**Organisation Capacity Analysis Tool (OCAT)**

**Summary of Tool:**

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| Theme | Dimensions | Explanation of the Dimension | Remarks |
| 1. Program | * 1. Project Development and Management | Are Projects designed and implemented to a high standard? |  |
| * 1. Monitoring Evaluation and Learning | Are projects effectively assessed to understand their achievements and impact and is there evidence that the organization uses this information to improve its work? |  |
| * 1. Accountability to Participants | Does the organization promote ownership among participants and take account of their feedback? |  |
| 1. Operations | * 1. Human Resources | Does the organisation have systems and processes in place for recruitment, retention, professional development, and performance management of the staff? | \*\**Before proceeding with this section, please incorporate any additional information from the Due Diligence Document of the Organization to complete the discussion).* |
| * 1. Organizational Policies | Does the organization have effective policies and do these support effective functioning of the organization and reduce risk related to programmatic, administrative and governance? |
| * 1. Financial Operation and Management | Does the organization have a system in place to manage financial operations following key principles of transparency? |
| 1. Organization Structure and Sustainability | * 1. Governance | Does the organization have well-established governance and administrative structures in place, making it a transparent and sustainable institution? | *\*\*(Before proceeding with this section, please incorporate any additional information from the \*\*Due Diligence Document of the Organization to complete the discussion).* |
| * 1. Leadership and Values | Does the organization have shared values that it lives out in practice, with accountable leadership at multiple levels of the organisation? |
| * 1. Fundraising | Does the organization have an effective fund-raising strategy, engaging with diverse funding sources? |  |
| * 1. External Relationships | Does the organisation actively communicate and collaborate with stakeholders and groups of people that help to reach the organizational goals? |  |

**Descriptive and Detailed Questions:**

**Theme 1: Program**

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| Theme 1: Programs | | | | | | | | | | |
| Dimension 1.1: Project Development and Management | | | | | | | | | | |
| Are Projects designed and implemented to high standards? | | | | | | | | | | |
| Key Question | **Sub-Questions** | | | **Standards** | | | | | **Strengths** | **Areas for Growth** |
| 1. What process is followed in your organization to design a project? | 1. What process does the organization follow to design a project and what criteria is used to decide whether to proceed (Go) or not (No Go) with a particular project? | | | 1. The organization conducts planning meetings to discuss project design steps and delegate staff responsibilities. 2. Learning from other projects, including relevant evaluations, is considered and incorporated into the project design. 3. Participatory tools are used to involve participants in assessing the situation, identifying needs, and determining potential indicators of positive change. Additional research tools are employed to understand the context and map systems that require transformation, including government, business, and community systems. 4. A Theory of Change, objectives, activities, results, indicators, etc., are developed based on the assessment and analysis. 5. Feedback from frontline staff and specific participants is actively sought and integrated into the project design process. 6. Non-discriminatory practices are followed throughout the project design, ensuring equal access and opportunities for all communities, irrespective of factors like race, caste, gender, religion, etc. 7. The project design emphasizes the collective and individual power of participants and strives to uphold participants' rights. | | | | |  |  |
| 1. How does the organization find out the needs and requirements of the community before initiating the project design process? | | |  |  |
| 1. How does the organization ensure that the project design incorporates knowledge gained from previous or ongoing projects and similar strategies? | | |  |  |
| 1. How do you plan for implementation and management of the project? | 1. Does the organization have regular implementation plans (e.g., annually, semi-annually, quarterly)? If yes, what are the components of these plans? | | | 1. Annual organization planning includes setting objectives, outcomes, activities, timeline, and task delegation. 2. The annual plan is reviewed semi-annually and annually. 3. A participation and feedback mechanism has been developed and implemented for participants and stakeholders. 4. Changes in the program are communicated to the community in a timely manner. 5. Community groups have the freedom to plan their activities across projects. 6. Community or local contributions (e.g. space, effort) may be transparently requested when appropriate. 7. Project implementation ensures equal access and opportunities for all communities, irrespective of race, caste, gender, religion, etc. 8. Exit strategies are collaboratively developed with communities and participants early in the project, with clear communication. 9. Appropriate sustainability mechanisms, such as community ownership or government adoption of ongoing implementation, are incorporated. 10. Staff members are informed well in advance about project closure and are either engaged in other projects or provided severance after project closure. | | | | |  |  |
| 1. How does the organization review project progress against planned outputs, outcomes, and activities? | | |  |  |
| 1. How does the organisation gather feedback from community members about the project? | | |  |  |
| 1. What process does the organization follow with the community when the project is to be closed? | | |  |  |
| 1. What process does the organization follow with staff members when the project is to be closed? | | |  |  |
| Top Area for Growth (Please narrate your findings based on discussion) | | | | | | **Ideas for Action (Please narrate analysis based of group discussion)** | | | | |
|  | | | | | |  | | | | |
| Overall Rating | | | | | | | | | | |
| 1.     Needs Improvement | | | **2.     Fair** | **3.     Good** | | | **4.     Very Good** | | | **Remarks (if any)** |
| The organisation follows a few, if any, of the guiding Standards. | | | **The organisation follows some of the guiding principles.** | **The organisation follows most of the guiding principles.** | | | **The organisation not only follows but exceeds the guiding principles.** | | |  |
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| Dimension 1.2 : Monitoring Evaluation and Learning | | | | | | | | | | |
| Are projects effectively assessed to understand their achievements and impact and is there evidence that the organization uses this information to improve its work? | | | | | | | | | | |
| Key Question | **Sub-Questions** | | | **Standards** | | | | | **Strength** | **Area of Growth** |
| 1. What is the process of Monitoring and Evaluation in your organization? | 1. How do you monitor the project? What tools do you use for project monitoring? | | | 1. The organization has clear and reasonable M&E plan for regularly evaluating activities and outcomes. 2. The M&E plan is based on the project’s Theory of Change (TOC) and covers indicators for output, outcome, and impact level changes. 3. The organization assess changes and impact, not just outputs/ activities. Quantitative and Qualitative data collection processes are followed to assess the changes. 4. The organization promotes engagement of community and participants to regularly assess their achieved changes and progress towards goals. 5. The organisation has well-developed tools for standardized monitoring across working areas and they systematically gather and utilise information. 6. The organization has dedicated staff at various levels to handle M&E and seek expert assistance when needed. 7. The organization has a system for filing, compiling, and storing of data and learnings. They have safe back-up of data and keep confidential data protected. | | | | |  |  |
| 1. Who develops the monitoring tool? What process is followed for tool development? | | |  |  |
| 1. How do you plan data collection, standardized monitoring, and analysis of findings? How do you utilize the collected data? | | |  |  |
| 1. Do you have a data validation system for different levels (Output, Outcome, and Impact)? Could you explain how the data validation process works? | | |  |  |
| 1. What is your policy for filing, compiling, and storing data and evidence? Is there a provision for maintaining confidentiality of sensitive data? If yes, how is it ensured? | | |  |  |
| 1. How does the organization learn and grow based on their reflection from projects? | 1. How is reporting based on collected data and internal learning or reflection conducted? How frequently is reporting done? | | | 1. The organization has regular process for reporting and reflecting on internally collected data and learning. This process is done on regular frequency. 2. The project learnings are shared with the community and relevant stakeholders, including partner organizations, stakeholders, community leaders and govt. ministers (officials). 3. The organisation has a process for reporting back on collected data and reflecting on learning internally and does so on regular basis. 4. The organization disseminates learnings to the community and relevant stakeholders, such as partner organizations, stakeholders, community leaders, and government ministries. 5. The organisation has the practice of adapting operations and programming because of lessons learnt. | | | | |  |  |
| 1. Do you share project learnings with the community? If yes, how? How do you ensure the institutionalization of project learnings? | | |  |  |
| Top Area for Growth (Please narrate your findings based on discussion) | | | | | **Ideas for Action (Please narrate analysis based of group discussion)** | | | | | |
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| Overall Score (Rate in between 1 to 10 where 1 is the lowest and 10 is the highest) | | | | | | | | | | |
| 1.     Needs Improvement | | | **2.     Fair** | **3.     Good** | | | | **4.     Very Good** | | **Remarks (if any)** |
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| Dimension 1.3 : Accountability to participants | | | | | | | | | | |
| Does the organization promote ownership among participants seeking their rights and take account of their feedback? | | | | | | | | | | |
| Key Question | **Sub-Questions** | | | **Standards** | | | | | **Strength** | **Area of Growth** |
| 1. What are your practical approaches to ensure ownership among participants and sustainability? | 1. How does the organization identify stakeholders and facilitate their feedback during the project? | | | 1. The organization has well-defined groups and working areas, and stakeholders possess a comprehensive understanding of the organization's priorities. 2. The organization implements effective mechanisms to gather and analyse feedback from the community and other stakeholders. Staff, participants, and other stakeholders actively contribute to the planning process and are fully informed about it. 3. The organization places significant emphasis on amplifying the voices and perspectives of survivors during policy engagement. 4. The organization actively shares expertise and information with local leaders and stakeholders regarding community needs and issues that impact the community. 5. The organization places a high priority on collaborating with other NGOs to drive systemic change. | | | | |  |  |
| 1. What type of staff capacity building is planned by the organization on ownership and sustainability, and how is it implemented? | | |  |  |
| 1. How does the organization incorporate community feedback, survivor voices, and community perspectives in policy advocacy and engagement efforts? | | |  |  |
| 1. How does the organization provide regular updates to stakeholders, including government agencies, NGOs, community members, and local leaders? | | |  |  |
| 1. How does the organization collaborate with other stakeholders to drive systems change and engage in policy initiatives? | | |  |  |
| Top Area for Growth (Please narrate your findings based on discussion) | | | | | **Ideas for Action (Please narrate analysis based of group discussion)** | | | | | |
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| Overall Score (Rate in between 1 to 10 where 1 is the lowest and 10 is the highest) | | | | | | | | | | |
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**Theme 2: Operations**

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| Theme 2: Operations | | | | | | | |
| Dimension 2.1: Human Resources *(Before proceeding with this section, please incorporate any additional information from the Due Diligence Document of the Organization to complete the discussion).* \*\* | | | | | | | |
| Does the organisation have systems and processes in place for recruitment, retention, professional development, and performance management of the staff? | | | | | | | |
| Key Question | **Sub-Questions** | **Standards** | | | | **Strength** | **Area of Growth** |
| 1. What is the staff professional development and collaboration policy? | 1. Do you have HR policy? How often do you seek feedback from staff about it and how is feedback incorporated? | 1. Staff have regular meetings with other departments/teams and actively seek assistance when needed. 2. The organization addresses communication challenges within and between teams in a positive manner. 3. The organization has a policy and system in place to support staff development. 4. The organization has a plan and adequate budget for regular professional development opportunities. 5. The organization fosters a culture where staff are encouraged to take on new responsibilities and improve their knowledge, skills, and abilities. 6. There is a clear process to support and coach underperforming staff members. 7. Regular feedback is provided to staff members and their accomplishments are consistently recognized and rewarded. 8. The organization provides staff members with a clear role description that outlines job expectations and responsibilities. | | | |  |  |
| 1. Do you have a policy for staff’s development and promotion? |  |  |
| 1. How do you plan professional and personal development of staff? |  |  |
| 1. What is the organization policy for staff performance management? | 1. How do staff prepare and regularly update their goals and targets? How are Annual Performance Reviews conducted? | 1. There is a format available in HR guidelines for staff individual plans, and guidance for review of performance. Standard HR forms are used in reviewing performance. 2. Managers/Supervisors and staff are able to give each other feedback and supervisors support staff to fulfil their roles. 3. Staff demonstrate the organization’s mission, vision, values, and goals when executing their responsibilities. 4. Supervisors provide staff with a clear understanding of how to advance within the organization and the skills and achievements necessary to do so. | | | |  |  |
| 1. How do you help supervisors to get feedback from those that report to them? |  |  |
| 1. How does the organisation keep staff motivated and focused on the purpose of the organisation? |  |  |
| Top Area for Growth (Please narrate your findings based on discussion) | | **Ideas for Action (Please narrate analysis based of group discussion)** | | | | | |
|  | |  | | | | | |
| Overall Score (Rate in between 1 to 10 where 1 is the lowest and 10 is the highest) | | | | | | | |
| 1.     Needs Improvement | **2.     Fair** | **3.     Good** | | **4.     Very Good** | | | **Remarks (if any)** |
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| Dimension 2.2: Organizational Policies (Please mention the name of organization policies which is operational) | | | | | | | |
| Does the organization have various developed policies and provide support for effective functioning of the organization and to reduce any risk related to programmatic, administrative and governance? | | | | | | | |
| Key Question | **Sub-Questions** | **Standards** | | | | **Strength** | **Area of Growth** |
| *(Before proceeding with this section, please incorporate any additional information from the Due Diligence Document of the Organization to complete the discussion)B\*\** | | | | | |  |  |
| \*\*Direction: Please gather information about policies such as safeguarding, child protection, procurement, etc., from various sources such as Due Diligence documents and Safeguarding files. Utilize this information to complete the following tables: Top Areas for Growth, Ideas for Action, Rating, and Remarks.   * Gather comprehensive information from the provided documents, ensuring it is sufficient for the analysis and decision-making process related to the specific dimension. * The final analysis of the dimension should be based on the information gathered from the relevant documents, as well as the discussions based on the provided OCAT questions. * It is advisable to collect all dimension-related information from additional sources before administrative this tool, as applicable. | | | | | |  |  |
| Top Area for Growth (Please narrate your findings based on discussion) | | | **Ideas for Action (Please narrate analysis based of group discussion)** | | | | |
|  | | |  | | | | |
| Overall Score (Rate in between 1 to 10 where 1 is the lowest and 10 is the highest) | | | | | | | |
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| Dimension 2.3: Financial Operations and Management *(Before proceeding with this section, please incorporate any additional information from the Due Diligence Document of the Organization to complete the discussion).\*\** | | | | | | | |
| Does organization have a system in place for managing the financial operations following the key principles of transparency? | | | | | | | |
| Key Question | **Sub-Questions** | **Standards** | | | | **Strength** | **Area of Growth** |
| 1. What is the process to ensure accurate financial reporting? (Note that multiple other financial questions are included in FF due diligence processes, so are not included here) | 1. How does the organisation manage multiple donors’ funds and keep funding and related expenditures separately identified by donors in the accounting records? | 1. The organization maintains individual accounts for each project, ensuring they are distinct and separate from one another. 2. The cost allocation for projects is performed using an appropriate method, and a documented procedure is followed to assign budgets to each project. This ensures that costs are allocated fairly and that donors are not burdened with unfair charges. 3. The organization regularly reviews the spending patterns of each project on a quarterly or semi-annual basis and takes necessary corrective actions when required 4. The organization maintains regular communication with its funders, highlighting the importance of institutional funding and providing updates on activities with consideration of the organization's total operational expenses. | | | |  |  |
| Top Area for Growth (Please narrate your findings based on discussion) | | **Ideas for Action (Please narrate analysis based of group discussion)** | | | | | |
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| Overall Score (Rate in between 1 to 10 where 1 is the lowest and 10 is the highest) | | | | | | | |
| 1.     Needs Improvement | **2.     Fair** | **3.     Good** | | | | **4.     Very Good** | **Remarks (if any)** |
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**Theme 3: Organizational Structure and Sustainability**

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| Theme 3: Organizational Structure and Sustainability | | | | | | | | |
| Dimension 3.1: Governance *(Before proceeding with this section, please incorporate any additional information from the Due Diligence Document of the Organization to complete the discussion).\*\** | | | | | | | | |
| Does the organization have well-established governance and administrative structures in place, making it a transparent and sustainable institution? | | | | | | | | |
| Key Question | **Sub-Questions** | **Standards** | | | | | **Strength** | **Area of Growth** |
| 1. How does the organization ensure its governance structure is properly functional, active and diverse | 1. How does the organizational constitution and structure separate management and board roles and responsibilities? | 1. Leadership at the organisation is accountable to an independent board of directors. 2. The board has written bylaws that have been agreed and shared with board members. 3. The organisation has conflict of interest policies in place for board members and staff. 4. Projects are presented to the board members and they provide critical feedback. 5. The board members actively contribute for reaching out to potential donors. | | | | |  |  |
| 1. What role does the board play for project review, donor engagement, external relationship, and fund raising for the organization? |  |  |
| 1. What is the process for review and restructuring the administrative set up of organization? | 1. How does the organization review the present staffing structure, make changes, update organizational chart, and share with staff? | 1. There is an organogram of the staffing structure which clearly represents the structure in the organization. 2. The organogram is reviewed and updated every year or based on the change in the staffing. 3. There is no direct or indirect supervisory or reporting link among staff who are directly or indirectly related with each other on a personal level. 4. The organization has a clear recruitment policy which ensures there is non-discrimination and non-biases in the selection, promotion, and development of staff. 5. There is a proportionate participation of gender, caste/ethnic group, etc and group members in key structures and the organization’s leadership (i.e., board, executive committee, and management). Different types of expertise are valued. 6. There is no prolonged vacancy in any position and all positions are filled with competent staffs. | | | | |  |  |
| 1. How does the organisation encourage diversity and community representation in its staff and board? (Probe for cultural, gender, religious, sexual, ethnic and other types of diversity). |  |  |
| 1. How are the decision-making levels and reporting lines developed in the organization? |  |  |
| Top Area for Growth (Please narrate your findings based on discussion) | | **Ideas for Action (Please narrate analysis based of group discussion)** | | | | | | |
|  | |  | | | | | | |
| Overall Score (Rate in between 1 to 10 where 1 is the lowest and 10 is the highest) | | | | | | | | |
| 1.     Needs Improvement | **2.     Fair** | **3.     Good** | | | | **4.     Very Good** | | **Remarks (if any)** |
| The organisation follows a few, if any, of the guiding Standards. | **The organisation follows some of the guiding principles.** | **The organisation follows most of the guiding principles.** | | | | **The organisation not only follows but exceeds the guiding principles.** | |  |
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| Dimension 3.2: Leadership and Values *(Before proceeding with this section, please incorporate any additional information from the Due Diligence Document of the Organization to complete the discussion).\*\** | | | | | | | | |
| Does the organization have shared values that it lives out in practice, with accountable leadership at multiple levels of the organisation? | | | | | | | | |
| Key Question | **Sub-Questions** | **Standards** | | | | | **Strength** | **Area of Growth** |
| 1. How does the organization ensure its decision-making processes and leadership structure are resilient, effective and diverse, reflecting its values? | 1. How does the organization develop leaders within the organisation? | 1. The organization's HR policy includes a well-defined succession plan aimed at developing future leaders within the organization. 2. Staff members in the organization can confidently express the mission and values statements. 3. The organization prominently displays its mission and values statements in its office space, written documents, website, social media platforms, etc. 4. The organization's practices and decision-making clearly reflect and align with its mission and values. 5. The organization has created a strategic plan and/or change strategy document that effectively communicates the organizational priorities. 6. The organization readily shares the strategic plan and change strategy with staff and participants to ensure everyone is well-informed. | | | | |  |  |
| 1. How are staff consulted and oriented on the vision, mission and values of the organization and do they display it in their work and representation? |  |  |
| 1. How does the organization strategize to display its vision, mission and values with external stakeholders at various platforms? |  |  |
| 1. How is the communication made with staff on decision making processes and seeking their inputs and recommendations? |  |  |
| 1. What policies does the organisation have for ensuring no conflict of interest? |  |  |
| Top Area for Growth (Please narrate your findings based on discussion) | | **Ideas for Action (Please narrate analysis based of group discussion)** | | | | | | |
|  | |  | | | | | | |
| Overall Score (Rate in between 1 to 10 where 1 is the lowest and 10 is the highest) | | | | | | | | |
| 1.     Needs Improvement | **2.     Fair** | **3.     Good** | | **4.     Very Good** | | | | **Remarks (if any)** |
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| Dimension 3.3: Fund Raising | | | | | | | | |
| Does the organization have an effective fund-raising strategy, engaging with diverse funding sources? | | | | | | | | |
| 1. How does the organisation actively fundraise and work to diversify its funding? | 1. What are the organisation's fundraising strategies and what steps has it taken in the last three years? | 1. The organization has dedicated staff members, teams, and consultants who are responsible for fundraising and writing proposals. 2. Those responsible for fundraising seek funding opportunities that align with the organization's mission, vision, and expertise. 3. The organization has a projected organizational budget and has developed a plan to achieve revenue targets, allowing for the maintenance of current operations or desired expansion. 4. The executive team regularly reviews budget forecasts and fundraising activities. 5. The organization maintains a database of potential funders and/or subscribes to email notifications that communicate requests for proposals (RFPs). 6. The organization benefits from a diverse range of funding sources, including in-kind contributions, individual donations, government support, international non-governmental organizations (INGOs), foundations, and other funding avenues. 7. In the past years, the organization has successfully accessed new funding opportunities. 8. The organization actively maintains positive relationships with existing donors to encourage continued funding. 9. The organization demonstrates success in leveraging resources from the government and donors, benefiting itself, its partners, and the communities it serves. | | | | |  |  |
| 1. In the last 5 years how do you assess your organizational financial growth? |  |  |
| 1. What are your strengths and areas of improvement on fund raising strategies? |  |  |
| Top Area for Growth (Please narrate your findings based on discussion) | | | **Ideas for Action (Please narrate analysis based of group discussion)** | | | | | |
|  | | |  | | | | | |
| Overall Score (Rate in between 1 to 10 where 1 is the lowest and 10 is the highest) | | | | | | | | |
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|  |  |  | | |  | | |  |
| Dimension 3.4: External Relationships | | | | | | | | |
| Does the organisation actively communicate and collaborate with stakeholders and groups of people that help to reach the organizational goals? | | | | | | | | |
| 1. What is the organization's communication policy? | 1. What is the organisation's communication policy and what are the critical components of that? | 1. The organization possesses communication, information sharing, and dissemination strategies to inform and influence policies. 2. A person responsible for public relations understand about projects and organization in detailed and depth. 3. The organization actively identifies opportunities to showcase their work at state and national level platforms. 4. The organization establishes relationships with policy makers to advocate for application and/or creation of laws, regulations and policies that address the root causes of systemic issues and problems. 5. The organization understands its role in advocacy or development of public policy and participates in advocacy activities. 6. The organization has strategies in place to seek alliances with other groups and networks that advocate for the same issues and purposes. 7. The organisation has developed standards for media engagement, and messaging which respect and protect the rights of the community, particularly, vulnerable and at-risk community to ensure that no further harm is done. | | | | |  |  |
| 1. How often do you communicate externally about the organization to external stakeholders and how are messages developed? |  |  |
| 1. How does the organisation play their role in policy advocacy and participate in activities related with it? |  |  |
| 1. What are different associations of organization and how it maintains relationship? | 1. What are different networks, associations, campaigns, etc. of which the organisation is a part? | 1. The organization has strategies in place to form alliances with other groups and networks that share the same goals and advocate for similar issues. It specifically prioritizes collaboration and amplification of voices of individuals with lived experience. 2. The organization actively establishes relationships with policymakers to advocate for the implementation or development of laws, regulations, and policies that address the root causes of systemic issues and problems. 3. The organization recognizes its role in advocacy and the development of public policy and actively participates in advocacy activities. 4. The organization strengthens its relationship with the government while maintaining its integrity and independence. 5. The organization engages in task forces or working groups with the government when appropriate and relevant to its goals. 6. The organization implements effective communication, information sharing, and dissemination strategies to inform and influence policies. | | | | |  |  |
| 1. How often does the organization participate in the state, national and international forum/platform and share about program and learnings? |  |  |
| 1. What strategies are followed by the organization for engagement of govt officials and departments? |  |  |
| 1. How does the organisation prioritize membership in coalitions, networks, and alliances, and play a proactive and collaborative role? |  |  |
| Top Area for Growth (Please narrate your findings based on discussion) | | **Ideas for Action (Please narrate analysis based of group discussion)** | | | | | | |
|  | |  | | | | | | |
| Overall Score (Rate in between 1 to 10 where 1 is the lowest and 10 is the highest) | | | | | | | | |
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**\*\*Please take reference either from the Due Diligence Document or other relevant documents (e.g., Safeguarding, Child Protection, Finance), ensure that the reference includes the following points:**

* + *Gather comprehensive information from the provided documents, ensuring it is sufficient for the analysis and decision-making process related to the specific dimension.*
  + *The final analysis of the dimension should be based on the information gathered from the relevant documents, as well as the discussions based on the provided OCAT questions.*
  + *It is advisable to collect all dimension-related information from additional sources before administrative this tool, as applicable.*