OCAT OPERATIONAL GUIDE

Revised June 2023



Every 18 months, the Freedom Fund supports grantee partners to utilise the Organisational Capacity Analysis Tool (OCAT). The tool is designed to allow organisations to reflect upon their own strengths and weaknesses and identify areas for growth. The Freedom Fund's local Program Advisors serve as facilitators of the OCAT, following a multi-step process. Freedom Fund partners have funding specifically allocated for this purpose included within their grants. At the end of the process, we jointly discuss and agree to a customised plan for organisational development, which may include the usage of existing funding, provision of additional funding or other forms of support. The following document is intended to guide OCAT facilitators through the process of helping partners to use the tool.

PURPOSE

The OCAT is a tool designed to enable grantee partners to analyse organisational strengths and identify areas for further development. This tool should result in the formation of a capacity building plan to help support the organisational development of each partner. While the due diligence phase seeks to understand the risks and opportunities of the organisation's ability to deliver a *specific* project, the OCAT is aimed at analysing the organisation *as a whole*. Information gathered during the due diligence process may help to inform the OCAT. In addition, other processes for organisational analysis should not be duplicated during the OCAT. For example, the financial review and analysis of each organisation has been built out through a separate, yet complimentary, process.

TIMELINE & FREQUENCY

The OCAT is repeated every 18 months to monitor the effectiveness of previous actions, evaluate progress in capacity improvements, and identify new areas in need of strengthening. At the end of the 18-month implementation period, partners are asked to briefly reflect on progress in their chosen priority areas.

USING THE TOOL

The OCAT is meant to be a rapid analysis facilitated in collaboration with grantee-partners.

The entire process should take no more than ten hours:

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- 1 hour preparation by facilitator / pre-reflection by the partner
- 6 to 7 hours of facilitator conducting the OCAT on-site with the partner (excluding lunch/ breaks)
- 1 hour for summary and analysis by the facilitator
- 1 hour of follow-up by phone or email between the facilitator and the partner to agree on the capacity building plan

Before the on-site visit:

- Introduce the concept of the OCAT to partners. (If partners meet periodically as a community of practice, this could be a good time to introduce the concept to the group.)
- Partners receive a cover letter that explains the purpose of the OCAT and describes the process and schedule for the visit. This letter will make it clear that funding is not contingent on the results of the analysis and the sole purpose is to identify areas for organisational growth and development. It should also include a recommendation of which staff should participate. Meetings will be completed with four to seven staff members of the organisation. It is recommended that the organisation's director, a program staff, finance/operations staff, and a member of the field staff team participate in the on-site analysis. The facilitator may also consider including a member of the organisation's board, if relevant. The facilitator may also consider including staff with whom they do not typically interact in order to promote the inclusion of diverse perspectives. *(See OCAT Sample Cover Letter.)*
- It is recommended that the OCAT facilitator contacts the leader of the organisation prior to the on-site visit to discuss the purpose of the OCAT and identify what the organisation would like to get out of this process. It is essential that the organisation's leadership is bought into the process before the on-site visit occurs.
- Two weeks prior to the on-site visit, the facilitator sends the following to the partner:
  - **Pre-Site Visit Reflection and Document Checklist.** This is to be filled out and returned to the facilitator one week prior to the on-site visit. The completed reflection should be shared by the organisation's leadership with all staff participating in the on-site analysis so everyone is prepared. It is suggested that the partner compile any relevant documents prior to the visit. These documents will not (necessarily) be reviewed during the on-site visit by the facilitator but might be helpful to guide the conversation. *(See OCAT Pre-Site Visit Partner Reflection & Relevant Documents Checklist.)*
  - **OCAT tool.** Prior to the visit, all participating staff should review the OCAT tool so they are aware of what will be discussed during the meeting and have time to prepare their thoughts. The organisation may even decide to hold a staff meeting to discuss the tool in preparation for the OCAT. *(See OCAT Tool.)*
- In preparation for the on-site OCAT, the facilitator also completes an informal pre-visit analysis of the organisation based on their existing knowledge of the organisation and a review of the reflection document filled in by the partner, noting areas of strength and potential gaps to be discussed on-site. *(See OCAT Pre-Site Visit Facilitator Reflection.)*
- The facilitator arranges a notetaker to accompany them on each site-visit. This could either be someone outside of the organisation who is already familiar with the program or a staff

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member of the organisation receiving the analysis. The notetaker will also be responsible for keeping time throughout the day.

During the on-site visit:

- The determination of who participates in the discussion of each dimension of the OCAT is at the discretion of the facilitator and may be decided on-site on a case-by-case basis. Depending on the questions in each dimension, the facilitator either speaks with each person separately or jointly as a group.
  - For example, when discussing the sections focused on fundraising it will be good to have a member of the fundraising team present.
  - During the discussion on leadership, the facilitator may consider asking the leader to step out, if they feel it will encourage staff to speak more openly.
- At the beginning of the meeting, the facilitator will take 10 to 15 minutes to discuss the purpose of the OCAT, provide an overview of the process, and give a brief description of each OCAT dimension. *(See OCAT Introduction Talking Points.)*
- During the meeting, they will review relevant documents (when appropriate) as well as the pre-visit reflection document in order to mutually reflect on and identify potential capacity building needs in each dimension.
- The facilitator, in collaboration with the partner organisation, will fill out reflections and scores during an on-site visit. The administration of the OCAT tool should take anywhere from 6 to 7 hours, lasting no more than one full day, including breaks for lunch, tea, etc. If a full-day visit is planned, the administrator should aim to make it to Dimension 5 by lunch time. (The Freedom Fund pays for lunch for all full-day meetings.)
- Due to time constraints, it is not recommended that facilitators go one-by-one through the guiding principles outlined in the OCAT tool. Instead, they should be used as a guide for facilitation.
- The last hour of the visit should focus on:
  - Reflections: Allow partners to reflect on the scores in each dimension and further develop any thoughts after having discussed the OCAT as a whole. Allow partners time to consider and discuss any areas for development identified through other processes that did not come up in the OCAT.
  - Prioritisation: Jointly identify key gaps and areas for improvement. This could also include strengths that the organisation has that it would like to build upon to accelerate its success. It could also include areas that the organisation has identified for its own development that were not addressed by the OCAT.
  - Action items: The facilitator and the partner develop a list of prioritised capacity building actions. It should be noted when the partner may be able to take on the action themselves and when the partner may need additional technical or financial support. The development of a list of action items is meant to help inform the capacity building plan. At this stage in the process, it does not mean that the plan is final, or that the partner has committed to carry out the action, recognising that more internal conversation is needed by both parties. For example, the partner may want to go back and have internal conversations with their Board of Directors, and to further

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reflect on the areas they would like to prioritise, dedicate resources to, and/or request additional assistance for.

- By the end of the on-site visit, the following should be completed:
  - OCAT tool completely filled out by the facilitator alongside the partner so that everyone understands and is comfortable with the score.
  - A draft list of prioritised action items, to be confirmed by the organisation and mutually agreed upon within the agreed timeframe.
  - Before leaving, the facilitator should share the capacity building plan template with the partner and review instructions for filling it out. A deadline for returning the completed capacity building plan should be set at this time. The plan will be completed and agreed upon at a later time.

Following the visit:

- The facilitator should spend no more than one-hour completing the OCAT tool and writing up any final notes based on the visit, including ideas discussed for gaps to address or strengths to build on.
- After completion, the facilitator sends the completed tool to the partner for review. The facilitator may discuss with colleagues and clarify any additional questions before finalising the tool and discuss the capacity building actions with which the funder can financially assist. If any red flags were noted during the OCAT process, they should be discussed.
- The facilitator schedules a follow-up, either by phone or on-site meeting, with partners. During this conversation, the partner and facilitator will mutually decide on a list of actions the partner proposes to take. The final plan and proposed use of capacity building budget are agreed upon. Ideally, this should occur within one month of completing the tool. *(See OCAT Capacity Building Plan Template.)*
- The facilitator should actively monitor progress against the capacity building plan.
- The facilitator schedules a formal follow-up visit with each partner every 18 months to assess progress against the capacity building plan and to repeat the capacity building tool to identify new areas of need.

OCAT FOLLOW-UP VISIT

- The OCAT is repeated every 18 months, at which point the facilitator should schedule a follow-up visit with partners. Prior to the follow-up visit, both partners and facilitators should evaluate the partners' progress.
- The facilitator should request that partners self-evaluate on their progress using the OCAT Partner Reflections form. This form asks partners to detail whether or not they have completed the planned activities, evaluate their progress towards improving capacity in their chosen priority areas and provide any reflections on the process. (See OCAT Partner Reflections Form.)
- Partners should complete the form and submit it prior to the follow-up visit. There is not a strict time limit for filling out the form after a round has finished.

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- The facilitator should also fill out the OCAT Facilitator Evaluation form. Using the form, the facilitator should evaluate the partners' progress towards improving capacity in their chosen priority areas and provide comments on successes, lessons learned, areas for improvement or action points for OCAT round 2. The form is not intended to be shared with partners. (See OCAT Facilitator Evaluation Form.)

CAPACITY BUILDING PLAN & BUDGET

The OCAT is most effective when grantee partners have access to dedicated capacity building funds that can be utilised to execute their capacity building plans.

- Partners will likely identify areas of capacity building that:
  - Require limited-to-no external technical or financial inputs (e.g., including more women on their board of directors). Partners should feel empowered to implement these actions directly.
  - Require small financial inputs. Ideally, partners already have dedicated capacity building funding included within their existing grants to use for these actions.
  - Would require more substantial technical or financial support. These requests can be reviewed on a case-by-case basis.
- If the partner struggles to identify solutions for the capacity building needs they prioritise, the OCAT facilitator can refer them to relevant resources or services.
- OCAT facilitators may also choose to provide additional training or other support from specialty service providers based on needs identified through the OCAT.

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OCAT SAMPLE COVER LETTER

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Dear [Partner Name],

[Funder Name] is committed to supporting your organisational capacity and development. We highly value the strengthening of local organisations as a key strategy to effectively address [focus issue]. Therefore, we are requesting that all partners participate in an Organisational Capacity Analysis to mutually identify organisational strengths and opportunities for growth that the [Funder Name; can invest in. The analysis is designed to facilitate a discussion in which we will develop a plan for addressing keys areas for growth. The analysis will focus on your organisation as a whole, not solely projects funded by [Funder Name]. This process is not an evaluation of your organisation and will not have any impact on current or future grant agreements between [Funder Name] and your organisation.

The Organisational Capacity Analysis will consist of a six- to eight-hour visit to your organisation in which we will work with you and your staff to complete the attached Organisational Capacity Analysis Tool (OCAT). A maximum of 4-7 staff should participate in the meeting, such as the organisation director, a member of your program staff, finance/operations staff, and field staff. We recommend familiarising yourself with the tool before the visit so we can have more meaningful conversation during the analysis. In addition, prior to the visit, please complete the attached pre-reflection on the strengths and areas for growth you have identified within your organisation as well as a document checklist that will be used to inform the onsite analysis. This document will help you to start thinking about some areas of organisational development that you and your staff have identified and would like to strengthen. We ask that you complete the pre-reflection and document checklist

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documents and return them to us at least one week prior to our onsite visit. Please also share this completed document with all staff participating in the onsite visit prior to our meeting.

You will notice there is a score at the bottom of each dimension in the OCAT. During the visit, we will work together to determine a score for your organisation for each dimension. It is important to know that we are not using this score to rate your organisation, but rather to understand your organisation's baseline and mutually determine what additional organisational development support may be needed. By the end of the day, we will complete the tool together and identify a list of key capacity building areas that your organisation would like to work on.

Following the onsite analysis, we will ask you to develop a capacity building plan in which your organisation will prioritise a list of capacity building needs, develop a plan to address those needs, including a timeline for implementing the plan and a proposed budget. The capacity building and organisational development set-aside funds that were included in your project budget are intended to assist you in carrying out your capacity building plan. [Funder Name] will monitor the progress made toward implementing the plan through our existing monitoring and reporting processes, and a follow-up analysis will be conducted within 18 months of completing the first analysis.

Please do not hesitate to reach out to me with any questions. We appreciate your willingness to participate in this process and hope that it is a beneficial learning experience for you and your organisation.

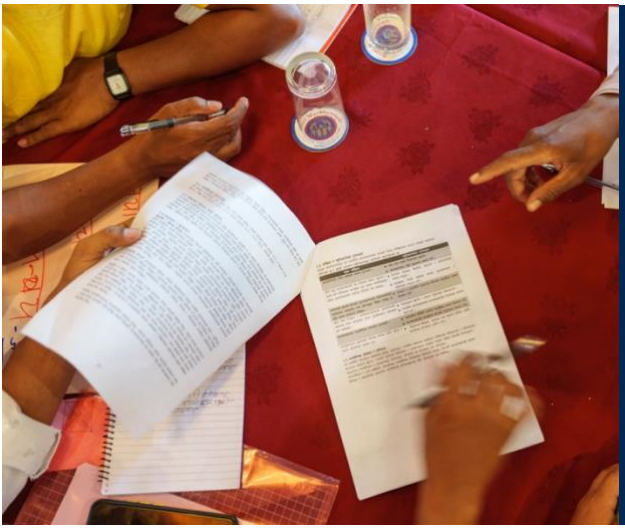
All the best,

[OCAT Facilitator Name]

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OCAT PRE-SITE PARTNER VISIT REFLECTION & RELEVANT DOCUMENTS CHECKLIST

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The Organisational Capacity Analysis Tool covers 4 main themes, with 12 different dimensions, as follows:

Theme	Dimension	Explanation
Programs	Program quality	Are programs designed and implemented to a high standard?
	Accountability to participants	Do programs foster ownership among participants and take into account their feedback?
	Monitoring, evaluation & learning	Are programs effectively assessed to understand their achievements and impact and is there evidence that the organisation uses this information to improve its work?
	External relationships & Collaboration	Does the organisation actively communicate and collaborate with other people and groups that help it reach its goals and result in greater impact to the sector?

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People	Staff capacity	Do staff possess the skills, experience, and qualifications necessary to fulfil their roles?
	Professional development	Are staff given the resources and support to pursue opportunities for professional development?
	Staff performance management	Are roles and objectives clearly defined and effective systems in place to manage and motivate staff?
Operations & Finance	Policies and Procedures	Does the organisation have written guidelines, policies, and procedures and are they implemented in practice?
	Safeguarding	Does the organisation have clear safeguarding policies and procedures that are understood by staff and implemented in practice?
	Financial sustainability	Does the organisation have a plan for pursuing sustainable funding and are they taking actions to implement their fundraising plan?
Governance	Organisational identity, strategy & values	Are the organisation's mission and values clear, and are they known and supported by staff, Board members and constituents?
	Leadership	Is the organisation appropriately led and governed, and do its leaders possess the right skills and experience?

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PRE-REFLECTION

Please complete the following reflection questions and return to [Funder Name] one week prior to your participation in the Organisational Capacity Analysis Tool during your onsite visit. We also ask that you share the completed pre-site visit reflection document will all staff who will be participating in the onsite visit.

1. Strengths
Consider the 12 dimensions listed above. Which of the 12 dimensions do you feel best represent the strengths of your organisation? Please list 1-2 dimensions.
Please explain the reasoning behind the dimensions you chose.
2. Areas for Improvement
Consider the 12 dimensions listed above. Which of the 12 dimensions do you feel your organisation could improve upon? Please list 1-2 dimensions.
Please explain the reasoning behind the dimensions you chose.

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3. Other Reflections
Is there anything else you would like [Funder Name] to be aware of prior to completing the Organisational Capacity Analysis Tool exercise during your onsite visit?

RELEVANT DOCUMENTS CHECKLIST

In the following table, check-off any documents your organisation has in written form. Please note that these documents are NOT required. We do not expect you to have all of the documents listed below. This checklist is simply meant to inform your onsite discussions with the OCAT facilitator. While you are NOT required to send the following documents in advance, please be prepared to share written documents with the facilitator should they be helpful to review during your onsite visit.

DIMENSION 1: Program Quality	
Organisational strategic plan	☐
Annual plan for the organisation	☐
Program strategy document(s)	☐
Annual reports	☐
Community survey/research document(s)	☐
DIMENSION 2: Accountability to Participants	
Target population feedback documents (i.e. meeting notes, survey, etc.)	☐
DIMENSION 3: Monitoring, Evaluation, and Learning	
Sample data collection tool	☐
M&E annual plan	☐
Sample report	☐
DIMENSION 4: External Relationships and Collaboration	
Contact list of local stakeholders/referral sources	☐
External communications policy/plan	☐
Advocacy strategy	☐

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DIMENSION 5: Staff Capacity	
Organisational Chart	☐
Job and/or role descriptions of key positions across the organisation (executive, programs, finance, administrative support, etc.)	☐
DIMENSION 6: Professional Development	
HR policy that includes guidelines surrounding professional development	☐
Organisational budget showing line-item for professional budget	☐
DIMENSION 7: Staff Performance Management	
HR forms or tools used for performance management and reviews	☐
DIMENSION 8: Policies and Procedures	
Employee Handbook, which contains guidelines, policies, and procedures	☐
Safety and Security Policy	☐
Recruitment and hiring policies and procedures	☐
Conflict of Interest Policy	☐
Sexual and other harassment policy	☐
Ethical Code of Conduct	☐
Media and Communications policy	☐
Procedure for interaction with vulnerable and at-risk populations	☐
Non-discrimination policy	☐
Whistle Blowing Policy	☐
DIMENSION 9: Safeguarding	
Safeguarding Policy	☐
DIMENSION 10: Financial Sustainability	
Organisational budget (present year and forecasted years)	☐
Fundraising plan	☐
DIMENSION 11: Organisational Identity, Strategy, and Values	
Document containing the organisation's mission, vision, values statements	☐

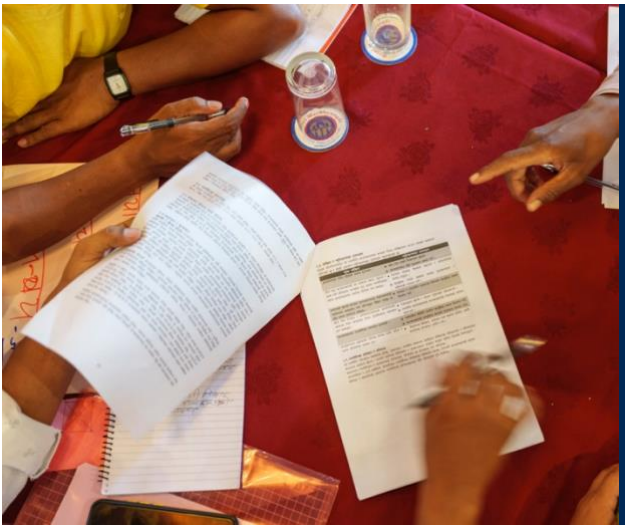
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DIMENSION 12: Leadership	
Written by-laws for Board of Directors	☐
Agenda and minutes for most recent Board of Directors meeting	☐
Diversity statement or policy	☐
Succession plan	☐

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OCAT TOOL

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Every 18 months, the Freedom Fund supports grantee partners to utilise the Organisational Capacity Analysis Tool (OCAT). The tool is designed to allow organisations to reflect upon their own strengths and weaknesses and identify areas for growth. The Freedom Fund's local Program Advisors serve as facilitators, following a multi-step process. The following document is the OCAT tool itself. It should be sent to participant organisations at least two weeks in advance of the onsite visit. All participating staff should review the OCAT tool so they are aware of what will be discussed during the meeting and have time to prepare their thoughts. The organisation may decide to hold a staff meeting to discuss the tool. During the visit, the facilitator fills out reflections and scores in collaboration with the partner organisation staff. This form has been adjusted for use by any funder; the bracketed fields will need to be updated before use.

Organisation Name:	
Date of Onsite Visit:	
Name and Position of Participants:	
Facilitated By:	

The Organisational Capacity Analysis tool covers 4 main themes, with 12 different dimensions, as follows:

Theme	Dimension	Explanation
Programs	Program quality	Are programs designed and implemented to a high standard?
	Accountability to participants	Do programs foster ownership among participants and take into account their feedback?
	Monitoring, evaluation & learning	Are programs effectively assessed to understand their achievements and impact and is there evidence that the organisation uses this information to improve its work?

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	External relationships & Collaboration	Does the organisation actively communicate and collaborate with other people and groups that help it reach its goals and result in greater impact to the sector?
People	Staff capacity	Do staff possess the skills, experience, and qualifications necessary to fulfil their roles?
	Professional development	Are staff given the resources and support to pursue opportunities for professional development?
	Staff performance management	Are roles and objectives clearly defined and effective systems in place to manage and motivate staff?
Operations & Finance	Policies and Procedures	Does the organisation have written guidelines, policies, and procedures and are they implemented in practice?
	Safeguarding	Does the organisation have clear safeguarding policies and procedures that are understood by staff and implemented in practice?
	Financial sustainability	Does the organisation have a plan for pursuing sustainable funding and are they taking actions to implement their fundraising plan?
Governance	Organisational identity, strategy & values	Are the organisation's mission and values clear, and are they known and supported by staff, Board members and constituents?
	Leadership	Is the organisation appropriately led and governed, and do its leaders possess the right skills and experience?

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THEME 1: PROGRAMS

Dimension 1: Program Quality Are programs designed and implemented to a high standard?			
Key Question 1:	**Guiding Principles**	**Strengths**	**Areas for Growth**
How does evidence-based research and learning inform the design and implementation of your programming?	• The organisation conducts a review of relevant and available literature and incorporates best practice learning when designing programming. • The organisation surveys the target population to identify needs and incorporates this evidence into the design and implementation of programming. • Feedback from frontline staff is incorporated into the design and implementation of programming. • Feedback from the target population is incorporated into the design and implementation of programming. • The organisation considers past learnings from its own practice to design and implement programming. • The organisation's programming is respected by its peers and other stakeholders in the sector.		
Key Question 2:	**Guiding Principles**	**Strengths**	**Areas for Growth**
How does the organisation plan and implement programs?	• The organisation has an annual plan including objectives/outcomes, activities for each objective/outcome, timelines for each activity, persons responsible for completing activities and resources needed for completing activities. • The organisation reviews the plan regularly throughout the year.		

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	• When programs close, the organisation develops exit strategies to gradually phase out the work and this is clearly communicated with program participants. • The organisation incorporates appropriate sustainability mechanisms, for example: community ownership so that work continues beyond just the project period, or that the government will adopt ongoing implementation.		
Key Question 3:	**Guiding Principles**	**Strengths**	**Areas for Growth**
How does the organisation consider the rights of the community throughout the program lifecycle?	• The organisation is guided by a rights-based approach to its work– that is, all programming empowers participants to claim their rights vs a welfare model that restricts rights in the name of protection. • The organisation is non-discriminatory, establishing equal access and opportunity for all communities, regardless of race, caste, gender, religion, etc. • The organisation has a document that defines the rights (and responsibilities) of participants who receive services from the origination, which is shared with participants. • The organisation has developed standards for service delivery, media engagement, and messaging which respect and protect the rights of the target population, particularly, vulnerable and at-risk populations to ensure that no further harm is done.		

Top Areas for Growth	**Ideas for Action**

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Overall Program Quality Score				
1- Needs Improvement	2- Fair	3- Good	4- Very Good	Score
The organisation follows a few, if any, of the guiding principles.	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.	

Dimension 2: Accountability to Participants

Do programs foster ownership among participants and take into account their feedback?

Key Question 1:	Guiding Principles	Strengths	Areas for Growth
How do you incorporate the feedback and perspectives of the target population and other stakeholders into your programs?	• The target groups and working areas are clearly defined and stakeholders have a clear understanding of the organisation's priorities. • The organisation has mechanisms in place to collect and analyse feedback from the target population and other stakeholders. Staff are clearly aware of this process. Participants and other stakeholders are clearly aware of this process and use it. • The organisation elevates the voices and perspectives of individuals with lived experience when conducting advocacy. • Participants/former participants/individuals with lived experience sit on the Board of Directors. • Former participants/individuals with lived experience are employed by the organisation. • The participants/survivors/community members are involved in designing the systems of feedback or complaints and understand the standards of behaviour they can expect from the organisation.		

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Key Question 2:	Guiding Principles	Strengths	Areas for Growth
How do you ensure ownership of your program activities by the target population?	• The organisation is transparent with the target population and other stakeholders about programming and involves them in decision making processes. • The organisation gives freedom to local community-based groups (e.g. Self-Help Groups, Community Vigilance Committees, adolescent groups) to plan their next activities. • The organisation promotes leadership within the target population. • The organisation requests community and local contribution to the project, when appropriate. • The organisation has buy-in and support from the community to implement its programs and projects. • The organisation has a complaints system, developed in consultation with participants, to allow users to communicate questions and concerns. • Local communities are aware of their rights to hold the organisation to account for its behaviour and actions.		

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Top Areas for Growth	Ideas for Action

Overall Accountability to Participants Score				
1- Needs Improvement	2- Fair	3- Good	4- Very Good	Score
The organisation follows a few, if any, of the guiding principles.	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.	

Dimension 3: Monitoring, Evaluation, and Learning

Are programs effectively assessed to understand their achievements and impact and is there evidence that the organisation uses this information to improve its work?

Key Question 1:	Guiding Principles	Strengths	Areas for Growth
How does the organisation utilize monitoring and evaluation to measure and understand program achievements and impact?	• The organisation has a clear and reasonable plan for monitoring and evaluating activities and outcomes on a regular basis. • The organisation's M&E plan is based upon its theory of change (a comprehensive description of how and why a desired change is expected to happen in a particular way). • The organisation has developed data collection tools to standardize monitoring across working areas and to systematically gather information.		

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	• The organisation involves relevant staff across varying levels of the organisation in M&E. • The organisation has a system for filing, compiling, and storing all data and learnings. Confidential data is protected. • The organisation assesses change and impact, not only outputs/ activities through both qualitative and quantitative data collection.		
Key Question 2:	**Guiding Principles**	**Strengths**	**Areas for Growth**
How does the organisation reflect upon, implement, and share learnings?	• The organisation has a process for reporting back on collected data and reflecting on learnings internally, and does so on a regular basis. • The organisation makes real-time adjustments to programming, as needed, based on the results of its M&E processes. • The organisation disseminates learnings to the target population and relevant stakeholders, such as partner organisations, community leaders, and government ministries. • The organisation has a practice of adapting operations and programming as a result of lessons learned.		

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Top Areas for Growth	Ideas for Action

Overall Monitoring, Evaluation, and Learning Score				
1- Needs Improvement	2- Fair	3- Good	4- Very Good	Score
The organisation follows a few, if any, of the guiding principles.	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.	

Dimension 4: External Relationships and Collaboration

Does the organisation actively communicate and collaborate with other people and groups that help it reach its goals and result in greater impact to the sector?

Key Question 1:	Guiding Principles	Strengths	Areas for Growth
In what ways does the organisation communicate and collaborate with relevant local stakeholders and partner NGOs?	• The organisation provides regular updates regarding organisational and project progress to the target population, local leaders, stakeholders, and partner NGOs. • The organisation uses its expertise to inform local leaders and stakeholders about community needs and issues that impact the community. • The organisation prioritizes collaboration with other NGOs to achieve systems change • The organisation actively participates in a community of practice, sharing program and		

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	sectoral learnings with other NGOs to improve outcomes for project participants. • The organisation refers project participants to other NGOs as needed and accepts referrals.		

Top Areas for Growth	Ideas for Action

Overall External Relationships and Collaboration Score				
1- Needs Improvement	2- Fair	3- Good	4- Very Good	Score
The organisation follows a few, if any, of the guiding principles.	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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THEME 2: PEOPLE

Dimension 5: Staff Capacity Do staff possess the skills, experience, and qualifications necessary to fulfil their roles?			
Key Question 1:	**Guiding Principles**	**Strengths**	**Areas for Growth**
Do staff have the necessary skills to meet the requirements of their role?	• All levels of staff (executives to field/project staff) have demonstrated competency to achieve or excel in the duties of their job. • Staff have an educational background or prior experience in the tasks that are associated with their current role. • Managers/supervisors are able to give feedback and support staff to fulfil their roles. • There are clear recruitment processes in place.		
Key Question 2:	**Guiding Principles**	**Strengths**	**Areas for Growth**
How do staff collaborate across departments and use the expertise of others in order to achieve targets?	• Staff come from a variety of backgrounds and bring unique expertise to the organisation. • Staff at all levels are encouraged to share their ideas • Staff have regular meetings with other departments/teams within the organisation and seek their assistance as needed.		

Top Areas for Growth	**Ideas for Action**

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Overall Staff Capacity Score				
1- Needs Improvement	2- Fair	3- Good	4- Very Good	Score
The organisation follows a few, if any, of the guiding principles.	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.	

Dimension 6: Professional Development

Are staff given the resources and support to pursue opportunities for professional development?

Key Question 1:	Guiding Principles	Strengths	Areas for Growth
What does the organisation do to create opportunities for and encourage the professional development of its staff?	• The organisation has a policy and system in place that promotes staff development. • Staff are given and take advantage of opportunities for professional growth and development. • Time for professional development is built into the organisation's annual schedule. • The organisation's budget includes a sufficient expenditure for regular professional development. • The organisation encourages its staff to take on new responsibilities and enhance their skills, knowledge, and abilities.		

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Top Areas for Growth	Ideas for Action

Overall Professional Development Score				
1- Needs Improvement	2- Fair	3- Good	4- Very Good	Score
The organisation follows a few, if any, of the guiding principles.	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.	

Dimension 7: Staff Performance Management

Are roles and objectives clearly defined and effective systems in place to manage and motivate staff?

Key Question 1:	Guiding Principles	Strengths	Areas for Growth
How well does the organisation define the roles, responsibilities, and expectations of its employees?	• The organisation provides staff with a role description that clearly lays out expectations and duties of the job. • If the organisation uses a formal performance review, staff are aware of the specific categories that they are being evaluated against. • Staff demonstrate the organisation's mission, vision, values and goals when executing their responsibilities.		

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	• Management have provided staff with a clear understanding of how to advance within the organisation and the skills necessary to do so.		
Key Question 2:	**Guiding Principles**	**Strengths**	**Areas for Growth**
What systems and processes does the organisation have in place to manage and motive its staff?	• Feedback is provided regularly and discussed with staff. • Staff achievements are routinely recognized and rewarded. • There is a clear process to engage and coach underperforming staff. • Standard HR forms are used in reviewing staff achievements and progress. • Managers work with staff to outline specific goals and implementable steps for achievement.		

Top Areas for Growth	**Ideas for Action**

Overall Staff Performance Management Score				
1- Needs Improvement	2- Fair	3- Good	4- Very Good	Score
The organisation follows a few, if any, of the guiding principles.	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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Theme 3: Operations and Finance

Dimension 8: Policies and Procedures Does the organisation have written guidelines, policies, and procedures and are they implemented in practice?			
Key Question 1:	**Guiding Principles**	**Strengths**	**Areas for Growth**
How well does the organisation implement its guidelines, policies, and procedures?	• The organisation has developed clearly written guidelines, policies and procedures according to best practices. • The organisation provides written guidelines, policies, and procedures to staff and board (as relevant) for their review and signature. • The organisation provides an orientation session to new hires about guidelines, policies, and procedures. • The organisation provides refresher training sessions to all current staff on policies and procedures • Staff are familiar with the policies and procedures of the organisation and are implementing them.		

Top Areas for Growth	**Ideas for Action**

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Overall Policies and Procedures Score				
1- Needs Improvement	2- Fair	3- Good	4- Very Good	Score
The organisation follows a few, if any, of the guiding principles.	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.	

Dimension 9: Safeguarding

Does the organisation have clear safeguarding policies and procedures that are understood by staff and implemented in practice?

Key Question 1:	Guiding Principles	Strengths	Areas for Growth
How does the organisation ensure that both staff and project participants are safe and understand how to raise a safeguarding complaint?	• The organisation assesses safeguarding risks and puts mitigation measures put in place during the program design phase. • The recruitment is done properly with safeguarding in mind (including requesting references and police checks if appropriate) and with job descriptions mentioning safeguarding. • All organisation staff are trained on safeguarding. • The organisation's safeguarding policy meets minimum safeguarding standards and is known to staff throughout the organisation. • The board and management actively monitor safeguarding risks.		

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Top Areas for Growth	Ideas for Action

Overall Safeguarding Score				
1- Needs Improvement	2- Fair	3- Good	4- Very Good	Score
The organisation follows a few, if any, of the guiding principles.	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.	

Dimension 10: Financial Sustainability

Does the organisation have a plan for pursuing sustainable funding and are they taking actions to implement their fundraising plan?

Key Question 1:	Guiding Principles	Strengths	Areas for Growth
How does the organisation actively fundraise and work to diversify its funding?	• The organisation has a dedicated staff member, team or consultant responsible for fundraising and proposal writing. • Those responsible for fundraising apply for funding that is aligned with the organisation's mission, vision, expertise. • The organisation has a forecasted organisational budget and developed a plan to achieve revenue targets to maintain current operations levels or expand, as desired. • The organisation regularly reviews budget forecasts and fundraising activities as an executive team.		

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	• The organisation maintains a database of potential funders and/or subscribes to email circulations which communicate request for proposals (RFPs). • The organisation benefits from diverse funding sources that include a mix of in-kind contributions, and/or individual, government, INGO, foundation and other funding. • The organisation has successfully accessed new funds in the last year. • The organisation actively maintains good relationships with existing donors to encourage continuation of funding.		

Top Areas for Growth	**Ideas for Action**

Overall Financial Sustainability Score				
5- Needs Improvement	6- Fair	7- Good	8- Very Good	Score
The organisation follows a few, if any, of the guiding principles.	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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THEME 4: GOVERNANCE

Dimension 11: Organisational Identity, Strategy, and Values Are the organisation's mission and values clear, and are they known and supported by staff, Board members and constituents?			
Key Question 1:	**Guiding Principles**	**Strengths**	**Areas for Growth**
How well does the organisation clearly define its mission and strategic priorities?	• The organisation displays its mission and values statements prominently in its office space and on written documents, website, social media, etc. • Organisation staff can clearly articulate the mission and values statements. • The organisation's mission and values are clearly embodied in the organisation's practices and decision-making. • The organisation has developed a strategic plan and/or change strategy document that clearly articulates organisational priorities. • The organisation readily shares the strategic plan/change strategy with staff and participants so that all are informed.		

Top Areas for Growth	**Ideas for Action**

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Overall Organisational Identity, Strategy, and Values Score				
1- Needs Improvement	2- Fair	3- Good	4- Very Good	Score
The organisation follows a few, if any, of the guiding principles.	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.	

Dimension 12: Leadership

Is the organisation appropriately led and governed, and do its leaders possess the right skills and experience?

Key Question 1:	Guiding Principles	Strengths	Areas for Growth
How does the organisation ensure its leadership structure is strong and diverse?	• Leadership at the organisation is accountable to an independent board of directors. • The board has written bylaws that have been agreed and shared with board members. • The board meets on a regular basis and the organisation keeps written agenda and minutes from each meeting. • The organisation has conflict of interest policies in-place for board members and staff. • There is a proportionate participation of gender, caste, and target group members in key structures and the organisation's leadership (i.e. board, executive committee, and management). • The organisation's leadership has clear succession plans in place and is committed to developing next generation leadership within the organisation. • Staff understand how key decisions are made and input and recommendations are sought from staff when appropriate.		

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Top Areas for Growth	Ideas for Action

Overall Leadership Score				
1- Needs Improvement	2- Fair	3- Good	4- Very Good	Score
The organisation follows a few, if any, of the guiding principles.	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.	

OVERALL ANALYSIS

Identify the top three areas for growth the organisation would like to focus its capacity building efforts on in 2019.	What are the actions the organisation could take to address the top areas for growth that they identify?
Other comments:	

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OCAT PRE-SITE VISIT FACILITATOR REFLECTION

Revised June 2023



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Prior to your onsite visit with the organisation, use this worksheet to prepare your thoughts on the partner's performance within each dimension, based on your previous knowledge of or experience with the organisation. This worksheet is NOT mandatory. It should only be used if it helps you prepare for your in-person meeting with the organisation.

Dimension	Pre-site visit reflection
1. Program quality Are programs designed and implemented to a high standard?	
2. Accountability to participants Do programs foster ownership among participants and take into account their feedback?	
3. Monitoring, evaluation & learning Are programs effectively assessed to understand their achievements and impact and is there evidence that the organisation uses this information to improve its work?	
4. External relationships & collaboration Does the organisation actively communicate and collaborate with other	

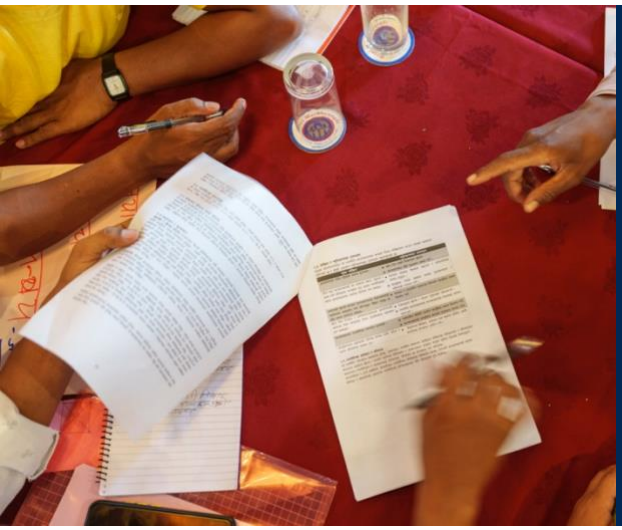
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people and groups that help it reach its goals and result in greater impact to the sector?	
5. Staff capacity Do staff possess the skills, experience, and qualifications necessary to fulfil their roles?	
6. Professional development Are staff given the resources and support to pursue opportunities for professional development?	
7. Staff performance management Are roles and objectives clearly defined and effective systems in place to manage and motivate staff?	
8. Policies and procedures Does the organisation have written guidelines, policies, and procedures and are they implemented in practice?	
9. Safeguarding Does the organisation have clear safeguarding policies and procedures that are understood by staff and implemented in practice?	
10. Financial sustainability Does the organisation have a plan for pursuing sustainable funding and are they taking actions to implement their fundraising plan?	
11. Organisational identity, strategy & values Are the organisation's mission and values clear, and are they known and supported by staff, Board members and constituents?	
12. Leadership Is the organisation appropriately led and governed, and do its leaders possess the right skills and experience?	

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OCAT INTRODUCTION TALKING POINTS

Revised June 2023



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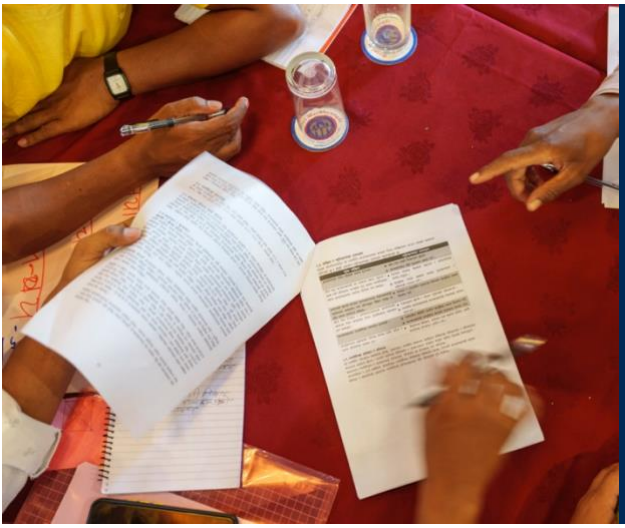
At the beginning of the onsite visit, the OCAT facilitator should take 10-15 minutes to introduce the OCAT to all participants. During this time, consider going over the following points:

1. Remind participants that this process is not an evaluation of the organisation and will not have any impact on current or future grant agreements between the funder and the organisation.
2. Provide an overview of the OCAT process, from the onsite visit to the completion of the capacity building plan.
3. Remind everyone that this is meant to be a mutual process between you and the participants. For example, the scores for each dimension will be mutually decided on together.
4. Reiterate that the analysis is for the organisation as a whole.
5. Invite all participants to participate in the discussion to ensure you are able to get input from different areas of the organisation. Let them know that you will do your best to give everyone an opportunity to speak.
6. Go over the amount of time you intend to discuss each dimension. By lunch, you should reach dimension 5. Make sure participants are aware of the time constraints.
7. Encourage participants to share openly as it is meant to be a transparent conversation with honest reflections about the organisation.
8. Depending on the context, you might consider having the leader of the organisation speak about the OCAT and why it's important for the organisation.
9. If time allows, briefly provide an overview of each dimension to give participants an understanding of what will be discussed throughout the day.

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OCAT CAPACITY BUILDING PLAN TEMPLATE

Revised June 2023



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The Organisational Capacity Analysis Tool covers 4 main themes, with 12 different dimensions, as follows:

Theme	Dimension	Explanation
Programs	1. Program quality	Are programs designed and implemented to a high standard?
	2. Accountability to participants	Do programs foster ownership among participants and take into account their feedback?
	3. Monitoring, evaluation & learning	Are programs effectively assessed to understand their achievements and impact and is there evidence that the organisation uses this information to improve its work?
	4. External relationships & Collaboration	Does the organisation actively communicate and collaborate with other people and groups that help it reach its goals and result in greater impact to the sector?

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People	5. Staff capacity	Do staff possess the skills, experience, and qualifications necessary to fulfil their roles?
	6. Professional development	Are staff given the resources and support to pursue opportunities for professional development?
	7. Staff performance management	Are roles and objectives clearly defined and effective systems in place to manage and motivate staff?
Operations & Finance	8. Policies and Procedures	Does the organisation have written guidelines, policies, and procedures and are they implemented in practice?
	9. Safeguarding	Does the organisation have clear safeguarding policies and procedures that are understood by staff and implemented in practice?
	10. Financial sustainability	Does the organisation have a plan for pursuing sustainable funding and are they taking actions to implement their fundraising plan?
Governance	11. Organisational identity, strategy & values	Are the organisation's mission and values clear, and are they known and supported by staff, Board members and constituents?
	12. Leadership	Is the organisation appropriately led and governed, and do its leaders possess the right skills and experience?

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CAPACITY BUILDING PLAN

ORGANISATION NAME:	
DATE:	
COMPLETED BY: (Printed name of organisation representative)	
COMPLETED BY: (Signature of organisation representative)	
AGREED UPON BY: (Signature of OCAT facilitator)	

[Funder Name] is asking partners to develop an organisational capacity building plan that prioritizes the key action items and areas for development that have emerged following the completion of the OCAT tool. In the chart below, please list up to 3 priority issues your organisation has identified and main activities you are proposing to address each issue. Please include a timeframe for each activity at a maximum of 12-18 months, which individuals at your organisation will be responsible for completing. Also, list the resources required for each activity. An example has been filled out for you below in red, please use this as a guide when completing the template.

Example:			
Identified area for capacity building:			
Strengthening safeguarding processes			
Activity What do you plan to do? Define each activity that would lead to achieving the expected outcome. Include as many activities as necessary by adding rows to the table.	**Timeframe** When do you expect this activity to take place? An anticipated time period of implementation should be included for each activity. Maximum time frame is 12-18 months.	**Individual Assignment** Who is responsible for completing this activity? Who will participate in this activity?	**Resources** What resources are needed to implement this activity (i.e. funding, staffing, etc.)?
Activity 1: Update and revise safeguarding policy and guidance	2-3 months	Executive Director, Board, HR manager/Head of programs	Staff time
Activity 2: Training for safeguarding focal points	4-6 months	Safeguarding focal points	Cost for travel and workshop registration fee; safeguarding trainer

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Activity 3: Strengthening safeguarding system (e.g. recruitment, reporting, complaints management, communications, IT, as appropriate)	8-10 months	All staff	Staff time, cost for external consultant to help develop safeguarding systems

Priority # 1

Identified area for capacity building:

Activity What do you plan to do? Define each activity that would lead to achieving the expected outcome. Include as many activities as necessary by adding rows to the table.	**Timeframe** When do you expect this activity to take place? An anticipated time period of implementation should be included for each activity.	**Individual Assignment** Who is responsible for completing this activity? Who will participate in this activity?	**Resources** What resources are needed to implement this activity (i.e. funding, staffing, etc.)?
Activity 1:			
Activity 2:			
Activity 3:			

Priority # 2

Identified area for capacity building:

Activity What do you plan to do? Define each activity that would lead to achieving the expected outcome. Include as many activities as necessary by adding rows to the table.	**Timeframe** When do you expect this activity to take place? An anticipated time period of implementation should be included for each activity.	**Individual Assignment** Who is responsible for completing this activity? Who will participate in this activity?	**Resources** What resources are needed to implement this activity (i.e. funding, staffing, etc.)?
Activity 1:			
Activity 2:			
Activity 3:			

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Priority # 3

Identified area for capacity building:

Activity What do you plan to do? Define each activity that would lead to achieving the expected outcome. Include as many activities as necessary by adding rows to the table.	**Timeframe** When do you expect this activity to take place? An anticipated time period of implementation should be included for each activity.	**Individual Assignment** Who is responsible for completing this activity? Who will participate in this activity?	**Resources** What resources are needed to implement this activity (i.e. funding, staffing, etc.)?
Activity 1:			
Activity 2:			
Activity 3:			

Other Comments

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Please include below a budget for the proposed activities that will require financial resources. Please specify what amount of each activity you would like to fund using the capacity building funds set-aside in your project budget and which activities will be co-funded by your organisation or another donor.

Budget			
Activity	**Total Budget (USD)**	**[Funder Name] Share** Amount of the budget you would like to fund using the funds set-aside from [Funder Name]	**Co-Funding/ Other Donor Share** Amount of the budget your organisation or another donor will fund
Total Budget			

The completed and agreed upon capacity building plan should be emailed to the OCAT facilitator.

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OCAT PARTNER REFLECTIONS FORM

Revised June 2023



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Organisation name:	
Date:	
Completed by: (Printed name of organisation representative)	
OCAT facilitator: (Name and signature of facilitator)	

BACKGROUND

Your organisation is about to administer the OCAT for the second time. This will give you and other partners the opportunity to reflect on the growth or challenges your organisation has faced in the past 12-18 months and allow you to track the changes in your organisational capacity over time.

To help prepare for the next OCAT administration, we are asking all partners to provide an update on planned activities as well as make a self-assessment of the progress achieved against OCAT capacity building priorities.

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INSTRUCTIONS:

1) Fill in the table with your three capacity building priorities from OCAT Round 1. For each priority, note down the activities you planned. For each activity, tick either 'Completed' or 'Not Completed' depending on whether or not the activity has taken place.
2) Evaluate your organisation's overall progress by indicating whether or not you think you have made significant progress across your identified priorities.

Please be as realistic in your assessment as possible. The purpose of this form is to gain an accurate picture of your organisation's capacity building progress and help to identify further areas for growth. **Your answers will NOT affect future OCAT funding and will not be assessed by [Funder Name].**

Priority 1:			
Activity	**Please tick**		**Comments**
Activity 1:	Completed		
	Not Completed		
Activity 2:	Completed		
	Not Completed		
Activity 3:	Completed		
	Not Completed		
Priority 2:			
Activity 1:	Completed		
	Not Completed		
Activity 2:	Completed		
	Not Completed		
Activity 3:	Completed		
	Not Completed		
Priority 3:			
Activity 1:	Completed		
	Not Completed		
Activity 2:	Completed		
	Not Completed		
Activity 3:	Completed		
	Not Completed		

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Question	Please tick	
How do you rate your progress towards increasing your capacity in your priority areas?	Capacity substantially increased related to priority areas	
	Capacity not substantially increased related to priority areas	

Partner Reflections

Please note down any comments you have about OCAT round 1. This could include any successes, lessons learned, areas for improvement, or action points for OCAT round 2.

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OCAT FACILITATOR EVALUATION FORM

Revised June 2023



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Organisation name:	
Date:	
Completed by: (Printed name of OCAT facilitator)	

BACKGROUND

Before undergoing another round of OCAT, both the partner organisation and the facilitator should evaluate the partner's progress towards completing the planned activities and enhancing their capacity against chosen priority areas.

INSTRUCTIONS:

- This form should be used by facilitators to evaluate each partner organisation's overall progress towards enhancing their capacity against chosen priority areas. There is a separate form for partners to fill out, which also requires them to update on the status of planned OCAT activities.
- There is not a strict time limit for filling out the form after an OCAT round has finished – rather the facilitator should send out the form as part of the preparation for the next round.

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- The facilitator should answer question one by ticking one of the two choices provided (Capacity substantially increased related to priority areas/ Capacity not substantially increased related to priority areas) and provide any comments related to their answer.
- The facilitator should then fill out the 'Partner Reflections' section with comments on the partner's progress during the first OCAT, including successes, lessons learned, areas for improvement or action points. Comments do not need to be extensive and bullet points may be used.

Question	**Check one**		**Comments**
How do you rate the partner's progress towards increasing its capacity in its chosen priority areas?	Capacity substantially increased related to priority areas		
	Capacity not substantially increased related to priority areas		

Facilitator reflections

Please note down any comments you have about the partner's progress during OCAT round 1. This could include any successes, lessons learned, areas for improvement, or action points for round 2.

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