

## **What organisational capacity self-assessment is**

A strong vision can bring people together. To deliver results, that vision needs to be turned into reality. Successful organisations are those that take the time and resources to build their organisation and to make their programmes strong.

The Organisational Capacity Self-Assessment (OCSA) tool and the Policy Influencing Capacity Self-Assessment (PICSA) tool help you to understand your organisation: what it is currently good at, where it could become stronger, and what it wants to take action on.

The tool has four parts:

- Part A: The OCSA Matrix, which help you think about your organisation's current levels of capacity as it relates to its non-programmatic work.
- Part B: The PICSA Matrix, which helps you think about your organisation's Policy Influencing capacity
- Part C: The Capacity Development Action Plan
- Part D: The Calculation Sheet, so that you can see which of your capacity dimensions is most in need of support.

## **When does the Zambian Governance Foundation ask that the Organisational Capacity Self-Assessment (OCSA) process and the Policy Influencing Capacity Self-Assessment (PICSA) process are undertaken?**

The Zambian Governance Foundation (ZGF) requires organisations to do an OCSA and a PICSA before developing a Full Application to ZGF for funding. You can then use what you have learnt from the processes to create the best possible Full Application to ZGF.

## **Who should work with you to do the OCSA and the PICSA?**

The self-assessment should be done by your organisation through a participatory process that includes people from the organisation's board, management team, staff at all levels (programme and administration), or members of the organisation. The mutual understanding that you create within your team and stakeholders by working together on the OCSA and the PICSA process will increase everyone's understanding of your organisation and increase their commitment to working together to bring about improvements.

## Steps in undertaking the OCSA and the PICSA

These two processes can be done on the same day, or they can be undertaken separately. For the OCSA, all the organisation (staff, board, members) needs to be present. However for the PICSA, the programme people, and those from the Board, management and members who are programme-focused, need only attend. If you decide to do both OCSA and PICSA on one day, then perhaps the morning can be focused to one and the afternoon to the other, allowing slightly different participation at each process as you think is needed. For both processes the steps to prepare are generally the same – other than the specific participants:

### 1. Preparation

Invite participants to attend the “Workshop”. (This helps to increase the different opinions and ideas, and promotes ownership of agreements reached). So that people feel comfortable giving their thoughts, it can be a good idea to name a facilitator whose role is to create an environment in which people feel comfortable talking openly about issues. Decide before the workshop how to deal with issues that are not usually discussed openly, especially sensitive issues; and how to make sure that everyone stays for the full workshop, whether it is the OCSA or the PICSA part – each can take 2.5-4 hours.

### 2. Plan the logistics of the event

Prepare a venue and all relevant materials including copies of the OCSA Matrix, or the PICSA matrix, Capacity Development Action Plan form, and Calculation Sheet.

### 3. Run the workshop:

DISCUSS CAPACITY DIMENSION 1.1 OF THE MATRIX

- Lead the discussion of capacity dimension 1.1 by reading the description of the “Highest level of capacity”. Check that participants understand what it means. Use the “Possible Probing Questions” (and any other questions you wish to add) to help you explore how your organisation’s current way of working fits with that capacity sub-element.
- Identify areas in which the organisation is doing well. Record in column D of the Matrix a maximum of three areas where the organisation is doing well.
- Then identify and record in column E areas where you want to make improvements - what you want the organisation to do differently.

SCORE CAPACITY SUB-ELEMENT 1.1

- Use the conversations and conclusions of your discussions to agree an overall score for how your organisation currently ‘performs’ for sub-element 1.1 of the Matrix.
- The rating system is on a scale of level one (1) to level five (5). Level one (1) describes an organisation that is at an early stage of development. Level five (5) describes an organisation that is at an excellent level of maturity.

Table 1: Rating Scale 1 to 5

1	2	3	4	5
<p><b>NEW OR EMERGING</b> This is a new area to this organisation. The organisation has just started to think about this issue.</p>	<p><b>EARLY STAGES OF DEVELOPMENT</b> The organisation has taken its first steps on this area and has put in place some systems.</p>	<p><b>GOOD ENOUGH / ADVANCING.</b> The organisation has good enough performance in many aspects of this area; however there are still important gaps to resolve.</p>	<p><b>WELL-DEVELOPED:</b> There is very good performance in this area; however there are still a few less important gaps.</p>	<p><b>FULLY MATURE / EXCELLENT</b> Fully meets all standards on this area. The organisation is looked to by others as a 'model' on this area.</p>

COMPLETE THE ENTIRE MATRIX FOR THE AREA YOU ARE WORKING ON (OCSA OR PICSA) AND THE CALCULATION SHEET

- Complete the rest of the matrix's sub-elements in the same way (1.2, 1.3 and so on).
- Then transfer the individual scores to the Calculation Sheet (Part C).
- Mark the boxes in the scoring sheet according to the directions: green, blue and red.
- Share these 'results' with the participants. Notice how the organisation has performed against each individual sub-element and each capacity dimension. Point out to participants that a rating of 3 and below (those coloured red and blue) shows where your organisation is less strong and perhaps areas that would benefit from capacity development.

#### DECIDE ON YOUR PRIORITIES FOR CAPACITY DEVELOPMENT INTERVENTION

- At the end of the OCSA and also at the end of the PICSA, your organisation needs to set its own Capacity Development priorities – so it is important for the “workshop” to develop 2 or 3 Prioritising Criteria to help it decide where it would most like to focus its capacity development efforts. The selection of Prioritising Criteria will depend on what are the issues that are most important to your organisation at this stage in its development. For example:
    - The relevance of this issue to organisational survival
    - Extent to which this affects the successful implementation of an initiative
    - Extent to which this could improve the quality of our programme work
    - How this impacts on our staff morale
    - Impact on organisational reputation/credibility/legitimacy
    - How potential donors view this issue
    - Improves our chances of influencing policy
    - And so on
  - Use your chosen 2 or 3 Prioritising Criteria to help you identify your top priorities for capacity development. Do this by working through the OCSA, identifying those sub-elements which closely meet the Prioritising Criteria which you have chosen.
4. Input the “Where do we need to improve” details of those prioritised sub-elements into the Capacity Development Action Plan form. Here is an example of how you might complete the Capacity Development Action Plan form:

Where do we need to improve	Actions to be undertaken	Measurable results to be achieved	Funding source	Resources still required	Lead Person	By when	Comment
Clarify division of roles between Board and Management	<ol style="list-style-type: none"> <li>1. Secure training in Corporate Governance and follow-up mentoring</li> <li>2. Re-draft the organisation's constitution</li> <li>3. Re-draft management job descriptions</li> <li>4. Re-draft Board members Terms of Reference</li> </ol>	<p>Board performs oversight function</p> <p>Management empowered to undertake day to day decisions</p> <p>Improved morale of board and management</p>	Oxfam	<p>Trainer/mentor on Corporate Governance</p> <p>Facilitator to support reaching agreements on constitution and job descriptions (May be the same person for both tasks)</p>	Pascal Bwalya	30 August 2012	<i>(Organisation adds here issues it believes to be relevant: why it has prioritised this area, how it links to a programme, etc)</i>

### Linking the OCSA, PICSA and FMCSA processes and your Capacity Development Action Plan to funding applications – to ZGF and other organisations

ZGF works with civil society organisations to strengthen their capacity in pro-poor policy influencing. To achieve this, we offer capacity-development support and funding to Zambian civil society organisations that are engaged in policy influencing. ZGF does not only work with the CSOs that are strongest. It works with organisations at different capacity levels, having different types of grants available for different capacity levels. Through the OCSA and the PICSA processes we are looking to understand how best we can support your organisation – and that requires us to get to know what your organisation is truly like. We also need to know that you are aware of the stage of organisational development you are at – and that you are committed to strengthening your organisation further.

If your Full Application is strong we may then ask to visit your organisation. In that visit we use your OCSA and PICSA to co-create with you a JOCA (a Joint Organisational Capacity Assessment) and JPICA (Joint Policy Influencing Capacity Assessment) of your organisation. This then forms the baseline of capacity against which we monitor changes in your organisation's capacity levels to know if our partnership with you is helping to improve your capacity.

## PART A: Organisational Capacity Self-Assessment Matrix

<b>Name of Organisation</b>		<b>Ref No:</b>		<b>Date of Assessment</b>	
-----------------------------	--	----------------	--	---------------------------	--

<b>Name of participant</b>	<b>Role in your organisation</b>	<b>Phone number</b>	<b>Email</b>	<b>Signature</b>

<b>I. ORGANISATIONAL MOTIVATION: THE EXTENT TO WHICH THE ORGANISATION IS MOTIVATED BY VISION AND MISSION</b>					
<b>I. 1. Overall direction clarity in vision, mission and organisational objectives and extent to which they guide organisational growth strategy</b>					
1.1 Vision / Mission	All stakeholders, staff and members understand the organisation's vision and mission statements. These are frequently used to inspire the organisation.	<ol style="list-style-type: none"> <li>1. Do people understand our vision and mission?</li> <li>2. Do we feel motivated by our vision and mission?</li> <li>3. Does our leadership (management and board) refer regularly to the mission and vision?</li> </ol>			
1.2 Organisational Culture (The way of life in this organisation)	A common set of beliefs and values exist and are widely shared within the organisation. They give staff and volunteers a sense of identity and clear direction for behaviour. Beliefs and values clearly support the overall purpose of the organisation.	<ol style="list-style-type: none"> <li>1. How do our beliefs and values guide our behaviour?</li> <li>2. Do issues of integrity and accountability form part of our culture? How are they realised?</li> <li>3. Do our staff share the values of our organisation?</li> </ol>			
1.3 Overall strategy (Medium and long term strategic plan)	The organisational focus is driven by vision and mission and a strategic plan that has been collaboratively created. The strategy is reviewed regularly to reflect changes in the context and lessons learnt.	<ol style="list-style-type: none"> <li>1. Do we have an organisational strategic plan?</li> <li>2. Is our board, management, staff and membership involved in strategic planning?</li> <li>3. Are the objectives/outcomes clear and in line with our mission and vision?</li> <li>4. Does our strategic plan have a hierarchy of objectives, with each broken down into outputs?</li> <li>5. Does our strategic plan include indicators that we are monitoring to see if we are achieving our objectives?</li> <li>6. Do we review the strategic plan regularly?</li> </ol>			
<b>II ORGANISATIONAL LEVEL: ORGANISATION MANAGES THE ORGANISATION EFFECTIVELY</b>					
<b>2. Oversight/governance: provision of overall policy direction, governance and promoting integrity</b>					
2.1 Governance structures <sup>1</sup> existence and role clarity	The governance structures exist and the roles, responsibilities and relationships among members are clear. There is role clarity between them and management.	<ol style="list-style-type: none"> <li>1. Does our governing body have a range of skills (finance/accounting, technical knowledge of the area of operations, leadership, legal) to support our organisation? How is its gender balance? Are there Terms of Reference <sup>2</sup> including self-governing guidelines?</li> </ol>			

<sup>1</sup> Governance structures include: Annual General Meetings, Board and its sub committees. For membership organisations it includes the role of the AGM.

<sup>2</sup> Terms of Reference, sometimes called a Charter, includes guidelines on the functioning of a governing body.

		<ol style="list-style-type: none"> <li>2. Does management have clarity about the roles and responsibilities of our governing body?</li> <li>3. Does the governing body understand its roles and responsibilities?</li> </ol>			
2.2 Governing body performance	The governing body is fulfilling its roles. It is interpreting policy, fulfilling its roles and responsibilities, setting out organisational strategic direction and management performance targets.	<ol style="list-style-type: none"> <li>1. Does our governing body work according to what is written in its constitution (e.g. number of people present, frequency of meetings, rotation, etc.)? Are the proceedings written up as minutes and signed?</li> <li>2. Does the board get involved in the day-to-day management of the organisation?</li> <li>3. Does the board fulfil its oversight function effectively?</li> <li>4. Does the board work according to its Terms of Reference? (Rotation of office bearers, resource mobilisation, self-regulation, participation, etc.?)</li> </ol>			
2.3 Constitution	The organisation's constitution provides overall direction and guidance (political, strategy, decision-making, conflict management and so on), to promote good governance.	<ol style="list-style-type: none"> <li>1. Is there possible conflict between what is in the Constitution and practice? Does anything need to be changed?</li> <li>2. Is the Constitution clear about the separation of roles between policy and operation?</li> </ol>			
<b>3.0 Human Resources</b>					
3.1 Adequacy of structure	Organisational structures, including management committees, exist. All functions, responsibilities, roles and communication channels are clear. Structure is revised to reflect new realities. A formal Organisational Charts exists.	<ol style="list-style-type: none"> <li>1. Do we have an up-to-date organisational chart?</li> <li>2. Are the roles and responsibilities clearly defined?</li> <li>3. Are the lines of responsibilities and accountability clear? Are they followed and respected by all?</li> <li>4. In case of HR shortage, what strategy is in place to meet the shortfall?</li> <li>5. Do we have a volunteer management program/internship? How does it work?</li> </ol>			
3.2 Skills and competencies	The organisation has all skill areas covered by internal experts, occasionally calling upon external experts on a planned basis. Staff come from diverse backgrounds and experience bringing a broad range of skills.	<ol style="list-style-type: none"> <li>1. Have we got all the required skills and competences?</li> <li>2. Do we have the skills necessary to build relationships at community level with those who are most poor and vulnerable?</li> <li>3. Do we have the skills necessary to build influential relationships with government?</li> <li>4. Do we have the skills to generate, analyse and communicate the evidence to back up our policy</li> </ol>			

		recommendations?			
3.3 Staffing levels and motivation	The organisation has filled all its staff positions to a high standard and staff are highly motivated.	<ol style="list-style-type: none"> <li>1. Are all positions filled by people with relevant skills and experience?</li> <li>2. How is our level of staff motivation?</li> <li>3. What strategies are in place to retain staff members?</li> </ol>			
3.4 Staff performance management	The organisation has a system for monitoring and feeding back on the performance of its staff. This system is linked to an action plan and targets. Supervisors give feedback to employees for personal and professional growth.	<ol style="list-style-type: none"> <li>1. Do we have a system of planning which involves setting personal/team targets and reviewing performance against the set targets?</li> <li>2. What are the mechanisms for following up if targets are not met?</li> <li>3. How does this link to staff development support to increase performance?</li> </ol>			
3.5 HR policies e.g. training, recruitment, gender, disability, HIV, grievance procedures, etc	There are HR policies to guide human resource management practices (E.g. gender, HIV and AIDS, disability, environmental, education, remuneration, training, recruitment etc.) and they are put into practice.	<ol style="list-style-type: none"> <li>1. What other HR policies do we have in place? How effective are they in guiding HR practices?</li> <li>2. Do we have a gender policy, a HIV/AIDS policy, or environmental policy in place?</li> <li>3. To what extent is our organisation taking disability issues into consideration for our staff?</li> <li>4. Are our premises disability-friendly?</li> <li>5. Do we take into consideration in our projects, programmes or day-to-day operations how we impact on the natural environment?</li> </ol>			
3.6 Training and development	The organisation conducts training and development based on an assessment which links the organisational development priorities with those of individual staff development priorities.	<ol style="list-style-type: none"> <li>1. How often do we undertake training needs assessments?</li> <li>2. Is there a training and development plan based on the organisational priorities?</li> </ol>			
3.7 Administration Systems and procedures	The organisation has administrative and filing systems (e.g. procurement, office system, assets management, etc.) which are used by all staff members.	<ol style="list-style-type: none"> <li>1. What administrative systems do we have?</li> <li>2. Have we formalised the systems into a manual?</li> <li>3. Do we use the systems?</li> <li>4. Which new systems would we like to create to improve how we work?</li> </ol>			
<b>4. Physical Resources</b>					
4.1 Office Accommodation	The organisation has office space that meet its needs, including needs of customers, such as meeting rooms, toilets etc.	<ol style="list-style-type: none"> <li>1. Is our working environment good enough to meet our needs in the short- and medium-term?</li> <li>2. Do we assess possible hazards, or demotivating factors for staff, within the workplace? (Lighting,</li> </ol>			

		ventilation, availability of toilet facilities etc.)			
4.2 Equipment (ICT, transport, furniture etc)	The organisation has the equipment and furniture it needs to be able to function well. No work suffers on account of lack of equipment.	<ol style="list-style-type: none"> <li>1. Do we have the necessary equipment (computers, chairs, fax, vehicles etc.) to meet our objectives?</li> <li>2. Is administrative and logistical support good enough to achieve objectives?</li> </ol>			
<b>5.0 Resource Mobilisation: Financial viability and vulnerability</b>					
5.1.. Funding diversity & Local Resource mobilisation	The organization has funds from multiple sources. It has in place a resource mobilization strategy which is used to mobilize funding from both international and local funding sources	<ol style="list-style-type: none"> <li>1. How many funders do you have? How many of these are locally based?</li> <li>2. How many donors / funders do you have that provides core support?</li> <li>3. Is your current funding based on the resource mobilisation plan?</li> <li>4. Does your organisation have a formalised long-term resource mobilisation strategy?</li> <li>5. Does your organisation have a formalised core cost/overhead strategy?</li> <li>6. Are current funds adequate to meet needs of your strategic plan?</li> <li>7. Have you put in place a financial sustainability plan?</li> <li>8. What is your policy in terms of volunteers and interns?</li> <li>9. What would happen in the international donor community would not be able anymore to fund development cooperation in overseas?</li> </ol>			
<b>6.0 Management and Leadership: existence of adequate knowledge on management and leadership and the practice</b>					
6.1 Work plan	The organisation develops realistic, detailed work plans which are linked to a strategic plan. The plans are used as a basis for budgeting and performance management.	<ol style="list-style-type: none"> <li>1. Do detailed, realistic work plans exist?</li> <li>2. Is there a link between budgets and work plans?</li> <li>3. Are plans developed from our strategic plan?</li> <li>4. Are work plans reviewed to ensure activities are being implemented as planned?</li> <li>5. Do the outputs and activities of the strategic plan form the basis for our annual planning and budgeting processes?</li> <li>6. Are we undertaking activities or projects which are</li> </ol>			

		not in our strategic plan? How did we select them?			
6.2 Decision making	The organisation uses appropriate decision-making styles to suit the context. When possible it applies open and consultative processes.	7. Do we look over our workplans regularly to make sure that activities are being implemented as planned?			
6.3 Delegation	Delegation takes place where staff have the skills, knowledge and experience to take on tasks. Training is used to support this.	1. How do we make important decisions? Is there a formalised process? Is it participatory? 2. Has we experienced loss of financial support due to delays in, or poor, decisions?			
6.4 Programme coordination and team work	There is flexibility in the structure to promote a culture of team working. Team visions are easily created and used to promote cohesiveness.	1. How is delegation done? 2. Do our managers sometimes delegate responsibility without providing sufficient information or authority to do the task?			
6.5 Leadership	The leadership unites the organisation by promoting the values, mission and vision of the organisation, inspiring teams to excellence and towards meeting organisational objectives.	1. Do staff members come together to work on shared objectives? 2. How do we encourage and support team work? eg. regular meetings, information sharing, performance review, etc.			
6.5 Leadership	The leadership unites the organisation by promoting the values, mission and vision of the organisation, inspiring teams to excellence and towards meeting organisational objectives.	1. What do we do to create an environment in which staff feel committed? 2. How do we work to bring together all people's perspectives? 3. Is leadership practice included in every job responsibility? 4. Do we all adapt our leadership style to match the skills of the staff member and their familiarity the context in which they are working?			
6.6 Internal Communication	Formal communications exist and feedback is encouraged, i.e. it is a two way process. People feel well informed about the on-goings in the organisation	1. Are there formal spaces for communication in our organisation? (team meetings, newsletters etc.) 2. Are staff encouraged to share their views and are they taken on board?			
6.7 <sup>3</sup> Environmental scanning	The organisation is aware of changes in the macro and micro socio-political, cultural and economic environment and is	1. Who brings new information on the organisation's socio-political, cultural and economic environment into the organisation? 2. Are there changes to programs based on new			

<sup>3</sup> This is an extremely important aspect of the capacity of an organisation and is the process of scanning the environment to consider opportunities, understanding its clients and stakeholder requirement. This is not the strategic plan but an important process towards strategic planning.

	able to use this information.	understanding or awareness?			
--	-------------------------------	-----------------------------	--	--	--



A: CAPACITY DIMENSION	B: DESCRIPTION OF HIGHEST LEVEL OF CAPACITY	C: POSSIBLE PROBING QUESTIONS	D: WHAT ARE WE DOING WELL ALREADY	E: WHERE DO WE NEED TO IMPROVE	F: <sup>4</sup> RATING SCALE 1 TO5
<b>I. PROGRAMMING CAPACITY: ORGANISATION DESIGNS AND DELIVERS ITS PROGRAMME WORK</b>					
<b>1.Ensuring programme quality through evidence and learning</b>					
1.1 Evidence-based programming	The organisation always backs up its descriptions of the problems it wants to address, and the interventions it is proposing, with information from primary and secondary sources. Its information is packaged in a manner easily understood and considered credible by policy makers. It is seen as a credible information resource	<ol style="list-style-type: none"> <li>1. Do we collect information on the issues we are working on? How?</li> <li>2. Does our research: <ul style="list-style-type: none"> <li>• provide new evidence on the scale and nature of the problem?</li> <li>• respond to arguments from those people we want to influence (our policy targets</li> <li>• provide evidence to back up the recommended policy changes we are promoting?</li> </ul> </li> <li>3. Do we analyse the information on males and females separately to understand the differences?</li> <li>4. Do we disseminate our research results? To whom? How?</li> </ol>			
1.2 Monitoring and Evaluation	The organisation has a strong participatory M&E system with targets, output and outcome indicators, and information necessary for making changes to plans and procedures. The results are used to demonstrate impact and progress to stakeholders. The M & E responsibilities are integrated into job functions.	<ol style="list-style-type: none"> <li>1. Does an M&amp;E plan exist? If so, how is it used?</li> <li>2. Is our M&amp;E plan based on indicators which are in our strategic plan or in the programme documents?</li> <li>3. Do you make efforts to collect the perspectives of women? Do you separate the information you collect into male and female perspectives in order to know if there are any differences?</li> <li>4. Whose responsibility is M &amp; E? Is it clear?</li> <li>5. Is M&amp;E information used to change plans and procedures when information shows that a new approach may work better?</li> <li>6. How does M&amp;E contribute to the success of our programme work and our organisation?</li> <li>7. Does our quarterly and annual reporting focus on the <i>activities</i> that we undertook? Or on the <i>results and outcomes</i> that we have achieved with our activities?</li> </ol>			

<sup>4</sup> [1]-New/Emerging; [2]-Early stages of Development; [3]-Good enough/Advancing; [4]-Well-developed; [5]Fully mature/Exemplary

A: CAPACITY DIMENSION	B: DESCRIPTION OF HIGHEST LEVEL OF CAPACITY	C: POSSIBLE PROBING QUESTIONS	D: WHAT ARE WE DOING WELL ALREADY	E: WHERE DO WE NEED TO IMPROVE	F: <sup>4</sup> RATING SCALE 1 TO5
		8. What systems do we currently have to capture outcomes and impact?			
<b>2. Empowerment and capacity of constituents/community groups</b>					
2.1 Taking up issues from the communities (Ensuring that the voices of the constituents are heard)	The organisation gathers the views of communities in which it operates. The communities feel that the organisation is a legitimate actor to act on their behalf. It also has a system of ensuring that community members speak for themselves at different forum.	<ol style="list-style-type: none"> <li>1. What do we know about our beneficiaries (numbers, gender, age, socio-economic data, etc.)?</li> <li>2. How do we identify the needs of our beneficiaries? How do we receive feedback from them? And give feedback to them?</li> <li>3. Do those mechanisms ensure that we identify the needs of, and get feedback from: women, young people, those living positively, older people and people with disabilities?</li> <li>4. Do we create opportunities for our beneficiaries to engage with policy makers? (e.g. attending council meetings, parliament, and so on)?</li> </ol>			
2.2 Community capacity to engage (building the capacity of constituents and the community)	There is a plan with a mix of approaches for building capacities of the poor and vulnerable sections of society and community leaders. The constituents are growing in knowledge and power about the issues which affect them.	<ol style="list-style-type: none"> <li>1. How do we build the confidence of the community to engage in policy making processes?</li> <li>2. How do we ensure that the voices of women and girls are heard in policy making processes?</li> <li>3. What steps do we take to ensure that people with disabilities can participate fully?</li> <li>4. Are the beneficiaries becoming more knowledgeable and active on these issues?</li> <li>5. Do we encourage our members or the public to take appropriate influencing actions?</li> </ol>			
<b>3.0 Programme Targeting: the extent to which the programmes prioritise pro-poor issues</b>					
3.1 Engagement with poor and vulnerable sections of the community	The organisation has strong links with poor and vulnerable sections of society and has developed and uses various strategies to maintain this relationship.	<ol style="list-style-type: none"> <li>1. Do we have a strategy to target those people who are most poor or vulnerable?</li> <li>2. What steps do we take to develop these relationships as two-way relationships?</li> <li>3. Does our M&amp;E system assess the impact of our activities on the poorest people, gender, HIV/AIDS, people with disabilities, and the environment?</li> </ol>			
3.2 Gender mainstreaming	Gender mainstreaming, and possibly gender-specific activities, are given high priority both in the	<ol style="list-style-type: none"> <li>1. How do we keep informed about national policy initiatives to promote gender equality?</li> <li>2. Do we collect equal amounts of information from</li> </ol>			

A: CAPACITY DIMENSION	B: DESCRIPTION OF HIGHEST LEVEL OF CAPACITY	C: POSSIBLE PROBING QUESTIONS	D: WHAT ARE WE DOING WELL ALREADY	E: WHERE DO WE NEED TO IMPROVE	F: <sup>4</sup> RATING SCALE 1 TO5
	development, implementation and monitoring and evaluation of strategic plans and programmes	<p>males as from females? Do we separate our analysis of the information to show the different impact on, and perspectives of, males and females?</p> <p>3. Do we have a gender policy for our programmatic work?</p> <p>4. Do we consider the impact of our programmes on relations of power between men and women and the learned behaviours between the sexes that condition which activities and responsibilities are seen as male or female, including who can access and control resources?</p> <p>5. De we take into consideration the needs of men, women, boys and girls when we design our work?</p> <p>6. Do we have indicators within our M&amp;E system that:</p> <p>a) Measure the extent to which males and females are participating in and benefiting from our activities?</p> <p>b) Measure our progress at making sure that males and females have equal rights, responsibilities and opportunities and that the interests, needs and priorities of both sexes are taken into consideration?</p>			
3.3 HIV and AIDS integration and mainstreaming	HIV and AIDS issues are given high priority both in the development, implementation and monitoring and evaluation of strategic plans and programmes	<p>1. Do we have a HIV and AIDS policy in place for our programmatic work?</p> <p>2. Do we have an action plan to support HIV mainstreaming initiatives in the workplace?</p> <p>3. How do we make sure that our activities address the prevention and combat of HIV and AIDS?</p> <p>4. How does our M&amp;E system assess the impact of our activities on the prevention of HIV infections and on people living with HIV and AIDS?</p>	3		
3.4 Mainstreaming issues of disability	Disability issues are given high priority in the development, implementation, and monitoring and evaluation of strategic plans and programmes.	<p>1. Is there a specific disability policy in place for our programmatic work?</p> <p>2. How do we make sure that we hear the issues coming from people who have disabilities and make them part of our programme work?</p>	3		

A: CAPACITY DIMENSION	B: DESCRIPTION OF HIGHEST LEVEL OF CAPACITY	C: POSSIBLE PROBING QUESTIONS	D: WHAT ARE WE DOING WELL ALREADY	E: WHERE DO WE NEED TO IMPROVE	F: <sup>4</sup> RATING SCALE 1 TO5
		<ol style="list-style-type: none"> <li>3. What steps do we take to sensitise our staff and board on disability issues?</li> <li>4. How do we make sure that we hear the issues coming from people who have disabilities and that they are made part of our programme work?</li> <li>5. How does our M&amp;E system assess the impact of our activities on people with disabilities?</li> </ol>			
3.5 Mainstreaming issues of the natural environment	The organisation is aware of environmental concerns and how its activities may contribute to protect against environmental degradation or promote good practices.	<ol style="list-style-type: none"> <li>1. What are the main natural environmental impacts of our organisation’s activities in our area?</li> <li>2. What are the environmental impacts of the current policies, plans and programmes of our organisation?</li> </ol>			
<b>4. Policy Engagement: understanding the policy environment<sup>5</sup></b>					
4.1 Understanding the political context	Your organisation has deep understanding of the political context on which it is working. There is analysis of political statements and news/current affairs and this informs decision-making on the issues you are focusing on.	<ol style="list-style-type: none"> <li>1. How do we develop our understanding of the political context of the issues we are working on?</li> <li>2. How do we make sure that our political understanding and analysis guides our policy influencing strategy (i.e. how you approach policy targets, the messages you present, coalitions you create etc.)?</li> </ol>			
4.2 Understanding the Policy Context	Your organisation has a clear and accurate understanding of the formal and informal policy context.	<ol style="list-style-type: none"> <li>1. Do we understand the policy formulation context for the issues we work on and the main actors involved?</li> <li>2. What are the formal and informal processes taking place for the policy we are working on?</li> <li>3. Which opportunities are available to non-state actors to influence policy?</li> <li>4. Who are the key actors and what are their roles in our policy sector? Have we made a Power Map? [pages 40-45 of ZGFs Policy engagement &amp; influencing training toolkit: Handouts]</li> <li>5. Do we have an up-to-date policy process map for</li> </ol>			

<sup>5</sup> The policy engagement and influencing capacity dimensions guiding questions have drawn significantly upon Pact’s Introduction to Organisational Capacity Development’s Toolkit, Annex 5: Building Organizational Networks for Good Governance and Advocacy (BONGA) Advocacy Index Tool (BAIT)

A: CAPACITY DIMENSION	B: DESCRIPTION OF HIGHEST LEVEL OF CAPACITY	C: POSSIBLE PROBING QUESTIONS	D: WHAT ARE WE DOING WELL ALREADY	E: WHERE DO WE NEED TO IMPROVE	F: <sup>4</sup> RATING SCALE 1 TO5
		our policy issue? [pages 30-35 of ZGF’s Policy engagement & influencing training toolkit: Handouts]			
<b>5.Policy Engagement: The policy cycle</b>					
5.1 Engagement along the policy cycle	The organisation participates in the entire policy cycle. It uses all relevant policy engagement platforms at national and sub national levels	<ol style="list-style-type: none"> <li>1. Are we familiar with the five stages of the policy cycle? [agenda setting, policy formulation, decision-making, policy implementation, policy monitoring and evaluation]</li> <li>2. Are we aware of the stage along the policy cycle that each of the policy issues we work on are at?</li> <li>3. Are we aware of and involved in relevant policy processes, available spaces and platforms for policy discussion on the issues we are working on?</li> </ol>			
<b>6.Policy Engagement: Undertaking activities along the policy cycle</b>					
6.1 Policy Analysis	The organisation has an excellent understanding and knowledge of the existing policies and legislation on the issues it is working on and uses these to inform its influencing strategy.	<ol style="list-style-type: none"> <li>1. Is our organisation aware of the existence of all policies on this issue? Do we understand them?</li> <li>2. Do we use the information from analysing the policies to support our influencing strategies?</li> <li>3. Do we use the information from our analysis of the policies to support our influencing strategies?</li> </ol>			
6.2 Engagement with policy makers and policy targets	The organisation has mapped available policy influencing spaces, those policy targets they want to influence, prioritised them according to their influence, and developed a strategy to influence them based upon their interests and available spaces.	<ol style="list-style-type: none"> <li>1. Do we use mapping tools to identify those people we want to influence? Do we know their interests and do we engage with them?</li> <li>2. Do we monitor how successful our influencing strategies are? Do we use this information to guide our future strategies?</li> <li>3. Are we aware of and involved in relevant policy processes, available spaces and platforms for policy discussion on the issues we are engaged in?</li> <li>4. Do we make oral presentations to Parliamentary Committee hearings or other policy makers?</li> <li>5. Do we communicate with decision-makers (such as parliamentary committees) in person and writing?</li> </ol>			
6.3 Public	The organisation develops and distributes messages and	<ol style="list-style-type: none"> <li>1. Do we have a strategy for raising public awareness on each of the issues we work on?</li> </ol>			

A: CAPACITY DIMENSION	B: DESCRIPTION OF HIGHEST LEVEL OF CAPACITY	C: POSSIBLE PROBING QUESTIONS	D: WHAT ARE WE DOING WELL ALREADY	E: WHERE DO WE NEED TO IMPROVE	F: <sup>4</sup> RATING SCALE 1 TO5
Awareness and base of support for the issue	materials to increase public understanding and awareness of the policy issues, why they need to be addressed and policy recommendations. The public considers the organisation a credible information source on the issues it works on.	<ol style="list-style-type: none"> <li>2. Do we present the information differently for different target audiences taking account of age, literacy, impairment, education etc?</li> <li>3. Does our evidence (data, stories, positions, policy recommendations) appear in the media (radio, television, newspapers, websites of others)?</li> <li>4. Do we have ways of receiving feedback from the public on their attitudes to the issue so we can use this to shape future messages?</li> </ol>			
6.4 Building Coalitions and networks	The organisation always undertakes joint or coordinated policy influencing activities, often catalysing or coordinating these spaces.	<ol style="list-style-type: none"> <li>1. Are we aware of other organisations or networks who are interested in its policy issues? Have we identified other potential partners?</li> <li>2. Do we look to join networks or catalyse coalitions or partnerships on the issues we work on?</li> </ol>			
6.5 Policy influencing actions and strategies	The organisation applies all relevant policy influencing strategies to secure successful policy change.	<ol style="list-style-type: none"> <li>1. Do we encourage our members or the public to take appropriate influencing actions?</li> <li>2. Does our evidence (data, stories, positions, policy recommendations) appear in the media (radio, newspapers, television)?</li> <li>3. Do we communicate with decision-makers (such as Parliamentary Committees) in person or writing?</li> <li>4. Do we make oral presentations to Parliamentary Committee hearings or other policy makers?</li> </ol>			
6.6 Policy Monitoring	The organisation is aware of policy implementation plans, service delivery standards, budgets and timeframes. It develops or adapts tools to monitor policy implementation and uses its learning to inform its police recommendations.	<ol style="list-style-type: none"> <li>1. Do we raise awareness of the content and timescale for policy implementation, and what our members and constituents can do to help things stay on track?</li> <li>2. Do we generate and share simple, written information or cartoons to help the public understand the policy issue we are working on and citizens' rights?</li> <li>3. Do we use and promote tools for monitoring policy implementation? [e.g. citizens' scorecards, participatory budgeting etc.]</li> <li>4. How do we use the results of our policy monitoring to bring about improved policy implementation?</li> </ol>			

### Part C: Capacity Development Action Plan based on the OCSA and PICSA

*[Please complete this Capacity Development Action Plan. Make sure you indicate all the actions that you want to take, including those that may not necessarily be part of the application you submit to the Zambian Governance Foundation.]*

	A: Area identified as a priority area	B: Actions to be undertaken	C: Measurable results to be achieved	D: Funding source	E: Resources still required	F: Lead Person	F: By When	G: Comment
1.								
2.								
3.								
4								
5.								