

CARE Basic Education Fellowship PARTICIPATOR CAPACITY ASSESMENT TOOL

Why CARE-BEF Prepared the PCA Tool

CARE-BEF program works with some 19 local CBO and NGO partners in Kenya and Tanzania. This program aims at improving the quality of basic education by enhancing the organizational and institutional capacity of partner organizations known as Fellows. In order for CARE and Fellows to jointly assess capacity-building needs, design appropriate interventions and continuously assess progress, it became necessary to adapt an appropriate tool fit for the level of the Fellows. The Participatory Capacity Assessment (PCA) tool is developed to accomplish the following specific purposes

- For organizations to reflect on their organization/institution needs and continuously learn
- To understand their key strengths, opportunities and to build on success
- To establish an organizational effectiveness baseline against which progress can be monitored
- Share the report with donors to seek financial and other capacity support
- Diagnose potential dangers/problems and take preventive measures
- To determine areas needed for organization improvement and allocate resources
- To create teamwork between leaders, management staff and external stakeholders for organizational development and strategic management
- Assess the programmatic impact of the organization

The tool is meant to be flexible to accomplish multiple purposes appropriate to various organizations

How the PCA Tool was developed

Initially, BEF program used other tools, like the Organizational Capacity Assessment Tool (OCAT) but found it difficult for the level of small organizations. What makes the PCA tool unique is the extensive consultation with and active participation of all BEF partners and potential future users. This, it is hoped, will create a sense ownership and make the usage more effective. The tool also benefited from the experiences and lessons of several organizations that have developed and used similar tools. The following specific steps were followed in developing the tool: -

1. Existing capacity assessment tools used by several organizations (10 such tools) were gathered, reviewed and summarized. These among others included, OCAT developed by PACT, IAI by World Learning and others locally adapted tools.

2. Agency level focus group discussion was conducted to determine broader organization categories and sub-categories relevant to local NGOs (7 local NGO leaders and staff were involved in this study)
3. In a two-day focus group workshop with extended BEF partners, an agreement was reached on broad organization categories and sub-categories. Outputs from agency level focus group exercises were reviewed and incorporated
4. It was then drafted by team of IIRR senior staff in consultation with BEF staff. The draft was then field tested by BEF team in Kenya and Tanzania, by World Learning project in Uganda, by local NGOs themselves, other non-BEF partners and IIRR team. After incorporating the feedback from the field the tool was revised with suggested changes and BEF partners were oriented on use and adaptation of the PCA tool.

Who can use the Tool?

Primarily, the tool is developed for capacity assessment of local NGOs who have basic organizational structures in place and have been operational for sometime. All aspects of PCA tool may not be immediately applicable to all local NGOs but the tool can be useful in setting a benchmark against which future progress can be monitored and measured. The PCA tool can also be used for CBOs that are fairly developed with some adaptation. If the PCA is to be used with newly emerging NGOs and smaller CBOs and self help groups, it may require a major adaptation. In addition, the tool will be useful to:

1. Intermediary organizations working with local NGOs, CBOs, self help groups and local NGOs to determine capacity building needs and to decide on partnership role
2. CBO/NGO boards to evaluate performance of their organizations and management and take appropriate action
3. Government and regulatory bodies to evaluate CBO/NGO performance and structure for renewal of permits, licences, tax exemption, etc.
4. Donors to assess CBO/NGO structure, strength, transparency and accountability as a basis for make funding and partnership decisions
5. External bodies, consultants to gather and analyse data for the purpose of setting a baseline and evaluating an organization's performance
6. National and international NGOs concerned about their organizational performance

The section on education is applicable for organizations especially involved in basic education.

How PCA Tool can be used

PCA tool is designed to gather not all but only important data. It can be used internally within an organization or can be facilitated by external experts. The tool itself is comprehensive but organizations are free to choose or adapt any section of a tool that is most appropriate and relevant. Ideally, it is aimed to involve all stakeholders (board, management, staff, beneficiaries and other important stakeholders of the organizations). Each organization is challenged to develop its own appropriate and simple methods that ensure participation of many. In as much as possible, the process should be “fun-oriented” but at the same time educational

The process requires a facilitator who is either an external consultant or one of the experienced staff members of the organization who has taken PCA tool orientation or conducted a similar exercise alongside an experienced facilitator. He/she should have a good understanding of and familiarity with institutional and organizational development issues. In addition to knowledge of PCA tool, the person should have good facilitation skills to ensure full participation of all concerned. It is highly recommended that the data collection be done in teams of two, one to carry out the interview and the other to record. The PCA tool can be applied in two settings.

The setting can be either one-to-one structured or semi-structured interviews and/or small group meetings. In some cases, the most appropriate setting may be meeting individual staff or members of management team. It is important to select staff from a cross-section of an organization to represent the interests and knowledge of different groups such as the board, management, technical staff, support staff and representatives of relevant stakeholders. A one-to-one setting is advantageous in that the person being interviewed can be assured of the confidentiality of the information, although this can be time consuming.

Small groups can be focus groups or key informant groups, preferably not exceeding 12-15 individuals who can provide relevant information. Grouping can be organized along lines of the board and executives, management, technical support, stakeholders or mixed. The facilitators decide the most appropriate setting based on the particular environment. An advantage of this setting is that information from many people can be gathered in a short span of time. However, facilitators must ensure active participation by all and avoid dominance by only few. A clear process of recording and accurately reflecting on the agreements of the group members is important.

Methods and tools for Data Gathering

A “basket ” of tools and methods are presented below. Each organization and each group can adopt any of the tools described below or may altogether choose another tool more appropriate. Facilitators are advised to use a constructive or affirmative approach in the interview process. The single most important thing to remember is to keep the questions and the interaction positive. It is important to keep the discussions on the strength and opportunities of the organization not on weakness. The following are some suggested tools for data gathering.

Story telling: Positive stories are powerful tools for information gathering. Be it in one-to-one interviews or focus group meetings, individuals can be asked to relate a story or anecdote. Individuals can be asked to relate a story on when a certain aspect of the organization was at its best. It is important that the story focuses on a category or sub-category of the organization's effectiveness. For example, the individual can be asked to relate a story about the governance aspect of the organization and its various elements such as the board or legal status. Based on the flow of the story, the facilitator can ask follow-up questions related to a specific aspect of the organization to fill in the information gaps.

Before moving to another section, facilitators ensure that all issues, criteria and indicators are exhausted and fully answered. In a focus group setting, each member is requested to fill in information gaps, agree or disagree with information coming out of the story. Individuals and focus group members summarise the levels of their agreements and fill the ranking sheet.

What I Like Most, What I Would Like Improved: This is another positive approach to data gathering. Taking each of the organizational development categories, facilitators can ask what the individual or focus group members liked most about each category. For example, if the category is about the board, the question to ask is: What do you like most about your board? After recording all the positive attributes, the facilitator can ask, what would you like to be improved? The group or individual then can be asked to summarise their agreement by filling the scoring sheet for each criteria under each category and sub-category.

Playing Boss: Each group member can be challenged to dare and suggest changes they will bring about if they were the director, chairman of the board, finance controller, HRD manager, etc. They can be asked to produce as many cards for the improvement they would introduce if they were the bosses in each of the above categories. The wish list of all the participants is then summarized and they are asked to rank the current state of the organisation in each of the categories

Using Flash Cards: This method can specially be useful when the assessment will be conducted in a group where the time to interact with each respondent may be short. The facilitator distributes a set of numbered cards from 1-5 or different colure cards each representing a degree of satisfaction.

The facilitator reads each criteria under major and sub-categories. The respondent flashes a card that best reflects their choice of an appropriate ranking for each of the criteria. The facilitator asks the reason for the respondent's choice and the two jointly reach a common agreement and fill the ranking sheet.

In the case of a group, an average rank will be taken after brief discussions between the members.

Role Play: Individuals and groups can be asked to spontaneously act out a role that depicts how various aspects of their organisation function. A role-play of how leadership makes decisions can be a simple and fun-oriented approach that shows leadership behaviour and decision-making process. Focus group members can explain the issues and lessons involved in the role-play.

Several groups can be assigned to act out various aspects of the organisation. If playing a role in a mixed group would be sensitive, a less threatening environment should be created. The group then discusses the various aspects brought out by the role-plays. Group members rank the various criteria in each of the categories following the discussions.

Drawing Pictures: A cartoon or an abstract picture can be a powerful communication tool. Individuals and groups can be asked to positively depict their current view or hopes for an organization and its function. Other members could be asked to explain the picture and those who drew the picture will tell stories. Participants draw parallels between the picture, the stories and the relationship to the situation of their organisation. Members then rank the various criteria for each category.

Organisational Life Line: Group members can reflect on the history of the organisation. When it started, why, by whom and how? What has it accomplished in each of the major categories such as governance and leadership? What challenges did it face and how did it overcome them? How has it changed over time? Following the analysis, participants can rank different criteria for each of the organisational categories.

Focus or Key informant Group Discussion: In mixed or homogeneous groups, staff, management and other stakeholders can be grouped to collectively reach an agreement on various aspects of their organization. They can be assigned a task or be given a set of questions to answer. An experienced facilitator can guide each group to reach an agreement. Cards or flip charts can be used for presentation of the summary of the group findings and agreements. Following the basic agreement, group members can rank the assessment sheet.

Structured or Semi-structured Interview: Facilitator can read the indicators under each of the organizational categories and ask the individual to select from the options provided in each of the rankings. After ranking of each section, facilitator can ask the staff member the reasons for his ranking and ask follow-up questions if necessary. Individual staff can also fill in the questionnaire independently and discuss the response with the facilitator.

SWOT Analysis: In small focus or key informant groups, the members of the organization and relevant stakeholders can carry out a SWOT analysis. The focus should be on the positive, mainly on strengths and opportunities. SWOT analysis can focus on each of the categories or sub-categories at a time to avoid generalization. Following the SWOT analysis the group can summarize their findings and fill the ranking sheet based on the agreements reached.

Organizing the Information

The organizational assessment information is organized at three levels. The first is an organizational effectiveness category. The second level is the sub-categories of this. In most cases, the major categories are divided into sub-categories. The third level is indicators that further explain each of the sub-categories. There are five sub-categories identified important by various groups.

A sixth category is specific to organizations involved in basic education the following example illustrates how the above categories can be organized and understood.

Level 1	Level 2	Level 3
Organizational effectiveness category	Organizational effectiveness Sub-Category	Organizational effectiveness indicators
1. Governance	1:1 Board 1:2 Vision-Mission	1:1:1 diversity of composition 1:1:2 clear roles and responsibilities

The PCA Tool Rating Sheet

For each of the sub-categories, a set of statements that indicate the current status of the organizational effectiveness is provided. The rating sheet will enable each respondent or a group to assign numerical values to the agreed response. The filling of the rating sheet can be done effectively after the group or the individual and facilitator have discussed and reached a general agreement on a given organizational effectiveness category or sub-category. Each statement is assigned a numerical rating ranging 1-5 where five represents the highest possible rating and one the lowest. Each of the numbers represents the levels and urgency of improvement.

- 5 = needs to maintain current level of effectiveness
- 4 = Needs some improvement, but not so urgent
- 3 = Needs significant improvement in good time
- 2 = Needs major and urgent improvement in most areas
- 1 = Needs major and urgent improvement in all areas

The following is an example of PCA tool ranking sheet.

		5	4	3	2	1
2. Constituency Participation	• There is active participation of constituency/ stakeholders in planning & activities					
	• Our constituency is target of awareness creation & mobilization					
	• Our constituency is a specific and well-defined					
	• Our constituency feels responsible and “owns” the project					
	• Our constituency is being encouraged to manage their own affairs and become self-reliant					
Average		Σ				

If the group or individuals filling the rating sheet do not have the sufficient information or feel it is not applicable in their setting, they can ignore the indicators or the section altogether.

Computing and Averaging

Computing and averaging will take place at three levels. The first is at the indicators level where individual or group-rating responses for each indicator under each sub-category will be computed and averaged. The example below illustrates this.

Step 1: Assigning Numerical Values to each Indicator

E.	Board/Leadership	5	4	3	2	1
	1. Understanding roles and functions					
	2. Appointment and succession					
	3. Decision making					
	Average					3.3

Step 2: Computing and averaging major effectiveness the sub-categories

For most of the major categories there are several sub-categories. These can be grouped and summarized. An example of a major category under governance illustrates this point.

Governance

Board	3.3
Vision-Mission	4.5
Legal status	1.5
Constituency	2.3
Average ranking	3.0

Step 3: Computing average for all major effectiveness categories

The table below summarizes a few of the examples of the major organizational categories used for assessing the organization

Category	Average Rating
Governance	3
Management Practice	2.5
Program Development and Service Delivery	4.8
External Relations and Networking	3.5
Sustainability	3.2
Total Average	3.4

Analysis of the PCA information

The primary purpose of the PCA is to determine the level of organizational effectiveness and to identify areas for further improvement. In this tool, a deliberate choice is made to associate organisational growth to stages of human development. We have adapted the organisational life cycle concepts developed at Manitoba Institute of Management in 1980s. The four categories are: -

Infant

The newborn organisation. Like an infant, the organization is mainly dependant on few significant others, often known founders. To keep the newborn alive, the founders do all within their capacity to nurture it. The new borne often suffers from the shortage of basic needs: financial, technical, managerial and need to belong. The organisations are usually under-funded and under-staffed. The few members are busy implementing all kinds of activities to keep the infant organisation alive and out of danger. All members play multiple roles; responsibilities overlap without any system in place.

Toddler

Unlike the newborn organisation, the toddler can stand and walk on its feet. He/she engages diverse activities to utilize the new energy. A toddler could walk astray with this energy. Similarly organisations see opportunities and pursue each with energy. Although founders are the key to keep the organisation moving, they involve management and technical staff. .

Adolescent

This is a somewhat maturing organization with adequate human and other Resources. Has a good mix of skills in staff, management and governance. There is a shared sense of ownership by staff and management group. The organisation takes time to plan, learn and reflect. It has basic administrative, financial and management structures in place.

Prime

It is a high standard organisation with all systems functioning. Management, personnel and other policies and procedures are well developed and in place. The vision is clearly articulated and understood by all. Clear goals are set, monitored and achieved with confidence. There is a high level of accountability at all levels and a sense of ownership of the organization by all stakeholders.

Determining the Growth Stage of an Organization

After the ranking and assigning of numerical values to each of the major and sub-categories is completed, the facilitator and members of the organization jointly determine the growth stage of their organization using the above stages as a guide. The exercise is not to produce perfect placement but to reach a general agreement that can be used to monitor and assess the future growth and development of the organization. It is natural for an organization to be categorized as infant in one sub-category or major category and as adolescent or prime in the other. This only shows how one aspect of the organization is developed ahead of the other and this is normal.

A detailed indicators guide for each category and sub-category is provided as a reference for facilitators and staff who will undertake this exercise.

The following example illustrates some indications of where an organization is in terms of governance sub-category of leadership

I. Governance

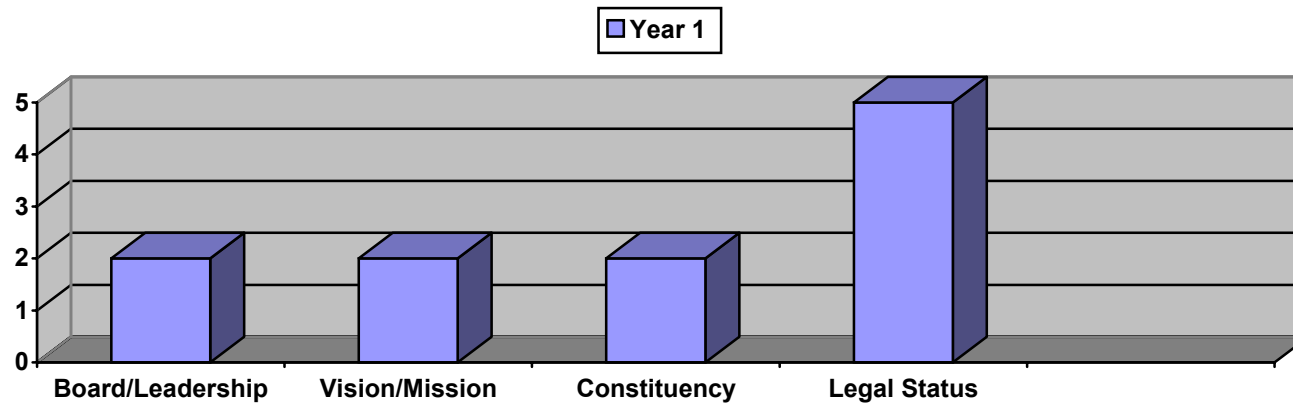
E. Leadership	Infancy	Toddler	Adolescent	Prime
Understanding of roles and functions	Confused roles and functions of executives, board and founders	Some leadership roles are clear with lots of overlaps	Little or no role conflict	Written and clear roles with no conflict

Stage	Rating
Infant	1:0 – 2:0
Toddler	2:1 – 3:0
Adolescent	3:1 – 4:0
Prime	4:0 – 5:0

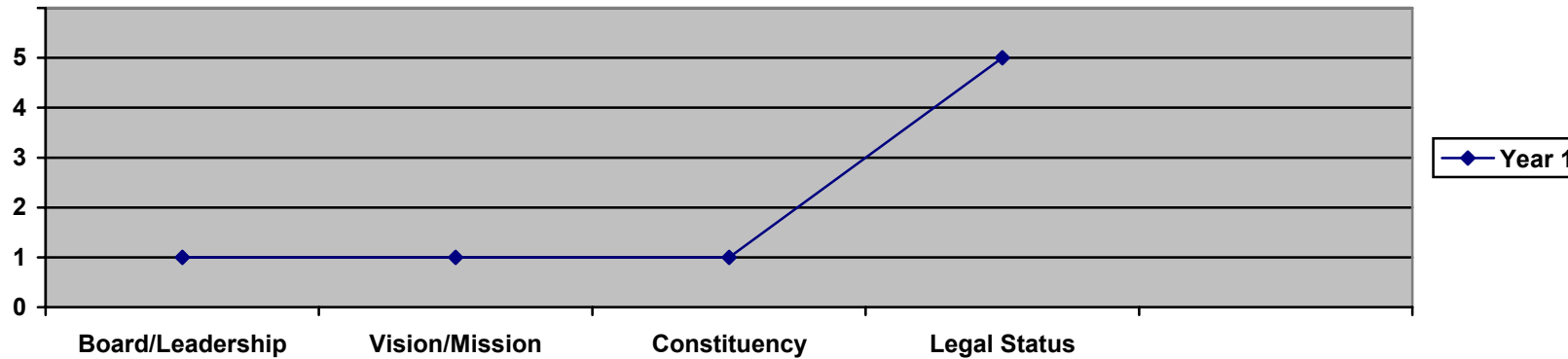
Step 6: Summarizing and Presenting the Data

Different organizations can choose different approaches appropriate to them. The purpose is to make visual presentation that will enable them to make visual comparison to determine where improvement may be needed. The following example illustrates these various possibilities. These examples can be used to summarize the sub-categories and major categories of the organizational effectiveness.

A. Bar Graph: Governance



B: Line Graph: Governance

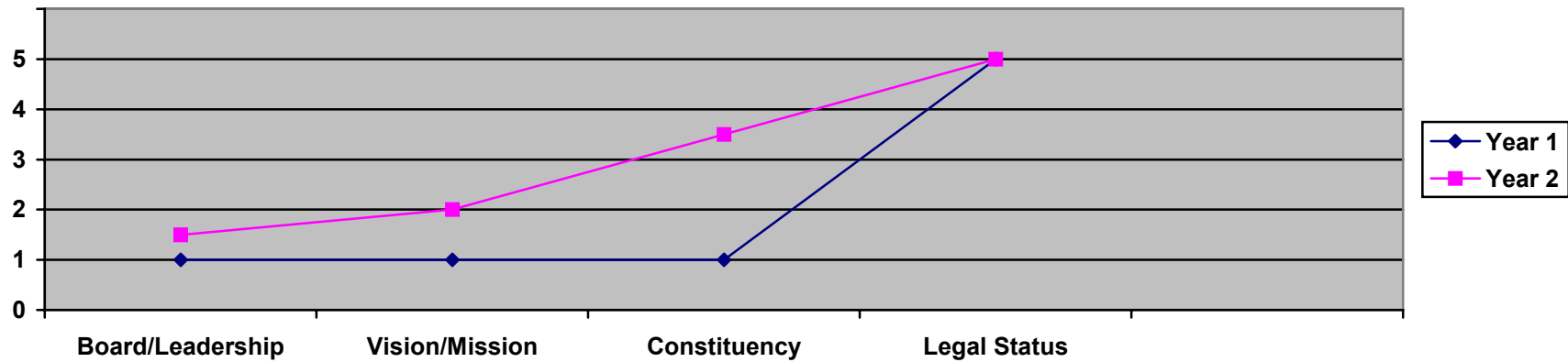
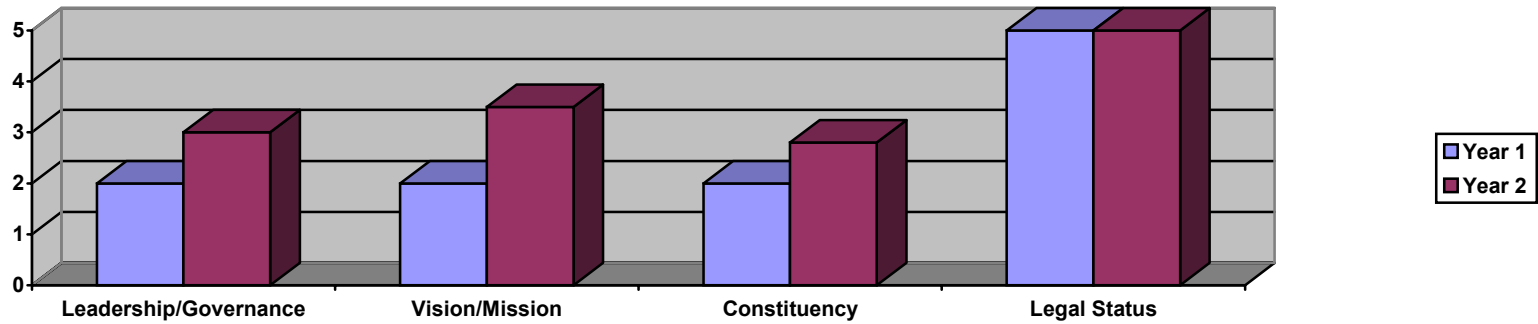


KEY

- 1=Infancy
- 2=Toddler
- 3=Adolescence
- 4=Prime

Step 7: Re-assessing the Institutional and Organizational Capacity

The PCA tool is designed for organizations to continuously re-assess the performance of their organization to see how well they are doing as well as to detect any potential problems that need to be given special attention before it is too late. It is recommended that re-assessing exercise to take place once every year internally may be with some assistance of an external facilitator.



KEY

- 1=Infancy
- 2=Toddler
- 3=Adolescence
- 4=Prime

Annex I: Organisational Capacity Assessment Rating Sheet

Type of the organisation (CBO, Local NGO, Self-help Group).....

Size of the staff: Technical..... Support.....ManagementMaleFemale.....

Person(s) facilitated rating.....

Date/Day/Month/Year rating conducted.....

Tool(s) used to facilitate information gathering.....

Setting (individual or group).....

If individual: Rank..... Position..... Male.....Female.....

If group, composition: Male..... Female.....

ManagementSupport.....

Technical.....Board.....

Other stakeholders.....

GOVERNANCE

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
<i>Vision/ Mission/ Goal (V/M/G)</i>	<ul style="list-style-type: none"> The level to which core values of our organization are reflected in V/M/G 					
	<ul style="list-style-type: none"> Existence of a clear and consistent V/M/G statement that provides focus and direction 					
	<ul style="list-style-type: none"> The way V-M-G is translated into activities of the organization 					
	<ul style="list-style-type: none"> Availability and clarity of strategic plan 					
	<ul style="list-style-type: none"> The level V/M/G are understood and a feeling of ownership at all levels 					
	Average					
Constituency Participation	<ul style="list-style-type: none"> The level of participation of the constituency/ stakeholders in planning & activities 					
	<ul style="list-style-type: none"> Level of awareness creation and mobilization of constituency 					
	<ul style="list-style-type: none"> Extent constituency is specific and well-defined 					
	<ul style="list-style-type: none"> The extent constituency feels responsible and “owns” the organization and its activities 					
	<ul style="list-style-type: none"> How constituency is encouraged to manage their own affairs and become self-reliant 					
Average						
Board/Leadership	<ul style="list-style-type: none"> Extent to which strong and formal board and leadership exists 					
	<ul style="list-style-type: none"> The level to which the board/leaders are accountable & transparent 					
	<ul style="list-style-type: none"> The extent to which board/leaders are accessible and available 					
	<ul style="list-style-type: none"> Extent board/leaders execute control & supervision 					
	<ul style="list-style-type: none"> The level of decision–making carried out by board and leaders 					
	<ul style="list-style-type: none"> Qualification and competency of the board 					
	<ul style="list-style-type: none"> Board/leadership representation of diversity and equity (gender, race, religion, etc.) 					
	<ul style="list-style-type: none"> Clarity of roles, responsibilities & authority of board/ leaders 					
	<ul style="list-style-type: none"> Extent board in resource mobilization 					
	<ul style="list-style-type: none"> Level that board/leadership are involved in lobbying & advocacy for the organization 					
Average						
<i>Legal Status</i>	<ul style="list-style-type: none"> The extent to which the organization is legally secure 					
	<ul style="list-style-type: none"> Ability of the organization to fulfill its legal obligation 					
	<ul style="list-style-type: none"> Level of benefits it derives from its legal status 					
Average						

MANAGEMENT PRACTICE

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
Management Administration	<ul style="list-style-type: none"> Extent to which accountable and transparent management exists 					
	<ul style="list-style-type: none"> Level to which management is team-based, participatory and consultative 					
	<ul style="list-style-type: none"> Level to which open communication is encouraged and practiced 					
	<ul style="list-style-type: none"> Existence of clear management and administration structure 					
	<ul style="list-style-type: none"> Existence of clear roles and functions (job descriptions, reporting procedures) 					
	<ul style="list-style-type: none"> Extent to which management has adequate managerial skills 					
	<ul style="list-style-type: none"> Extent to which responsibility and authority is shared by many 					
<i>Average</i>						
Human Resource	<ul style="list-style-type: none"> The degree to which human resource manual (salaries & benefits package; code of conduct; terms of employment; recruitment & dismissal procedures; grievances & conflict resolution procedures etc) exists and is being applied 					
	<ul style="list-style-type: none"> The extent to which job security rules & contracts are kept in writing 					
	<ul style="list-style-type: none"> The extent to which the organization is an equal opportunity employer with clear recruitment and selection procedures 					
	<ul style="list-style-type: none"> A level to which staff development program/policy (staff motivation and qualification, staff training, staff appraisal etc.) exist and is being implemented 					
	<ul style="list-style-type: none"> Level to which staff has safe and comfortable working environment (office space, equipment, communication facility etc.) 					
	<ul style="list-style-type: none"> Extent to which team work is encouraged and happening 					
	<ul style="list-style-type: none"> Extent to which staff efforts, creativity and suggestions are welcomed by management 					
<i>Average</i>						
Financial Management	<ul style="list-style-type: none"> Extent to which funds utilization & allocation are carried out according to established criteria 					
	<ul style="list-style-type: none"> Compliance to internal controls/ auditing/financial evaluation and its regularity 					
	<ul style="list-style-type: none"> Ability to meet donor requirements 					
	<ul style="list-style-type: none"> Financial accountability and transparency 					
	<ul style="list-style-type: none"> The level at which financial policy & manual is in place (approval/banking/accounting/budgeting/procurement/ payment/petty cash and signatory/procedures) 					
	<ul style="list-style-type: none"> Regularity and accuracy of financial reports 					
	<ul style="list-style-type: none"> Level of qualified finance personnel 					
<ul style="list-style-type: none"> Maintaining of inventories & assets register 						
<i>Average</i>						

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
Planning Monitoring and Evaluation	• Extent to which baseline data is established before project/programs are implemented					
	• Regularity and timeliness of data collection and analysis carried out					
	• Ability to develop clear indicators and SMART objectives					
	• Regularity and consistency of documentation/record keeping					
	• Extent to which evaluation and Impact assessment is done					
	• Level of beneficiaries/stakeholders participating in M&E activities					
	• Extent to which monitoring includes organizational and project progress					
	• Extent to which operation plans/activity plans are developed and used regularly					
	• Regularity of reporting (monthly/ quarterly/ annually)					
	• Extent organization uses & applies lessons learnt (learning culture)					
• Level to which information & lessons are shared with partners & stakeholders						
Average						

PROGRAM DEVELOPMENT & SERVICE DELIVERY

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
Program Development and Service Delivery	• Effectiveness of targeting beneficiaries					
	• Level of sectoral expertise					
	• Extent to which skills are transferred and community capacity built					
	• Extent to which community members take control of project management and implementation					
	• Extent to which services meets real needs of beneficiaries					
	• Effectiveness of service delivery structure/mechanism					
	• Equity and fairness					
Average						

EXTERNAL RELATIONS & NETWORKING

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
<i>External Relations and Networking</i>	<ul style="list-style-type: none"> The extent to which the organization is internally credible with community and local government in the area 					
	<ul style="list-style-type: none"> Collaboration & partnership with other organizations in same geographic area is a happening 					
	<ul style="list-style-type: none"> The extent the organization is networking/coordinating with donors 					
	<ul style="list-style-type: none"> Extent organization interacts and uses media/public relations facilities 					
	<ul style="list-style-type: none"> Recognitions and acknowledgements from government, public, donors, etc. 					
	<ul style="list-style-type: none"> Extent information technology (email, internet, telephone) is used for communication and networking 					
Average						

SUSTAINABILITY

1	2	3					
Area	Criteria	Please indicate your level of agreement					
		1	2	3	4	5	
<i>Sustainability</i>	<u>Program Sustainability</u>						
	<ul style="list-style-type: none"> Strategic nature of the program addressing critical issues 						
	<ul style="list-style-type: none"> Extent to which beneficiaries have ownership of the project 						
	<ul style="list-style-type: none"> Participation of community in program development 						
	<ul style="list-style-type: none"> Existing of a clear program strategy and understanding of it by all concerned 						
	<ul style="list-style-type: none"> Scope of a program to benefit more people 						
	<ul style="list-style-type: none"> Extent to which program is focused and prioritized 						
	<ul style="list-style-type: none"> Extent to which beneficiaries/constituency are involved in assessing results and impact of program on regular basis 						
	<ul style="list-style-type: none"> Inclusiveness of gender and other equity concerns 						
	<ul style="list-style-type: none"> Potential of project for replicability and scaling up 						
	<ul style="list-style-type: none"> Existence of staff skills to facilitate and mobilize communities 						
	Average						
	<u>Financial Sustainability</u>						
	<ul style="list-style-type: none"> Cost-effectiveness of program activities 						
	<ul style="list-style-type: none"> Diversity of funding base (type of donor; local /national /international) 						
	<ul style="list-style-type: none"> Existence of fundraising strategy, experience and staff capacity 						
	<ul style="list-style-type: none"> Level of income generating activities and efficiency of those activities 						
	<ul style="list-style-type: none"> Ability to generate credible proposals and concepts 						
	<ul style="list-style-type: none"> Practice on cost sharing with partners 						
	<ul style="list-style-type: none"> Significance of financial contribution to the community 						
<ul style="list-style-type: none"> Steps developed for local self-sufficiency 							
Average							

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
Sustainability Cont..	Organizational Sustainability					
	• Level to which the organization as a whole is accountable and transparent					
	• Extent M&E information is used to continuously improve the organization					
	• Existence of clear strategy that guides the organization					
	• Existence of systems such as MIS, M&E, HRM and others					
	• Existence of strong and team-based management and leadership procedures					
	Average					
	Institutional Sustainability					
	• Extent the organization is credible in the field and has established legitimacy					
	• Qualification and skill of staff in the sector					
	• Knowledge of the organization about the problem					
	• Ability of the organization to influence policy					
	• Sectoral linkage with others dealing with similar issues					
	• Ability of the organization to mobilize internal and external support					
	• Extent organization entered formal agreements (contracts, MoUs etc.)					
	Average					

VI: EDUCATION

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
Education	Participation in learning					
	• Involvement of pupils in learning and curriculum development					
	• Involvement of parents and PTA in student learning and curriculum development					
	Average					
	Skills and Expertise					
	• Qualification and competence of teachers to facilitate learner centred education					
	• Commitment and creativity of teachers to adapt student centred learning, materials and methods					
	• Levels of understanding education issues by teachers, parents, PTA and local authority					
	• Effectiveness of continuous education program in upgrading skills of teams					
	• Effectiveness of PTA training and awareness creation of communities					
	Average					

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
Education Cont..	Learning Environment					
	• Extent to which pupil relationship facilitates positive learning					
	• Existence of supportive pupil-to-pupil relationship					
	• Parents, teachers, school community relationship					
	• Impact of physical facilities (classrooms, dormitories, transport, teaching aids, equipment and other facilities) in learning					
	• Extent to which educational establishment discourages threatening elements (caning, harassment)					
	Average					
	Performance Evaluation					
	• Existence and regularity of assessing teaching and school management					
	• Diversity of methods to assess students' performance and best practices					
	• Efforts to award performance and best practices					
	• Fairness and integrity in performance evaluation					
	• Involvement of students, parents in performance evaluation of teachers and pupils					
	• Equity in education					
	• Extent to which a special consideration is given to minorities and disadvantaged (girl-child, etc.)					
	• Understanding of cultural and other factors that discriminate girl-child					
	• Access to education by all					
	Average					
	Sector's Development					
	• Contribution to effective learner centre policy development					
	• Engagement on action research to improve education (curriculum tools, etc.)					
	• Efforts to network and build alliance					
	• Integration of information technology to improve access to quality education					
	• Efforts to bring about innovation in education					
	Average					

FEEDBACK:

General _____

Major Difficulties encountered: _____

Positive Notes: _____

Specific Recommendations for improvement: _____

Annex II: Suggested Guide for Participatory Capacity Assessment

Organizational Category	Infancy	Toddler	Adolescent	Prime
I. Governance				
A. Board/Leadership				
1. Existence	Exists as team of founding members or associates	Exists as management team to fulfil registration requirement	Formal board exists to play most board roles	Strong and fully functioning board exists
2. Composition	Hand-picked close friends and relatives of founders	Few skilled and professionals mixed with friends or relatives	Good mix of professionals with some skills and gender diversity	Professional board with high level of diversity and skills to meet organizational needs
3. Terms in office and election	Not clearly stated or observed	Stated in the constitution and bi-lays but not observed	Written in bi-law and constitution and mostly Observed	Constitutional bi-laws exist and fully respected.
4. Authority and execution responsibility	All authority and execution rests on founders	Limited authority to management team, most power rest on founders	Board is an acknowledged authority with minor interference	Board's authority fully realized and its decisions are final
5. Roles/ responsibilities	Mixed with that of staff, involved in day-to-day operations of the organization	Plays most of the management and executive role and very little of board role	Involved in high level management issues but only when called for board and management role clearly separated	Provides an oversight, legal and policy direction. Involved in image building and resource generation
6. Meetings/regularity	Frequent like staff/ management meeting	Somewhat regular with most absent. Meets weekly or monthly	Mostly regular bi-annual or quarterly meetings with only few absent.	Regular with most attending. Meets annually unless called for emergency situation

Organizational Category	Infancy	Toddler	Adolescent	Prime
B. Vision/Mission/Goal				
7. Existence of written V-M-G statement	In most cases does not exists. If it does, it is by	May exist but stated differently in different	Exists and known by most of the staff and is guide for most activities	Exists to give organization a focus and strategic

	externals to meet outsiders demand	forms not utilized		a focus and strategic direction
8. Process of developing V-M-G and strategy	No clear process. If it exists, produced by external experts or copied fro other documents	Some board members, founders produce through help of consultant or donors	Internally initiated involving most of the key staff and management, and selected stakeholders	Involved all stakeholders, staff and developed with the assistance of an experienced facilitator
9. Understanding and ownership	Mainly in the minds of founders. Little understood by others	Understood by board founders and executives	Understood and owned by most of the board, selected stakeholders and management team	Understood and owned by all, staff, management, board and all stakeholders
10. Clarity and articulation	If it exists, Vaguely stated. No clear difference between V-M-G	Unfocussed with scattered activities. V-M-V not clearly linked	Clear purpose and V-M-G clearly and simply stated. Most activities reflect V-M-G	All activities and programs logically linked to V-M-G
11. Link between program/activities	Programs and activities often unrelated to V-M-G	Only selected Some activities/programs linked to V-M-G, others not	Most activities/programs linked to V-M-G	All activities are systematically lined to V-M-G and becomes the basis to formulate all activities
12. Organizational values	Unwritten, individualistic	Understood mainly by top leadership	Written and shared by many	Institutionalised, internalised and shared by all

Organizational Category	Infancy	Toddler	Adolescent	Prime
C. Legal Status				
13. Registration	CBO/NGO has an understanding with local authority to operate	CBO/NGO has a registration certificate from local authority	Registered with relevant	Registered with national body
14. Constitution/bi-laws and its function	May or may not exist if it does not functional	Have constitution for registration purpose with limited elements operational	Have constitution mostly operational	Have constitution that is binding and fully operational
15. Compliance to CBO/NGO	CBO/NGO has very limited	Complies to some of the	Fully complies to most regulatory	Fully complies to all

regulatory demands	resources or capacity to comply	demands (tax, report) of regulating body	requirements	regulatory requirements
16. Benefits from its legal status	Does not drive any benefit from its legal privileges	Drives limited benefits	Have capacity and access most benefits	Have capacity and access benefits fully
D. Constituency				
17. Distinction/ definition of constituency	No clearly defined constituency base	Broadly defined but not clearly articulated	Defined with some overlaps	Constituency well defined by gender, specific vulnerable groups, etc.
18. Level of partners involvement	Dependency/benefit oriented	Contributes ideas, labour and material	Actively involved and fully consulted	Based on mutual respect and fully empowered to take action
19. Activities	Direct indirect material contribution	Involved in maintenance and preventive activities	Involved in long-term planned activities	Activities are organizational and empowerment oriented. Deals with critical issues

Organizational Category	Infancy	Toddler	Adolescent	Prime
II. Management Practice				
Management & Administration				
20. Leadership appointment and succession	Mainly based on relationship and friendship	Hand picked those closely associated to leadership	Leadership appointed through consultation with members of management team	All leadership positions appointed Based on experience and professional competence
21. Decision making process	All important decisions made by founders	Mainly by founders with some consultation with management	Mainly by senior management, and board with limited consultation with staff	Decision making is team-based inclusive of staff, management and executives
22. Accountability	No clear accountability	Some accountability of leadership, staff strictly accountable to leadership	Mutual accountability between board and management, staff kept informed of all important decisions	Staff, management and board fully accountable to each other and the stakeholders
23. Communication/ transparency	Important communication kept between leadership	All important communication kept	Most communication is openly shared. Most staff members are	There is a free flow of information and continuous

		between top leadership and management	kept informed	feedback at all levels
Financial Management				
24. Signatories and their signatories	Self appointed single signatory	Single or two signatories often relatives or friends	Multiple signatories appointed by management or board	Appointed multiple signatories involving staff and executives
25. Accounting/ bookkeeping	No accounting/bookkeeping exists founder or leader keeps records and receipts in his/her house	Very basic accounting and booking in place	Adequate accounting and bookkeeping in place and well maintained	Accounting/booking computerized using modern technology
26. Financial reports	Not produced in time and inaccurate	Basic reporting in place, but of poor quality, incomplete and irregular	Simple periodic financial reports in place and used for planning	Financial reporting is regular, systematic, high quality, computerized and used for decision making
27. Purchase and tender procedures	One person, one supplier hand-picked	Multiple suppliers with little comparison	Based on comparison and competition but not consistent	Based on comparison of at least three quotations and fully re-enforced
Organizational Category	Infancy	Toddler	Adolescent	Prime
28. Financial accounting manual	Does not exist	Exists but very basic but not used	Developed and used most of the times	Developed and fully utilized
29. Approval and contractual procedures	Not developed and ad hoc	Some basics exist but not followed	Clear but occasionally violated	Exists, systematic and implemented successfully
30. Internal and external controls	Not developed and practiced	Periodic audit to satisfy donor requirement exists and organization capacity is limited	Internal and external audit practised regularly but results not always used for planning and financial decision making	Project and fiscal audit strictly observed and used for accountability, decision-making and planning. Audit has become a norm
31. Financial transparency	Financial information is confined to board/ founders	Financial information is shared with selected few	Financial information is widely shared by managers and selected partners	Financial information is openly shared by all and is used for planning and decision making
32. Budgeting	Money spent as it comes, budget does not exist, not linked to activities	Budget is a rough estimate often over and under spent	Budget is linked to activities and planned on annual basis and approved. Over expenditure is minimum	Rational for budget allocation comes from program plan. Process involves program and finance persons. Budget usually balances or with some surplus
33. Banking/cash management	Banking and cash	Petty cash exists but	Petty cash and banking system exists	Petty cash and banking system

	management procedure is yet to be developed	banking procedures not developed	but needs to develop furthers	functions smoothly and systematically
Human Resources				
34. Personnel procedures	No personnel procedures are developed and in place	Some basic personnel procedures exist but not fully functional	Most personnel procedures such as job descriptions, grievance and conflict resolution procedures and others are in place and functioning	Personnel strategy in place and working. All aspect of personnel policy is developed and included in the personnel manual.
35. Staff development	Staffs are basic and few. There is no staff development plan	Staff participate in some formal and informal training but not systematic	Although strategy is not yet developed, there are several opportunities for staff development.	Staff development strategy in place and functioning. Trainings are linked to the organizations objectives and career path of the staff
Organizational Category	Infancy	Toddler	Adolescent	Prime
36. Work Environment	Not a major priority or concern. The organizational survival is most important	Some measures of physical safety is maintained	Work environment includes physical safety as well as an open climate where staff members interact freely	Work environment includes ability of the staff to make decisions without waiting for the management, allows creativity, open dialogue, and freely shared information
37. Equity and Fairness	Little or no fairness	Some fairness mainly in salary and work division	Fairness includes gender equity in benefits and giving equal opportunity	Fair policy to all, in all aspects and consistently applied
38. Staff Performance	No measures for staff performance developed or practiced	Irregular and not systematic	Most aspects of performance measurements are in place and used	Staff performance well developed and done regularly, and fairly and job descriptions are used to appraise staff and appraisal is used for promotion and salary adjustments
39. Salaries and benefits	Most staff are volunteers, because of limited funds developing salary structure is not seen important	No written terms and salary structure exists. Low salary results in high staff turnover	Written salary and benefit structure exists and organization is capable of retaining most of its staff	Well-developed structure in placed and fully functioning. System is fair and promises are kept

Planning, Monitoring & Evaluation PME

Organizational Effectiveness Category	Infancy	Toddler	Adolescent	Prime
40. Existence & use of PME	Concept of planning, monitoring & evaluation is mainly unknown	Some basic activity planning and data gathering is in place but may not be organized	Simple, planning and M & E exists and functioning, plans are SMART	Planning, monitoring procedure and system fully developed, regular and functioning
41. Benchmark & exist strategy	No base-line exists, project exist strategy is unknown language	Project level base-line may exist but externally driven	Base line exists for most projects & internally initiated	Project and program level base-line exists organized and used for planning and evaluation
42. Planning & M &E (PME) skills	PM&E is a new concept for NGO and staff has no skill	Some staff may have PME skills but accidental	Good number of existing staff have some PM&E skill and PME task is assigned to existing staff	NGO has set aside resources and attracted skilled staff responsible for PM&E. Other staff understand PME well
43. Stake holders Participation	Only few founding members participate in PME	Executives & founding members participate mainly	Most staff and selected stakeholders participate	All concerned stakeholders, staff, board, management, donors and beneficiary fully involved
44. Reporting regularly and use of information	There is limited project reporting and is irregular	Reporting is to fulfil external demand and not regular	Meets all reporting requirement in time and regularly. Uses some information to make decision	There is a system to gather information and reporting is done regularly and information is systematically used for planning
45. Learning & Sharing	No mechanism for learning & sharing	Some learning & sharing takes place	Major learning and sharing takes place	Learning and sharing takes place regularly and systematic

III. Program Development & Service Delivery				
Organizational Effectiveness Category	Infancy	Toddler	Adolescent	Prime
46. Relevance and effectiveness of program	Short term relevance program may or may not be effective	No clear mechanism to determine relevance or effectiveness of program	Program effectiveness is continuously assessed and program adjusted	Program addresses, short & long term critical needs. Program is cost effective
47. Sectoral expertise	No sectoral expertise, no credibility	Limited expertise and little credibility in the sector	Sufficient level of expertise with acknowledged credibility	High level sectoral expertise respected and acknowledged in the field
48. Community participation, control	Community participation is direct and indirect and participation is in providing contribution (cash, Labour, materials)	Community members are consulted but all major decision made by external person	Most project decisions are made by community members and most means and benefit controlled by community members	Programs & projects are controlled by beneficiaries with minor external support. Community skill are built
50. Gender equity	Women are focus of charity and sympathy	Very few women are involved in leadership, mainly involved in maintenance activities	Most women have both access to and control of development project	Women strategic issues are given priority. They have both access & control of resources & decision
51. Skill transfer & capacity building	Program planning and implementation in mainly done by externals. No capacity building for community happening	Some capacity & skill building for community members exists	Capacity building & skill transfer is a major component for project staff & leadership	Clear strategy to capacity building & skills transfer, project efforts & resources focus on capacity building
52. Program link to V-M-G	No known link, of projects with V-M-G	Some link of program to V-M-G	Most program & activities are linked to V-M-G	All program & activities are directly driven from V-M-G
53. Impact on root cause of poverty	Program mainly addresses symptoms and focuses in short term solution	Organization have limited capacity & resources to analyse and address root-cause & impact	Continues search for program impact and to address root cause of poverty	Impact assessment is priority for program activities, address root causes of poverty
54. Program development	No mechanism for program development, focus on short term activities	Some program development is based on review & assessment of problems	Most program development is based on critical review and continued assessment	Program development based on continues review and analysis of sufficient information
55. Structure to deliver service	Inadequate structure to deliver service	Some basic structure to deliver service exists	Sufficient structure to deliver services is in place	Structure to deliver services is well developed and well functioning

IV. External Relationships & Networking				
	Infancy	Toddler	Adolescent	Prime
56. Credibility with communities	Not yet established	Some credibility with communities & target groups established	Well respected by community and credible	Highly credible & respected, acts as a resources source for community
57. Credibility with peer organization	No known credibility with peers	Emerging credibility but limited	Very respected and active	Known by most, considered leader, highly placed and provides support to others
58. Credibility with government	Link limited to getting working permit, little known	Some cooperation with government	Major cooperation, suggests advocacy & other issues to government	Highly respected, influences policy, solid partnership
59. Credibility with donors	Unknown with limited or no track-record	Limited partnership, known by few	NGO is credible and enjoys donors partnership & support	Being consulted, highly credible and respected-enjoys major support
60. Learning and sharing	Limited or no learning	Some learning & sharing	Willing and have capacity to learn & share	Learn & shares systematically allocates resource for learning
61. Media Partnership	Unknown to media	Limited media relationship	Uses media well and enjoy, good relationship	Have established strategic & long term partnership with several media

V. Sustainability

<i>Program Sustainability</i>				
62. Strategic Nature of program/problem	Problem not critical and scope of the program is narrow	Some relevance of program limited understanding of problem	Problem considered important and program is relevant and can be replicated	Problem being address is critical and strategic have greater impact on a large population & replicable
63. Involvement with and knowledge of others working in the same field	Operates in isolation, no knowledge of others in the same field does not exist	Works with few involved in a similar program	Works with may, shares & exchanges ideas	Established strategic link with several in the same field.
64. Extent of beneficiaries ownership & control	Key decisions about projects are made by externals	Beneficiaries consulted only	All import decisions jointly reached	Beneficiaries own the process and benefits of projects. Externals provide backstopping & support

	Infancy	Toddler	Adolescent	Prime
65. Impact	Focus mainly on day to day activities	Focus on short term outputs, limited understanding of impact	Have knowledge of impact, incorporates in project design & monitoring	Project/program have a high level impact, impact is continuously assessed & clear indicators established
66. Community capacity Building	Focus mainly on project implementation	Limited community capacity building effort	Sufficient capacity building efforts	Capacity building, skill development and information and technology transfer is main focus
67. Facilitation skill of staff	Limited or no facilitation skill	Some facilitation skills exists	Most staff have facilitation skills	All staff and community members can facilitate development process & mobilize community
68. Self-Reliance	Mainly relief orientation and "hand outs"	Limited activities concerned with self reliance	Mobilize local resources for self-reliance	All major activities geared towards self-reliance and support to mobilize for the same
<i>Financial sustainability</i>				
69. Staff capacity & experience to write proposals	Staff has no capacity to generate concepts & proposals	Only few have the capacity & skills to write proposals	Selected staff & management members have skills to generate proposal and raise fund	High level capacity by most staff, management & board to generate quality & sellable proposal and raise fund
70. Resource diversity	Dependent on single small grant	Small grants from limited sources	Well diversified medium size grants	Highly diversified big grants from credible sources
71. Income generating activities	Very limited through members contribution	Some local income through community contribution, and membership fees	Sizable local income through cost sharing, local investments and contribution	Well developed and self-sustaining local income through cost sharing and assets building
72. Cost-effectiveness of program	Mechanism and capacity to asses does not exist	Programs and projects are not cost effective	Most projects are cost effective	There is mechanism to analyze cost benefit and information is used to make decision
<i>Organizational Sustainability</i>				
73. Existence of clear strategy & staff understanding	Not yet developed	Bits and pieces of strategy exists but not significant	Strategy in place and understood by key players	Well articulated organizational strategy exists and understood by all
74. Existence of system	The concept is new	Some basic system is emerging	Sufficient system exists for the functioning of the organization	System (MIS, M & E etc.) in place and fully functioning

	Infancy	Toddler	Adolescent	Prime
75. Accountability & Transparency	No system or mechanism in place	Limited information is shared & used	Most information is open basic accountability in place	Organization is full accountable and have open system to share information
76. Structure	No clear structure exists	structure is emerging	Sufficient structure of decision making, and reporting in place	Organizational structure is well developed, fully functional and reviewed regularly
<i>Institutional Sustainability</i>				
77. Sectoral legitimacy and credibility	No credibility in the sector	Limited credibility	Widely acknowledged credibility	Highly respected, sets standards for the sector
78. Knowledge of the problem	Very limited understanding	Some knowledge of the problem	Well informed, learns from others	Have mechanism to continuously understand, and have a high level knowledge
79. Collaboration & alliance building	Operates in Isolation	Have some links with others in the sector	Interacts and collaborates with many in the sector	Forges strategic alliance, enters into contractual agreements with highly placed organization and influences policy
80. Innovation in the sector	Little or no innovation	Limited innovation in the field	Innovative & respected	Highly innovative, looked up on as a leader
81. Ability to mobilize support	Very limited ability to mobilize internal level support	Some ability to mobilize internal and community level support	Well developed ability to mobilize significant external & internal support	High level capacity to mobilize internal and external suppose at all levels
VI EDUCATION				
<i>Participation in Learning</i>				
82. Pupil's involvement	Passive recipients of instruction	Limited involvement in interactive learning	Involvement highly valued and happening	Actively involved in their own learning
83. PTA involvement	PTA does not exist	PTA exist but to fulfill external requirement	PTA consulted in school activities	PTA actively involved in learning & curriculum design
<i>Skills & Expertise</i>				
84. Qualification & competence of teaching	Poor qualification	Some teachers are qualified	Most teachers are qualified	All teachers are qualified
85. Commitment & Creativity	Low commitment & creativity	Some commitment and creativity	Sufficiently committed & creativity	Highly committed and creative

	Infancy	Toddler	Adolescent	
86. Understanding of educative issue	Poor understanding	Some understanding	Sufficiently understood	High level of understanding with leadership role
87. Effectiveness of PTA & teachers training	Low level of effectiveness	Some what effective	Sufficiently effective	Highly effective
<i>Learning Environment</i>				
88. Relationship	Pupil to pupil, parent teachers, teachers student relationships does not contribute to positive learning	Positive relationship that fosters learning between pupils, teachers, parents & community is emerging	There is positive interaction between pupil to pupil, parents and teachers and students & teachers that fosters positive learning	Highly conducive learning environment is crated between pupil parents, and teachers because of high level relationship
89. Physical facilities (classrooms, dorms, transport equipment etc.)	Classroom, dormitory and other physical facilities are poor and do not foster learning	Physical facilities are still developing and do not significantly contribute to positive learning	Physical facilities are sufficient and contribute to positive learning	High quality learning facilities are an integral components of an over all earning environment
90. Supportive environment to girl-child	Girl-boy, teachers-girls, parents-girls relationship is negative and highly girl-child education	Limited mechanism is in place to remove negative relationship crated by boys, teachers and parents for girls education	Support mechanisms are in place and functioning to create conducive girl-child learning environment	Boy-girl, teacher-girl, parents-girls relationships highly positive and attract girls educations
91. Discipline	Canning and other harsh measures are major means of a discipline and is cause for high drop out	Efforts are being made to reduce harsh physical measures	Harsh measures are replaced by learner friendly discipline	Discipline is educational and educational establishment legally prohibited harsh disciplinary measures
<i>Performance Evaluation</i>				
92. Diversity of Assessment methods & tools for students performance	Exams are the only means to assess performance	Heavy emphasis on exams with limited other methods to assess performance	Exams and several other methods and tools used to assess performance	Tools/methods are highly diversified, parents, pupils involved in performance assessment is high
93. Teacher & school performance	Does not happen	Occasionally done by MOE structure, no parent/pupil involvement	Internally initiated with involvement of some stakeholders	Regularly done with involvement of parents, students, teachers & others
94. Fairness & integrity of performance assessment	Highly personalized unfair, corrupt	Some measures of fairness and integrity in performance assessment exist	Performance assessing is transparent, equitable and fair	High standard of fairness & integrity mechanism to vice grievances exist

	Infancy	Toddler	Adolescent	
95. Equity & special support window to girl-child education	Girl child is culturally discriminated, no special support window	Limited support and cultural understanding	Special support program with non-discriminatory practices against girl-child, good cultural understating	High level of equity, high level support to girl-child educations
SECTOR'S DEVELOPMENT				
96. Involvement in Action Research	No involvement in research in education	Some action research efforts on progress	Significant contribution to research in learner centered education	Organization undertakes high level research and lead in development for student centered education
97. Coalition/alliance building in education	No involvement in coalition building	Some involvement in coalition building	Significantly involved in coalition building	High level contribution takes lead role in organization alliance building
98. Use of information technology (IT)	No access and use of IT	Some access & use of IT	IT is an integral component of an educational program	Highly utilized by students & teachers to improve quality of education
99. Innovation in education	Very limited innovation	Innovation in some areas	Innovation in most areas of education	High level of innovation in all areas
100. Contribute to learner centered, educational policy development	No involvement in educational policy	Some involvement in policy formulation	significant contribution to policy formulation	High level involvement and leadership in policy formulation

Annex I: Organisational Capacity Assessment Rating Sheet

Type of the organisation (CBO, Local NGO, Self-help Group).....

Size of the staff: Technical..... Support.....ManagementMaleFemale.....

Person(s) facilitated rating.....

Date/Day/Month/Year rating conducted.....

Tool(s) used to facilitate information gathering.....

Setting (individual or group).....

If individual: Rank..... Position..... Male.....Female.....

If group, composition: Male..... Female.....

ManagementSupport.....

Technical.....Board.....

Other stakeholders.....

GOVERNANCE

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
<i>Vision/ Mission/ Goal (V/M/G)</i>	<ul style="list-style-type: none"> The level to which core values of our organization are reflected in V/M/G 					
	<ul style="list-style-type: none"> Existence of a clear and consistent V/M/G statement that provides focus and direction 					
	<ul style="list-style-type: none"> The way V-M-G is translated into activities of the organization 					
	<ul style="list-style-type: none"> Availability and clarity of strategic plan 					
	<ul style="list-style-type: none"> The level V/M/G are understood and a feeling of ownership at all levels 					

		Average				
Constituency Participation	• The level of participation of the constituency/ stakeholders in planning & activities					
	• Level of awareness creation and mobilization of constituency					
	• Extent constituency is specific and well-defined					
	• The extent constituency feels responsible and “owns” the organization and its activities					
	• How constituency is encouraged to manage their own affairs and become self-reliant					
		Average				
Board/Leadership	• Extent to which strong and formal board and leadership exists					
	• The level to which the board/leaders are accountable & transparent					
	• The extent to which board/leaders are accessible and available					
	• Extent board/leaders execute control & supervision					
	• The level of decision–making carried out by board and leaders					
	• Qualification and competency of the board					
	• Board/leadership representation of diversity and equity (gender, race, religion, etc.)					
	• Clarity of roles, responsibilities & authority of board/ leaders					
	• Extent board in resource mobilization					
	• Level that board/leadership are involved in lobbying & advocacy for the organization					
		Average				
<i>Legal Status</i>	• The extent to which the organization is legally secure					
	• Ability of the organization to fulfill its legal obligation					
	• Level of benefits it derives from its legal status					
		Average				

MANAGEMENT PRACTICE

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
Management Administration	<ul style="list-style-type: none"> Extent to which accountable and transparent management exists 					
	<ul style="list-style-type: none"> Level to which management is team-based, participatory and consultative 					
	<ul style="list-style-type: none"> Level to which open communication is encouraged and practiced 					
	<ul style="list-style-type: none"> Existence of clear management and administration structure 					
	<ul style="list-style-type: none"> Existence of clear roles and functions (job descriptions, reporting procedures) 					
	<ul style="list-style-type: none"> Extent to which management has adequate managerial skills 					
	<ul style="list-style-type: none"> Extent to which responsibility and authority is shared by many 					
Human Resource	<p style="text-align: center;">Average</p>					
	<ul style="list-style-type: none"> The degree to which human resource manual (salaries & benefits package; code of conduct; terms of employment; recruitment & dismissal procedures; grievances & conflict resolution procedures etc) exists and is being applied 					
	<ul style="list-style-type: none"> The extent to which job security rules & contracts are kept in writing 					
	<ul style="list-style-type: none"> The extent to which the organization is an equal opportunity employer with clear recruitment and selection procedures 					
	<ul style="list-style-type: none"> A level to which staff development program/policy (staff motivation and qualification, staff training, staff appraisal etc.) exist and is being implemented 					
	<ul style="list-style-type: none"> Level to which staff has safe and comfortable working environment (office space, equipment, communication facility etc.) 					
	<ul style="list-style-type: none"> Extent to which team work is encouraged and happening 					

		<i>Average</i>				
<i>Financial Management</i>	• Extent to which funds utilization & allocation are carried out according to established criteria					
	• Compliance to internal controls/ auditing/financial evaluation and its regularity					
	• Ability to meet donor requirements					
	• Financial accountability and transparency					
	• The level at which financial policy & manual is in place (approval/banking/accounting/budgeting/procurement/ payment/petty cash and signatory/procedures)					
	• Regularity and accuracy of financial reports					
	• Level of qualified finance personnel					
	• Maintaining of inventories & assets register					
		<i>Average</i>				

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
Planning Monitoring and Evaluation	• Extent to which baseline data is established before project/programs are implemented					
	• Regularity and timeliness of data collection and analysis carried out					
	• Ability to develop clear indicators and SMART objectives					
	• Regularity and consistency of documentation/record keeping					
	• Extent to which evaluation and Impact assessment is done					
	• Level of beneficiaries/stakeholders participating in M&E activities					
	• Extent to which monitoring includes organizational and project progress					
	• Extent to which operation plans/activity plans are developed and used regularly					
• Regularity of reporting (monthly/ quarterly/ annually)						

	<ul style="list-style-type: none"> • Extent organization uses & applies lessons learnt (learning culture) 					
	<ul style="list-style-type: none"> • Level to which information & lessons are shared with partners & stakeholders 					
Average						

PROGRAM DEVELOPMENT & SERVICE DELIVERY

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
Program Development and Service Delivery	<ul style="list-style-type: none"> • Effectiveness of targeting beneficiaries 					
	<ul style="list-style-type: none"> • Level of sectoral expertise 					
	<ul style="list-style-type: none"> • Extent to which skills are transferred and community capacity built 					
	<ul style="list-style-type: none"> • Extent to which community members take control of project management and implementation 					
	<ul style="list-style-type: none"> • Extent to which services meets real needs of beneficiaries 					
	<ul style="list-style-type: none"> • Effectiveness of service delivery structure/mechanism 					
	<ul style="list-style-type: none"> • Equity and fairness 					
Average						

EXTERNAL RELATIONS & NETWORKING

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5

<i>External Relations and Networking</i>	• The extent to which the organization is internally credible with community and local government in the area					
	• Collaboration & partnership with other organizations in same geographic area is a happening					
	• The extent the organization is networking/coordinating with donors					
	• Extent organization interacts and uses media/public relations facilities					
	• Recognitions and acknowledgements from government, public, donors, etc.					
	• Extent information technology (email, internet, telephone) is used for communication and networking					
Average						

SUSTAINABILITY

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
<i>Sustainability</i>	Program Sustainability					
	• Strategic nature of the program addressing critical issues					
	• Extent to which beneficiaries have ownership of the project					
	• Participation of community in program development					
	• Existing of a clear program strategy and understanding of it by all concerned					
	• Scope of a program to benefit more people					
	• Extent to which program is focused and prioritized					
	• Extent to which beneficiaries/constituency are involved in assessing results and impact of program on regular basis					
	• Inclusiveness of gender and other equity concerns					
	• Potential of project for replicability and scaling up					
• Existence of staff skills to facilitate and mobilize communities						
Average						
	Financial Sustainability					

	<ul style="list-style-type: none"> • Cost-effectiveness of program activities 					
	<ul style="list-style-type: none"> • Diversity of funding base (type of donor; local /national /international) 					
	<ul style="list-style-type: none"> • Existence of fundraising strategy, experience and staff capacity 					
	<ul style="list-style-type: none"> • Level of income generating activities and efficiency of those activities 					
	<ul style="list-style-type: none"> • Ability to generate credible proposals and concepts 					
	<ul style="list-style-type: none"> • Practice on cost sharing with partners 					
	<ul style="list-style-type: none"> • Significance of financial contribution to the community 					
	<ul style="list-style-type: none"> • Steps developed for local self-sufficiency 					
	<i>Average</i>					
1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
Sustainability Cont..	Organizational Sustainability					
	<ul style="list-style-type: none"> • Level to which the organization as a whole is accountable and transparent 					
	<ul style="list-style-type: none"> • Extent M&E information is used to continuously improve the organization 					
	<ul style="list-style-type: none"> • Existence of clear strategy that guides the organization 					
	<ul style="list-style-type: none"> • Existence of systems such as MIS, M&E, HRM and others 					
	<ul style="list-style-type: none"> • Existence of strong and team-based management and leadership procedures 					
	<i>Average</i>					
	Institutional Sustainability					
	<ul style="list-style-type: none"> • Extent the organization is credible in the field and has established legitimacy 					
	<ul style="list-style-type: none"> • Qualification and skill of staff in the sector 					
	<ul style="list-style-type: none"> • Knowledge of the organization about the problem 					
<ul style="list-style-type: none"> • Ability of the organization to influence policy 						
<ul style="list-style-type: none"> • Sectoral linkage with others dealing with similar issues 						

	<ul style="list-style-type: none"> Ability of the organization to mobilize internal and external support 					
	<ul style="list-style-type: none"> Extent organization entered formal agreements (contracts, MoUs etc.) 					
	Average					

VI: EDUCATION

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
Education	Participation in learning					
	<ul style="list-style-type: none"> Involvement of pupils in learning and curriculum development 					
	<ul style="list-style-type: none"> Involvement of parents and PTA in student learning and curriculum development 					
	Average					
	Skills and Expertise					
	<ul style="list-style-type: none"> Qualification and competence of teachers to facilitate learner centred education 					
	<ul style="list-style-type: none"> Commitment and creativity of teachers to adapt student centred learning, materials and methods 					
	<ul style="list-style-type: none"> Levels of understanding education issues by teachers, parents, PTA and local authority 					
	<ul style="list-style-type: none"> Effectiveness of continuous education program in upgrading skills of teams 					
	<ul style="list-style-type: none"> Effectiveness of PTA training and awareness creation of communities 					
	Average					

1	2	3				
Area	Criteria	Please indicate your level of agreement				
		1	2	3	4	5
Education Cont..	Learning Environment					
	• Extent to which pupil relationship facilitates positive learning					
	• Existence of supportive pupil-to-pupil relationship					
	• Parents, teachers, school community relationship					
	• Impact of physical facilities (classrooms, dormitories, transport, teaching aids, equipment and other facilities) in learning					
	• Extent to which educational establishment discourages threatening elements (caning, harassment)					
	Average					
	Performance Evaluation					
	• Existence and regularity of assessing teaching and school management					
	• Diversity of methods to assess students' performance and best practices					
	• Efforts to award performance and best practices					
	• Fairness and integrity in performance evaluation					
	• Involvement of students, parents in performance evaluation of teachers and pupils					
	• Equity in education					
	• Extent to which a special consideration is given to minorities and disadvantaged (girl-child, etc.)					
	• Understanding of cultural and other factors that discriminate girl-child					
	• Access to education by all					
	Average					
	Sector's Development					
	• Contribution to effective learner centre policy development					
	• Engagement on action research to improve education (curriculum tools, etc.)					
	• Efforts to network and build alliance					
	• Integration of information technology to improve access to quality education					
	• Efforts to bring about innovation in education					

	Average
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FEEDBACK:

General _____

Major Difficulties encountered: _____

Positive Notes: _____

Specific Recommendations for improvement: _____

Annex II: Suggested Guide for Participatory Capacity Assessment

Organizational Category	Infancy	Toddler	Adolescent	Prime
I. Governance				
A. Board/Leadership				
41. Existence	Exists as team of founding members or associates	Exists as management team to fulfil registration requirement	Formal board exists to play most board roles	Strong and fully functioning board exists
42. Composition	Hand-picked close friends and relatives of founders	Few skilled and professionals mixed with friends or relatives	Good mix of professionals with some skills and gender diversity	Professional board with high level of diversity and skills to meet organizational needs
43. Terms in office and election	Not clearly stated or observed	Stated in the constitution and bi-lays but not observed	Written in bi-law and constitution and mostly Observed	Constitutional bi-laws exist and fully respected.
44. Authority and execution responsibility	All authority and execution rests on founders	Limited authority to management team, most power rest on founders	Board is an acknowledged authority with minor interference	Board's authority fully realized and its decisions are final
45. Roles/ responsibilities	Mixed with that of staff, involved in day-to-day operations of the organization	Plays most of the management and executive role and very little of board role	Involved in high level management issues but only when called for board and management role clearly separated	Provides an oversight, legal and policy direction. Involved in image building and resource generation
46. Meetings/regularity	Frequent like staff/ management meeting	Somewhat regular with most absent. Meets weekly or monthly	Mostly regular bi-annual or quarterly meetings with only few absent.	Regular with most attending. Meets annually unless called for emergency situation

Organizational Category	Infancy	Toddler	Adolescent	Prime
B. Vision/Mission/Goal				
47. Existence of written V-M-G statement	In most cases does not exists. If it does, it is by	May exist but stated differently in different	Exists and known by most of the staff and is guide for most activities	Exists to give organization a focus and strategic

	externals to meet outsiders demand	forms not utilized		a focus and strategic direction
48. Process of developing V-M-G and strategy	No clear process. If it exists, produced by external experts or copied fro other documents	Some board members, founders produce through help of consultant or donors	Internally initiated involving most of the key staff and management, and selected stakeholders	Involved all stakeholders, staff and developed with the assistance of an experienced facilitator
49. Understanding and ownership	Mainly in the minds of founders. Little understood by others	Understood by board founders and executives	Understood and owned by most of the board, selected stakeholders and management team	Understood and owned by all, staff, management, board and all stakeholders
50. Clarity and articulation	If it exists, Vaguely stated. No clear difference between V-M-G	Unfocussed with scattered activities. V-M-V not clearly linked	Clear purpose and V-M-G clearly and simply stated. Most activities reflect V-M-G	All activities and programs logically linked to V-M-G
51. Link between program/activities	Programs and activities often unrelated to V-M-G	Only selected Some activities/programs linked to V-M-G, others not	Most activities/programs linked to V-M-G	All activities are systematically lined to V-M-G and becomes the basis to formulate all activities
52. Organizational values	Unwritten, individualistic	Understood mainly by top leadership	Written and shared by many	Institutionalised, internalised and shared by all

Organizational Category	Infancy	Toddler	Adolescent	Prime
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C. Legal Status				
53. Registration	CBO/NGO has an understanding with local authority to operate	CBO/NGO has a registration certificate from local authority	Registered with relevant	Registered with national body
54. Constitution/bi-laws and its function	May or may not exist if it does not functional	Have constitution for registration purpose with limited elements operational	Have constitution mostly operational	Have constitution that is binding and fully operational
55. Compliance to CBO/NGO	CBO/NGO has very limited	Complies to some of the	Fully complies to most regulatory	Fully complies to all

regulatory demands	resources or capacity to comply	demands (tax, report) of regulating body	requirements	regulatory requirements
56. Benefits from its legal status	Does not drive any benefit from its legal privileges	Drives limited benefits	Have capacity and access most benefits	Have capacity and access benefits fully
DI. Constituency				
57. Distinction/ definition of constituency	No clearly defined constituency base	Broadly defined but not clearly articulated	Defined with some overlaps	Constituency well defined by gender, specific vulnerable groups, etc.
58. Level of partners involvement	Dependency/benefit oriented	Contributes ideas, labour and material	Actively involved and fully consulted	Based on mutual respect and fully empowered to take action
59. Activities	Direct indirect material contribution	Involved in maintenance and preventive activities	Involved in long-term planned activities	Activities are organizational and empowerment oriented. Deals with critical issues

Organizational Category	Infancy	Toddler	Adolescent	Prime
II. Management Practice				
Management & Administration				
60. Leadership appointment and succession	Mainly based on relationship and friendship	Hand picked those closely associated to leadership	Leadership appointed through consultation with members of management team	All leadership positions appointed Based on experience and professional competence
61. Decision making process	All important decisions made by founders	Mainly by founders with some consultation with management	Mainly by senior management, and board with limited consultation with staff	Decision making is team-based inclusive of staff, management and executives
62. Accountability	No clear accountability	Some accountability of leadership, staff strictly accountable to leadership	Mutual accountability between board and management, staff kept informed of all important decisions	Staff, management and board fully accountable to each other and the stakeholders
63. Communication/ transparency	Important communication kept between leadership	All important communication kept	Most communication is openly shared. Most staff members are	There is a free flow of information and continuous

		between top leadership and management	kept informed	feedback at all levels
Financial Management				
64. Signatories and their signatories	Self appointed single signatory	Single or two signatories often relatives or friends	Multiple signatories appointed by management or board	Appointed multiple signatories involving staff and executives
65. Accounting/ bookkeeping	No accounting/bookkeeping exists founder or leader keeps records and receipts in his/her house	Very basic accounting and booking in place	Adequate accounting and bookkeeping in place and well maintained	Accounting/booking computerized using modern technology
66. Financial reports	Not produced in time and inaccurate	Basic reporting in place, but of poor quality, incomplete and irregular	Simple periodic financial reports in place and used for planning	Financial reporting is regular, systematic, high quality, computerized and used for decision making
67. Purchase and tender procedures	One person, one supplier hand-picked	Multiple suppliers with little comparison	Based on comparison and competition but not consistent	Based on comparison of at least three quotations and fully re-enforced

Organizational Category	Infancy	Toddler	Adolescent	Prime
68. Financial accounting manual	Does not exist	Exists but very basic but not used	Developed and used most of the times	Developed and fully utilized
69. Approval and contractual procedures	Not developed and ad hoc	Some basics exist but not followed	Clear but occasionally violated	Exists, systematic and implemented successfully
70. Internal and external controls	Not developed and practiced	Periodic audit to satisfy donor requirement exists and organization capacity is limited	Internal and external audit practised regularly but results not always used for planning and financial decision making	Project and fiscal audit strictly observed and used for accountability, decision-making and planning. Audit has become a norm
71. Financial transparency	Financial information is confined to board/ founders	Financial information is shared with selected few	Financial information is widely shared by managers and selected partners	Financial information is openly shared by all and is used for planning and decision making
72. Budgeting	Money spent as it comes, budget does not exist, not linked to activities	Budget is a rough estimate often over and under spent	Budget is linked to activities and planned on annual basis and approved. Over expenditure is minimum	Rational for budget allocation comes from program plan. Process involves program and finance persons. Budget usually balances or with some surplus
73. Banking/cash management	Banking and cash	Petty cash exists but	Petty cash and banking system exists	Petty cash and banking system

	management procedure is yet to be developed	banking procedures not developed	but needs to develop furthers	functions smoothly and systematically
Human Resources				
74. Personnel procedures	No personnel procedures are developed and in place	Some basic personnel procedures exist but not fully functional	Most personnel procedures such as job descriptions, grievance and conflict resolution procedures and others are in place and functioning	Personnel strategy in place and working. All aspect of personnel policy is developed and included in the personnel manual.
75. Staff development	Staffs are basic and few. There is no staff development plan	Staff participate in some formal and informal training but not systematic	Although strategy is not yet developed, there are several opportunities for staff development.	Staff development strategy in place and functioning. Trainings are linked to the organizations objectives and career path of the staff
Organizational Category	Infancy	Toddler	Adolescent	Prime
76. Work Environment	Not a major priority or concern. The organizational survival is most important	Some measures of physical safety is maintained	Work environment includes physical safety as well as an open climate where staff members interact freely	Work environment includes ability of the staff to make decisions without waiting for the management, allows creativity, open dialogue, and freely shared information
77. Equity and Fairness	Little or no fairness	Some fairness mainly in salary and work division	Fairness includes gender equity in benefits and giving equal opportunity	Fair policy to all, in all aspects and consistently applied
78. Staff Performance	No measures for staff performance developed or practiced	Irregular and not systematic	Most aspects of performance measurements are in place and used	Staff performance well developed and done regularly, and fairly and job descriptions are used to appraise staff and appraisal is used for promotion and salary adjustments
79. Salaries and benefits	Most staff are volunteers, because of limited funds developing salary structure is not seen important	No written terms and salary structure exists. Low salary results in high staff turnover	Written salary and benefit structure exists and organization is capable of retaining most of its staff	Well-developed structure in placed and fully functioning. System is fair and promises are kept

Planning, Monitoring & Evaluation PME

Organizational Effectiveness Category	Infancy	Toddler	Adolescent	Prime
80. Existence & use of PME	Concept of planning, monitoring & evaluation is mainly unknown	Some basic activity planning and data gathering is in place but may not be organized	Simple, planning and M & E exists and functioning, plans are SMART	Planning, monitoring procedure and system fully developed, regular and functioning
49. Benchmark & exist strategy	No base-line exists, project exist strategy is unknown language	Project level base-line may exist but externally driven	Base line exists for most projects & internally initiated	Project and program level base-line exists organized and used for planning and evaluation
50. Planning & M &E (PME) skills	PM&E is a new concept for NGO and staff has no skill	Some staff may have PME skills but accidental	Good number of existing staff have some PM&E skill and PME task is assigned to existing staff	NGO has set aside resources and attracted skilled staff responsible for PM&E. Other staff understand PME well
51. Stake holders Participation	Only few founding members participate in PME	Executives & founding members participate mainly	Most staff and selected stakeholders participate	All concerned stakeholders, staff, board, management, donors and beneficiary fully involved
52. Reporting regularly and use of information	There is limited project reporting and is irregular	Reporting is to fulfil external demand and not regular	Meets all reporting requirement in time and regularly. Uses some information to make decision	There is a system to gather information and reporting is done regularly and information is systematically used for planning
53. Learning & Sharing	No mechanism for learning & sharing	Some learning & sharing takes place	Major learning and sharing takes place	Learning and sharing takes place regularly and systematic

IV. Program Development & Service Delivery

Organizational Effectiveness Category	Infancy	Toddler	Adolescent	Prime
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54. Relevance and effectiveness of program	Short term relevance program may or may not be effective	No clear mechanism to determine relevance or effectiveness of program	Program effectiveness is continuously assessed and program adjusted	Program addresses, short & long term critical needs. Program is cost effective
55. Sectoral expertise	No sectoral expertise, no credibility	Limited expertise and little credibility in the sector	Sufficient level of expertise with acknowledged credibility	High level sectoral expertise respected and acknowledged in the field
56. Community participation, control	Community participation is direct and indirect and participation is in providing contribution (cash, Labour, materials)	Community members are consulted but all major decision made by external person	Most project decisions are made by community members and most means and benefit controlled by community members	Programs & projects are controlled by beneficiaries with minor external support. Community skill are built
101. Gender equity	Women are focus of charity and sympathy	Very few women are involved in leadership, mainly involved in maintenance activities	Most women have both access to and control of development project	Women strategic issues are given priority. They have both access & control of resources & decision
102. Skill transfer & capacity building	Program planning and implementation in mainly done by externals. No capacity building for community happening	Some capacity & skill building for community members exists	Capacity building & skill transfer is a major component for project staff & leadership	Clear strategy to capacity building & skills transfer, project efforts & resources focus on capacity building
103. Program link to V-M-G	No known link, of projects with V-M-G	Some link of program to V-M-G	Most program & activities are linked to V-M-G	All program & activities are directly driven from V-M-G
104. Impact on root cause of poverty	Program mainly addresses symptoms and focuses in short term solution	Organization have limited capacity & resources to analyse and address root-cause & impact	Continues search for program impact and to address root cause of poverty	Impact assessment is priority for program activities, address root causes of poverty
105. Program development	No mechanism for program development, focus on short term activities	Some program development is based on review & assessment of problems	Most program development is based on critical review and continued assessment	Program development based on continues review and analysis of sufficient information
106. Structure to deliver service	Inadequate structure to deliver service	Some basic structure to deliver service exists	Sufficient structure to deliver services is in place	Structure to deliver services is well developed and well functioning

VI. External Relationships & Networking

	Infancy	Toddler	Adolescent	Prime
107. Credibility with communities	Not yet established	Some credibility with communities & target	Well respected by community and credible	Highly credible & respected, acts as a resources source for

		groups established		community
108. Credibility with peer organization	No known credibility with peers	Emerging credibility but limited	Very respected and active	Known by most, considered leader, highly placed and provides support to others
109. Credibility with government	Link limited to getting working permit, little known	Some cooperation with government	Major cooperation, suggests advocacy & other issues to government	Highly respected, influences policy, solid partnership
110. Credibility with donors	Unknown with limited or no track-record	Limited partnership, known by few	NGO is credible and enjoys donors partnership & support	Being consulted, highly credible and respected-enjoys major support
111. Learning and sharing	Limited or no learning	Some learning & sharing	Willing and have capacity to learn & share	Learn & shares systematically allocates resource for learning
112. Media Partnership	Unknown to media	Limited media relationship	Uses media well and enjoy, good relationship	Have established strategic & long term partnership with several media

VII. Sustainability

<i>Program Sustainability</i>				
113. Strategic Nature of program/problem	Problem not critical and scope of the program is narrow	Some relevance of program limited understanding of problem	Problem considered important and program is relevant and can be replicated	Problem being address is critical and strategic have greater impact on a large population & replicable
114. Involvement with and knowledge of others working in the same field	Operates in isolation, no knowledge of others in the same field does not exist	Works with few involved in a similar program	Works with may, shares & exchanges ideas	Established strategic link with several in the same field.
115. Extent of beneficiaries ownership & control	Key decisions about projects are made by externals	Beneficiaries consulted only	All import decisions jointly reached	Beneficiaries own the process and benefits of projects. Externals provide backstopping & support

	Infancy	Toddler	Adolescent	Prime
116. Impact	Focus mainly on day to day activities	Focus on short term outputs, limited understanding of impact	Have knowledge of impact, incorporates in project design & monitoring	Project/program have a high level impact, impact is continuously assessed & clear indicators established
117. Community capacity Building	Focus mainly on project implementation	Limited community capacity building effort	Sufficient capacity building efforts	Capacity building, skill development and information and

				technology transfer is main focus
118. Facilitation skill of staff	Limited or no facilitation skill	Some facilitation skills exists	Most staff have facilitation skills	All staff and community members can facilitate development process & mobilize community
119. Self-Reliance	Mainly relief orientation and "hand outs"	Limited activities concerned with self reliance	Mobilize local resources for self-reliance	All major activities geared towards self-reliance and support to mobilize for the same
Financial sustainability				
120. Staff capacity & experience to write proposals	Staff has no capacity to generate concepts & proposals	Only few have the capacity & skills to write proposals	Selected staff & management members have skills to generate proposal and raise fund	High level capacity by most staff, management & board to generate quality & sellable proposal and raise fund
121. Resource diversity	Dependent on single small grant	Small grants from limited sources	Well diversified medium size grants	Highly diversified big grants from credible sources
122. Income generating activities	Very limited through members contribution	Some local income through community contribution, and membership fees	Sizable local income through cost sharing, local investments and contribution	Well developed and self-sustaining local income through cost sharing and assets building
123. Cost-effectiveness of program	Mechanism and capacity to asses does not exist	Programs and projects are not cost effective	Most projects are cost effective	There is mechanism to analyze cost benefit and information is used to make decision
Organizational Sustainability				
124. Existence of clear strategy & staff understanding	Not yet developed	Bits and pieces of strategy exists but not significant	Strategy in place and understood by key players	Well articulated organizational strategy exists and understood by all
125. Existence of system	The concept is new	Some basic system is emerging	Sufficient system exists for the functioning of the organization	System (MIS, M & E etc.) in place and fully functioning

	Infancy	Toddler	Adolescent	Prime
126. Accountability & Transparency	No system or mechanism in place	Limited information is shared & used	Most information is open basic accountability in place	Organization is full accountable and have open system to share information
127. Structure	No clear structure exists	structure is emerging	Sufficient structure of decision making, and reporting in place	Organizational structure is well developed, fully functional and reviewed regularly
Institutional Sustainability				
128. Sectoral legitimacy	No credibility in the	Limited credibility	Widely acknowledged	Highly respected, sets standards for

and credibility	sector		credibility	the sector
129. Knowledge of the problem	Very limited understanding	Some knowledge of the problem	Well informed, learns from others	Have mechanism to continuously understand, and have a high level knowledge
130. Collaboration & alliance building	Operates in Isolation	Have some links with others in the sector	Interacts and collaborates with many in the sector	Forges strategic alliance, enters into contractual agreements with highly placed organization and influences policy
131. Innovation in the sector	Little or no innovation	Limited innovation in the field	Innovative & respected	Highly innovative, looked up on as a leader
132. Ability to mobilize support	Very limited ability to mobilize internal level support	Some ability to mobilize internal and community level support	Well developed ability to mobilize significant external & internal support	High level capacity to mobilize internal and external suppose at all levels

VI EDUCATION

Participation in Learning

133. Pupil's involvement	Passive recipients of instruction	Limited involvement in interactive learning	Involvement highly valued and happening	Actively involved in their own learning
134. PTA involvement	PTA does not exist	PTA exist but to fulfill external requirement	PTA consulted in school activities	PTA actively involved in learning & curriculum design

Skills & Expertise

135. Qualification & competence of teaching	Poor qualification	Some teachers are qualified	Most teachers are qualified	All teachers are qualified
136. Commitment & Creativity	Low commitment & creativity	Some commitment and creativity	Sufficiently committed & creativity	Highly committed and creative

	Infancy	Toddler	Adolescent	
137. Understanding of educative issue	Poor understanding	Some understanding	Sufficiently understood	High level of understanding with leadership role
138. Effectiveness of PTA & teachers training	Low level of effectiveness	Some what effective	Sufficiently effective	Highly effective

Learning Environment

139. Relationship	Pupil to pupil, parent teachers, teachers student relationships does not contribute to positive learning	Positive relationship that fosters learning between pupils, teachers, parents & community is emerging	There is positive interaction between pupil to pupil, parents and teachers and students & teachers that fosters positive learning	Highly conducive learning environment is crated between pupil parents, and teachers because of high level relationship
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140. Physical facilities (classrooms, dorms, transport equipment etc.)	Classroom, dormitory and other physical facilities are poor and do not foster learning	Physical facilities are still developing and do not significantly contribute to positive learning	Physical facilities are sufficient and contribute to positive learning	High quality learning facilities are an integral components of an over all earning environment
141. Supportive environment to girl-child	Girl-boy, teachers-girls, parents-girls relationship is negative and highly girl-child education	Limited mechanism is in place to remove negative relationship crated by boys, teachers and parents for girls education	Support mechanisms are in place and functioning to create conducive girl-child learning environment	Boy-girl, teacher-girl, parents-girls relationships highly positive and attract girls educations
142. Discipline	Canning and other harsh measures are major means of a discipline and is cause for high drop out	Efforts are being made to reduce harsh physical measures	Harsh measures are replaced by learner friendly discipline	Discipline is educational and educational establishment legally prohibited harsh disciplinary measures
<i>Performance Evaluation</i>				
143. Diversity of Assessment methods & tools for students performance	Exams are the only means to assess performance	Heavy emphasis on exams with limited other methods to assess performance	Exams and several other methods and tools used to assess performance	Tools/methods are highly diversified, parents, pupils involved in performance assessment is high
144. Teacher & school performance	Does not happen	Occasionally done by MOE structure, no parent/pupil involvement	Internally initiated with involvement of some stakeholders	Regularly done with involvement of parents, students, teachers & others
145. Fairness & integrity of performance assessment	Highly personalized unfair, corrupt	Some measures of fairness and integrity in performance assessment exist	Performance assessing is transparent, equitable and fair	High standard of fairness & integrity mechanism to vice grievances exist
	Infancy	Toddler	Adolescent	
146. Equity & special support window to girl-child education	Girl child is culturally discriminated, no special support window	Limited support and cultural understanding	Special support program with non-discriminatory practices against girl- child, good cultural understating	High level of equity, high level support to girl-child educations
<i>SECTOR'S DEVELOPMENT</i>				
147. Involvement in Action Research	No involvement in research in education	Some action research efforts on progress	Significant contribution to research in learner centered education	Organization undertakes high level research and lead in development for student centered education
148. Coalition/alliance building in education	No involvement in coalition building	Some involvement in coalition building	Significantly involved in coalition building	High level contribution takes lead role in organization alliance

				building
149. Use of information technology (IT)	No access and use of IT	Some access & use of IT	IT is an integral component of an educational program	Highly utilized by students & teachers to improve quality of education
150. Innovation in education	Very limited innovation	Innovation in some areas	Innovation in most areas of education	High level of innovation in all areas
151. Contribute to learner centered, educational policy development	No involvement in educational policy	Some involvement in policy formulation	significant contribution to policy formulation	High level involvement and leadership in policy formulation