

# Governance and Transparency Fund (GTF) Capacity needs assessment tool



## Acknowledgements

Thanks to the following people for their contribution to this publication: Venkatesh Aralikatty (Regional Coordinator GTF, Freshwater Action Network South Asia region), Ken Caplan (Director, Building Partnerships for Development in Water and Sanitation), Papa Diouf (Head of PEU and Programmes Support & Systems Manager, WaterAid in the UK), Jean Eugène Injerona (Institutional Development Officer, WaterAid in Madagascar), Lourdes Garcia (National Focal Point FANCA, Grupo de Promoción de Agricultura Ecológica), Gudeta Gelelcha (Executive Director, HOPE2020), Saheed Mustafa (Policy & Partnerships Officer, WaterAid in Nigeria).

## About the GTF programme

The GTF programme is funded by the Department for International Development (DFID) and aims to improve the accountability and responsiveness of duty bearers for equitable and sustainable WASH services for the poorest and most marginalised people in Africa, Asia and Central America. The programme operates in 16 countries (Burkina Faso, Ethiopia, Ghana, Kenya, Madagascar, Malawi, Mali, Nigeria, Uganda, Bangladesh, India, Costa Rica, Guatemala, Honduras and Nicaragua) with 31 partners working at different levels.

**Written by Tracey Keatman, Building Partnerships for Development in Water and Sanitation, on behalf of the GTF**



August 2012

Cover photo: FANSA/SATHEE

---

# Contents

1	How to use the capacity needs assessment tool.....	3
2	GTF capacity needs assessment tool – for local government .....	13
3	GTF capacity needs assessment tool – for civil society organisation networks.....	23
4	GTF capacity needs assessment tool – for civil society organisations and non-governmental organisations .....	43
Annex	The capacity needs assessment tool categories .....	62





---

# 1

## How to use the capacity needs assessment tool

### Guidance notes

#### Background to the capacity needs assessment tool

The Governance and Transparency Fund (GTF) programme aims to increase the capacity and resources of civil society in 16 targeted countries (across Africa, Asia and Central America) and 31 civil society organisations (CSOs) and CSO networks. This increased capacity should allow these organisations to participate more effectively in evidence-based dialogue with decision-makers in the water and sanitation sector and build pressure for securing pro-poor service delivery.

The first objective of the GTF programme is to develop ‘strong and well-functioning CSOs and CSO networks capable of influencing the design, implementation and evaluation of effective water, sanitation and hygiene (WASH) policies at all levels’. To identify and support partners’ capacity needs, a GTF working group has been established to develop a systematic capacity needs assessment (CNA) tool that can be used by GTF partners and others.



Structured around the McKinsey Capacity Assessment Grid<sup>1</sup> and grounded in the experiences of GTF stakeholders, the resulting CNA tool is designed to be used directly with CSOs, CSO networks or local government partners; a separate version exists for each target audience, tailored to their specific needs. The tool is available in English, French and Spanish.

These guidance notes provide an overview of how to use the CNA tool in a group setting, explaining some of its key features and highlighting key considerations for leading the assessment process. In some contexts, it may be more appropriate to have one-to-one discussions. In other cases, an anonymous survey may work better. In all cases, assure those participating that their views will be kept confidential.

The tool is presented as a form of cumulative Likert scale with ‘grades’ one to four<sup>2</sup> representing a progression in thinking and practice. Implicit in the text of each grade are the kinds of governance activities and skills that GTF partners need to have in place to increase the likelihood of creating a robust, sustainable, influential and well-functioning organisation or network.

In brief, the idea is to read through and consider each section and sub-section and to use the grades to determine where the organisation actually fits. There is no ‘right’ or ‘wrong’ in terms of ‘answering’ the sub-sections and the grades do not represent an indicator of performance. The aim is that partners use the grades to identify where they are now and to stimulate debate around what a realistic but ideal set of skills might be and what improvements could usefully be made to get the organisation to that point.

Once potential changes have been identified, the additional columns (Why was the grade chosen? What actions are required and by whom to reach a higher grade? Timeframe and budget implications) should be completed by those being assessed. The information captured in these three columns can then be used to develop and prioritise action plans based on what is feasible and achievable given available resources.

The tool is not set in stone; it is intended to be used as a flexible set of discussion prompts among the staff (or members) and management of a specific group (CSO, network, etc). The GTF recognises that contexts differ considerably across the programme and that organisational and governance structures vary. Bearing this in mind, the tool can be adapted to local contexts, used in part (as opposed to using all sections) and suited to specific needs.

---

<sup>1</sup> See Annex for a full list of the CNA tool categories and sub-sections. Please note: the sections are inter-related.

<sup>2</sup> Level four is not presented as an ultimate wish-list but is based on actual practice drawn from the experiences of GTF partners who took part in the working group. Although the grading system may imply that improvements are required and those being assessed want to ‘move up’ the scale, in reality this may not be necessary or indeed desired. Rather, the tool provides an opportunity for reflection, for discussing a group’s own standards (or those they would be satisfied with) and for prioritising capacity building activities.

## Hints and tips for completing a capacity needs assessment

The tool was piloted with different GTF partners in the first quarter of 2012 in Central America, South-East Asia, and West and Southern Africa. The facilitators responsible for those pilot exercises learned a lot about the **process** of using the tool. This next section captures the approaches they used and their key recommendations.

### Where to start?

Before the assessment takes place, **clear communication** to all involved is vital – email, phone, fax or write to those being assessed in advance to inform them of the purpose of the exercise and to get their cooperation.

To **manage expectations**, be clear upfront about how long the assessment will take, who needs to be involved (eg all staff, the senior management team, the Board and CEO), what happens next and who will support any capacity development activities in the longer-term.

Based on the available resources, propose different options (if possible) for undertaking the exercise:

- Would those being assessed prefer to do a self-assessment?
- Should it take place with external support, eg with an external facilitator? If so, who should that facilitator be? (Another GTF partner? A neutral, credible facilitator?)

Determine what best suits your needs too (related to the purpose of the assessment) and what is possible given existing resources and any time constraints.

**Process pointer:** If a self-assessment option is chosen, make sure there is an agreed way to collect the results and feedback.

### Who is the target of the CNA?

As noted, there is a CNA tool specifically tailored for each of the three different types of GTF partner:

- Non-governmental organisations (NGOs)/civil society organisations (CSOs)
- CSO networks
- Local government

**CNA in practice:** For GTF, only WaterAid in Madagascar has a specific local government partner. In this case, they are using the GTF mechanism to help local government identify their change needs in relation to improving their relationships with CSOs. They are exploring how to involve CSOs better in decision-making, data collection and monitoring and evaluation.

Each type of partner has different organisational functions and structures and will therefore require different approaches to assessment. CNA practitioners should consider:

- For CSO networks: How many members must be present for the assessment? Who agrees that number? Longer lead-in times to gain support for the process and answer the questions may be required if the consultation is to take place across the network.
- For local government: How much impact can the CNA have in terms of changing local government structures and strategies in the first place? What is the purpose – determine where civil society could best support or bolster the local government? Consideration of where the CNA could have the most impact is a good starting point (depending on the context). It is vital to understand the differences in local government structures, the influence of decentralisation (and therefore levels of financial and general autonomy) and the potential need to overcome personal and political agendas of local government representatives.

A further objective of the GTF programme is to create more ‘accountable government’ so there is an incentive for GTF to support some kind of local government development. Clearly this must be determined on a case by case basis with willing local government representatives that might be interested and able to be involved.

**CNA in practice:** Different groups can undertake the assessment together. In Nicaragua, two different groups began the CNA at the same time: one NGO (ADEMNORTE) and one CBO (a water and sanitation committee from Sebaco Municipality).





## Why do a CNA?

### Defining the purpose

There are different reasons for undertaking a capacity needs assessment. The **purpose will influence the process** of using the tool in terms of: participants' involvement; determining who collects the data; the facilitation style; how open and comfortable those being assessed will feel; and organisational monitoring if the tool is used to assess ongoing changes.

**Process pointer:** Understanding and communicating the spirit of the exercise will help address people's 'fear factor' in relation to the intention of the assessment.

Before starting, make sure it is widely acknowledged whether the tool is for:

- Decision-making about whether to support a new/existing partner (or not).
- Extending or expanding support to existing partners or shifting their role and responsibilities.
- Use in response to partner demand for assessment or capacity support.
- Compliance with programmatic needs or reporting; either as a monitoring and evaluation exercise, to fulfil new programme requirements, or to deal with underperformance or a skills shortage. Beware, however, that colleagues might have a motive to agree to capacity building activities for each new programme just because they are available!
- Determining an exit strategy – for ending a relationship with a partner, either because they no longer fulfil the required purpose or they are strong, well-capacitated and can stand on their own (ie using the tool to determine if capacity has been successfully and satisfactorily built).

## When and where?

### Planning the CNA

Although the CNA tool is relatively straightforward it covers a lot of information and it is an intensive process. Issues to consider when planning a CNA include:

- **Timeframe:** On average, it takes two hours per category. Therefore to complete the whole tool, 14 hours (two days) are required. The local government tool is shorter, taking one day.
- **Location:** An external venue provides a more neutral space for assessment discussions and ensures participants are not too distracted by their day-to-day tasks. If resources allow, consider reserving a venue where groups can also network and do other team-building activities during lunch time or at the end of the day.
- **Timing:** It may not be possible to do the CNA during regular working hours, especially for CBOs and networks. Consider after-work or even weekend sessions to accommodate this.
- **Seeking alignment:** As much as possible, aim to align the CNA with partner strategic planning (and ensure that the assessment does not interrupt existing activities, eg planned capacity building events). Building on existing procedures and reporting mechanisms makes the process more practical, applicable and meaningful for participants.

- **Understanding the context:** if an external facilitator is used, before starting the assessment, ensure they have background information on the organisation/network, including any sensitivities that might need to be handled carefully.

**Process pointer:** If a two-day CNA workshop is unfeasible, consider splitting up the tool and organising shorter, half-day sessions over a couple of weeks. However, beware of losing commitment or participants.

**Process pointer:** If an external venue is too expensive, consider swapping office space/meeting rooms with another organisation.

## How to use the tool

Each person has their own facilitation style and will approach the tool in different ways. Based on the GTF pilot, here are some practical suggestions for using the tool in a group setting:

- **Provide a simple introduction** to the GTF programme and the CNA tool itself – highlight the purpose of the exercise, who should participate, the time it will take to complete, and then explain how the tool works (the seven categories, the grades, the anticipated discussions, how to fill in the empty columns, levels of support available, and next steps).
- **Encourage open and honest discussions** – remind participants that it is an interactive and participative process. The facilitator will not be grading them; it is their grade that counts.
- **Visual aids** – provide a printed copy of the tool for each person in the room. Maps, flipcharts and pictures can support comprehension and demonstrate how much progress is being made. Take photos or film sessions if it helps to capture the process.
- **Ensure comprehension** – some terms and phrases may be unclear, unknown or not relevant in the context. Take time to introduce each category so that everyone in the room understands, and talk through the description of each sub-section with its different grades. If the grade does not make sense in a particular context, change the wording and revise the grading to make it more relevant and/or precise. Make sure changes still show an objective progression from one level to the next.
- **Allow for debate** – ensure there is time for discussion to enable understanding of the different features/elements involved in each sub-section and allow for reaching consensus on which grade to choose. Go slowly and encourage participation by all. Be patient, listen more and speak less! Discussions can also embed a greater understanding of different aspects of organisational development – the discussion can be a means to an end in terms of reaching a joint understanding of visions and missions for example.

- **Dealing with disagreements** – sometimes discussions become contentious and consensus cannot be reached. Although the tool is a participative exercise and consensus is preferred, disagreements may reveal more than first assumed. Consider why there are disagreements, maybe it reveals a major organisational challenge or perhaps no-one has considered the issue before. External facilitators can be useful here to tease out the issue and may intervene to propose a grade based on what they heard.
- **Managing difficult dynamics** – the tool covers some sensitive topics, especially for senior management. If appropriate, re-order the categories and start with the less-contentious or most obvious elements first. Highlight that there will be some difficult and politically sensitive discussion ahead; reiterating that the aim is to support organisational development, not to create divisions. If some topics are too contentious, consider leaving them for anonymous grading at a later time through a questionnaire or other data collection method.
- **Capturing the outcomes** – once the grade has been agreed and noted in the ‘Why was the grade chosen?’ column, add information that justifies why the grade was chosen. Next, review the column ‘What actions are required and by whom to reach a higher grade?’. Those being assessed should identify which grade they would reach in an ideal world (this may be where they have already placed themselves). This highlights where they would want to be, what changes need making, what actions are required to get there, who can support the process, etc. The last column requests information on ‘Time frames and budget implications’ – Are there costs involved? When can any required change take place? From these columns, a calendar of actions can be developed.

**Process pointer:** As an opening ice-breaker exercise, consider asking participants to draw what a good organisation looks like. This helps to engage those being assessed, develops rapport with the facilitator and puts participants more at ease. At this stage, some of the category areas should begin to emerge naturally. Don’t expect more of others than you expect of yourself or your own organisation!

**Process pointer:** Reading the sections aloud can be done by those being assessed not just a facilitator. Rotate the task among the group – not only will they become more familiar with the tool it may also assist them in taking ownership and staying engaged!

**Process pointer:** Request that participants agree a way of dealing with any disagreements at the start. Ask how they intend to compromise or whether they are happy to disagree.

**Process pointer:** Taking too long? Consider having cross-organisational, representative groups focus on different elements of the tool at the same time. Each group can present their findings and rationale in plenary and get agreement from the rest.

## What next?

### Dealing with the data and expected outcomes

After a CNA has been completed, there has to be a process in place to consolidate and analyse the findings, to prioritise the capacity needs and to **create a capacity development plan** to respond to the prioritised needs. The process for this should be agreed with those being assessed once the CNA is completed.



**Prioritisation:** A ‘spidergram’ is a useful and engaging way of showing the results of a CNA to those participating in the assessment; it can also be used as a discussion focus and be captured for use in subsequent assessments as a reference to show progress. Draw seven ‘spiders’ with several legs, each corresponding to one of the questions within each of the categories. Along each leg, draw the grades one to four, with four being near the end of the leg. Participants can then grade themselves for each question, ultimately building up a picture of where they are in relation to each category and visually noting where any gaps exist.

**Next steps:** Developing a capacity development plan with a budget can help link the CNA to practical next steps. It also demonstrates that the CNA process was worthwhile, shows commitment on the part of decision-makers and management, and maintains momentum.

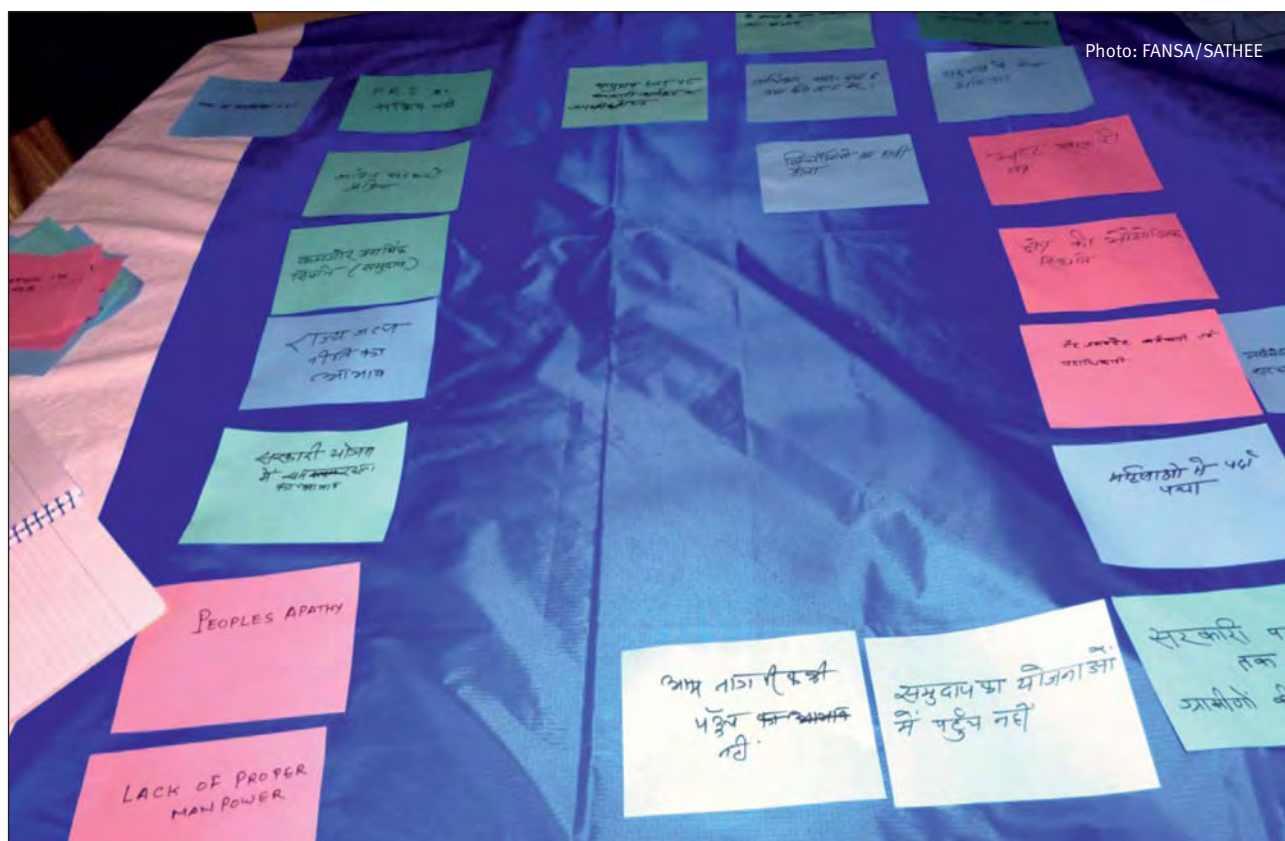


Photo: FANSA/SATHEE





**Assessment as an ongoing process:** The tool can be used to assess baseline capacities and it can be used periodically to show movement/progress towards building better capacity. Agree with participants if this will be an annual or a regular programme of review. The focus of the CNA may shift from one year to the next, eg it may begin as an assessment of organisational governance but move over time to focus more on capacity to influence. In this way, the tool can be used as a monitoring and evaluation tool for tracking cumulative progress.



## 2 GTF capacity needs assessment tool – for local government

### I. Strategy

An organisational strategy is a general plan or set of plans intended to achieve the mission, vision and goals of the organisation. Strategies are usually developed to cover a number of years – for example, a long-term strategy outlining the advocacy activities for a CSO network. Within the overall strategy, there are usually time-bound, agreed and specific goals or performance targets that can be used to monitor progress and achievements. Such goals may be ambitious and far-reaching; others may be focused on maintaining the status quo. A clear strategy informs the activities of an organisation and the potential for growth.

I. Strategy	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<b>Overall strategy</b>	Strategy is either non-existent or incoherent (largely a set of scattered initiatives)	1) Strategy exists and is somewhat linked to mission, vision and overarching goals but lacks coherence or is not easily actionable	1) Coherent strategy has been developed and is linked to mission and vision but is not fully ready to be acted upon; 2) strategy is mostly known	1) Clear, coherent medium- to long-term strategy – both actionable and linked to overall mission, vision and overarching goals; 2) strategy is broadly known; 3) consistently helps drive daily behaviour			

<p><b>Goals/ performance targets</b></p>	<p>Targets are: non-existent or few; too vague or confusing; too easy or impossible to achieve</p>	<p>1) Realistic targets exist in some key areas, and are mostly aligned with aspirations and strategy, but may lack ambition, milestones or be focused on inputs</p>	<p>1) Quantified, reasonable but ambitious targets in most areas; 2) linked to aspirations and strategy but mainly focused on outputs, typically annual, and may lack milestones</p>	<p>1) Limited set of quantified, genuinely demanding performance targets; 2) that are output and outcome-focused, tightly linked to aspirations and strategy, and include annual milestones; 3) staff consistently adopt targets and work to achieve them</p>		
<p><b>Programme relevance and integration</b></p>	<p>Core programmes and services vaguely defined and lack clear alignment with mission and goals</p>	<p>1) Most programmes and services generally well defined and can be linked with mission and goals but programmes may be somewhat scattered and not linked</p>	<p>1) Core programmes and services well defined and aligned with mission and goals; 2) programme offerings fit together well as part of clear strategy</p>	<p>1) All programmes and services well defined and fully aligned with mission and goals; 2) programme offerings are clearly linked to one another and to strategy; 3) synergies across programmes are defined</p>		
<p><b>Programme growth and replication</b></p>	<p>No assessment of possibility of expanding existing programmes; limited ability to scale-up or replicate</p>	<p>1) Limited assessment of possibility of expanding existing programmes and therefore only some ability either to scale-up or replicate</p>	<p>1) Occasional assessment of possibility of expanding existing programmes; 2) able to scale-up or replicate existing programmes for the most part</p>	<p>1) Frequent assessment of possibility of expanding existing programmes; 2) efficiently and effectively able to learn from; 3) and grow existing programmes to meet needs of potential service recipients elsewhere</p>		



<p><b>New programme development</b></p>	<p>Little ability to create new programmes, or new programmes created largely in response to funding availability</p>	<p>1) Limited assessment of and ability to modify existing programmes and/or create new programmes</p>	<p>1) Occasional assessment of and demonstrated ability to modify and fine-tune existing programmes; 2) and create new programmes</p>	<p>1) Continual assessment to meet recipient needs and adjustments made accordingly; 2) ability and tendency to create new innovative programmes for current or new constituents; 3) continuous pipeline of new ideas</p>			
---	---	--	---	---	--	--	--

## II. Organisational skills

Many types of skills or aptitudes are required to run an organisation effectively, ranging from fundraising and financial management to advocacy and network membership maintenance, etc. It is important to identify what skills are required to fulfil the strategy and to ensure that the organisation has access to them either through existing staff or external support. With adequate skills in place, an organisation can also develop an understanding of how it is fulfilling its strategy and be able to measure its own performance based on its skills-set. Being able to understand the context the organisation works in as well as mapping key stakeholders is also vital.

II. Organisational skills	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<p><b>Performance measurement/ analysis and programme adjustments</b></p>	<p>Very limited measurement and tracking of performance, and mainly based on tangible outputs or anecdotal evidence</p>	<p>1) Performance partially measured and progress partially tracked through regular collection of data on programme activities and outputs and data used internally on occasional basis</p>	<p>1) Performance measured and progress tracked using various indicators for tangible and intangible impacts; 2) occasionally benchmarked against other similar local government agencies</p>	<p>1) Performance measured and progress tracked using various indicators for tangible and intangible impacts in multiple ways; 2) benchmarked with other local government agencies regularly; 3) long-term evaluation plan in place for review by external assessors</p>			

<p><b>Understand context and contribution of relevant stakeholders</b></p>	<p>Little knowledge and understanding of other players and local context</p>	<p>1) Basic knowledge of players and local context but limited ability to adapt behaviour</p>	<p>1) Solid knowledge of players and local context; 2) with some ability to adapt behaviour</p>	<p>1) Extensive knowledge of players and local context; 2) with analysis carried out regularly; 3) refined ability and systematic tendency to adapt behaviour</p>		
<p><b>Overall strategic planning (financial, operational and human resources)</b></p>	<p>Limited ability and tendency to develop plans, and if they exist, they are not strategic, useful or go beyond the short-term</p>	<p>1) Some ability and tendency to develop high-level strategic plans that only partially direct budget, human resources (HR) and operational decisions</p>	<p>1) Some ability and tendency to develop high-level strategic plans; 2) strategic plan clearly directs at least one of the following: budget, HR and operational decisions</p>	<p>1) Ability and tendency to develop and refine concrete, realistic plans; 2) internal expertise in all planning areas; 3) regular strategic planning carried out, which guides budget, HR and operational decisions</p>		
<p><b>Partnerships/alliances development and nurturing</b></p>	<p>Limited use of partnerships and alliances with different organisations</p>	<p>1) Early stages of building relationships and collaborating with other relevant organisations</p>	<p>1) Effectively built and leveraged some key relationships; 2) with relevant parties</p>	<p>1) Built, leveraged and maintained strong, high-impact, relationships; 2) with variety of relevant parties; 3) and relationships anchored in stable, long-term, mutually beneficial collaboration</p>		

<p><b>Local community presence and involvement</b></p>	<p>Presence either not recognised or generally not regarded as positive</p>	<p>1) Presence somewhat recognised and generally regarded as positive within the community</p>	<p>1) Reasonably well-known within community or sector; 2) members of larger community (some prominent) constructively engaged in local government forums/recourse mechanisms</p>	<p>1) Widely known within larger community; 2) perceived as actively engaged and extremely responsive; 3) many members of larger community actively and constructively engaged in local government forums/recourse mechanisms</p>		
<p><b>Volunteers</b></p>	<p>Limited ability to (or interest in) attracting in-kind support or making use of volunteers</p>	<p>1) Ad hoc use of volunteers</p>	<p>1) Somewhat clear use of volunteers; 2) at different levels (community projects, office support, outreach) to support wider aims</p>	<p>1) Clear strategy and guidance around use of volunteers; 2) at different levels; 3) translates into a robust contribution towards the work</p>		



### III. Systems and infrastructure

These are the processes, procedures and systems in place for running an organisation in a coherent and consistent manner. This includes tangible assets and infrastructure (such as office space, computers, legal insurance, etc) as well as more intangible systems for making decisions and managing delegation internally. Many of the categories in this section are inter-linked.

III. Systems and infrastructure	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<b>Decision-making framework</b>	Decisions made largely on an ad hoc and informal basis by one person and/or whoever is accessible	1) Decision-making process fairly well established but often breaks down and becomes informal	1) Clear, largely formal lines/systems for decision-making; 2) dissemination of decisions generally good but could be improved	1) Clear, formal lines/systems for decision-making; 2) involving as broad participation as practical and appropriate; 3) dissemination/interpretation of decision			
<b>Financial operations management</b>	Basic financial activities undertaken	1) Financial activities transparent, clearly recorded, documented and tracked to approve budget	1) Formal internal controls governing all financial operations (fully tracked, supported and reported); 2) attention paid to cash flow management	1) Robust systems and controls in place governing all financial operations; 2) integration with budgeting, decision-making and organisational objectives/goals; 3) cash flow managed			



## IV. Organisational structure

This lays out how the various units of an organisation interact with each other at all levels. An organogram, for example, captures visually how the units are linked and clarifies interdependencies. In practice, there should be clear roles and responsibilities for each unit to ensure coordination and synergy. Individuals fit into this structure and should have clear functions and job descriptions.

IV. Organisational structure	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<b>Interfunctional coordination</b>	Different programmes and organisational units function in silos; little or dysfunctional coordination between them	1) Clear definitions of how units should be working together and some evidence of this working	1) Interactions between different programmes and organisational units are generally good; 2) some pooling of resources	1) All programmes and units function together effectively; 2) with sharing of information and resources; 3) few coordination issues			
<b>Individual job design</b>	Lack of positions created to address a number of key roles (eg Mayor, Counsellors, Programme Management, etc); unclear roles and responsibilities with many overlaps; job descriptions do not exist	1) Some key positions well-defined and have basic job descriptions	1) Positions exist for most key roles, with few still missing; 2) most key positions are well-defined and have job descriptions but some unclear accountabilities or overlap in roles and responsibilities	1) All key roles have associated positions; 2) most individuals have well-defined roles with clear activities and reporting relationships and minimal overlaps; 3) job descriptions are redefined to allow for development and individuals' growth			

## V. Culture

Organisational culture comprises the customs, rituals and values shared by the members of an organisation that have to be understood and accepted by new members. It can range from common dress codes to perceptions of time-keeping. Organisational culture can be developed positively to ensure that diversity is welcomed and communications are open. This is especially vital for network organisations where the interactions between members are what drive the network and make it effective.

V. Culture	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<p><b>Shared values, references and practices</b></p>	<p>No common set of basic beliefs, values, practices or common references exist within local government (such as traditions, unwritten rules, stories, role models, symbols, language, dress, etc)</p>	<p>1) Common set of basic beliefs, references and practices exist in some groups within local government, but not shared broadly</p>	<p>1) Common set of basic beliefs, references and practices held by many people; 2) beliefs are aligned with local government purpose and sometimes used</p>	<p>1) Common set of basic beliefs, references and practices; 2) provides members with sense of identity; 3) beliefs aligned with local government purpose and harnessed to produce impact</p>			

### 3 GTF capacity needs assessment tool – for civil society organisation networks

#### I. Aspirations

Aspirations include the mission, vision and overarching goals of an organisation. These highlight the specific tasks or duties the organisation would like to perform or fulfil and the vision of how they will be completed. The vision captures the stated aims and objectives of an organisation and helps inform the strategy.

	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<b>Mission</b>	No written mission; or mission lacks clarity or specificity	1) Some expression of mission that reflects values and purpose (may lack clarity or be rarely used)	1) Clear expression of mission reflecting values and purpose; 2) used often by some people	1) Clear expression of mission reflecting values and purpose; 2) broadly used; 3) by whole network			
<b>Clarity of vision</b>	Little shared understanding of what network aspires to become or achieve beyond the stated mission	1) Somewhat clear or specific understanding of what network aspires to become or achieve (but lacks specificity or clarity or is not widely negotiated among members)	1) Clear and specific understanding of what network aspires to become or achieve; 2) often used to direct actions and set priorities	1) Clear, specific and compelling understanding of what network aspires to become or achieve; 2) broadly negotiated and held across network members; 3) and consistently used to direct actions and set priorities			



	No clear vision articulated	1) Vision exists but falls short of reflecting an inspiring view of the future	1) Vision is distinctive along <b>only one</b> of the following two attributes: a) reflects inspiring view of future, b) is demanding yet achievable	1) Vision reflects an inspiring view of future that is: 2) demanding; 3) achievable		
<b>Overarching goals</b>	Vision (if it exists) not explicitly translated into small set of concrete goals, though there may be general (but inconsistent and imprecise) knowledge of overarching goals and what network aims to achieve	1) Vision translated into a concrete set of goals; 2) but goals lack <b>at least two</b> of the following four attributes: a) clarity, b) boldness, c) associated metrics, d) timeframe for measuring attainment	1) Vision translated into a concrete set of goals; 2) but lacks <b>at most one</b> of the following four attributes: a) clarity, b) boldness, c) associated metrics, d) timeframe for measuring attainment; 3) goals are known	1) Vision translated into clear, bold set of concrete, time-bound and measurable goals that network aims to achieve; 2) goals are broadly known; 3) and consistently used to direct actions and set priorities		

## II. Strategy

An organisational strategy is a general plan or set of plans intended to achieve the mission, vision and goals of the organisation. Strategies are usually developed to cover a number of years – for example, a long-term strategy outlining the advocacy activities for a CSO network. Within the overall strategy, there are usually time-bound, agreed and specific goals or performance targets that can be used to monitor progress and achievements. Such goals may be ambitious and far-reaching; others may be focused on maintaining the status quo. A clear strategy informs the activities of an organisation and the potential for growth.

II. Strategy	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<b>Overall strategy</b>	Strategy is either non-existent or incoherent (largely set of scattered initiatives)	1) Strategy exists and is somewhat linked to mission, vision and overarching goals but lacks coherence or is not easily actionable	1) Coherent strategy has been developed and is linked to mission and vision but is not fully ready to be acted upon; 2) strategy is mostly known	1) Clear, coherent medium- to long-term strategy, both actionable and linked to overall mission, vision and overarching goals; 2) strategy is broadly known; 3) and consistently helps drive daily behaviour			

<p><b>Goals/ performance targets</b></p>	<p>Targets are: non-existent or few; too vague or confusing; too easy or impossible to achieve</p>	<p>1) Realistic targets exist in some key areas, and are mostly aligned with aspirations and strategy but may lack ambition, milestones or be focused on inputs</p>	<p>1) Quantified, reasonable but ambitious targets in most areas; 2) linked to aspirations and strategy but mainly focused on outputs, typically annual and may lack milestones</p>	<p>1) Limited set of quantified, genuinely demanding performance targets; 2) that are output and outcome-focused, tightly linked to aspirations and strategy, and include annual milestones; 3) members consistently adopt targets and work to achieve them</p>		
<p><b>Programme relevance and integration</b></p>	<p>Core programmes and services vaguely defined and lack clear alignment with mission and goals</p>	<p>1) Most programmes and services generally well defined and can be linked with mission and goals but programmes may be somewhat scattered and not linked</p>	<p>1) Core programmes or advocacy efforts well defined and aligned with mission and goals; 2) programme offerings fit together well as part of clear strategy</p>	<p>1) All programmes and advocacy efforts well-defined and fully aligned with mission and goals; 2) programme offerings are clearly linked to one another and to strategy; 3) synergies across programmes are defined</p>		

<p><b>Programme growth and replication</b></p>	<p>No assessment of possibility of expanding existing programmes; limited ability to scale-up or replicate</p>	<p>1) Limited assessment of possibility of expanding existing programmes and therefore only some ability either to scale-up or replicate</p>	<p>1) Occasional assessment of possibility of expanding existing programmes; 2) able to scale-up or replicate existing programmes for the most part</p>	<p>1) Frequent assessment of possibility of expanding existing programmes; 2) efficiently and effectively able to learn from existing programmes; 3) and grow existing programmes and messages to meet the need to address other potential advocacy targets and themes</p>		
<p><b>New programme development</b></p>	<p>Little ability to create new programmes, or new programmes created largely in response to funding availability</p>	<p>1) Limited assessment of and ability to modify existing programmes and/or create new programmes</p>	<p>1) Occasional assessment with members and demonstrated ability to modify and fine-tune existing programmes; 2) and create new programmes</p>	<p>1) Continual assessment with members to meet advocacy needs and adjustments made accordingly; 2) ability and tendency to create new innovative programmes for current or new members; 3) continuous pipeline of new ideas</p>		

<p><b>Funding model</b></p>	<p>Highly dependent on a few funders, largely of same type (eg government, foundations or private individuals)</p>	<p>1) Access to multiple types of funding (eg government, foundations, corporations, private individuals) with only a few funders in each type</p>	<p>1) Solid range of funders from varying sources with clarity around membership relationship to network funding; 2) some hedging against market instabilities (eg some reserves) or some sustainable revenue-generating activity</p>	<p>1) Highly diversified funding across multiple source types from across network; 2) insulated from potential market instabilities and/or has sustainable revenue-generating activities; 3) risk-management process identifies clear and transparent exit strategy in case model ceases to work</p>		
<p><b>Engaging government (in any context: local, state, federal)</b></p>	<p>Little understanding of how to work with and influence government</p>	<p>1) Some understanding of need to embed programmes in government yet no clear strategy for how to do so</p>	<p>1) Clear understanding of need and strategy to embed programmes and/or learning in government; 2) good links or relationships with government partners</p>	<p>1) Clear, coherent and understood strategy for working with and/or influencing government; 2) good/strong links or relationships with government partners; 3) good evidence base and messaging</p>		



### III. Organisational skills

Many types of skills or aptitudes are required to run an organisation effectively, ranging from fundraising and financial management to advocacy and network membership maintenance, etc. It is important to identify what skills are required to fulfil the strategy and to ensure that the organisation has access to them either through existing staff or external support. With adequate skills in place, an organisation can also develop an understanding of how it is fulfilling its strategy and be able to measure its own performance based on its skills-set. Being able to understand the context the organisation works in as well as mapping key stakeholders is also vital.

III. Organisational skills	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<p><b>Performance measurement/ analysis and programme adjustments</b></p>	<p>Very limited measurement and tracking of performance, and mainly based on tangible outputs or anecdotal evidence</p>	<p>1) Performance partially measured and progress partially tracked through regular collection of data on programme activities and outputs, and data used internally within network on occasional basis</p>	<p>1) Performance measured and progress tracked using various indicators for tangible and intangible impacts; 2) occasionally benchmarked against other similar networks</p>	<p>1) Performance measured and progress tracked using various indicators for tangible and intangible impacts in multiple ways; 2) benchmarked with other networks regularly; 3) long-term evaluation plan in place for review by external assessors</p>			



<p><b>Network development and nurturing</b></p>	<p>Network comprises few and/or weak membership with little communication across the network</p>	<p>1) Variety of members with some good communication across network to bring in others and maintain commitment</p>	<p>1) Variety of members attracts others to join or undertakes membership drive to recruit high quality members; 2) cross-learning is encouraged</p>	<p>1) High quality and consistent members; 2) able to communicate and learn across network; 3) responsive to member needs</p>		
<p><b>Local community presence and involvement</b></p>	<p>Presence either not recognised or generally not regarded as positive</p>	<p>1) Presence somewhat recognised and generally regarded as positive within the community</p>	<p>1) Reasonably well-known within the community or sector; 2) members of larger community (some prominent) constructively involved</p>	<p>1) Widely known within larger community; 2) perceived as actively engaged and extremely responsive; 3) many members of larger community actively and constructively involved (eg through steering committee, campaigns)</p>		
<p><b>Influencing policy-making</b></p>	<p>Little ability or unaware of possibilities for influencing policy-making</p>	<p>1) Aware of possibilities in influencing policy-making and some skill to participate in policy discussion</p>	<p>1) Fully aware of possibilities in influencing policy-making; 2) one of several networks active in policy discussions on state or national level</p>	<p>1) Pro-active and effective influence on policy-making on state and national levels; 2) ready for and often called to participate in substantive policy discussion; 3) at times initiates discussions</p>		

### IV. Human resources

Clear and effective governance structures are vital to the internal functioning of an organisation. This means that staffing levels are sufficient and that key functions are fulfilled. It also means that senior management and directors are in place, competent and supportive of the staff team. ‘Human resources’ are the people who manage or work for an organisation plus the processes developed for supporting and developing them to fulfil their functions well and to progress both personally and professionally.

IV. Human resources	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<b>Staffing levels (relevant for networks with Secretariats)</b>	Many positions unfilled or inadequately filled; high turnover and/or poor attendance	1) Most critical positions filled	1) Positions almost all staffed; 2) few turnover, attendance or morale problems	1) Positions fully staffed; 2) no turnover or attendance problems; 3) good morale and motivation to stay			
<b>Board/ Steering Committee: composition and commitment NB: Network selection processes usually based on self-selection/ volunteers/ member voting</b>	Limited diversity of fields of practice and expertise and meetings infrequent and/or poor attendance. Unable to avoid hierarchies and power grabs by larger, more influential or better-funded network members	1) Some diversity in fields of practice with regular, purposeful meetings and generally good attendance	1) Good diversity in fields of practice and expertise; 2) regular, purposeful meetings are well-planned and attendance is consistently good	1) Membership with broad range of functional and program content-related expertise includes high-profile names; 2) high willingness and proven track record of addressing the issues of the network; 3) meet in person regularly, good attendance, frequent meetings of focused subcommittees			

<p><b>Board/ Steering Committee: involvement and support</b></p>	<p>Provide little direction and support to leadership (eg Secretariat/Coordinator) and largely represents 'feel-good' support</p>	<p>1) Informed about all 'material' matters in a timely manner and responses/decisions actively solicited to support direction</p>	<p>1) Provide direction and support to programmatic leadership; 2) fully informed of all major matters with input and responses actively valued</p>	<p>1) Provide strong support to leadership and engaged as resource; 2) communication between board and leadership reflects mutual respect and appreciation for roles/responsibilities; 3) shared commitment to best interests of network</p>		
<p><b>Director/ Management Committee: passion and vision, interpersonal skills, analytical, strategic judgement NB: Depends on nature/role of Secretariat or Committee</b></p>	<p>Low level of commitment and energy, fails to show respect for others and uncomfortable with complexity and ambiguity</p>	<p>1) Visible commitment and energy and able to analyse if not generate strategy</p>	<p>1) Inspiringly energetic, committed, others and shows clear commitment to personal growth; 2) quickly assimilates complex information to develop robust strategies for financial and other impact</p>	<p>1) Contagiously energetic, committed, motivational, outstanding 'people-person' (or team); 2) compellingly articulates path to achieving vision; 3) develops financially sound strategic alternatives and identifies associated rewards, risks, and actions to lower risks</p>		



<p><b>Experience and standing</b></p>	<p>Limited experience in managing networks</p>	<p>1) Some relevant experience in network management <b>or</b> some relevant capabilities from other field(s)</p>	<p>1) Significant experience in network management; 2) many relevant capabilities from other field(s)</p>	<p>1) Highly experienced in managing networks with comprehensive and deep understanding of the sector; 2) many distinctive capabilities from other field(s); 3) recognised nationally as a leader in particular sector</p>		
<p><b>Management Team and staff: dependence on CEO/Director</b> <b>NB: Network leadership usually not vested in one individual</b></p>	<p>Very strong dependence on CEO/Executive Director (network would cease to exist without his/her presence)</p>	<p>1) High dependence on CEO/Executive Director (network would continue to exist without his/her presence, but likely in a very different form)</p>	<p>1) Limited dependence on CEO/Executive Director; 2) network would continue in similar way without his/her presence but areas such as fundraising or operations would likely suffer during transition period</p>	<p>1) Reliance but not dependence on CEO/Executive Director; 2) smooth transition to new leader could be expected with fundraising and operations likely to continue without major problems; 3) several members of network could potentially take on CEO/Executive Director role or fill in during transition</p>		

<p><b>Senior Management Team/Network Steering Committee</b></p>	<p>Drawn from a narrow range of backgrounds and experiences with abilities limited to present job</p>	<p>1) Some variety of backgrounds and experiences representing adequate range of skills</p>	<p>1) Good variety of backgrounds and experiences representing a good range of skills; 2) solid track record of learning and personal development</p>	<p>1) Drawn from diverse backgrounds and experiences representing a broad range of skills; 2) most are highly capable, energetic and committed to mission and strategy; 3) eager to learn, develop and assume increased responsibility</p>		
<p><b>Secretariat staff: ability to fulfil various roles that cover all aspects of operations</b></p>	<p>Limited abilities, may be unreliable or have low motivation, commitment and morale</p>	<p>1) Staff have adequate abilities and are mostly reliable and loyal</p>	<p>1) Very capable set of individuals; 2) reliable, loyal and highly committed to network's success</p>	<p>1) Extremely capable set of individuals; 2) reliable, loyal, highly committed to network's success and often go beyond call of duty; 3) volunteers managed very well and contribute to success of network</p>		
<p><b>Volunteers</b></p>	<p>Limited ability to (or interest in) attracting in-kind support or making use of volunteers</p>	<p>1) Ad hoc use of volunteers</p>	<p>1) Somewhat clear use of volunteers; 2) at different levels (community project support, Board or office support) to support wider aims</p>	<p>1) Clear strategy and guidance around use of volunteers; 2) at different levels; 3) translates into a robust contribution towards the work</p>		

## V. Systems and infrastructure

These are the processes, procedures and systems in place for running an organisation in a coherent and consistent manner. This includes tangible assets and infrastructure (such as office space, computers, legal insurance, etc) as well as more intangible systems for making decisions and managing delegation internally. Many of the categories in this section are inter-linked.

	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<b>V. Systems and infrastructure</b>  <b>Planning, monitoring and evaluation systems: linked to aims and activities, eg advocacy needs as well as budgeting</b>	Planning, monitoring and evaluation happens on an ad hoc basis only	1) Planning, monitoring and evaluation done regularly and uses some systematically collected data	1) Planning, monitoring and evaluation done regularly; 2) feedback mechanism exists for feeding in data as required to improve planning process	1) Regular, robust and integrated planning, monitoring and evaluation systems complemented by ad hoc planning when needed; 2) some data collected (eg baselines); 3) used systematically as feedback mechanism to improve planning			
<b>Decision-making framework</b>	Decisions made largely on an ad hoc and informal basis by one/few people on behalf of the network	1) Decision-making process fairly well established and consultative but often breaks down and becomes informal	1) Clear, largely formal lines/systems for decision-making; 2) dissemination of decisions generally good across network but could be improved	1) Clear, formal lines/systems for decision-making; 2) involving as broad participation as practical and appropriate; 3) dissemination/interpretation of decision			

<p><b>Financial operations management</b></p>	<p>Basic financial activities undertaken (eg grants deposited and acknowledged, bills paid, supporting documentation collected/retained)</p>	<p>1) Financial activities transparent, clearly and consistently recorded and documented and tracked to approve budget</p>	<p>1) Formal internal controls governing all financial operations (fully tracked, supported and reported); 2) attention paid to cash flow management</p>	<p>1) Robust systems and controls in place governing all financial operations; 2) integration with budgeting, decision-making and network objectives/goals; 3) cash flow managed</p>		
<p><b>Human resources management</b> <b>NB: Relevant for Secretariat staff, Coordinator etc, if network has them</b></p>	<p>Standard career paths in place without considering staff development; no or very limited training, coaching and feedback</p>	<p>1) Some formal recruitment, development and retention of some staff in place with basic approach to training and appraisals</p>	<p>1) Recruitment, development and retention of key staff is priority; 2) relevant training, job rotation, coaching, feedback and performance appraisal are institutionalised and support staff progression</p>	<p>1) Recruitment, tailored development and retention of all staff is priority; 2) relevant training, job rotation, coaching, feedback and performance appraisal are institutionalised and support staff progression; 3) many elements of incentive system in place with clear effect in motivating staff</p>		
<p><b>Knowledge management</b> <b>NB: Depends on network focus areas, methods for member dialogue, information capture and sharing processes</b></p>	<p>No formal systems to capture and document network knowledge and experiences</p>	<p>1) Some systems exist in a few areas but either not user-friendly, or not comprehensive or known enough to have an impact</p>	<p>1) Systems exist in most areas and quite user-friendly and comprehensive; 2) but systems known by only a few members of the network <b>or</b> only occasionally used</p>	<p>1) Well-designed, comprehensive user-friendly systems in most areas; 2) systems are known by many members of the network; 3) often used by wide selection of members</p>		

<p><b>External communication</b></p>	<p>No formal systems to communicate progress and messages to wider audience</p>	<p>1) Some systems exist (such as website, newsletter, etc) but not widely disseminated and only partially targeted</p>	<p>1) Systems exist, are used and targeted; 2) strategy in place to communicate with wide audience and receive some feedback</p>	<p>1) Systems exist, are well used and targeted; 2) strategy in place to communicate with wide audience and to receive feedback; 3) able to fully tailor messages to audience</p>		
<p><b>Infrastructure: (office space and location, ICT – computers, software, email, database systems, etc)</b></p>	<p>Inadequate physical, data collection and communications infrastructure, resulting in clear loss of effectiveness and efficiency with impact on reputation and staff morale</p>	<p>Physical space (location, office size, etc), data collection (to support reporting and knowledge generation) and communications are basic but work well enough to meet most important and immediate needs</p>	<p>With minor improvements to equipment, logistics, etc, physical space, data collection and communications infrastructure generally work well enough to suit network's needs</p>	<p>Fully adequate physical, data collection and communications infrastructure clearly contributes to network effectiveness and efficiency</p>		
<p><b>Management of legal and liability matters</b></p>	<p>Network does not anticipate legal issues, but finds help and addresses issues individually when they arise</p>	<p>1) Legal support resources identified, readily available and employed on 'as needed' basis</p>	<p>1) Legal support regularly available and consulted in planning; 2) routine legal risk-management and occasional review of insurance</p>	<p>1) Well-developed, effective and efficient internal legal infrastructure for day-to-day legal work; 2) additional access to general and specialised external expertise for extraordinary cases; 3) continuous legal risk-management and adjustment of insurance</p>		



## VI. Organisational structure

This lays out how the various units of an organisation interact with each other at all levels. An organogram, for example, captures visually how the units are linked and clarifies interdependencies. In practice, there should be clear roles and responsibilities for each unit to ensure coordination and synergy. Individuals fit into this structure and should have clear functions and job descriptions.

Vi. Organisational structure	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<p><b>Board or Network Steering Committee governance</b></p>	<p>Board/Committee does not scrutinise budgets or audits, does not set performance targets and hold CEO accountable or does not operate according to formal procedures; executive, treasury, and board functions unclear</p>	<p>1) Roles of legal Board/Committee are clear and functions according to by-laws including reviews of budgets, and occasionally sets network direction and targets</p>	<p>1) Roles of legal Board/Committee are clear and function relatively well including reviews of budgets, audits and state filings; 2) size of Board/Committee is reasonable with clear nomination process for members</p>	<p>1) Roles of legal Board/Committee are clear and function well including reviews of budgets, conflicts of interest, audits and state filings; 2) size of Board/Committee generally set for maximum effectiveness with clear nomination process; 3) supports and actively manages targets and performance of CEO</p>			

<p><b>Organisational design</b></p>	<p>Roles and responsibilities of network entities (eg headquarters, Secretariat, regional and local offices) are neither formalised nor clear; absence of network chart</p>	<p>1) Most roles and responsibilities of network entities are formalised and some are defined but may not reflect network realities</p>	<p>1) Roles and responsibilities of network entities are formalised and defined but may not reflect network realities; 2) network chart is complete (but old)</p>	<p>1) Roles and responsibilities of all network entities are formalised and clear; 2) and complement each other; 3) network chart is complete and reflects current reality</p>		
<p><b>Interfunctional coordination</b></p>	<p>Different programmes and network units/entities function in silos; little or dysfunctional coordination between them</p>	<p>1) Clear definitions of how units should be working together and some evidence of this working</p>	<p>1) Interactions between different programmes and network units are generally good; 2) some pooling of resources</p>	<p>1) All programmes and units function together effectively; 2) with sharing of information and resources; 3) few coordination issues</p>		
<p><b>Individual job design</b> <b>NB: If formal staff are present in a Secretariat, employed as Coordinator, etc</b></p>	<p>Lack of positions created to address a number of key roles (eg Coordinator, Finance Officer, Membership Manager); unclear roles and responsibilities with many overlaps; no job descriptions</p>	<p>1) Some key positions well-defined and have basic job descriptions</p>	<p>1) Positions exist for most key roles, with few still missing; 2) most key positions are well-defined and have job descriptions but some unclear accountabilities or overlap in roles and responsibilities</p>	<p>1) All key roles have associated positions; 2) most individuals have well-defined roles with clear activities and reporting relationships and minimal overlaps; 3) job descriptions are redefined to allow for development and individuals' growth</p>		

## VII. Culture

Organisational culture comprises the customs, rituals and values shared by the members of an organisation that have to be understood and accepted by new members. It can range from common dress codes to perceptions of time-keeping. Organisational culture can be developed positively to ensure that diversity is welcomed and communications are open. This is especially vital for network organisations where the interactions between members are what drive the network and make it effective.

VII. Culture	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<p><b>Shared values, references and practices</b></p>	<p>No common set of basic beliefs, values, practices or common references exist within network (such as traditions, unwritten rules, stories, role models, symbols, language, dress, etc)</p>	<p>1) Common set of basic beliefs, references and practices exist in some groups within the network, but not shared broadly</p>	<p>1) Common set of basic beliefs, references and practices held by many people; 2) beliefs are aligned with network purpose and sometimes used</p>	<p>1) Common set of basic beliefs, references and practices; 2) provides members with sense of identity; 3) beliefs aligned with network purpose and harnessed to produce impact</p>			
<p><b>Culture of open discussion where diversity of opinion is welcomed</b></p>	<p>Space for discussion may be provided but other opinions are seen as a threat; 'culture of silence'</p>	<p>1) Space for discussion provided with evidence of consultation having an impact on the network</p>	<p>1) Space provided on a regular basis to share/learn; 2) professional culture of effectively sharing opinions through participation</p>	<p>1) Space provided to share/learn; 2) professional culture of listening, participation and clear attempts for building consensus; 3) diverse views contribute to strategic decision-making</p>			



## 4 GTF capacity needs assessment tool – for civil society organisations/non-governmental organisations

### I. Aspirations

Aspirations include the mission, vision and overarching goals of an organisation. These highlight the specific tasks or duties the organisation would like to perform or fulfil and the vision of how they will be completed. The vision captures the stated aims and objectives of an organisation and helps inform the strategy.

	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<b>Mission</b>	No written mission; or mission lacks clarity or specificity	1) Some expression of mission that reflects values and purpose (may lack clarity or rarely used)	1) Clear expression of mission reflecting values and purpose; 2) used often by some people	1) Clear expression of mission reflecting values and purpose; 2) broadly used; 3) by the whole organisation			
<b>Clarity of vision</b>	Little shared understanding of what the organisation aspires to become or achieve beyond the stated mission	1) Somewhat clear or specific understanding of what organisation aspires to become or achieve; lacks specificity or clarity	1) Clear and specific understanding of what organisation aspires to become or achieve; 2) often used to direct actions and set priorities	1) Clear, specific and compelling understanding of what organisation aspires to become or achieve; 2) broadly held within organisation; 3) and consistently used to direct actions and set priorities			

<p><b>Boldness of vision</b></p>	<p>No clear vision articulated</p>	<p>1) Vision exists but falls short of reflecting an inspiring view of the future</p>	<p>1) Vision is distinctive <b>in only one</b> of following two ways; a) reflects inspiring view of future, b) is demanding yet achievable</p>	<p>1) Vision reflects an inspiring view of the future and is <b>both</b>: 2) demanding; 3) achievable</p>		
<p><b>Overarching goals</b></p>	<p>Vision (if it exists) is not explicitly translated into a small set of concrete goals, though there may be general (but inconsistent and imprecise) knowledge of overarching goals and what the vision aims to achieve</p>	<p>1) Vision translated into a concrete set of goals; 2) but goals lack <b>at least two</b> of the following four attributes: a) clarity, b) boldness, c) associated metrics, d) timeframe for measuring attainment</p>	<p>1) Vision translated into a concrete set of goals; 2) but lacks <b>at most one</b> of the following four attributes: a) clarity, b) boldness, c) associated metrics, d) timeframe for measuring attainment; 3) goals are known</p>	<p>1) Vision translated into clear, bold set of concrete, time-bound and measurable goals that organisation aims to achieve; 2) goals are broadly known; 3) and consistently used to direct actions and set priorities</p>		



## II. Strategy

An organisational strategy is a general plan or set of plans intended to achieve the mission, vision and goals of the organisation. Strategies are usually developed to cover a number of years – for example, a long-term strategy outlining the advocacy activities for a CSO network. Within the overall strategy, there are usually time-bound, agreed and specific goals or performance targets that can be used to monitor progress and achievements. Such goals may be ambitious and far-reaching; others may be focused on maintaining the status quo. A clear strategy informs the activities of an organisation and the potential for growth.

II. Strategy	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<b>Overall strategy</b>	Strategy is either non-existent or incoherent (largely set of scattered initiatives)	1) Strategy exists and is somewhat linked to mission, vision and overarching goals but lacks coherence or is not easily actionable	1) Coherent strategy has been developed and is linked to mission and vision but is not fully ready to be acted upon; 2) strategy is mostly known	1) Clear, coherent medium- to long-term strategy – both actionable and linked to overall mission, vision and overarching goals; 2) strategy is broadly known; 3) and consistently helps drive daily behaviour			

<p><b>Goals/ performance targets</b></p>	<p>Targets are: non-existent or few; too vague or confusing; too easy or impossible to achieve</p>	<p>1) Realistic targets exist in some key areas, and are mostly aligned with aspirations and strategy but may lack ambition, milestones or be focused on inputs</p>	<p>1) Quantified, reasonable but ambitious targets in most areas; 2) linked to aspirations and strategy but mainly focused on outputs, typically annual and may lack milestones</p>	<p>1) Limited set of quantified, genuinely demanding performance targets; 2) that are output and outcome-focused, tightly linked to aspirations and strategy, and include annual milestones; 3) staff consistently adopt targets and work to achieve them</p>		
<p><b>Programme relevance and integration</b></p>	<p>Core programmes and services vaguely defined and lack clear alignment with mission and goals</p>	<p>1) Most programmes and services generally well defined and can be linked with mission and goals but programmes may be somewhat scattered and not linked</p>	<p>1) Core programmes and services well defined and aligned with mission and goals; 2) programme offerings fit together well as part of clear strategy</p>	<p>1) All programmes and services well defined and fully aligned with mission and goals; 2) programme offerings are clearly linked to one another and to strategy; 3) synergies across programmes are defined</p>		

<p><b>Programme growth and replication</b></p>	<p>No assessment of possibility of expanding existing programmes; limited ability to scale up or replicate</p>	<p>1) Limited assessment of possibility of expanding existing programmes and therefore only some ability either to scale up or replicate</p>	<p>1) Occasional assessment of possibility of expanding existing programmes; 2) able to scale up or replicate existing programmes for the most part</p>	<p>1) Frequent assessment of possibility of expanding existing programmes; 2) efficiently and effectively able to learn from existing programmes; 3) and grow existing programmes to meet needs of potential service recipients elsewhere</p>		
<p><b>New programme development</b></p>	<p>Little ability to create new programmes, or new programmes created largely in response to funding availability</p>	<p>1) Limited assessment of and ability to modify existing programmes and/or create new programmes</p>	<p>1) Occasional assessment of and demonstrated ability to modify and fine-tune existing programmes; 2) and create new programmes</p>	<p>1) Continual assessment to meet recipient needs and adjustments made accordingly; 2) ability and tendency to create new innovative programmes for current or new recipients; 3) continuous pipeline of new ideas</p>		

<p><b>Funding model</b></p>	<p>Highly dependent on a few funders, largely of same type (eg government or foundations or private individuals)</p>	<p>1) Access to multiple types of funding (eg government, foundations, corporations, private individuals) with only a few funders in each type</p>	<p>1) Solid range of funders from varying sources; 2) some hedging against market instabilities (eg some reserves) or some sustainable revenue-generating activity</p>	<p>1) Highly diversified funding across multiple source types; 2) insulated from potential market instabilities and/or has sustainable revenue-generating activities; 3) risk-management process identifies clear and transparent exit strategy in case model ceases to work</p>		
<p><b>Engaging government (in any context: local, state, federal)</b></p>	<p>Little understanding of how to work with and influence government</p>	<p>1) Some understanding of need to embed programmes in government yet no clear strategy for how to do so</p>	<p>1) Clear understanding of need and strategy to embed programmes and/or learning in government; 2) good links or relationships with government partners</p>	<p>1) Clear, coherent and understood strategy for working with and/or influencing government; 2) good/strong links or relationships with government partners; 3) good evidence base and messaging</p>		

### III. Organisational skills

Many types of skills or aptitudes are required to run an organisation effectively, ranging from fundraising and financial management to advocacy and network membership maintenance, etc. It is important to identify what skills are required to fulfil the strategy and to ensure that the organisation has access to them either through existing staff or external support. With adequate skills in place, an organisation can also develop an understanding of how it is fulfilling its strategy and be able to measure its own performance based on its skills-set. Being able to understand the context the organisation works in as well as mapping key stakeholders is also vital.

III. Organisational skills	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<b>Performance measurement/ analysis and programme adjustments</b>	Very limited measurement and tracking of performance and mainly based on tangible outputs or anecdotal evidence	1) Performance partially measured and progress partially tracked through regular collection of data on programme activities and outputs, and data used internally on occasional basis	1) Performance measured and progress tracked using various indicators for tangible and intangible impacts; 2) occasionally benchmarked against other similar organisations	1) Performance measured and progress tracked using various indicators for tangible and intangible impacts in multiple ways; 2) benchmarked with other organisations regularly; 3) long-term evaluation plan in place for review by external assessors			

<p><b>Understand context and contribution of relevant stakeholders</b></p>	<p>Little knowledge and understanding of other players and local context</p>	<p>1) Basic knowledge of players and local context but limited ability to adapt behaviour</p>	<p>1) Solid knowledge of players and local context; 2) with some ability to adapt behaviour</p>	<p>1) Extensive knowledge of players and local context; 2) with analysis carried out regularly; 3) and refined ability and systematic tendency to adapt behaviour</p>		
<p><b>Overall strategic planning (financial, operational and human resources)</b></p>	<p>Limited ability and tendency to develop plans, and if they exist, they are not strategic, useful or go beyond the short-term</p>	<p>1) Some ability and tendency to develop high-level strategic plans that only partially direct budget, human resources (HR) and operational decisions</p>	<p>1) Some ability and tendency to develop high-level strategic plans; 2) and strategic plans clearly direct <b>at least one</b> of the following: budget, HR and operational decisions</p>	<p>1) Ability and tendency to develop and refine concrete, realistic plans; 2) internal expertise in all planning areas; 3) regular strategic planning carried out, which guides budget, HR and operational decisions</p>		
<p><b>Fundraising and revenue generating</b></p>	<p>Generally weak fundraising skills and lack of expertise; fundraising practices and budgets not linked to real costs of activities</p>	<p>1) Main fundraising needs covered by some combination of internal skills and access to some external fundraising expertise</p>	<p>1) Regular fundraising needs adequately covered by well developed internal fundraising skills; 2) occasional access to some external fundraising expertise</p>	<p>1) Highly developed internal fundraising skills to cover all regular needs; 2) access to internal and/or external expertise for additional extraordinary needs; 3) innovative revenue generation methods</p>		



<p><b>Partnerships/ alliances, development and nurturing</b></p>	<p>Limited use of partnerships and alliances with different organisations</p>	<p>1) Early stages of building relationships and collaborating with other relevant organisations</p>	<p>1) Effectively built and leveraged some key relationships; 2) with relevant parties</p>	<p>1) Built, leveraged, and maintained strong, high-impact, relationships; 2) with variety of relevant parties; 3) and relationships anchored in stable, long-term, mutually beneficial collaboration</p>		
<p><b>Local community presence and involvement</b></p>	<p>Presence either not recognised or generally not regarded as positive</p>	<p>1) Presence somewhat recognised and generally regarded as positive within the community</p>	<p>1) Reasonably well-known within the community or sector; 2) members of larger community (some prominent) constructively involved</p>	<p>1) Widely known within larger community; 2) perceived as actively engaged and extremely responsive; 3) many members of larger community actively and constructively involved (eg Board, Fundraising, Campaigns)</p>		
<p><b>Influencing policy-making</b></p>	<p>Little ability or unaware of possibilities for influencing policy-making</p>	<p>1) Aware of possibilities in influencing policy-making and some skill to participate in policy discussion</p>	<p>1) Fully aware of possibilities in influencing policy-making; 2) one of several groups active in policy-discussions on state or national level</p>	<p>1) Pro-active and effective influence on policy-making on state and national levels; 2) ready for and often called to participate in substantive policy discussion; 3) at times initiates discussions</p>		

### IV. Human resources

Clear and effective governance structures are vital to the internal functioning of an organisation. This means that staffing levels are sufficient and that key functions are fulfilled. It also means that senior management and directors are in place, competent and supportive of the staff team. ‘Human resources’ are the people who manage or work for an organisation plus the processes developed for supporting and developing them to fulfil their functions well and to progress both personally and professionally.

IV. Human resources	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<b>Staffing levels</b>	Many positions unfilled or inadequately filled; high turnover and/or poor attendance	1) Most critical positions filled	1) Positions almost all staffed; 2) few turnover, attendance or morale problems	1) Positions fully staffed; 2) no turnover or attendance problems; 3) good morale and motivation to stay			
<b>Board: composition and/commitment</b>	Limited diversity of fields of practice and expertise, and meetings infrequent and/or poor attendance	1) Some diversity in fields of practice with regular, purposeful meetings and generally good attendance	1) Good diversity in fields of practice and expertise; 2) regular, purposeful meetings are well-planned and attendance is consistently good	1) Membership with broad range of functional and program content-related expertise includes high-profile names; 2) high willingness and proven track record of addressing the issues of the organisation; 3) meet in person regularly, good attendance, frequent meetings of focused subcommittees			

<p><b>Board: involvement and support</b></p>	<p>Provide little direction, and support to leadership and largely represents ‘feel-good’ support</p>	<p>1) Informed about all ‘material’ matters in a timely manner and responses/decisions actively solicited to support direction</p>	<p>1) Provide direction and support to programmatic leadership; 2) fully informed of all major matters with input and responses actively valued</p>	<p>1) Provide strong direction and support to leadership and engaged as resource; 2) communication between board and leadership reflects mutual respect and appreciation for roles/responsibilities; 3) shared commitment to best interests of organisation</p>		
<p><b>Executive Director/ Senior Management Team: passion and vision, interpersonal skills, analysis and strategy</b></p>	<p>Low level of commitment and energy, fails to show respect for others and uncomfortable with complexity and ambiguity</p>	<p>1) Visible commitment and energy and able to analyse if not generate strategy</p>	<p>1) Inspiringly energetic, committed, others and shows clear commitment to personal growth; 2) quickly assimilates complex information to develop robust strategies for financial and other impact</p>	<p>1) Contagiously energetic, committed, motivational, outstanding ‘people-person’ (or team); 2) compellingly articulates path to achieving vision; 3) develops financially sound strategic alternatives and identifies associated rewards, risks, and actions to lower risks</p>		

<p><b>Experience and standing</b></p>	<p>1) Limited experience in managing non-profits</p>	<p>1) Some relevant experience in non-profit management <b>or</b> some relevant capabilities from other field(s)</p>	<p>1) Significant experience in non-profit management; 2) many relevant capabilities from other field(s)</p>	<p>1) Highly experienced in managing non-profits with comprehensive and deep understanding of the sector; 2) many distinctive capabilities from other field(s); 3) recognised nationally as a leader in particular sector</p>		
<p><b>Management Team and staff: dependence on CEO/Director</b></p>	<p>Very strong dependence on CEO/Executive Director (organisation would cease to exist without his/her presence)</p>	<p>1) High dependence on CEO/Executive Director (organisation would continue to exist without his/her presence, but likely in a very different form)</p>	<p>1) Limited dependence on CEO/Executive Director; 2) organisation would continue in similar way without his/her presence but areas such as fundraising or operations would likely suffer during transition period</p>	<p>1) Reliance but not dependence on CEO/Executive Director; 2) smooth transition to new leader could be expected with fundraising and operations likely to continue without major problems; 3) several members of management team could potentially take on CEO/Executive Director role or fill in during transition</p>		

<p><b>Senior Management Team</b></p>	<p>Staff drawn from a narrow range of backgrounds and experiences with abilities limited to present job</p>	<p>1) Some variety of staff backgrounds and experiences representing adequate range of skills</p>	<p>1) Good variety of staff backgrounds and experiences representing a good range of skills; 2) solid track record of learning and personal development</p>	<p>1) Drawn from diverse backgrounds and experiences representing a broad range of skills; 2) most are highly capable, energetic and committed to mission and strategy; 3) eager to learn, develop and assume increased responsibility</p>		
<p><b>Staff: ability to fulfil various roles that cover all aspects of operations</b></p>	<p>Limited abilities, may be unreliable or have low motivation, commitment and morale</p>	<p>1) Staff have adequate abilities and are mostly reliable and loyal</p>	<p>1) Very capable set of individuals; 2) reliable, loyal and highly committed to organisation's success</p>	<p>1) Extremely capable set of individuals; 2) reliable, loyal, highly committed to organisation's success and often go beyond call of duty; 3) volunteers managed very well and contribute to success of organisation</p>		
<p><b>Volunteers</b></p>	<p>Limited ability to (or interest in) attracting in-kind support or making use of volunteers</p>	<p>1) Ad hoc use of volunteers</p>	<p>1) Somewhat clear use of volunteers; 2) at different levels (community project support, Board or office support) to support wider aims</p>	<p>1) Clear strategy and guidance around use of volunteers; 2) at different levels; 3) translates into a robust contribution towards the work</p>		

## V. Systems and infrastructure

These are the processes, procedures and systems in place for running an organisation in a coherent and consistent manner. This includes tangible assets and infrastructure (such as office space, computers, legal insurance, etc) as well as more intangible systems for making decisions and managing delegation internally. Many of the categories in this section are inter-linked.

	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<p><b>Planning, monitoring and evaluation systems – linked to aims and activities, eg advocacy needs as well as budgeting</b></p>	<p>Planning, monitoring and evaluation happens on an ad hoc basis only</p>	<p>1) Planning, monitoring and evaluation done regularly and uses some systematically collected data</p>	<p>1) Planning, monitoring and evaluation done regularly; 2) feedback mechanism exists for feeding in data as required to improve planning process</p>	<p>1) Regular, robust and integrated planning, monitoring and evaluation systems complemented by ad hoc planning when needed; 2) some data collected (eg baselines); 3) used systematically as feedback mechanism to improve planning</p>			
<p><b>Decision-making framework</b></p>	<p>Decisions made largely on an ad hoc and informal basis by one person and/or whoever is accessible</p>	<p>1) Decision-making process fairly well established but often breaks down and becomes informal</p>	<p>1) Clear, largely formal lines/systems for decision-making; 2) dissemination of decisions generally good but could be improved</p>	<p>1) Clear, formal lines/systems for decision-making; 2) involving as broad participation as practical and appropriate; 3) dissemination/interpretation of decision</p>			



<p><b>Financial operations management</b></p>	<p>Basic financial activities undertaken (eg gifts and grants deposited and acknowledged, bills paid, supporting documentation collected/retained)</p>	<p>1) Financial activities transparent, clearly and consistently recorded and documented and tracked to approve budget</p>	<p>1) Formal internal controls governing all financial operations (fully tracked, supported and reported); 2) attention paid to cash flow management</p>	<p>1) Robust systems and controls in place governing all financial operations; 2) integration with budgeting, decision making and organisational objectives/goals; 3) cash flow managed</p>		
<p><b>Human resources management</b></p>	<p>Standard career paths in place without considering staff development; no or very limited training, coaching and feedback</p>	<p>1) Some formal recruitment, development and retention of some staff in place with basic approach to training and appraisals</p>	<p>1) Recruitment, development and retention of key staff is priority; 2) relevant training, job rotation, coaching, feedback and performance appraisal are institutionalised and support staff progression</p>	<p>1) Recruitment, tailored development and retention of all staff is priority; 2) relevant training, job rotation, coaching, feedback and performance appraisal are institutionalised and support staff progression; 3) many elements of incentive system in place with clear effect in motivating staff</p>		
<p><b>Knowledge management</b></p>	<p>No formal systems to capture and document internal knowledge</p>	<p>1) Some systems exist in a few areas but either not user-friendly, or not comprehensive or known enough to have an impact</p>	<p>1) Systems exist in most areas and quite user-friendly and comprehensive; 2) but systems known by only a few people <b>or</b> only occasionally used</p>	<p>1) Well-designed, comprehensive user-friendly systems in most areas; 2) systems are known by many people within the organisation; 3) and often used</p>		

<p><b>External communication</b></p>	<p>No formal systems to communicate progress and messages to wider audience</p>	<p>1) Some systems exist (such as website, newsletter, etc) but not widely disseminated and only partially targeted</p>	<p>1) Systems exist, are used and targeted; 2) strategy in place to communicate with wide audience and receive some feedback</p>	<p>1) Systems exist, are well used and targeted; 2) strategy in place to communicate with wide audience and to receive feedback; 3) able to fully tailor messages to audience</p>		
<p><b>Infrastructure (office space and location, ICT – computers, software, email, database systems, etc)</b></p>	<p>Inadequate physical, data collection and communications infrastructure, resulting in clear loss of effectiveness and efficiency with impact on reputation and staff morale</p>	<p>Physical space (location, office size, etc), data collection (to support reporting and knowledge generation) and communications are basic but work well enough to meet most important and immediate needs</p>	<p>With minor improvements to equipment, logistics, etc, physical space, data collection and communications infrastructure generally work well enough to suit organisation's needs</p>	<p>Fully adequate physical, data collection and communications infrastructure clearly contributes to organisational effectiveness and efficiency</p>		
<p><b>Management of legal and liability matters</b></p>	<p>Organisation does not anticipate legal issues, but finds help and addresses issues individually when they arise</p>	<p>1) Legal support resources identified, readily available and employed on an 'as needed' basis</p>	<p>1) Legal support regularly available and consulted in planning; 2) routine legal risk-management and occasional review of insurance</p>	<p>1) Well-developed, effective and efficient internal legal infrastructure for day-to-day legal work; 2) additional access to general and specialised external expertise for extraordinary cases; 3) continuous legal risk-management and adjustment of insurance</p>		

## VI. Organisational structure

This lays out how the various units of an organisation interact with each other at all levels. An organogram, for example, captures visually how the units are linked and clarifies interdependencies. In practice, there should be clear roles and responsibilities for each unit to ensure coordination and synergy. Individuals fit into this structure and should have clear functions and job descriptions.

Vi. Organisational structure	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<p><b>Board governance</b></p>	<p>Board does not scrutinise budgets or audits, does not set performance targets and hold CEO accountable or does not operate according to formal procedures; Executive, Treasury, and Board functions unclear</p>	<p>1) Roles of legal Board are clear and functions according to by-laws including reviews of budgets, and occasionally sets organisational direction and targets</p>	<p>1) Roles of legal Board are clear and function relatively well including reviews of budgets, audits and state filings; 2) size of Board is reasonable with clear nomination process for members</p>	<p>1) Roles of legal Board are clear and function well including reviews of budgets, conflicts of interest, audits and state filings; 2) size of Board generally set for maximum effectiveness with clear nomination process; 3) supports and actively manages targets and performance of CEO</p>			

<p><b>Organisational design</b></p>	<p>Roles and responsibilities of organisational entities (eg headquarters, regional and local offices) are neither formalised nor clear; absence of organisation chart</p>	<p>1) Most roles and responsibilities of organisational entities are formalised and some are defined but may not reflect organisational realities</p>	<p>1) Roles and responsibilities of organisational entities are formalised and defined but may not reflect organisational realities; 2) organisation chart is complete (but old)</p>	<p>1) Roles and responsibilities of all organisational entities are formalised and clear; 2) and complement each other; 3) and organisation chart is complete and reflects current reality</p>			
<p><b>Interfunctional coordination</b></p>	<p>Different programmes and organisational units function in silos; little or dysfunctional coordination between them</p>	<p>1) Clear definitions of how units should be working together and some evidence of this working</p>	<p>1) Interactions between different programmes and organisational units are generally good; 2) some pooling of resources</p>	<p>1) All programmes and units function together effectively; 2) with sharing of information and resources; 3) few coordination issues</p>			
<p><b>Individual job design</b></p>	<p>Lack of positions created to address a number of key roles (eg Chief Financial Officer, HR, Learning and Measurement); unclear roles and responsibilities with many overlaps; job descriptions do not exist</p>	<p>1) Some key positions well-defined and have basic job descriptions</p>	<p>1) Positions exist for most key roles, with few still missing; 2) most key positions are well-defined and have job descriptions but some unclear accountabilities or overlap in roles and responsibilities</p>	<p>1) All key roles have associated positions; 2) most individuals have well-defined roles with clear activities and reporting relationships and minimal overlaps; 3) job descriptions are redefined to allow for development and individuals' growth</p>			

## VII. Culture

Organisational culture comprises the customs, rituals and values shared by the members of an organisation that have to be understood and accepted by new members. It can range from common dress codes to perceptions of time-keeping. Organisational culture can be developed positively to ensure that diversity is welcomed and communications are open. This is especially vital for network organisations where the interactions between members are what drive the network and make it effective.

VII. Culture	1) Clear need for increased capacity	2) Basic level of capacity in place	3) Moderate level of capacity in place	4) High level of capacity in place	Why was the grade chosen? <i>Showing evidence</i>	What actions are required and by whom to reach a higher grade? <i>Changes desired</i>	Timeframe and budget implications
<p><b>Shared values, references and practices</b></p>	<p>No common set of basic beliefs, values, practices or common references exist within organisation (such as traditions, unwritten rules, stories, role models, symbols, language, dress, etc)</p>	<p>1) Common set of basic beliefs, references and practices exists in some groups within the organisation, but not shared broadly</p>	<p>1) Common set of basic beliefs, references and practices held by many people; 2) beliefs are aligned with organisational purpose and sometimes used</p>	<p>1) Common set of basic beliefs, references and practices; 2) provides members with sense of identity; 3) beliefs aligned with organisational purpose and harnessed to produce impact</p>			
<p><b>Culture of open discussion where diversity of opinion is welcomed</b></p>	<p>Space for discussion may be provided but other opinions are seen as a threat; 'culture of silence'</p>	<p>1) Space for discussion provided with evidence of consultation having an impact on the organisation</p>	<p>1) Space provided on a regular basis to share/learn; 2) professional culture of effectively sharing opinions through participation</p>	<p>1) Space provided to share/learn; 2) professional culture of listening, participation and clear attempts for building consensus; 3) diverse views contribute to strategic decision-making</p>			

---

# Annex – The capacity needs assessment tool categories

## I. Aspirations

- Mission
- Clarity of vision
- Boldness of vision
- Overarching goals

## II. Strategy

- Overall strategy
- Goals/performance targets
- Programme relevance and integration
- Programme growth and replication
- New programme development
- Funding model
- Engaging government (in any context: local, state, federal)

## III. Organisational skills

- Performance measurement/analysis and programme adjustments
- Understand context and contribution of relevant stakeholders
- Overall strategic planning (financial, operational and human resources)
- Fundraising and revenue generating
- Partnership/alliances development and nurturing
- Local community presence and involvement
- Influencing policy-making

## IV. Human resources

- Staffing levels
- Board: composition and commitment
- Board: involvement and support
- Executive Director/Senior Management Team: passion and vision, interpersonal skills, analytical strategic and financial judgement
- Leadership/effectiveness
- Experience and standing
- Management Team and staff: dependence on CEO/Director
- Senior Management Team
- Staff: ability to fulfil various roles that cover all aspects of operations
- Volunteers



## **V. Systems and infrastructure**

- Planning, monitoring and evaluation systems: linked to aims and activities, eg advocacy needs as well as budgeting
- Decision-making framework
- Financial operations management
- Human resources management
- Knowledge management
- External communications
- Infrastructure (office space and location, ICT – computers, software, email, database systems, etc)
- Management of legal and liability matter

## **VI. Organisational structure**

- Board governance
- Organisational design
- Inter-functional coordination
- Individual job design

## **VII. Culture**

- Shared values, references and practices
- Culture of open discussion where diversity of opinion is welcomed

---

## Notes





**WaterAid**  
47–49 Durham Street  
London, SE11 5JD, UK  
Tel: +44 (0) 20 7793 4500  
Fax: +44 (0) 20 7793 4545  
Email: [wateraid@wateraid.org](mailto:wateraid@wateraid.org)

**[www.wateraid.org](http://www.wateraid.org)**

Registered charity numbers 288701 (England and Wales) and SC039479 (Scotland)