**Capacity Analysis Tool**

***1. What is this tool?***

This tool can be used with community organizations to identify capacity building needs, plan technical support needed by the organization and monitor and evaluate the impact of capacity building.

***2. How can this tool be used?***

This tool is designed to facilitate group discussions with members of community organizations, or it can be self-administered. The profile section has questions that can be asked to build up a basic description of the organization. There are further sections relating to specific areas of capacity.

In each capacity section, one open-ended question is followed by specific questions which have corresponding possible responses. Each suggested response indicates different levels of capacity that might be found at the organization. The facilitator uses the suggested responses to ask the group how they would score the organization on a scale of 1-4. By this method, participants assess their own strengths, weaknesses and capacity building needs, but also develop their understanding of how they might strengthen their capacity or improve the way they work.

***3. How to organise a visit with a community organisation***

If working as external facilitators, there should be a team of two people, with roles assigned from the beginning so that one person facilitates and the other can document the analysis. A meeting should be arranged with 5–10 members of the organisation that are representative of everyone involved at different levels within the organisation and have a balanced mix of gender.

The process should take about half a day (or 4 hours). Arrange a convenient time and location for the meeting. Check how far members and volunteers will have to travel to attend the meeting and if they need to be recompensed for this. Refreshments may also have to be provided not only during the meeting, but also to sustain people for their journey home.

***4. How to facilitate a discussion***

The facilitator is central to the success of the session. This may be someone external, or someone from within the organization being analyzed, that takes on the role of facilitator for the purpose of the meeting. The facilitator holds a very powerful position in a meeting. To impose his/her own views is to abuse that power. *Facilitators should only ever encourage, clarify or help expand other people’s views*.

General responsibilities of the facilitator also include -

* To ensure that everyone (including less confident or dominant members e.g. women, young people) contributes to the discussion and not all questions are answered by the leaders of the organization.
* To ensure the discussion remains focused on the questions. Don’t let people get distracted by side issues or become embroiled in details or an ongoing disagreement.
* To generate discussion and interaction. Probe for further information and ask the group to respond to each other’s views (use questions such as, ‘what do the others feel about that?’)
* To encourage critical reflection. Guard against the group tendency to provide only positive responses.
* To ensure everyone understands all language used. Some participants may not be familiar with terms like ‘mission’, ‘technical skills’, ‘book-keeper’, etc.

***5. Starting the discussion***

* Introduce yourself and ask everyone to introduce themselves and their roles. Document people’s roles to ensure there is a spread of people from across the organization.
* Explain the objective of the meeting is not just to analyze capacity, but an opportunity for members of the organization to discuss the strengths and weaknesses of the organization and how it can improve the way it works.
* Make a contract about time - the process should take about 4 hours. Use regular breaks to ensure people stay engaged when participating in the discussion.

***6. Conducting the analysis***

The assessment is a tool for starting discussions using questions, and for keeping discussions focused by returning back to the series of questions asked in the tool.

* It may help to provide copies of the tool for participants to follow during the discussion, if all participants have a high level of literacy. (If some participants find the language difficult, they may be disadvantaged in the group discussion, so better not to provide reading material at all).
* The profile provides questions to help describe the organisation. Be prepared that questions 6-9 may require a lot more time for the group to answer.
* In each capacity section, ask the open-ended question first. The group’s response may help answer some of the specific questions, but use the specific questions and suggested responses to ask the group where they would put the organisation on a scale from 1 to 4.
* The suggested responses can be used in an informative way. Participants may ask for explanations of the suggested responses and even challenge these assumptions in the tool. This encourages participants to critically reflect on their ways of working and whether they might do things differently.
* But for organisations with very low or very high capacity, the answers to certain questions may be obvious (e.g. if it has its own office or computer). These questions could be completed by the facilitator without asking participants, to avoid repetition or the risk of discouraging a group with low capacity. The judgement of the facilitator is important in deciding which questions to ask and how to ask them.
* At the end of each section, identify capacity building needs based on the responses. This might include simple information or HIV-specific resources they need. By reaching consensus on this jointly, this analysis can be very productive and rich.

***7. How to document the discussion***

Start by getting consent for documentation to take place and explain how the information will be used and by whom. Explain if a report will be written up, and how copies can be shared with them. Also remember to -

* Record the main points of the discussion as they are made, on a flipchart if available or otherwise in a notebook.
* Summarise discussions at the end of each section back to the group, e.g. a key strength and a key area for capacity building. This shows their views have been understood but also provides a break from endless questions.
* Ask questions to clarify when necessary
* Calculate a summary score for each section by taking the average of the scores for each question.
* Try to write up notes and flipcharts into a report as soon as possible after the meeting.

***8. How to follow up the assessment***

At the end of the process, go back to the objectives discussed, ask participants how they have found it, how it could be improved and thank them. Before finishing, discuss how the assessment will be followed up with next steps. These may include –

* The writing and sharing of the report
* A further visit to develop an action plan to address some of the issues that have come up in the assessment
* Specific technical support to address urgent or straightforward needs, e.g. sharing books, publications or training resources that might be useful
* The sharing of information with other people who may be involved with the organisation, such as a grant manager.

Agree a time frame that suits the organisation, and make sure that this commitment is kept.

*Source: Capacity Analysis Tool adapted from CARE-Nike Sport for Social Change Network*

Organization Profile

|  |  |
| --- | --- |
| 1. **Name / title of CBO**
 | 1. **When established**
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| 1. **Contact details of the CBO**

Name and contact details. Including mailing address, telephone/fax numbers and email, if available |
| 1. **Locations where the CBO works**
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| 1. **Staff & structure**

Who manages the CBO? How many full time staff, part time staff & volunteers? What are their roles? Do you have a technical advisor, if so, who? |
| 1. **Overview of CBO’s work**

Who does the CBO work with? What activities does it carry out? Estimate how many people it reaches with different activities. |
| 1. **Key achievements & main challenges**
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| 1. **Sources of funding**

Financial, material or in-kind support received from a) within the community; b) outside the community.  |
| 1. **Future plans**

What are immediate needs / priorities? Do they have any plans to scale up, if so how? If they received more funding, how would they use it? |
| 1. **Date & name of person completing profile**
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| **11. Does the organization have access to** **E-mail Computer Telephone Postal Mail**  |
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| 1. **Leadership, governance & strategy (3 measures)**
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| Do you have principles that guide the operation of the organization? If so, what do these principles say about the selection of leaders, decision making and resolving conflict within the organization? |
|  | **Question** | **Capacity Score** |
|  |  | **1** | **2** | **3** | **4** |
| 1. Constitution | Do you have a written constitution accepted and approved by all the members of the organization? | No constitution | Some rules / principles written down | Written constitution exists but wasn’t widely approved | Written constitution approved by representatives of the community & organization |
| 2. Governing Committee / Board | Do you have a Committee / Board that meets and makes decisions that guide your organization’s development  | No committee, no meetings | Committee established, but it never meets  | Occasional meetings, but rarely agree on any decisions  | Regular meetings (quarterly) with useful guidance and decisions made for the organization |
| 3. Mission & values | Do you have a mission and set of values which are clearly understood, agreed and approved by all the members of the organization? If so how are they used? | No - Little idea of what mission / values are or the purpose they serve | If asked, could give a description of the mission / values, but they have never been developed | Mission and/or values written down long ago, but few people were consulted and they are not understood or used now  | Mission and values were agreed by all stakeholders, and are regularly discussed to guide decisions about projects and activities |
| 4. CPP | Do you have a practice and policy involve current or former participants in leadership, governance & strategy topics? | No practice or policy to involve AGYW in these topics | AGYW are occasionally involved in practice, but no policy or goal | AGYW are consistently involved in practice, but no policy or goal | AGYW are consistently involved, measured against a goal and written policy |
| Identified capacity building needs: |
| Plans for action or change: |
| Suggestions for technical support: |

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| 1. **Administration & Human Resources (3)**
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| How do you organize for your work? |
|  | **Question** | **Capacity Score** |
| **1** | **2** | **3** | **4** |
| **1. Staff / Volunteer organization** | Does your organization involve a number of salaried staff and volunteers who have different areas of responsibility? | Less than 5 volunteers run the entire organization, some with more time and interest than others | 5-15 volunteers, with different roles & responsibilities some who provide leadership & management | 1 full-time staff person funded, with some volunteers all with similar areas of responsibility | Funding for 1-2 full time staff and volunteers with different, assigned areas of responsibility |
| **2. Staff and volunteer development** | How do you ensure that staff and volunteers learn and share their experiences, support and motivate each other and have sufficient skills  | No meetings or trainings. Low skill levels, as volunteers only do basic work | Few meetings. Volunteers sent for training only occasionally | Occasional meetings. Skills needed by staff and volunteers understood & on-going training provided informally & externally. | Regular meetings (monthly), training & team-building activities run to keep staff and volunteers motivated |
| 3. Office & equipment | Does your organization have its own office, meeting space and equipment for handling administration and writing reports? What equipment does the organization have? | No office, no equipment | Access to, occasionally use another office & equipment | Office & equipment (computer + printer) shared with another organization or individual | Own office & equipment (computer + printer) |
| **4. CPP** | How does your organization respect, encourage and promote AGYW into leadership roles  | Programs include leadership development, but do not involve AGYW in the organization’s leadership | AGYW are occasionally involved in organizational leadership roles, but not management or decision ­making  | AGYW are consistently involved in leadership roles, including responsibility for management & decision making  | Organization has a written policy or goal to create a leadership pathway to ensure AGYW to become future leaders in the organization4  |
| Identified capacity building needs -  |
| Plans for action or change |
| Suggestions for technical support |

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| 1. **Finance (6)**
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| How does the organization plan and manage its finances and budget? |
|  | **Question** | **Capacity Score** |
| **1** | **2** | **3** | **4** |
| 1. Finances | Does your organization keep accounts of money that it holds and can be presented on demand?  | No accounts kept | Records kept of money received & spent, but difficult to know how much money is held at any one time | Accounts kept up-to-date and balances and statements are prepared at the end of the year. | Balances & statements prepared quarterly. At year end, presented to external stakeholders for approval  |
| **2. Bank Account** | Does your organization have a bank account to hold its funds? | Organization has no funds | The organization has funds in cash but no bank account | Uses someone’s personal account | Has its own bank account |
| **3. Supporting Documents**  | Do you maintain supporting receipts and invoices for every expenditure from the grant? | No receipts / invoices are asked for when claiming or using money to justify expenses | Receipts / invoices are asked for sometimes, but rarely kept on file  | Receipts / invoices are needed to justify any use of grant money and these are kept on file, but rarely reviewed by anyone | All receipts / invoices and other supporting documents filed for 3 years, and regularly reviewed by authorized person |
| **4. Internal Control** | Do you implement an internal control system? E.g. A book-keeper is not authorized to approve expenditure of funds  | No internal control system and policy exist | Some rules exist (e.g. who is allowed to do what) but are not documented | Internal controls are documented but not always followed and need improvement  | Internal controls are documented, always followed and regularly reviewed  |
| **5. Budget Management** | Does your organization prepare, monitor and review the budget?  | No budget prepared | Budgets are prepared with estimated expenses for a proposal but not used for anything else | Budgets are used to manage how much to spend on activities & ensure there is enough money for all future planned work | Actual expenses are also reviewed against budgets monthly and major differences investigated  |
| **6. Reporting Requirement**  | Do you provide financial reports with accuracy and submit on time to donors? | No experience of having to submit donor reports  | Reports are submitted, but always late and with incomplete information. | Some reports submitted on time but often low quality.  | Reports always submitted on time & always meet donor requirements |
| **7. CPP**  | Do AGYW participate in any of the above tasks | No, but AGYW learn about some of these topics by participating in our programs | AGYW are occasionally involved in some of these topics  | AGYW are consistently involved in some of these topics  | AGYW are consistently involved and responsible for deliverables on some of these topics |
| Identified capacity building needs -  |
| Plans for action or change |
| Suggestions for technical support |

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| 1. **Project Design, Management, Evaluation (6)**
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| How do you develop, manage and evaluate your projects? |
|  | **Question** | **Capacity Score** |
| **1** | **2** | **3** | **4** |
| **1. Activity development & planning** | Does the organization plan the development of its activities, involving all people concerned? | Organization mainly responds to immediate needs, with little planning | Occasional short term planning, e.g. major events or monthly activities | All the organization’s on-going activities are normally planned in advance with all staff and volunteers  | Annual plans are always developed & agreed with community members, volunteers, staff & Board (if exists) |
| **2. Project & proposal development** | Are you satisfied with the quality of the projects you develop? Explain why. | Organization responds to immediate needs with no project framework or funded proposals | Funding has been received under one successful proposal mainly developed by an outsider | Projects written & developed within the organization – Have had at least 1 successful proposal | At least 2 successful projects / proposals developed internally in the last 3 years, each with needs assessments, activity plans and budgets. |
| **3. Targeting** | What type of people do you try to reach with your activities? | Always tries to reach the entire community | Work with whomever we can, but try to take care of the more vulnerable people | Work with specific groups of vulnerable people (e.g. orphans, or women heading households)  | We seek out people who are especially vulnerable or affected and together with them design our work relevant to their needs |
| **4. Project Management** | Are you satisfied with the management of your project portfolio? Explain why. | Minimal staff manage all projects. |  |  | Project Managers for each project |
| **5. Project M&E**  | Does your organization have a functioning M&E system? | No – organization does not do monitoring and evaluation for any of its activities 1  | Organization mainly responds to immediate donor requests for M&E data, ad hoc, with little planning Capaci2  | Organization has an M&E system, is collecting data on an on­going basis and is reporting to donors score 3  | M&E system is documented and data is used to inform management decisions, and to provide feedback to the community 4 \*\*its development is on going\*\* |
| **6. Project Evaluation** | Are you satisfied with the evaluation of projects portfolio? Explain why. | Numerous donor reporting formats are challenging to meet |  |  |  |
| **7. CPP** | Does your program involve AGYW in project/program design, management and evaluation? | No goal or involvement of AGYW in these topics | No goal, but AGYW are occasionally involved in some of these topics | No goal, but AGYW are consistently involved in some of these topics | AGYW are consistently involved, measured against a goal and written policy |
| Identified capacity building needs -  |
| Plans for action or change |
| Suggestions for technical support |

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| 1. **Technical capacity ()**
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| What experience does the organization already have in sport and development work?  |
|  | **Question** | **Capacity Score** |
| **1** | **2** | **3** | **4** |
| **1. Staff knowledge and skills** | Does the organization train all its staff & volunteers in the knowledge and the technical skills necessary to do their duties well? |  | Staff & volunteers know basic skills related to their tasks | Basic issues well understood; much experience in providing services but little regular training | Issues well understood, staff & volunteers trained in providing services and often provide training to others |
| **2. Gender and Sport knowledge and skills** | Does the organization train all its staff & volunteers in general Gender and Sport knowledge and the technical skills necessary to do their duties well? | Staff & volunteers know basic Gender and Sport skills related to their tasks  | Staff & volunteers have good understanding Gender and Sport issues and ability to apply to their roles | Gender & Sport issues well understood; much experience in providing services but little regular training | Gender & Sport issues well understood, staff & volunteers trained in providing services and often provide training to others |
| **3. IEC/BCC competence** | When educating people or raising their awareness through sport based programming, how do you plan whom you want to reach and what messages and activities to reach them with?  | No process | Always use the same activities for the entire community | Sometimes try to reach select group of people with specific messages and activities | Select key audiences and adapt messages and activities in a way that reaches them best, based on previous analysis  |
| **4. Gender and HIV/AIDS** | What do you understand about the relationship between gender and HIV/AIDS? | No understanding | Know that women are more vulnerable but do not know what to do about it.  | Sometimes look at gender inequalities and try to address these  | Always conducts gender analysis in design and implements genders sensitive strategies within HIV work |
| **5. Human rights and disabilities** | What do you understand about the relationship between people’s rights, legal protection and disabilities (mental or physical)? | No understanding | Understand people living with a disability are often discriminated against and have rights that should be protected | Understand how abuses of human rights can make people more vulnerable to discrimination but not sure how to use rights in the work or to help others | Actively use explanations of the law and people’s rights to help inform, defend or protect vulnerable people or to advocate to others e.g. the police |
| **7. Access to new sport and development information** | How do you encourage and enable members to learn and develop their knowledge about sport and development? | No mechanisms for improving knowledge | Some leaflets & information is made available. Occasional informal discussions | Information regularly accessed through a variety of sources and actively distributed among members. | Regular internal discussions to learn & share knowledge; information regularly accessed from a variety of sources; and access to an internet / email connection |
| **8. CPP** | Does your organization use AGYW (peer leaders) to increase impact and scale while reducing CPP?  | Have not thought about this | Have tried to use peer leaders in the past, but it has not worked | Have increased impact and scale, through use of peer leaders, but did not reduce CPP | Have increased impact and scale through use of peer leaders, while also reducing CPP |
| Identified capacity building needs –  |
| Plans for action or change |
| Suggestions for technical support |

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| 1. **Advocacy & Networking (2)**
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| What relationship does your organization have with other local, national and international players in sport and development and how do you work together to influence others? |
|  | **Question** | **Capacity Score** |
| **1** | **2** | **3** | **4** |
| 1. Advocacy | Do you carry out advocacy activities to influence those in power to change conditions or policies that form barriers to your work?  | Haven’t thought about local policies or conditions. Little or no targeted advocacy work done in the past | Have tried to mobilize public for support but nothing targeted at key people or institutions in power | Have developed targeted activities towards certain groups or policies but have lacked evidence, community voice, or strength of numbers | Have done convincing evidence or consultation -based advocacy, mobilizing allies and using many different communication methods |
| **2. Broader context and potential partnerships** | Does your organization work with local government, private or community organizations? | Work in isolation. No knowledge of local policies, strategies or work of others  | Some knowledge of local government policies & of other local organizations who are perceived mainly as ‘competitors’  | Understand national & local policy and strategies of other organizations; Have personal contacts with a few other relevant people / organizations | Have effective partnerships working together, sharing resources or referring clients with local government, private or community organizations |
| **7. CPP** | How does your program involve AGYW in advocacy and networking? | No goal or involvement of AGYW in these topics | No goal, but AGYW are occasionally involved in some of these topics | No goal, but AGYW are consistently involved in some of these topics | AGYW are consistently involved, measured against a goal and written policy |
| Identified capacity building needs –  |
| Plans for action or change |
| Suggestions for technical support |

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| 1. **Community ownership & accountability (3)**
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| What roles do members of the community play in the organization and how does the organization communicate with the community? |
|  | **Question** | **Capacity Score** |
| **1** | **2** | **3** | **4** |
|  **2. Involvement of vulnerable people in the activities, work and major decisions of the organization** | Do vulnerable people that you work with (e.g. youth, child headed households, women) participate fully in the activities, work and major decisions of the organization? | Don’t identify particular vulnerable people | Work with particular vulnerable people as volunteers but none are in paid / decision making roles | People from specific vulnerable groups are involved throughout the organization as paid staff and on the governing board / committee  | Vulnerable people are fully involved throughout organization; vulnerable groups of people are involved in designing projects and are widely consulted on major decisions  |
| **3. Gender**  | How does your organization involve boys and men as a strategy to help promote AGYW participation in sport? | Organization does not involve boys or men in programs or community outreach | Organization engages boys and men as one community stakeholder | Organization involves boys and men in some aspect of the programs for AGYW | Organization has a specific program content for boys and men that helps promote AGYW leadership and participation in sport |
| **7. CPP** | How does your program involve AGYW in community ownership & accountability? | No goal or involvement of AGYW in these topics | No goal, but AGYW are occasionally involved in some of these topics | No goal, but AGYW are consistently involved in some of these topics | AGYW are consistently involved, measured against a goal and written policy |
| Identified capacity building needs  |
| Plans for action or change |
| Suggestions for technical support |

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| 1. **Fundraising/Resource Acquisition ()**
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| How does your organization conduct fundraising for projects and overall structure? |
|  | **Question** | **Capacity Score** |
| **1** | **2** | **3** | **4** |
| 1. Fundraising  | How does your organization conduct fundraising? | Partner with INGO’s and receive funds as a subgrantee.  | Private support only.  |  | Compete in RFA process.Submit unsolicited proposals.Approach individuals, foundations, corporations for support. |
| 2. Social Media | Does your organization use social media to support your fundraising goals? | No | Have Facebook, Twitter and/or other social media presence, but do not dedicate resources to outreach  | Dedicate some resources to social media, but do not raise significant funds | Have some resources dedicated to social media and use for fundraising purposes and is an important source of funds |
| 3. Self-Financing | Does your organization raise organizational funds through self-financing strategies, such as membership fees, fee for services, product sales or use of assets  | No | Less than 5% of overall budget | Between 5% - 40% of overall budget | More than 40% of overall budget |
| **7. CPP** | How does your program involve AGYW in fundraising and resource acquisition? | No goal or involvement of AGYW in these topics | No goal, but AGYW are occasionally involved in some of these topics | No goal, but AGYW are consistently involved in some of these topics | AGYW are consistently involved, measured against a goal and written policy |
| Identified capacity building needs  |
| Plans for action or change |
| Suggestions for technical support |