

Annex 14: Example Participant Guided OCA Tool

Pact Namibia: Organizational Capacity Assessment Civil Society Organizations Responding to HIV/AIDS

<i>Statements of Excellence</i>	Performance	Most Important
Capacity Area 1: Purpose and Planning		
<p data-bbox="196 730 545 758">Discussion Activity: Bullseye</p> <p data-bbox="196 764 1321 793"><i>Materials: sticky dots (2 colors, one of each color per participant); flip chart with the following:</i></p> <div data-bbox="704 800 919 1016" style="text-align: center;"> </div> <ol data-bbox="196 1016 1398 1898" style="list-style-type: none"> 1. Introduce the theme ‘Purpose.’ What do we mean when we talk about the purpose of an organization? 2. What purpose does your organization play within the response to HIV/AIDS in Namibia? 3. How are staff and volunteers made aware of the purpose of your organization? 4. To what extent do you feel that staff and volunteers share the same guiding purpose? <i>(Participants mark on bullseye with red)</i> 5. Discuss results: How do you feel about what you see? What patterns do you notice? Any surprises? etc. 6. What examples can you give from the last 12 months to show that staff and volunteers are committed to your organization’s purpose? 7. Introduce the topic of ‘Planning.’ What do we mean when we use the term planning? 8. Does your organization have an active strategic plan? When / How was it developed? What information did you use? <i>(Try to get to whether the latest global and national policies and standards were reviewed)</i> 9. What is covered in your strategic plan? 10. So the strategic plan covers longer term issues. How do you decide how to spend your time on a weekly or monthly basis? How helpful are your organization’s work-plans in assisting you to decide how to spend your time? 11. How do you know whether you are making progress with your work? 12. To what extent have <i>you</i> had the opportunity to be involved in organizational planning over the last 12 months? <i>(Participants mark on bullseye with blue)</i> 13. Discuss results: How do you feel about what you see? What patterns do you notice? Any surprises? etc. 14. Who else is involved in planning activities? How does your organization ensure that all key stakeholders are involved in planning? 		

<i>Statements of Excellence</i>		Performance	Most Important
Capacity Area 1: Purpose and Planning			
<i>Most important – each person selects 2 and places x.</i>			
<i>Statements of excellence for scoring (#1- #7)</i>			
1	Our staff and volunteers have a clear understanding of our organization’s purpose within the Namibian HIV/AIDS sector		
2	Passion for our organization’s purpose is reflected in all of the actions taken by staff and volunteers		
3	We have a documented strategic plan that sets our direction and goals for the medium and long-term		
4	We review the latest global and national policies and standards in order to inform our strategic plans		
5	Our organization has a written annual work-plan that clearly states what we will do and by when		
6	We routinely monitor our work-plan to track progress in achieving our objectives		
7	Strategic and work planning activities are conducted with significant participation by key stakeholders, including people infected with and affected by HIV/AIDS		

<i>Statements of Excellence</i>		Performance	Most Important					
Capacity Area 2: Programs and Services								
<i>Discussion Activity: Candy Voting</i>								
Candies, Index cards w/ the following:								
<table border="1" style="width: 100%;"> <tr><td>Inclusive Design</td></tr> <tr><td>Technical Expertise</td></tr> <tr><td>Latest Approaches</td></tr> <tr><td>Influencing Community Leaders</td></tr> <tr><td>Capacity Building</td></tr> </table>				Inclusive Design	Technical Expertise	Latest Approaches	Influencing Community Leaders	Capacity Building
Inclusive Design								
Technical Expertise								
Latest Approaches								
Influencing Community Leaders								
Capacity Building								
<ol style="list-style-type: none"> 1. Introduce the topic of “Programs and Services”. What do we mean by programs and services? 2. What are some examples of programs and services that you have been implementing over the past 12 months? 3. Let’s use one program as an example. What was your process for designing this program? Was there any research or analysis conducted as part of the design process? Who was involved? 4. What approaches are you using to implement your programs? Give some examples. Have you tried any new approaches in the last 12 months? How did you identify any new approaches? 5. What are the most important skills needed to implement programs. How do you know that your staff and volunteers have these skills? 6. How well do you think beneficiaries would cope if your program ended tomorrow? How do you intend to build beneficiary capacity for after your program finishes? 7. What are the native languages of your beneficiary communities? Do you have staff that are fluent in these languages? 8. Do your programs try to change existing HIV/AIDS practices? In the last 12 months Have you been able to influence community and traditional leaders to assist you in supporting these changes? 9. Candy mapping. Introduce the cards (see above). These are all attributes of high-quality programs and services. Distribute candies according to which attributes you feel you organization does best. 10. What do you observe? How do you feel about these results? 								
<i>Most important – each person selects 2 and places x.</i>								
<i>Statements of excellence for scoring (#8-#14)</i>								
8	Our staff have adequate skills to analyze health data when designing programs							
9	Beneficiary groups and other key stakeholders are involved in the design of our programs							
10	We dedicate time to ensuring that we are well informed about the latest approaches in the sector in which we work							
11	Our staff and volunteers possess technical expertise in the program sectors which they work							
12	Our organization builds the capacity of beneficiaries to respond to the multiple facets (economic, social, political, technological) of the HIV/AIDS pandemic							

Statements of Excellence		Performance	Most Important
11	Our staff and volunteers possess technical expertise in the program sectors which they work		
12	Our organization builds the capacity of beneficiaries to respond to the multiple facets (economic, social, political, technological) of the HIV/AIDS pandemic		
13	Our staff is able to effectively communicate in the native languages of beneficiary communities		
14	We effectively influence community/traditional leaders to support change in HIV/AIDS practices		
Capacity Area 3: Governance			
Discussion Activity: Brainstorm Squares			
<i>Materials: brainstorm squares sheets (3X3 grid drawn on a single sheet of paper; 1 per participant)</i>			
<ol style="list-style-type: none"> 1. What is your understanding of the term “leadership?” Ask for examples. 2. Why is leadership important? 3. Distribute one sheet to each participant. 4. What are some words/phrases to describe leadership in your organization? <i>(Participants write 1 word/phrase in each box of row 1. After they have written, collect, mix up, and pass out again).</i> 5. Does your organization have a board of directors? 6. What do they do? 7. What are some words/phrases to describe the Board of Directors in your organization? <i>(Participants write 1 word/phrase in each box of row 2. After they have written, collect, mix up, and pass out again).</i> 8. What is your understanding of the term “communication?” 9. Why is communication important? 10. What are some words/phrases to describe communication in your organization? <i>(Participants write 1 word/phrase in each box of row 3. After they have written, collect, mix up, and pass out again).</i> 11. Take one topic at a time. Ask volunteers to read the comments on their sheets. Discuss results. (How do you feel about what you hear? What patterns do you notice? Any surprises? etc.) 12. When was your last staff meeting? How often do you have staff meetings? 13. What information does management share with staff? How often does this happen? 14. Do you usually work individually, or in teams? Who leads your work teams? What opportunities do others have to take on leadership roles? 			
Most important – each person selects 3 and places x.			

Statements of Excellence		Performance	Most Important
<i>Statements of excellence for scoring (#15-#23)</i>			
15	Our organization has an active and engaged board of directors		
16	Our board plays a leadership role for the organization. For example, fundraising, financial oversight, strategic direction and supervising the Executive Director		
17	Our leadership is a source of inspiration and motivation to staff and volunteers		
18	Our leadership actively promotes staff participation in planning and decision making		
19	Staff meetings are held on a regular basis		
20	Management regularly shares important information with all staff		
21	Teamwork and collaboration are characteristics of the way we operate		
22	Our staff and volunteers are given regular opportunities to take on leadership roles		
23	Our staff at all levels communicate openly and freely with each other		

Statements of Excellence		Performance	Most Important
Capacity Area 4: Organizational Sustainability			
Discussion Activity: Matrix			
<p><i>Materials: Flip chart with the following written:</i></p> <div style="text-align: center;"> </div>			
<ol style="list-style-type: none"> 1. What types of fundraising activities has your organization been involved in during the past 12 months? 2. Does your organization have a fundraising strategy? What are some key aspects of this strategy? 3. What are some examples of fundraising successes in the past 12 months? 4. To what extent were your fundraising activities successful and diverse? Invite participants up to the matrix and have them place an X in one of the four quadrants – successful and singular (meaning using just one kind of activity, such as a Brai), successful and diverse (meaning several types of fundraising were tried), unsuccessful and singular, or unsuccessful and diverse. 5. How do you feel about the result/outcome of the matrix? What does it tell us? 6. How many sources of income do your have? If any one of these funding sources were to stop funding you would your programs continue? 			

<i>Statements of Excellence</i>		Performance	Most Important
Capacity Area 4: Organizational Sustainability			
<p>9. How many sources of income do you have? If any one of these funding sources were to stop funding you would your programs continue?</p> <p>10. Have you experienced any sudden changes in funding over the last 12 months? If yes, how did your organization cope? Do you have a plan in place in case there is a change in the next 12 months?</p> <p>11. What marketing materials do you have? When were they developed? How have you used them? What has been their effect?</p> <p>12. How would you describe your relationship with your donors? Are there any examples from the past 12 months of when you have interacted with donors to promote the interests of your organization and beneficiaries?</p>			
<i>Most important – each person selects 2 and places x.</i>			
<i>Statements of excellence for scoring (#24-#30)</i>			
24	Our organization has a clearly defined fundraising strategy		
25	Our organization has successfully engaged in diverse fundraising activities. For example, organizing fundraising events, writing proposals, developing income generating activities and/or selling services		
26	Our organization has multiple sources of funding		
27	We have a clear plan for how we will cover our core operating costs for the next 12 months		
28	We consistently develop marketing materials that help our organization to be well-known in Namibia		
29	Our staff has the communication skills to explain and promote our work to others		
30	We consistently interact and negotiate with donors to promote the interests of our organization and beneficiaries		

<i>Statements of Excellence</i>		Performance	Most Important
Capacity Area 5: Financial and Operational Management			
<i>Discussion Activity = Line on the floor</i>			
Signs one either side of the line saying Agree and Disagree			
<ol style="list-style-type: none"> 1. Introduce the capacity area. What do we mean by financial management? 2. What are some key components of good financial management? Write these down on a flip chart (you're looking for budgeting, accounting, cash flow management, financial reporting, etc.) 3. Have people stand up. 4. Ask "In the last 12 months our organization has budgeted accurately." People show agreement/disagreement by stepping to one or other side of the line. Ask people why they agree or disagree. 5. Ask "In the last 12 months our organization has kept receipts for all expenditures." People show agreement/disagreement by stepping to one or other side of the line. Ask people why they agree or disagree. 6. Ask "In the last 12 months our organization has consistently produced accurate financial reports to donors on time." People show agreement/disagreement by stepping to one or other side of the line. Ask people why they agree or disagree. 7. Ask "In the last 12 months all staff members have prepared timesheets before receiving payment." People show agreement/disagreement by stepping to one or other side of the line. Ask people why they agree or disagree. 8. Ask participants to take their seats. 9. When was the last time you had an audit? Who performed the audit? How often do you usually have audits? 10. Do you have a filing system for key documents? What documents do you keep in your filing system? How easily can you find the documents you need? 11. What is meant by the term "information technology?" (for example, use of email, faxes, cell-phones, etc.). What information technology do you use? Are there other types of information technology would help you to meet your operational needs? 12. Have you procured any equipment or services in the last 12 months? What procedure did you follow? Did anyone have a different experience? 			
<i>Most important – each person selects 3 and places x.</i>			
<i>Statements of excellence for scoring (#31-#39)</i>			
31	Our budget allocates funds in a way that closely reflects our programmatic, staffing and operational needs		
32	We always prepare timesheets before payment is made to staff for their work		
33	Our financial reporting is always complete and accurate		
34	Our financial reporting is always on time		
35	Our organization keeps receipts from every purchase made		

<i>Statements of Excellence</i>		Performance	Most Important
36	We perform periodic (external or internal) audits		
37	Our organization has a filing system to retain key documents e.g. donor agreements, contracts, leases, reports etc.		
38	Our organization uses technology to meet its operational needs		
39	We follow transparent procedures for procuring equipment and services		

<i>Statements of Excellence</i>	Performance	Most Important										
Capacity Area 6: Human Resources												
<p>Discussion Activity: Color-coded voting <i>Materials: sticky dots (each participant should get 4 of each color); a flip chart with the following chart written:</i></p> <table border="1" style="width: 100%; border-collapse: collapse; margin-bottom: 10px;"> <tbody> <tr> <td style="padding: 5px;"><i>Recruitment and Retention</i></td> <td style="width: 50px;"></td> </tr> <tr> <td style="padding: 5px;"><i>Roles and Responsibilities</i></td> <td></td> </tr> <tr> <td style="padding: 5px;"><i>Staff Development and Performance Review</i></td> <td></td> </tr> <tr> <td style="padding: 5px;"><i>Appreciation and Morale</i></td> <td></td> </tr> <tr> <td style="padding: 5px;"><i>Dealing with Difference</i></td> <td></td> </tr> </tbody> </table> <p><i>A sheet with the following posted on the wall or floor:</i></p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"> <p><i>green = excellent;</i> <i>yellow = satisfactory/average;</i> <i>red = needs improvement.</i></p> </div> <ol style="list-style-type: none"> 1. Introduce the capacity area. What do we mean by “human resources?” 2. Has anyone in this room been recruited over the last 12 months? What was the process? 3. Think of your own roles/responsibilities – how do you know these roles? 4. Has there been staff/volunteer turnover during the past 12 months? What factors contribute to this? 5. What staff development activities have you participated in during the past 12 months? How have they helped you? 6. Does the organization have a written personnel manual? Do you have a copy? What information is included? Does the personnel manual include a code of ethics? Does the personnel manual include an HIV/AIDS workplace policy? 7. How do you know if your supervisor is pleased with your work? Have you had a performance review in the last 12 months? Was it helpful for you? What other kinds of emotional or material support have you received from the organization in the last twelve months? 8. How does the organization show appreciation to high-performing staff and volunteers? 9. What has the organization done in the last 12 months to boost staff and volunteer morale? 10. In what ways are our staff and volunteers diverse? How is difference dealt with in your organization? 11. Introduce task. (Participants place one dot in the box next to each item listed. Green = excellent; yellow = satisfactory/average; red = needs improvement.) 12. Discuss results. (How do you feel about what you see? What patterns do you notice? Any surprises? etc.) <p>Most important – each person selects 3 and places x.</p>			<i>Recruitment and Retention</i>		<i>Roles and Responsibilities</i>		<i>Staff Development and Performance Review</i>		<i>Appreciation and Morale</i>		<i>Dealing with Difference</i>	
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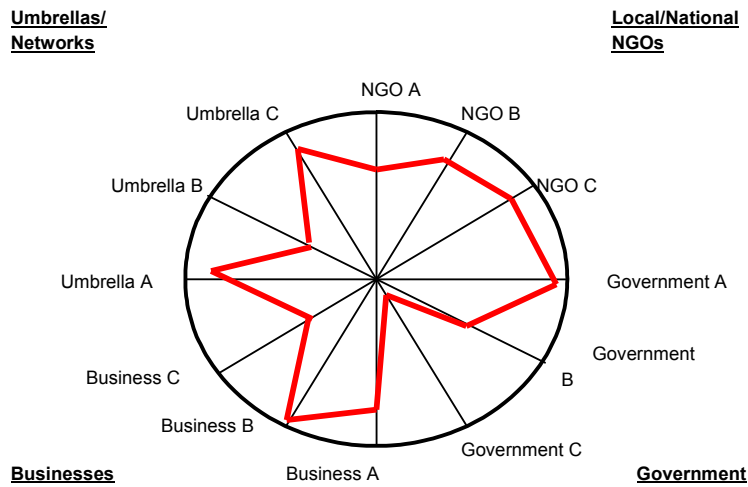
<i>Statements of Excellence</i>		Performance	Most Important
<i>Statements of excellence for scoring (#40-#49)</i>			
40	Our organization follows a personnel recruitment process that is clearly defined		
41	Each staff member and volunteers understands his/her role within the organization		
42	Our organization successfully retains high-quality staff and volunteers		
43	Our staff and volunteer technical expertise is routinely strengthened through a number of ways. For example training, mentoring, attending conferences, participating in planning etc.		
44	Our staff and volunteer conduct is guided by a written personnel manual which includes a code of ethics and HIV/AIDS workplace policy		
45	Our staff members receive a formal performance evaluation from their respective supervisors at least once a year.		
46	Our staff and volunteers consistently receive emotional and material support from the organization in times of need		
47	Our organization regularly shows appreciation for staff and volunteer efforts		
48	Differences among our staff and volunteers are appreciated and respected. For example, ethnicity, gender, and people living with HIV/AIDS		
49	Our organization builds high morale among staff and volunteers		

<i>Statements of Excellence</i>		Performance	Most Important
Capacity Area 7: Monitoring and Evaluation			
<i>Discussion Activity = High/Low</i>			
Cards with the following written, one on each card: needs assessment, use of indicators, data collection & analysis, beneficiary feedback, organizational learning			
<ol style="list-style-type: none"> 1. Introduce the capacity area. What do we mean by monitoring and evaluation? 2. Have you done any monitoring and/or evaluation activities over the last 12 months? Share examples and describe activities. 3. Do you have any staff that are dedicated to monitoring and evaluation? How much of their time is dedicated to monitoring and evaluation? 4. How do you find out what services beneficiaries want? How frequently do you do this? 5. How do you know if you are on track to achieve your program goals? Do you have a plan for monitoring activities? Who is involved in program monitoring? How useful is the monitoring system in helping you to do your job better? 6. Have you conducted any evaluation studies in the last 12 months? How useful are the evaluation studies in helping the organization to improve its programs? 7. Introduce activity. Place cards on the wall, say the position of the cards is neutral (neither good nor bad). Ask the room to say whether the card should go higher or lower, based upon the organizations success in doing what is on the card. Repeat for all cards. 8. Ask "What patterns do you see?" "Why do you think we see these patterns?" "Were there any surprises?" etc. 			
<i>Most important – each person selects 2 and places x.</i>			
<i>Statements of excellence for scoring (#50-#56)</i>			
50	Our organization has staff that are dedicated to monitoring and evaluation		
51	We thoroughly assess the needs and interests of our beneficiaries		
52	We routinely use indicators to monitor whether we are on track to achieve our program goals		
53	We conduct evaluation studies that tell us about the impact of our programs		
54	Our monitoring and evaluation provides us with useful information on the effectiveness of our projects and activities		
55	We regularly collect feedback from beneficiaries on the quality of our programs and activities		
56	We improve our programs based on findings generated through monitoring and evaluation		

<h1>Statements of Excellence</h1>	Performance	Most Important
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Capacity Area 8: Networking

Discussion Activity = Radar map



1. What are the three local or national NGOs/CBOs that you have worked most closely with over the last 12 months? *Write on edge of radar map.*
2. Repeat question 1 using “Government departments/agencies”, “Businesses”, and “Umbrella organizations/Networks” in place of NGOs/CBOs. *Add to radar map.*
3. To what extent has your relationship with each of these entities helped you achieve your program objectives? *Place a marker pen on the line for each entity and move it closer to the center or edge depending upon the answer from participants. Repeat for each entity mentioned. The center of the map is 0 out of 10 and the edges are 10/10.*
4. What do you see?
5. Have you referred any beneficiaries to the services of other organizations in the last 12 months? Do you have a clear process for referrals?
6. errals?
7. What are the most important lessons you have learned in the past 12 months? Have you developed any new promising practices in the last 12 months? Who have you shared these lessons and practices with? How have you shared these lessons learned and promising practices? Have you adopted any lessons or practices from others based upon this sharing?

Most important – each person selects 2 and places x.

Statements of excellence for scoring (#57-#62)

57	We deliberately establish relationships with diverse groups that help us achieve our purpose		
58	We work collaboratively with all government agencies relevant to our beneficiary groups/communities		
59	Our organization is an active member of umbrella organizations and networks that share our concern for people affected by HIV/AIDS		

<i>Statements of Excellence</i>		Performance	Most Important
60	Our organization routinely refers beneficiaries to appropriate services of other organizations		
61	Our organization actively shares lessons learned and promising practices with others		
62	We regularly gather new ideas and promising practices from other organizations		