

# THE ORGANISATIONAL CAPACITY ASSESSMENT GUIDE FOR PACIFIC CIVIL SOCIETY ORGANISATIONS (SECOND EDITION)



**RAISING PACIFIC VOICES**

REINFORCING PACIFIC CIVIL SOCIETY

## **ACKNOWLEDGEMENTS**

This Organisational Capacity Assessment Guide for Pacific Civil Society Organisation 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 was made possible through the expert advice and valuable contributions of key organisations and individuals. Acknowledgement is attributed to the following organisations and individuals:

### **COUNTRY PARTNERS**

- Board and Volunteers of Radiation Exposure Awareness Crusaders for Humanity (Marshall Islands)
- Board and Staff of the Civil Society Forum of Tonga
- Board, Staff and Members of Vatu Mauri Consortium (Vanuatu)

### **PACIFIC REGIONAL NGO ALLIANCE**

#### **ORGANISATIONS THAT PARTICIPATED IN THE PRE-TESTING EXERCISE IN SUVA, FIJI:**

- Bua Urban Youth Network
- Creating Environment Advocacy and Social Empowerment for Youth
- Innovation 4 Change Pacific Hub
- National Youth Council of Fiji
- Pacific Youth Council Technical Advisory Group, Suva
- Reproductive Health Association of Fiji
- Young Ecumenist of the Pacific Fiji Chapter
- Spinal Injuries Association of Fiji

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# THE ORGANISATIONAL CAPACITY ASSESSMENT GUIDE FOR PACIFIC CIVIL SOCIETY ORGANISATIONS (SECOND EDITION)

2021, Suva, Fiji

## RAISING PACIFIC VOICES

REINFORCING PACIFIC CIVIL SOCIETY



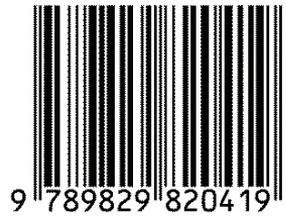
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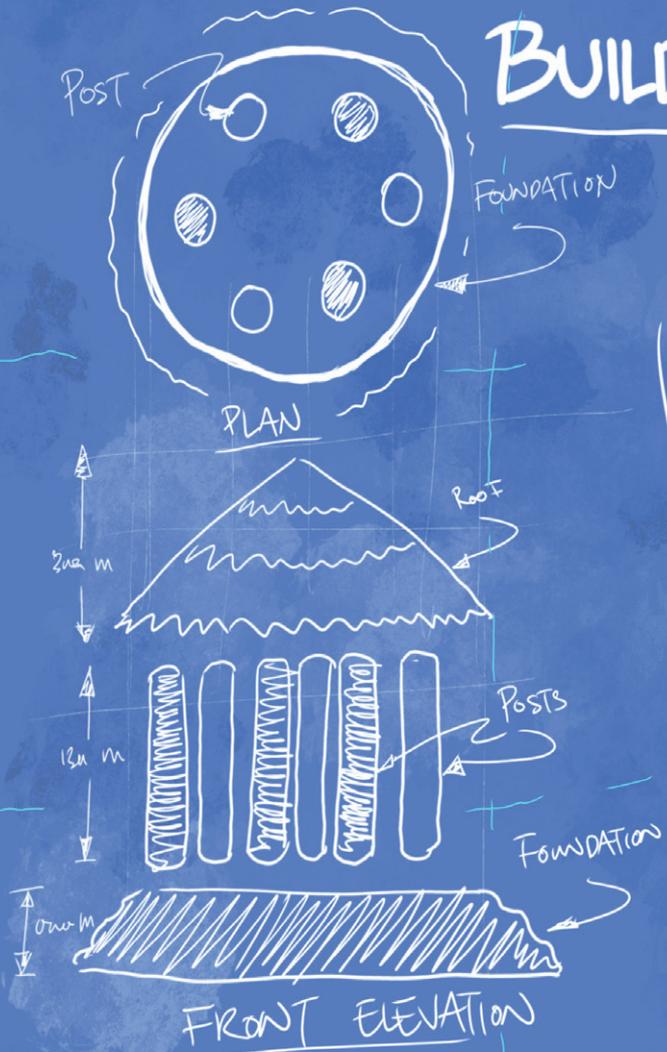
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# BUILDING PLANS



## MATERIAL LIST:

- Foundation x 1
- Load bearing Posts x 3
- Roof x 1
- Fixtures & fittings

## 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 Alliance<sup>1</sup>) 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 of the tool has been tested by three partner organisations and has been revised considerably. This version 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.

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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.

Please send your feedback, entitled 'OCAT feedback' to: [info@oxfampacific.org](mailto:info@oxfampacific.org)

Or post to:

**Capacity Building Advisor – Raising Pacific Voices Programme**  
**Oxfam Pacific**  
**G. P.O. Box 13184**  
**Suva, Fiji**

We look forward to hearing from you!

## **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 among 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), CSOs face very different contextual realities 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 countries from each of the sub-regions, namely 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 in which direction it would like to go. 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 through the Rebbilib exercise; and the
2. Development of an organisational capacity development plan (OCDP) using the priorities as a starting point.

These phases aim at deepening engagement of national partners and promoting constructive dialogue among key stakeholders in the capacity assessment process. Phase 1 can also be done in 2 ways – either through an independent assessment or a self-assessment by the CSO concerned.

## 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
- collaboration and influencing
- safeguarding

Each of these is made up of numerous elements that are required if the function is to be effective. For example, the elements of the governance function include governance structures and how they reflect constituency voices.

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 on 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 identify 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. We are indebted to the 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, and the One Oxfam Partner Integrity Assessment.

It has been further refined to include Safeguarding, and we consequently indebted to the following organisations for their participation in the field-testing, review and refinement:

- United Nations Children’s Fund (UNICEF)
- Vanuatu Christian Council (VCC) in Vanuatu;
- Soqosoqo Vakamarama-i-Taukei (SSVT) in Fiji
- Rise beyond the reef (RBTR) in Fiji
- Rainbow Pride Foundation (RPF) in Fiji
- Women in Fishers Network Fiji (WIFN) in Fiji
- Pacific Center for Peacebuilding in Fiji

## **3. HOW TO USE THE OCAT**

The OCAT may be utilised in two different ways. One means of using the OCAT would be via the traditional independent assessor or assessing team, and the second means being that of a self-assessment by the CSO concerned. 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:

**INDEPENDENT ASSESSOR/ASSESSING TEAM:**

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 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/members.

*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.*

**SELF-ASSESSMENT BY CSO:**

1. a review of key documents (where these exist);
2. convening of a workshop for the CSO concerned, where all levels within the organisation are represented amongst the participants, i.e. board members; staff (if any); and members;
3. Workshop participants to be split into groups according to their role within the organisation, i.e. board; staff; and members, and using the OCA Guide, each group is given ample time to discuss and rank the CSO, according to their knowledge of the CSO and providing reasons for the ranking. Each group is given newsprint with the OCA Guide matrix thereon, together with ether different coloured dot stickers/sticky notes to paste on the newsprint signifying the rank assigned;
4. Groups present separately on their ranking to all workshop participants, and have open discussions around the same;
5. All workshop participants to discuss the rankings assigned and agree to a final ranking, providing the reasons for the same. *At the end of the exercise, there should be an agreed final newsprint containing the agreed to ranking (noted by coloured dot stickers /sticky notes, together with comment on reasoning).*

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

### **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.

## **INDEPENDENT ASSESSOR/ASSESSING TEAM:**

### **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 board chair 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

## **SELF-ASSESSMENT BY CSO:**

### **STEP 2: OCA WORKSHOP**

The OCA workshop convened by the CSO should include participants and representatives from all the levels within the organisation, i.e., Board; Staff (if any); and members. It is also critical that there is a gender balance amongst participants, and that all vulnerable groups are duly represented (persons with disabilities, LGBTQI groups, etc).

### **STEP 3: GROUP DISCUSSIONS AND RANKING**

After some introductory sessions have been undertaken explaining the five pillars of organisational capacity covered in the OCA Guide – the workshop participants are to be split into different groups dependent on their numbers. If there are sufficient numbers for members of each level within the organisation to be split amongst the groups – please allow for a board member, staff and CSO member to be within each group. If participants numbers are however

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.

insufficient, please split the groups specifically according to the level within which they are in the CSO – board members; staff; and CSO members.

Each group is to be given newsprint with matrix printed aligned to the OCA Guide areas – Governance; Organisational Structure and Management; Human Resources; Finances; & Collaboration and Influencing.

Using the OCA Guide, the groups are to read, discuss among themselves and decide which rank the CSO is at with respect to the different aspects of Governance, etc.

The groups may be signify what rank they place the CSO at, by pasting a sticker dot in the appropriate cell within the newsprint matrix.

#### **STEP 4: GROUP PRESENTATION AND AGREEMENT**

After the groups have completed ranking for all the areas – each group should present their findings to the workshop and explain how the decision was reached.

All workshop participants to discuss the rankings assigned and agree to a final ranking, providing the reasons for the same. At the end of the exercise, there should be an agreed final newsprint containing the agreed to ranking (noted by coloured dot stickers /sticky notes, together with comment on reasoning),

## 4. THE REBBILIB EXERCISE – MAPPING A WAY FORWARD

The word **Rebbilib** refers to “a *Micronesian navigation stick chart of islands, swell and wave patterns through which master navigators taught students before setting out on a voyage*”<sup>2</sup>. The picture below depicts what a Rebbilib looks like. The shells on the Rebbilib represent atolls and islands.

The analogy of a mapping a Rebbilib with CSOs, allows CSOs to map out:

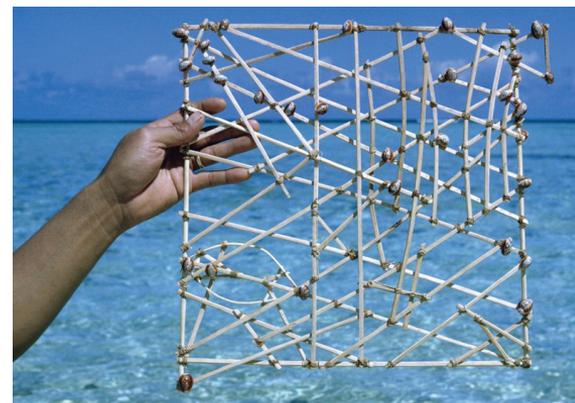
- Priority areas for focus;
- Links between each priority area and how it would impact the other.

This exercise is best undertaken after the organisational capacity assessment has been completed – and can form the bridge between the capacity assessment, and what will become the CSOs organisational capacity Development Plan.

The Rebbilib exercise can be facilitated with the CSOs at the workshop where a self-assessment is undertaken, or later on by the assessing team at the validation workshop.

The crux, however, of the exercise is to allow the CSO and its stakeholders to understand and form self-determine the future direction that should be taken by the CSO, in order to address any capacity gaps identified.

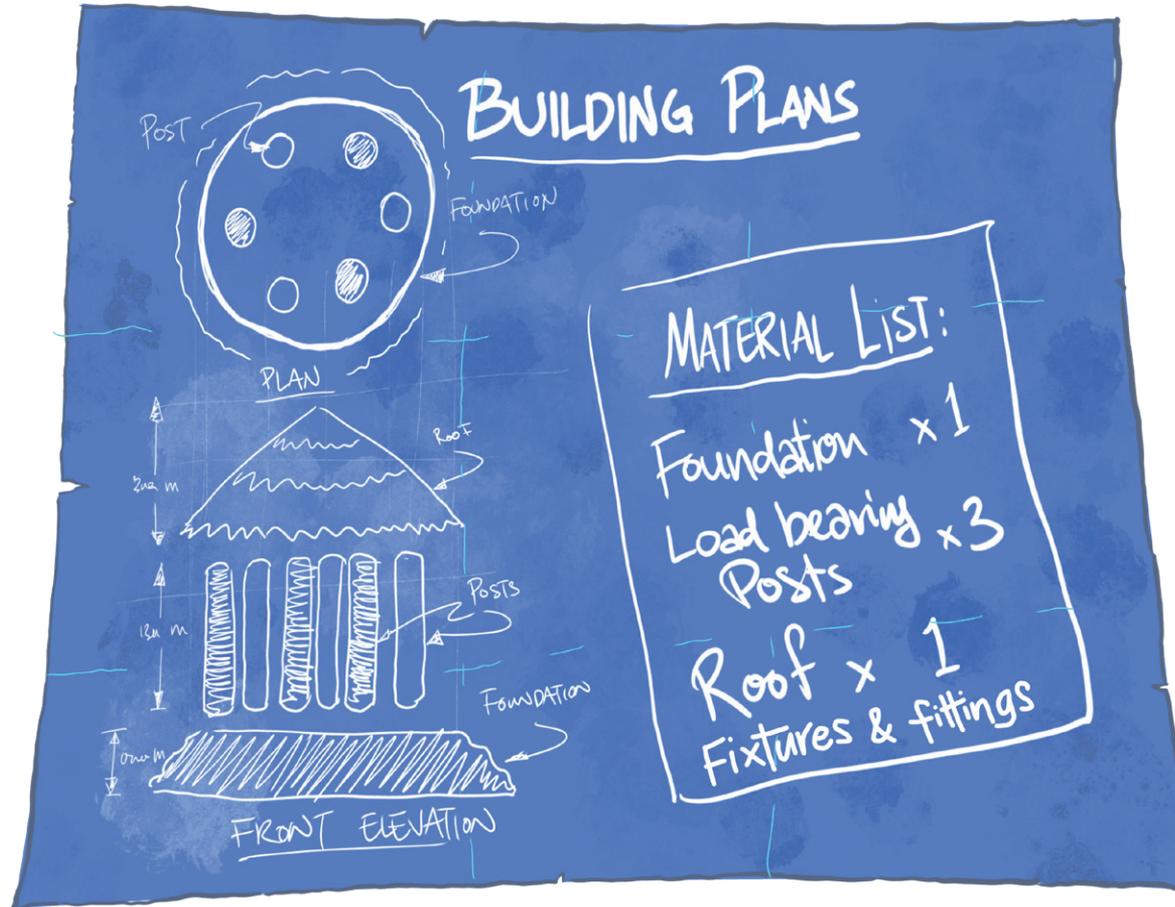
The FINAL newsprint containing the agreed to rankings (signified by the sticker dots) of the CSO should be utilised to in this exercise to join the dots, in terms of prioritising the areas which required focus first, and linking to one another as having a trickle on effect. In addition to prioritising and linking the actions, an additional column should be added to the newsprint matrix titled “Planned actions”. These will set out what the workshop participants believe should be undertaken, taking into account all sharing from the different groups as well as the introductory sessions on Governance; Organisational Structure and Management; Human Resources; Finances; and Collaboration & Influencing.



**Figure 1 Rebbilib (Photo courtesy: Walter Meayers Edwards, Source: National Geographic)**

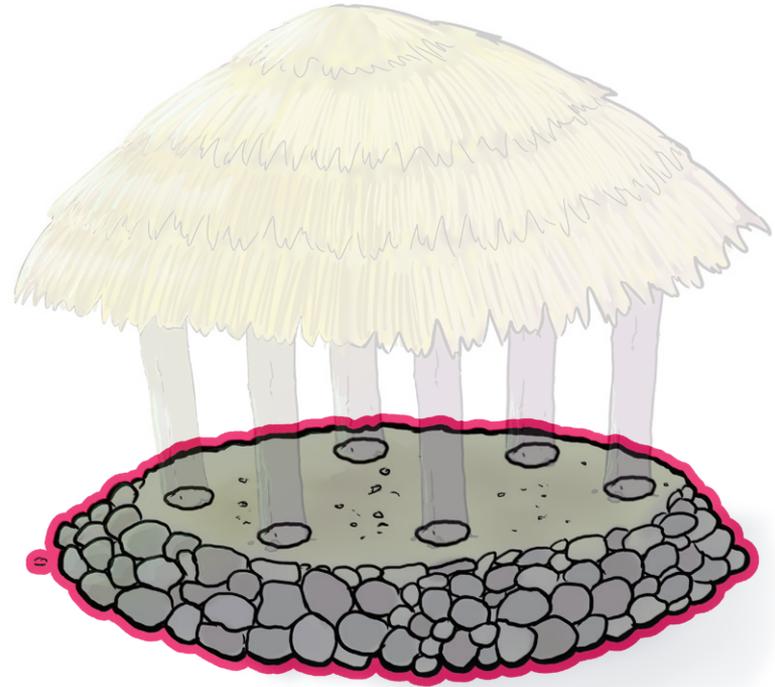
2 Rebbilib extracted from materials shared by the Pacific Community at the “Pacific MEL Convening Forum” convened in Nadi (August 2019): <https://www.spc.int/sites/default/files/eventfiles/2019-07/The%20Pacific%20MEL%20Convening%20%20pager-FINAL%20VERSION-19July2019.pdf>

## 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, within its policies and 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.



STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>1.1 THE PURPOSE OF THE CSO</b> 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.</p>	<ol style="list-style-type: none"> <li>1. What is the purpose of the organisation?</li> <li>2. Is there a constitution or other document that sets out the purpose or mission of the organisation?</li> <li>3. Do staff and members of the board know the purpose or mission of the organisation?</li> <li>4. How is the constitution, purpose or mission used by the board?</li> <li>5. When was the last time these documents were reviewed?</li> </ol>			
	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.
<p><b>1.2 REGISTRATION</b> 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.</p>	<ol style="list-style-type: none"> <li>1. Is the organisation registered with the relevant local authority/authorities? If yes, which ones?</li> <li>2. If not registered, why not? Are there any plans to register?</li> <li>3. If registered, are there any legal requirements that your organisation must meet? If so what? (E.g. annual reporting).</li> <li>4. Have you had any challenges meeting these requirements? (E.g. Filing annual reports, etc.). If so, what?</li> <li>5. If not registered, to whom does the organisation report on what it is doing (activities, finances, etc.)?</li> </ol>			
	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.

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>1.3 GOVERNANCE OF THE CSO</b> 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.</p>	<ol style="list-style-type: none"> <li>1. Is there a board/governing committee/council?</li> <li>2. What is the role of this body?</li> <li>3. Who are its members?</li> <li>4. What are their roles and responsibilities?</li> <li>5. How did they come to understand these? [e.g. Are there ToRs? Is there an induction programme for board members?]</li> </ol>			
<p><b>1.4 CONSTITUENCY OF THE CSO</b> 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.</p>	<p>There is no board.</p>	<p>Members of the board understand and agree on the key governance roles and responsibilities of the board.</p> <p>The board meets only when important decisions need to be made.</p>	<p>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).</p> <p>The board meets regularly.</p>	<p>There are clear ToR's for key board positions.</p> <p>Board meetings include regular reporting, review and discussion on assigned roles and responsibilities.</p> <p>There is an induction programme for all new board members.</p>
	<ol style="list-style-type: none"> <li>1. Who does the CSO seek to benefit or represent? What does it seek to do for this group?</li> <li>2. Are any of these people involved in the organisation? How? (E.g. through involvement in management, decision-making or governance of the CSO)</li> <li>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.</li> </ol>	<p>It is not clear or there are different understandings of who the constituency of the organisation is.</p> <p>The board is clear and in agreement on who the constituency is.</p> <p>Constituents are mainly seen as recipients of CSO services.</p>	<p>The board has a good understanding of the CSO's constituents.</p> <p>Constituents are consulted but not engaged in decision-making.</p>	<p>Members of the constituency are involved in managing or governing the CSO.</p>

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>1.5 CSO GOALS AND STRATEGY</b> 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.</p>	<ol style="list-style-type: none"> <li>1. What long-term goals does the organisation have?</li> <li>2. How are these goals used by the board?</li> <li>3. Is there a plan to achieve these goals?</li> <li>4. How was this plan developed and who was involved?</li> <li>5. How is this plan used? By whom?</li> <li>6. Is this plan reviewed? When? Who is involved?</li> </ol>			
<p><b>1.6 PROCESS OF MEMBERSHIP OF GOVERNANCE STRUCTURE</b> 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.).</p>	<p>The organisation has no Long term goals.</p>	<p>There are organisational goals &amp; strategy, but the process for developing it was not participatory – may have been designed by a few Board members.</p>	<p>There are organisational goals and a clear strategy in place to achieve them.</p> <p>The board regularly refers to goals and strategy for guiding its decisions.</p>	<p>The organisation has clear goals and strategy developed through a participatory process.</p> <p>The board uses the strategy to monitor organisational performance; the strategy is regularly reviewed and periodically adapted.</p>
	<ol style="list-style-type: none"> <li>1. How do people usually become members of the board?</li> <li>2. What happens when a board position becomes vacant?</li> <li>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]</li> </ol> <p>Appointment to board positions is by existing board members without any consultation or validation with other key members of the organisation.</p>	<p>Board members are appointed, based on clear rationale and justification that key members have accepted.</p>	<p>Board members are elected but there has been no election in the last five years.</p>	<p>Elections for the board are held at least once every five years and the constitution makes provision for this.</p>

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>1.7 BOARD ACCOUNTABILITY AND TRANSPARENCY</b> 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.</p>	<ol style="list-style-type: none"> <li>Which important matters or decisions has the board discussed/made in the last few months?</li> <li>How are these decisions documented? [Review board reports/minutes if available.]</li> <li>How are these decisions communicated? [Review emails/newsletters.]</li> </ol>			
	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.
<p><b>1.8 FINANCIAL SUSTAINABILITY OF THE ORGANISATION</b> 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.</p>	<ol style="list-style-type: none"> <li>What is the annual cost of running the organisation and delivering its activities? (I.e. what is the budget?)</li> <li>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)?</li> <li>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?</li> <li>Have fundraising targets been set? If so, are they being met? What challenges does the CSO face in funding its work?</li> </ol>			
	<p>Little or no thought has been given to fundraising.</p> <p>The organisation relies on one-off donations from members or the community and this hampers the organisation in achieving its mission.</p>	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).	<p>The organisation has fundraising targets in place and a diversified strategy for meeting them is being implemented.</p> <p>Revenue covers at least one year's core operating costs.</p>

Additional “governance” considerations:

CSO Board composition:

- What proportion of the members of the governing body are women and how actively do they participate in and influence the governance procedure?

Complaints & Feedback mechanism:

- How is the organisation accountable to the communities it works for? How does it ensure communities have a way to be heard and their issues considered and followed up across all stages of the programme cycle?
- What are the key characteristics of the organisation’s community feedback mechanisms? How do they work? How are they managed?
- How does the organisation respond to feedback and complaints?
- How does the organisation use the feedback and complaints they receive?

## 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.



STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>2.1 ORGANISATIONAL STRUCTURE</b> 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.</p>	<ol style="list-style-type: none"> <li>1. What are the key positions in the CSO?</li> <li>2. What functions are these positions responsible for?</li> <li>3. Are these positions responsible for managing others? Are these arrangements documented? How?</li> <li>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?</li> </ol>			
	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.	<p>The organisational structure and accountabilities are clearly documented and publicly available.</p> <p>The organisational structure is missing one or more functions required for it to deliver its strategy.</p>	<p>Staff understand the organisational structure, key roles and accountability relationships.</p> <p>The structure contains all the key functions required for the CSO to deliver its strategy.</p>
<p><b>2.2 POLICIES AND PROCEDURES</b> 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.</p>	<ol style="list-style-type: none"> <li>1. Is there any written guidance for members or staff to help them understand how the CSO expects them to do their work?</li> <li>2. What kind of guidance (prompt policies, procedures)</li> <li>3. What areas of work does this guidance cover?</li> <li>4. How does the CSO ensure that this guidance is followed?</li> </ol>			
	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.	<p>Policies are in place, and the CSO has processes and resources to support staff to apply them.</p> <p>Policies are periodically reviewed to check that they remain relevant.</p>

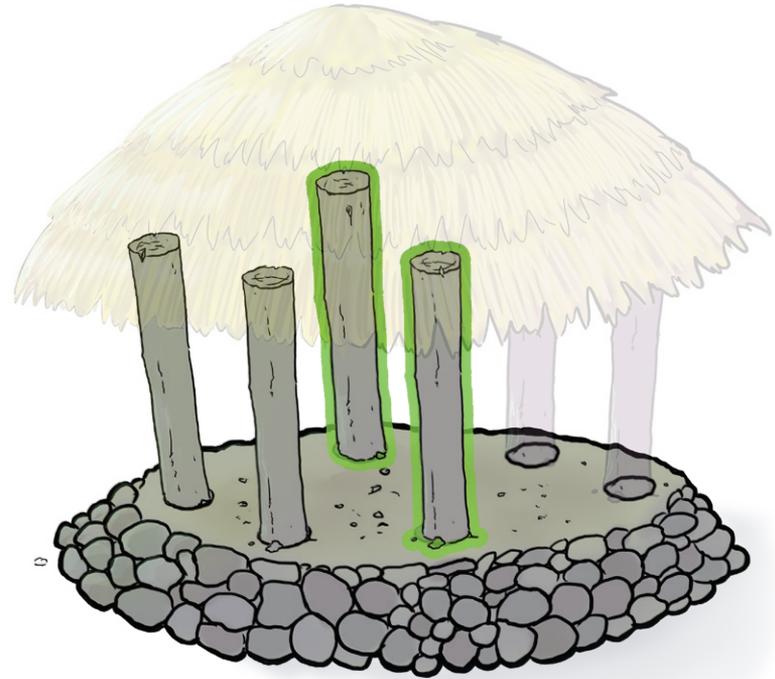
STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<b>2.3 ORGANISATIONAL REVIEW</b> CSOs need to reflect on whether they are achieving their mission and if the work they are doing is having an impact on their constituents. They need to investigate if their strategies are working and if not, why not. Organisational review and learning processes accomplish this.	<ol style="list-style-type: none"> <li>Does the CSO assess or review its work? How often?</li> <li>What aspects of the CSO's work does this cover? How is the assessment/review done? Who is involved?</li> <li>How are the findings of this assessment / review used? And are they communicated? To whom and how?</li> </ol>			
	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.

**Additional "ORGANISATIONAL STRUCTURE & MANAGEMENT" considerations:**

- Does the organisation have an adequate filing system for storing all relevant documents? (e.g. filing by supplier or by date)
- Does the organisation have adequate filing systems for staff records?

### 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.



STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<b>3.1 RECRUITMENT</b> 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"> <li>How are staff recruited to the CSO?</li> <li>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.]</li> <li>Are there policies that cover recruitment and termination? [If so, review]. Are these clear and accessible for all staff?</li> <li>How does the CSO deal with conflicts of interest that may be encountered in recruitment?</li> </ol>			
	<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>
<b>3.2 JOB DESCRIPTIONS</b> 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"> <li>Does the organisation have job descriptions? For every role / which roles?</li> <li>Are these job descriptions clearly linked to the organisational structure?</li> <li>How are job descriptions used/What are they used for?</li> </ol>			
	<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>

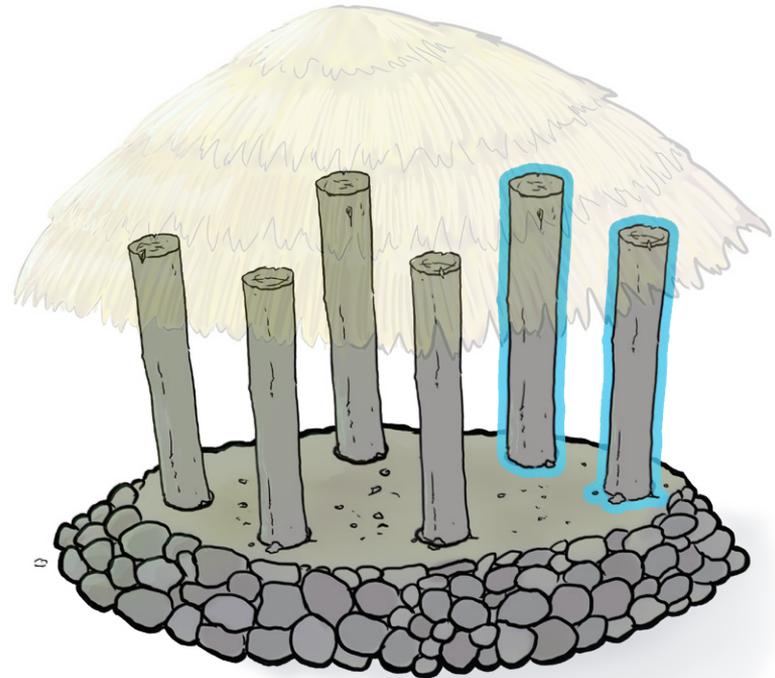
STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>3.3 PERFORMANCE EVALUATION/APPRaisal</b> The appraisal process is used to assess staff performance against the requirements laid out in the job description and/or in work plans. Performance evaluation benefits both employee and 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.</p>	<ol style="list-style-type: none"> <li>1. What policies/guidelines are available (if any) for staff performance review? [If these exist, review them.]</li> <li>2. What is the procedure of a performance review?</li> <li>3. How often does it happen? Is it documented?</li> <li>4. Who conducts the performance review?</li> </ol>			
<p><b>3.4 STAFF DEVELOPMENT</b> 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.</p>	<p>There is no mechanism for reviewing work or staff performance.</p>	<p>Reviews and performance appraisals occur on an ad hoc basis.</p>	<p>A performance review/appraisal system is in place but inconsistently followed.</p>	<p>Performance review systems (including reviews from supervisors and co-workers) are in place, consistently followed, well documented and filed.</p>
<p><b>3.4 STAFF DEVELOPMENT</b> 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.</p>	<ol style="list-style-type: none"> <li>1. How does the CSO ensure that staff continue to have the skills required to deliver on its mission/strategy?</li> <li>2. What is the organisation’s policy/procedure on the selection of staff for training and/or development opportunities?</li> <li>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?</li> <li>4. Are decisions on staff development documented? Who can access these documents if it is not confidential?</li> </ol>			
<p><b>3.4 STAFF DEVELOPMENT</b> 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.</p>	<p>Only one or two staff benefit from training/professional development activities.</p>	<p>Selection of staff to attend training/professional development opportunities (including participation at conferences) is ad hoc.</p>	<p>The organisation has a strategy for staff development that is aligned to the organisational strategy but is inconsistently implemented.</p>	<p>A staff development strategy is adequately resourced and implemented.</p>

Additional "HUMAN RESOURCES" considerations:

- Does the organisation have a clear policy/approach to manage the work, health and safety of its personnel?
- Does the organisation have clear security guidelines in place for staff? How are these communicated to staff? Are the measures for staff safety working well?
- Does the working environment favour women's participation in the workplace?
- Does the organisation have methods or systems of ensuring it is compliant with local Labour Laws?

## 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.



STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>4.1 FINANCIAL RECORD KEEPING</b> 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.</p>	<p>1. Is there a proper process of documentation of financial transactions? Is this encapsulated in a policy/guideline? 2. Is this structured – what is the usual process/steps of recording transactions? How often is it done? 3. Who is responsible for updating and providing summaries of financial transactions? How often is this report produced and who can access it?</p>			
	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.
<p><b>4.2 FINANCIAL AND CASH MANAGEMENT</b> 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.</p>	<p>1. 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? 2. Where are they stored? 3. Who/when were they developed? Who was involved in the development? Have they ever been reviewed?</p>			
	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.
<p><b>4.3 BANK ACCOUNT AND CASH BOX</b> 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.</p>	<p>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?</p>			
	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.

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>4.4 CASH AND BANK RECONCILIATION</b> 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.</p>	<p>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?</p>			
	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.
<p><b>4.5 CASH-FLOW PREDICTIONS/FORECAST</b> 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.</p>	<p>1. Does the organisation conduct cash flow predictions/forecast? How often is this done? 2. Who is responsible for conducting cash-flow predictions/forecast? [Explore the process.] 3. Does the forecast/prediction accurately address the needs of the organisation?</p>			
	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.
<p><b>4.6 FINANCIAL REPORTING</b> 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.</p>	<p>1. Is there a plan and timeline for financial reporting – both internally and externally? 2. Are financial reports in line with internal reporting processes and mechanisms? 3. Who prepares the financial reports? 4. Where are they stored and who has access?</p>			
	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.

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>4.7 MANAGEMENT AND SHARING OF FINANCIAL REPORTING</b></p> <p>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.</p>	<ol style="list-style-type: none"> <li>1. Is there a process of sharing of reports internally – board and staff?</li> <li>2. It is readily accessible? Who can access it?</li> <li>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?</li> </ol>			
	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.
<p><b>4.8 BUDGETING</b></p> <p>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.</p>	<ol style="list-style-type: none"> <li>1. Is there a policy/guideline on how project/program budgets are prepared? Who was involved in its development?</li> <li>2. What is the vetting and approval process?</li> <li>3. What is the annual budget of the organisation? What is the annual project budgets?</li> <li>4. Does the organisation have any strategy or approach to analyse the funding risks and develop plans to deal with them?</li> <li>5. Who developed this strategy/approach and who all were involved?</li> <li>6. When was this developed? Did you review it? If yes, how often?</li> </ol>			
	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.

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>4.9 MANAGING EXPENSES</b> Proper management of expenses by a CSO is crucial to maintaining accountability and ensuring that expenses are appropriately linked to agreed budget lines.</p>	<p>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?</p> <p>2. How is expenditure monitored? Who monitors it and how often?</p>			
<p><b>4.10 PROCUREMENT</b> Procurement is the process of ordering, receiving and paying for goods and services.</p>	<p>Expenditure is determined solely by funds on hand.</p>	<p>Little or no attention is paid to budgets when choosing activities and spending the funds.</p>	<p>Expenses are monitored against budgets but no action is taken when problems are identified.</p>	<p>Expenses are closely monitored against these budgets and corrective action is taken when problems arise.</p>
<p><b>4.10 PROCUREMENT</b> Procurement is the process of ordering, receiving and paying for goods and services.</p>	<p>1. Does the organisation have a procurement policy/guideline? Does it include a bidding process? Does it include a process for collecting quotes?</p> <p>2. Are there approval limits and at what levels?</p> <p>3. What is the monitoring process regarding procurement?</p>			
<p>Purchasing is often done only by the coordinator.</p>	<p>No procedures are set up for purchasing goods and services.</p>	<p>Some purchasing procedures exist but are not practical and are often ignored by management.</p>	<p>Clear purchasing procedures are in place, and proper authorisation is obtained in most instances.</p>	<p>Procurement procedures are in place and are followed.</p> <p>Quotations are obtained for purchases over a certain limit.</p>

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>4.11 ASSET MANAGEMENT</b> 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.</p>	<ol style="list-style-type: none"> <li>1. 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?</li> <li>2. Does the organisation have an asset register?</li> <li>3. Are all assets labelled and stored carefully?</li> <li>4. Who monitors and updates the asset register?</li> <li>5. Are assets insured?</li> <li>6. Is anyone responsible for ensuring that assets are insured and properly maintained?</li> </ol>	<p>No inventory or asset register is kept. No stock control system is set up.</p> <p>No one maintains the assets of the organisation. Things are left broken and unusable.</p>	<p>Maintenance of assets is done only when items are needed. Items are often not working properly.</p>	<p>One person is responsible to maintain the assets but this is not done routinely.</p> <p>All items, including computers, are serviced regularly in accordance with a maintenance schedule.</p>

Additional "FINANCIAL" considerations:

- Are the organisation's budgets and acquittals based on actual cash expenditure and income or accruals?
- Are the organisation's acquittal statements checked and certified by an official of the organisation?
- Is the expenditure of the organisation supported by original invoices, a payment voucher authorised by an official of the organisation and receipts from suppliers?
- What system of receipting is used by the organisation for issuing of receipts to donors and others?"

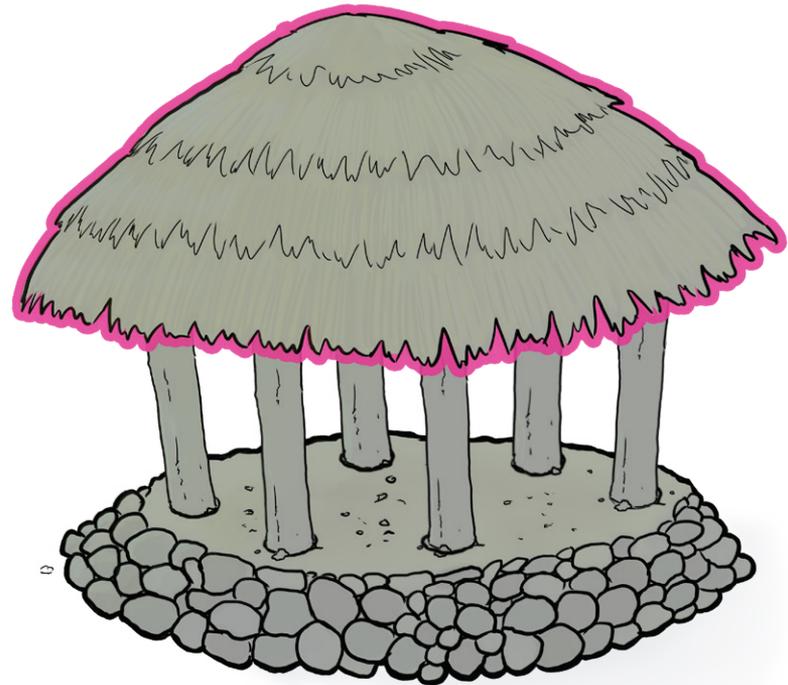
SUPPLEMENTARY financial (fraud) - considerations:

Other questions relevant to Financial management relate specifically to Fraud and how and whether a civil society organisation has developed policies to protect itself against such incidences. It is critical that the CSO reflect on this, by utilising the following questions:

- What policy or procedures are in place to prevent, detect and respond to fraud?
- How does the organisation ensure staff are aware of the fraud policy and associated expectations?
- Who is responsible for fraud issues and are they trained?
- Are there whistleblowing or reporting lines in place to allow reporting of fraud incidents?
- What capacity does the organisation have to investigate fraud allegations and track fraud cases?
- Does the organisation have independent external audits conducted and how are recommendations implemented?

## 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.



STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>5.1 ALLIANCES</b> 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>	<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"> <li>• Given an example of what you did and why and how the partners/stakeholders worked together.</li> <li>• What were the enabling factors?</li> <li>• What were the challenges?</li> </ul> <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>

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>5.2 ADVOCACY</b> 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.</p>	<ol style="list-style-type: none"> <li>1. Do you promote your work externally in any of the following ways: <ul style="list-style-type: none"> <li>• through public campaigns?</li> <li>• through local or international media?</li> <li>• through social media?</li> </ul> </li> <li>2. 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.</li> <li>3. Give an example of how this was done and what the outcome was.</li> <li>4. What were the enabling factors?</li> <li>5. What were the challenges?</li> <li>6. What was a lesson learnt in this example?</li> </ol>			
	The organisation has no recognition of the importance of advocacy work and is not undertaking any advocacy activities.	There is recognition of the importance of advocacy but the CSO has not undertaken any advocacy activities.	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).	The organisation has effectively utilised a range of advocacy strategies and tactics to achieve or progress towards its objectives (has effected change).

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>5.3 HUMAN RESOURCE CAPACITY AND TECHNICAL COMPETENCE FOR INFLUENCING</b> 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.</p>	<p>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> <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>

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>5.4 CAPACITY FOR UTILISING RESEARCH</b> 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.</p>	<p><b>What research, documentation or evidence do you have to support your work?</b></p>			
	<p>The organisation does not have, nor does it use, any documented research or other documentation to support programmatic work or to influence initiatives.</p>	<p>The organisation knows what research and documentation is needed but has not collected or compiled it, nor can it find or undertake it.</p>	<p>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.</p> <p>The organisation may have distributed some research but has not targeted it to specific audiences/decision makers.</p>	<p>The organisation has collected evidence (research, documented stories, policies) to support an influencing initiative.</p> <p>The organisation has used research previously to support influencing initiatives.</p> <p>Research has been rearticulated for specific audiences /decision makers.</p>

## 6.0 SAFEGUARDING

Safeguarding must be an integral part of operations when dealing with children, women, youth and vulnerable groups, particularly in the communities that the organisation works in. This means that when instances or allegations of sexual exploitation, sexual abuse or all forms of child abuse arise, it becomes the duty of the organisation to investigate these safeguarding incidents and ensure that there are sufficient and effective mechanisms available to allow for the proper reporting and investigating of these incidents, and that comprehensive referral services are available. A safeguarding framework must have the ability to develop and maintain a reporting system that handles cases appropriately, designating the correct outlets and support networks for the individual and community. It must also ensure that the organisation has a set of robust safeguarding preventative mechanisms that significantly reduce the risk of a safeguarding incident from occurring whilst also empowering individuals to speak up if they face an incident of sexual exploitation, sexual abuse and all forms of child abuse.



STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>6.1 WHAT IS SAFEGUARDING?</b> Safeguarding policies are recognised as mechanisms which are in place to prevent and respond to sexual exploitation, sexual abuse and all forms of child abuse. Implementing this is an important aspect for CSO operations as most to all activities involve the community or marginalised groups. In the case of a safeguarding incident, a safeguarding policy ensures that there is awareness of the organisational procedures and national laws (where applicable) to follow.</p>	<ol style="list-style-type: none"> <li>1. What is a safeguarding policy for your CSO?</li> <li>2. Who might this policy protect?</li> <li>3. What issues does this policy cover for your CSO?</li> <li>4. Do you have any other existing policies which outline child protection and/or prevention of sexual exploitation and sexual abuse? If yes, then does it need to be amended to introduce improvements to the policy?</li> </ol>			
	<p>There is no policy which aligns to protecting children, women, youth and vulnerable groups from sexual exploitation, sexual abuse and all forms of child abuse.</p>	<p>There are policies being developed, however, it doesn't clearly outline protection of individuals from sexual exploitation, sexual abuse, and all forms of child abuse.</p>	<p>There is a specific policy for the protection of individuals from sexual exploitation, sexual abuse, and all forms of child abuse but it does not specifically cover safeguarding principles like "zero tolerance" and "survivor-centred approach".</p>	<p>There is an effective policy in place that addresses the issue of the protection of children, women, youth, and vulnerable groups from sexual exploitation, sexual abuse, and child abuse. It is accompanied by safeguarding principles that are core to a successful policy on safeguarding for the church. The policy is periodically reviewed by independent assessors.</p>

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>6.2 CODE OF CONDUCT</b> It is standard practice that all incoming staff and non-staff personnel be given a code of conduct that explicitly states the moral and ethical guidelines that uphold the values of the CSO to which staff and non-staff personnel must hold themselves accountable. Given the necessity of a safeguarding policy, it would be ideal to reflect the principles of your safeguarding policy in the code of conduct.</p>	<ol style="list-style-type: none"> <li>Assuming that the organisation has a safeguarding policy, are the principles of that Safeguarding Policy reflected in the code of conduct?</li> <li>How comprehensive is the safeguarding provision in the code of conduct? Does it cover all people, particularly children, women, youth, and vulnerable groups?</li> <li>How is the safeguarding provision in the code of conduct developed? Who is involved in its development?</li> <li>Is the partnership agreement inclusive of a code of conduct which states norms, responsibilities and attitudes when faced with an allegation or report?</li> <li>How does the organisation ensure that the code of conduct and its safeguarding provisions are accurately communicated to incoming staff and non-staff personnel?</li> <li>What are some tactics that the organisation can use to ensure that staff and non-staff personnel follow the code of conduct particularly its provision on safeguarding?</li> </ol> <p>There is no safeguarding provision in the code of conduct.</p>	<p>An awareness of the need for the protection of children, women, youth and vulnerable groups from sexual exploitation, sexual abuse and child abuse is coherent to all stakeholders, staff and non-staff personnel but this is not included in the code of conduct.</p>	<p>The code of conduct contains a brief section on the need for safeguarding but does not expound on other necessary information such as the nature of the reporting process and the duty of stakeholders, staff and non-staff personnel in regard to safeguarding and reporting procedures.</p>	<p>The code of conduct contains a detailed section on safeguarding and related information. There is also an explicit clause in the contract requiring incoming staff and non-staff personnel to ensure that they exercise due diligence and responsibility in regards to safeguarding concerns and issues. The code of conduct also makes references to mandatory induction and training process that have sessions dedicated to safeguarding, among other things.</p>

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>6.3 PREVENTION AND PROTECTION</b> Prevention and Protection aims to set procedures which tackle any form of sexual exploitation, sexual abuse and child abuse before or after the situation.</p> <p>Prevention methods are in place to set moral and ethical values that deter any forms of sexual exploitation, sexual abuse and child abuse. Protection procedures on the other hand aim to offer systems which ensure that individuals subjected to sexual exploitation, sexual abuse, and child abuse are not victimised.</p> <p>Both mechanisms are in place to ensure that even before or after the situation; there are procedures in place to determine the level of care and sensitivity to be afforded to the individuals subjected to sexual exploitation, sexual abuse, and child abuse. None of this is possible if staff and non-staff personnel are not continuously trained particularly on the importance of prevention and protection in relation to safeguarding.</p> <p>Staff development initiatives for safeguarding ensure that they continue to have the skills necessary to deliver on their safeguarding strategy.</p>	<ol style="list-style-type: none"> <li>Does the organisation have a safeguarding policy which has explicit provisions for the prevention and protection of individuals from sexual exploitation, sexual abuse, and all forms of child abuse?</li> <li>Does the organisation have a strategy for further training and development of the designated person(s) for safeguarding? Does this also extend to other organisation staff and non-staff personnel?</li> <li>Does the training include ensuring that staff and non-staff personnel are able to recognise early safeguarding issues?</li> <li>Is there training in place to ensure that staff and non-staff personnel respond appropriately to safeguarding issues?</li> <li>Does the organisation have a risk assessment in relation to safeguarding?</li> </ol> <p>There isn't a designated person(s) looking after safeguarding in the organisation and/or there isn't a safeguarding policy that has provisions for preventing and protecting individuals from sexual exploitation, sexual abuse, and all forms of child abuse.</p> <p>There are no trainings and awareness-raising on the importance of establishing prevention and protection measures in relation to safeguarding.</p> <p>There are no risk assessments in relation to safeguarding.</p>	<p>There is a designated person(s) looking after safeguarding in the organisation and there is a safeguarding policy but it does not have provisions for preventing and protecting individuals from sexual exploitation, sexual abuse, and all forms of child abuse.</p> <p>There are training and awareness programmes on the importance of establishing prevention and protection measures in relation to safeguarding but these are not regularly conducted.</p> <p>The church has established risk assessments in relation to safeguarding but these are inadequate.</p>	<p>There is a designated person(s) looking after safeguarding in the organisation and there is a safeguarding policy which has provisions for preventing and protecting individuals from sexual exploitation, sexual abuse, and all forms of child abuse.</p> <p>There are training and awareness programmes on the importance of establishing prevention and protection measures in relation to safeguarding and these trainings are regularly conducted, however, only certain staff are selected to attend these trainings.</p> <p>The organisation has established risk assessments in relation to</p>	<p>There is a designated person(s) looking after safeguarding in the organisation and there is a safeguarding policy which has provisions for preventing and protecting individuals from sexual exploitation, sexual abuse, and all forms of child abuse.</p> <p>There are training and awareness programmes on the importance of establishing prevention and protection measures in relation to safeguarding and these trainings are regularly conducted. They are also conducted for all staff and non-staff personnel, and they are available to organisational partners who request it.</p>

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p>The organisation should also recognise that risk assessment processes are part of prevention as they assess what kinds of risks are likely to spring up from the organisation's activities and documenting how these will be mitigated. These risk assessment matrices should be reviewed and updated regularly</p>			<p>safeguarding but these only identify risks and do not consist of ways to address identified risks.</p>	<p>The organisation has established risk assessments in relation to safeguarding to identify risks and ways to address identified risks. It also recognises safeguarding risks that may occur within the confines of the church or the communities it works in.</p>
<p><b>6.4 REPORTING PROCESSES</b>            Reporting processes dictate the correct procedure to deal with a case appropriately. This can mean instilling a system where allegations and reports have a domino or chain effect that designates the right people for the case. Directing victims to the right people and outlets that are specialised for allegations or reports. By developing a reporting system, it gives the survivor and community relief that their voices are being heard.</p>	<p>1. Is there a designated person(s) for receiving and addressing issues of sexual exploitation, sexual abuse and all forms of child abuse?            2. How is this designated person(s) chosen?            3. How is the designated person(s) for safeguarding trained? Do they have additional access to a manual or document to help outline their functions and points of information?            4. Is there a clearly outlined procedure for reporting sexual exploitation, sexual abuse or child abuse to other parties? (Senior management, child protection/sexual exploitation hotline, hospital/sexual services, the police, etc.).            5. Does the organisation link to any existing national mandate/law to report sexual exploitation, sexual abuse and all forms of child abuse and if so, how is this process merged with the organisation's process?</p> <p>There are no mandatory reporting processes developed for safeguarding issues (or for breach of the Safeguarding Policy and Code of Conduct).</p>	<p>There is a structure and process for reporting safeguarding issues for individuals, however, there are no clear procedures for response, including for victim assistance and referral for safeguarding issues.</p>	<p>There exists reporting and response procedures and mechanisms, including for referrals to services, but these are inadequate.</p>	<p>There exists adequate procedures for reporting and response in relation to safeguarding, including victim assistance and referrals, as well as clear roles and responsibilities of designated officers in this process. There is a designated officer who follows through on allegations especially</p>

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
				where legally required and a support system that separates the individual from the community where appropriate. There is also a degree of transparency in the reporting and the responding although confidentiality and the safety of the survivor is still prioritised. There exists complaints and reporting mechanisms that are safe, confidential, transparent, and accessible to children, women, youth, and vulnerable groups.
<p><b>6.5 TRANSPARENCY</b> Issues of sexual exploitation, sexual abuse and all forms of child abuse are serious, and therefore need to be treated with high priority by the organisation. Maintaining the individual’s privacy throughout the process is a necessity, particularly if the media and law enforcement are involved. A CSO has the responsibility to investigate these matters and refer them to appropriate authorities with respect and confidentiality. This in turn maintains the privacy of the individuals, communities and organizations involved, while also ensuring that the matter is appropriately investigated and responded</p>	<ol style="list-style-type: none"> <li>1. How is the individual’s confidentiality being maintained while also ensuring their allegations are accurately and appropriately investigated?</li> <li>2. Are there policies on this? If not, then how would policies be developed to ensure the protection of the individual’s identity?</li> <li>3. Are there incident management processes in place to minimize the impact on funding and reputational damage, whilst fulfilling donor reporting requirements?</li> <li>4. Are their case details enclosed to the media/public? If yes, how is this being controlled?</li> </ol> <p>There aren’t any policies which protect the individual’s identity and regulate case facts.</p>	<p>There is a policy which aims to protect the identity of individuals who have been subjected to sexual exploitation, sexual abuse and all forms of child abuse. However, the policy merely</p>	<p>There is an organisational policy which contains clauses that briefly describe the standard of confidentiality when reporting, investigating and addressing cases of</p>	<p>There is a clear organisational policy which contains clauses that comprehensively describe the standards of confidentiality when reporting, investigating</p>

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p>to. Transparency also requires reporting to donors to keep them informed of the way that the organisation is addressing the issue and the measures it aims to take to prevent issues like this from occurring again.</p>		<p>affirms the importance of this, it does not actually provide clear outlines for how the organisation can do this.</p>	<p>sexual exploitation, sexual abuse and all forms of child abuse. The policy, however, does not provide guidance on donor reporting requirements nor does it have guidelines on how best to minimize the impact to funding and reputational damage.</p>	<p>and addressing cases of sexual exploitation, sexual abuse, and all forms of child abuse. The policy provides clear guidelines on how the organisation should deal with media interest. It also provides clear guidance on donor reporting requirements, and how best to minimize the impact to funding and reputational damage.</p>
<p><b>6.6 PSEA</b> While PSEA might refer to the prevention of sexual exploitation and abuse, it is good practice to include sexual harassment in its scope. All persons have the right to life free from sexual exploitation, sexual harassment, and sexual abuse where sexual abuse includes sexual activity with children. It is important to recognize that all forms of sexual exploitation, sexual harassment, and sexual abuse are built on structures of unequal power dynamics, both within organisations and in relation to the people that the organisation serves. Embedding PSEA core principles into an organisational policy recognizes the risk of people within the organisation exploiting their position of power and privilege for personal gain.</p>	<p>1. Are there key terms in your policy which determine the difference of harmful acts? i.e. (sexual harassment, exploitation and sexual abuse)</p> <p>2. What are these clarifications? Do they implicitly or explicitly explain the degree of harmful nature in the policy?</p> <p>3. Are there procedures/ punishments in place to hold the subject of a complaint accountable?</p> <p>4. Does your current policy cover the following areas that relate to sexual exploitation, harassment and abuse?</p> <ul style="list-style-type: none"> <li>- Acts of gross misconduct that are grounds for termination of employment</li> <li>- Sexual activity with children (persons under the age of 18)</li> <li>- Exchange of money, employment, goods, or services for sex</li> <li>- Sexual relationships between staff and beneficiaries</li> <li>- Staff and non-staff personnel must report concerns regarding sexual harassment, sexual exploitation, and sexual abuse by a fellow worker.</li> <li>- Staff members, especially those in leadership positions, are obliged to create and maintain an environment that prevents sexual harassment, sexual exploitation, and sexual abuse.</li> </ul> <p>There is no policy relating to the prevention of sexual exploitation, sexual harassment and sexual abuse.</p>	<p>The organisation has a PSEA policy but it only references sexual exploitation and sexual abuse. The</p>	<p>The organisation has a PSEA policy which explicitly outlines the need for the prevention of sexual</p>	<p>The organisation has a PSEA policy which explicitly outlines the need for the prevention of sexual</p>

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p>Subsequently, such a policy also recognizes the need for the organisation to protect the people that it serves and those within the organisation from instances of sexual exploitation, sexual harassment and sexual abuse. It also acts as an organisation's commitment to supporting survivors, improving its safeguarding capacity, and preventing, protecting, reporting and investigating instances of sexual exploitation, sexual harassment and sexual abuse.</p>		<p>policy does not define or differentiate between important terms. For instance, it does not define nor differentiate sexual exploitation with sexual abuse.</p>	<p>exploitation, sexual harassment, and sexual abuse. The policy however, does not have a comprehensive set of guiding principles. For instance, it might not cover sexual relationships between staff/non-staff personnel and beneficiaries and the unequal power dynamics that could form as a result. It might not also fully identify the expectations of those who work for the organisation or are engaged in the delivery of its work.</p>	<p>exploitation, sexual harassment, and sexual abuse. The policy has a comprehensive set of guiding principles that cover a wide range of issues. The policy has a comprehensive glossary that sets to define important terms like sexual harassment, sexual exploitation, and sexual abuse and the differences between such terms. The policy also accurately identifies the expectations of those who work for the organisation or are engaged in the delivery of its work.</p>

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>6.7 INCLUSIVENESS</b> Protection of all individuals in the organization is an important ideal for women, children, youth and vulnerable groups – particularly those who have had a history of marginalisation. In order to protect members of the organisation effectively, particularly those that fall under marginalized groups, there must be explicit statements which protect all marginalized groups from any form of sexual exploitation, sexual abuse, and child abuse. It should also be the organization’s duty of care to serve the community regardless of their identity when it comes to cases of sexual exploitation, sexual abuse, and child abuse. Hence, the need for an understanding of inclusiveness during the development of procedures and policies. It is also good practice to, with the help of the constituency, develop accessible reporting mechanisms.</p>	<ol style="list-style-type: none"> <li>When it comes to safeguarding issues, who does the organization seek to benefit and who does it seek to protect?</li> <li>Does the constituency play a role in decision-making or governance when it comes to safeguarding?</li> <li>If the constituency is largely excluded from making decisions on safeguarding, how does the organisation know what the needs of the constituency are in regards to safeguarding?</li> <li>Does the organisation’s policy/code of conduct/ guiding principles explicitly explain protection for marginalized groups like LGBTQI+ groups, people with disabilities, children and women?</li> <li>What are the processes and procedures in place that are inclusive of all marginalized groups?</li> <li>Are there training/ workshops/ meetings offered that shed awareness on the inclusion of all marginalized groups and the importance of protecting them from safeguarding issues?</li> </ol> <p>There is minimal to no statements which include all marginalized groups other than children and women.</p>	<p>There is a safeguarding policy which implicitly states the need for inclusivity.</p>	<p>There is an effective safeguarding policy which protects all marginalized groups with a general awareness from all stakeholders and decisionmakers. This awareness is gauged and improved on through regular training on the importance of inclusiveness to safeguarding.</p>	<p>There are procedures and trainings offered to staff and non-staff personnel, and even partners (when they request it) which informs all stakeholders of the importance of inclusivity for protection from any type of sexual exploitation, sexual abuse, and all forms of child abuse. Training on the importance of inclusivity to safeguarding is conducted regularly.</p>

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p><b>6.8 CONSENT AND CONFIDENTIALITY</b> In any case regarding sexual exploitation, sexual abuse, and all forms of child abuse, consent must be introduced to ensure that the individual is aware of their decisions. This includes consent for sharing information, consent for establishing the correct procedures to ensure the perpetrator is dealt with and also to give consent for reporting the incident to third party agencies. Levels of consent may differ depending on the setting. Some settings may require communal consent or consent from an elder. Regardless, the principle for safeguarding against sexual exploitation and sexual abuse is that consent is personal to the survivor. Introducing the aforementioned different levels of consent means ensuring that survivors of sexual exploitation, sexual abuse and child abuse are aware of the procedure for reporting, and how information relating to the safeguarding incident is documented, shared and stored.</p> <p>Furthermore, it should be remembered that while it is necessary to obtain consent for cases of sexual exploitation and sexual abuse (which by definition deal with adults), it is encouraged but not necessary to obtain the consent of a child and/ or parent or guardian when dealing with cases of child abuse. This is in line with the safeguarding</p>	<ol style="list-style-type: none"> <li>1. Are there various levels of consent? (i.e. consent for sharing of information, consent of following through with set procedures, consent of involving other third-party support systems)?</li> <li>2. How is consent for reporting incidents carried out? (i.e. written, verbal)</li> <li>3. If the individual is under the age of 18, how do you offer support?</li> <li>4. Does the consent of a minor or individual need the approval or parents/ guardians or the whole community (village)?</li> <li>5. Are there any support systems in place if the survivor of sexual exploitation or sexual abuse chooses not to report?</li> </ol> <p>There no mandatory consent policies which outline the need for permission when presented with an incident.</p>	<p>Consent is sought but the reporting process has so many intermediary stages, and people handling the safeguarding case, it loses its element of confidentiality.</p>	<p>There is a process of obtaining consent from survivors of sexual exploitation, and sexual abuse (and child abuse, where possible) before engaging in the process of reporting. There are genuine steps taken to ensuring confidentiality although these come with limitations. For instance, the organisation may take steps towards ensuring that as few people as possible are involved in the reporting process so as to ensure maximum confidentiality at that stage, however, this may weaken with the way that the safeguarding information is stored and how securely it is stored.</p>	<p>There are procedures and policies that ask for consent from survivors of sexual exploitation and sexual abuse with every step taken. When dealing with cases of child abuse, the organisation ensures it tries to obtain the consent of the child and/ or parent or guardian while still recognising that it must follow through with reporting even if obtaining consent from the parties mentioned is not possible (unless this may directly endanger the child in which case the principle of "best interests of the child" is applied and alternative measures are sought). The number of people tasked with dealing with each case is reduced to only those that absolutely need to be involved. This ensures the highest level of</p>

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
<p>principle of “best interest of the child” and the mandatory child abuse reporting laws that exist in several Pacific island countries. However, if reporting to a particular authority will clearly put the child in danger, (for instance, if the alleged perpetrator works for the police) then the reporting may be postponed or delayed until a better course of action can be identified, again with the best interests of the child in mind as that is always the paramount consideration.</p>				<p>confidentiality. Information is also stored securely with separate processes for the physical and online storing of information related to safeguarding concerns. Consent is also sought for the use and sharing of personal information like photos and videos.</p>

## F. APPENDICES

### APPENDIX 1 MATRIX FOR CSOS TO SET OUT RANKINGS DURING SELF-ASSESSMENT EXERCISE

#### GOVERNANCE

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
1.1 PURPOSE OF THE CSO				
1.2 REGISTRATION				
1.3 GOVERNANCE OF THE CSO				
1.4 CONSTITUENCY OF THE CSO				
1.5 CSO GOALS AND STRATEGY				
1.6 PROCESS OF MEMBERSHIP OF GOVERNANCE STRUCTURE				
1.7 BOARD ACCOUNTABILITY & TRANSPARENCY				
1.8 FINANCIAL SUSTAINABILITY				

#### ORGANISATIONAL STRUCTURE & MANAGEMENT

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
2.1 ORGANISATIONAL STRUCTURE				
2.2 POLICIES AND PROCEDURES				
2.3 ORGANISATIONAL REVIEW				

## HUMAN RESOURCES

	PLANTING	SEEDLING	MATURING	HARVESTING
STAGES				
INDICATORS	1	2	3	4
3.1 RECRUITMENT				
3.2 JOB DESCRIPTIONS				
3.3 PERFORMANCE EVALUATION/APPRaisal				
3.4 STAFF DEVELOPMENT				

## FINANCES

	PLANTING	SEEDLING	MATURING	HARVESTING
STAGES				
INDICATORS	1	2	3	4
4.1 FINANCIAL RECORD KEEPING				
4.2 FINANCIAL & CASH MANAGEMENT				
4.3 BANK ACCOUNT & CASH BOX				
4.4 CASH AND BANK RECONCILIATION				
4.5 CASH-FLOW PREDICTIONS/FORECAST				
4.6 FINANCIAL REPORTING				
4.7 MANAGEMENT & SHARING OF FINANCIAL REPORTING				
4.8 BUDGETING				
4.9 MANAGING EXPENSES				
4.10 PROCUREMENT				
4.11 ASSET MANAGEMENT				

## COLLABORATION & INFLUENCING

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
5.1 ALLIANCES				
5.2 ADVOCACY				
5.3 HUMAN RESOURCE CAPACITY AND TECHNICAL COMPETENCE FOR INFLUENCING				
5.4 CAPACITY FOR UTILISING RESEARCH				

## SAFEGUARDING

STAGES	PLANTING 	SEEDLING 	MATURING 	HARVESTING 
INDICATORS	1	2	3	4
6.1 WHAT IS SAFEGUARDING?				
6.2 CODE OF CONDUCT				
6.3 PREVENTION & PROTECTION				
6.4 REPORTING PROCESSES				
6.5 TRANSPARENCY				
6.6 PROTECTION AGAINST SEXUAL EXPLOITATION & ABUSE				
6.7 INCLUSIVENESS				
6.8 CONSENT AND CONFIDENTIALITY				

## APPENDIX 2 SAMPLE REBBILIB

#	Indicators					Planned actions as per Rebillib
1.0	Governance Structure & Mechanisms	Planting	Seedling	Maturing	Harvesting	
1.1	Purpose of the CSO					
1.2	Registration with local authorities					
1.3	Governance of the CSO					
1.4	Constituency of the CSO					Contextualise OCAT into Samoan language
1.5	CSO Goals and Strategy					Strategic Planning workshop: SUNGO review & planning
1.6	Process of membership of Governance structure					
1.7	Board accountability & transparency					
1.8	Financial sustainability of the organisation					

## APPENDIX 3 GUIDANCE AND TEMPLATE OF THE OXFAM PRE-PARTNERSHIP ASSESSMENT

<b>WHAT?</b>	This is the initial, internal assessment that has to take place before entering into any new partnership. The purpose of the assessment is to find out if there are any reasons why Oxfam should or should not engage with a potential partner, and if there are specific areas of attention to consider in the dialogue with a new partner that follows this pre-assessment.
<b>WHEN?</b>	Prior to any engagement with a new partner.
<b>APPLICABLE TO?</b>	Applicable to all partners and partnerships.
<b>WHO IS INVOLVED?</b>	Multidisciplinary team of program, finance, HR, safeguarding
<b>APPROVAL?</b>	Sign off by the country director or responsible senior manager
<b>HOW?</b>	<ul style="list-style-type: none"> <li>Review availability and quality of key documents, such as Annual Report, Annual Accounts, Legal Registration.....</li> <li>Gather information that is available in the public domain.</li> <li>If the information available in the public domain is insufficient to make a fair judgement, do allow the benefit of the doubt and take the questions/issues up in the partner assessment interviews.</li> <li>The findings from this pre-assessment must be taken up in the next partnership assessment phase.</li> </ul>
<b>WHAT TO CONSIDER?</b>	<p>Are there any credible reports on past and current allegations, investigations or convictions (affecting the organisation and/or senior management team) around these issues?</p> <p>How has the organisation dealt or is it dealing with these issues?</p> <p>What does the organisation have in place since these allegations or cases (action plan)?</p> <p>What does it communicate around it?</p> <p>How would these issues impact Oxfam?</p>
<b>POSSIBLE SOURCES</b>	<ul style="list-style-type: none"> <li>Annual Accounts and Annual Reports</li> <li>Organisation's website</li> <li>Media</li> <li>Legal notices</li> <li>Networks of colleagues, partners, donors, allies</li> <li>Communities with whom the organisation works</li> </ul>

### NAME OF THE POTENTIAL PARTNER ORGANISATION:

NR	QUESTION	FINDINGS	SOURCES	DEALT WITH IT APPROPRIATELY? YES, NO, UNCLEAR	RISK CLASSIFICATION HIGH-MEDIUM-LOW
1	<b>SAFEGUARDING</b> Is the organisation (or its senior management/board members) currently suspected or found guilty of exposing anyone it works with, including staff, third parties and beneficiaries to any form of exploitation or abuse? Has the organisation dealt with it or is dealing with it appropriately?				

**NAME OF THE POTENTIAL PARTNER ORGANISATION:**

**2 FRAUD**

Is the organisation (or its senior management/board members) currently suspected or found guilty of engaging in fraudulent, corrupt or illegal activities or has it issues of conflicts of interest?

Has the organisation dealt with it or is dealing with it appropriately?

**3 TERRORISM FINANCING**

Is the organisation currently linked to any terrorist or sanctioned organisation or contributing to furthering its aims?

Has the organisation dealt with it or is dealing with it appropriately?

For Non-risk countries only:

Does the organisation agree to Oxfam screening the name of the organisation against international sanctioned lists prior to signing an agreement and quarterly thereafter?

**4 COMMUNITY FEEDBACK**

Does the organisation listen to, is accountable to and or is accepted by the communities it is working with?

**5 GENERAL**

Are the organisation's values, policies, public position on Safeguarding, Fraud, Terrorism Financing and Community Feedback compatible with Oxfam's?

**CONCLUSIONS, RECOMMENDATIONS AND DECISION MAKING**

Pre-assessment done by

Date of the assessment

To what extent are the risks acceptable or not acceptable for Oxfam?

What will Oxfam do in the next phase of the partnership process to mitigate risks identified?

Based on the risk assessment and suggested mitigation measures, will Oxfam continue with the partnership process or not?

Sign off by the country director or responsible senior manager (signature and date)

## APPENDIX 4 OXFAM PARTNER CODE OF CONDUCT

### HOW TO USE THE CODE OF CONDUCT

**Agreement must be reached with the partner on the Code of Conduct to adhere to during the partnership, the partner's or Oxfam's.**

If the partner organisation has its own Code of Conduct that has been evaluated to be in line with Oxfam's (no or minimal discrepancies in values, definitions, scope and acceptable behaviours) the partner organisation can use its own Code of Conduct.

If the partner organisation does not have a Code of Conduct or their Code of Conduct is not in line with Oxfam's (major discrepancies in values, definitions, scope and acceptable behaviour), the director of the partner organisation has to sign and commit to Oxfam's Partner Code of Conduct until the partner organisation will have made a Code of Conduct for itself.

Whichever Code of Conduct is used, it must be adhered to by the partner's staff as well as third parties (partners of the partner, contractors, consultants, suppliers, volunteers etc). The director of the partner organisation must sign the Code of Conduct and guarantee that all involved in the Oxfam programs are aware of the Code of Conduct, preferably by signing it.

### PARTNER CODE OF CONDUCT

**It is important for Oxfam to ensure that the conduct of all people connected to our work is in keeping with the organisation's beliefs, values and aims.**

The aim of this Code of Conduct is to give you guidance regarding the key issues that you need to be aware of, and the standards by which you would be expected to behave in certain circumstances. The Code applies to all partner organisations associated with Oxfam, regardless of location, and in accepting your contract/agreement with Oxfam, you undertake to discharge your duties and to regulate your conduct in line with the requirements of this Code. The Code is designed for your guidance and protection, although a breach may result in the termination of our contract/agreement with you/your organisation and, in some cases, may lead to criminal prosecution

Whilst recognising that local laws and cultures differ considerably from one country to another, Oxfam is an International Non-Governmental Organisation (INGO), and therefore the Code of Conduct is based on International and UN standards. The Code reflects Oxfam's fundamental mission and values and seeks to ensure that those representing the work of Oxfam avoid using possible unequal power relationships for their own benefit.

Oxfam is a group of organizations working together internationally to find lasting solutions to poverty and injustice.

**AIM:**

That all human beings have the basic right to:

- earn a decent living to support themselves and their families
- enjoy basic education and health care
- get help in life-threatening disasters
- speak out for their rights
- be treated as equal.

**CODE OF CONDUCT: STANDARDS AND VALUES**

I will:

Uphold the integrity and reputation of Oxfam and my organization by ensuring that my professional and personal conduct is demonstrably consistent with Oxfam's values and standards.

I will seek to maintain and enhance public confidence in Oxfam and my organization by being accountable for the professional and personal actions I take and ensuring that I manage the power that comes with my position with appropriate restraint.

I will also be sensitive to, and respectful of, local customs and culture, even if the norms and values in that cultural context differ from the Code of Conduct. I will if necessary seek (and will receive) support and advice from Oxfam.

I will not work under the influence of alcohol or use, or be in possession of, illegal substances on the premises of my organisation, vehicles or accommodation.

**Treat all people with respect and dignity and challenge any form of harassment, discrimination, intimidation, exploitation or abuse**

I will contribute to a working environment characterised by mutual respect, integrity, dignity and non-discrimination.

I will ensure that my relationships and behaviour are not exploitative, abusive or corrupt in any way.

I will respect all peoples' rights, including children's rights, and will not engage in any form of (sexual) abuse or exploitation of any persons of any age.

I will not have sexual relations with children (defined as under 18 years old);

I will not have sexual relations with beneficiaries, recognising in both cases the inherent unequal power dynamics and that such behaviours can undermine the integrity and credibility of the work of Oxfam and my organisation.

I will not exchange money, offers of employment, employment, goods or services for sex or sexual favours, nor any forms of humiliating, degrading or exploitative behaviour.

I will use my best endeavours to report any such behaviours or malpractice in the workplace by others to my line management or through recognised confidential reporting systems.

**Perform my duties and conduct my private life in a manner that avoids possible conflicts of interest with the work of Oxfam.**

I will declare any financial, personal, family (or close intimate relationship) interest in matters of official business which may impact on the work of Oxfam and / or my organisation (e.g. contract

for goods/services, employment or promotion within Oxfam, partner organizations, beneficiary groups).

I will advise Oxfam of any intention to seek a nomination as a prospective candidate or another official role for any political party or public office to clarify whether any conflict, or perceived conflicts, with my duties with Oxfam and / or with my organization may arise.

Even when the giving and acceptance of gifts is normal cultural practice I will reject monetary gifts or inappropriate gifts from governments, beneficiaries, donors, suppliers and other persons, which have been offered to me as a result of my association with Oxfam and / or the role I have in my organisation. Where the giving and acceptance of gifts is normal cultural practice, I will ensure that such gifts are within the limits of reasonable judgements and in accordance with procurement policies and I will report gifts to the line management and where appropriate hand them onto Oxfam.

I will assure that assistance by Oxfam is not provided in return of any service or favor from others.

I will act against any form of fraud and corruption and not offer, promise, give or accept any bribes.

**Be responsible for the use of information, equipment, money and resources to which I have access by reason of my association with Oxfam.**

I will use my discretion when handling sensitive or confidential information.

I will seek authorization before communicating externally in Oxfam's name and will avoid any unintended detrimental repercussions for Oxfam and / or my organization.

I will appropriately account for all Oxfam money and property, (e.g. vehicles, office equipment, Oxfam-provided accommodation, computers including the use of internet, email and intranet).

**Protect the health, safety, security and welfare of all employees, volunteers and contractors.**

I will undertake and act on appropriate risk assessments.

I will comply with local security management guidelines and be proactive in informing management of any necessary changes to such guidelines.

I will behave in such a way as to avoid any unnecessary risk to the safety, health and welfare of myself and others, including other partner organizations and beneficiaries.

**Promote human rights, protect the environment and oppose criminal or unethical activities. I will ensure that my conduct is consistent with the human rights framework to which Oxfam subscribes.**

I will use my best endeavours to protect the natural environment and work in a sustainable way.

I will contribute to preventing all forms of criminal or unethical activities.

I will inform Oxfam of any relevant criminal convictions or charges I have had prior to my association in which Oxfam may have a legitimate interest.

I will also notify Oxfam if I or any other Board member face any criminal charges during our association with Oxfam that may impede our ability to perform the duties of my position subject to national legislation.

I have read carefully and understand the Oxfam Code of Conduct for partner organisations and hereby agree to abide by its requirements and commit to upholding the standards of conduct required to support Oxfam's aims, values and mission.

I also agree to ensure that every person in my organisation as well as any partners, volunteers or contractors involved in any way in Oxfam activities under our contract/agreement read, understand and abide by these requirements and commit to upholding the standards of conduct presented in this code of Conduct.

**Name**.....

**Name partner organisation** .....

**Position** .....

**Signature**.....

**Date**.....

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