BUILDING LOCAL CAPACITY FOR DELIVERY OF HIV SERVICES IN SOUTHERN AFRICA PROJECT

BLC ORGANIZATIONAL CAPACITY ASSESSMENT TOOL USER GUIDE

SEPTEMBER, 2013

TABLE OF CONTENTS

ACRONYMS

AIDS	Acquired Immunodeficiency Syndrome
CoAg	Cooperative Agreement
FM	Financial Management
HIV	Human Immunodeficiency Virus
HR	Human Resources
M&E	Monitoring and Evaluation
MSH	Management Science for Health
PEPFAR	President's Emergency Plan for AIDS Relief
PMP	Project monitoring plan
AGM	Annual General Meeting
CEO	Chief Executive Officer
COTR	Contracting Officers Technical Representative
CV	Curriculum Vitae
GAAP	Generally Accepted Accounting Procedures
IFRS	International Financial Reporting Standards
IPSAS	International Public Sector Accounting Standards
IR	Intermediate Results
IT	Information Technology
KM	Knowledge Management
KPI	Key Performance Indicator
LDP	Leadership Development Program
MoH	Ministry of Health
MOST	Management and Organizational Sustainability Tool
MOU	Memorandum of Understanding
MTEF	Medium Term Expenditure Framework
OD	Organizational Development
PAYE	Pay As You Earn
PI	Principal Investigator
PY	Project Year
QA	Quality Assurance
STTA	Short Term Technical Assistance
TA	Technical assistance
US	United States
USAID	United States Agency International Development
USG	United States Government
VAT	Value Added Tax
WHO	World Health Organization

DEFINITIONS

Key Term	Definition	Source
Advocacy	A strategy that is used by CSOs, activists, and even policy makers, to influence policy making. Advocacy is about creation or reform of policies, and also about the effective implementation and enforcement of policies.	Sprechman S, Pelton E, 2001, *Advocacy Tools and Guidelines: Promoting Policy Change*, Atlanta.
Collaboration	The act of cooperating and/or working jointly together with other entities, persons, organizations, etc, with a deep, collective, determination to reach a common goal.	
Capacity building	Any action that improves the effectiveness of individuals, organizations, networks, or systems – including organizational and financial stability, program service delivery, program quality, and growth.	MSH, 2012, *Challenges Encountered in Capacity Building: Review of Literature and Selected Tools*, Position Paper No 10, April 2010, accessed at: http://www.msh.org/resource-center/publications/challenges-encountered-in-capacity-building.cfm [29 May 2012].
Community	A group of people, who share a common culture and are arranged in a social structure that allows them to exhibit some awareness of a common identity as a group in the context of your organization and including stakeholders with which the organization interacts.	Adapted from MSH, 2012, *Challenges Encountered in Capacity Building: Review of Literature and Selected Tools*, Position Paper No 10, April 2010, accessed at: http://www.msh.org/resource-center/publications/challenges-encountered-in-capacity-building.cfm [29 May 2012].
Cooperative Agreement (CoAg)	An award of financial assistance that is used to enter into the same kind of relationship as a grant; and is distinguished from a grant in that it provides for substantial involvement between the federal agency and the recipient in carrying out the activity contemplated by the award.	USG Grants Glossary via http://www.grants.gov/web/grants/support/general-support/glossary.html#G [15 Aug 2013]
Grant	An award of financial assistance, the principal purpose of which is to transfer a thing of value from a federal agency to a recipient to carry out a public purpose of support or stimulation authorized by a law of the United States (see 31 U.S.C. 6101(3)). A grant is distinguished from a contract, which is used to acquire property or services for the federal government's direct benefit or use.	USG Grants Glossary via http://www.grants.gov/web/grants/support/general-support/glossary.html#G [15 Aug 2013]

Key Term	Definition	Source
Institution/ Organization	Includes a civil society organization, government ministry, government department, and government program.	
M&E framework	A comprehensive system for M&E, usually developed during the design phase of a project/program, which usually includes a log frame/logic model/results chain, indicators, data collection instruments, a data management system and reporting templates.	Adapted from International Fund for Agriculture Development (IFAD), 2001, *Managing for Impact in Rural Development: A Guide for Project M&E,* IFAD, Rome.
Mission Statement	Explains why the organization exists — its overall purpose. The mission statement also states what the organization does right now, in the most general sense. In this way, the mission also sets parameters for what the organization, through omission, does not do.	
Most senior leadership	Includes most senior staff member with title such as Chief Executive Officer, Executive Director, Director General, or Program Manager	
Organizational development (OD)	An emerging discipline aimed at improving the effectiveness of organizations and their members, by means of systematically planned interventions and a planned process of developing an organization to become more effective in accomplishing desired goals.	Business Library, *What is Organization Development? – Brief Article*, accessed at: http://findarticles.com/p/articles/mi_m4467/is_8_54/ai_64705692/ [13 June 2012]; DCT, *Organizational Development Portfolio,* accessed at: http://www.dct.co.za/portfolio-1.htm [13 June 2012]
Performance Monitoring Plan (PMP) / M&E plan	A plan which outlines the M&E requirements for a program/project (i.e. indicators, data sources, data collection instruments, data analysis methods, reflection/learning events) with roles, responsibilities, timeframes and a budget.	Adapted from International Fund for Agriculture Development (IFAD), 2001, *Managing for Impact in Rural Development: A Guide for Project M&E,* IFAD, Rome.
Stakeholders	Individuals and groups who have an interest, concern, "a stake" in the outcomes and success of your organization's activities.	Adapted from Mansour, J., Vriesendorp, S., and Ellis, A. 2005, *Managers who lead: A handbook for improving Health Services*. Cambridge, Management Sciences for Health
Vision Statement	Articulates the future of the organization and the community that it serves. It defines where the organization wants to go and what the organization wants become, or achieve over the long term. The *vision provides a picture of a desired future.*	

Introduction

Launched in 2010, the USAID funded Building Local Capacity for Delivery of HIV Services in Southern Africa Project (BLC) strengthens government, parastatal, and civil society entities to effectively address the challenges of the HIV and AIDS epidemic

Throughout the Southern Africa Region and with specific activities in six countries, BLC provides technical assistance in leadership, management, and governance as well as organizational development in three key program areas: 1) care and support for orphans and vulnerable children; 2) HIV prevention; and 3) community-based care.

Purpose of the Organizational Capacity Assessment Tool

When beginning its work to strengthen the response of Southern African organizations to the HIV pandemic, BLC recognized that measurement, monitoring, and evaluating changes in organizational capacity over time are critical. The BLC project developed the BLC Organizational Capacity Assessment Tool in 2011 to examine the capabilities of various types of organizations working in HIV and AIDS. The tool is designed to: measure an organization's capabilities before a capacity building program is implemented; provide evidence based qualitative and quantitative data on specific areas that can be improved; and over the long-term, quantify the effects of BLC's capacity building efforts.

The tool assesses an organization's capacity in nine different areas: 1) Leadership and Governance; 2) Systems and Structures; 3) Human Resource Management; 4) Financial Management; 5) Grants Management; 6) Program Management; 7) Planning, Monitoring and Evaluation; 8) Partnerships, External Relations and Networking; and 9) Knowledge Management. These nine areas are broken down into 52 sub-components.

Purpose of the User Guide

This document is a "user-guide" intended to **guide facilitators through the process of using the** BLC Organizational Capacity Assessment Tool **to assess organizational capacity**.

Why Conduct an organizational Development Capacity Assessment?

Organizational Capacity Assessments (OCAs) may be conducted for a variety of reasons, including to identify priorities for capacity building, and measure change in organizational capacity over time (e.g. before and after capacity building interventions). An OCA tool is an instrument that provides a general overview of organizational capacity, often through a participatory process. OCAs aim to identify organizational strengths and weaknesses, and stimulate discussion amongst staff about the organization. Analyzing an organization's abilities and needs can help determine priorities for support to improve operations and performance. It is important to view an OCA as an "assessment" and an opportunity for learning and development, rather than an "evaluation" (which would imply making a value judgment).

Analysis of data collected, at baseline and periodically thereafter, will provide:

- Baseline data on the capacity of partner organizations before they commence working with the BLC project.
- Data that can be utilized to develop a Capacity Building Action Plan for the organization.
- Data on future capacity levels of organizations, which can be compared with the baseline data.
- Evidence of demonstrable changes in the capacity of the organizations resulting from BLC's (and other) interventions.
- Regular monitoring data on the capacity of organizations, which can be utilized by BLC and its stakeholders in making decisions. For example, to adjust the technical assistance provided to ensure that it is appropriate, and continues to address the needs of specific organizations.

WHO SHOULD USE THE TOOL?

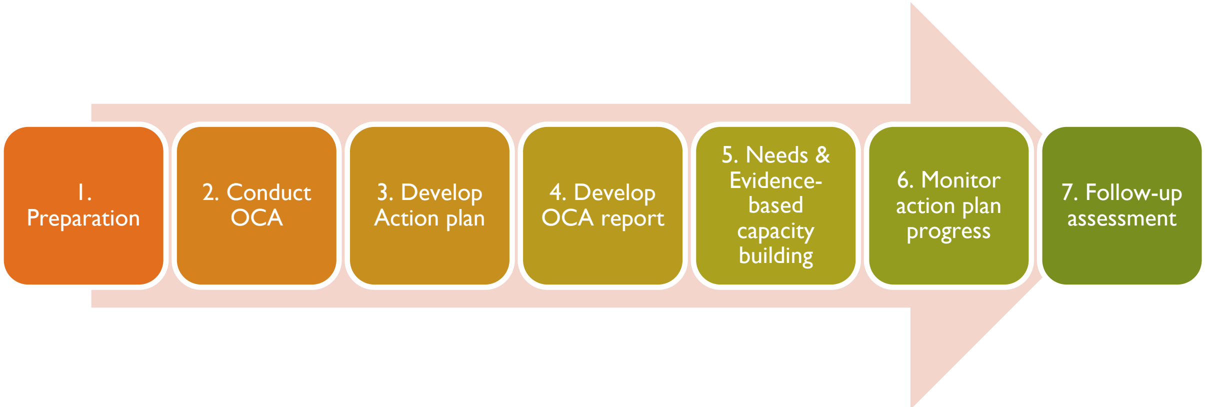
The *BLC Organizational Capacity Assessment Tool* is designed to be administered with CSOs and other organizations that BLC works with in the southern Africa region.

In the narrow definition, civil society refers to the wide diversity of not-for-profit, non-state organizations as well as community-based associations and groups (distinct from both governmental and the business sectors) that advance a collective or public good or common interest. These organizations are also referred to as non-profit organizations (NPOs), non-governmental organizations (NGOs), charities, and voluntary associations/organizations. Civil society can also be defined very broadly to include the private sector. Examples of CSOs include community groups, labor unions, indigenous groups, charitable organizations, faith-based organizations (FBOs), professional associations, and foundations.

BLC utilizes the broad definition of society in its work. The *BLC Organizational Capacity Assessment Tool* has been revised to ensure that it can be administered on the broad range of CSOs working in the HIV and AIDS field. The tool can be utilized not only by BLC, but also other development organizations, and aid agencies.

Process of the Assessment

The tool is administered and completed by designated MSH facilitators. The assessment is conducted in a participatory manner, in a group setting with representatives from the organization Each component was be introduced in turn, followed by the various sub-components. The facilitators and participants rate the organization on each sub-component. The process of capacity support at BLC as described in the diagram below, indicating at which stage the assessment is conducted. The use of the tool forms the basis of action planning and ensuring that the capacity support provided is needs and evidence based. Use of the tool also requires monitoring of action plan and conducting follow-up assessments to achieve the expected objectives of the project.



Preparing for an Organizational Development Capacity Assessment

It is important to inform the organization that will be assessed in good time (i.e. at least four to six weeks before-hand), to provide sufficient time for preparation. A communiqué should be sent which outlines the **aims and objectives of the OCA** and includes a **draft program for the assessment** (see Annex I), suggested **persons that should participate in the OCA**, and a **list of documents** to be prepared in advance and made available during the assessment.

It is recommended that the team that participates in the OCA include at least one representative from the Human Resources, Finance, Monitoring and Evaluation (M&E), Program Implementation, and other relevant departments (if they exist). The assessment should ideally include at least one board member, the Chief Executive Officer (CEO)/Director, and staff representing all levels of the organization (i.e. senior and middle management; professional and general staff)[1]. The ideal group size is **around eight participants**[2]. It is possible for the assessment to be conducted with larger groups, and, in cases where the staff compliment is small it may be preferable to involve everyone. However, the assessment will proceed more slowly with a larger group. The team that will participate should be agreed with the organization in advance. Organizations should be **explicitly informed beforehand that participants need to attend the assessment process** from beginning to end.

---

[1] A suggested ratio is about 33% of all participants from senior, 33% mid, and 33% junior levels.

[2] A group of about eight members is recommended in order for discussions to be manageable and contributions of all participants to be possible.

The organization should be requested to prepare the following documents (if they exist), which should be **reviewed by the facilitator** during the assessment, to verify the findings from the group discussion:

#	Documents to request prior to assessment	#	Documents to review on site
1	Vision and mission	29	Board meeting records
2	Strategic plan	30	Meeting records
3	Board establishments	31	HR establishments
4	Organogram	32	Personnel files & CVs
5	Programs plans/policy/design documents/proposals	33	Timesheets file
6	Finance plans/policy	34	Performance plans
7	HR plans/policy	35	Financial records
8	IT plans/policy	36	M&E data capture systems
9	Procurement & asset management plans/policy	37	Records of systems for knowledge exchange
10	Standard operating procedures	38	Knowledge repositories
11	Communications strategy/plan	39	National Strategy document
12	Job descriptions		
13	Staff development policy/plan		
14	Audit reports		
15	Grants/CoAg Management Guide		
16	Training records		
17	Gap assessments		
18	Program monitoring reports		
19	Service delivery quality standards document		
20	Sustainability strategy/plan		
21	Funding sources; resource mobilization strategy		
22	Workplans		
23	M&E plan		
24	M&E tools		
25	M&E reports		
26	Evaluation reports		
27	Consultation reports		
28	Communications products/materials		

Make use of the BLC OCA Timeline to assist in ensuring you have addressed key areas of preparation.

At the end of preparation you should have covered:

- ✓ Initial engagement
- ✓ Planning meeting, and allocating responsibilities
- ✓ Official invitation sent
- ✓ Requested and received key documents
- ✓ Reviewed components and organization profiles
- ✓ Completed the workshop checklist
- ✓ Coordinated workshop logistics

CREATING A CONDUCIVE ENVIRONMENT

It is important for the OCA to be conducted in the right environment, where different viewpoints are respected and thus, participants are comfortable speaking freely. To ensure this, the assessment should take place in a suitable space (i.e. private, adequately spacious, and comfortable) which is set up to be conducive for a group discussion (e.g. in a circle).

The session should start with an "ice-breaker" and introductions. The facilitators should introduce themselves and explain the purpose of the assessment, taking care to explain that it is not an evaluation, and the purpose of the assessment is to help the organization learn, grow, and develop. Participants should have the opportunity to ask questions and agree on ground-rules before the assessment begins.

"Technical" terms should be explained in layman's language. The tool was developed in English and if the predominant language spoken in an organization is a language other than English, a facilitator with strong language translation capabilities should be consulted.

Overly dominant and vocal participants should be controlled to ensure that everyone (including lower ranking staff and less confident participants) has a chance to contribute to the discussion.
The facilitators should be attuned to the energy levels and "mood" of the group and if these drop an "energizer" should be introduced.

CONDUCTING THE ASSESSMENT

Introducing the Tool

The tool was developed drawing on MSH staff experience and expertise, and was revised following an extensive validation process, which included validation by MSH staff and organizational development experts, a literature review, and testing in the field[3]. MSH documents such as the Financial Management Assessment Tool (FinMAT)[4], Management and Organizational Sustainability Tool (MOST), the M&E Participatory Self-Assessment Tool, and "The Organizational Capacity Building Framework: A Foundation for Stronger, More Sustainable HIV and AIDS Programs, Organizations and Networks" were consulted in developing the tool. The tool gathers data on the capacity of organizations along a broad range of performance parameters.

It comprises nine components, each of which contain several sub-components, the **components** are:

1. Leadership and Governance
2. Structures and Systems
3. Human Resources
4. Financial Management
5. Program Management
6. Grants Management
7. Monitoring and Evaluation
8. Partnerships, External Relations and Networking
9. Knowledge Management

---

[3] For the full report, see: Kareithi R. & Reichert K., 2012, *Report on Validating and Weighting the BLC Organizational Capacity Assessment Tool*, MSH, BLC Project, Pretoria, South Africa.

[4] The Financial Management component of the *BLC Organizational Capacity Assessment Tool* is based on the FinMAT i.e. the most critical areas covered by FinMAT are mirrored in the tool.

The **sub-components** drill down into various aspects of the components (e.g. vision and mission; strategic plan; and board composition under the Leadership and Governance component). Each sub-component has a **description** and there are five possible **stages** which the organization can be at relating to this. The facilitators and participants should select the stage which they feel most accurately reflects where the organization is at, at the time of the assessment.

- **Stage 1: Embryonic** — The seed of the tree has been planted but is vulnerable; it is trying to penetrate the soil.
- **Stage 2: Emerging** — The seed has sprouted and penetrated the soil to benefit from sunlight but is still vulnerable with roots not yet deep enough.
- **Stage 3: Growing** — The tree is becoming stronger and developing deeper roots.
- **Stage 4: Well-developed** — The roots are now strong and deep, with fruit production beginning and the tree is able to withstand most threats.
- **Stage 5: Mature** — The tree continually bears large quantities of fruit and has become a viable and permanent part of the landscape.

How to use the tool

The tool is designed to be administered and completed by designated MSH facilitators (e.g. M&E, Capacity Building, Grants and Human Resources advisors, or any other duly appointed officer or consultant). The tool is designed to be administered by a team of at least two and preferably three persons. The **roles and responsibilities** of the facilitators should be agreed upon in advance (i.e. for each component of the tool one person will facilitate the group discussion, another will capture data in the tool, and the third person will co-facilitate i.e. ask follow-up and probing questions and conduct action planning).

The assessment should be conducted in a participatory manner, in a group setting with representatives from the organization including (if possible) at least one Board member, the CEO/Director, and representatives from the Human Resources, Finance, M&E, Program Implementation, and other relevant departments (if they exist); staff of all levels should be represented in the group. The tool and the process should be clearly explained before the assessment commences.

Each component should be introduced in turn, followed by the various sub-components. The facilitators and participants will rate the organization on each sub-component. Any sub-components or stages which are unclear should be clarified before proceeding. Specific and probing questions should be asked to obtain detailed information which will enable the facilitators and participants to rate the organization.

The steps to follow in using the tool are outlined below.

Step 1: Rating the organization
Step 2: Review and discuss scores
Step 3: Data entry, verification and analysis

Step 1: Rating the Organization

The tool has a rating scale of one to five whereby one represents the least capacity and five represents the greatest capacity. An analogy of a seed growing into a tree can be used to introduce the idea of the rating scale to participants. The chart below describes the different stages of growth. It is important to bear in mind that each organization has unique strengths and weaknesses, and consequently, stages four and five may not be appropriate for all organizations to reach for all sub-components. This idea should be shared with the group.

The facilitators should explain the scale scores, introduce the first component and associated sub-components, and read in full the description of the first sub-component, including that of each of the various stages, before asking the participants individually to "rate" the organization. The participants should write their scores down on their copies of the *individual scoring sheet*, which forms part of the *BLC Organizational Capacity Assessment Tool.*

It may not be possible to find a "perfect match" using the scale score descriptions. In such cases the facilitators and participants should look for the description which is *closest* to where the organization is at. The two-thirds rule can be applied (i.e. if the organization meets two-thirds of the criteria, then it can be considered to be at that stage). Certain criteria are critical to achieve before advancing to the next stage. An organization can only advance to the next stage when it has met the criteria **highlighted in bold** within the tool.

The facilitators should bear in mind that the rating scale is not entirely "scientific" and participants may have differing opinions regarding the appropriate scale scores for their organization for each sub-component. Furthermore, it is quite common for participants to score their organization lower the second time an OCA is carried out, despite the fact that capacity may have increased, because they understand how the OCA works, do not feel threatened by it and are no longer afraid to acknowledge their organization's weaknesses.

TIPS for Good Facilitation

- Set clear objectives
- Set ground rules and instructions
- Set talk time and ensure comments are focused
- Encourage participation from all levels
- Ensure objectivity by using the OCA tool as a guide
- Be prepared, know the relevant documents
- Facilitate data capture
- Enquire for evidence and actions
- Maintain personal objectivity

Step 2: Review and Discuss Scores

After participants have written down their scores, the facilitator will ask participants to share them with the wider group. When asking for feedback on scores, the lowest ranking participants should be asked to go first; the CEO/Director and Board member should go last. This is to avoid a situation whereby participants copy the answers given by the CEO/Director and Board members, and/or are afraid to disagree or raise issues. Allowing lower-level employees to go first encourages an environment that will produce more honest particular score and the facilitators should ask probing questions to stimulate discussion on why the participant feels the organization is at a particular stage (or not). Relevant comments should be noted in the comments section of the tool. Some discussion may ensue after everyone has provided their scores and participants should be afforded the opportunity to change their scores if they wish, after having heard from the rest of the group. If the participants make changes to their scores, the facilitators should note these in the comments/observations section of the tool.

It is important to allow everyone a chance to voice their opinion. However, if there are participants who are not willing to openly express their views or comments, this must be respected; the facilitator should not pressure unwilling participants to speak and provide justifications for their scores. Some of the participants may not feel qualified to rate the organization on certain sub-components (i.e. aspects of Financial Management). In such cases participants should be afforded the opportunity to "pass" rather than rate the organization based on copying other participants scores, guessing, or their opinion of staff members responsible for these areas.

The tool is an Excel document which consists of one worksheet per component. Completing each component should take between 45 and 60 minutes (depending on the number of sub-components). At the end of the discussion on each component, the group should be asked if they can think of any improvements or changes that could be made to the way the organization works overall in this regard. These should be noted in the relevant (comments) section of the tool.

Step 3: Data Entry, Verification and Analysis

The tool is formatted to automatically calculate the scores for each component and sub-component upon entering numbers into the corresponding boxes. After participants have given their scores, information can be entered into the spread sheet and saved. Thus data can be captured in real-time and feedback provided to the participants at the end of the OCA.

The scores and calculations should be checked by the facilitators at the end of each day. The facilitators should seek to **verify** information which is reported during the group discussion via other means (i.e. by reviewing supporting documents and through informal conversations with staff) whilst they are with the organization. Thus the facilitators should review their scores and amend if necessary at the end of each day in the light of any additional information received.

TIPS for Good Data Capture

- Enquiring for evidence
- Know the organization context to be able to understand and summarize key points
- Be comprehensive but focused in information captured
- Maintain focus on discussion, and good listening skills

At the end of conducting the assessment you should have covered:

- ✓ Introductions, setting objectives and ground rules
- ✓ Facilitating the assessment
- ✓ Capturing OCA scores, comments and actions
- ✓ Developed

FEEDBACK AND ACTION PLANNING

Providing feedback is a critical part of the OCA and this should be provided immediately at the end of the assessment. The assessment should be followed by an action planning session. Through reviewing the average score for each component and sub-component, organizations can determine which dimensions of organizational capacity require improvement. The organization should review the findings and discuss appropriate steps to take to improve areas of weakness and build on areas on strength, taking into consideration the comments and suggestions which were shared during the assessment. This can also help decide priorities for capacity building. Use the summary report sheet to review comments for each component, and proposed actions, as well as allocate responsibilities and set deadlines to proceed efficiently with the capacity support. During the discussion also identify who the partner lead will be to support you (the BLC lead) in monitoring the action plan.

The OCA is merely the first step towards enhancing organizational capacity.

At the end of feedback and action planning you should have covered:

- ✓ Review dashboard and component summaries
- ✓ Prioritize components
- ✓ Complete action plan on summary results sheet

DEVELOP THE ASSESSMENT REPORT

On completion of the assessment time must be set aside in day three to ensure that the report is complete. The BLC report template can be used to complete the assessment write-up. The BLC lead for partner assessed should be responsible for completing this report with the support of the rest of the team.

IMPLEMENTING AND MONITORING THE ACTION PLAN

The success of the capacity building action plan is dependent on good monitoring of the action plan.

Some of the steps proposed are:

- Ensure that the actions are well documented during the assessment to ensure that current priorities are identified. This also simplifies the process of developing the action plan itself as you will have useful information upfront in deciding on priorities and key actions.

- Use the “Summary Report” in the Excel spread sheet of the tool with the support of the allocated data capture to complete all points for action planning

- Employ the same principles of facilitation as done with conducting the assessment
- Identify a partner lead to support the implementation and monitoring of the action plan
- Debrief as BLC team within two days to review action plan, and compare to work plan actions, as well as possible combining activities, and STTA needs
- If work plan adjustments are required then communicate this to the BLC team at the next monthly meeting
- Request progress feedback from partner lead by 10th of each month. Identify ways to improve the partner lead's ability to monitor the plan (e.g. using their Yahoo calendar, and diaries to document deadlines).
- Review action plan at internal monthly meetings (~15th of every month), and include in monthly discussions at CDC
- Where challenges are identified which require senior leadership support, discuss and delicate to Project Director and CDC Lead.

Preparing for a Follow-Up Assessment

A follow-up assessment must be conducted in order to be able to assess whether there is a change in organizational capacity. The same procedure as the baseline assessment will be followed. It is suggested that the follow-up assessment is conducted either once 50% of the action plan tasks are complete, or 6 months after the baseline assessment.

TIPS ON USING MS EXCEL

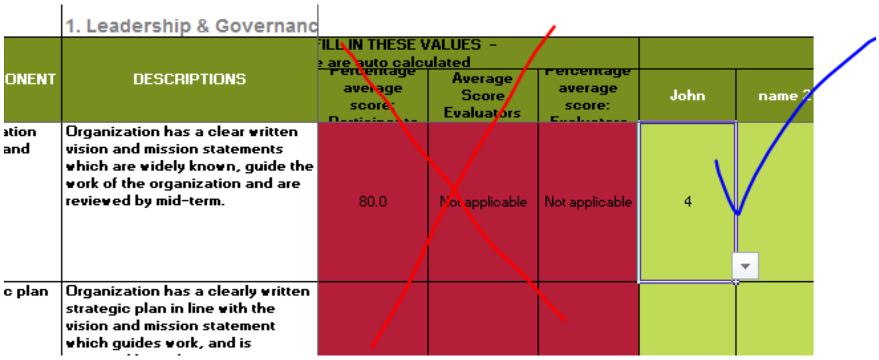
1. Complete the '**Main Menu'** and '**Basic Org Info'** during preparation phase

2. Adapt the components where needed according to the context of the organization being assessed (use the organization profiles as guiding documents)

3. Print the OCA tool 'Main Menu" as a cover sheet, the '**Individual Scoring Sheet'**, **'Acronyms & Definitions'**, and each of the component scoring description sheets for each participant and evaluator, during the assessment preparation phase.

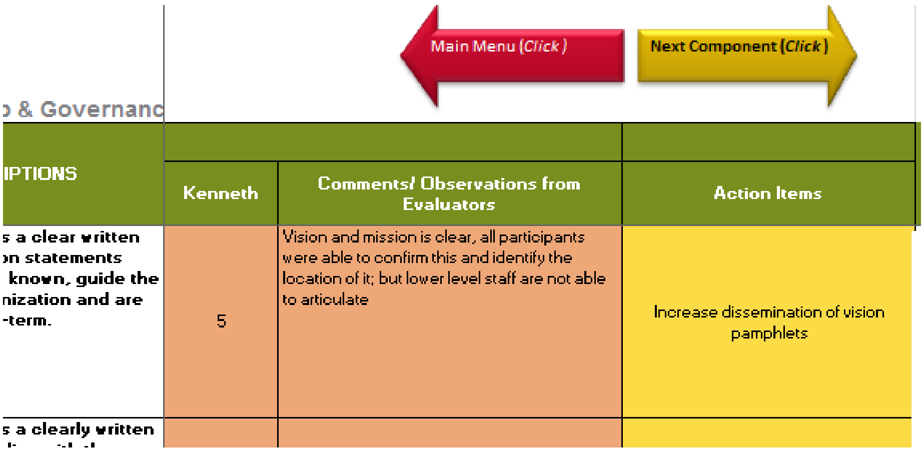
4. The 'Main Menu' has a series of buttons to help guide you to the different tabs. If you click on the tree image  in the left of each tab, you will return to this home sheet.

5. The data capture will use capture participant and evaluator names and the scores each allocate for a component in the green (participants) and orange (evaluators) columns. Do not capture data in the red columns!

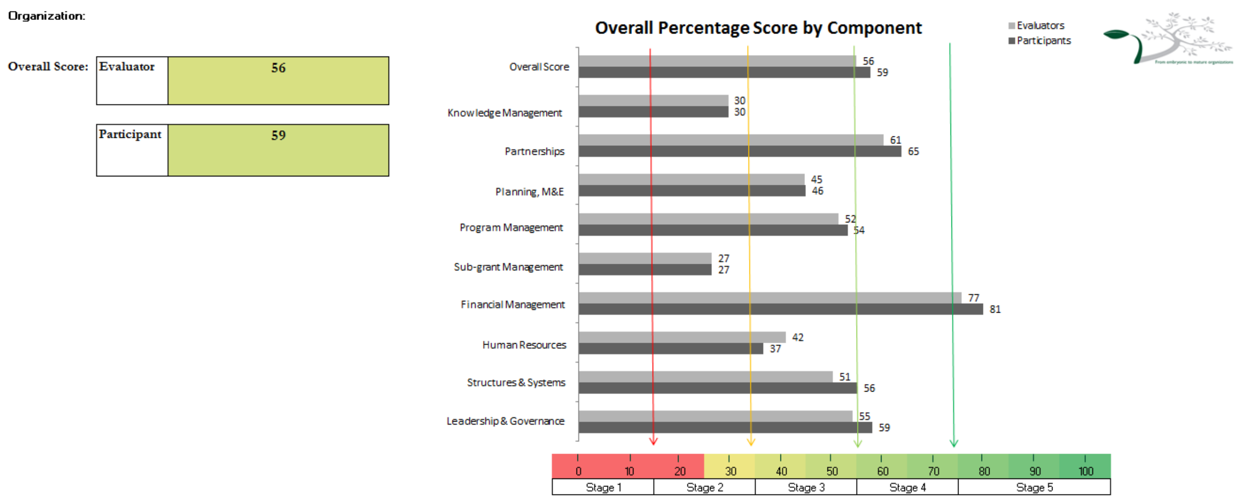


6. Maintain a comprehensive capture of comments and observations from both participants and evaluators. Also document the suggested action items.

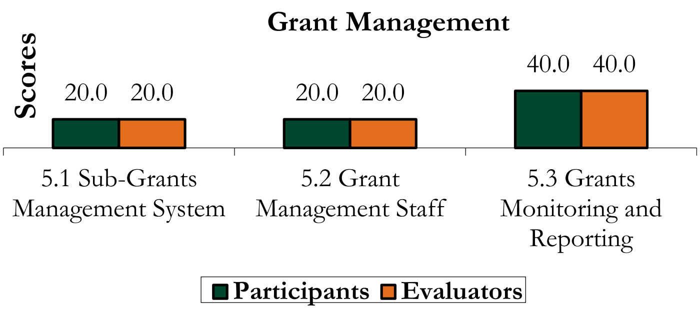
7. Use the arrows at the end of each scoring sheet to navigate to the next component



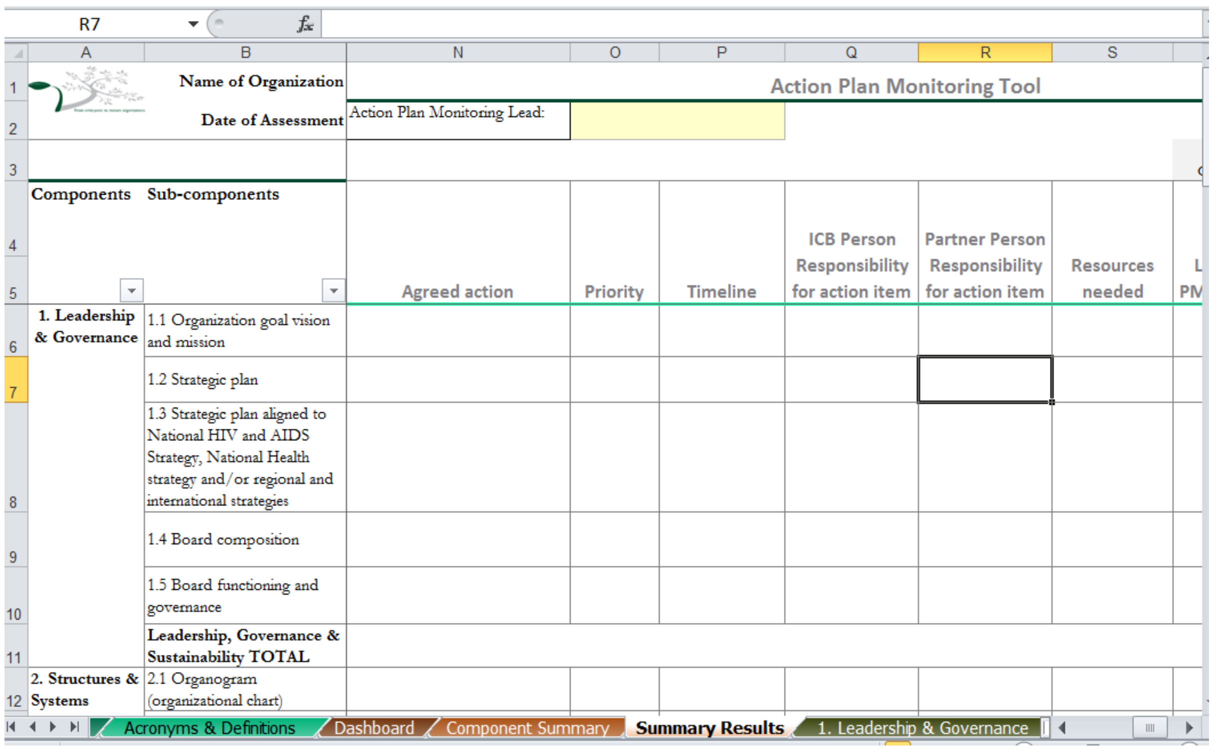
8. User the ‘Dashboard’ as a starting point to review, provide feedback on overall gaps and strengths in the organization



9. Use the ‘Component Summary’ to review specific subcomponents where weak components were identified.



10. The ‘Summary results’ sheet consolidates all scores, comments and suggested comments. Adjacent to this data is an action planning template which must be completed as you discuss key actions based on the review and feedback discussion.



Other Useful Tips

- Use soft/encouraging terms to validate the participants and move the discussion along. Examples are: *I think I get a better picture...Could you give an example…I hear you saying that...The impression I get...Based on what you have said…Reflecting on the discussion we had…*
- Inform top management that this is their opportunity to hear from their staff.
- Remember to link the orientation meeting to the OCA process during the opening session.
- The use of the word scoring should be de-emphasized so that the groups do not think they are being labeled/branded - rather use 'staging'.
- There can be an issue about being in-between stages. However, the participants and the facilitators must commit to a stage. The two thirds rules should be applied and the use of evidence can help with clarifying.
- The facilitators should be critical in their consumption of what the participants say, ask probing questions, and request supporting evidence.
- Ensure there is adequate time for the participants to understand the questions and terms used.
- It is important that all facilitators are familiar with the respective sub-components e.g. strategic plan... all participants need to understand what a good one looks like. Make it a capacity building session and explain key sub-components such as the vision and mission.
- Allow space for participants to revise and give their scores again; remember different organizations use different terminologies. Allow the participants to ponder if necessary.
- Allow participants organization/evaluators to 'pass' i.e. not to provide feedback at that particular time.
- Explore some nice /refreshing ways to make the exercise less boring when introducing terms and components.
- Have a polite way of verifying that documents/systems are in place.
- Where necessary, refer to the documents provided/not provided beforehand.
- Remember you may not always have the answer.
- We need to keep emphasizing that our role is to help the organization move to the next stage.

Annex

Draft Agenda for the Capacity Assessment

Assessment objectives:
1. Introduction and familiarization with the BLC capacity building approach
2. Develop a shared understanding of the organizational assessment methodology and tool
3. Conduct and facilitate the assessment
4. Share preliminary highlights and/or results from the assessment
5. Discuss next steps and timelines

Day 1

Time	Agenda Item	Responsible
09:30 – 10:00	Welcome Introductions of both partner organization and BLC Brief presentation on the partner organization, including: what constitutes the organization's community; the organization's stakeholders	Partner organization
10:00 – 10:15	Objectives Expectations and fears Ground rules	BLC
10:15 – 10:30	Brief introduction to BLC capacity building approach Introduction and overview of the tool	BLC
10:30 – 11:00	Assessment, discussions and scoring	All
11: 00 – 11:15	**TEA BREAK**	**All**
11:15 – 13:00	Assessment, discussions and scoring	All
13:00 – 14:00	**LUNCH BREAK**	**All**
14:00 – 16:00	Assessment, discussions and scoring	All
16:00	Wrap up and close	BLC

Day 2

Time	Agenda Item	Responsible
09:00 – 09:15	Welcome and recap	BLC
9:15 – 10:45	Assessment, discussions and scoring	BLC
10: 45 – 11: 00	**TEA BREAK**	**All**
11:00 – 12:00	Assessment, discussions and scoring Collection of relevant evidence and documents	All
12:00 – 14:00	**LUNCH BREAK**	**All**
14:00 – 16:00	Share preliminary results and discuss priorities, develop action plan	BLC
16:00 – 16:30	Next steps and timelines	BLC
16:30 – 16:45	Wrap up and close	Partner/BLC

REFERENCES

MSH, 2010, *Challenges Encountered in Capacity Building: Review of Literature and Selected Tools,* Position Paper No 10, April 2010, accessed at: http://www.msh.org/resource-center/publications/challenges-encountered-in-capacity-building.cfm [29 May 2012].

USAID from the American People, 2012, *Country Ownership and Organisational Capacity Building: Beyond principles to practices*, Arlington

Zimmerman, M. A, 1995, "Psychological empowerment: Issues and illustrations" *American Journal of Community Psychology,* 25(5):581–599.