

**Organizational Capacity Assessment for CSOs in
Abim, Agago Kaabong, Kotido and Pader districts in
Uganda**

FINAL REPORT

By:UWONET

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I List of Acronyms

AIDS	Acquired Immuno Deficiency Syndrome
AFARD	Agency For Accelerated Rural Development
CBO	Community Based Organisations
CDO	Community Development Officer
CSO	Civil Society Organisation
CREAM	Community Organisation for Rural Enterprise Activity Management
P4C	Passion for Community Development
M&E	Monitoring and Evaluation
NGO	Non-Governmental Organisation
OCA	Organisation Capacity Assessment
ToR	Terms of Reference
UWONET	Uganda Women Network
WORUDET	Women and Rural Development Network

II. EXECUTIVE SUMMARY

Introduction: this capacity assessment report was commissioned by Uganda Women Network (UWONET). As a women's network, it aims at working with grassroots women organizations and civil society at large with the ultimate goal of building strategic partnerships to provide and foster women's roles in governance

Purpose of the capacity assessment: the purpose of the consultancy was to conduct organizational capacity assessments on local community based organisations and non government organisations to provide documentation of their capacities as one of the deliverables against which DIAKONIA funded project interventions will be measured. Specifically the scope of the capacity assessment consultancy was to:

1. Examine the strengths and weaknesses of the CSOs in regards to capacity and operation.
2. Identify the capacity gaps that need to be strengthened in the skills development training.
3. Identify Information gaps in regards to participation and implementation of Social Accountability processes.

Methodology: the assessment mainly used the institutional capacity assessment technique where members and executives of the local CBOs and NGOs were asked to assess the institution based on 5 key areas. An organizational capacity assessment tool that had been developed was used in the assessment. The assessment tool covered five key institutional areas; Governance, legal status and leadership; Program, implementation and management; Institutional management and administration; Financial resources management; and, Monitoring and evaluation and include advocacy activities and the abilities of the CBOs/NGOs

The findings from the OCA indicate a commonality of institutional capacity challenges and gaps in the 5 key areas of the assessment.

Governance, Legal Status and Leadership: All district CBOs are emerging organisations with Boards which are yet to fully exhibit a policy and strategic orientation of its roles and responsibilities which should focus on policy formulation and guidance and resource mobilization. Some of the NGOs and CBOs at district are reasonably small emerging organisations, whose strength in Board lies in a few pragmatic individuals who have deployed their resource mobilization skills to sustain its activities. Institutionalization of strategies, structures, systems and staff are key priorities that need to be addressed as part of the capacity building.

Management and Administration: Some of the NGOs and CBOs have almost no formal organisational structures, job descriptions and staff appointment letters in place. There is a lot of informality of the structures and operations. The board and members still perform most of the roles of management. Initially this can be justifiable but with growth and expansion the organisations may need to recruit some staff to professionalise service delivery. The CBOs

mainly use volunteers and for them to effectively participate in social accountability processes expected of the DIAKONIA supported UWONET Capacity building project may not be very possible.

Formal human resource and administrative procedures need to be put in place for the NGOs and the CBOs in the districts of focus.

Since these organisations are emerging, training of either board or members is still an area that does not feature in plan and priorities of the CBOs. The priorities are very different and focussed on mobilisation of resources. Therefore there is need to support capacity enhancement for members, board and staff where existent.

Program, Planning, Implementation and Management: The level of functional bottom-up strategic planning and implementation was found to be generally low in all the CBOs and some NGOs assessed. This should be a key area for providing capacity building support by UWONET to enable them undertake structured advocacy in the process of social accountability. This could be initially on a generic basis i.e. workshop oriented but mentoring support to individual CBOs during the planning processes could be considered for those CBOs that need to embark on developing participatory social accountability programmes.

The capacity for advocacy planning/strategy development/setting up indicators and targets was found wanting in all the CBOs and some of the NGOs. This should be a key cross-cutting thematic area for generic capacity building support. To this end, increasing social accountability processes, a project that UWONET would like support will be rendered useless unless the capacity of the target CBOs and NGOs are assisted to undergo skills training in this important area.

The importance of community participation can be underlined in the formulation and planning of the social programmes that enable the community to access goods and services. Participation of the community in programmes that benefit them even by the CBOs and NGOs was found to be low. Participation in social accountability aims to improve human welfare and to meet human needs for high educational attainment, improved health, decent and affordable housing, minimal levels of poverty, low crime rate, reduced HIV and AIDS; and social security among others. Therefore capacity building in enhancing the skills in community participation at NGO and CBO level will contribute to the achievement of the UWONET project objectives.

The picture on preparation of work plans by CBOs and NGOs is mixed. Some of the CBOs/NGOs regularly prepare work plans while others don't have any ongoing activities/programmes. This scenario for those CBOs/NGOs that prepare work plans can be attributed to the generic government and donor requirement for work plans as tools for justification and accountability for resources. Developing the capacities of the NGOs/CBOs to undertake planning workshops to share information and address real resource gaps needs to be factored in the capacity enhancement support.

Financial Resources Management: this area of the assessment was generally found to be weak because most the CBOs and NGOs do not have formal financial systems. Nonetheless because it governs a number of things, all organisations seemed to have made some effort to put in place financial management guidelines. This is true with NGOs and some CBOs that have programmes that are financially supported by development partners. Capacity enhancement will be required to nurture and ensure the basic finance and management systems are put in place and persons trained to use them.

Monitoring and Evaluation: All the CBOs lack or have poor functional monitoring and evaluation systems/framework with good planning and evaluation performance indicators and tools for collection of M&E data and reporting to facilitate utilization of the data for planning. There is need to support all the CBOs and NGOs to develop capacity in this area as a priority.

Recommendations

The capacity building strategy to be adopted by UWONET should be multi-pronged;

- (a) Generic workshop-based capacity building training for all CBOs and NGOs to address the capacity gaps identified.
- (b) Individual CBO/NGO-specific mentoring support programmes designed for each CBO/NGO based on priority capacity needs identified. UWONET should work closely with the CBOs/NGOs to strengthen the capacities of CBOs in terms of structures, systems, policies and procedures and management skills. This will enable them participate in social accountability processes in the respective locations where they operate.
- (c) Information gaps especially with the CBOs and NGOs in the districts of focus in West Nile, Acholi and Karamoja sub regions exists because of inherent weaknesses in some of the CBOs and NGOs assessed. The networks and forums like NGO Forum, Sector specific networks are weak because of a number of factors among which includes lack of resources; weak leadership to coordinate and share information. The gap identified in terms of these networks and forums will need to be addressed through training to address resource mobilisation and leadership formation efforts to allow smooth coordination and networking.
- (d) Strengthening citizen participation in public service delivery will be essential to ensure social accountability for improved service delivery. Building public private partnership for joint programmes that benefits the local populace. Such programmes like joint monitoring, civic awareness, budget formulation processes
- (e) The selection of the CBOs and NGOs that UWONET will work with in capacity enhancement should consider the following:
 - CBOs and NGOs that are well established and fully operational such that they can promote the programme of social accountability process with ease
 - Differentiate Women and Youth focussed CBOs and NGOs and tailor specific capacity enhancement interventions. This could be by level of development of the CBO/NGO
 - Nurturing CBOs that are still nascent and ensuring that they become effective

- Focussing on network organisations that can harness support from the members to support efforts to implement social accountability.
- g) To tailor the capacity building programme to the individual needs of the NGOs and CBOs, UWONET will need to think through the process of selection of the CBOs and NGOs to work with. Strengthening that capacity of the CBOs and NGOs to become effective vehicles for promoting social accountability process and engaging the duty bearers will be essential. The need to address accountability in the CBOs and NGOs for them to become credible in the eyes of the public will be essential. This will be done concurrently with enhancing knowledge and skills in working with public institutions, creating civic awareness for improved service delivery will be paramount.

1.0 Introduction

1.1 The NGO Organizational Capacity Assessment Report

This report referred to as “The Organizational Capacity Assessment Report for CSOs in 3 sub regions of West Nile, Acholi and Karamoja”. It serves to communicate to UWONET the findings, conclusions and recommendations for capacity building with respect to the CBOs/NGOs assessed in the 3 sub regions. The selected CBOs/NGOs and their indicative areas of interventions are outlined in Table 1 below.

Table 1: CSOs Selected for the Organization Capacity Assessment

District	Selected NGO	Areas of Intervention
2 Acholi Pader	Roco Paco	Livelihoods
	Uganda rural Appropriate Technology Development centre (URATED-C)	Skills training and empowerment of young people
	Youth Coalition for Peace	Youth and peace building
	Women & Rural development Network Pader Branch WORUDET	Women empowerment
	Pader Youth Forum	Youth empowerment
	AIDs community Education and Training (ACET)	HIV and AIDS response
	Pader Disabled persons Union	Disability and development
	Acholi Women for peace and development	Recovery and Peace Building
	Agago	Agago NGO Forum
		Coordination and Networking – Social Accountability
		Gwoke Ken PHA and OVC Network
		HIV – Mitigation
		Lubanga Tek
		Livelihoods and women empowerment
		Patongo Community Counselling Outreach (PCCO)
		Counselling and IGA support
		Passion for Community Development (P4C)
		Youth care, Peace and Support
		Widows and Orphans support organisation (WOSO)
		Widows and orphans care and support
		Forum for Kalongo Parish Women organisation (FOKAPAWA)
		Women Empowerment through Livelihoods support
		Pader Initiative for Rural Development
		Livelihoods improvement
		Prayers HIV/AIDS Group
		HIV and AIDS Response
		Wagwoke
		Livelihoods improvement
3 Karamoja Abim	Volunteers for Development (VODE)	HIV and AIDS Response
	Arid land Development programme (ADP)	Livelihoods support
	Abim Women together in Development (AWOTID)	Women empowerment through Livelihoods
	Labwor Zonal Integrated Development Programme (LAZIDEP)	Livelihoods support
	African Youth Development Link (AYDL)	Youth Empowerment

District		Selected NGO	Areas of Intervention
		Multi Community Based Development Initiative (MUCOBADI)	Integrated development initiatives
		Omigen Concerned Parents Development Organisation (OMIGEN)	Livelihoods support
	Kaabong	Dodoth Friends of Charity (DOFRICHA)	Livelihoods support
		Action for Women & Awakening Rural Environment (AWARE)	Livelihoods and environment
		Dodoth Agro Pastoralist Development Organisation (DADO)	Livelihoods based on agro ecological economy
		Happy Cow project (HCP)	Livestock development
		Biafra Women's Group	Women Empowerment through Livelihoods
		Atosioma KAPLAN Women's Group	Women empowerment through literacy and development
		St. Monica Women's Group	Women Empowerment
		Capacity Support for Community Development (CSCD)	Community Development
	Kotido	UMOJA Women Group	Women Empowerment
		Nakere Women's Group (NAROPA)	Women's empowerment through Livelihoods
		Kitogogong Women's Group (KIWA)	Women Empowerment
		Atuinos Women Group	Women Empowerment
		Jie Community Development Initiative	Community development
		Mother's union North Karamoja Diocese	Women Empowerment
		Lokiderider Jie Women Group	Women Empowerment
		Lokinyinyir Group	Livelihoods support
		Lopedur Women's Group	Women Empowerment

1.2 Background to the Organizational Capacity Assessment

UWONET Vision and Mission

UWONET envisions a Uganda free from all forms of gender based discrimination; and upholding human rights and the principles of gender equity and equality, hence fostering equal opportunities and effective participation at all levels, recognising women contributions.

UWONET's mission is to promote and enhance networking, collective visioning and action among membership and with different actors working towards development and the transformation of unequal gender relations in the Ugandan society.

Context of the Capacity Assessment of CBOs/NGOs

Civil society organizations are the key ways through which the citizens or communities can hold their governments accountable. In order to achieve good governance and enhance women's role in accountability processes, participation of civil society in governance at all levels sub county, district and national needs to be stepped up. However the civil society capacities at the grassroots remain a slow and inactive driver for social accountability processes. To achieve gender equality and equal participation and representation of women in leadership and decision making, Civil Society Organizations (CSOs) capacities need to be strengthened.

As part of its strategic objective four, UWONET aims to work with grassroots women organizations and civil society at large. It also aims at building strategic partnerships to provide and foster women's roles in governance.

Overview of the Project

This programme implemented with support from the Diakonia Sweden seeks to enhance women's oversight capacity to participate in socio economic and political processes in the regions of Acholi, West Nile and Karamoja;

PROJECT OBJECTIVES

1. Enhance capacity of women and young people to participate in good governance and social accountability processes
2. To facilitate Civil Society Organisations (CSO) capacity development to participate in Local Government (LG) planning, monitoring and advocacy for effective social service delivery.

3. To provide relevant information for effective civic engagement between duty bearers (CSOs, LGs) and right holders

A selection of the Civil Society Organizations (CSOs)/CBOs in the 6 districts found in West Nile, Acholi and Karamoja Sub Regions was made by the management of Uganda Women Network, for purposes of undertaking this Organizational Capacity Assessment (OCA) with the view of enhancing women organisations to participate in social accountability programmes. The criterion for selection was;

- (a) The nature of services offered which had to be in line with the project's objectives which are in the 2 areas of;
 - (i) Governance and social accountability programmes,
 - (ii) Conduct effective advocacy for improved service delivery at local government level and,
- (b) Be geographically found in the 2 sub regions and operating in the following respective districts; Pader, Agago, , Abim, Kotido and Kaabong.

1.3 The Objective and scope of the Organizational Capacity Assessment

The purpose of the consultancy was to conduct organizational capacity assessments on local community based organisations and non government organisations to provide documentation of their capacities as one of the deliverables against which action will be measured

In addition the objective of the organizational capacity assessment of the local CBOs/NGOs was to determine baseline status and understand the operations of the CBOs. The assessment was to further provide the capacity gaps that need to be addressed for each CBO/NGO. This was to inform the development of responsive capacity building plans and subsequently programs to strengthen the capacities of CBOs/NGOs in implementing good governance and social accountability processes in the districts of operation.

Specifically the scope of the capacity assessment consultancy was to:

- Examine the strengths and weaknesses of the CSOs in regards to capacity and operation.
- Identify the capacity gaps that need to be strengthened in the skills development training.
- Identify Information gaps in regards to participation and implementation of Social Accountability processes.

1.4 Methodology Adopted to Carry Out the Organizational Capacity Assessment

The assessment mainly used the institutional capacity assessment technique where members and executives of the local CBOs and NGOs were asked to assess the institution based on 5 key areas. An organizational capacity assessment tool that had been developed was used in the assessment. The assessment tool covered five key institutional areas;

- Governance, legal status and leadership;
- Program, implementation and management to include Advocacy activities and the abilities of the CBOs/NGOs;
- Institutional management and administration;
- Financial resources management; and,
- Monitoring and evaluation.

The OCA was conducted with the representatives of the board, volunteers and the technical staff of the CBOs/NGOs and an OCA tool was used to score the CBO/NGO status/performance on the various OCA issues discussed using a ranking ranging from 1 for poor to 5 for excellent. The collaborative discussion with CBO/NGO staff, volunteers and board members around the index scores created an opportunity for valuable processes of consensus building and shared learning among the consultant assessment team and the CBO/NGO key informants. This enabled some quantification of results along a measurement dimension using a numeric scale from one to five.

The consultant's assessment team played a facilitating role and CBO/NGO board representative, volunteers and in some cases the staff took the lead in determining the relative capacity of their own organization.

1.5 Limitations Experienced

- The methodology lacked independent verification of some of the OCA issues responded to in the affirmative.
- Organizational Capacity Self-Assessment tool is susceptible to over positive assessment by the CBOs/NGOs. This raises potential for some divergence between the findings from the OCA and the objective situation on the ground.
- In some of the districts, we did not have the target 10 CBOs/NGOs as envisaged in the ToRs, because the CBO were either absent or some of them were just informal/lose family or clan associations in the nascent stages of development. This was particularly true with Kotido district.

2.0 Findings and Conclusions of the Institutional Capacity Assessment

2.1 General Findings

This chapter presents the findings gathered during the process of the institutional capacity assessment.

The assessment looked at the following main areas of institutional capacity – Governance, legal status and leadership, Management and administration, Program, planning, implementation and management, Financial resources management and Monitoring and evaluation and advocacy related agenda.

All the CBOs are still at the infancy stages except the NGOs like WORUDET, LABE, Arid Land Development programme, VODE, AWARE, CREAM, Dodoth Agro Pastoral Development Organisation, Multi Community Based Development Initiative that have been around for some time implementing interventions related to livelihood support focussing on serving the vulnerable members in the communities.

In terms of CBOs, most of them are still nascent and their operations are informal, some have regularised their existence through registration with the Local authorities. The geographical coverage of their interventions are wide and ambitious, most of them do not have employed staff and work mainly through volunteers. The use of volunteers is commendable but may also have some limitation because volunteers cannot be held accountable for their actions.

2.2 About Organizational Capacity Assessment Criteria

The organisation capacity assessment findings focused on indicators in the key areas identified and listed in the OCA tool. Some of these include the following;

1. Governance, Legal Status and Leadership

- (a) Existence of a Board of Directors
- (b) Capacity of the Board to provide overall policy direction and supervision for the organisation
- (c) Registration status of the NGO and CBOs both at the district level and national level
- (d) Existence of an NGO and CBO constitution

2. Management and Administration

- (a) Existence of a formal organisation structure
- (b) Existence of formal job descriptions and letters of appointment for staff
- (c) Existence of open lines of communication

- (d) Having in place human resource management guidelines
- (e) Formal salary structure with terms indicated in the staff appointment letters
- (f) Regular management and staff meetings
- (g) Existence of a system for communication and sharing of information among staff

3. Program, Planning, Implementation and Management

- (a) Existence of a Strategic Plan
- (b) Capacity to prepare annual, quarterly and monthly work plans for implementing activities
- (c) Existence of NGO advocacy targets and indicators
- (d) Advocacy plan/strategy/guidelines/agenda are in place

4. Financial Resources Management

- (a) There are appropriate and adequate financial management procedures and reporting systems.
- (b) Financial reports are prepared at the end of the financial year and certified
- (c) Existence and use of procurement procedures

5. Monitoring and Evaluation

- (a) There is an M&E system (with defined outputs and outcomes)
- (b) Performance Monitoring tools are in place
- (c) Performance reporting forms exist and are in use

The Organization Capacity Assessment (OCA) participants carried out a self-assessment of their NGO on each of the OCA issues indicated above by awarding a score of 1 – 5. The scores were defined as follows; 1 – Poor, 2 – Fair, 3 – Good, 4 – Very Good, 5 – Excellent. X is absent

The scores for the various indicators per CBO/NGO assessed are annexed.

2.3 Strengths and Weaknesses of the NGOs and CBOs Assessed

A specific assessment of the strengths and weaknesses of each of the NGOs and CBOs was also done. A summary of the findings in this respect are also provided in table below.

PADER		Governance, legal and status leadership	Management and administration	Program, planning, implementation and management	Financial resources management	Monitoring and evaluation
Women And Rural Development Network	Strengths	- Board exists and is functional - Board support some basic policy formulation - Board works on voluntary basis - There is constitution wand network properly registered	- Organisational structure that defines lines of authority clear - Job descriptions there and employed paid staff in place - There is support from the leaders to lower level members - Communication lines clear	- Some elementary intentions of the organisation documented - Vision and mission well articulated - Limited advocacy issues raised in different forums - Some involvement of members in designing activities for the group	- Financial resource management systems in place and functional - Organisation has a bank account and signatory arrangements all in place	- Some basic M&E system exists - Basic monitoring tools exist - Monitoring reports shared with key stakeholders like the board.
	Weaknesses	- Board manual that describes the roles and responsibilities together with operations not clearly spelt out - Need for	No staff training guidelines	- Strategic plan not compiled and consolidated - Vision and mission not known by all staff - Advocacy agenda/plan not compiled as well		The organization needs to improve in sharing monitoring information with other stakeholders

		additional skills for the board to fundraise, lobby, advocate				

		Governance, legal status and leadership	Management and administration	Program, planning, implementation and management	Financial resources management	Monitoring and evaluation
Pader Youth Forum	Strengths	- The CBO has a constitution and is properly registered at the national level/by the NGO Board - Member of NGO Forum - Has a board in place	- The CBO has an Organization structure that clearly defines the lines of authority and responsibility - Members on the board have some skills in leadership, mentoring and supporting other youth	- Has a documented vision and mission - Has strength in knowledge and skills in, core activities which are rooted in Youth activities.	There are basic financial management systems	CBO has reporting forms.
	Weaknesses	- Board functionality is unclear - Board members need to enhance skills and knowledge in fundraising, lobbying and carrying out advocacy work. - Spirit of voluntarism	- No staff in place - Planning is still on ad hoc basis. - The organization lacks clear guidelines on capacity building/training for staff.	- The organization does not have a well articulated advocacy plan /strategy /guidelines/agenda and advocacy targets/ indicators. - No strategic plan.	Basic documentation for financial management in place	- M&E system does not exist. - There are no monitoring tools to capture the required data.

		Governance, legal status and leadership	Management and administration	Program, planning, implementation and management	Financial resources management	Monitoring and evaluation
		for board members is not exhibited				
ACET	Strengths	- The NGO has a constitution and is properly registered at the district level/by the NGO Board - Member of NGO Forum - Has a board in place	- The NGO has an Organization structure that clearly defines the lines of authority and responsibility - There are job descriptions/letters of appointment specifying roles and responsibilities of management and staff.	- The NGO has a strategic plan that it uses. - The NGO prepares annual, quarterly or monthly work plans for implementing its activities. - Some form of advocacy, plan/ strategy/ guidelines/agenda and advocacy targets/indicators exist	- There are financial management procedures and reporting systems in place. - Has trained staff to maintain financial records and manage finances.	NGO has some form of M&E system used to monitor organisational activities
	Weaknesses	- Most of the board members are based in Kampala and frequent support to the Pader branch is limited - Skills of the board members to direct ACET in Pader limited	Administrative guidelines need to be made available at Pader Branch office level and also shared with staffs	- The strategic plan is not well understood by staff - The NGO staff also lacked comprehensive advocacy skills/ knowledge to carry out advocacy/lobbying activities at district and community levels.	Finances centrally managed and Pader office sends all papers to headquarters	- M&E system not in place - Annual evaluation not comprehensively undertaken with full participation of the beneficiaries.
Pader Disabled Persons Union (PADEP)	Strengths	- PADEP has a functional board, constitution and is properly registered at the district level/by the NGO Board - Member of NGO Forum	- Structure clear and in place - data and information gathered is used within the organisation - Open line of communications within the organisation exist	- Vision and mission in place - PADEP prepares annual, quarterly or monthly work plans for implementing its activities though not funded - Has strength in knowledge and skills in	- There are appropriate and fairly adequate financial management procedures and reporting systems in place. - Specific project	PADEP as some form of reporting forms though not adequate

		Governance, legal status and leadership	Management and administration	Program, planning, implementation and management	Financial resources management	Monitoring and evaluation
		Has a board in place		advocacy and networking on part of the staff and not the membership.	accounts are audited and accounts certified by External auditors.	
	Weaknesses	- The Board has low capacity to provide overall policy direction and supervision for the organization. - The Board's knowledge and skills to formulate policy, fundraise, lobby, advocate and maintain public relations is very low.	- The organization did not exhibit leadership that is capable of motivating, coaching and mentoring staff. - The organization lacks clear guidelines on capacity building/training for staff. - Human resource guidelines absent	- Strategic plan needs to be improved - The members of PADEP do not have comprehensive advocacy skill/knowledge to carry out advocacy/lobbying activities at district and community levels - Advocacy agenda/plan not documented - PADEP membership do not prepare work[plans that are shared with stakeholders - Involvement of stakeholders still limited.	- Budgeting is mainly top bottom and financial reports not audited as a general good practice - No staff to manage financial resources	- The monitoring & evaluation system and monitoring tools are not in place. - The organisation is generally weak in M&E, it is unable to utilize data generated for its own programming. - Monitoring reports are not regularly prepared and shared with management and Board of Directors.
Youth Coalition for Peace	Strengths	- The board exists - Board is functional and attempts to meet - Board member work on voluntary basis	- Clear organisation structure - Some form of open communication lines do exist	Some form of vision and objectives for the organisation exist	- Some scanty financial management procedures exist - Bank account exists	Some form of M&E tools exist though not well defined

		Governance, legal status and leadership	Management and administration	Program, planning, implementation and management	Financial resources management	Monitoring and evaluation
	Weaknesses	- The Board has fairly low capacity to provide overall policy direction and supervision for the organization. - Board minutes not consistently kept	- No staff & use volunteers - Mentoring and coaching lacking - No administrative policies in place - No meetings take place since there is no staff, volunteers do not formally meet	- The CBO has no strategic plan - There is only one staff to provide guidance in programme design - No advocacy agenda and requisite skills to undertake advocacy	- No financial management policies in place - No bank account and no signatories arrangements in place	- M&E system absent - Monitoring reports not shared with key stakeholders like the board - Tools for M&E absent
Uganda Rural Appropriate Technology Development Centre	Strengths	- The board exists - Board is functional and provides direction for the organisation - Board members work on voluntary basis	- Some form of open communication lines do exist - Fairly regular staff meetings	- Some form of vision and objectives for the organisation exist - There is some involvement of beneficiaries in CBO work		Some form of M&E exist though not well defined
	Weaknesses	- The Board's functionality is still at formative stage - Minutes are not consistently filed - Board has fairly low capacity to provide overall policy direction and supervision for the organization.	- Organogram lacking - There is no organisation operational guidelines/manual - Recruitment procedures unclear - Staff training guidelines lacking	- Strategic plan not there - No advocacy agenda and skills amongst the staff and members	- Financial management policies lacking - Financial planning still top bottom	- M&E system lacking - Monitoring tools need improvement - Monitoring reports not shared with key stakeholders like the board
Acholi Women for Peace and Development	Strengths	- Board in place - Board works on voluntary basis - CBO properly registered and has a	Organogram in place	Some objectives to guide the CBO are in place	-	-

		Governance, legal status and leadership	Management and administration	Program, planning, implementation and management	Financial resources management	Monitoring and evaluation
		constitution in place				
	Weaknesses	• Board manual absent • Limited skills to guide CBO in terms of the policy	• No staff and depending on volunteers • No clear communication lines • Administration guidelines absent	• Strategic plan lacking • No resources for programs • No advocacy agenda and skills for the members to undertake advocacy for social accountability	• No financial management policies completely	• M&E system not in place and no form of monitoring is undertaken at all
Roco Paco	Strengths	• Board in place • CBO properly registered	• Organogram in place • Some form of planning taking place • Communication system and information sharing in place	• Strategic plan to guide the organisation in place • Some few advocacy activities • Regular needs assessment carried out	• Some financial resource management system in place	• M&E tools available
	Weaknesses	• Board functionality is doubted • Skills to guide policy formulation are low • Minutes recording absent	• No administrative guidelines in place • Skills to guide staff in terms of mentoring absent • Staff meetings don't take place	• Beneficiary involvement in design of activities is minimal • Lack of advocacy agenda and skills to systematically do it	• No trained staff to manage finances • Procurement guidelines absent	• M&E system lacking • Reports and reporting lacking • Involvement of beneficiaries is minimal

Agago		Governance, legal status and leadership	Management and administration	Program, planning, implementation and management	Financial resources management	Monitoring and evaluation
Pader Initiative for Rural Development	Strengths	- Board in place and registered - Board members work on voluntary basis	- Organogram in place - Information collected to guide decision making	- Vision and objectives in place - Scarce resources put to use well - Needs assessments always carried out	- some records for financial management available - Accountability forms present	Some information is collected to guide activities
	Weaknesses	- Board does not meet regularly - Evidence of board minutes lacking - Less skills in policy formulation and advocacy on the part of the board	- No paid staff and use of only volunteers - Communication lines not open - Leadership and management skills limited - Absence of written down guidelines	- Strategic plan absent - Reports and reporting lacking - Advocacy agenda and indicators lacking - M&E limited and ad hoc	- Formal financial management guidelines lacking - Budgeting top bottom	- M&E systems lacking - Tools to monitor are absent - Less involvement of beneficiaries
Forum for Kalongo Parish Women Association (FOKAPAWA)	Strengths	- Registered NGO - Functional Board - Board providing policy guidance to management	- Clear Organogram - Job descriptions and roles clearly defined - Administrative guidelines in place	- Clear vision and mission - Strategic plan in place - Participation of stakeholders good	- Financial management systems in place - Accountability undertaken	- Some M&E tools in place - Data on the beneficiary communities kept
	Weaknesses	- Inadequate skills in policy formulation, fundraising - Supervision skills by the board is also limited	- Use of data collected in decision making is limited - Skills in coaching, mentoring on the part of the leaders is limited - Staff training guideline lacking	- Needs assessment during design is limited - Advocacy skills limited and advocacy agenda and indicators not clearly spelt out	- Bottom up budgeting not practised - Financial reporting not regular and pegged to specific donor requirements	- M&E system absent - Annual programmes review not done regularly and formally - Sharing of monitoring reports is not wide amongst the key stakeholders

Agago		Governance, legal status & leadership	Management and administration	Program, planning, implementation and management	Financial resources management	Monitoring and evaluation
Agago NGO Forum	Strengths	• Board in place • Registered Forum • Board has diverse skilled members	• Clear Organogram • Some skills in management and leadership • Open communication lines in the organisation	• Some objectives to guide the forum • Strategic plan in place • Advocacy activities implemented	• Some guidelines for financial management in place • Bank account and signatories in place	• Some M&E tools in place • Data on members of the forum maintained
	Weaknesses	• Board is not fully functional • Board minutes not well filed • Limited knowledge on policy formulation, fundraising	• No paid staff and no job descriptions • Mentoring and coaching limited since no staff • Administrative guidelines lacking • Meetings of volunteers/staff not regular	• Limited resources for programme activities • Advocacy indicators not developed • Needs assessment of members not carried out regularly • Strategic plan not comprehensive	• Accountability forms not well developed • Audit with external assistance not done • No staff in accounts	• Absence of M&E system • Reporting formats lacking • Annual review not conducted • Less involvement of the members in activities
Passion for Community Development (P4C)	Strengths	• Registered CBO • Board in place and functional • Skills in policy formulation and fundraising available	• Organogram clear • Job descriptions clear and in place • Administrative guidelines in place • Data collected is used to inform decision making • Assets like computers and other office equipment in place	• Clear vision and mission • Work plans regularly prepared • Resource allocation done well • Some advocacy conducted • Staff involved in program work	• Financial management guidelines in place • Accountability done well • Trained staff available in accounts • Procurement guidelines in place	• M&E tools in place • M&E data kept • M&E reports prepared
	Weaknesses	• Limited fundraising and policy formulation skills on the part of the leadership (board)	• Limited mentoring and coaching skills on the part of the leadership – management • Poor transport facilities	• Absence of a strategic plan • Advocacy skills still limited	• Accountability forms needs to be fine tuned • External audit not carried out • Over reliance on donor funds	• M&E system absent • Annual performance review not carried out

Abim		Governance, legal status & leadership	Management and administration	Program, planning, implementation and management	Financial resources management	Monitoring and evaluation
Omigen Concerned Parents Development Organisation	Strengths	• Board in place • Membership is diverse • Registered as NGO	• Organogram in place • Job descriptions in place • Open lines of communication • Some guidelines in place	• Clear vision and mission • Needs assessment regularly carried out • Some advocacy conducted	• Some accountability forms in place and documents	• Beneficiaries involved in review activities • Some reporting forms available
	Weaknesses	• Functionality of the board is weak • Limited knowledge and skills in policy and fundraising	• Limited use of data in decision making • Limited skills in mentoring and coaching on the part of management	• Strategic plan not well articulated • Advocacy agenda and skills are lacking • Limited beneficiary involvement in programme activities	• Absence of systems to manage financial resources • No trained staff in accounts • Financial reports not prepared regularly	• M&E system lacking • Reporting forms and tools absent • Monitoring reports lacking
Abim Women Together in Development	Strengths	• Board in place and functional • Some skills in policy and fundraising there on the board	• Organogram in place • Job descriptions in place • Administrative guidelines in place	• Vision and mission clearly articulated • Strategic plan in place • Annual reports prepared regularly and work plans too	• Financial management guidelines in place • Trained staff in place	• M&E system in place • Reports regularly made • Review annually carried out
	Weaknesses	• Limited skills in policy formulation and fundraising	• Limited data used in decision making • Limited coaching and mentoring skills on part of the management • Staff training guidelines	• Advocacy indicators and skills limited • Advocacy agenda not well spelt out	• Procurement guidelines not yet developed	• M&E system needs to be strengthened

			in place			
Kotido		Governance, legal status & leadership	Management and administration	Program, planning, implementation and management	Financial resources management	Monitoring and evaluation
Atoiunos Women's Group	Strengths	• Board in place and functional • Diversified membership on the board • Registered CBO		• Some objectives, vision and mission to guide the organisation • Needs assessment undertaken	• Scanty guidelines on financial management in place	•
	Weaknesses	• Limited skills in fundraising and policy formulation	• No Organogram • No staff no administration guidelines - Lines of communication unclear	• No strategic plan • Advocacy agenda and indicators absent • Involvement of beneficiaries limited	• Lack of comprehensive financial management guidelines • No staff to manage finances • Sound financial practices inexistent	• M&E system absent • No tools for monitoring • Annual review not conducted
Mothers Union North Karamoja	Strengths	• Registered CBO • Functional Board • Rooted in the COU as an FBO and getting guidance		• Some objectives, vision and mission to guide the organisation • Needs assessment undertaken	• Some guidelines on financial management in place • Have a bank account and signatories	• Some activities and outputs defined
	Weaknesses	• Limited skills in fundraising and policy formulation	• No Organogram • No staff no administration guidelines - Lines of communication unclear • Limited management and mentoring skills • Staff training guidelines	• No strategic plan • Advocacy agenda and indicators absent • Involvement of beneficiaries limited	• Lack of comprehensive financial management guidelines • No staff • Sound financial practices	• M&E system absent • No tools for monitoring • Annual review not conducted

			lacking		inexistent	
Kaabong		Governance, legal status & leadership	Management and administration	Program, planning, implementation and management	Financial resources management	Monitoring and evaluation
St Monica Women's Group	Strengths	Registered CBO with a constitution	- Organogram in place - Some skills in management exist - Some administration guidelines in place	- There is a clear vision and mission - Strategic plan in place - Regular needs assessment - Some advocacy activities undertaken - Resources allocated properly to meet the needs of the clients	- Financial management guidelines in place - Acceptable practices in financial management in place - Audit done	- Some M&E in terms of outcomes and outputs in place - Annual performance review conducted - Some M&E tools in place
	Weaknesses	No board	- Limited leadership and management skills - Job descriptions not served to all staff	- Staff do not know the vision and mission - Less participatory approaches used in program work	Procurement guidelines absent	Monitoring data on beneficiaries not put to use in terms of decision making
Biafra Atoookuju Group	Strengths	- Registered CBO - Functional Board - Board members work as volunteers	Working with on volunteers	Some vision and mission in place		
	Weaknesses	- Policy direction is weak - Fundraising support to the CBO limited - Members not from diversified	- No Organogram - No job descriptions - Communication lines inexistent - Leadership skills limited - No administration manuals	- No strategic plan - Reporting and reports still weak - No advocacy agenda and requisite skills to undertake advocacy lacking	- No financial management guidelines in place - Financial resources limited	- M&E systems not in place - No M&E tools - Annual performance review not undertaken

3.0 EMERGING ISSUES ON THE CAPACITY OF THE NGOs/CBOs

The findings from the OCA indicate a commonality of institutional capacity challenges and gaps in the 5 key areas of the assessment.

1. Governance, Legal Status and Leadership

All district CBOs are emerging organisations with Boards which are yet to fully exhibit a policy and strategic orientation of its roles and responsibilities which should focus on policy formulation and guidance and resource mobilization.

Some of the NGOs and CBOs at district are reasonably small emerging organisation again, whose strength in Board lies in a few pragmatic individuals who have deployed their resource mobilization skills to sustain its activities. Institutionalization of strategies, structures, systems and staff are key priorities that need to be addressed as part of the capacity building.

Under governance civic awareness is critical for effective leadership for the CBOs/NGOs but the findings show that civic awareness and competencies are low. This will be critical in social accountability interventions with public service delivery.

2. Management and Administration

Some of the NGOs and CBOs have almost no formal organisation structures, job descriptions and staff appointment letters in place. There is a lot of informality of the structure and descriptions. The board and members still perform most of the roles of management. Initially this can be justifiable but with growth and expansion the organisations may need to recruit some staff to professionalise service delivery.

The CBOs mainly use volunteers in the interventions that they implement, and for them to effectively participate in social accountability processes expected of the UWONET Capacity building project may be a tall order.

Formal human resource and administrative procedures need to be put in place for the NGOs and the CBOs in the districts of focus.

As emerging organisations, training of either board or members is still an area that does not feature in plans and priorities of the CBOs. The priorities of the CBOs/NGOs are focussed on mobilisation of resources which is plausible. Therefore there is need to support capacity enhancement for members, board and staff where existent.

3. Program, Planning, Implementation and Management

The level of functional bottom-up strategic planning and implementation was found to be generally low in all the CBOs and some NGOs assessed. This should be a key area for providing capacity building support by UWONET to enable them undertake structured

advocacy in the process of social accountability. This could be initially on a generic basis i.e. workshop oriented but mentoring support to individual CBOs during the planning processes could be considered for those CBOs that need to embark on developing participatory social accountability programmes.

The capacity for advocacy planning/strategy development/setting up indicators and targets was found wanting in all the CBOs and NGOs. This should be a key cross-cutting thematic area for generic capacity building support. To this end, social accountability process a project that UWONET would like support will be rendered useless unless the capacity of the target CBOs and NGOs are assisted to undergo skills training in this important area.

The importance of community participation can be underlined in the formulation and planning of the social programmes that enable the community to access goods and services. Participation of the community in programmes that benefit them even by the CBOs and NGOs was found to be low. Participation in social accountability aims to improve human welfare and to meet human needs for high educational attainment, improved health, decent and affordable housing, minimal levels of poverty, low crime rate, reduced HIV and AIDS; and social security among others. Therefore capacity building in enhancing the skills in community participation at NGO and CBO level will contribute to the achievement of the UWONET project objectives.

The picture on preparation of work plans by CBOs and NGOs is mixed. Some of the CBOs/NGOs regularly prepare work plans while others don't have any ongoing activities/programmes. This scenario for those CBOs/NGOs that prepare work plans can be attributed to the generic government and donor requirement for work plans as tools for justification and accountability for resources. Developing the capacities of the NGOs/CBOs to undertake planning workshops to share information and address real resource gaps needs to be factored in the capacity enhancement support.

4. Financial Resources Management

This area of the assessment was generally found to be weak because most the CBOs and NGOs do not have formal financial systems. Nonetheless because it governs a number of things, all organisations seemed to have made some effort to put in place financial management guidelines. This is true with NGOs and some CBOs that have programmes that are financially supported by development partners. Capacity enhancement will be required to nurture and ensure the basic finance and management systems are put in place and persons trained to use them.

5. Monitoring and Evaluation

All the CBOs lack or have poor functional monitoring and evaluation systems/framework with good planning and evaluation performance indicators and tools for collection of M&E data and reporting to facilitate utilization of the data for planning. There is need to support all the CBOs and NGOs to develop capacity in this area as a priority.

4.0 CONCLUSION:

The capacity building strategy to be adopted by UWONET should be multi-pronged;

- i. Generic workshop-based capacity building training for all CBOs and NGOs to address the capacity gaps identified.
- ii. Individual CBO/NGO-specific mentoring support programmes designed for each CBO/NGO based on priority capacity needs identified. UWONET should work closely with the CBOs/NGOs to strengthen the capacities of CBOs in terms of structures, systems, policies and procedures and management skills. This will enable them participate in social accountability processes in the respective locations where they operate.
- iii. Information gaps especially with the CBOs and NGOs in the districts of focus in West Nile, Acholi and Karamoja sub regions exists because of inherent weaknesses in some of the CBOs and NGOs assessed. The networks and forums like NGO Forum, Sector specific networks are weak because of a number of factors among which includes lack of resources; weak leadership to coordinate and share information. The gap identified in terms of these networks and forums will need to be addressed through training to address resource mobilisation and leadership formation efforts to allow smooth coordination and networking.
- iv. Strengthening citizen participation in public service delivery will be essential to ensure social accountability for improved service delivery. Building public private partnership for joint programmes that benefits the local populace. Such programmes like joint monitoring, civic awareness, budget formulation processes
- v. The selection of the CBOs and NGOs that UWONET will work with in capacity enhancement should consider the following:
 - CBOs and NGOs that are well established and fully operational such that they can promote the programme of social accountability process with ease
 - Nurturing CBOs that are still nascent and ensuring that they become effective
 - Focussing on network organisations that can harness support from the members to support efforts to implement social accountability.

5.0 Presentation of capacity Building Plan

Table showing Summary Matrix of the capacity gaps

OCA Area	Capacity Gaps	Affected NGO/CBO	Remarks
Institutional Sustainability	Limited often unsustainable funding	All	
Technical	Social accountability process and through advocacy	All	
	Community participation in improvement of services delivery skills & Tools	All	
Governance :	- Need for board to provide overall policy direction and formulation for the organization to include strategic planning - Need for Board members gain skills and knowledge in fundraising, lobbying and carrying out advocacy work - Civic awareness	All	
Management and administration	Need for organizational leadership skills in motivation coaching & mentoring of staff.	All	
	Communication and teamwork	All	
	Put in place administration/operations guidelines to follows in running activities.	All	
	Need for clarity on guidelines on capacity building/training for staff and volunteers	All	
Program, Planning, implementation and management;	Need a strategic plan		
	- Need advocacy plan/strategy/guidelines/agenda & advocacy targets/indicators. - Need advocacy skill/knowledge to carry out advocacy/lobbying.	All	
	- Public private partnerships and joint programmes for improved service delivery - Local government procedures and operations		
	Resource mobilisation	All	
Monitoring and evaluation	- M&E system, implementation & reporting and data utilization for own use. - Monitoring of Public projects (NAADS, UPE, USE etc) - Public Expenditure tracking (both at CBO/NGO and Government levels)	All	
	- Financial management - Lack of qualified staff	All	

Two types of capacity building support are to be provided;

(a) Generic capacity building – This shall focus on provision of soft skills, management and governance best practices and tools for good institutional management. Thematic areas of interest recommended shall include;

- Communication and team building;
- Monitoring and evaluation;
- Financial management;
- Governance and management;
- Advocacy; and,
- Strategic planning and management.

(b) Technical capacity building – This shall focus on provision of skills and tools for planning and implementation of social accountability process to improve service delivery championed by the NGOs and CBOs. Civic awareness, joint public and private partnerships for improved service delivery; enhancing joint efforts in advocacy for transparency and accountability in public projects

A summary of the capacity building requirements analyzed on the basis of these two capacity building support areas is provided in table below.

Table showing Analysis of Findings and Recommendations

Capacity Gaps	Affected CBO/NGO	Capacity Building Required	Type of Capacity Building To Be provided
Limited often unsustainable funding	All	Fundraising /Resource mobilization skills	Generic
Community participation	All	Enhancement in participation and advocacy for inclusive process	Technical
Improvement in service delivery skills & Tools	All CBOs	Service delivery skills, guidelines & tools like advocacy	Technical
Governance	All CBOs and some NGOs	Governance practices, group dynamics, policies and procedures, civic awareness	Generic
Management and administration	All	HRM capacity building, including policies/ procedures	Generic
Advocacy planning/implementation	All	Planning and implementation skills/ tools for accountability	Generic
Resource mobilization	All	Fundraising /Resource mobilization skills	Generic
M&E system, implementation & reporting Joint monitoring of public goods and services	All CBOs and some NGOs	Setting up, implementing & using M&E systems/tools. Monitoring of service delivery interventions	Generic
Communication and teamwork	All	Communication and presentation skills, packaging and basic research	Generic
Financial management	All CBOs and some NGOs	Recruitment of qualified staff , procurement guidelines, formal financial systems	Technical Assistance

6.0 Prioritisation of Capacity Building Plans:

To tailor the capacity building programme to the individual needs of the NGOs and CBOs, UWONET will need to think through the process of selection of the CBOs and NGOs to work with. Strengthening that capacity of the CBOs and NGOs to become effective vehicles for promoting social accountability process and engaging the duty bearers will be essential. The need to address accountability in the CBOs and NGOs for them to become credible in the eyes of the public will be essential. This will be done concurrently with enhancing knowledge and skills in working with public institutions, creating civic awareness for improved service delivery will be paramount.

The capacity building priority interventions rankings have been suggested for the NGOs/CBOs in ascending order from 1 – most urgent, 2 – urgent, 3 – least urgent and 4 – Not Urgent are summarized in Table below:

Table Showing Priority Rankings of CBOs Capacity Building Requirements based on the region

District			Areas for Improvement	Priority Ranking 1-most urgent, followed by 2 in that order.
2	Acholi Sub region Pader, and Agago		Governance and leadership	1. Fund raising and resource mobilization skills 1. Roles and responsibilities of the board 2. Team building and group dynamics
			Administration and management	1) Mentoring program through participatory development
			Monitoring and evaluation	2. Development of M&E System (tools & reporting skills)
			Research and Advocacy	1. Basic data collection and research methods 2. Advocacy – packaging information/messages
			Financial/resource management	2.Establishment financial management guidelines,
				2.Procurement guidelines
			Programs	2. Participatory Methods in community development- Strategic Planning 3. Application of social accountability in improvement of services delivery guidelines & tools 2. Advocacy plan & strategy implementation
			Monitoring and evaluation	1. Development of M&E tools(reporting skills)
			Community participation	1. Participatory approaches 2. Networking and collaboration 2 Civic Awareness
			Group Dynamics	1. Organisational growth and development 2. Conflict management and peace building
3	Karamoja Abim, Kotido		Governance and leadership	1. Fund raising and resource mobilization skills 1. Roles and responsibilities of the board

District		Areas for Improvement	Priority Ranking 1-most urgent, followed by 2 in that order.
	and Kaabong		2. Team building and group dynamics
		Administration and management	3. Mentoring program through participatory development
		Monitoring and evaluation	2. Development of M&E System (tools & reporting skills) Joint monitoring and tracking of public expenditures
		Research and Advocacy	1. Basic data collection and research methods 2. Advocacy – packaging information/messages
		Financial/resource management	3. Establishment financial management guidelines,
			2. Procurement guidelines
		Programs	2. Application of social accountability in improvement of services delivery guidelines & tools 2. Advocacy plan & strategy implementation 2 Peace building
		Community Participation	1. Participatory approaches 2. Networking and collaboration 3. Civic awareness

6.1 Suggested Pedagogical Approach

The pedagogical approach suggested should combine lectures, roundtables, and simulation exercises.

It should also emphasise practical applications through the use of case studies and group discussions.

Group work will also be employed to promote peer learning and impart knowledge and skills.

Participants for the capacity enhancement programme should be prepared to present short reports on specific themes covered in the course.

Certificates of competence and attendance should be awarded to participants as a motivation to continue enhancing capacity of their organizations.

Another innovative approach proposed in the capacity building which UWONET could consider, is the “**peer-to-peer learning programme**”, under which officials of the NGOs and CBOs will have an opportunity to interact with counterparts in other areas or more developed NGO/CBOs

within or without. This could be through exchange of visits, meetings, seminars, etc to share experiences and information relating to their work. They will also have opportunities to visit successful CSOs in promotion of social accountability like anti corruption coalitions, social right watch groups, food and land right groups. This kind of learning will expose them to innovation and best practice which will be useful in enhancing their outlook and performance. However, this innovative approach proposed has a resource limitation constraint but could be blended with the usual conventional training.

Annexes 1: OCA Tools for selected CBOs/NGOs Assessed based on sub region

The scores have been defined as follows; 1 – Poor, 2 – Fair, 3 – Good, 4 – Very Good, 5 – Excellent. X is absent; N is number

Section A: Identification Information

AGENCY FOR ACCELERATED RURAL DEVELOPMENT

Question	Response
Section A: Organisational Background	
Name of Organisation	___AFARD_Agency for Accelerated Regional Development___
Type of Organisation (NGO, CBO, FBO)	1. NGO 2. CBO 3. FBO
Location (district, sub-county)	District <u>2</u> Sub-county <u>KOTIDO</u>
Areas of operation	# of Districts _____ # of Sub-county _____
Year of registration:	Year <u>2000</u>
Size of Organisation	
# of Technical/program Staff: <u>4</u>	(M <u>3</u> ; F <u>1</u>)
# Support Staff (Drivers, Cleaners, Guards etc): <u>3</u>	(M <u>3</u> ; F <u>-</u>)
# Management Staff (Finance, Admin/HR) <u>1</u>	(M <u>-</u> ; F <u>1</u>)
# of Board members: <u>5</u>	(M <u>3</u> ; F <u>2</u>)
# of Volunteers/interns <u>2</u>	(M <u>1</u> ; F <u>1</u>)
# of full staff <u>8</u>	(M <u>6</u> ; F <u>2</u>)
# of part time staff	(M <u>--</u> ; F <u>-</u>)
Respondents' Details (ensure that there is a program and F&A staff present)	
Management (Finance):	Total <u>1</u> (M <u> </u> F <u>1</u>)
Technical/program:	Total <u>4</u> (M <u>3</u> F <u>1</u>)
Assessment team Composition	
Date of Assessment	_____
Assessment conducted by	_____

Section B: Capacity Rating Categories

Institutional Assessment Item	
1. GOVERNANCE, LEGAL STATUS AND LEADERSHIP	
1. 1 Governance	
1	Existence of a Board of Directors
2	The Board of Directors is functional (<i>meets regularly, supports the organization</i>)
3	Board Minutes are maintained (filled)
4	The Board Provides overall policy direction and supervision for the organization
5	The Board is diversified with members from different sex, professions, age.
6	The Board has capacity to formulate policy, fundraise, lobby, advocate and maintain public relations (focus on knowledge, skills and experience in formulation, fundraising, lobbying, advocating and maintain public relations).
7	The Board members work on voluntary basis

Institutional Assessment Item	
1.2 Legal Status	
8	The NGO is properly registered at the district level/by the NGO Board? Member of NGO Forum?
9	The NGO has a constitution (in place)
2. MANAGEMENT AND ADMINISTRATION	
2.1. Management Structure	
10	The NGO has an Organization structure that clearly defines the lines of authority and responsibility
11	There are job descriptions/letters of appointment specifying roles and responsibilities of management and staff.
12	The data and information gathered is used within the organization for planning and control.
13	The NGO has open lines of communication (There is presence of participation, openness, teamwork and consultation among management and staff in meetings, retreats and sharing/learning sessions are held regularly as scheduled)
14	The management of the organization has leadership knowledge, skills and experience.
15	The organizational leadership motivates, coaches and mentors staff
2.2 Administrative Structure	
16	The NGO has administration/operations guidelines (policies and procedures) it follows in running its activities
2.3 Human Resources Management	
2.3.1 Planning	
17	Staff recruitment is based on the NGO's capacity needs and objectives
18	Staff training is based on the NGO's capacity needs and objectives
19	There are human resource management guidelines (policies and procedures) in place
20	The organization has staff training guidelines in place
2.4. Salary and Benefits	
21	Salaries are clearly structured and indicated in appointment letters.
22	The payroll is formally prepared, approved and paid, with the statutory deductions duly remitted
2.3.2 Staff Roles	
23	Job Descriptions/appointment letters exist and are followed to allocate roles and responsibilities?
24	Staff appraisals are conducted regularly and feedback given
2.3.3 Work Organization	
25	Regular management and staff meetings are regularly held and minutes taken
26	There is a system for communication and sharing information among all staff members (<i>Notice Board, pigeon holes, email, circulars, memos</i>)
3. PROGRAM, PLANNING, IMPLEMENTATION AND MANAGEMENT	
3.1 Vision/Mission	
27	The NGO has clearly articulated Vision/Mission/Goals
28	The Staff know and clearly understand the NGO's Vision/mission/Goals
3.2. Planning	
29	The NGO has a strategic plan
30	The NGO carries out regular needs assessment of the Beneficiaries during the planning process?
31	The NGO prepares annual, quarterly or monthly work plans for implementing its activities
32	The NGO plans and allocates its resources properly
33	The NGO plans and conducts program advocacy activities at district and community levels
34	The NGO has advocacy targets/indicators
3.3. Program Development	

Institutional Assessment Item	
35	The NGO involves beneficiaries & other stakeholders in program design, implementation and evaluation
36	The NGO involves staff in program design, implementation and evaluation
37	Does the organization have an advocacy plan/strategy/guidelines/agenda
4. FINANCIAL RESOURCES MANAGEMENT	
4.1. Accounting	
38	There are appropriate and adequate financial management procedures and reporting systems in place
39	Does the organization have a funds requisition process
40	Does the organization have pre-numbered transaction documents
41	Does the organization have accounts records
42	Does the organization have bank account
43	Does the organization have signatory arrangements
44	Does the organization have monthly bank reconciliation
45	Does the organization have accountability forms
4.2. Budgeting	
46	There is a bottom-up and regular budget process which is integrated into strategic, annual, quarterly and operating plans.
47	Financial reports are prepared at the end of the year and certified by the board or External Auditors to assure transparency and accountability
48	There are procurement procedures in place (Procurement committee, requisition, vendor prequalification, competition etc)
4.3. Financial Reports	
49	There are trained and qualified staff to maintain financial records and manage finances of the NGO
50	Financial reporting is accurately And timely done (monthly, quarterly, annually).
5. MONITORING AND EVALUATION	
51	There is an M & E system (outcomes and outputs)
52	Does the NGO have monitoring tools
53	Monitoring data is maintained for the services provided with particulars of the beneficiaries
54	Does the organization have reporting forms
55	Monitoring reports are regularly prepared and shared with management and Board of Directors
56	Annual Performance evaluation of the NGO is done and results (achievements of program and lesson learnt) disseminated to all stakeholders in beneficiaries
57	Beneficiaries are consulted during the review of the activities of the NGO
Total	

Question	Response
Section A: Organisational Background	
Name of Organisation	PADER YOUTH FORUM
Type of Organisation (NGO, CBO, FBO)	1. NGO 2. CBO 3. FBO
Location (district, sub-county)	District <u>Pader</u> Sub-county <u>Pader Town Council</u>
Areas of operation	# of Districts <u>1</u> # of Sub-county <u>5</u>
Year of registration:	Year <u>2009</u>
Size of Organisation	
# of Technical/program Staff: <u>2</u>	(M <u>1</u> ; F <u>1</u>)
# Support Staff (Drivers, Cleaners, Guards etc):	(M _____ ; F _____)
# Management Staff (Finance, Admin/HR) <u>2</u>	(M <u>1</u> ; F <u>1</u>)
# of Board members: <u>9</u>	(M <u>5</u> ; F <u>4</u>)
# of Volunteers/interns <u>10</u>	(M <u>7</u> ; F <u>3</u>)
# of full staff <u>4</u>	(M <u>2</u> ; F <u>2</u>)
# of part time staff	(M _____ ; F _____)
Respondents' Details (ensure that there is a program and F&A staff present)	
Management (Finance):	Total <u>2</u> (M <u>1</u> F <u>1</u>)
Technical/program:	Total <u>2</u> (M <u>1</u> F <u>1</u>)
Assessment team Composition	
Date of Assessment	<u>13/06/2012</u>
Assessment conducted by	<u>Henry</u>

Section B: Capacity Rating Categories

Institutional Assessment Item	
1. GOVERNANCE, LEGAL STATUS AND LEADERSHIP	
1.1 Governance	
1	Existence of a Board of Directors
2	The Board of Directors is functional (<i>meets regularly, supports the organization</i>)
3	Board Minutes are maintained (filled)
4	The Board Provides overall policy direction and supervision for the organization
5	The Board is diversified with members from different sex, professions, age.
6	The Board has capacity to formulate policy, fundraise, lobby, advocate and maintain public relations (focus on knowledge, skills and experience in formulation, fundraising, lobbying, advocating and maintain public relations).
7	The Board members work on voluntary basis
1.2 Legal Status	
8	The NGO is properly registered at the district level/by the NGO Board? Member of NGO Forum?
9	The NGO has a constitution (in place)
2. MANAGEMENT AND ADMINISTRATION	
2.1. Management Structure	
10	The NGO has an Organization structure that clearly defines the lines of authority and responsibility
11	There are job descriptions/letters of appointment specifying roles and responsibilities of management and staff.
12	The data and information gathered is used within the organization for planning and control.
13	The NGO has open lines of communication (There is presence of participation, openness, teamwork and consultation among management and staff in meetings, retreats and sharing/learning sessions are held regularly as scheduled)
14	The management of the organization has leadership knowledge, skills and experience.
15	The organizational leadership motivates, coaches and mentors staff
2.2 Administrative Structure	
16	The NGO has administration/operations guidelines (policies and procedures) it follows in running its activities
2.3 Human Resources Management	
2.3.1 Planning	
17	Staff recruitment is based on the NGO's capacity needs and objectives
18	Staff training is based on the NGO's capacity needs and objectives
19	There are human resource management guidelines (policies and procedures) in place
20	The organization has staff training guidelines in place
2.4. Salary and Benefits	
21	Salaries are clearly structured and indicated in appointment letters.
22	The payroll is formally prepared, approved and paid, with the statutory deductions duly remitted
2.3.2 Staff Roles	
23	Job Descriptions/appointment letters exist and are followed to allocate roles and responsibilities?
24	Staff appraisals are conducted regularly and feedback given
2.3.3 Work Organization	
25	Regular management and staff meetings are regularly held and minutes taken
26	There is a system for communication and sharing information among all staff members (<i>Notice Board, pigeon holes, email, circulars, memos</i>)
3. PROGRAM, PLANNING, IMPLEMENTATION AND MANAGEMENT	

Institutional Assessment Item	
3.1 Vision/Mission	
27	The NGO has clearly articulated Vision/Mission/Goals
28	The Staff know and clearly understand the NGO's Vision/mission/Goals
3.2. Planning	
29	The NGO has a strategic plan
30	The NGO carries out regular needs assessment of the Beneficiaries during the planning process?
31	The NGO prepares annual, quarterly or monthly work plans for implementing its activities
32	The NGO plans and allocates its resources properly
33	The NGO plans and conducts program advocacy activities at district and community levels
34	The NGO has advocacy targets/indicators
3.3. Program Development	
35	The NGO involves beneficiaries & other stakeholders in program design, implementation and evaluation
36	The NGO involves staff in program design, implementation and evaluation
37	Does the organization have an advocacy plan/strategy/guidelines/agenda
6. FINANCIAL RESOURCES MANAGEMENT	
4.1. Accounting	
38	There are appropriate and adequate financial management procedures and reporting systems in place
39	Does the organization have a funds requisition process
40	Does the organization have pre-numbered transaction documents
41	Does the organization have accounts records
42	Does the organization have bank account
43	Does the organization have signatory arrangements
44	Does the organization have monthly bank reconciliation
45	Does the organization have accountability forms
4.2. Budgeting	
46	There is a bottom-up and regular budget process which is integrated into strategic, annual, quarterly and operating plans.
47	Financial reports are prepared at the end of the year and certified by the board or External Auditors to assure transparency and accountability
48	There are procurement procedures in place (Procurement committee, requisition, vendor prequalification, competition etc)
4.3. Financial Reports	
49	There are trained and qualified staff to maintain financial records and manage finances of the NGO
50	Financial reporting is accurately And timely done (monthly, quarterly, annually).
7. MONITORING AND EVALUATION	
51	There is an M & E system (outcomes and outputs)
52	Does the NGO have monitoring tools
53	Monitoring data is maintained for the services provided with particulars of the beneficiaries
54	Does the organization have reporting forms
55	Monitoring reports are regularly prepared and shared with management and Board of Directors
56	Annual Performance evaluation of the NGO is done and results (achievements of program and lesson learnt) disseminated to all stakeholders in beneficiaries
57	Beneficiaries are consulted during the review of the activities of the NGO
Total	

Section B: Capacity Rating Categories

Institutional Assessment Item	
1. GOVERNANCE, LEGAL STATUS AND LEADERSHIP	
1.1 Governance	
1	Existence of a Board of Directors
2	The Board of Directors is functional (<i>meets regularly, supports the organization</i>)
3	Board Minutes are maintained (filled)
4	The Board Provides overall policy direction and supervision for the organization
5	The Board is diversified with members from different sex, professions, age.
6	The Board has capacity to formulate policy, fundraise, lobby, advocate and maintain public relations (focus on knowledge, skill, experience in policy formulation, fundraising, lobbying, advocating and maintain public relations).
7	The Board members work on voluntary basis
1.2 Legal Status	
8	The NGO is properly registered at the district level/by the NGO Board? Member of NGO Forum?
9	The NGO has a constitution (in place)
2. MANAGEMENT AND ADMINISTRATION	
2.1. Management Structure	
10	The NGO has an Organization structure that clearly defines the lines of authority and responsibility
11	There are job descriptions/letters of appointment specifying roles and responsibilities of management and staff.
12	The data and information gathered is used within the organization for planning and control.
13	The NGO has open lines of communication (There is presence of participation, openness, teamwork and consultation among management and staff, Staff meetings, retreats and sharing/learning sessions are held regularly as scheduled)
14	The management of the organization has leadership knowledge, skills and experience.
15	The organizational leadership motivates, coaches and mentors staff
2.2 Administrative Structure	
16	The NGO has administration/operations guidelines (policies and procedures) it follows in running its activities
2.3 Human Resources Management	
2.3.1 Planning	
17	Staff recruitment is based on the NGO's capacity needs and objectives
18	Staff training is based on the NGO's capacity needs and objectives
19	There are human resource management guidelines (policies and procedures) in place
20	The organization has staff training guidelines in place
2.4. Salary and Benefits	
21	Salaries are clearly structured and indicated in appointment letters.
22	The payroll is formally prepared, approved and paid, with the statutory deductions duly remitted
2.3.2 Staff Roles	
23	Job Descriptions/appointment letters exist and are followed to allocate roles and responsibilities?
24	Staff appraisals are conducted regularly and feedback given
2.3.3 Work Organization	
25	Regular management and staff meetings are regularly held and minutes taken
26	There is a system for communication and sharing information among all staff members (<i>Notice Board, pigeon holes, email, circulars, memo</i>)
3. PROGRAM, PLANNING, IMPLEMENTATION AND MANAGEMENT	

Institutional Assessment Item	
3.1 Vision/Mission	
27	The NGO has clearly articulated Vision/Mission/Goals
28	The Staff know and clearly understand the NGO's Vision/mission/Goals
3.2. Planning	
29	The NGO has a strategic plan
30	The NGO carries out regular needs assessment of the Beneficiaries during the planning process?
31	The NGO prepares annual, quarterly or monthly work plans for implementing its activities
32	The NGO plans and allocates its resources properly
33	The NGO plans and conducts program advocacy activities at district and community levels
34	The NGO has advocacy targets/indicators
3.3. Program Development	
35	The NGO involves beneficiaries & other stakeholders in program design, implementation and evaluation
36	The NGO involves staff in program design, implementation and evaluation
37	Does the organization have an advocacy plan/strategy/guidelines/agenda
8. FINANCIAL RESOURCES MANAGEMENT	
4.1. Accounting	
38	There are appropriate and adequate financial management procedures and reporting systems in place
39	Does the organization have a funds requisition process
40	Does the organization have pre-numbered transaction documents
41	Does the organization have accounts records
42	Does the organization have bank account
43	Does the organization have signatory arrangements
44	Does the organization have monthly bank reconciliation
45	Does the organization have accountability forms
4.2. Budgeting	
46	There is a bottom-up and regular budget process which is integrated into strategic, annual, quarterly and operating plans.
47	Financial reports are prepared at the end of the year and certified by the board or External Auditors to assure transparency and accountability
48	There are procurement procedures in place (Procurement committee, requisition, vendor prequalification, competition etc)
4.3. Financial Reports	
49	There are trained and qualified staff to maintain financial records and manage finances of the NGO
50	Financial reporting is accurately And timely done (monthly, quarterly, annually).
9. MONITORING AND EVALUATION	
51	There is an M & E system (outcomes and outputs)
52	Does the NGO have monitoring tools
53	Monitoring data is maintained for the services provided with particulars of the beneficiaries
54	Does the organization have reporting forms
55	Monitoring reports are regularly prepared and shared with management and Board of Directors
56	Annual Performance evaluation of the NGO is done and results (achievements of program and lesson learnt) disseminated to all stakeholders including beneficiaries
57	Beneficiaries are consulted during the review of the activities of the NGO
Total	

PADER DISABLED PERSONS UNION

Question	Response
Section A: Organisational Background	
Name of Organisation	_ Pader Disabled Persons Union (PADIPU) _____
Type of Organisation (NGO, CBO, FBO)	1. NGO 2. CBO 3. FBO
Location (district, sub-county)	District__ Pader _____ Sub-county_ Pader Town Council _____
Areas of operation	# of Districts __ 1 __ # of Sub-county __ 4 __
Year of registration:	Year__ 2002 _____
Size of Organisation	
# of Technical/program Staff: 2	(M__ 2 ____ ; F__ - ____)
# Support Staff (Drivers, Cleaners, Guards etc):	(M____ ; F__ 1 ____)
# Management Staff (Finance, Admin/HR)	(M____ ; F____)
# of Board members: 9	(M__ 5 ____ ; F__ 4 ____)
# of Volunteers/interns 1	(M____ ; F__ 1 ____)
# of full staff 2	(M__ 2 ____ ; F____)
# of part time staff	(M____ ; F____)
Respondents' Details (ensure that there is a program and F&A staff present)	
Management (Finance):	Total _____ (M_____ F_____)
Technical/program:	Total _____ (M_____ F_____)
Assessment team Composition	
Date of Assessment	_____
Assessment conducted by	

Section B: Capacity Rating Categories

Institutional Assessment Item	
1. GOVERNANCE, LEGAL STATUS AND LEADERSHIP	
1.1 Governance	
1	Existence of a Board of Directors
2	The Board of Directors is functional (<i>meets regularly, supports the organization</i>)
3	Board Minutes are maintained (filled)
4	The Board Provides overall policy direction and supervision for the organization
5	The Board is diversified with members from different sex, professions, age.
6	The Board has capacity to formulate policy, fundraise, lobby, advocate and maintain public relations (focus on knowledge, skills and experience in formulation, fundraising, lobbying, advocating and maintain public relations).
7	The Board members work on voluntary basis
1.2 Legal Status	
8	The NGO is properly registered at the district level/by the NGO Board? Member of NGO Forum?
9	The NGO has a constitution (in place)
2. MANAGEMENT AND ADMINISTRATION	
2.1. Management Structure	
10	The NGO has an Organization structure that clearly defines the lines of authority and responsibility
11	There are job descriptions/letters of appointment specifying roles and responsibilities of management and staff.
12	The data and information gathered is used within the organization for planning and control.
13	The NGO has open lines of communication (There is presence of participation, openness, teamwork and consultation among management and staff in meetings, retreats and sharing/learning sessions are held regularly as scheduled)
14	The management of the organization has leadership knowledge, skills and experience.
15	The organizational leadership motivates, coaches and mentors staff
2.2 Administrative Structure	
16	The NGO has administration/operations guidelines (policies and procedures) it follows in running its activities
2.3 Human Resources Management	
2.3.1 Planning	
17	Staff recruitment is based on the NGO's capacity needs and objectives
18	Staff training is based on the NGO's capacity needs and objectives
19	There are human resource management guidelines (policies and procedures) in place
20	The organization has staff training guidelines in place
2.4. Salary and Benefits	
21	Salaries are clearly structured and indicated in appointment letters.
22	The payroll is formally prepared, approved and paid, with the statutory deductions duly remitted
2.3.2 Staff Roles	
23	Job Descriptions/appointment letters exist and are followed to allocate roles and responsibilities?
24	Staff appraisals are conducted regularly and feedback given
2.3.3 Work Organization	
25	Regular management and staff meetings are regularly held and minutes taken
26	There is a system for communication and sharing information among all staff members (<i>Notice Board, pigeon holes, email, circulars, memos</i>)
3. PROGRAM, PLANNING, IMPLEMENTATION AND MANAGEMENT	
3.1 Vision/Mission	

Institutional Assessment Item	
27	The NGO has clearly articulated Vision/Mission/Goals
28	The Staff know and clearly understand the NGO's Vision/mission/Goals
3.2. Planning	
29	The NGO has a strategic plan
30	The NGO carries out regular needs assessment of the Beneficiaries during the planning process?
31	The NGO prepares annual, quarterly or monthly work plans for implementing its activities
32	The NGO plans and allocates its resources properly
33	The NGO plans and conducts program advocacy activities at district and community levels
34	The NGO has advocacy targets/indicators
3.3. Program Development	
35	The NGO involves beneficiaries & other stakeholders in program design, implementation and evaluation
36	The NGO involves staff in program design, implementation and evaluation
37	Does the organization have an advocacy plan/strategy/guidelines/agenda
10. FINANCIAL RESOURCES MANAGEMENT	
4.1. Accounting	
38	There are appropriate and adequate financial management procedures and reporting systems in place
39	Does the organization have a funds requisition process
40	Does the organization have pre-numbered transaction documents
41	Does the organization have accounts records
42	Does the organization have bank account
43	Does the organization have signatory arrangements
44	Does the organization have monthly bank reconciliation
45	Does the organization have accountability forms
4.2. Budgeting	
46	There is a bottom-up and regular budget process which is integrated into strategic, annual, quarterly and operating plans.
47	Financial reports are prepared at the end of the year and certified by the board or External Auditors to assure transparency and accountability
48	There are procurement procedures in place (Procurement committee, requisition, vendor prequalification, competition etc)
4.3. Financial Reports	
49	There are trained and qualified staff to maintain financial records and manage finances of the NGO
50	Financial reporting is accurately And timely done (monthly, quarterly, annually).
11. MONITORING AND EVALUATION	
51	There is an M & E system (outcomes and outputs)
52	Does the NGO have monitoring tools
53	Monitoring data is maintained for the services provided with particulars of the beneficiaries
54	Does the organization have reporting forms
55	Monitoring reports are regularly prepared and shared with management and Board of Directors
56	Annual Performance evaluation of the NGO is done and results (achievements of program and lesson learnt) disseminated to all stakeholders in beneficiaries
57	Beneficiaries are consulted during the review of the activities of the NGO
Total	

Question	Response
Section A: Organisational Background	
Name of Organisation	African Youth Development Link (AYDL)_____
Type of Organisation (NGO, CBO, FBO)	1. NGO 2. CBO 3. FBO
Location (district, sub-county)	District: Abim _____ Sub-county: Abim Town Council
Areas of operation	# of Districts 1 _____ # of Sub-county 5 _____
Year of registration:	Year 2010 _____
Size of Organisation	
# of Technical/program Staff:	(M _____ - _____ ; F 1 _____)
# Support Staff (Drivers, Cleaners, Guards etc):	(M _____ - _____ ; F _____ - _____)
# Management Staff (Finance, Admin/HR)	(M _____ ; F _____ - _____)
# of Board members:	(M _____ ; F _____)
# of Volunteers/interns	(M _____ - _____ ; F _____ - _____)
# of full staff	(M _____ - _____ ; F _____ - _____)
# of part time staff	(M _____ - _____ ; F _____ - _____)
Respondents' Details (ensure that there is a program and F&A staff present)	
Management (Finance):	Total Nil _____ (M _____ - _____ F _____ - _____)
Technical/program:	Total 1 _____ (M _____ F 1 _____)
Assessment team Composition	
Date of Assessment	21/06/2012 _____
Assessment conducted by	_____

Section B: Capacity Rating Categories

Institutional Assessment Item	
1. GOVERNANCE, LEGAL STATUS AND LEADERSHIP	
1.1 Governance	
1	Existence of a Board of Directors
2	The Board of Directors is functional (<i>meets regularly, supports the organization</i>)
3	Board Minutes are maintained (filled)
4	The Board Provides overall policy direction and supervision for the organization
5	The Board is diversified with members from different sex, professions, age.
6	The Board has capacity to formulate policy, fundraise, lobby, advocate and maintain public relations (focus on knowledge, skills and experience in formulation, fundraising, lobbying, advocating and maintain public relations).
7	The Board members work on voluntary basis
1.2 Legal Status	
8	The NGO is properly registered at the district level/by the NGO Board? Member of NGO Forum?
9	The NGO has a constitution (in place)
2. MANAGEMENT AND ADMINISTRATION	
2.1. Management Structure	
10	The NGO has an Organization structure that clearly defines the lines of authority and responsibility
11	There are job descriptions/letters of appointment specifying roles and responsibilities of management and staff.
12	The data and information gathered is used within the organization for planning and control.
13	The NGO has open lines of communication (There is presence of participation, openness, teamwork and consultation among management and staff in meetings, retreats and sharing/learning sessions are held regularly as scheduled)
14	The management of the organization has leadership knowledge, skills and experience.
15	The organizational leadership motivates, coaches and mentors staff
2.2 Administrative Structure	
16	The NGO has administration/operations guidelines (policies and procedures) it follows in running its activities
2.3 Human Resources Management	
2.3.1 Planning	
17	Staff recruitment is based on the NGO's capacity needs and objectives
18	Staff training is based on the NGO's capacity needs and objectives
19	There are human resource management guidelines (policies and procedures) in place
20	The organization has staff training guidelines in place
2.4. Salary and Benefits	
21	Salaries are clearly structured and indicated in appointment letters.
22	The payroll is formally prepared, approved and paid, with the statutory deductions duly remitted
2.3.2 Staff Roles	
23	Job Descriptions/appointment letters exist and are followed to allocate roles and responsibilities?
24	Staff appraisals are conducted regularly and feedback given
2.3.3 Work Organization	
25	Regular management and staff meetings are regularly held and minutes taken
26	There is a system for communication and sharing information among all staff members (<i>Notice Board, pigeon holes, email, circulars, memos</i>)
3. PROGRAM, PLANNING, IMPLEMENTATION AND MANAGEMENT	
3.1 Vision/Mission	

Institutional Assessment Item	
27	The NGO has clearly articulated Vision/Mission/Goals
28	The Staff know and clearly understand the NGO's Vision/mission/Goals
3.2. Planning	
29	The NGO has a strategic plan
30	The NGO carries out regular needs assessment of the Beneficiaries during the planning process?
31	The NGO prepares annual, quarterly or monthly work plans for implementing its activities
32	The NGO plans and allocates its resources properly
33	The NGO plans and conducts program advocacy activities at district and community levels
34	The NGO has advocacy targets/indicators
3.3. Program Development	
35	The NGO involves beneficiaries & other stakeholders in program design, implementation and evaluation
36	The NGO involves staff in program design, implementation and evaluation
37	Does the organization have an advocacy plan/strategy/guidelines/agenda
12. FINANCIAL RESOURCES MANAGEMENT	
4.1. Accounting	
38	There are appropriate and adequate financial management procedures and reporting systems in place
39	Does the organization have a funds requisition process
40	Does the organization have pre-numbered transaction documents
41	Does the organization have accounts records
42	Does the organization have bank account
43	Does the organization have signatory arrangements
44	Does the organization have monthly bank reconciliation
45	Does the organization have accountability forms
4.2. Budgeting	
46	There is a bottom-up and regular budget process which is integrated into strategic, annual, quarterly and operating plans.
47	Financial reports are prepared at the end of the year and certified by the board or External Auditors to assure transparency and accountability
48	There are procurement procedures in place (Procurement committee, requisition, vendor prequalification, competition etc)
4.3. Financial Reports	
49	There are trained and qualified staff to maintain financial records and manage finances of the NGO
50	Financial reporting is accurately And timely done (monthly, quarterly, annually).
13. MONITORING AND EVALUATION	
51	There is an M & E system (outcomes and outputs)
52	Does the NGO have monitoring tools
53	Monitoring data is maintained for the services provided with particulars of the beneficiaries
54	Does the organization have reporting forms
55	Monitoring reports are regularly prepared and shared with management and Board of Directors
56	Annual Performance evaluation of the NGO is done and results (achievements of program and lesson learnt) disseminated to all stakeholders in beneficiaries
57	Beneficiaries are consulted during the review of the activities of the NGO
Total	

Section A: Identification Information

DEVELOPMENT

ACTION FOR WOMEN AWAKENING IN RURAL

Question	Response
Section A: Organisational Background	
Name of Organisation	<u>_Action for Women Awakening in Rural Environment (AWARE)_</u>
Type of Organisation (NGO, CBO, FBO)	1. NGO 2. CBO 3. FBO
Location (district, sub-county)	District: <u>Kaabong</u> Sub-county: <u>Kaabong Town Council</u>
Areas of operation	# of Districts <u>3</u> # of Sub-county <u>17</u>
Year of registration:	Year <u>2000</u>
Size of Organisation	
# of Technical/program Staff: <u>2</u>	(M <u>1</u> ; F <u>1</u>)
# Support Staff (Drivers, Cleaners, Guards etc): <u>3</u>	(M <u>2</u> ; F <u>1</u>)
# Management Staff (Finance, Admin/HR) <u>2</u>	(M <u>1</u> ; F <u>1</u>)
# of Board members: <u>7</u>	(M <u>2</u> ; F <u>5</u>)
# of Volunteers/interns <u>30</u>	(M <u>10</u> ; F <u>20</u>)
# of full staff <u>5</u>	(M <u>3</u> ; F <u>2</u>)
# of part time staff <u>5</u>	(M <u>1</u> ; F <u>4</u>)
Respondents' Details (ensure that there is a program and F&A staff present)	
Management (Finance): <u>2</u>	Total <u>2</u> (M <u>1</u> F <u>1</u>)
Technical/program: <u>3</u>	Total <u>3</u> (M <u>2</u> F <u>1</u>)
Assessment team Composition	
Date of Assessment	<u>21/06/2012</u>
Assessment conducted by	<u>Charles Opuwa</u>

Section B: Capacity Rating Categories

Institutional Assessment Item	
1. GOVERNANCE, LEGAL STATUS AND LEADERSHIP	
1.1 Governance	
1	Existence of a Board of Directors
2	The Board of Directors is functional (<i>meets regularly, supports the organization</i>)
3	Board Minutes are maintained (filled)
4	The Board Provides overall policy direction and supervision for the organization
5	The Board is diversified with members from different sex, professions, age.
6	The Board has capacity to formulate policy, fundraise, lobby, advocate and maintain public relations (focus on knowledge, skills and experience in formulation, fundraising, lobbying, advocating and maintain public relations).
7	The Board members work on voluntary basis
1.2 Legal Status	
8	The NGO is properly registered at the district level/by the NGO Board? Member of NGO Forum?
9	The NGO has a constitution (in place)
2. MANAGEMENT AND ADMINISTRATION	
2.1. Management Structure	
10	The NGO has an Organization structure that clearly defines the lines of authority and responsibility
11	There are job descriptions/letters of appointment specifying roles and responsibilities of management and staff.
12	The data and information gathered is used within the organization for planning and control.
13	The NGO has open lines of communication (There is presence of participation, openness, teamwork and consultation among management and staff in meetings, retreats and sharing/learning sessions are held regularly as scheduled)
14	The management of the organization has leadership knowledge, skills and experience.
15	The organizational leadership motivates, coaches and mentors staff
2.2 Administrative Structure	
16	The NGO has administration/operations guidelines (policies and procedures) it follows in running its activities
2.3 Human Resources Management	
2.3.1 Planning	
17	Staff recruitment is based on the NGO's capacity needs and objectives
18	Staff training is based on the NGO's capacity needs and objectives
19	There are human resource management guidelines (policies and procedures) in place
20	The organization has staff training guidelines in place
2.4. Salary and Benefits	
21	Salaries are clearly structured and indicated in appointment letters.
22	The payroll is formally prepared, approved and paid, with the statutory deductions duly remitted
2.3.2 Staff Roles	
23	Job Descriptions/appointment letters exist and are followed to allocate roles and responsibilities?
24	Staff appraisals are conducted regularly and feedback given
2.3.3 Work Organization	
25	Regular management and staff meetings are regularly held and minutes taken
26	There is a system for communication and sharing information among all staff members (<i>Notice Board, pigeon holes, email, circulars, memos</i>)
3. PROGRAM, PLANNING, IMPLEMENTATION AND MANAGEMENT	
3.1 Vision/Mission	

Institutional Assessment Item	
27	The NGO has clearly articulated Vision/Mission/Goals
28	The Staff know and clearly understand the NGO's Vision/mission/Goals
3.2. Planning	
29	The NGO has a strategic plan
30	The NGO carries out regular needs assessment of the Beneficiaries during the planning process?
31	The NGO prepares annual, quarterly or monthly work plans for implementing its activities
32	The NGO plans and allocates its resources properly
33	The NGO plans and conducts program advocacy activities at district and community levels
34	The NGO has advocacy targets/indicators
3.3. Program Development	
35	The NGO involves beneficiaries & other stakeholders in program design, implementation and evaluation
36	The NGO involves staff in program design, implementation and evaluation
37	Does the organization have an advocacy plan/strategy/guidelines/agenda
14. FINANCIAL RESOURCES MANAGEMENT	
4.1. Accounting	
38	There are appropriate and adequate financial management procedures and reporting systems in place
39	Does the organization have a funds requisition process
40	Does the organization have pre-numbered transaction documents
41	Does the organization have accounts records
42	Does the organization have bank account
43	Does the organization have signatory arrangements
44	Does the organization have monthly bank reconciliation
45	Does the organization have accountability forms
4.2. Budgeting	
46	There is a bottom-up and regular budget process which is integrated into strategic, annual, quarterly and operating plans.
47	Financial reports are prepared at the end of the year and certified by the board or External Auditors to assure transparency and accountability
48	There are procurement procedures in place (Procurement committee, requisition, vendor prequalification, competition etc)
4.3. Financial Reports	
49	There are trained and qualified staff to maintain financial records and manage finances of the NGO
50	Financial reporting is accurately And timely done (monthly, quarterly, annually).
15. MONITORING AND EVALUATION	
51	There is an M & E system (outcomes and outputs)
52	Does the NGO have monitoring tools
53	Monitoring data is maintained for the services provided with particulars of the beneficiaries
54	Does the organization have reporting forms
55	Monitoring reports are regularly prepared and shared with management and Board of Directors
56	Annual Performance evaluation of the NGO is done and results (achievements of program and lesson learnt) disseminated to all stakeholders in beneficiaries
57	Beneficiaries are consulted during the review of the activities of the NGO
Total	