

ORGANISATIONAL CAPACITY ASSESSMENT GUIDE FOR PACIFIC CIVIL SOCIETY ORGANISATIONS

RAISING PACIFIC VOICES
REINFORCING PACIFIC CIVIL SOCIETY



EUROPEAN UNION



OXFAM



PACIFIC DISABILITY
FORUM

PRNGO
Pacific Regional Non-Governmental Organisations
Alliance

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This Organisational Capacity Assessment Guide for Pacific Civil Society Organisations is intended to assist people working to strengthen inclusive, transparent, accountable and effective civil society organisations (CSOs) in the Pacific region. The production of this Guide has been made possible through funding from the European Union, along with the expert advice and valuable contributions of numerous key organisations and individuals who gave generously of their time, feedback and advice over many months.

Oxfam in the Pacific thanks the board and members of our sub-regional country partners who tested the various versions of the tool in this guide. In Melanesia, we worked with the Vatu Mauri Consortium in Vanuatu; in Micronesia, we worked with Radiation Exposure Awareness Crusaders for Humanity – Marshall Islands (REACH – MI); and in Polynesia, we worked with the Civil Society Forum of Tonga (CSFT).

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- Pacific Disability Forum (PDF)
- Fiji Women’s Crisis Centre (FWCC)
- Foundation of the People of the South Pacific (FSPI)
- Greenpeace Pacific
- Pacific Foundation for the Advancement of Women (PACFAW)
- Pacific Concerns Resource Centre (PCRC)
- Pacific Islands Association of Non-Governmental Organisations (PIANGO)
- Pacific Islands News Association (PINA)
- South Pacific and Oceania Council of Trade Unions (SPOCTU)
- Pacific Council of Churches (PCC)
- WWF Pacific (WWF)
- Pacific Network on Globalisation (PANG)
- Pacific Youth Council

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- Reproductive Health Association of Fiji
- Spinal Injuries Association of Fiji
- Young Ecumenists of the Pacific – Fiji Chapter

Working collaboratively with colleagues both inside our own organisations and externally in various countries across the Pacific region can be challenging. However, despite the difficulties we have been encouraged by the shared values and commitment to joint learning among all our partners. We thank you for all your support and advice.

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2018, Suva, Fiji

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BUILDING PLANS



MATERIAL LIST:

- Foundation x 1
- Load bearing x 3
- Posts
- Roof x 1

A. INTRODUCTION

This guide is part of a package of capacity development activities developed by the *Raising Pacific Voices* programme (RPV), a three-year civil society strengthening programme. Funded by the European Union, Oxfam in the Pacific worked in partnership with the Pacific Disability Forum (as the focal point for the Pacific Regional NGO Alliance¹) to develop the RPV in order to strengthen the capacity of civil society groups across the Pacific region.

The RPV programme is a Pacific-designed and Pacific-led initiative. It works on the premise that, in order for civil society groups to credibly challenge power inequalities and poverty, their own ways of working and governance must be accountable and transparent, enabling strong CSO representation at all levels. The programme has a strong focus on:

- **self-determination as an ongoing process in the Pacific.** Raising Pacific Voices supports that vision through the institutional strengthening of civil society partners and the wider Pacific civil society community;
- **taking local ownership of development issues.** This starts by recognising and understanding the institutional capacity gaps that exist in national and regional civil society groups;
- **providing a safe space for regional civil societies** to highlight concerns and share lessons learned, as well as encouraging and engaging civil society in courageous conversations about national and regional governance issues.

An analogy of building a *fale* – the Samoan word for all types of houses, small or large – is used to illustrate the importance and interlinkage of organisational elements. Governance is the foundational element that underpins all other elements. Management, human resources, and finances are three ‘load-bearing posts’ that build the structure of an organisation and allow it to collaborate and influence and, ultimately, to deliver the organisational mandate – illustrated by the thatched roof of the *fale*.

In the spirit of Raising Pacific Voices, this publication is considered a second-stage pilot. The development and initial testing of the tool has been carried out by three partner organisations. It has since been revised considerably taking into account feedback received from partners. This guide in your hands, will be distributed widely for CSOs to further test and provide feedback. Oxfam Pacific welcomes your review of the technical content, the usability, and the accuracy of the rankings.

We look forward to hearing from you!

¹ The Pacific Regional NGO Alliance is a 14-member alliance formed in 2000 to ensure a coordinated approach among Pacific regional NGOs in articulating concerns at national, regional and international levels. Membership of the alliance is a mix of constituency-based regional NGOs and thematic-based regional NGOs.

B. WHAT YOU WILL FIND IN THIS GUIDE

This guide is intended to assist people working to strengthen inclusive, transparent, accountable and effective civil society organisations (CSOs) in the Pacific region.

The guide provides a framework for assessing CSO capacity. It is divided into two sections:

1. Our approach to capacity development of Pacific CSOs; and
2. The organisational capacity assessment process.

The CSO capacity process provides the basis for the development of an organisational capacity assessment plan. A separate guide covers Phase 2, the planning process.

C. OUR APPROACH TO CAPACITY DEVELOPMENT OF PACIFIC CSOS

There is great diversity amongst the CSOs working in the Pacific region: from small, volunteer-based organisations working in villages on remote outer islands to national level umbrella organisations representing a wide range of NGOs in urban capitals. In a region that is home to many culturally and linguistically diverse communities, (more than 1000 languages are spoken), very different contextual realities face CSOs in the sub-regions of Melanesia, Polynesia and Micronesia. A 'one size fits all' approach to capacity development would be entirely inappropriate, given such diversity. For this reason, we have developed and tested our approach with different types of CSOs in each of the sub-regions; in the Marshall Islands, Tonga and Vanuatu.

The approach that has emerged from this process recognises various dimensions of CSO capacity and the fact that CSOs are likely to be at different stages along a spectrum of change and growth. Determining their needs for capacity development should be based on a shared understanding of where a specific CSO is on this journey and where it would like to be. Coming to this understanding involves a process of carefully managed dialogue. We hope that this guide sets out a clear, rigorous framework for such dialogue. We must emphasise that this process is not designed to assess compliance against a set of fixed standards. Neither is it intended to be used to determine an organisation's fitness to receive funding from an institutional donor. A community-based CSO does not have to become a grant-managing NGO to effectively serve its constituents.

Our capacity development approach has two phases:

1. Assessment of CSO organisational capacity, using an organisational capacity assessment tool (OCAT). This assessment is validated with the CSO and potential priorities agreed.
2. Development of an organisational capacity development plan (OCDP) using the priorities as a starting point.

Phase 2 is covered in a separate guide. Both phases aim at deepening engagement of national partners and promoting constructive dialogue among key stakeholders in the capacity assessment process.

D. THE ORGANISATIONAL CAPACITY ASSESSMENT PROCESS

1. THE ORGANISATIONAL CAPACITY ASSESSMENT TOOL

The organisational capacity assessment process involves the use of the Organisational Capacity Assessment Tool (OCAT) shown in section D. This tool provides a framework for assessing what stage a CSO has reached in key areas of organisational functions that are critical for CSOs to become inclusive, transparent, accountable and effective. The functions are:

- governance,
- management,
- human resources,
- finances, and
- collaboration and influencing.

Each of these is made up of a number of elements that are required if the function is to be effective. For example, the elements of the governance function include governance structures and how constituency voices are reflected in governance structures.

The function of collaboration and influencing is linked to the Raising Pacific Voices programme focus on strengthening civil society organisations' institutional and influencing capacity. 'Influencing' refers to the systematic efforts to affect policies, laws and regulations (and their implementation), budgets, company or governing practices, attitudes, beliefs and power relationships in such a way as to promote social justice. As such, this OCAT is designed to assess the organisational minimums for advocacy,

networking and collaboration. A separate tool – the Influencing Capacity Assessment Tool (the ICAT) investigates the CSO’s organisational influencing capacity.

The OCAT provides:

- brief explanations as to why each function and element is important;
- a series of statements that illustrate how a CSO is likely to look at four stages of growth for each function and element. These stages are: (1) planting; (2) seedling; (3) maturing and (4) harvesting; and
- guiding questions to assist assessors in identifying where a CSO stands in relation to these four stages.

2. HOW THE ORGANISATIONAL CAPACITY ASSESSMENT TOOL WAS DEVELOPED

The OCAT was developed through a process of field-testing, review, and refinement. Many people gave their time, some on weekends and evenings, to help us develop the tool, and we are indebted to board members, staff, volunteers and members of the following organisations:

- Radiation Exposure Awareness Crusaders for Humanity, Marshall Islands (REACH-MI), a member-based, volunteer-run CSO in Marshall Islands;
- Civil Society Forum Tonga (CSFT), a national CSO umbrella body in Tonga; and
- Vatu Mauri Consortium (VMC), a multi-stakeholder network in Vanuatu.

We have also drawn on the **Governance, Leadership and Accountability (GLA)** toolkit of Oxfam in Vanuatu.

3. HOW TO USE THE OCAT

In order to facilitate an objective view of the CSO being assessed, the OCAT should be used by individuals who are not connected with the CSO. The process consists of the following steps:

- (1) a review of key documents (where these exist);
- (2) face-to-face interviews or focus group discussions with board members, staff (if any), members and volunteers. The OCAT includes questions that will assist the assessors to identify where the organisation stands in terms of the key functions and dimensions;
- (3) following these conversations, the assessors independently rank the CSO, providing reasons for the ranking;
- (4) the assessors then come together to discuss these rankings and agree on a joint ranking and potential priorities; and
- (5) these findings are then presented and discussed with key members of the CSO, such as the board and senior staff or members.

Because the OCAT statements provide 'pictures' of organisations at different stages of growth, they can also be used to stimulate discussion with CSO board members and staff about what the organisation could look like in the future. This assists with planning and prioritisation (Phase 2).

The length of the assessment process and the time required to conduct it will vary depending on the size of the organisation. Our experience is that small organisations may require one day to review documents and conduct interviews, and two days for ranking, feedback, discussion and agreement on priorities. Larger Pacific CSOs may take up to a week.

STEP 1: DOCUMENT REVIEW

Prior to conducting interviews and discussions with the CSO, key documents should be collected and analysed. This may take up to two weeks.

The following documents should be requested:

- constitution, by-laws or other legal documents;
- registration document;
- strategic plan;
- any documents describing the organisation, explaining its governance and key staff roles;
- annual report;
- audit report;
- organisational policies; and
- organisational procedures and manuals e.g. HR, finance, procurement.

STEP 2: FACE-TO-FACE INTERVIEWS

Face-to-face interviews should be conducted by a team of at least two assessors using the OCAT questions. At least two board members, including the chair of the board and treasurer should be interviewed. There are explanatory notes provided for each function and element of the OCAT. These notes provide the rationale for each set of questions but they should not be read out during the interview. Assessors should use their understanding of the notes to tailor the OCAT questions where appropriate. Detailed notes should be taken of the responses, as they will be used to provide the ranking (step 3). If the CSO has an office, interviews should take place there, as this will allow staff to be consulted or additional documents to be readily reviewed.

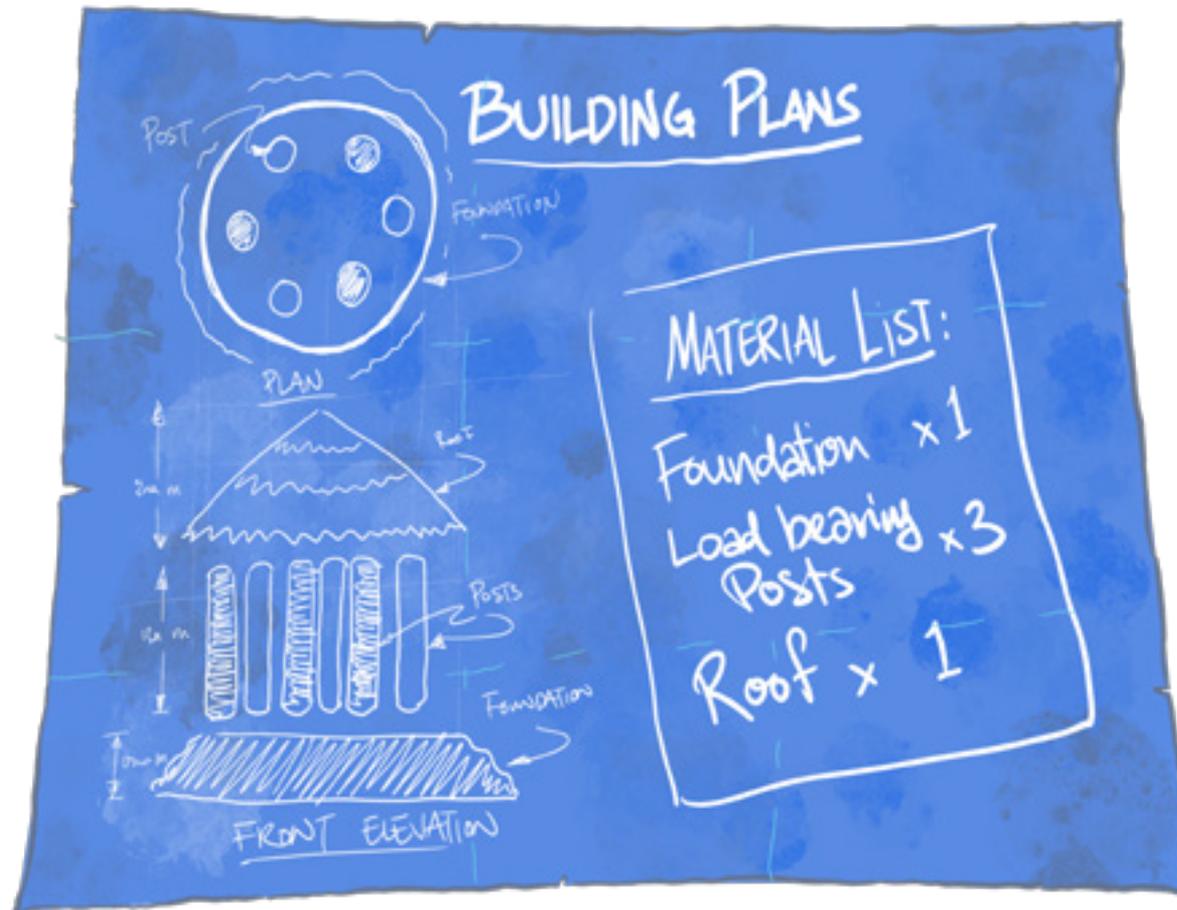
STEP 3: RANKING AND DISCUSSION

Based on the answers provided during the interview, each assessor should provide their own ranking against the 1–4 scale. Assessors will need to exercise judgement in deciding on a ranking as it is unlikely that an organisation will correspond directly with every ranking description provided. A documented justification should be provided for the ranking. Once the assessors have done their individual rankings, they should meet to discuss them and decide on a consensus ranking and recommendations for areas to be prioritised for capacity development. The assessors should prepare a presentation for providing the consensus ranking and recommendations to the CSO.

STEP 4: PRESENTATION AND AGREEMENT

The rankings and recommended capacity development priorities should be presented to the CSO, discussed and any feedback recorded. Consensus should be reached with the CSO on the ranking and prioritised activities. This information should be documented. It will be used to develop the CSO's capacity development plan.

E. THE ORGANISATIONAL CAPACITY ASSESSMENT TOOL (OCAT)



1.0 GOVERNANCE

The governance of CSOs is undertaken by a body that is responsible for ensuring that the organisation is working towards its stated objectives and that it is operating within the law, with its own policies and within its budget. Where the organisation has staff, the board holds those managing the organisation, to account for organisational performance. Beyond legal requirements, the board is expected to act in the best interests of the whole organisation, not in the best interests of any particular individual or group. This governing body may have different names, including board, committee or council.



USE THE QUESTIONS AND SCENARIOS IN THE MATRIX TO ASSIGN A RANKING



1.1 THE PURPOSE OF THE CSO

Every organisation is established for a purpose. This is usually documented in a constitution or a mission statement. The constitution is usually the first document that authorities will review to determine if a CSO is eligible to be registered. It goes further than a mission statement, setting out the responsibilities of the board, the executive and the members. The document provides the framework for steering the CSO, and for inspiring and motivating volunteers, staff, members and donors.

1. What is the purpose of the organisation?
2. Is there a constitution or other document that sets out the purpose or mission of the organisation?
3. Do staff and members of the board know the purpose or mission of the organisation?
4. How is the constitution, purpose or mission used by the board?
5. When was the last time these documents were reviewed?

There is no clear or collectively held purpose or mission for the organisation.	A constitution, or documented purpose or mission statement exists but there is limited awareness of what this is.	A constitution, purpose or mission statement exists, which all board members agree on and are able to articulate.	Board members regularly refer to the vision or mission to guide decisions. All the activities of the CSO are aligned with the vision or mission.
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1.2 REGISTRATION

Registration is the process of obtaining legal authorisation for an organisation to operate. There are different categories of registration (e.g. incorporated and unincorporated) and these entail different obligations.

1. Is the organisation registered with the relevant local authority/authorities? If yes, which ones?
2. If not registered, why not? Are there any plans to register?
3. If registered, are there any legal requirements that your organisation must meet? If so what? (E.g. annual reporting).
4. Have you had any challenges meeting these requirements? (E.g. Filing annual reports, etc.). If so, what?
5. If not registered, to whom does the organisation report on what it is doing (activities, finances, etc.)?

The CSO is not legally registered.	The CSO has started the process of registration but this is not yet complete. The CSO has made a reasoned decision not to register and this is not the appropriate time, given the current aims and circumstances.	The CSO is legally registered but does not or is unable to consistently comply with reporting requirements.	The CSO has registered and consistently complies with reporting requirements. The CSO is not registered but communicates regularly with its key stakeholders (e.g. members, funders, key target group) on what it is doing and on its financial status.
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1.3 GOVERNANCE OF THE CSO

The governing body of a CSO steers the organisation. It helps it to stay focused on its mission while meeting its legal obligations. It ensures that the organisation has the resources required to deliver on its mission. It does this by making policy, appointing the chief executive officer (where the CSO has staff) and approving the CSO strategy and budget. It ensures that an organisation is properly managed and that risks are identified and managed, including preventing fraud and ensuring that safeguards are in place to prevent exploitation and abuse. Where an organisation is registered, the members of the governing body can be held legally accountable if things go wrong.

1. Is there a board/governing committee/council?
2. What is the role of this body?
3. Who are its members?
4. What are their roles and responsibilities?
5. How did they come to understand these? [e.g. Are there ToRs? Is there an induction programme for board members?]

There is no board.	Members of the board understand and agree on the key governance roles and responsibilities of the board. The board meets only when important decisions need to be made.	Leadership for particular governance functions is clearly allocated amongst board members and these members understand their responsibilities (e.g. the treasurer is responsible for finance, reviews annual budget and recommends approval). The board meets regularly.	There are clear ToR's for key board positions. Board meetings include regular reporting, review and discussion on assigned roles and responsibilities. There is an induction programme for all new board members.
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1.4 CONSTITUENCY OF THE CSO

Which group(s) of people does a CSO seek to benefit or speak for? These are its constituents. Without a clear understanding of who its constituents are, what their lives are like and what their concerns and aspirations are, it will be difficult for the organisation to support positive change for that group. This group is best placed to advise on these issues, so it is important to involve them in the CSO's work, particularly in planning its work and making decisions.

1. Who does the CSO seek to benefit or represent? What does it seek to do for this group?
2. Are any of these people involved in the organisation? How? (E.g. through involvement in management, decision-making or governance of the CSO)
3. If no involvement of this group is required, except as beneficiaries, explore if and how the CSO knows what the needs and interests of this group is.

It is not clear or there are different understandings of who the constituency of the organisation is.	The board is clear and in agreement on who the constituency is. Constituents are mainly seen as recipients of CSO services.	The board has a good understanding of the CSO's constituents. Constituents are consulted but not engaged in decision-making.	Members of the constituency are involved in managing or governing the CSO.
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1.5 CSO GOALS AND STRATEGY

If the mission of a CSO describes the CSO's ultimate 'destination', then what needs to be done to reach it? Goals provide a specific focus for CSO work. There should be goals for different areas, e.g. for the services it provides, for fundraising and for influencing. The plan for reaching these goals is the CSO's strategy. Goals and strategy help to provide direction to the CSO, to keep it on track, to organise work and allocate resources. They are important tools to support CSO effectiveness and accountability.

1. What long-term goals does the organisation have?	2. How are these goals used by the board?	3. Is there a plan to achieve these goals?	4. How was this plan developed and who was involved?	5. How is this plan used? By whom?	6. Is this plan reviewed? When? Who is involved?
The board has not considered registration.	The board has made a decision not to register and can provide a good rationale for this decision.	There are organisational goals and a clear strategy in place to achieve them. The board regularly refers to goals and strategy for guiding its decisions.	The organisation has clear goals and strategy developed through a participatory process.		The board uses the strategy to monitor organisational performance; the strategy is regularly reviewed and periodically adapted.

1.6 PROCESS OF MEMBERSHIP OF GOVERNANCE STRUCTURE

Recruitment of board members is a critical task to ensure the board has the right mix of skills needed to fulfil its role. The most common method for recruitment of board members is election by peers. The board should develop a board member job description that articulates a profile of skills, experiences and attitudes the board is looking for, and expectations of board members, including role, performance and minimum commitments (time, meetings, committees, etc.).

1. How do people usually become members of the board?	2. What happens when a board position becomes vacant?	3. If elections occur, when / how often does this happen? Is this a requirement of the constitution or by-laws? [Review of constitution and bylaws]
Appointment to board positions is by existing board members without any consultation or validation with other key members of the organisation.	Board members are appointed, based on clear rationale and justification that key members have accepted.	Board members are elected but there has been no election in the last five years.
		Elections for the board are held at least once every five years and the constitution makes provision for this.



1.7 BOARD ACCOUNTABILITY AND TRANSPARENCY

As the governing body for a CSO, it is important that a board properly documents its decisions and communicates these to its members and staff.

1.	2.	3.	4.
1. Which important matters or decisions has the board discussed/made in the last few months? 2. How are these decisions documented? [Review board reports/minutes if available.] 3. How are these decisions communicated? [Review emails/newsletters.]			
No documentation of board meetings and decisions made.	Inconsistent or ad hoc documentation of board meetings.	Board decisions are documented but available only on demand.	The board records all decisions and these are readily available and communicated to members and staff.

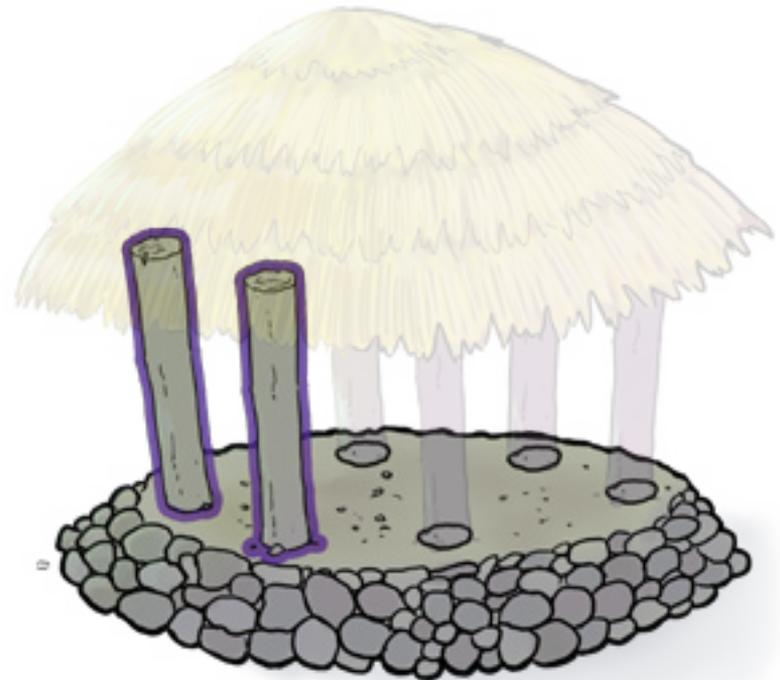
1.8 FINANCIAL SUSTAINABILITY OF THE ORGANISATION

Financial sustainability of an organisation is important, as it speaks to the viability of a CSO to stand on its own feet, without any external donor support.

1.	2.	3.	4.
1. What is the annual cost of running the organisation and delivering its activities? (I.e. what is the budget?) 2. Who funds the organisation? Who are the main providers of this funding? In what form? (E.g. community donations/contributions, government grants, etc.) Which are short term (e.g. one-off donations or less than a year of funding), medium term (more than one year but less than two years) or long term (more than two years)? 3. Does the CSO have an approach or strategy to ensure its financial viability (i.e. ensure that it has enough money or /and resources to continue delivering on its mission and strategy)? What does this strategy involve? Who is responsible for it? 4. Have fundraising targets been set? If so, are they being met? What challenges does the CSO face in funding its work?			
Little or no thought has been given to fundraising. The organisation relies on one-off donations from members or the community and this hampers the organisation in achieving its mission.	The board recognises the importance of fundraising but it is done on an ad hoc basis.	The board is aware of organisational income requirements and has allocated leadership for fundraising to specific individual(s).	The organisation has fundraising targets in place and a diversified strategy for meeting them is being implemented. Revenue covers at least one year's core operating costs.

2.0 ORGANISATIONAL STRUCTURE AND MANAGEMENT

What combination of functions needs to be in place for a CSO to deliver on its mission? A clear organisation structure will identify what those functions are and what human resources will be required to lead and deliver these functions. It helps to organise work, allocate responsibility for that work, provide clarity about this and thus minimise duplication and wasted resources. It is an important tool to support organisational effectiveness, efficiency, transparency and accountability.



USE THE QUESTIONS AND SCENARIOS IN THE MATRIX TO ASSIGN A RANKING



2.1 ORGANISATIONAL STRUCTURE

An organisational structure identifies the key organisational functions, who leads these and who they manage. This is most clearly represented in a diagram, an 'organogram'. This is an important tool for identifying who is accountable for what in the organisation. The organisational structure should be periodically reviewed to ensure that the organisation continues to have the right roles to deliver its strategy.

<ol style="list-style-type: none"> 1. What are the key positions in the CSO? 2. What functions are these positions responsible for? 3. Are these positions responsible for managing others? Are these arrangements documented? How? 4. Are there any functions that are needed for the CSO to deliver on its mission but which are lacking? Which ones? Why are they needed and why are they missing? 			
No organisational structure	An organisational structure exists but staff are not clear what this looks like and/or whether there are overlapping or duplicate roles.	The organisational structure and accountabilities are clearly documented and publically available. The organisational structure is missing one or more functions required for it to deliver its strategy.	Staff understand the organisational structure, key roles and accountability relationships. The structure contains all the key functions required for the CSO to deliver its strategy.

2.2 POLICIES AND PROCEDURES

Policies and procedures set out expected standards for the CSO and provide guidance on how to meet these expectations. New staff should be oriented to policies and procedures and they should be regularly reviewed to ensure that they remain relevant as the organisation changes and grows.

<ol style="list-style-type: none"> 1. Is there any written guidance for members or staff to help them understand how the CSO expects them to do their work? 2. What kind of guidance (prompt policies, procedures) 3. What areas of work does this guidance cover? 4. How does the CSO ensure that this guidance is followed? 			
There are no policies or procedures. There does not appear to be much recognition of their usefulness.	There are a couple of policies in place but no process for inducting/orienting staff on them.	There are policies and procedures that cover most key areas but there is no process to ensure that these are embedded into the CSO's ways of working.	Policies are in place, and the CSO has processes and resources to support staff to apply them. Policies are periodically reviewed to check that they remain relevant.



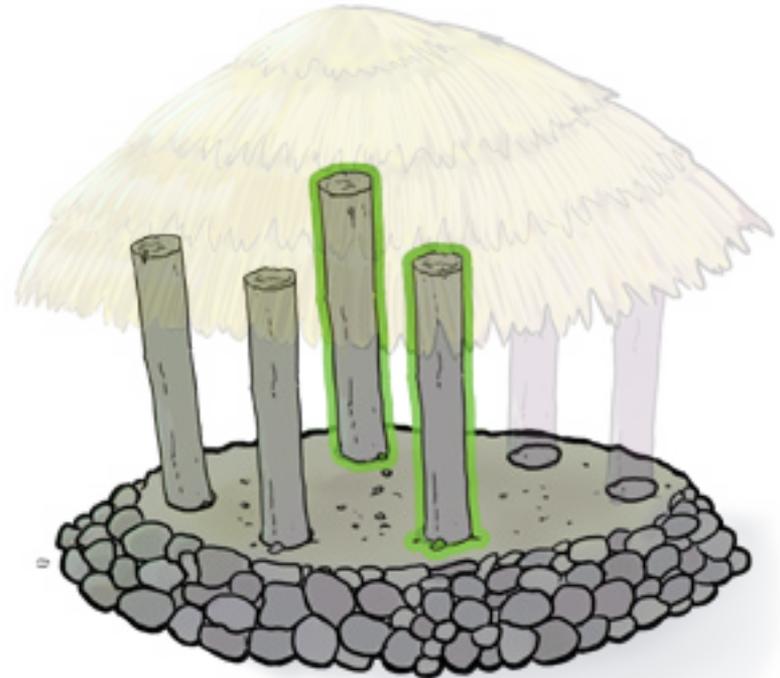
2.3 ORGANISATIONAL REVIEW

CSOs need to reflect on whether they are achieving their mission and if the work they are doing is having an impact on their constituents. They need to investigate if their strategies are working and if not, why not. Organisational review and learning processes accomplish this.

<ol style="list-style-type: none"> 1. Does the CSO assess or review its work? How often? 2. What aspects of the CSO's work does this cover? How is the assessment/review done? Who is involved? 3. How are the findings of this assessment / review used? And are they communicated? To whom and how? 			
No organisational assessment or review.	Organisational review not conducted on a periodic basis. Review recommendations not implemented.	Organisational review conducted but not independent and not inclusive, participatory or comprehensive.	Reviews conducted regularly, recommendations communicated and implemented.

3.0 HUMAN RESOURCES

CSOs create positive benefits for people, including those involved with the organisation. The human resource function should make sure of this. Human resources policies and procedures help to ensure that a CSO is able to attract and retain the right staff to deliver on its mission. This encompasses recruitment, remuneration, performance management, staff safety, staff development and training, and compliance with relevant laws and regulations.



USE THE QUESTIONS AND SCENARIOS IN THE MATRIX TO ASSIGN A RANKING



3.1 RECRUITMENT

Recruitment is the process of ensuring that an organisation is staffed by people who will enable it to deliver its mission and strategy.

<ol style="list-style-type: none"> How are staff recruited to the CSO? How does the CSO ensure that it attracts candidates who are adequately qualified and competent to perform the requirements of the role? [Explore advertising, use of job descriptions, reference checks, etc.] Are there policies that cover recruitment and termination? [If so, review]. Are these clear and accessible for all staff? How does the CSO deal with conflicts of interest that may be encountered in recruitment? 			
<p>Little understanding or recognition of the purpose and importance of having procedures for staff recruitment.</p> <p>Staff have been recruited primarily on the basis of their relationship to board or staff rather than their qualifications or experience.</p>	<p>There is a recruitment policy but it is inadequate or inconsistently applied.</p>	<p>The organisation has a clear and sound recruitment procedure, which is generally followed and understood by staff.</p>	<p>A clear recruitment policy is developed and consistently followed for internal and external candidates.</p> <p>Conflict of interest is always declared and managed.</p>

3.2 JOB DESCRIPTIONS

Job descriptions (JDs) set out the purpose, responsibilities and requirements of a position in a CSO. Each member of staff should have one. It makes it clear what the CSO expects of the role and provides the basis for managing staff performance. JDs should be periodically reviewed to ensure that the CSO continues to have the right roles and skills to deliver its strategy.

<ol style="list-style-type: none"> Does the organisation have job descriptions? For every role / which roles? Are these job descriptions clearly linked to the organisational structure? How are job descriptions used/What are they used for? 			
<p>There are no written job descriptions.</p>	<p>Job descriptions are unclear and/or with some positions having overlapping roles and responsibilities with other positions.</p>	<p>Job descriptions do not clearly align with the overall organisational structure/ functions and accountabilities under these functions (refer to 2.1).</p>	<p>Job descriptions are clear and aligned with the overall organisational structure/ functions and accountabilities under these functions (refer to 2.1) and are periodically reviewed and updated.</p>



3.3 PERFORMANCE EVALUATION/APPRaisal

The appraisal process is used to assess staff performance against the requirements laid out in the job description and/or in work plans. Performance evaluation benefits both employee and employer. It allows both to recognise good performance and identify areas for improvement. It is an important tool for both staff accountability and staff development.

1	2	3	4
<ol style="list-style-type: none"> 1. What policies/guidelines are available (if any) for staff performance review? [If these exist, review them.] 2. What is the procedure of a performance review? 3. How often does it happen? Is it documented? 4. Who conducts the performance review? 			
There is no mechanism for reviewing work or staff performance.	Reviews and performance appraisals occur on an ad hoc basis.	A performance review/appraisal system is in place but inconsistently followed.	Performance review systems (including reviews from supervisors and co-workers) are in place, consistently followed, well documented and filed.

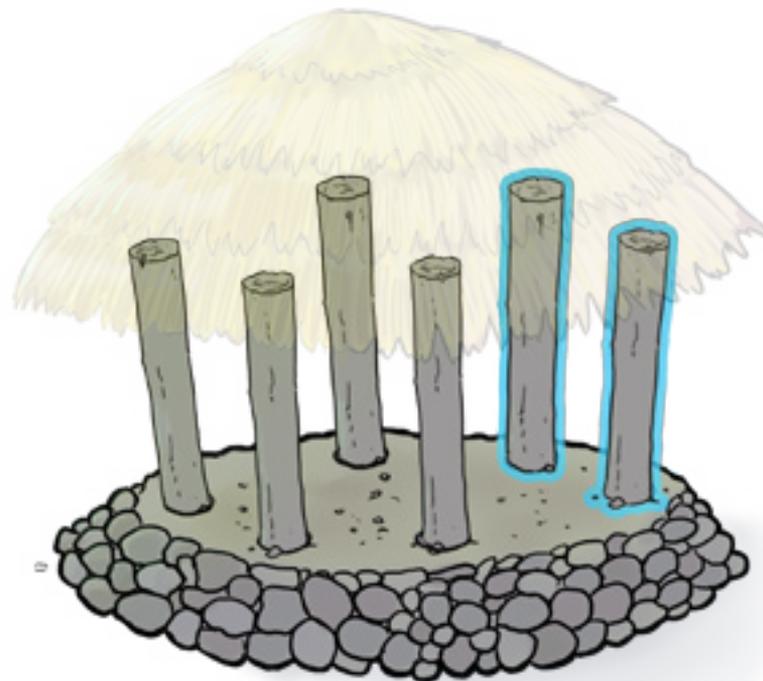
3.4 STAFF DEVELOPMENT

Staff development activities help to ensure that staff continue to have the skills necessary to deliver the CSOs strategy as it develops. Staff development also allows the CSO to strengthen employee performance by addressing weaknesses that have been identified through the performance review process. It also helps to ensure that staff career aspirations are addressed, thus helping the CSO to retain staff.

1	2	3	4
<ol style="list-style-type: none"> 1. How does the CSO ensure that staff continue to have the skills required to deliver on its mission/strategy? 2. What is the organisation's policy/procedure on the selection of staff for training and/or development opportunities? 3. Is there a staff development plan/strategy available? How and when is the staff development plan/strategy developed and who are involved in its development? 4. Are decisions on staff development documented? Who can access these documents if it is not confidential? 			
Only one or two staff benefit from training/professional development activities.	Selection of staff to attend training/professional development opportunities (including participation at conferences) is ad hoc.	The organisation has a strategy for staff development that is aligned to the organisational strategy but is inconsistently implemented.	A staff development strategy is adequately resourced and implemented.

4.0 FINANCES

CSOs in the Pacific rely on financial donations from a wide range of sources, including community members, other CSOs, national governments and international donors. Good financial management practice helps ensure that these resources are used to achieve organisational goals. It helps the CSO to be accountable to those who have entrusted it with their money. It ensures that the CSO plans for (budgets), monitors, records and reports on the use of financial resources in accordance with legal requirements.



USE THE QUESTIONS AND SCENARIOS IN THE MATRIX TO ASSIGN A RANKING



4.1 FINANCIAL RECORD KEEPING

Record keeping is the design of a proper accounting system, which involves recording daily business transactions, and keeping the relevant bills and receipts to validate all expenses claimed. Good record keeping allows accurate financial statements to be prepared.

<ol style="list-style-type: none"> Is there a proper process of documentation of financial transactions? Is this encapsulated in a policy/guideline? Is this structured – what is the usual process/steps of recording transactions? How often is it done? Who is responsible for updating and providing summaries of financial transactions? How often is this report produced and who can access it? 			
No reliable records of financial transactions are kept and receipts are not retained.	Transactions are recorded in a cashbook but not kept up to date. Funds from different sources are often confused. Many transactions lack supporting vouchers or receipts.	Most transactions are recorded accurately and promptly but supporting documents are not always available or filed in a systematic manner.	All transactions are recorded accurately and promptly with all supporting documentation readily accessible.

4.2 FINANCIAL AND CASH MANAGEMENT

Cash management processes refer to rules for keeping cash in the office, and what it can be used for, how payments are made, the signatories, the supporting documents required, etc.

<ol style="list-style-type: none"> What financial and cash management policies, guidelines and procedures does the organisation have? Are these available in a manual/booklet and/or an electronic copy? Where are they stored? Who/when were they developed? Who was involved in the development? Have they ever been reviewed? 			
Financial policies or procedures have not been established.	Some financial procedures have been developed but are often ignored in practice.	Written financial policies and procedures are in place but need improvement.	Financial policies and procedures are adequate and meet current needs.



4.3 BANK ACCOUNT AND CASH BOX

All organisations are required by law to have a bank account. Bank accounts offer convenience, safety, protection and can allow the organisation to earn interest. The cash box is used for small business transactions and petty cash needs; these need to be accurately recorded and documented.

1. In which bank are the CSO's funds stored?
2. Who are the signatories for the bank account/s? How were these decided?
3. Is there a procedure for handling petty cash? What is it?
4. Does the organisation have a safe and/or a cash box? Who has access to the cash box/safe?

The organisation has no bank account or its funds are held in the personal account of an individual.	The organisation has a bank account and a cash box or safe but staff occasionally borrow money, occasionally confusing petty cash with personal money.	The organisation regulates funds held in the bank and in cash. At least two signatories are required to access the bank account.	The organisation maximises interest from the bank accounts and carefully monitors cash-flow.
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4.4 CASH AND BANK RECONCILIATION

A bank reconciliation compares a CSO's records to those of the CSO's bank to see if there are any differences between these two sets of records. Bank reconciliations are an essential internal control tool and are necessary to prevent and detect fraud. They also help identify accounting and bank errors.

1. Does the organisation conduct cash and bank reconciliation on its accounts regularly? How often?
2. Who conducts bank reconciliation? Is this made available and who can access it?

The need for reconciliations is not recognised and none are conducted. There is little distinction between the organisation's money and personal funds of the holder.	Cash and bank reconciliations are rarely conducted, if at all. The bookkeeper may also hold and issue petty cash.	Cash and bank reconciliations are conducted quite regularly. The functions of the bookkeeper and cash holder are distinct.	Cash and bank reconciliations are conducted monthly on all accounts. Independent checks on cash-in-hand are undertaken periodically.
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4.5 CASH-FLOW PREDICTIONS/FORECAST

A cash-flow forecast is an estimate of the amount of money that is expected to flow in and out of the CSO. It includes all the projected income and expenses. A cash-flow forecast helps management to plan in advance so that the CSO has enough cash to pay suppliers and employees when it is supposed to.

<ol style="list-style-type: none"> Does the organisation conduct cash flow predictions/forecast? How often is this done? Who is responsible for conducting cash-flow predictions/forecast? [Explore the process.] Does the forecast/prediction accurately address the needs of the organisation? 			
There is no idea of how or why to predict cash-flow needs. Work is often stopped due to lack of funds on hand.	No cash-flow predictions are made and cash-on-hand is often too much or too little for needs.	Cash-flow predictions are made occasionally and cash-on-hand is generally consistent with needs.	Cash-flow predictions are done regularly and available cash usually meets current needs.

4.6 FINANCIAL REPORTING

Financial statements reveal what money the organisation has received and how it has been spent. They can be used to identify underspending and unauthorised expenditure. Thus, they are a key tool for holding staff and board accountable. Financial reports are required by law and need to adhere to accounting standards.

<ol style="list-style-type: none"> Is there a plan and timeline for financial reporting – both internally and externally? Are financial reports in line with internal reporting processes and mechanisms? Who prepares the financial reports? Where are they stored and who has access? 			
Financial reports are prepared only when required by a donor. They exist but do not present an accurate account of income and expenditure.	Financial reports are occasionally prepared but reflect what is thought will satisfy a donor rather than the reality. Reports are often late.	Reasonably accurate reports are prepared regularly but often confuse projects and sources of income. Reports are usually on time.	Accurate reports are done, clearly differentiating projects and income sources. Reports are completed and sent out by or before the due date.



4.7 MANAGEMENT AND SHARING OF FINANCIAL REPORTING

The CSO board must keep track of organisational finances. This includes periodic financial statements or reports that provide a comprehensive overview of the organisation's financial status. The board should establish financial controls and policies that prevent error and fraud, ensure compliance with financial processes and procedures, approve future budgets for planned activities, and ensure financial stability and sustainability for the organisation.

<ol style="list-style-type: none"> 1. Is there a process of sharing of reports internally – board and staff? 2. It is readily accessible? Who can access it? 3. What are some key decisions made by the board in the last three months, based on the report? Please explain why each decision was made, how it was communicated and to whom? 			
Staff and board members never see reports and cannot understand them anyway.	Some reports are made available to management and board members but not regularly.	Management and board members receive reasonably accurate and timely reports.	Management and board members receive complete, accurate and timely reports on which to base decisions. Staff regularly have access to most financial information.

4.8 BUDGETING

Budgeting determines how much it will cost to deliver the CSO's activities. With this knowledge, the CSO can work to ensure that the organisation has sufficient resources to deliver them. Staff delivering the activities of the CSOs and those managing its finances should be involved in budget preparation. The budget should be approved by the board to ensure that it reflects the CSO's strategic plan.

<ol style="list-style-type: none"> 1. Is there a policy/guideline on how project/program budgets are prepared? Who was involved in its development? 2. What is the vetting and approval process? 3. What is the annual budget of the organisation? What is the annual project budgets? 4. Does the organisation have any strategy or approach to analyse the funding risks and develop plans to deal with them? 5. Who developed this strategy/approach and who all were involved? 6. When was this developed? Did you review it? If yes, how often? 			
No one knows how to prepare budgets	Project budgets are prepared but there is no organisational budget.	Project and annual programme/organisational budgets are prepared.	Project and multi-year programme/organisational budgets are prepared.



4.9 MANAGING EXPENSES

Proper management of expenses by a CSO is crucial to maintaining accountability and ensuring that expenses are appropriately linked to agreed budget lines.

1. Does the organisation have an expenditure plan (against budget – annual, quarterly or project timeline) available? When and who developed it? Who was involved in its development? 2. How is expenditure monitored? Who monitors it and how often?			
Expenditure is determined solely by funds on hand.	Little or no attention is paid to budgets when choosing activities and spending the funds.	Expenses are monitored against budgets but no action is taken when problems are identified.	Expenses are closely monitored against these budgets and corrective action is taken when problems arise.

4.10 PROCUREMENT

Procurement is the process of ordering, receiving and paying for goods and services.

1. Does the organisation have a procurement policy/guideline? Does it include a bidding process? Does it include a process for collecting quotes? 2. Are there approval limits and at what levels? 3. What is the monitoring process regarding procurement?			
No procedures are set up for purchasing goods and services. Purchasing is often done only by the coordinator.	Some purchasing procedures exist but are not practical and are often ignored by management.	Clear purchasing procedures are in place, and proper authorisation is obtained in most instances.	Procurement procedures are in place and are followed. Quotations are obtained for purchases over a certain limit.



4.11 ASSET MANAGEMENT

Assets are items of high value, such as office equipment, vehicles and property that the CSO owns. Asset management is the process of planning what assets are needed, safeguarding and ensuring the best use of these assets for the CSO's activities. Assets should be insured and their use should be controlled through an asset register.

<ol style="list-style-type: none"> Does the organisation have a policy/manual on the management and maintenance of assets? When was it developed and who was involved in the development? Does the organisation have an asset register? Are all assets labelled and stored carefully? Who monitors and updates the asset register? Are assets insured? Is anyone responsible for ensuring that assets are insured and properly maintained? 			
No inventory or asset register is kept. No stock control system is set up.	Maintenance of assets is done only when items are needed. Items are often not working properly.	One person is responsible to maintain the assets but this is not done routinely.	All items, including computers, are serviced regularly in accordance with a maintenance schedule.
No one maintains the assets of the organisation. Things are left broken and unusable.			

5.0 COLLABORATION & INFLUENCING

Influencing means systematic efforts to change power relationships, attitudes, and beliefs, and the formulation and implementation of official policies, laws/regulations, budgets, and company policies and practices, in ways that promote more just societies without poverty. Depending on the context, influencing can include: leveraging of programme experience; advocacy; campaigning (including coalition building, research, policy development, lobbying, media, and digital tools); mobilisation (of activists, supporters, and citizens); coordinated communication and networking; capacity development (of citizens, partners, civil society and duty bearers); partnerships; and strategic funding. Duty bearers can include public, semi-public and private entities. Influencing – through advocacy, networking and collaboration – has a key role to play in every country. To influence effectively at the national level, organisations need capacity across a number of strategic areas. This tool is focused on **organisational minimum competencies for influencing** and can be used to highlight the areas in which the organisation is an expert and also to identify opportunities to become stronger agents of change.



USE THE QUESTIONS AND SCENARIOS IN THE MATRIX TO ASSIGN A RANKING



5.1 ALLIANCES

Organisations need to work with partners and allies who share the organisation's core values and who agree to work jointly towards common goals, even though their institutional mandates and long-term purposes may be different. An organisation needs to understand power dynamics to support alliances for solidarity and for initiating relationships with stakeholders to achieve organisational objectives. The nature of relationships with a particular organisation may evolve over time or vary across programmes.

<p>1. Do you need to work with or talk to other organisations or key people or government departments /agencies / people or community members and groups in order to meet your organisation's vision and programme objectives?</p> <p>(List your stakeholders, partners, government departments and agencies, explaining why the relationship is important, and rate each relationship as either: supportive/not supportive, decision-maker, gate-keeper, or influential.)</p>			
<p>2. How have you worked with partners or stakeholders to achieve your vision or programme goals?</p> <ul style="list-style-type: none"> Given an example of what you did and why and how the partners/stakeholders worked together. What were the enabling factors? What were the challenges? 			
<p>3. What was a lesson learnt in this example?</p>			
<p>The organisation has no interest in working with other actors.</p>	<p>The organisation collaborates with other actors with a similar mandate on a reactionary/opportunistic basis.</p>	<p>The organisation recognises the importance of working with others and has taken steps to develop relationships with other actors with a similar mandate but has not reached out to engage with gatekeepers and decision-makers.</p>	<p>The organisation understands the level of influence of stakeholders, alliances and who gatekeepers and decision-makers are.</p> <p>The organisation has targeted and strategic partnerships with a range of actors, including with gatekeepers and decision-makers.</p>



5.2 ADVOCACY

There is a range of activities that are clustered under the generic term advocacy, including lobbying the government, lobbying the private sector, public campaigning, media work and digital influencing. These questions explore the CSO's organisational capacity for strategic advocacy and lobbying demonstrated through 'lived experience' and lessons learnt.

<ol style="list-style-type: none"> Do you promote your work externally in any of the following ways: <ul style="list-style-type: none"> through public campaigns? through local or international media? through social media? Do they know who they need to reach out to in order to give visibility to their work and why they need to do this. Give an example of how this was done and what the outcome was. What were the enabling factors? What were the challenges? What was a lesson learnt in this example? 			
<p>The organisation has no recognition of the importance of advocacy work and is not undertaking any advocacy activities.</p>	<p>There is recognition of the importance of advocacy but the CSO has not undertaken any advocacy activities.</p>	<p>The organisation is engaged in a range of advocacy initiatives but this is not targeted or strategic (addressing environmental enablers), and has not advanced policy positions (has not effected change).</p>	<p>The organisation has effectively utilised a range of advocacy strategies and tactics to achieve or progress towards its objectives (has effected change).</p>



5.3 HUMAN RESOURCE CAPACITY AND TECHNICAL COMPETENCE FOR INFLUENCING

Influencing requires technical competence and human resource capacity. This can be quite intensive in terms of programme time and investment. It is important that an organisation considers who is able and available to undertake an influencing activity.

1. Whose role in the organisation is it or would it be to implement an advocacy campaign or similar type of activity?		2. Do they have time to undertake an advocacy campaign? Or would you need to recruit another person?	
<p>The organisation does not have any staff available to dedicate time towards an influencing initiative, nor the support of a membership or engaged alliance.</p>	<p>The organisation has human capacity who can dedicate time to coordinate an influencing initiative but lacks the broader support from a membership network or other advocacy base to support implementation.</p>	<p>The organisation has at least one staff member who can dedicate time to coordinate implementation of an influencing initiative.</p> <p>The organisation has a membership network and an engaged alliance (advocacy base) that can provide human resource capacity to implement an influencing initiative.</p> <p>The human resources available require capacity development to gain the skills required for implementing an influencing initiative.</p>	<p>The organisation has at least one staff member who can dedicate time to coordinate implementation of an influencing initiative.</p> <p>The organisation has a membership network or engaged alliance with members who can provide human resource capacity to implement an influencing initiative.</p> <p>Human resources available have the skills required to implement an influencing initiative.</p>



5.4 CAPACITY FOR UTILISING RESEARCH

This question explores the organisation's experience of conducting and utilising research that would be considered an asset for influencing initiatives. The organisation has valid evidence to provide justification for change, to support influencing initiatives.

What research, documentation or evidence do you have to support your work?

The organisation does not have, nor does it use, any documented research or other documentation to support programmatic work or to influence initiatives.

The organisation knows what research and documentation is needed but has not collected or compiled it, nor can it find or undertake it.

Research has been done/ compiled, or information has been collected and provides a strong body of evidence, but the organisation does not have the experience to use it.

The organisation may have distributed some research but has not targeted it to specific audiences/decision makers.

The organisation has collected evidence (research, documented stories, policies) to support an influencing initiative.

The organisation has used research previously to support influencing initiatives.

Research has been rearticulated for specific audiences /decision makers.





