International HIV/AIDS Alliance

Supporting community action on AIDS in developing countries

INTERMEDIARY ORGANISATIONS CAPACITY ANALYSIS

A toolkit for assessing and building capacities for high quality responses to HIV

Civil society organisation capacity analysis series

Building the organisational, HIV technical, and policy capacity of civil society organisations is key to planning and delivering high-quality responses to HIV. The International HIV/AIDS Alliance (the Alliance) works with its civil society partners to ensure that they have the skills and strategies needed to make effective contributions to national HIV efforts as implementers and supporters of community-based action.

The Alliance has developed a series of toolkits to support the capacity analysis and capacity development of the following types of civil society organisation:

- **community-based organisations (CBOs)**
- **non-governmental organisations (NGOs)**
- **networks**
- **intermediaries (organisations that support CBOs, NGOs and networks).**

These toolkits provide structured approaches to the participatory identification of capacity building needs and planning of responses. They allow users to generate both quantitative and qualitative baselines which can be used to track progress in organisational development.

The Alliance also publishes a range of complementary materials on organisational development, technical HIV issues, and policy and advocacy which can be used to support capacity development efforts subsequent to analysis. To view these resources, please visit the Alliance website: **www.aidsalliance.org** and the NGO support website **www.ngosupport.net**

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Contents

1 Introduction

1.1 What is this toolkit?

This toolkit provides a range of tools for analysing the capacity of intermediary organisations. It can be used to identify capacity building needs, plan technical support interventions and monitor and evaluate the impact of capacity building. It is designed to be flexible so that it can be adapted to meet the needs of different organisations.

It provides:

- quantitative methods to determine scores for capacity indicators, and qualitative methods to capture more dynamic issues and perceptions of staff
- self-assessment techniques to encourage better ownership of results
- objective criteria, useful for external evaluations
- multiple instruments for triangulation to develop a comprehensive picture of capacity from different perspectives and assess the level of consensus over issues
- a list of indicators, weighted for importance. These can also be used as a basis to design other analysis tools.

This toolkit is designed to be flexible and adapted for use to meet the needs of different organisations. It provides a range of tools for analysing and building capacity in five different capacity areas. Depending on the needs, the organisation can decide on the scope of the analysis and choose from a variety of tools to fit the intended scope.

1.2 Who is this toolkit for?

It is primarily intended for use by any organisation providing financial and/or technical support to grassroots HIV organisations. This may be a national or regional NGO or a network providing support to groups of NGOs and/or CBOs. It is most relevant to established organisations with a track record of grant disbursement and several existing NGO/CBO partners. For example,

- It could be used by organisations (with or without an external facilitator) to identify their own capacity building needs, plan technical support interventions, and monitor and evaluate the impact of capacity building.
- It could be used by an international organisation to analyse the capacity of its partners, using participatory processes.
- It could be used by international organisations and global mechanisms (such as the Global Fund to Fight AIDS, Tuberculosis and Malaria ('the Global Fund')) to identify credible lead partners and principal recipients.

1.3 Why was this toolkit developed?

In recent years, the need for effective community-based HIV programmes has increased steadily. Intermediary civil society organisations play a significant role in building community responses by establishing partnerships with selected grassroots organisations. Through a capacity building programme of grants and/or technical support, they support community responses in scaling up their HIV programmes. Increasingly, intermediary organisations are also required to develop their own capacity to undertake this work. This toolkit was developed to help them achieve this.

It focuses on:

- the capacity to identify and select effective and accountable NGOs/CBOs and support them financially using transparent and efficient sub-granting mechanisms
- the capacity to provide effective and appropriate technical support on HIV to NGO/CBO partners
- the capacity to positively influence national and local institutions that have an impact on the HIV epidemic and national responses to it.

1.4 How was this toolkit developed?

As with the complete series of Alliance capacity analysis tools, it is based on the premise that participatory self-assessment approaches enhance ownership, and that the assessment process should be seen as capacity building in its own right. Within this approach, the tools and indicators have been specifically tailored to key capacities of intermediary groups.

The first draft, developed in consultation with Alliance partners and staff, was field-tested from 2005 to 2007. This resulted in considerable feedback from civil society groups, which has been incorporated.

1.5 What this toolkit doesn't do

This toolkit has a number of limitations and is useful only to the extent that users are committed to honest and critical reflection. There are several drawbacks to the group self-assessment process that can bias the results, including:

- participants leaving and re-joining sessions due to other commitments
- a reluctance to give low scores or be openly critical
- a tendency to agree with the most senior or dominant person in the room
- a tendency to cluster responses from a scale of 1 to 5 at around 2, 3 and 4.

The toolkit seeks to minimise the impact of these drawbacks by providing a range of tools, enabling triangulation of results from different sources. It also introduces the idea of using a 'probe' – a person nominated by the group to actively challenge opinions and constantly draw out constructive criticism.

Finally, it should be emphasised that participatory approaches take time. Groups should allocate sufficient time and resources in order for the tools to be used effectively.

1.6 What is capacity?

Organisational capacity has been described as the 'ability (of an organisation) to successfully apply its skills and resources to accomplish its goals and satisfy its stakeholders' expectations'.[1] Capacity can be seen as a function of many different factors. Individual capabilities, ways of organising, cultural norms and physical assets all combine to enable an organisation to work towards its mission. The availability of physical assets, however, may contribute little to capacity beyond what is needed for the scope and scale of the mission. This toolkit emphasises the value of other factors contributing to capacity, and aims to ensure, as far as possible, that it remains relevant for both new and established organisations.

It identifies five areas of capacity essential to an organisation whose primary function is to support other NGOs and CBOs to deliver effective HIV programmes and services. The first two areas relate to an organisation's internal functioning; the other three relate to its external-facing role as an intermediary:

Governance and programme management
These are the systems, structure and culture of an organisation that contribute towards achieving its mission in the immediate and long term. This capacity area is broken down into 'Governance, strategy and structure', 'Programme management and reporting' and 'Inclusion and accountability to people living with HIV and other affected communities'.

Finance, administration and sustainability
The financial and administrative structures, policies and procedures that contribute towards accountability, efficacy and sustainability in the longer term. This capacity area is broken down into 'Financial management and accountability', 'Human resources and administration' and 'Financial and programmatic sustainability'.

Influencing the institutional landscape
The capacity to positively influence national and local institutions that have an impact on the HIV epidemic and national response. This capacity area is broken down into 'Awareness of and collaboration with other organisations', 'Research, learning and dissemination' and 'Organisational credibility and policy influence'.

Technical support provision
The capacity to provide effective and appropriate technical support on HIV and other areas to NGO/CBO partners. This capacity area is broken down into 'Technical support skills in HIV and organisational development', 'Technical support approaches, attitudes and effectiveness' and 'Access to resources and knowledge'.

Grant-making
The capacity to identify and select effective and accountable NGO/CBO partners and support them financially using transparent and efficient granting mechanisms. This capacity area is broken down into 'Strategic partner identification and mobilisation' and 'Grant management'.

For most organisations, all five areas of capacity will complement and reinforce each other, and combine to enhance the sustainability, quality, integrity and impact of interventions.

1.7 How this toolkit is structured

The tools provide guidance, notes and materials to help analyse the organisation. The sections are:

2 Defining the purpose and process of the analysis
You should clearly define the aim and scope of the capacity analysis from the outset. Staff and stakeholders should be involved in an initial meeting to clarify why capacity is being analysed, how the analysis will be done and how the results will be used.

3 Developing a profile of the NGO
A concise profile of the organisation may provide useful reference information. A profile template suggests key information that may be collected.

4 Internal focus group schedules
The core organisational functions ('Governance and programme management' and 'Finance, administration and sustainability') are explored

[1] Horton, D. et al. (2003) *Evaluating Capacity Development: Experiences from research and development organisations around the world*, International Service for National Agricultural Research (ISNAR); International Development Research Centre (IDRC); Technical Centre for Agricultural and Rural Cooperation (CTA)

through focused discussions between small but representative staff groups. At the end of the discussions, participants score each capacity area individually and the scores are averaged to produce a consensus score. The process is guided by two focus group schedules.

5 Workshop modules
The service delivery functions of the organisation ('Influencing the institutional landscape', 'Technical support provision' and 'Grant-making') are explored through three workshop modules, designed to include all staff. Each module involves a discussion-based activity, followed by a group scoring exercise. Each area of capacity has an associated set of indicators that participants use to rate their own organisation's capacities.

6 External review guides
Stakeholder organisations can provide valuable insights into whether internal perceptions of capacity are shared by those outside the organisation. This section provides four template questionnaires designed for completion by external stakeholders such as NGO/CBO partners, donors and other international NGOs.

7 Document review
An analysis of organisational documentation can provide objective evidence with which to verify discussion-based results. This section provides a series of templates for reviewing the completeness and quality of relevant supporting documents.

8 Synthesis meeting
The capacity analysis process may have involved various staff and employed a range of tools. The synthesis meeting provides an opportunity to bring staff together to reflect on results and build an overall consensus view.

9 Capacity analysis report
The analysis should generate rich discussion and much information about the organisation. The report template aims to capture these findings in detail, as well as documenting the agreed action plan. This report could have many uses: to provide a baseline for evaluating future capacity development, to inform prospective donors and as a valuable internal reference for the future.

2 Defining the purpose and process of the analysis

2.1 Purpose of the tool

To help clarify why your organisation is analysing its capacity, how the analysis will be done and how the results will be used.

2.2 Introduction

An important first step is for management and facilitators to meet and agree on the aim and scope of the capacity analysis and the process to be followed. This applies whether you intend to use self-assessment (with internal facilitators) or use outside facilitators. This should be followed by a meeting with all staff to explain why the analysis is being conducted, and to clarify the process. Those steering the analysis should ensure that everyone within the organisation feels happy, open and comfortable with the process.

2.3 How to use the tool

You should address the following questions during initial planning meetings:

➜ Aim and scope

- What is the purpose of the capacity analysis exercise (see Notes)?
- What is the desired scope of the analysis (e.g. limited or full)?
- What is the intended use of the information generated in the final capacity analysis report?

➜ Process and methods

- Who will manage the process and facilitate the focus groups and/or workshop?
- Will external facilitators be used? If yes, how will they be identified?
- Given the agreed scope of the analysis, what capacity areas should be covered and which tools should be used to look at each capacity area (see Notes)?
- Who will participate in sessions with each of the selected tools?
- What logistical considerations need to be addressed (scheduling, costs, venue, etc.)?

➜ Notes

The purpose of the analysis could be: to identify capacity building needs, to establish a baseline level of capacity prior to receiving capacity building support, to evaluate a programme of capacity building support, as an intervention in itself to help the organisation better understand capacity.

Depending on the overall purpose, the organisation can decide on the scope of the analysis and choose from a menu of tools to fit the intended scope. The table below provides suggested 'menus' for a limited, moderate or full capacity analysis. The final column suggests additional tools that might be used by an external assessment team.

		Menus for a limited, moderate or full capacity analysis			
Tool	**Capacity area**	**Limited scope**	**Moderate scope**	**Full analysis**	**External assessment**
Organisation profile				✔	✔
Focus group sessions	• Governance and programme management	✔	✔	✔	
	• Finance, administration and sustainability	✔	✔	✔	
Workshop modules	• Influencing the institutional landscape		✔	✔	
	• Technical support provision	✔	✔	✔	
	• Grant-making	✔	✔	✔	
External review	• Finance, administration and sustainability			✔	
	• Influencing the institutional landscape			✔	
	• Grant-making		✔	✔	
	• Technical support provision		✔	✔	
Document reviews	• Governance and programme management			✔	
	• Finance, administration and sustainability		✔	✔	✔
	• Grant-making		✔	✔	✔
Synthesis meeting		✔	✔	✔	
Indicator checklists					✔

3 Developing a profile of the NGO

3.1 Purpose of the tool

To document basic information about the history, structure and scope of work of the organisation.

3.2 Introduction

If the analysis is being conducted by external facilitators, it is important that they meet with the leadership of the intermediary to find out basic information. A good understanding of the organisation will help the facilitation team to ask relevant, probing and sensitive questions during the assessment process. Even if the analysis is being conducted internally, an organisational profile will provide valuable information to include in a capacity analysis report designed for external distribution. A profile can also provide useful information for future providers of technical support.

3.3 What the tool includes

A template for recording basic information about the organisation.

3.4 How to use the tool

- Those steering the assessment process should agree on whether a profile is necessary.
- Developing a profile of the organisation includes: documenting the background of the NGO or network, providing details of its main programmes and activities and highlighting some key achievements and challenges.
- It may be possible to develop a profile from documents such as annual reports or introductory leaflets. If a succinct description of the organisation exists elsewhere, this may be used in place of a profile.

3.5 Organisational profile checklist

The following template can be used to document information about the organisation. Answer questions as fully as possible, with examples and quotes if possible. The template is intended as a guide; questions may be added or omitted, and the space expanded to allow more detailed answers.

Developing a profile of the NGO

1. Name/title of the NGO Include abbreviation if there is one

2. When established
When was the NGO set up?

3. Contact details of the NGO
Include the name of the director, postal address, telephone/fax numbers and email

4. Locations where the NGO works Include contact details of branch/regional offices if applicable

5. Strategy and structure
The NGO vision, mission and objectives; basic organisational structure; lines of responsibility and reporting

6. Human resources
Number of full/part-time paid staff; number of full/part-time volunteers

7. Financial resources
Approximate annual income/turnover; major donors

8. Support
Existing sources of external technical support

9. Programme activities

Provide an outline of the programme of support to NGO/CBO partners, including objectives and key activities. If the organisation implements any programmes directly in addition, list key objectives and activities.

10. Overview of partners

Who are the main partner organisations that the NGO supports, and what are their main activities?

11. Achievements and challenges

What are the key successes and challenges that the NGO has faced over the past year?

12. Context in which organisation operates

Briefly describe the context to the programme. Summarise the key features of the national epidemic; describe the national response, including current gaps in service provision. How do the organisation's activities fit into this context?

13. Date and name of person completing profile

/ /

This is useful, so that others know how up-to-date the information is and who to contact for any clarifications.

4 Internal focus group schedules

4.1 Purpose of the tool

To analyse and evaluate core organisational functions such as administration and finance.

4.2 What the tool includes

There are focus group schedules for two capacity areas: 'Governance and programme management', and 'Finance, administration and sustainability'. Each schedule comprises a series of open questions designed to generate discussion. These are followed by a series of individual indicator sheets, which participants use to confidentially rate each capacity area. The final score for the capacity area is calculated as the average of the individual scores.

4.3 How to use the tool

It is primarily designed for use by a small group of individuals in a focused group discussion, but it can also be adapted for use as an interview guide with key individuals. (At the end of the interview, the interviewee can be handed the indicator sheets to score privately.)

➜ Setting up the group

- Where there are sufficient staff numbers and two skilled facilitators, time can be saved by running the focus group sessions in parallel.
- The venue should be quiet and private. Participants should not be allowed to wander in and out to answer phone calls!
- Careful thought should be given to the choice of participants. The group should reflect a range of views, experiences and roles within the organisation. It should not just involve senior staff, but participants should be familiar enough with the capacity area to contribute to the discussion in an informed way. Aim for groups of six to eight participants.

➜ Facilitating the group

- A facilitator should be appointed, either from within the organisation or externally. The facilitator is central to the success of the session. They should not take part in the discussion, but rather guide it. Responsibilities of the facilitator include:
  - ensuring that all views are heard and respected. This includes being sensitive to existing hierarchies and ensuring that more senior members do not intimidate their juniors
  - ensuring that the discussion remains focused and not letting participants become embroiled in the detail of a side issue or ongoing disagreement
  - generating positive and productive group interaction. This includes probing for further information and asking the group to respond to statements by an individual (using questions such as, 'What do the others feel about that?')
  - encouraging critical reflection and guarding against the group tendency to provide only positive responses
  - recording the main points of the conversation. Key points can be noted as they are made, either on a flipchart or in a notebook. The facilitator should check that everyone is happy for notes to be taken and should emphasise that comments and views will be anonymous. Immediately after the session, the facilitator should write a summary of the discussion for the final capacity analysis report.

➜ Scoring the indicators

- Each participant should individually score the indicators. All the indicators can be scored at the end of the session, or the relevant set of indicators can be scored at the end of each section.
- Hand out the list of indicators for each sub-area to every participant. Review the list briefly and, as a group, clarify any indicators that are not clear to participants.
- Participants should give a numerical score for every indicator based on the preceding discussion and on their personal views. Scores are designed to indicate the degree of action required in order for each statement to be completely true for the organisation:

  DK Don't know or not applicable
  1 Needs urgent attention
  2 Needs major improvement
  3 Satisfactory, but room for improvement
  4 Good, but a few small things could be improved
  5 Exemplary – cannot be improved

- Encourage participants to be as objective as possible. Although difficult, a frank and critical approach will mean that the final scores are more meaningful and useful to the organisation. In particular, participants should think carefully before assigning a '5' – is there really no room for improvement?
- Where the indicator includes an 'and' clause (for instance, 'There is representation of gender and different ethnic groups on the staff'), both conditions must be met in order to score 'Satisfactory' or above.
- It may be helpful to work through an example with participants beforehand. For instance, if the statement is 'The office is adequately equipped', the ratings might be understood as follows:

  1 – Needs urgent attention. There is a substantial lack of essential equipment such as desks, chairs, computers, telephones and vehicles. Staff are unable to carry out their work properly as a result.

2 – Needs major improvement. Most essential equipment is available, but is either old, of poor quality and/or in insufficient quantity. Office is overcrowded and staff often have to share equipment.

3 – Satisfactory, but room for some improvement. All essential equipment is there, but several items need replacing and staff sometimes have to share equipment.

4 – Good, but a few small things could be improved. All essential equipment is there, but a few items need replacing and the office would benefit from having more computers and vehicles.

5 – Exemplary – cannot be improved. The office has everything it requires and the equipment is of a high standard. There is no way in which the office equipment could be improved.

- Emphasise that the score sheets are anonymous. Participants should not put their name or any other identifying information on the sheet.
- Explain that after the session the sheets should be given to the facilitator, who will work out the group score for each indicator. The group score for each indicator can be calculated as the average of the individual scores, rounded to the nearest 0.5.
- When calculating the average score, individuals answering 'DK' should be excluded from the denominator.
- To get the overall score for the sub-area, take the average score for all the indicators in the sub-area. The facilitation team may prefer to report on individual indicators, rather than averaging over the sub-area.
- A chart for recording and analysing scores is provided on page 63.
- The group scores for individual indicators and for the capacity sub-area should be fed back to the group after the session.

➜ Introductions/warm-up

Before starting the exercises it is helpful to do an ice-breaker. For example, ask each participant to introduce themselves and their current role. Next, ask them to think back to when they were 10 years old. Share with the group what their ideal job was when they were this age.

4.4 Focus group 1: Governance and programme management

➜ Guidance for facilitators

- Introduce participants and describe the purpose of the session. Emphasise that confidentiality should be respected, and anything said within the session should not be repeated outside.
- Ask participants to suggest some ground rules for the discussion (such as not interrupting each other, turning mobile phones off, etc.).
- Introduce the three sub-areas: 'Governance, strategy and structure', 'Programme management and reporting' and 'Inclusion of and accountability to people living with HIV and other affected communities'. Ensure that everyone understands what each sub-area involves.
- Facilitate a focused discussion using the questions below as a guide. Aim to spend around 25 minutes on each sub-area.
- The session (including time to score indicators) should take around 90 minutes.

➜ Discussion guide

Governance, strategy and structure

- What actions have the board taken over the past year and how have these affected the day-to-day working of the organisation?
- Are the mission and objectives of the organisation realistic? Do they reflect the actual work of the organisation? Are they well understood by all stakeholders?
- Think of some decisions the organisation has recently made about the way it works. How were they made? Does the way in which decisions are made make the organisation more or less effective?
- Think of some instances in which information has been shared recently. How was it shared? Does the way in which information is shared make the organisation more or less effective?

Programme management and reporting

- In what ways are partner NGO/CBOs involved? (Think about design, implementation and evaluation stages.) How has this involvement changed over the past year?
- How often are work-plans and budgets compared with reports? Who is responsible for this? Does this lead to changes being made in project management, support, resources, etc.?
- How confident are you that monitoring information submitted by partners is accurate?
- To what extent could our monitoring and reporting systems be viewed as a model of good practice to our partner NGOs?

Inclusion of and accountability to people living with HIV and other affected communities

- How well are people living with HIV and people from other affected communities represented at decision-making levels within the organisation?
- What are the challenges in recruiting/involving people with HIV and people from other affected communities?
- What actions have been taken in the past to make it easier for them to become involved in the organisation (e.g. changing our working practices, the way we recruit/interview, the way we train/induct)?
- What actions could be taken?

Indicators of capacity for 'Governance and programme management'

Governance, strategy and structure	DK	1	2	3	4	5
1. There is an independent board governed by a documented constitution, with at least six voluntary (unpaid) members, each with limited terms of office (e.g. only appointed for two years).						
2. The board has representatives from partner NGOs/CBOs, the community, donors, government and other stakeholders.						
3. No more than 75% of board members are of one gender.						
4. Board members meet at least every six months, fundraise for the organisation and provide legal, technical and management advice.						
5. The organisation is properly registered and is in compliance with local reporting, tax and labour requirements.						
6. The NGO has a written and costed strategic plan that has been revised within the last three years.						
7. Board members, staff and volunteers all know the strategic plan well, and it is regularly used to develop workplans and budgets.						
8. Strategic plans and implementation plans are developed in consultation with the board, staff, partner NGOs/CBOs, donors and other stakeholders.						
9. Information is shared through communication and consultation to enable staff to carry out work effectively and be aware of relevant issues.						
10. The organisational structure is effective for delegating responsibility and sharing information between staff.						

4.4 Focus group 1: Governance and programme management

Handout for participants

Programme management and reporting	DK	1	2	3	4	5
1. There are established mechanisms to meaningfully involve partner NGOs/CBOs and other stakeholders at all stages of the project management cycle (evaluation as well as implementation and design).						
2. The organisation measures progress against output targets for its NGO/CBO partner support programme using a concise set of objectively verifiable indicators.						
3. The organisation has a range of qualitative and quantitative tools to systematically collect and collate indicators relating to programme implementation from its NGO/CBO partners.						
4. Workplans, activities and budgets are reviewed and compared against expenditure and monitoring and evaluation results, at least every six months.						
5. Programme monitoring and expenditure reports are always completed and sent to partner NGOs/CBOs, donors and other stakeholders on time.						
6. The organisation can easily make available documents to support all financial and non-financial transactions, legal issues, minutes of key meetings.						

Inclusion of and accountability to people living with HIV and other affected communities	DK	1	2	3	4	5
1. People living with HIV and other affected communities are fully involved as staff or consultants.						
2. People living with HIV and other affected communities are fully involved at decision-making levels as board members or part of the management team.						
3. When positions become available, these are all actively promoted to people living with HIV and other affected communities.						
4. The organisation is able to change its working practices (e.g. hours, work from home) to provide flexibility and encouragement for people living with HIV and other affected communities to fulfil their job requirements.						
5. There is an HIV workplace policy that adequately protects and supports people living with HIV working in the organisation.						
6. The organisation actively encourages its NGO/CBO partners to adopt similar attitudes and working practices with regard to the involvement of people living with HIV and affected communities.						
7. The organisation actively listens and acts upon the advice of its communities on strategy and policy issues through established consultation mechanisms (e.g. advisory groups, forums, surveys, feedback, etc.).						

4.5 Focus group 2: Finance, administration and sustainability

➜ Guidance for facilitators

- Introduce participants and describe the purpose of the session. Emphasise that confidentiality should be respected, and anything said within the session should not be repeated outside.
- Ask participants to suggest some ground rules for the discussion (such as not interrupting each other, turning mobile phones off, etc.).
- Introduce the three sub-areas: 'Financial management and accountability, 'Human resources and administration' and 'Financial and programmatic sustainability'.
- Facilitate a focused discussion using the questions below as a guide. Aim to spend around 25 minutes on each sub-area.
- The session (including time to score indicators) should take around 90 minutes.

➜ Discussion guide

Financial management and accountability

- How well do your written financial policies and procedures reflect actual practice?
- How well does your accounting system cope with the current level of funding and disbursement? How would it cope if you received 30% more funding?
- What internal controls do you have to ensure that financial records and reports are of good quality (i.e. valid, complete, accurate and properly maintained)?
- How big was the difference between last year's budget and actual expenditure?

Human resources and administration

- What is your opinion of the way in which you were recruited by the organisation? What recruitment procedures have changed since then?
- Which aspects of the terms and conditions (for instance, salaries and benefits, training and professional development, grievance and disciplinary procedures) do you value most, and why?
- How well do you think your manuals reflect actual practice?
- Which aspects of your human resources/ administration policies and practice would you recommend for your partners to adopt as good practice?

Financial and programmatic sustainability

- How respected do you feel by your stakeholders (consider community leaders, media, donors, etc.)? What evidence do you have for feeling like this?
- What does your fundraising strategy involve? How successfully has it been implemented in the last year?
- How diverse and secure do you consider your funding base to be?

Handout for participants

Indicators of capacity for 'Financial management and accountability'

Financial management and accountability	DK	1	2	3	4	5
Financial management						
1. The roles and responsibilities of the accounts/finance staff are clearly defined and documented, with one person ultimately responsible.						
2. The organisation has financial/accounts staff of sufficient quality and quantity to absorb further funding.						
Policies and procedures						
3. There are documented and functioning financial procedures and policies, including an approval process for different levels of expenditure.						
4. There is a documented process for purchasing goods and services that is followed by all staff.						
Accounting						
5. The accounting system provides the necessary level of detail to effectively monitor expenditure in a timely manner.						
6. The organisation reports expenditure on projects separately to more than one different donor and for several different budgets.						
7. Accounts and supporting documents are filed securely (e.g. back-ups taken of computer files and stored off premises) and are retained for the period specified by the relevant donor.						
Budgeting and reporting						
8. An annual budget, which reflects organisational mission and priorities, is prepared for the organisation as a whole.						
9. There is a robust budgetary system that ensures accurate forecasting of expenditure, measured through regular comparisons of budgets against actual expenditure.						
10. The information system enables the timely production of accurate, relevant and reliable financial reports such as statements of cashflow, income and expenditure, etc. These are used in organisational decision-making.						
11. Managers are responsible for the agreed budgets of their projects.						
Safeguarding assets and auditing						
12. There is a reliable system to safeguard fixed assets (from fraud, waste and abuse) and to control stock.						

Financial management and accountability	DK	1	2	3	4	5
13. Regular physical inventories of fixed assets and stock are undertaken and the results checked against the inventories register.						
14. The organisation holds and uses an account with a trustworthy, stable and reputable bank.						
15. An audit is completed at least every 12 months by an audit firm.						
16. Any major issues arising from audit reports in the past three years have been satisfactorily resolved.						

Human resources and administration	DK	1	2	3	4	5
1. All procedures for managing human resources (HR) are well developed and documented in a manual.						
2. Recruitment processes are clearly defined, transparent, fair and competitive.						
3. All staff have clear job descriptions that are documented, reviewed at least annually and relevant to their actual jobs.						
4. The terms and conditions of employment (for instance, salaries and benefits, training and professional development, grievance and disciplinary procedures) are transparent, fair and externally competitive.						
5. The different community groups served by the organisation are represented within staff.						
6. There is a good gender balance at management level.						
7. Training and development is based on a systematic needs analysis and is actively supported by providing time off and financial support.						
8. Administrative procedures are documented in up-to-date manuals and are understood and followed by all staff.						
9. Documented HR and administrative procedures are available to partner NGOs/CBOs.						

4.5 Focus group 2: Finance, administration and sustainability

Handout for participants

Financial and programmatic sustainability	DK	1	2	3	4	5
1. There is a diverse funding base. No single source provides more than 50% of funding.						
2. There are a range of productive contacts within the funding community.						
3. A medium- to long-term fundraising strategy exists and is effectively implemented.						
4. At least 50% of proposals and bids submitted are successful.						
5. The organisation is respected by external stakeholders (e.g. by community leaders/meetings, media, profiled by donors, etc.).						
6. There is surplus capacity to absorb 30% more funding than it currently receives.						
7. The organisation has developed strategies for continuation of its activities in the medium and long term.						
8. The organisation has discussed phase-out strategies with all its NGO/CBO partners.						

5.1 Purpose of the tool

To facilitate discussion and consensus-building through the systematic analysis of intermediary service delivery capacities.

5.2 What the tool includes

The workshop modules bring together staff and management to analyse capacities and decide scores for a series of objective indicators relating to capacity. Each module is structured to facilitate comparison of individual and group opinions, and to assess the degree of consensus on each issue.

5.3 How to use the tool

- The modules can be run back-to-back in one workshop, or may be run separately to fit in with other work schedules.
- The discussion sessions within each module are intended to be flexible and may vary in length depending on the size and complexity of the organisation. Run consecutively, the three modules will take between half a day and one full day to complete.
- A facilitator should be appointed either from within the organisation or externally. The facilitator is central to the success of the session. They should not take part in the discussions, but rather guide them, ensuring that all voices are heard and respected.
- It is suggested that the group nominate a 'probe' whose role is to actively challenge opinions and constantly draw out different views. This role should provide a 'reality check' on overly positive responses. The person nominated as 'probe' may be able to contribute some useful observations on the way group dynamics affected the content of the discussion.
- It will also be helpful to appoint a co-facilitator or documenter to record the key points from discussions.
- Careful thought should be given to the choice of participants. Ensure participation from the board/management, from programme staff and from administrative/finance staff. Between 6 and 12 participants is ideal, with well-balanced representation from all levels.
- Participants should be well briefed to ensure that they understand the purpose of the workshop.
- The logistics and timing for the workshop should be planned well in advance to ensure availability of participants and smooth running of the sessions.
- Checklist of materials and resources include:
  - ✔ flipcharts, marker pens and sticky labels
  - ✔ scoring scale, showing '1 to 5' on a flipchart sheet
  - ✔ handouts for participants with indicator lists for each capacity sub-area.
- Each session follows a similar format:
  1. Participants come up with relevant information about the organisation in a group discussion.
  2. The group analyses the information through participatory activities or discussion.
  3. Each participant privately scores the organisation on that aspect of capacity using the set of indicators.
  4. The group uses the set of anonymous individual scores to discuss and arrive at a group score for the capacity.

➜ Aim
To analyse and reflect upon the extent to which the organisation is able to influence national and local institutions.

➜ Materials
- Relationships index
- 1-5 scoring scale

➜ Timing
1 hour 15 minutes

Handout for participants

Collaborating, influencing and sharing

A Have personal contacts with staff from this organisation/network

B Have collaborated together in a network, on a programme initiative, on an advocacy project or on policy work

C Have successfully influenced this organisation or network through advocacy or in a leadership/advisory role

D Have had exchange visits/learning/sharing lessons with this organisation/network

E We are viewed as a significant player in the HIV field by this organisation/network

5.4 Influencing the institutional landscape

➜ Introduction
In this session, participants consider the ways in which their organisation associates with other organisations and institutions. The focus is on roles, relationships and collaborative activities that facilitate effective advocacy and policy work. A mapping exercise provides the basis for discussion. At the end, participants are asked to provide individual capacity scores for each of three sub-areas: ‘Awareness of and collaboration with other organisations’, ‘Research, learning and dissemination’ and ‘Organisational credibility and policy influence’. Finally, a consensus score should be agreed.

➜ Guidance
1. Briefly introduce the capacity area suggested by the title. What does ‘institutional landscape’ mean? What does it mean to influence this ‘landscape’?
2. Ask participants to split into small groups and hand each group a flipchart and marker.
3. Give each group one (or more, if necessary) of the following headings:
   - international and national-level NGOs working on HIV
   - regional and local (including community-based) organisations working on HIV
   - relevant governmental departments, bodies and parastatals: local/municipal, regional/state and national
   - private/for-profit organisations and university/research institutions
   - networks, coalitions and national forums, including multi-sectoral groups and committees
4. Ask each group to brainstorm the key organisations (those that are key to the epidemic and/or key to the work of the organisation) under their assigned heading(s).
5. Post the lists up around the room and ask everyone to contribute any missing organisations.
6. Across the top of each flipchart sheet, write the letters A, B, C, D and E. Then draw lines downwards next to each letter to form a grid. Using the flipchart sheets in landscape (i.e. short and wide) will help ensure there is enough space to fit all the letters along the top.
7. Hand out copies of the ‘Collaborating, influencing and sharing’ index (see left-hand column) or write this up on a flipchart. This index explains what each letter means.
8. Go through the index as a group to ensure that everyone understands what each type of association involves.
9. Spread the flipchart sheets around and ask participants to walk around in pairs and review the grids on each sheet. Ask them to tick every box where there is some type of association with each organisation or network (in some cases, more than one letter will be relevant).
10. Now ask them to think about the ideal type and level of association with each organisation. Do the exercise again, but this time put a circle in each box to indicate the ideal (or desired) relationship with each organisation.

➜ Notes

If the discussion has produced a long list of organisations (i.e. many sheets), you will need to facilitate a quick way of everyone getting to work on every sheet. Spread the sheets around the room, and ask participants to work in pairs (put old staff with new, so it can be a learning exercise for new staff). Make it a rapid exercise – give participants two minutes per sheet and use a whistle (or something similar) to make them go from one sheet to the next.

11 Selecting a few examples from each sheet, ask the group to discuss instances where the 'desired' association is different to the 'actual' (in other words, there is a circle in a box but no tick). Ask participants to think about how they might generate such 'desired' associations.

12 Finally, ask participants to reflect specifically on their multi-sectoral partnerships.

- How much of their work involves other sectors? Could they do more?
- How might multi-sectoral partnerships improve the effectiveness of their organisation?

13 Distribute and score the indicators for this capacity.

➜ Guidance on scoring the indicators

1 Review the indicators and discuss any that are not clear.

2 Reassure participants that the indicator checklists relate to an ideal scenario; they should not expect to meet all the criteria. Encourage them to be as objective as possible so that the final scores are meaningful and useful to the organisation.

3 Where the indicator includes an 'and' clause (for instance, 'There are personal contacts with at least three media representatives and at least one of these contacts has been used in the past year'), both conditions must be fulfilled in order for the criteria to be counted as being met.

4 Each participant should tick the handout sheet where they feel their organisation meets those criteria. Once they have done this, they should use the guide on the right-hand column to determine their personal overall score of the capacity of their organisation (without discussion). Finally, participants should write this score on the back of a sticky label.

5 After all scores have been written by the participants, collect all the labels.

6 Stick the labels up on a 1-5 scale (drawn on a flipchart) to show how many votes were given for each score. Don't stick any labels up until all have been collected, how others have voted might influence those who are undecided.

7 Looking at the individual votes, the group should decide on a collective score. An average score may be obvious, but if there is a big difference in how people have voted this might require some discussion.

8 Here is one way to facilitate discussion to reach collective agreement:

- The participants who voted for the highest and the lowest score could explain their reasons why, and then challenge each other!
- Now see if people have changed their minds after listening to these arguments.
- If necessary, vote again, and use the score with the most votes.

9 If the group decides to take the average score, the figure should always be rounded to the nearest 0.5.

5.4 Influencing the institutional landscape

Handout for participants

Indicators of capacity for 'Influencing the institutional landscape'

Awareness of and collaboration with other organisations		
Criteria	Tick if met	Overall score
1. Staff are familiar with the national framework for HIV and with national co-ordinating mechanisms (where these exist).		Score 5 if **all** criteria are met: Score 4 if 6 are met Score 3 if 4-5 are met Score 2 if 2-3 are met Score 1 if 1 is met
2. Staff are aware of several organisations doing HIV work that are community-based and are not already partners of the NGO.		
3. Staff have productive contacts with more than 80% of national HIV organisations.		
4. Staff have productive contacts with HIV organisations in over half the districts/regions of the country.		
5. There are productive contacts with several community-based HIV organisations that are not already partners of the NGO.		
6. The NGO leads or participates in all relevant national networks or forums that meet regularly (at least every six months).		
7. The NGO collaborates with other organisations to ensure that civil society is adequately represented in the decision-making processes of global funding mechanisms (such as the Global Fund or the World Bank's MAP (Multi-Country HIV/AIDS Program)).		

Research, learning and dissemination		
Criteria	Tick if met	Overall score
1. There is an adequately skilled individual or team with specific responsibility for monitoring and evaluation (M&E).		Score 5 if **all** criteria are met: Score 4 if 6 are met Score 3 if 4-5 are met Score 2 if 2-3 are met Score 1 if 1 is met
2. More than 80% of proposals include a budget for evaluation and dissemination activities, which is at least 5% of the total budget.		
3. The M&E activities of the organisation complement the national M&E framework.		
4. The organisation has undertaken an evaluation of overall impact in the last three years.		
5. Organisational learning is well supported by routine data collection, analysis and review.		
6. There are structured opportunities for organisational learning such as internal discussion groups, presentations and newsletters.		
7. Lessons learned or evaluation results have been formally shared with two different types of audience in the past year.		

5.4 Influencing the institutional landscape

Organisational credibility and policy influence		
Criteria	Tick if met	Overall score
1. Key civil society organisations and government sectors view the organisation as having significant expertise in its area of work and as being a valuable resource		Score 5 if **all** criteria are met: Score 4 if 6 are met Score 3 if 4-5 are met Score 2 if 2-3 are met Score 1 if 1 is met
2. Local communities view the organisation as having significant expertise in its area of work and as being a valuable resource.		
3. The organisation has been invited by government to undertake specific projects or collaborate on sectoral issues at least once in the last year.		
4. There are productive contacts with at least one relevant decision-maker in national government.		
5. The organisation has conducted at least two national-level advocacy projects to change the policy or practices of targeted influential individuals or institutions.		
6. Where advocacy work is undertaken by the organisation, it is evidence-based, and systematic research is used to compile this evidence.		
7. If advocacy work has been undertaken by the organisation, it has included participatory consultations with specific community groups and community leaders, giving the organisation a mandate to advocate on behalf of those groups.		

➜ Aim
To analyse the capacity of the organisation to provide effective technical support to partner NGOs/CBOs.

➜ Materials
- 1-5 scoring scale

➜ Timing
2 hours

5.5 Technical support provision

➜ Introduction
Technical support is a key function of an intermediary. At an organisational level, capacity to provide technical support can be improved by retaining key staff and exposing them to new methods and approaches. This session explores the level of experience and expertise in HIV programming and organisational development technical support within the organisation. Participants are also encouraged to think about the approaches and attitudes reflected in recently implemented technical support.

➜ Guidance
Introduction

1 Introduce the capacity area suggested by the title. What is meant by 'technical support' for this organisation?

2 Clarify the concept of technical support staff.
- For an intermediary, technical support staff means specialists with dedicated areas of expertise and specific technical skills to transfer this expertise to partner NGOs/CBOs.
- This should include all staff who have been (or will be in future) responsible for providing technical support to NGO/CBO partners and/or networks.
- Technical support staff may include finance and administration staff, as well as programme staff.

3 Discuss the support needs of partners now and in the near future. Think about the main HIV technical areas (such as prevention, voluntary counselling and testing (VCT), antiretroviral (ARV) treatment, orphans and vulnerable children (OVC) and home-based care). Also think about the main organisational development areas (such as programme management, financial management, resource mobilisation, and monitoring and evaluation). List all of your partners' needs in relation to HIV technical support and organisational development on a flipchart.

Exercise 1

4 Following the format of Handout 1 on page 28, write up the following headings on a flipchart: 'Technical support staff' and 'Technical expertise'.

5 Now ask participants to list all technical support staff in the organisation, their position and their number of years' experience.

6 List all the areas of technical expertise in HIV and organisational development covered by staff. If several staff members share the same area of expertise, put the number of staff in brackets beside the area.

7 Compare this to the earlier list of technical support needs of current partners (for both HIV and organisational development). Discuss whether the organisation has staff with expertise in all the technical areas it needs, now and in the near future.

8 Finally, ask participants to think further about the technical support topics they have listed. Using a rating of 'high', 'medium' or 'low', ask the group to consider the experience, skills and resources the organisation has when providing support on their topics.

Exercise 2

9 After a short break, ask participants as a group to choose three examples of technical support the organisation has recently provided to a partner. Encourage them to consider three different approaches (for instance, one-to-one support, a workshop, an exchange visit).

10 Following the format of Handout 2 on page 29, write the following headings on a flipchart: 'Summary of support', 'Participation', 'Integration' and 'Evaluation'.

11 Ask participants to critically reflect on each instance of technical support, using the headings and questions below as a guide:
- Summary of support: What technical support was provided? By whom and to whom? What topics were covered? What methodologies were used?
- Participation: In what ways was the recipient NGO/CBO involved in the process?
- Integration: What steps were taken to ensure that skills learned during the process were integrated into working practices?
- Evaluation: How was the work evaluated? What feedback was received and what changes in approach were made as a result?

12 Once the table is complete, ask participants to consider the different technical support strategies they use:
- How do abilities and confidence vary across the different support approaches?
- How much variation is there in the technical support approaches used most recently?
- How do participants feel about this level of variation?

13 Distribute and score the indicators for this capacity.

→ Notes

For the second exercise, encourage participants to consider three different approaches to technical support. Encourage them to be constructively critical about their recent work while sensitive to the feelings of colleagues.

→ Guidance on scoring the indicators

1 Review the indicators and discuss any that are not clear.

2 Reassure participants that the indicator checklists relate to an ideal scenario; they should not expect to meet all the criteria. Encourage them to be as objective as possible so that the final scores are meaningful and useful to the organisation.

3 Where the indicator includes an 'and' clause (for instance, 'There are personal contacts with at least three media representatives and at least one of these contacts has been used in the past year'), both conditions must be fulfilled in order for the criteria to be counted as being met.

4 Each participant should tick the handout sheet where they feel their organisation meets those criteria. Once they have done this they should use the guide on the right-hand side of the table to determine their personal overall score of the capacity of their organisation (without discussion). Finally, participants should write this score on the back of a sticky label.

5 After all scores have been written by the participants, collect all the labels.

6 Stick the labels up on a 1-5 scale (drawn on a flipchart) to show how many votes were given for each score. Don't stick any labels up until all have been collected; how others have voted might influence those who are undecided.

7 Looking at the individual votes, the group should decide on a collective score. An average score may be obvious, but if there is a big difference in how people have voted this might require some discussion.

8 Here is one way to facilitate discussion to reach collective agreement:
- The participants who voted for the highest and the lowest score could explain their reasons why, and then challenge each other!
- Now see if people have changed their minds after listening to these arguments.
- If necessary, vote again, and use the score with the most votes.

9 If the group decides to take the average score, the figure should always be rounded to the nearest 0.5.

Handout for participants

TECHNICAL SUPPORT PROVISION – HANDOUT 1

Technical support staff

List technical support staff (Names, position and number of years' experience)	**List HIV and organisational development technical expertise** (List HIV and organisational development topics covered by staff)	**Experience**	**Skills**	**Resources**

5.5 Technical support provision

Handout for participants

TECHNICAL SUPPORT PROVISION – HANDOUT 2

Recent examples of technical support provided by the organisation

Summary of support What support was provided? By whom and to whom? What were the topics covered? What methodologies were used?	**Participation** In what ways was the recipient NGOs/CBO involved in the process?	**Integration** What steps were taken to ensure that skills learned during the process were integrated into working practices?	**Evaluation** How was the work evaluated? What feedback was received and what changes in approach were made as a result?

5.5 Technical support provision

Handout for participants

Indicators of capacity for 'Technical support provision'

Technical support skills in HIV and organisational development		
Criteria	Tick if met	Overall score ☐ Score 5 if **all** criteria are met: Score 4 if 6 are met Score 3 if 4-5 are met Score 2 if 2-3 are met Score 1 if 1 is met
1 The organisation has technical staff with at least five years' experience working in the specific HIV areas covered by the intermediary technical support programme (e.g. prevention, OVC, peer education, home-based care, etc.).		
2. The organisation has technical staff with at least five years' experience in organisational development management (e.g. programme management, resource mobilisation, etc.).		
3. More than 80% of technical staff have at least three years' experience in providing technical support to other organisations.		
4. All technical staff regularly update their knowledge and skills, attending at least one conference or training sessions per year.		
5. Finance and administration staff are able to provide quality support on administrative issues and financial mechanisms.		
6. The organisation is able to provide a range of quality and appropriate tools and resource materials relevant to the capacity building needs of its partners.		
7. The organisation has the contacts and networks to effectively out source technical support to quality organisations and individuals if necessary.		

5.5 Technical support provision

Handout for participants

Technical support approaches, attitudes and effectiveness		
Criteria	Tick if met	Overall score
1. All technical support staff are committed to inclusive and participatory approaches.		Score 5 if **all** criteria are met: Score 4 if 6 are met Score 3 if 4-5 are met Score 2 if 2-3 are met Score 1 if 1 is met
2. Tailored technical support plans, with clear and measurable targets, are developed collaboratively with every NGO/CBO partner.		
3. There are mechanisms in place to ensure that the skills learned through technical support are transferred to the workplace and that knowledge is shared with others not directly involved.		
4. Through ongoing support from the organisation, the quality and timeliness of reporting by partners has tended to improve over time.		
5. The organisation consistently evaluates its technical support work using participatory methods and uses the results to improve future support.		
6. There are documented instances of the organisation, in the past year, actively seeking new and creative approaches to provide or facilitate technical support provision.		
7. Most NGO/CBO partners view their relationship with the intermediary as one of partnership rather than donor-recipient.		

5.5 Technical support provision

Handout for participants

Access to resources and knowledge		
Criteria	Tick if met	Overall score
1. The organisation has a resource collection/library with up-to-date HIV technical resources, books and information, which is used at least once a week by staff.		Score 5 if **all** criteria are met: Score 4 if 6 are met Score 3 if 4-5 are met Score 2 if 2-3 are met Score 1 if 1 is met
2. The organisation has its own resource centre managed by dedicated staff and regularly used by people outside the NGO for research.		
3. The organisation has access to other local resource centres and libraries, and staff utilise these at least once every three months.		
4. The organisation can name a person and/or organisation for each HIV technical area it operates in, which it communicates with at least once every three months, to get extra technical knowledge.		
5. Technical staff subscribe to relevant journals and/or email-based updates on HIV issues.		
6. The organisation has internet access in its own offices.		
7. All key technical staff have their own access to the internet.		

→ Aim

Firstly, to analyse the capacity of the organisation to identify and select NGO/CBO partners. Secondly, to reflect on the way in which the organisation manages its financial relationship with selected partners.

→ Materials

- Up-to-date summary sheet of current grants to NGO/CBO partners (ask the relevant staff member to prepare this beforehand)
- Handouts with discussion statements
- Scoring scale

→ Timing

1 hour 30 minutes

5.5 Grant-making

→ Introduction

Sub-granting to implementing organisations is often a major focus of an intermediary's work. The ability to select and work effectively with quality NGOs/CBOs is critical to the effectiveness of the organisation. In this session, participants use an up-to-date list of current grants as a basis for discussing their partner selection strategies. They then reflect on grant management strategies by focusing in more detail on three recent grants.

→ Guidance

1. Introduce the capacity area suggested by the title. What does 'grant-making' mean for the organisation?
2. As a group, review the prepared summary of current grants held by the organisation. Ask participants to discuss:
   - To what extent do we have a good range of nascent versus established partners?
   - How well does our 'portfolio' of partners fit with organisational objectives and meet priority needs and gaps in the response to the epidemic?
   - How confident are we that our current selection procedures have led to the 'best' organisations being selected? (You may need to first discuss what 'best' means for the organisation.)
3. Note the key points of this discussion on the flipchart.
4. Ask the group to select three recent grants from the prepared summary list. The selection should reflect the range and type of grants given by the organisation (e.g. small versus large, nascent versus established).
5. Split the group into three, with each group focusing on a separate grant/relationship. Participants should join the group working on the grant with which they are most familiar. Ensure that finance personnel are split across the three groups. There may need to be some 'reshuffling' to ensure that the groups are of roughly equal size and that there is a balance of seniority and experience in each.
6. Hand each group a checklist and ask them to work through it, putting a tick by criteria that are fully met, a circle by criteria that are partially met, and a cross by criteria that are not met, for their particular grant.
7. Bring everyone back together and ask each group to present their scores.
8. After these presentations, distribute and score the indicators for this capacity.

➜ Guidance on scoring the indicators

1 Review the indicators and discuss any that are not clear.

2 Reassure participants that the indicator checklists relate to an ideal scenario; they should not expect to meet all the criteria. Encourage them to be as objective as possible so that the final scores are meaningful and useful to the organisation.

3 Where the indicator includes an 'and' clause (for instance, 'There are personal contacts with at least three media representatives and at least one of these contacts has been used in the past year'), both conditions must be fulfilled in order for the criteria to be counted as being met.

4 Each participant should tick the handout sheet where they feel their organisation meets those criteria. Once they have done this they should use the guide on the right-hand side of the table to determine their personal overall score of the capacity of their organisation (without discussion). Finally, participants should write this score on the back of a sticky label.

5 After all scores have been written by the participants, collect all the labels.

6 Stick the labels up on a 1-5 scale (drawn on a flipchart) to show how many votes were given for each score. Don't stick any labels up until all have been collected; how others have voted might influence those who are undecided.

7 Looking at the individual votes, the group should decide on a collective score. An average score may be obvious, but if there is a big difference in how people have voted this might require some discussion.

8 Here is one way to facilitate discussion to reach collective agreement:
- The participants who voted for the highest and the lowest score could explain their reasons why, and then challenge each other!
- Now see if people have changed their minds after listening to these arguments.
- If necessary, vote again, and use the score with the most votes.

9 If the group decides to take the average score, the figure should always be rounded to the nearest 0.5.

Handout for participants

Checklist for three recent grants

Statement	NGO/CBO partner 1	NGO/CBO partner 2	NGO/CBO partner 3
There is a legally binding contract or memorandum of understanding (MoU), which meets the requirements of the relevant donors.			
Funds have always been disbursed to the recipient partner accurately and on time.			
The financial management capacity of the partner was assessed at the start.			
All contractual obligations have been fulfilled by the recipient partner.			
Any problems regarding partner accountability and reporting have been quickly identified and resolved.			
The recipient partner has been visited at least once every six months.			
The quality and timeliness of reporting by this partner has improved over time.			

Indicators of capacity for 'Grant-making'

Strategic partner identification and mobilisation		
Criteria	Tick if met	Overall score
Selection process		Score 5 if **all** criteria are met: Score 4 if 8-9 are met Score 3 if 6-7 are met Score 2 if 5-6 are met Score 1 if 4 or fewer are met
1. There is a documented selection procedure that is available to prospective partners on request.		
2. Roles and responsibilities are allocated across a range of staff and are clearly demarcated so as to avoid discriminatory selection procedures.		
3. Selection criteria are systematically applied to ensure that organisations of equal merit stand an equal chance of being selected.		
4. Review by (external and/or internal) individuals with appropriate expertise ensures that submitted proposals are accurately appraised.		
5. The process for identifying and selecting partners is subject to regular (at least annual) review and refinement.		
Partner identification		
6. There are documented instances of the organisation being proactive in identifying emerging organisations that show potential but have not yet received any funding.		
7. The selection process has flexibility to be accessible to small community-based organisations but rigorous enough to appraise organisations requesting larger grants (over US$50,000).		
8. The 'portfolio' of selected partners fits with organisational objectives.		
Project development		
9. The selected projects are all based on clear needs, defined through participatory needs assessment.		
10. The organisation ensures that appropriate and quality support is given to smaller organisations on proposal development and/or project design.		

Handout for participants

Grant management		
Criteria	Tick if met	Overall score ☐ Score 5 if **all** criteria are met: Score 4 if 6 are met Score 3 if 4-5 are met Score 2 if 2-3 are met Score 1 if 1 is met
1. There are systems to ensure rapid and accurate disbursement of funds to sub-recipients.		
2. There is a documented and functioning system for managing multiple grants, which can track disbursements and produce accurate and transparent statements of expenditure.		
3. There is a range of granting mechanisms, including options (e.g. advances) for emerging organisations with limited financial capacity.		
4. There are contracts, grant agreements or MoUs with all partners receiving funds. These contracts are legally binding and meet the requirements of all the relevant donor(s).		
5. There is a documented mechanism for assessing the financial management capacity of sub-recipients at inception.		
6. The grant monitoring system ensures that reliable financial and programmatic data are quickly available from partners.		
7. The organisation visits all recipient NGOs/CBOs at least once every six months.		

6 External review guides

6.1 Purpose of the tool

To triangulate internally held opinions and views with those of stakeholder organisations such as collaborating NGOs, government departments, partner NGOs/CBOs and donors.

6.2 Introduction

Stakeholder organisations can provide valuable insights into whether internal perceptions of capacity are shared by those outside the organisation. Many are well placed to provide a detached and impartial view. The organisation may also find this process helpful in identifying specific capacity gaps.

6.3 What the tool includes

The tool comprises a set of interview guides for four of the capacity areas. Each guide is designed to be given to the type of stakeholder organisation most familiar with that aspect of the organisation's work. The guides are as follows:

- **An interview guide on finance, administration and sustainability, designed for completion by a donor.**
- **An interview guide on influencing the institutional landscape, designed for completion by a national or international NGO working on HIV, or government department, with whom the organisation has collaborated.**
- **An interview guide on grant-making, designed for completion by an NGO/CBO partner.**
- **An interview guide on technical support provision, designed for completion by an NGO/CBO partner.**

6.4 How to use the tool

- Select one (or more) respondent(s) for each capacity area. Criteria for selecting organisations might include:
  - those most familiar with the work of the organisation
  - those most likely to respond quickly and comprehensively
  - those most able to provide objective views and constructive criticism (grant recipients in particular will feel pressure to give positive responses, but some organisations will feel this pressure more keenly than others).
- Secure agreement from the management team for the choice of respondents; everyone should feel happy for the guides to be completed by the selected organisations.
- The guides can be used by a facilitator to conduct a brief face-to-face interview or they can be self-completed by the respondent organisation.
- The interview format is likely to yield more detailed information but a self-complete format may be more convenient to busy respondent organisations. Time and resources, as well as respondent preferences, should guide this decision.
- Particularly for donors, national/international NGOs and government, it will be important to identify a specific individual contact within the organisation who has worked closely with the organisation and is willing to participate.
- When requesting participation, the organisation should provide detailed background information about the capacity analysis, and should reassure respondents that constructive criticism is welcome and will in no way affect future working relationships.
- In order to avoid any potential negative impact on existing relationships with stakeholder organisations, an external facilitator may be enlisted to undertake the selection of respondent organisations and to protect their anonymity. Assurance of confidentiality should enable organisations to provide more candid responses and should safeguard relationships against any potential unease.

6.5 External review guide 1: Finance, management and sustainability

➜ Introduction

We are undergoing an analysis of our capacity as an intermediary. As part of this analysis, we are asking some of our stakeholders to comment on our capacity. As a donor to whom we report financially, we would value your comments and constructive criticism regarding our capacity to account for our funds. We would be grateful if you could complete the form below. This should only take around 10 minutes. Thank you for your time.

Section 1: Summary information

Name of respondent

Organisation

Length and nature of relationship with (organisation)

Method of completion: Interview ☐ Self-complete ☐ Date / /

Section 2: Narrative

From your experience, how would you rate the organisation's capacity to provide comprehensive and quality financial and programmatic information?

Please think about issues such as: timeliness, accuracy and relevancy of reports; good fit between financial and programmatic reports; good fit between budget versus actual expenditure; adequacy of explanations of variance between budget and expenditure; comprehensiveness of information regarding disbursements to sub-recipients. Please describe:

1. Areas of strength

2. Areas that could be strengthened

3. How you think this aspect of the organisation's capacity has changed in the past year

4. What you think the challenges will be for future capacity development in this area

6.6 External review guide 2: Influencing the institutional landscape

➜ Introduction

We are undergoing an analysis of our capacity as an intermediary. As part of this analysis, we are asking some of our stakeholders to comment on our capacity. We would value your comments and constructive criticism regarding our capacity to influence the institutional landscape. We would be grateful if you could complete the form below. This should only take around 15 minutes. Thank you for your time.

Section 1: Summary information

Name of respondent

Organisation

Length and nature of relationship with (organisation)

Method of completion: Interview ☐ Self-complete ☐ Date / /

Section 2: Checklist

Please read the statements below. From your knowledge of the organisation, please assign each statement a score where:

1 = Needs urgent attention
2 = Needs major improvement
3 = Satisfactory, but room for improvement
4 = Good, but a few small things could be improved
5 = Exemplary – cannot be improved

If you feel unable to comment on a particular statement, or feel that it is not applicable, please tick the 'DK' (don't know) box. Please be as frank and objective as possible.

Statement	DK	1	2	3	4	5
The NGO actively collaborates with other civil society organisations on a regular basis.						
The NGO is viewed by civil society organisations as having expertise and providing a valuable resource.						
The NGO is viewed by government as having expertise and providing a valuable resource.						
The NGO is respected by grassroots and community-based organisations.						
The NGO is regularly invited to play an active role in national-level decision-making forums.						

Statement	DK	1	2	3	4	5
The NGO can leverage significant support from partners in its advocacy work and lobbying campaigns.						
The NGO wields significant influence in advocating on HIV issues.						
The NGO receives regular media coverage of its work.						
The NGO regularly disseminates lessons learned and research results to civil society and government partners.						

Section 3: Narrative

From your experience of working with this organisation, how would you rate its capacity to influence national and local institutions?

Please think about: awareness of national and local organisations working on HIV; commitment to partnership with other HIV civil society organisations; linkages with national level HIV efforts; credibility among communities, civil society groups and government sectors; ability to influence policy processes; sharing and disseminating evaluation and research results.

1. Areas of strength

2. Areas that could be strengthened

3. How you think this aspect of the organisation’s capacity has changed in the past year

4. What you think the challenges will be for future capacity development in this area

6.7 External review guide 3: Grant-making

➜ Introduction

We are undergoing an analysis of our capacity as intermediary. As part of this analysis, we are asking some of our stakeholders to comment on our capacity. As a partner to whom we provide financial support, we would value your comments and constructive criticism regarding our capacity to disburse and manage grants. We would be grateful if you could complete the form below. This should only take around 15 minutes. Thank you for your time.

Section 1: Summary information

Name of respondent

Organisation

Length and nature of relationship with (organisation)

Method of completion: Interview ☐ Self-complete ☐ Date / /

Section 2: Checklist

Please read the statements below. From your knowledge of the organisation, please assign each statement a score where:

1 = Needs urgent attention
2 = Needs major improvement
3 = Satisfactory, but room for improvement
4 = Good, but a few small things could be improved
5 = Exemplary – cannot be improved

If you feel unable to comment on a particular statement, or feel that it is not applicable, please tick the 'DK' (don't know) box. Please be as frank and objective as possible.

Statement	DK	1	2	3	4	5
There is a documented selection procedure that is available to partners on request.						
Roles and responsibilities are allocated across a range of staff and are clearly demarcated so as to avoid discriminatory selection procedures.						
The organisation provides timely and helpful feedback throughout the selection process.						
The selection process is accessible to small grassroots organisations.						

Statement	DK	1	2	3	4	5
The selection process is rigorous enough to ensure that only trustworthy and effective organisations are funded.						
The organisation provides effective support on participatory community assessments, proposal development and project design.						
The organisation always disburses grants to the field on time.						
The organisation sets up clear, fair and helpful contracts/ MoUs.						
The organisation provides regular monitoring through support visits (at least once every six months).						

Section 3: Narrative

From your experience of receiving financial support from the organisation, how would you rate its capacity to disburse and manage grants to NGO and CBO partners?

Please think about: the selection process; input given by the organisation into project design and development; contractual agreements such as MoUs; the way in which funds are disbursed; reporting requirements of the grant; support visits; discussion of phase-out strategies.

1. Areas of strength

2. Areas that could be strengthened

3. How you think this aspect of the organisation's capacity has changed in the past year

4. What you think the challenges will be for future capacity development in this area

6.8 External review guide 4: Technical support provision

➜ Introduction

We are undertaking an analysis of our capacity as an intermediary. As part of this analysis. we are asking some of our stakeholders to comment on our capacity. As a partner to whom we provide technical support, we would value your comments and constructive criticism regarding our capacity to provide comprehensive and quality technical support. We would be grateful if you could complete the form below. This should only take around 15 minutes. Thank you for your time.

Section 1: Summary information

Name of respondent

Organisation

Length and nature of relationship with (organisation)

Method of completion: Interview ☐ Self-complete ☐ Date   /   /

Section 2: Checklist

Please read the statements below. From your knowledge of the organisation, please assign each statement a score where:

1 = Needs urgent attention
2 = Needs major improvement
3 = Satisfactory, but room for improvement
4 = Good, but a few small things could be improved
5 = Exemplary – cannot be improved

If you feel unable to comment on a particular statement, or feel that it is not applicable, please tick the 'DK' (don't know) box. Please be as frank and objective as possible.

Statement	DK	1	2	3	4	5
The technical support staff of the organisation have the necessary experience and knowledge to provide quality technical support.						
The organisation has the contacts and networks to effectively outsource technical support to quality organisations and individuals if necessary.						
The organisation is able to provide a range of appropriate quality tools and resource materials relevant to the capacity building needs of partner NGOs/CBOs.						
All technical staff of the organisation are committed to, and feel confident using, participatory methodologies.						

Statement	DK	1	2	3	4	5
The organisation collaborates with NGO/CBO partners in developing tailored technical support plans, with clear and measurable targets.						
There are mechanisms in place to ensure that skills learned though technical support are transferred to the workplace and that knowledge is passed on to others not directly involved.						
The organisation provides adequate support on financial management and reporting.						
The organisation regularly evaluates its technical support work and uses the results to improve future support.						
The organisation actively seeks new and creative approaches to providing or facilitating technical support provision.						
The relationship between the organisation and its partners is more one of partnership than of donor-recipient.						

Section 3: Narrative

From your experience as a partner NGO/CBO of the organisation, how would you rate its capacity to provide comprehensive and quality technical support?

Please think about: the skills and experience of staff; the range of different technical support strategies used; the range and quality of available resources; the relevancy of support to your own needs; the effectiveness of the support in improving your practices.

1. Areas of strength

2. Areas that could be strengthened

3. How you think this aspect of the organisation's capacity has changed in the past year

4. What you think the challenges will be for future capacity development in this area

7 Document review

7.1 Purpose of the tool

To validate and triangulate the findings from the discussion-based analysis by reviewing the completeness and quality of relevant supporting documents.

7.2 Introduction

An analysis of organisational documentation can provide objective evidence with which to verify discussion-based results. The document review should look not only at the documents themselves but also at the way they are used within the organisation.

7.3 What the tool includes

Review templates for three capacity areas: governance and programme management; finance, administration and sustainability; and grant-making.

The template for each capacity area suggests key documents that might be reviewed. Documents can be added or deleted as required. The format provides space to comment on the quality of documents reviewed.

7.4 How to use the tool

- Decide how the document review will be undertaken. Options include an external facilitator in consultation with key staff members or an internal review by several relevant staff working as a team.
- Decide which documents will be reviewed. Depending on the scope of the analysis, the selection may comprise a small number of key documents or a more expansive range of documentation.
- Briefly review the selected documents and comment on the quality of each. Aspects of quality to assess include:
  - relevance – extent to which document is up to date and reflects current practice
  - comprehensiveness – extent to which document covers all aspects of the work area it is intended to cover
  - usefulness – extent to which document fits the purpose for which it was designed
  - user-friendly – extent to which document is easy to use
  - utility – extent to which documents are actually used to guide best practice
- Assign each document a score from 0 to 5, where:

  DK = Document does not exist or is not available

  1 = Needs urgent attention

  2 = Needs major improvement

  3 = Satisfactory, but room for improvement

  4 = Good, but a few small things could be improved

  5 = Exemplary – cannot be improved
- The score should be agreed among those involved in the review and discussed with senior managers before finalising.
- To the completed tables, add a covering sheet summarising how the review was carried out. Subsequent reviews, designed to measure change in capacity over time, should follow the same approach so that the results are comparable.

➜ Notes

Commenting on the extent to which documents are used in everyday work may require additional consultation with relevant staff.

Governance and programme management

	Comments (Comment on the general quality of the documents and records; this might include aspects such as completeness, comprehensiveness, usefulness, user-friendliness and utility)	**Overall quality score** (0 to 5)
Strategic plan and/or document with vision, mission, goals, objectives, values of the NGO		
Organogram showing the NGO structure and positions that are filled		
Constitution/by-laws of board of trustees or management committee		
Minutes of key management meetings		
Activity reports submitted by partners		
Lists of indicators and targets to measure outputs		
HIV workplace policy		
Others?		

Finance, administration and sustainability

	Comments (Comment on the general quality of the documents and records. This might include aspects such as completeness, comprehensiveness, usefulness, user-friendliness and utility)	**Overall quality score** (0 to 5)
Financial policies and procedures manual		
Accounting documents (cash books and purchase ledgers)		
Annual budget		
Recent financial reports		
Documents recording fixed assets and stock		
Recent annual audit report		
Human resources procedures manual		
Fundraising strategy/action plan		
Others?		

Grant-making

	Comments (Comment on the general quality of the documents and records; this might include aspects such as completeness, comprehensiveness, usefulness, user-friendliness and utility)	**Overall quality score** (0 to 5)
Manual guiding partner selection and grant disbursement procedures		
Examples of MoUs, grant agreements		
Documents tracking technical support provided to partners		
Monitoring/progress reports submitted by grant recipients		
Most recent set of financial reports submitted by partners		
Financial documentation tracking grant disbursements and expenditure by partners		
Others?		

8 Synthesis meeting

8.1 Purpose of the tool

To review all the capacities analysed, identify strengths and weaknesses and develop plans to build capacity where gaps have been identified.

8.2 Introduction

The capacity analysis may have involved various staff and employed a range of tools. The synthesis meeting provides an opportunity to bring staff together to reflect on results and build an overall consensus view.

8.3 What the tool includes

Discussion guides for two specific sessions. In the first session, the draft results of the analysis are presented and discussed. Participants are asked to reflect on the likelihood that the capacity areas will improve in future. In the second session, participants use the draft findings to plan the next steps.

8.4 How to use the tool

- Those steering the capacity analysis should think carefully about who should participate in the synthesis meeting. This is an opportunity for all staff to hear the draft results and provide final input into the process. However, the group should be kept small enough to allow a productive discussion.
- If the decision is made to keep the group small, then a feedback meeting could be arranged later with all staff.
- Use the first draft of the capacity report (see section 9), and the summarised indicator scores, as the basis of the discussion. This will involve preparing the draft report ahead of the meeting.
- Avoid reopening earlier discussions or disagreements; focus on summarising, synthesising and reaching consensus.
- As always, emphasise that the process is most useful where participants are open and willing to discuss gaps as well as areas of strength.
- Although it is good to be clear about the sources of data, avoid linking the results to specific individuals or organisations who participated in the analysis.
- Take notes throughout the meeting so that the highlights of the discussion can be added to the final capacity report.

8.5 Meeting format

➜ Finalising the results

- Present the findings for each capacity area, including quantitative scores and qualitative discussion. Where possible, indicate the tools from which the particular findings are derived.
- For each capacity area, present an overall summary score for each sub-area (using the 1 to 5 scale). This score should assimilate both qualitative and quantitative findings. It should have been agreed by the steering team (or external facilitator and management) prior to the synthesis meeting.
- Invite feedback on the results. Record these on a flipchart.
- An optional but useful exercise might be to record the level of consensus regarding the final scores. Participants should discuss and assign a consensus score as follows:

  1 = Very little agreement

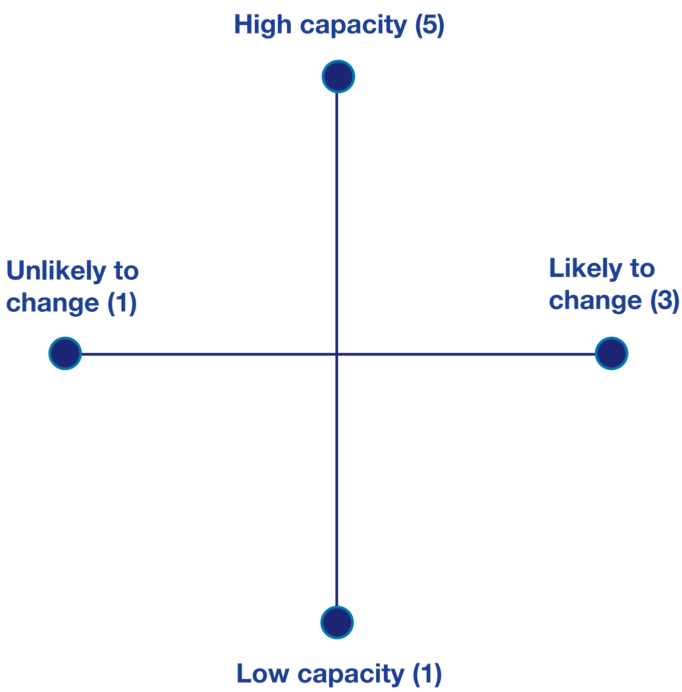
  2 = Some agreement

  3 = Everyone, or almost everyone, in agreement
- For each summary score, ask participants to discuss the likelihood that the capacity area will improve in the near future. They should assign a score to the capacity area where:

  1 = Improvement is unlikely

  2 = Improvement is somewhat likely

  3 = Improvement is very likely
- Using a flipchart, plot each capacity sub-area on a matrix, using the capacity score as the vertical axis and the 'likelihood of change' score as the horizontal axis.



➜ Putting together a capacity building action plan

- First look at the top half of the matrix.
- Why are we strong in these areas?
- Could we develop these areas of strength any further?
- Then look at the bottom half of the matrix.
  - Think about capacity gaps that are unlikely to improve – what action can be taken?
  - Think about the low capacity areas that are likely to improve – how can this be done?
  - How urgent is it that action is taken?
  - Who will take responsibility for this? Do we need external help, or is this something we can do ourselves?
  - Are there any resources that could help us with this?
- Write up the findings using the table format below.
- Discuss what the next steps should be:
  - Set deadline for finalisation and distribution of the report.
  - Secure agreement and sign-off from management.
  - Follow up on the actions agreed. Suggest that participants set up a capacity building working group to meet regularly to implement and monitor the action plan.
  - Discuss how the findings of the analysis will be shared with other staff and stakeholders (e.g. donors, board, etc.).

Need Capacity gap identified	**What?** Action needed	**When?** Now/Soon/ Later	**Who?** On our own/with others	**Resources required**

9 Capacity analysis report

9.1 Purpose of the tool

To provide a succinct and clear summary of the findings of the capacity analysis.

9.2 Introduction

Whatever the scope of the analysis, it will have generated a great deal of information. In order to make the best use of this information, it needs to be analysed, summarised and organised in a way that is accessible to those both within and external to the organisation.

9.3 What this tool includes

A template for the capacity analysis report. It should include recommendations and a plan for future action as well as the actual findings of the analysis.

9.4 How to use this tool

- Rather than listing everything that emerges from the process, the report should focus on highlighting the main points and use appendices to document information more fully.
- Use primary data, such as individual indicator scores, to highlight particular strengths and weaknesses. As an indication, scores of 1 to 2 could be taken as areas requiring particular attention; scores of 4 to 5 could be highlighted as areas of particular strength.
- Try to write up notes and findings alongside the data collection, so that the report-writing stage is simply a matter of ordering this information.
- Prepare the draft report ahead of the synthesis meeting (section 8). Integrate the results of the synthesis meeting into the final report.
- The report may also require approval and sign-off from the executive director.

Intermediary capacities analysis report

Organisation name, address, contact details:

Section 1: Approval and sign-off

This report has been written and prepared by
(Facilitator's/Documenter's name)

Signed   Date   /   /

This report has been prepared on behalf of
(Organisation sponsoring the analysis)

Signed   Date   /   /

This report has been reviewed and agreed by
(Organisation analysed)

Signed   Date   /   /
(Executive director or other representative)

Section 2: Conclusions, recommendations and action plan

1. Overall conclusions, concerns and feedback from synthesis meeting with staff and management of NGO

2. Facilitator's comments, recommendations for capacity building and actions to be taken

Section 3: Summarised capacity score matrix

Notes on completing the matrix

General

All scores should be rounded to the nearest 0.5.

Averages can be calculated by adding together the scores of all the participants, then dividing by the number of participants. When calculating averages, exclude from the denominator participants who have not provided a score, or answered 'DK'. Similarly, when calculating an average score across a sub-area, exclude indicators that have not been scored because they are not relevant to the organisation.

By type of score:

- Column 1. First calculate the average of the participant scores for each indicator. Then take the average score across all the indicators.
- Column 2. List all the scores that were assigned by individuals during the session prior to arriving at an agreed group score.
- Column 3. Indicate the score that was agreed by the group during the workshop session.
- Column 4. Calculate the average score across all the indicators for each capacity area. If questionnaires for a particular capacity area were sent to more than one respondent, calculate the average score across all respondents.
- Column 5. Calculate the average score for each capacity area.
- Column 6. Summary scores should be compiled by the steering team (for instance, external facilitator and management team) ahead of the synthesis meeting. The indicators as well as qualitative information should be used to decide the summary score. Note that tools such as the document review focus on capacity areas as a whole; coming up with the score for the sub-area will involve breaking down the findings for the whole area.
- Column 7. An optional but useful exercise might be to record the level of consensus regarding the summary scores. This could be done during the synthesis meeting. Once all the scores have been recorded, participants should decide on the degree of consensus regarding each score. A consensus score may be assigned as follows:

  1 = Very little agreement

  2 = Some agreement

  3 = Everyone, or almost everyone, in agreement
- Column 8. During the synthesis meeting, participants should agree on the likelihood that the capacity area and/or sub-area will improve in the near future, where:

  1 = Improvement is unlikely

  2 = Improvement is somewhat likely

  3 = Improvement is very likely

9 Capacity analysis report

Capacity areas and sub-areas	1. Focus group – average score	2. Workshop - individual scores	3. Workshop- consensus score	4. External review	5. Document review	6. Summary score	7. Consensus	8. Likelihood of change
Governance and programme management								
Governance, strategy and structure								
Programme management and reporting								
Inclusion of and accountability to people living with HIV and other affected communities								
Finance, administration and sustainability								
Financial management and accountability								
Human resources and administration								
Financial and programmatic sustainability								
Influencing the institutional landscape								
Awareness of and collaboration with other organisations								
Research, learning and dissemination								
Organisational credibility and policy influence								
Grant-making								
Strategic partner identification and mobilisation								
Grant management								
Technical support provision								
Technical support skills in HIV and organisational development								
Technical support approaches, attitudes and effectiveness								
Access to resources and knowledge								

Section 4: Workshop narrative report – key findings

This section should synthesise the qualitative data generated from focus groups, interviews, external reviews and workshop discussions. Focus on: perceived areas of high capacity; perceived gaps in capacity; reasons underlying identified strengths and weaknesses; suggestions (from participants) for improving capacity in future.

Capacity area	Narrative results
Governance and programme management • Governance, strategy and structure • Programme management and reporting • Inclusion of and accountability to people living with HIV and other affected communities	
Finance, administration and sustainability • Financial management and accountability • Human resources and administration • Financial and programmatic sustainability	

Capacity analysis report

Capacity area	Narrative results
Influencing the institutional landscape • Awareness of and collaboration with other organisations • Organisational credibility and policy influence • Research, learning and dissemination	
Grant-making • Strategic partner identification and mobilisation • Grant management	
Technical support provision • Technical support skills in HIV and organisational development • Technical support approaches, attitudes and effectiveness • Access to resources and knowledge	

Section 5: Table for recording individual scores

A template for calculating focus group scores is provided here:

	A. Individual participant scores											
Indicator	P1	P2	P3	P4	P5	P6	P7	P8	B. Total score	C. Number of participants[2]	D. Average (B/C)[3]	E. Tick if fewer than 3 different scores given[4]
e.g. The organisational structure is effective for delegating responsibility and sharing information between staff.	2	DK	2	4	3	2	-	-	13	5	2.5	
e.g. The accounting system provides the necessary level of detail to effectively monitor expenditure in a timely manner.	12	2	2	1		DK	-	-	8	5	1.5	✔

[2] Exclude participants answering ‘DK’

[3] Round this figure to the nearest 0.5. For instance, in the first example, 2.6 becomes 2.5

[4] E. gives an indication of the level of consensus. Tick this column if fewer than three different scores were given by participants.

A global partnership:
International HIV/AIDS Alliance
Supporting community action on AIDS in developing countries

Civil society organisation capacity analysis series

The Alliance has developed a series of toolkits to support the capacity analysis and capacity development of the following types of civil society organisation:

- **community-based organisations (CBOs)**
- **non-governmental organisations (NGOs)**
- **networks**
- **intermediaries (organisations that support CBOs, NGOs and networks).**

The Alliance also publishes a range of complementary materials on organisational development, technical HIV issues, and policy and advocacy which can be used to support capacity development efforts subsequent to analysis. To view these resources, please visit the Alliance website: **www.aidsalliance.org** and the NGO support website **www.ngosupport.net**

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