**THE TERRE DES HOMMES PARTICIPATORY CAPACITY ASSESSMENT TOOL**

**Instructions**

1. Score your NGO on every parameter and every section of the tool. Any assessment tool that is not fully filled will not be considered.
2. The score should be as reflective of reality as possible. Should you be shortlisted and upon verification substantial untruths are discovered, you will be disqualified.
3. The score should be based on evidence that will be presented at the time of physical verification of candidate NGOs for prequalification.
4. Cases of falsification of information whether discovered before, during or after pre qualification shall lead to disqualification.

NAME of the candidate NGO ……………………………………………………………………………………

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| **CATEGORY F.1: GOVERNANCE** |
| **No** | **INDICATOR** | **STARTING (1)** | **EMERGING (2)** | **PROGRESSING (3)** | **PRIME (4)** | **SCORE** |
| 1.1 | **Registration.Is the organisation registered? See certificate** | Is not registered or is affiliated to a registered organisation | The organisation is in process of registering with relevant NGO authority | Is a registered NGO, also with other authorities relevant to their work (MOH, MOE, etc) | The organisation is registered with all the relevant bodies |  |
| 1.2 | **Compliance to CBO/NGO/other relevant regulatory requirements****Which requirements have been complied with?** | The organisation does not comply with any registration requirements | Organisation is aware and is complying with basic requirements | The organisation complies with most registration requirements (tax, annual reports, renewal of registration) | The organisation fully complies to all regulatory requirements |  |
| 1.3 | **Existence of V-M statement****What is the organisation’s V-M statement? Where is it written? Check consistency** | V-M is not documented | A draft V-M statement exists but it is inconsistent in different documents | A clear V-M statement has been developed but it is not clearly providing focus and direction in the organisation | A clear V-M statement exists and is consistent in all documentation It gives the organisation a focus and strategic direction |  |
| 1.4 | **Internalizing of V-M statement****How is the V-M shared, made known to all (confirm with different levels)** | V-M is not shared | Only a few members know it | Most members of the organisation know it | Is well known by all staff and board, internalized and applied in planning |  |
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| **CATEGORY F.2: FINANCIAL MANAGEMENT** |
| **No** | **INDICATOR** | **STARTING (1)** | **EMERGING (2)** | **PROGRESSING (3)** | **PRIME (4)** | **SCORE** |
| 2.1 | **Financial guidelines or manuals.****Check for existence of accounting principles and procedure.Study the finance manual in general (if they have one).** | Financial policies and procedures are not developed, documented. | Basic financial procedures have been developed ,documented and applied | Financial procedures and policies are developed, documented but not fully applied | Financial procedures and policies developed, documented and fully applied |  |
| 2.2 | **Are the procedures for approval and authorization of transactions documented and well defined?** | No procedures for transaction approval and authorization are documented | Simple procedures for transaction approval and authorization are documented | Procedures for transaction approval and authorization are documented but not well defined, strictly followed | Procedures for transaction approval and authorization are documented, well defined and fully applied |  |
| 2.3 | **Confirm there's a clear guideline on retention of finance information.** | Guideline on finance information retention is not documented | Simple guidelines on financial information retention are documented | Clear guideline on financial information retention are documented but not fully applied | Clear guideline on financial information retention are documented and fully applied |  |
| 2.4 | **Confirm there is a clear system of petty cash management and control.** | Petty cash management system is not documented | Petty cash management system is documented with few regulations and inadequate limitations | Petty cash management system is documented with reasonable control and guidelines , security is not ensured | Petty cash system is documented with clear indications of what is paid through petty cash, security ensured |  |
| 2.5 | **Budget control authorization system****Check on existence of a budgeting and a budgetary control system****Confirm that budget is used as a control tool - monitoring of expenditure against approved budget and availability of funds.** | Poor budgeting and budgetary control system. | Simple budgeting and budgetary control procedures are documented | Budgeting and budgetary control system is documented but ineffectively used as a control tool | A comprehensive budgeting and budgetary control system in place and effectively used as a control tool. |  |
| 2.6 | **Efficiency of organisation****How is efficiency of organisation guaranteed?** | The organisation does not monitor its overhead in relation to project costs. Organisation is not aware of possible costs-reduction measures. | The organisation monitors its overhead by comparing their budget from year to year. Cost-reduction measures are occasionally taken. | The organisation monitors its overhead using one or two cost indicators.Costs reduction measures are often taken to improve efficiency. | The organisation monitors its overhead using one or two indicators and sets a norm for each indicator. Cost reduction measures are part of the planning and control cycle of the organisation. |  |
| 2.7 | **Check and confirm professional capacity of accounting officers and systems. (levels of training, qualification, competences).** | Finance staff do not possess relevant qualifications or experience. | Finance staff possesses basic bookkeeping qualifications / skills, but might lack experience. | Finance staff possesses enough accounting skills, are qualified & competent enough, but some of them do not yet have experience | All finance staff possess relevant qualifications , have experience in this working field, are highly competent, |  |
| 2.8 | **Check if the accounting system is developed and they use an accounting software and staff is fully trained** | No accounting software is used | they use excel for all accounting activities | they use basic accounting software | they use universally accepted software and staff are trained |  |
| 2.9 | **Confirm there is segregation of duties - How are incompatible duties segregated? more so around cash handling.** | No segregation of incompatible duties | Irregular segregation of incompatible duties. | Some fair level of segregation of incompatible duties but can be improved | Segregation of incompatible duties is quite adequate and internal checks are maintained |  |
| 2.10. | **Internal financial audit -Does the organisation have an internal financial audit function?** | The organisation does not have an internal audit function but there is a system of reviewing financial records and reports. | The organisation has an internal audit function that is not operational | The organisation has an operating internal audit function – but audits are ad hoc. | The organisation has an operating internal audit function – findings are reviewed with management, finance department and other relevant staff members. |  |
| 2.11 | **External financial audit -Are external audits carried out? What’s the frequency, by whom?** | No external audits are carried out but financial records and reports are reviewed | Irregular external project audits are carried out | Annual external project audits are carried out | Annual external audit is carried out (one annual audit of the whole finance of the organisation (all donors/projects together). |  |
| 2.12 | **Review last / previous audit recommendations, implementations and follow up -Does the organisation follow up on audit findings?** | Audit finding are not reviewed by the management | Audit finding are reviewed but implementation is not consistent | Audit recommendations are reviewed by management team and implemented | There is a clear system of following up all audit recommendations: finding are reviewed with management, finance department, and other relevant staff members.– - full implementations is done. |  |
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| **CATEGORY F.3: PROGRAM DEVELOPMENT AND MONITORING** |
| **No** | **INDICATOR** | **STARTING (1)** | **EMERGING (2)** | **PROGRESSING (3)** | **PRIME (4)** | **SCORE** |
| 3.1 | **Link between program/activities and V-M. Explain the linkage. Who/how many (board, management, staff) understands this linkage?** | No Linkage, or weak linkage | Most programs and activities are linked to the V-M statement | All programs and activities are well linked to V\_M and link is explained in the strategic plan. | All activities are systematically linked to the V-M statement. The later guides the culture and actions of the organisation |  |
|  3.2 | **Action Plans.What action plans are in place in the organisation?** | There are no organisational action plans, actions depend on daily instruction. | Major activities of the organisation are shown on a common action plan. | A complete year plan has been developed and is on display for all staff to refer to. | Organisational work-plan, departmental and individual plans all in place. |  |
| 3.3 | **Strategies for sustainability of project results.****What strategies are in place for sustainability of project results** | There are no strategies for sustainability of project outputs. | Basic strategies for sustainability in place, e.g. Security and maintenance | Sustainability strategies are in project operation – e.g. local capacity building, community involvement, cost-effectiveness and efficiency measures. | Project results successfully continue without need for external support or intervention, |  |
| 3.4 | **Existence and use of a quality monitoring plan****Does the organisation / project have a monitoring plan ?.** | Project does not have a monitoring plan. | A monitoring plan exists as a formality but it is not in use. | The organisation has a project monitoring plan but it is not followed consistently. | The organisation has a comprehensive and consistent monitoring plan that is regularly used. |  |
| 3.5 | **Collection of monitoring data****Is monitoring data collected and used to improve project work?** | No monitoring data is collected | Some data collection is done but it is not systematic | Data is collected systematically at output and outcome level but not always used effectively to improve project implementation. | Monitoring data at output and outcome level is collected regularly and used as a tool to inform and adjust project implementation for the better when need be. |  |
| 3.6 | **Documentation and record keeping systems (on general progress).What is in place to facilitate clear and consistent documentation and record keeping of monitoring information, beneficiaries?** | There is no system for documentation and record keeping | A basic system of record keeping has been developed, but documents are not regularly updated and accessibility is poor. | A good record keeping system is in place and in use. Documents are updated, plans are under-way to centralize the system. | An excellent, centralized record keeping system exists and is in use. Documents are regularly updated and are accessible to all. |  |
| 3.7 | **Report writing****Is the organisation able to handle all documentation and report writing internally?** | The organisation produces very few & poor quality reports. | Reports are written but do not have the right information. | Reports are written with good information but not used for decision making. | Reports contain all the necessary information and are used for decision making. |  |
| 3.8 | **Involvement of beneficiaries in evaluation. Are project beneficiaries involved in project evaluation?** | The beneficiaries are not involved at all | Beneficiaries’ are interviewed during project evaluation. | Beneficiaries are involved through participatory approaches such as FGDs and feedback sessions | Evaluators use different approaches & spend time with beneficiaries to get their true opinion of project impact. |  |
| 3.9 | **Using lessons learnt****How does the project respond to lessons arising from its experiences?** | The organisation is unprepared to acknowledge or face lessons arising from its experience. | The organisation is able to discuss its experiences but has not integrated lessons learned into project planning. | Organisation derives lessons learned. Some efforts have been made to integrate them into project planning. | The organisation is able to systematically extract lessons learned, and integrate them into current and future project plans. |  |
| 3.1 | **Learning from evaluations****How does organisation integrate lessons learned from evaluations in their policies and approaches?** | Evaluations or are seldom done and serve just as an administrative obligation | Evaluations are occasionally done for accountability only | Evaluations are done regularly. Lessons learned are only used to improve current project but not for future strategy improvement. | Evaluations are done regularly and systematically to generate information. Lessons learned are reflected upon and used to improve current projects and future policies and programs. |  |
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| **CATEGORY F.4: QUALITY OF RESULTS AND EFFECTIVENESS OF PROGRAMME** |
| **No** | **INDICATOR** | **STARTING (1)** | **EMERGING (2)** | **PROGRESSING (3)** | **PRIME (4)** | **SCORE** |
| 4.1 | **Understanding of child rights?****How does the organisation view the issue of child rights?** | The organisation has heard of child rights, but operates as per common-man’s view of rights | The organisation has understanding of CR issues and how they affect the target group and has done some activities | The organisation relates and applies CR issues and challenges to it’s own service delivery and it has some of the relevant documentation e.g. Children’s Statutes or Act, UNCRC | The organisation has the relevant documents and regularly analyses new developments and data on child rights and integrates them in their strategic plan./service delivery system. |  |
| 4.2 | **Efforts to uphold CR in the organisation, including child participation.****What efforts are in place?** | None | Some effort is made to address the common rights of children, issues like child participation are not considered | There is reasonable effort to up-hold most of the rights of children, however they are yet to achieve meaningful child participation | The organisation employs creative ways to to uphold children’s rights including child participation |  |
| 4.3 | **Addressing needs of the target group. To what extent does the service meet the needs of the target group?** | Minimal effort to address the real needs of the target group. | The services address basic requirements of the target group | The services are ‘holistic’ and the program is adjusted when new needs arise | Program is designed to suit the situation of the target group. The services address strategic needs of the target group to enhance sustainability. |  |
| 4.4 | **Gender considerations among beneficiary group.How are they taken into account in the project?** | Does not arise at all | Gender considerations are ignored | Are taken into account to a reasonable extent | Are fully integrated in the project |  |
| 4.5 | **Capacity to mobilize project & community resources for service delivery. How effective is the organisation in resource mobilization?** | The organisation has very little capacity to mobilize resources. | The organisation is able to mobilize some resources for small projects/renovations | The organisation mobilizes resources from different sources. | The organisation has developed capacity to mobilize significant resources from various sources. |  |
| 4.6 | **Selection of beneficiaries****How are beneficiaries selected?, Who is involved?)** | Selection done on request/at random by project staff. | Selection done through community members based on general criteria | Home visit/interview is part of the selection process and 90% of beneficiaries fit within clear selection criteria | Committee is in place to select beneficiaries on basis of clear selection criteria and priorities. The most needy (within target group) are reached |  |
| 4.7 | **Reintegration of beneficiaries into the general society****Is there an “exit” strategy in place for children?****(CE projects)** | Beneficiaries stay in the project. There is no exit strategy | Project is not actively reintegrating. Beneficiaries are reintegrated only in problem situations. | A basic strategy is in place and practiced to reintegrate children. | Detailed reintegration procedures are in-built in project and are practiced. Re-integration position for all beneficiaries is regularly reviewed and appropriate action taken. |  |
| 4.8 | **Follow-up of former beneficiaries****(outcome level effects monitored?)** | No follow-up, coincidental meetings | Occasional visits to get information for project improvements/evaluation | Follow-up plan is in place & is generally followed, effectiveness can be improved. | Organized follow-up and information used to improve the project/ the situation of the child |  |
| 4.9 | **The organisation has a child safeguarding policy.** | No written policy in place | Simple policy is written and clearly describes the NGOs’ understanding and definitions of abuse. | Written policy is published, promoted and distributed widely. Is approved and signed by management body | All staff comply with the policy – there are no exceptions. There is written evidence of how abuse is dealt with in the organisation, and the policy is reviewed and adapted whenever there is a significant changes |  |
| 4.1 | **Putting the policy into practice****(see if there is a flowchart that describes steps in the child safeguarding process, look for name and duties of those people with special responsibility for child protection in NGO, look for forms for recording details of child safeguarding incidents)** | Simple child protection procedures in place that provide some guidance on what action to take if there are concerns about a child’s safety or welfare. | Detailed child protection procedures in place that provide step-by-step guidance on what action to take if there are concerns about a child’s safety or welfare. There is a person (s) with clearly defined responsibilities forchild protection | Child protection procedures have clear guidelines on process for recording incidents, concerns and referrals and storing these securely, so that confidential information is locked away. | There is a process for dealing with complaints by parents/carers and byyoung people about unacceptable and/or abusive behaviour towards children, with clear timescales for resolving the complaint. |  |
| 4.11 | **Collecting data on Child Protection** | NGO collects some basic data on status of children | NGO collects some data on status of children and is used to highlight progress in improving child protection in the area | NGO collects data on child protection compiles, analyses and disseminates in a variety of ways including publications, memos, funding proposals internet etc | Data that is collected is used to highlight patterns of child abuse and is used strategically to inform programmatic efforts and for advocacy both internal and national/district |  |
| 4.12 | **Legal Aid****How does the organisation handle cases of child abuse and other children’s legal needs?** | Cases of child abuse are ignored or played down | Child abuse cases are reported to relevant authorities but not followed up. | The organisation sometimes takes these cases to court.(standard for CR projects only) | The organisation ensures a lawyer is availed to represent the child & closely follows up the case to its logical conclusion. |  |
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| **CATEGORY F.5: POLICY INFLUENCING & NETWORKING** |
| **No** | **INDICATOR** | **STARTING (1)** | **EMERGING (2)** | **PROGRESSING (3)** | **PRIME (4)** | **SCORE** |
| 5.1 | **Efforts to enhance awareness of children's rights in external forums outside of the project (advocacy)****What efforts does the organisation make in ...** | None or very limited | The need to enhance awareness of children's rights is not much understood. A few un-coordinated actions have been undertaken | Activities are planned and implemented with the aim to increase basic awareness on children's rights among communities and key stakeholders. | Its also involved in various forums that promote awareness & respect for CR. |  |
| 5.2 | **Understanding children’s needs and rights in relation to government and international donor’s policies****How do policies influence children’s lives?** | The organisation shows no interest in policies related to children beyond the project scope | The project can see the links between children’s problems & the larger (inter)national policy environment, but does little about it. | The project articulates priority policy issues affecting children and participates in local forums to enhance policy protection or change as the case may be. | The project includes activities that advocate for appropriate policy changes where need be or to uphold existing favorable policies. |  |
| 5.3 | **Creating environment to improve policies on children’s rights.****(How do you raise awareness on CR and Who is reached?)** | The organisation is involved in informal lobbying for improved CR policy environment | The project sensitizes general public, stakeholders and beneficiaries on CR policy issues | The organisation sensitizes local stakeholders, including donors, and authorities on policies regarding children’s rights. | The organisation sensitizes national government and high level politicians and international donors on child rights issues |  |
| 5.4 | **Contribution to policy improvement on children needs and rights****(How does project contribute to policy improvements)** | The project is not involved | The project has attended meetings on policy formulation, and/or implementation. | The project is involved in policy formulation forums and presentation of the same to relevant authorities and stakeholders. | The project has made important contributions to identify; formulate and/or implement relevant policy changes. |  |
| 5.5 | **Relations with Private Sector and the Media. Describe your relation with Private Sector and Media** | No collaboration no partnership | The organisation collaboration and partnership is ad hoc | The organisation has established some collaboration | The organisation has established good collaboration and partnerships. |  |
| 5.6 | **Cooperation with donors****Describe relations with current and previous donors** | The organisation may have received some limited donor support. Track record on at least one short-term donor relation. | The organisation is in discussion with potential donors. Track record is reasonable on at least one donor relation | The organisation has good relationship with donors. Has just received some donor support.(mid term 2-3) Track record is good | The organisation has good references from donors, other NGOs. Track record is supported by annual reports, audits. Organisation is a valuable resource to funding partners. |  |
| 5.7 | **Cooperation with the government****Describe relations with government** | No regular contact with government. | Cooperation is taking place, organisation has contacts with relevant decision-makers and engages them in dialogue | The organisation has established good relationship with the government.. There is exchange of ideas and resources where and when appropriate. | The organisation is well known, considered a major partner with the government, even beyond the local level. Organisation participates in inter-governmental networks |  |
| 5.8 | **Collaboration and partnerships with other civil society organisations (NGO& CBOs)****Describe nature of collaboration with CSOs.** | No collaboration or partnership has been established. | Organisation regularly receives and shares information which may help it to improve its work (e.g. newsletters, journals or email networking) | Organisation participates and promotes coalitions and networks of partners addressing same concerns. | The organisation has established good collaboration and partnerships with other civil society organisations. It leads, participates and/or contributes to relevant networks and coalitions. |  |
| 5.9 | **Active Networking****What Networks do you know, which ones do you network with?** | None. organisation does not know and is not linked to other relevant service providers. | The organisation has some informal links to other service providers. | The organisation strategically links up with other organisations (local, regional, national) to share resources and information | The organisation is fully involved in partnership and building strategic alliances at the local and national level (to advocate for the target group). |  |
| 5.1 | **Level of involvement in networks/ coalitions dealing with children’s issues.(How do you participate in networking in child issues?)** | Just members, only attended a few meetings convened by Networks/Coalitions dealing with children’s issues. | The organisation participates and has contributed ideas and content aimed at strengthening Coalition/Networks dealing with children’s issues | Organisation takes up significant responsibilities for joint analysis (e.g. papers, work groups) | The organisation initiates child focused Networks, Coalitions and groups and related research and analysis activities |  |
|  | **Mention your major strengths** |  |  |
|  | **Mention your areas of improvement** |  |  |
|  | **Name, Designation, Phone and email contact of Chief Executive** |  |  |
|  | **Date**  |  |  |
|  | **Physical Address** |  |  |