

CARE SOMALIA/SS
ORGANISATIONAL CAPACITY ASSESSMENT TOOL (OCAT-1)
FOR LOCAL PARTNER NGOs

NAME OF ORGANIZATION: _____

DATE OF ASSESSMENT: _____

CONDUCTED BY: _____

Names of interviewees:

- | | |
|----------|-----------------|
| 1. _____ | Position: _____ |
| 2. _____ | Position: _____ |
| 3. _____ | Position: _____ |
| 4. _____ | Position: _____ |
| 5. _____ | Position: _____ |
| 6. _____ | |

Assessment scores:

- 1- Not functioning, needs urgent attention
- 2- Unsatisfactory, needs major improvements
- 3- Needs Improvements
- 4- Adequate, room for some improvements
- 5- Excellent, needs maintaining

1. INSTITUTIONAL SET-UP

| | Indicators | Score | | | | | Remarks |
|---|--|-------|---|---|---|---|---------|
| | | 1 | 2 | 3 | 4 | 5 | |
| 1 | NGO is formally registered with the relevant legal authority. | | | | | | |
| 2 | A clear governing document/ constitution that govern the NGOs operations are in place. | | | | | | |
| 3 | An organizational structure/chart has been written down. | | | | | | |
| 4 | The organization's structure is clear and understood by the members. | | | | | | |
| 5 | The structure is functioning well. | | | | | | |
| | AVERAGE SCORE | | | | | | |

2. GOVERNANCE

| | Indicators | Score | | | | | Remarks |
|---|--|-------|---|---|---|---|---------|
| | | 1 | 2 | 3 | 4 | 5 | |
| 1 | NGO has a functional board or governing body. | | | | | | |
| 2 | Board meets on a regular basis. | | | | | | |
| 3 | The roles and functions of the board are written down and understood. | | | | | | |
| 4 | The organizations members are consulted and participate in decision-making. | | | | | | |
| 5 | The organizations leaders and board members are accountable to its members (GB). | | | | | | |
| 6 | Systems are in place to ensure appropriate involvement of all levels of staff in decision making.. | | | | | | |
| 7 | Annual general meeting (AGM) for the organizations members is held. | | | | | | |
| 8 | Trustees of the board are elected by the AGM | | | | | | |
| | AVERAGE SCORE | | | | | | |

3. STRATEGIC PLANNING

| | Indicators | Score | | | | | Remarks |
|---|---|-------|---|---|---|---|---------|
| | | 1 | 2 | 3 | 4 | 5 | |
| 1 | Clear and consistent vision and mission statements exists that provide focus and direction. | | | | | | |
| 2 | Members understand the vision and mission of the organization. | | | | | | |
| 3 | Organizational values and principles exist and have been written down. | | | | | | |
| 4 | A clear long-term (3-5 years) strategic plan document is in place. | | | | | | |
| 5 | Key stakeholders (including beneficiaries) have been involved in developing the strategic plan. | | | | | | |
| | AVERAGE SCORE | | | | | | |

4 FINANCE & ADMINISTRATION

| | Indicators | Score | | | | | Remarks |
|---|---|-------|---|---|---|---|---------|
| | | 1 | 2 | 3 | 4 | 5 | |
| 1 | Clear financial policies and procedures | | | | | | |

| | | | | | | | | | |
|----|---|--|--|--|--|--|--|--|--|
| | exist and are written down. | | | | | | | | |
| 2 | Financial and administrative procedures are adhered to. | | | | | | | | |
| 3 | Budgets are prepared for all of the costs of running the organization, every year. | | | | | | | | |
| 4 | Supporting documents and bank statements are available for every transaction of the current year. | | | | | | | | |
| 5 | All transactions are recorded in a cashbook. | | | | | | | | |
| 6 | A standard Chart of Accounts is used to code all the financial transactions in the cashbooks. | | | | | | | | |
| 7 | Financial duties are split between different members of staff. | | | | | | | | |
| 8 | All cash kept in the office is kept in a locked cash box or safe. | | | | | | | | |
| 9 | Stock control systems exist and are followed | | | | | | | | |
| 10 | NGO is accurate and timely in the submission of financial reports. | | | | | | | | |
| 11 | Audits are conducted on a regular basis (internal 2 x year, external 1 x year). | | | | | | | | |
| 12 | Supply Chain Management System is in place and functional to address emergency need and Scale up. | | | | | | | | |
| 13 | Security SOPs and management is in place and functional to address emergency need. | | | | | | | | |
| | | | | | | | | | |
| | AVERAGE SCORE | | | | | | | | |

5. HUMAN RESOURCES

| | Indicators | Score | | | | | Remarks |
|---|---|-------|---|---|---|---|---------|
| | | 1 | 2 | 3 | 4 | 5 | |
| 1 | A clear human resource management policy document is in place | | | | | | |
| 2 | Job descriptions exist for all staff and are clearly defined. | | | | | | |
| 3 | Staff members understand their roles and know how to perform. | | | | | | |
| 4 | NGO has a functional system in measuring and evaluating staff | | | | | | |

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|----|---|--|--|--|--|--|--|
| | performance. | | | | | | |
| 5 | The organization has clear policies on pay and reward, which are consistently followed. | | | | | | |
| 6 | The organization identifies staffs training needs and provides opportunities for staff development. | | | | | | |
| 7 | Recruitment processes are transparent, fair and competitive. | | | | | | |
| 8 | Grievances and conflict resolution procedures exist. | | | | | | |
| 9 | Disciplinary procedures are in place and functional. | | | | | | |
| 10 | Health and safety policy is in place | | | | | | |
| | AVERAGE SCORE | | | | | | |

6. ORGANISATIONAL CULTURE

| | Indicators | Score | | | | | Remarks |
|----|--|-------|---|---|---|---|---------|
| | | 1 | 2 | 3 | 4 | 5 | |
| 1 | There is a common factor binding the members of the organization together. | | | | | | |
| 2 | Staff members are interested and contribute to the organizations existence and development. | | | | | | |
| 3 | There is no significant distance and inequality between those in charge and the subordinates. | | | | | | |
| 4 | There is a fair representation of men and women, age and ethnicity at all levels in the organization. | | | | | | |
| 5 | Team work exist and is very fruitful | | | | | | |
| 6 | Staff is encouraged to take initiative and be pro-active. | | | | | | |
| 7 | Staff well being, quality of life and caring for colleagues take an important place in day to day operations of the NGO. | | | | | | |
| 8 | The office environment is conducive to work in | | | | | | |
| 9 | Staff is committed and motivated in their work | | | | | | |
| 10 | Organization has a code of conduct, GED policy written down and functional. | | | | | | |

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| | AVERAGE SCORE | | |
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7. INDIVIDUAL SKILLS & COMPETENCES

| | Indicators | Score | | | | | Remarks |
|---|---|-------|---|---|---|---|---------|
| | | 1 | 2 | 3 | 4 | 5 | |
| 1 | The management have the leadership skills (and qualifications) needed to carry out all managerial activities. | | | | | | |
| 2 | The finance staff have the skills (and qualifications) needed to carry out all financial activities. | | | | | | |
| 3 | Program officers have good technical expertise for the relevant sectors they work in. | | | | | | |
| 4 | Program officers have excellent facilitation skills for training community members. | | | | | | |
| 5 | Staff possesses sound basic communication skills (e.g. listening, presenting, interviewing, feedback etc.) | | | | | | |
| 6 | Staff is skilled in effective meeting management. | | | | | | |
| 7 | Majority of staff is fluent in English speaking and writing. | | | | | | |
| 8 | Majority of staff is computer literate | | | | | | |
| 9 | Key staff has quality report writing skill | | | | | | |
| | AVERAGE SCORE | | | | | | |

8. INTERNAL COMMUNICATION

| | Indicators | Score | | | | | Remarks |
|---|---|-------|---|---|---|---|---------|
| | | 1 | 2 | 3 | 4 | 5 | |
| 1 | NGO management conduct regular staff meetings | | | | | | |
| 2 | The organization keeps a record of major decisions, activities, minutes and progress reports. | | | | | | |
| 3 | Systems are in place to ensure information sharing among all staff | | | | | | |
| 4 | NGO staff has sufficient access to sources of information (such as standard manuals, internet/email etc.) | | | | | | |
| 5 | An efficient filing system is in place | | | | | | |
| | AVERAGE SCORE | | | | | | |

9. FACILITIES & EQUIPMENT:

| | Indicators | Score | | | | | Remarks |
|---|---|-------|---|---|---|---|---------|
| | | 1 | 2 | 3 | 4 | 5 | |
| 1 | The organization has adequate working space to support its activities. | | | | | | |
| 2 | Equipment and stationary are sufficient for the basic work of the organization. | | | | | | |
| 3 | NGO has sufficient transport means to conduct work. | | | | | | |
| 4 | NGO has sufficient communication tools (such as telephones and internet) | | | | | | |
| | AVERAGE SCORE | | | | | | |

10. PROGRAM MANAGEMENT & SERVICE DELIVERY

| | Indicators | Score | | | | | Remarks |
|---|--|-------|---|---|---|---|---------|
| | | 1 | 2 | 3 | 4 | 5 | |
| 1 | NGO can design and write good project proposals. | | | | | | |
| 2 | Staff is familiar with use of key tools for community needs assessment and Rapid Assessment in emergencies. | | | | | | |
| 3 | NGO applies participatory methods and demonstrates community participation in planning and decision making. | | | | | | |
| 4 | NGO is familiar with Log frame methodology and use it for M&E activities to ensure project objectives achieved.. | | | | | | |
| 5 | Clear individual work plans for all staff, and an annual work plan for the program are in place. | | | | | | |
| 6 | NGO has an effective participatory Monitoring & Evaluation system that is being implemented. | | | | | | |
| 7 | Staff is skilled in report writing and has the ability to write clear and concise reports in time. | | | | | | |
| 8 | Programs are delivered efficiently, making the best use of resources available. | | | | | | |
| 9 | Programs are cost effective | | | | | | |

| | | | | | | | |
|----|---|--|--|--|--|--|--|
| 10 | Services are delivered timely. | | | | | | |
| 11 | Cross-cutting issues are mainstream in program management (Coordination, DRR, Environment, Gender and Targeting) | | | | | | |
| 12 | Key staff has knowledge of Sphere and HAP standards and are applied during program management. | | | | | | |
| 13 | Staff is aware and using accountability principals during work. | | | | | | |
| 14 | Staff is aware of Conflict sensitivity and Do NO Harm policies... | | | | | | |
| 15 | Do staff aware about beneficiaries data management (desegregated: age and sex) | | | | | | |
| 16 | AOP | | | | | | |
| 17 | What is the organization CORE competency (WASH, Health/Nutrition, Food Distribution, NFIs dist, Shelter, protection and Advocacy etc) | | | | | | |
| | AVERAGE SCORE | | | | | | |

11. PUBLICITY & FUNDRAISING

| | Indicators | Score | | | | | Remarks |
|---|---|-------|---|---|---|---|---------|
| | | 1 | 2 | 3 | 4 | 5 | |
| 1 | NGO has a fundraising strategy document and implements it. | | | | | | |
| 2 | The NGO is aware of the existing sources of funding | | | | | | |
| 3 | NGO mobilizes support from local sources | | | | | | |
| 4 | NGO has multiple sources of funding | | | | | | |
| 5 | The NGO has some savings and reserve for a time of funding shortfall | | | | | | |
| 6 | NGO is raising money through income generating activities. | | | | | | |
| 7 | NGO organizes public events for fundraising. | | | | | | |
| 8 | NGO receives private, individual donations. | | | | | | |
| 9 | Information on the NGOs activities are publicly disseminated (e.g. newsletter, brochures, organizational profile, annual reports etc.). | | | | | | |

| | | | | | | | | |
|----|---|--|--|--|--|--|--|--|
| 10 | The organization is visible within the community (display/signboard, logo, T-shirt, caps, stickers etc.). | | | | | | | |
| | AVERAGE SCORE | | | | | | | |

12. EXTERNAL RELATIONS & NETWORKING

| | Indicators | Score | | | | | Remarks |
|---|---|-------|---|---|---|---|---------|
| | | 1 | 2 | 3 | 4 | 5 | |
| 1 | The NGO has a good relationship and works together with government departments. | | | | | | |
| 3 | There is support and goodwill from the community for the organization. | | | | | | |
| 4 | NGO cooperates and shares resources with other LNGOs and community. | | | | | | |
| 5 | NGO cooperates and shares resources with the international community (UN, NGOs). | | | | | | |
| 6 | NGO has relations with the private sector (businesses) for technical, material or human resources. | | | | | | |
| 7 | NGO is part of coordination networks and plays an active role in promoting it. | | | | | | |
| 8 | NGO has the ability to maintain sustainable and fruitful relationships with other parties (community, government and clusters etc). | | | | | | |
| 9 | NGO has agreements or MoUs with external parties that are not based on funding (strategic partnership). | | | | | | |
| | AVERAGE SCORE | | | | | | |

Any other issues, not mentioned in this questionnaire, that are regarded weak in the institution and should be enhanced?

| | | | | | | | |
|---|--|--|--|--|--|--|--|
| 1 | Organization staff aware of Code of Conduct of the Red Cross and Red Crescent Movement and NGOs in Disaster Relief | | | | | | |
| 2 | | | | | | | |
| 3 | | | | | | | |
| 4 | | | | | | | |
| 5 | | | | | | | |
| 6 | | | | | | | |

TOTAL SCORE LIST

| S# | Topic | Score | Comments |
|----|---------------------------------------|-------|----------|
| 1 | Institutional set-up | 0 | |
| 2 | Governance | 0 | |
| 3 | Strategic Planning | 0 | |
| 4 | Finance & Administration | 0 | |
| 5 | Human Resources | 0 | |
| 6 | Organizational Culture | 0 | |
| 7 | Individual Skills & Competences | 0 | |
| 8 | Internal Communication | 0 | |
| 9 | Facilities & Equipment | 0 | |
| 10 | Program management & Service delivery | 0 | |
| 11 | Publicity and fundraising | 0 | |
| 12 | External relations & Networking | 0 | |
| | | | |
| | | | |

Overall Capacity Assessment score: -----0-----

Findings and Recommendations:

- Institutional set-up
- Governance
- Strategic Planning
- Finance & Administration
- Human Resources
- Organizational Culture
- Individual Skills & Competences
- Internal Communication
- Facilities & Equipment
- Program management, Service delivery & sustainability
- Publicity and fundraising
- External relations & Networking