimum) or dalits (proportionate to population).
- C The key structures include both women (33% minimum) and dalits (proportionate to population)).
- D There is proportionate inclusion of gender, dalits and target groups in the key structures

622. To what extent are the staff and staff appointments inclusive?

- A The staff are upper caste and/or males only.
- B The staff includes either some women (33% minimum) or dalits (proportionate to population).
- C The staff includes both women (33% minimum) and dalits (proportionate to population)).
- D There is proportionate inclusion of gender, dalits and target groups among the staff

³ OD's focused key structures are the Executive Committee, Account committee if appropriate and other sub-committees.

6.3. SERVANT LEADERSHIP

631. How do leaders demonstrate their commitment towards the organisation?

- A There is no values statement or other statement describing organisational characteristics
- B Values statement is developed but leaders do not follow or refer to it.
- C A written form of values statement is developed and some leaders occasionally follow or refer to it
- D Values have become the guiding principle for overall functioning of the organisation (EC, Staff and members)

632. How far is the organisation in developing its second line leadership?

- A The organisation is run by one person (such as Chairperson or Secretary).
- B The organisation is run by one person with some consultation from the key EC members.
- C The organisation is taking action to develop its second line leaders.
- D Second line leaders have been developed who can take over and perform leadership roles at given time.

633. Who makes the important organisational decisions?

- A Only the Chairperson or Secretary.
- B The key EC members.
- C The Executive Committee
- D The EC in consultation with key staff, target group and key stakeholders.

634. To what extent has the organisation been maintaining its stated identity and purpose?

- A Organisation implements any activities as and when outsiders request them and provide resources.
- B Leaders are aware of their organisational identity but fail to make decisions in accordance with it
- C Leaders are concerned and committed in action and decisions to maintain their organisational identity.
- D Maintaining organisational identity has served as a basis for all the organisational planning and activities.

Output 7: Partner organisations are documenting, sharing and making accessible the lessons learnt, good practices and new knowledge to all relevant audiences/stakeholders.

7.1. DOCUMENTATION

711. How good is the organisation at documenting and sharing its reports and experience?

- A There is no skill to write reports and case studies or record good practices.
- B Reports, experience and case studies have been documented but not shared with others
- C Reports, experience and case studies have been documented, published and shared within the organisation.
- D Reports, experiences and case studies shared in and outside the organisation and publicised in local media.

712. Has the organisation participated in or organised learning and sharing meetings in the last year?

- A The organisation was neither invited by others nor invited others for any learning and sharing meetings.
- B The organisation was either invited by others or invited others for some learning and sharing meetings.
- C The organisation was both invited by others and invited others for at least one learning and sharing meeting.
- D The organisation was both invited by others and invited others for at least two learning and sharing meetings.

713. To what extent does the organisation receive recognition and rewards from its stakeholders?

- A There has not been any evidence or form of recognition/reward to the organisation.
- B The organisation has been recognised/rewarded by its stakeholders verbally.
- C The organisation received appreciation letters and/or cash from one or two stakeholders for its good works.
- D The organisation received appreciation letters and/or cash funds from more than two stakeholders.