Appendix 1

List of participants of organisational self assessment and capacity building action plan workshops for FLAT

<table>
<thead>
<tr>
<th>Name</th>
<th>Designation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Juliana Bwire</td>
<td>Director/board member</td>
</tr>
<tr>
<td>2. Steven Fungo</td>
<td>Program Coordinator/board member</td>
</tr>
<tr>
<td>3. Joyce Maiga</td>
<td>Gender officer</td>
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<tr>
<td>4. Cuthbert Fungo</td>
<td>Training and Field Supervisor</td>
</tr>
<tr>
<td>5. Grant Hosea</td>
<td>Field officer</td>
</tr>
<tr>
<td>6. Manento Kitururu</td>
<td>Volunteer</td>
</tr>
<tr>
<td>7. Mathias Peter</td>
<td>Volunteer (Group leader)</td>
</tr>
<tr>
<td>8. Mbelwa Gabagambi</td>
<td>Facilitator</td>
</tr>
</tbody>
</table>
## Appendix 2 Action plan for the project

### Action plan for the capacity building project for FLAT

<table>
<thead>
<tr>
<th>Activity</th>
<th>SEP</th>
<th>NOV</th>
<th>DEC</th>
<th>JAN</th>
<th>FEB</th>
<th>MAR</th>
<th>APRL</th>
<th>MAY</th>
<th>JUN</th>
<th>JUL</th>
<th>AUG</th>
<th>SEPT</th>
<th>OCT</th>
<th>NOV</th>
<th>DEC</th>
<th>JAN</th>
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<tbody>
<tr>
<td>Introducing myself to FLAT</td>
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<td>Discussing the project with FLAT</td>
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<td>Facilitating the Organisation Self Assessment</td>
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<td>Preparing the first progress report</td>
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<td>Submission of the first report</td>
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<td>Facilitating to develop the CBAP</td>
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<td>Preparing the questionnaire</td>
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<tr>
<td>Preparing and submission of the 2nd progress report</td>
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<td>Administering the questionnaire</td>
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<td>Workshop for the OD intervention</td>
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<td>Data analysis and interpretation</td>
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<tr>
<td>Project Report writing (Draft)</td>
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<tr>
<td>Sharing the draft report with FLAT</td>
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<tr>
<td>Production and submission of the final Project Report</td>
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### Appendix 3:
**Management Assessment Tool (MAT)**

#### 1.0 STRATEGIC VISION

<table>
<thead>
<tr>
<th>1.1 Organizational Vision and Values</th>
<th>No vision of desirable society being sought.</th>
<th>Vague idea of society desired. Nothing written down.</th>
<th>Some staff have a clear vision of the desired situation.</th>
<th>Clear vision held by all staff. Written statement clear.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No one in the organization is clear about basic principles generally associated with NGOs such as not-for-profit, non-partisanism, volunteerism, not self-serving, and shared commitment and values. Work reflects no consistent value base.</td>
<td>Leader of organization is clear about what the organization is trying to achieve and values which generally reflect basic NGO principles. Work generally reflects these values, some of the time.</td>
<td>Some staff can articulate the organization's values which are consistent with basic NGO principles. Daily work and major decisions generally reflect these values.</td>
<td>All staff are able to clearly and consistently articulate the values of the organization consistent with basic NGO principles. The design of project activities and the daily work of the staff consistently reflect these values.</td>
</tr>
</tbody>
</table>

<p>| 1.2 Mission Statement | No one is clear about the mission of the organization. | Leader is clear about the mission of the organization. | Key staff were involved in defining the mission of the organization and are able to clearly and consistently explain it to others. | A clear written mission statement exists which all staff participated in writing, agree on, and are able to explain. The statement is displayed in a place that all staff and visitors can easily see. The mission statement is periodically reviewed and revised as necessary. |</p>
<table>
<thead>
<tr>
<th>1.3 Long-range Goals</th>
<th>The organization has no long-range goals; planning and activities are day to day.</th>
<th>The organization has general long-range goals. However, these goals may be vague or just a list of activities.</th>
<th>The organization has long-range goals stated in terms of impact which are consistent with the vision, values and mission of the organization.</th>
<th>The organization has clear, focused, realistic and time-bound written long-range goals which are consistent with the vision, values and mission of the organization.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Goals set by leader with little in any input from other staff.</td>
<td>Senior staff were actively involved in formulating these goals.</td>
<td>Senior staff are able to clearly articulate these goals.</td>
<td>All staff were involved in formulating these goals.</td>
</tr>
<tr>
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<td></td>
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<td></td>
<td>All staff are able to clearly articulate these goals.</td>
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</table>

<table>
<thead>
<tr>
<th>1.4 Target Groups and Constituency</th>
<th>No clear target group or little if any attempt to reach their stated target group.</th>
<th>Has a stated target group however program activities are only loosely connected to the needs of this target group.</th>
<th>Criteria and procedures in place for identifying target group members.</th>
<th>Clear criteria and procedures in place for identifying target group members; organization constantly monitors target group selection.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Actual beneficiaries often inconsistent with stated target group.</td>
<td>Needs of the defined target group are clearly defined.</td>
<td>Activities of the organization are clearly designed to address the identified needs.</td>
<td>Needs have been identified with the defined target group.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>The majority of the actual beneficiaries match the stated target group.</td>
<td></td>
<td>Organization is constantly and consciously refining program activities to more effectively address these needs.</td>
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<tr>
<td></td>
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<td></td>
<td>Actual beneficiaries consistently match the stated target group,</td>
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</table>
### 1.5 Program Development and Design

<table>
<thead>
<tr>
<th>Aspect</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>Program Design</td>
<td>No clear program design. Activities managed on a project-by-project basis and are largely donor or leader driven.</td>
</tr>
<tr>
<td>Program Development</td>
<td>Programs are generally developed within a framework of long-range goals.</td>
</tr>
<tr>
<td>Senior Management Involvement</td>
<td>Senior management takes primary responsibility for designing programs, sometimes in consultation with potential donors. Beneficiaries involved only as recipients of a program's activities.</td>
</tr>
<tr>
<td>New Programs</td>
<td>New programs are generally consistent with the organization's vision, values, mission and long-range goals, and reflect reasonable attempts to meet the needs of the defined target group. Some attempt made in involve project staff in the design of new programs. Beneficiaries are consulted in developing program strategies.</td>
</tr>
<tr>
<td>All New Programs</td>
<td>All new programs are consistent with the organization's vision, values, mission and stated long-range goals. Program development and design are clearly directed at addressing the needs of the defined target group. Senior management and project staff work together in deciding on program priorities and designing programs. Beneficiaries are active partners in program development and design.</td>
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### 2.0 PROJECT DESIGN AND MANAGEMENT

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>2.1 Problem Identification and Needs Assessment</td>
<td>Problem identification and needs assessment reflects NGO and/or donor perceptions and priorities. No attempt made to involve potential beneficiaries in this process. Project activities are primarily defined by donors or in response to available funding. Problem identification and needs assessment is based on a few informal contacts with potential beneficiaries. Problem identification and needs assessment is based on informal communication with beneficiary group. Fair understanding of needs and attempt at mobilizing participation. Problem identification and needs assessment is based on a structured participatory needs assessment conducted with beneficiary group.</td>
</tr>
<tr>
<td>2.2 Project Planning</td>
<td>No project objectives defined.</td>
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<tr>
<td></td>
<td>Management staff design activities and set objectives.</td>
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<tr>
<td></td>
<td>Project objectives tend to be focused on the activities of the organization.</td>
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<td>Little consideration given to available financial or staff resources.</td>
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## 2.3 Work Planning

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>No work plans prepared.</td>
</tr>
<tr>
<td>2</td>
<td>Work plans developed but not followed.</td>
</tr>
<tr>
<td>3</td>
<td>Specific tasks for carrying out activities clearly defined, and developed with and understood by all project staff. Plans are often overly ambitious and difficult to implement. Plans are reviewed only infrequently, if at all.</td>
</tr>
<tr>
<td>4</td>
<td>Specific tasks for carrying out activities clearly defined, and developed with and understood by all project staff. Plans are reviewed and updated on a regular basis to respond to changing circumstances. Realistic deadlines established for all tasks. Responsibilities for tasks clearly identified. Work plans consistent with available resources (staff, funding, beneficiary capacity, etc.).</td>
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</table>

## 2.4 Implementation

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Work being done but not according to any plan. No beneficiary participation in implementation.</td>
</tr>
<tr>
<td>2</td>
<td>Only upper management following plan - staff taking orders from management. Frequent difficulties encountered in implementing plans. Some beneficiary participation elicited.</td>
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<tr>
<td>3</td>
<td>Project staff implement work plans to achieve quality and timely progress towards meeting objectives. Significant beneficiary participation in implementation.</td>
</tr>
<tr>
<td>4</td>
<td>Staff able to independently follow through on work plans to achieve project objectives. Beneficiaries fully involved in implementation.</td>
</tr>
<tr>
<td>2.6 Monitoring</td>
<td>No outputs defined or targets set for activities. Staff unaware of the need to monitor activities. Activities not being monitored. Staff work without guidance or understanding of the rationale for activities.</td>
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<tr>
<td></td>
<td>Monitoring indicators may have been identified however little effort made to systematically collect information on these indicators. Senior management define indicators and monitor progress; staff only respond to management orders. Little initiative taken by staff to improve their own work.</td>
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<td></td>
<td>Procedures in place for routinely collecting basic monitoring information on all project activities. Project staff actively involved in defining monitoring indicators and targets. Activities being monitored regularly by all staff. Staff take initiative to address problems encountered in implementing the activities for which they are responsible.</td>
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<td></td>
<td>Monitoring information collected and analyzed on an on-going basis. Staff prepare regular, clear monitoring reports on activities. Project staff work together with beneficiaries in defining monitoring indicators and targets.</td>
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<table>
<thead>
<tr>
<th>2.6 Evaluation</th>
<th>Little thought given to assessing progress in achieving the goals and objectives of the program or individual projects. Organization doesn't value learning from experience.</th>
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<tbody>
<tr>
<td></td>
<td>Organization understands the importance of evaluation but does not evaluate performance. Little or no learning from past work shared within the organization. Senior management evaluates projects on an irregular basis. Staff participate only in response to management orders. Written reports may be prepared but are rarely used in bringing about improvements.</td>
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<tr>
<td></td>
<td>All staff involved in regularly evaluating program performance. Community input is also actively sought. Comprehensive evaluation reports are prepared and are used to guide improvements in strategies and activities.</td>
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<table>
<thead>
<tr>
<th>2.7 Gender</th>
<th>Little or no thought given to gender issues in project design or implementation. Organization claims to address gender issues however this is not reflected in the design of program activities. Program design and implementation consistently reflects concern with gender issues.</th>
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<tbody>
<tr>
<td></td>
<td>Gender analysis carried out as part of the needs assessment process. Program activities seriously attempt to address gender issues with some success.</td>
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<tr>
<td>2.8 Cost-effectiveness</td>
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<tr>
<td>No concern about the quality or quantity of program activities.</td>
<td>Organization places more emphasis on increasing the quantity rather than the quality of activities.</td>
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<tr>
<th>2.9 Project Sustainability</th>
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<tbody>
<tr>
<td>Organization shows no interest in ensuring project sustainability.</td>
<td>Organization is aware of the need for sustainability however the focus is on the financial sustainability of the organization. Little interest shown in the sustainability of project activities.</td>
<td>Attempts to address questions of project sustainability are reflected in project design, execution and follow-up.</td>
<td>Project results are clearly sustainable even when external inputs come to an end.</td>
</tr>
<tr>
<td>No on-going support to past projects.</td>
<td>No consideration given to the strengthening of community management as a means of sustaining activities at the community level.</td>
<td>Community management incorporated into sustainability strategies.</td>
<td>Management and control of activities have been transferred to communities with some success.</td>
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<tr>
<td>Sustainability of natural resources not taken into consideration in the design of projects.</td>
<td>Environmental concerns are considered occasionally but usually dismissed.</td>
<td>Environmental issues are part of all project designs but given low priority.</td>
<td>Protection of the environment is given serious attention in the design of projects.</td>
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### 3.0 MANAGEMENT PRACTICES

#### 3.1 Governance and Structure

<table>
<thead>
<tr>
<th></th>
<th>By-laws</th>
<th>Organization has no clear idea what by-laws are.</th>
<th>Organization knows what by-laws are and why they are needed but does not have written by-laws.</th>
<th>Organization has basic written by-laws which need improvement.</th>
<th>Organization has appropriate written by-laws. By-laws are consistently applied to run the organization.</th>
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</thead>
<tbody>
<tr>
<td>1.</td>
<td>Government Registration</td>
<td>Organization is only aware that it needs to register with the government.</td>
<td>Organization knows how and where to register.</td>
<td>Organization has applied for registration.</td>
<td>Organization is registered and consistently complies with registration and reporting requirements.</td>
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<tr>
<td>2.</td>
<td><strong>Boards</strong> (Advisory/Governing)</td>
<td>Organization is not aware of Advisory Boards and Boards of Directors, or their necessity.</td>
<td>Organization is aware of Advisory Boards and Boards of Directors and their necessity however does not yet have a board.</td>
<td>The organization has an Advisory Board which is providing some guidance and support; or has established a Board of Directors however the board is either not very active or has an unclear role.</td>
<td>The organization has a functioning governing body (i.e., Board of Directors) with an appropriate balance of skills and experience to be able to assist the organization (e.g., finance, personnel, fund-raising, program). Roles and responsibilities of the governing board are clear and agreed upon.</td>
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<tr>
<td>4. Organizational Structure</td>
<td>No apparent structure. Work is blocked by lack of clarity in roles and responsibilities. Staff often feel they are asked to do things that are not their job.</td>
<td>The organization has a structure which may be written down. Staff are confused about structure and understand the organigram to show lines of power rather than lines of responsibility and communication. Work is sometimes impeded due to lack of clarity in lines of responsibility and communication.</td>
<td>Clear structure with organigram showing lines of responsibility and communication, but not completely appropriate to the needs of the organization. Occasional difficulties arise from unclear lines of responsibility and communication.</td>
<td>Clear structure with organigram showing clear lines of responsibility and communication, which reflects the needs and major activities of the organization. Staff understand their roles, responsibilities and position within the structure. Clear lines of responsibility and communication facilitate the smooth functioning of the organization.</td>
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| 3.2 Leadership | Either indecisive or autocratic, fails to give a clear sense of direction to the organization, or frightens and discourages staff. | Leader's communication and action generally support organization's purpose but at times inconsistent (e.g., top down leadership in an organization implementing participatory community development). Leadership making some effort to develop and clarify purpose for the other staff. | Leader's communication and actions support the goals of the organization. | Leader gives a clear sense of purpose and direction to the organization, is respected and admired, and motivates staff. |

| Organizational Leadership | | | | Leadership able to gain staff agreement on organizational purpose. |

| 3.3 Decision Making | | | | |


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<th>Participation</th>
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<th>Delegation</th>
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<tbody>
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<td>1.</td>
<td>Leader doesn't value participation and team building, has no confidence in staff, does not listen, is autocratic, makes decisions alone, a lot of secrecy.</td>
<td>Leader values only some staff.</td>
<td>Leader values and tries to encourage participation, however not consistently.</td>
<td>Leader demonstrates value of people and staff by listening and being open to ideas.</td>
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<td></td>
<td>Demonstrates belief that most people cannot be trusted with information or to make decisions for the good of the organization.</td>
<td>Information sharing is selective and decisions are sometimes made before asking for input.</td>
<td>Information is shared with staff in the belief that they can assist in making good decisions.</td>
<td>Staff encourage/support each other, and are committed to a team approach to decision making, planning and problem solving. There is transparency, full staff participation, and a sense of ownership.</td>
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<tr>
<td>2.</td>
<td>Leader/supervisors do everything themselves, take all the credit, fearful of losing control, too busy doing their own things to manage staff.</td>
<td>Leader/supervisors delegate tasks by command but do not give enough authority for them to be carried out. Staff told how to do the task but not the reason.</td>
<td>Leader/supervisors delegate tasks. Enough authority is delegated to achieve the task and staff decisions are generally supported. Staff know how to carry out the task and understand how the task relates to overall plans.</td>
<td>Leader/supervisors clearly delegate appropriate levels of responsibility and authority to staff, and staff decisions are supported. Staff take responsibility for, and have the capacity to, develop tasks to carry out assigned activities.</td>
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<tr>
<td>3. Meetings</td>
<td>No meetings.</td>
<td>Irregular meetings, no clear purpose or agenda for meetings which are held. Lots of talking but decisions are not made nor issues resolved. Most staff resent and/or are bored by meetings.</td>
<td>Regular meetings, with purpose and agenda, issues are raised and discussed freely and openly. Decisions are made and documented, plans developed and followed up on. Only some staff participate in discussion.</td>
<td>Regular meetings, clear purpose and agenda, issues are raised and discussed freely and openly. Decisions are made and documented, plans developed and followed up on. Everyone participates in discussions. Staff take responsibility for their own meetings and actively work to make them better.</td>
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<tr>
<td>4. Problem Solving</td>
<td>Problems generally ignored.</td>
<td>Leader attempts to fix some problems, however little attempt made to understand underlying causes of problems.</td>
<td>Management identifying and finding solutions to problems. Staff makes changes only when told.</td>
<td>Entire staff engaged in identifying problems and finding solutions.</td>
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<td>3.4 Organizational Culture</td>
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<td>Internal Communications</td>
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<td>Gender</td>
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<tr>
<td>1.</td>
<td>No communication among staff or between departments. Staff receive information too late or not at all.</td>
<td>No formal communication among staff or departments. Some informal communication or one-on-one meetings. Staff often receive information too late to be of use.</td>
<td>Some formal communication among staff and departments. Staff generally receive information on time.</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Staff show little interest in finding ways to improve their work. Organization does not encourage creative thinking.</td>
<td>Some staff show interest in finding ways to improve their work. The organization does not consistently encourage creativity or innovation.</td>
<td>Many staff show interest in finding ways to improve their work. Organization encourages creativity and initiative however does not know how to plan or follow up on it effectively.</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>No consideration given to gender issues in organizational policies, staffing decisions or management.</td>
<td>Organization says they are addressing gender issues however this is not reflected in policies or actions.</td>
<td>Organizational policies and management practices reflect concern for gender issues.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Organizational policies and management practices reflect serious attempt to address gender issues with some success.</td>
<td></td>
</tr>
</tbody>
</table>
### 4. Conflict Resolution

| There are a lot of major conflicts which do not get resolved and tend to get worse. Conflict is a major block to getting work done. Staff think about various conflicts, not about work. Problems are not acknowledged and no attempt is made to resolve them. | Some staff complaints, but organization's work is not severely affected. Attempts are sometimes made to solve conflicts but without tackling the root causes. | Differences of opinion rarely become conflict. Very few staff complaints. Organization attempts to deal with the root causes of conflict, but not consistently. | Differences of opinion do not become conflict. Very few staff complaints. Organization is aware of a variety of conflict resolution methods. Time spent coming to agreements and promoting the team seen as promoting the work of the organization. |

### 3.5 Information Systems and Reporting

| 1. Information Systems | No systematic procedures for gathering information on program or organizational activities. Some systems in place for collecting information however information collection is erratic. Available information is rarely used in making decisions. | Basic systems in place for gathering information on key program and organizational activities. Some analysis and use of information in making decisions. | Comprehensive systems in place for collecting, analyzing and disseminating appropriate information from both internal and external sources. Information routinely used in making decisions. |
| 2. Reporting | Never writes reports. Reports written but lack relevant, understandable information. | Reports contain relevant information but are not timely, or are not presented in the best possible way. | Timely, relevant, informative, and interesting reports written and submitted to relevant parties. |
## 4.0 HUMAN RESOURCE MANAGEMENT

### 4.1 Human Resource Planning

<table>
<thead>
<tr>
<th></th>
<th>Staff Resources</th>
<th>Staff have the basic skills necessary to do their jobs.</th>
<th>Staff have appropriate skills to do their jobs well.</th>
<th>Staffing levels are appropriate for the work that has been planned – neither too many nor too few.</th>
<th>Staff have high level of skills to do their current jobs, and to assess and improve their work.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Staff lack most of the skills necessary to do their jobs.</td>
<td>Many important organizational tasks are not being done by anyone.</td>
<td>Staff are available to carry out most important organizational tasks however implementation of plans often constrained by lack of staff resources.</td>
<td>Staffing levels are regularly reviewed and adjusted as necessary to reflect changes in organizational needs.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>The organization demonstrates little understanding of the importance of continuing staff development.</td>
<td>The organization has no plans or strategies for developing staff.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>No opportunities for staff development are provided.</td>
<td>Some staff have access to staff development opportunities but these are not always appropriate.</td>
<td>Despite the lack of clear plans, the organization takes advantage of available opportunities appropriately.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The organization has staff development plans and strategies which are clearly linked to organizational plans and the training needs of individual staff members.</td>
<td>The organization has developed staff development plans and strategies but has trouble following them.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Despite the lack of clear plans, the organization takes advantage of available opportunities appropriately.</td>
<td>The organization has developed staff development plans and strategies which are clearly linked to organizational plans and the training needs of individual staff members.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The organization places a high value and priority on continuing staff development.</td>
<td>The organization has developed staff development plans and strategies but has trouble following them.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The organization demonstrates clear understanding of the importance of staff development.</td>
<td>The organization has developed staff development plans and strategies which are clearly linked to organizational plans and the training needs of individual staff members.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
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<td>The organization has developed staff development plans and strategies which are clearly linked to organizational plans and the training needs of individual staff members.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The organization demonstrates understanding of the importance of staff development.</td>
<td>The organization has developed staff development plans and strategies which are clearly linked to organizational plans and the training needs of individual staff members.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## 4.2 Staff Management

### 1. Job Descriptions

<table>
<thead>
<tr>
<th>Description</th>
<th>No written job descriptions. Staff are confused about roles and responsibilities, unclear tasks. This confusion is a block to getting work done.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Status</td>
<td>No formal job descriptions, or job descriptions incomplete, only in English and not working documents. Some understanding of roles and responsibilities. Routine work is carried out with no major problems.</td>
</tr>
<tr>
<td>Status</td>
<td>Job descriptions are written in Khmer and adequate. Roles and responsibilities are clear and generally followed. Individuals take responsibility for carrying out their allotted tasks.</td>
</tr>
<tr>
<td>Status</td>
<td>Written job descriptions are periodically reviewed and updated to reflect changes in roles and responsibilities. Roles and responsibilities are clear and consistently carried out. Staff are flexible in taking on additional responsibilities in response to changes in circumstances.</td>
</tr>
</tbody>
</table>

### 2. Supervision

<table>
<thead>
<tr>
<th>Description</th>
<th>No supervision. Staff left to work independently with very little guidance, monitoring or support. Leader often unaware of who is doing what.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Status</td>
<td>Some supervision but supervisors seem more concerned with control than support. Staff reluctant to raise problems with supervisors.</td>
</tr>
<tr>
<td>Status</td>
<td>Supervisors occasionally provide guidance, advice and support. Staff sometimes willing to raise problems with supervisors, and supervisors raise these issues with top management as necessary.</td>
</tr>
<tr>
<td>Status</td>
<td>Work is monitored on a regular basis through meetings, direct observation in the field and reports. Supervisors consistently provide appropriate guidance, advice, and support. Problems are regularly raised, discussed, resolved and new plans made at all levels.</td>
</tr>
</tbody>
</table>
### 3. Feedback

<table>
<thead>
<tr>
<th></th>
<th>No feedback or feedback is limited to criticism.</th>
<th>Some feedback however not always constructive.</th>
<th>Feedback is provided on a regular basis which is generally constructive, objective and timely.</th>
<th>Staff give and receive constructive feedback which results in positive behavior changes.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff do not know when they are doing good work or how they need to change to do work more effectively.</td>
<td>Feedback rarely effective in reinforcing good work or stimulating necessary changes.</td>
<td>From the feedback, staff know when they are doing good work and how they could work more effectively.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 4.3 Personnel Policies

<table>
<thead>
<tr>
<th></th>
<th>No formal personnel policies are place; the organization does not recognize the need for such policies.</th>
<th>The organization understands the need for developing personnel policies, but does not have anything in writing.</th>
<th>The organization has developed written personnel policies which address most personnel issues in a fair and reasonable manner.</th>
<th>The organization has developed written personnel policies which reflect the organization's values and support the organization's purposes. Procedures in place for regular review and revisions. Policies are consistently applied.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel decisions made on an ad hoc basis, inconsistently, and sometimes unfairly.</td>
<td>Existing informal policies are not consistently applied.</td>
<td>Policies are being applied fairly consistently and respected by all employees, including the leader.</td>
<td>Policies are consistently applied.</td>
<td></td>
</tr>
</tbody>
</table>
## 5.0 ADMINISTRATIVE MANAGEMENT

### 5.1 General Office System

<table>
<thead>
<tr>
<th>1. Office Visibility</th>
<th>2. Files</th>
<th>3. Maintenance of office and equipment</th>
</tr>
</thead>
<tbody>
<tr>
<td>No clear address; very difficult to find office. No mailing address; nobody knows how to reach.</td>
<td>Have files but no clear order.</td>
<td>No maintenance, many things broken, office a mess.</td>
</tr>
<tr>
<td>Have address but hard to locate. Has mailing address but difficult to contact.</td>
<td>Copies kept of all outgoing and incoming communication. Systematic filing system in place, files are labeled in some fashion. Responsibility for maintaining files clearly defined. Often difficult for staff to locate needed information in the files.</td>
<td>Maintenance on an ad hoc basis.</td>
</tr>
<tr>
<td>Office is clearly and appropriately identified. Office hours are posted. Has reliable mailing address which everybody knows.</td>
<td>Copies kept of in/out communications and correspondence log maintained. Systematic central filing system is routinely maintained and reviewed regularly. Critical or sensitive documents are properly stored. Necessary files are easily accessible to staff. Information is readily available, easy and quick to get to.</td>
<td>Office maintenance the responsibility of administration staff only. System in place for maintaining equipment but not consistently followed.</td>
</tr>
<tr>
<td>Office is clearly and appropriately identified. Office hours are posted. Mailing and other contact information publicized through NGO directories.</td>
<td></td>
<td>Entire staff takes responsibility for office maintenance. Everything works and is regularly serviced, things repaired ASAP, and office is clean and organized.</td>
</tr>
</tbody>
</table>

### 5.2 Internal Control Procedures
<table>
<thead>
<tr>
<th>1. Procurement Procedures</th>
<th>No procedures.</th>
<th>Some procedures exist but not followed.</th>
<th>Organization has clear procedures for authorizing procurement of goods and services.</th>
<th>Organization has clear procedures for authorizing procurement of goods and services.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Quotations required from more than one source for purchases over a specified amount.</td>
<td>Procedures generally followed.</td>
<td>Quotations required from more than one source for purchases over a specified amount.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Procedures consistently followed.</td>
<td></td>
<td>Procedures consistently followed.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. Inventory and Stock Control</th>
<th>No inventory or stock control system.</th>
<th>Some items listed on an inventory log.</th>
<th>All items are listed and labeled as required.</th>
<th>All items listed with appropriate identifying information, current location. Inventory list routinely updated and verified.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Stock control system in place but items not always available when needed or else items go missing.</td>
<td>Stock control system in place but heavily bureaucratic.</td>
<td>Stock control system runs smoothly.</td>
<td>Stock control system runs smoothly.</td>
</tr>
</tbody>
</table>

<p>| 3. Travel and Transport | No policy, use of transport abused. | Policy exists, but applied on an ad hoc basis. | Policies written down but not always respected; policies may not be entirely appropriate. | Appropriate written policies on travel and transport in place. All staff understand and respect these policies. |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>6.0 FINANCIAL MANAGEMENT</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>6.1 Accounting</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>1. Bookkeeping</strong></td>
<td>No one is responsible for bookkeeping. No proper records are kept of financial transactions.</td>
<td>Several staff are involved in handling bookkeeping. Transactions not recorded in cashbook on a current basis.</td>
<td>One person designated to handle bookkeeping. Transactions recorded reasonably and accurately however are not consistently recorded on a current basis.</td>
</tr>
<tr>
<td><strong>2. Supporting Documentation</strong></td>
<td>No supporting documents for transactions.</td>
<td>Some transactions are supported by vouchers however no receipts are attached. Some transactions have receipts however no vouchers are prepared.</td>
<td>Most transactions supported by vouchers with appropriate supporting documentation attached.</td>
</tr>
</tbody>
</table>
### 3. Cash Management

| No cash box or safe. No bank account. | Has cash box or safe. Has bank account. |
| No cash reconciliations conducted. | Cash/bank reconciliations conducted but not regularly. |
| Several staff handling money. | Responsibility for handling cash clearly defined. |
| No estimates prepared of cash needs for activities for the next period. Cash on hand often excessive. | No formal estimates prepared of cash needs for activities for the next period however cash-on-hand is generally consistent with needs. |

### 6.2 Financial Management

<p>| 1. Financial Policies and Procedures |
| No set financial policies or procedures. |
| Some financial policies and procedures have been defined however are not put into practice. |
| Financial policies and procedures are in place but not consistently followed. |
| Written financial policies and procedures have been developed and are consistently used to ensure the security and proper use of funds, and accurate and timely reporting to donors and other relevant entities. |
| 2. Financial Reporting | No reports prepared. No one in the organization knows the real financial position of the organization. Unable to inform funders how money was used. | Reports are occasionally prepared. Available reports are of no help in managing the organization or projects. Reports to funders are not prepared in a timely manner. | Regular, reasonable and accurate financial reports are prepared. Senior management has reasonably accurate and timely information on the financial state of the organization. Project managers have reasonably accurate and timely information on the financial status of their projects. Reports to funders usually submitted on time. | Reports done accurately and on a timely basis (monthly, quarterly, etc.). Senior management and project managers have complete, accurate and timely information on the financial status of the organization. Reports to funders consistently submitted on time. |
| 3. Budgeting and Budget Management | No project budgets. No organizational budget. Project and organizational budgets prepared however no attention is paid to these in making spending decisions. | Project and organizational budgets prepared. Expenses are compared with the budget however no action is taken when problems are identified. | Project and organizational budgets prepared. Expenses are compared with the budget and used to make decisions on proposed expenses. Action taken to address any problems which arise. |</p>
<table>
<thead>
<tr>
<th>1. Contacts with other NGOs (Local and International)</th>
<th>Demonstrates no understanding of the importance of making contacts with other NGOs.</th>
<th>Demonstrates some understanding of the importance of making NGO contacts.</th>
<th>Demonstrates understanding of the importance of making contacts within the local and international NGO community.</th>
<th>Demonstrates clear understanding of the importance of making contacts with other NGOs.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Can provide no examples of coordination or partnership with international and local NGOs except for donor.</td>
<td>Participates in regular meetings or makes regular contact with other NGO representatives primarily for information sharing.</td>
<td>Participates in regular meetings or makes regular contact with other NGO representatives on issues of common concern.</td>
<td>Cooperates with other NGOs working in their region or sector.</td>
</tr>
<tr>
<td></td>
<td>Demonstrates little knowledge of other NGOs working in their region or sector.</td>
<td>Demonstrates some knowledge of the work of other NGOs working in their region or sector.</td>
<td>Organizes and leads regular meetings with other NGOs.</td>
<td></td>
</tr>
<tr>
<td>Contacts with Government</td>
<td>Demonstrates no understanding of the importance of building contacts with local or national government.</td>
<td>Demonstrates some understanding of the importance of building government contacts. Can provide no practical examples of coordination or partnership with local or national government ministries or representatives. Demonstrates little knowledge of what local government is doing in their region or sector.</td>
<td>Demonstrates understanding of the importance of building contacts with local and national government. Participates in regular meetings or makes regular contact with government representatives. Demonstrates knowledge of the work of the government departments implementing activities in their region or programmatic area.</td>
<td>Demonstrates clear understanding of the importance of building contacts with local and national government. Participates in regular meetings or makes regular contact with government representatives to coordinate activities or provide input on government programs. Collaborates with government in project delivery, shares human and physical resources.</td>
</tr>
<tr>
<td>Contacts with Technical Community</td>
<td>Demonstrates no understanding of the importance of building contacts with the technical community (e.g., agricultural experts, health experts, technical institutes such as IRRI, etc.).</td>
<td>Demonstrates some understanding of the importance of building contacts with the technical community. Has difficulty in determining technical assistance needs and seeking outside advice.</td>
<td>Demonstrates understanding of the importance of building contacts with the technical community. Is able to determine some needs and find some technical expertise when needed. Participates in meetings and occasionally initiates contact.</td>
<td>Demonstrates clear understanding of the importance of building contacts with the technical community. Is able to determine own needs and initiate contact with technical experts. Participates in meetings or makes contact with experts on a regular basis. Organizes seminars with technical experts for itself and other NGOs and development agencies.</td>
</tr>
</tbody>
</table>
### 7.2 Advocacy

<table>
<thead>
<tr>
<th>Advocacy</th>
<th>Demonstrates no interest in or understanding of the importance of advocacy.</th>
<th>Demonstrates some understanding of the potential role of the organization in advocacy.</th>
<th>Demonstrates understanding of the importance of advocacy and can articulate the organization's position on policy issues.</th>
<th>Advocacy is clearly identified as a part of the organization's mandate and organization's position on policy issues is clearly articulated.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Can provide no practical examples of advocacy work at any level.</td>
<td>Participates in meetings with government representatives to pursue their advocacy goals.</td>
<td>Participates in regular meetings, initiates regular contact with government representatives to pursue their advocacy goals.</td>
<td></td>
</tr>
</tbody>
</table>

### 7.3 Fundraising and Financial Sustainability

<p>| 1. Fundraising | Organization has no one responsible for fundraising and shows no interest in pursuing other sources of funding. | Understands the importance of fundraising however doesn't know how to do it. | Organization devotes staff time to fundraising, and has been able to secure funding from more than one source. | Organization has a clear strategy for raising funds and devotes adequate staff time to implementing this strategy. Funding secured from a variety of different sources. |</p>
<table>
<thead>
<tr>
<th></th>
<th><strong>Donor Fundraising and Relations</strong></th>
<th></th>
<th></th>
<th><strong>Other Fundraising</strong></th>
<th></th>
<th></th>
<th><strong>Beneficiary Contributions</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Demonstrates no understanding of the importance of building contacts with donors.</td>
<td>Demonstrates some understanding of the importance of building contacts with donors.</td>
<td>Demonstrates understanding of the importance of building contacts with donors.</td>
<td>Organization has never considered fundraising from sources other than donors.</td>
<td>Organizations has considered non-donor fundraising strategies but has no clear ideas about how to do this.</td>
<td>Organization able to mobilize some contributions from other sources.</td>
<td>Organization has taken no steps towards mobilizing contributions from beneficiaries.</td>
</tr>
<tr>
<td></td>
<td>Can provide no practical examples of coordination or partnership with donors.</td>
<td>Demonstrates knowledge of donors and trends in donor funding. Regularly makes contact and meets with current and potential donors.</td>
<td>Demonstrates clear understanding of the importance of building and maintaining good relationships with donors.</td>
<td></td>
<td></td>
<td>Organizes has a clear strategy for raising funds from sources other than donors, and is quite successful in mobilizing these other resources.</td>
<td>Organization understands the importance of having beneficiaries contribute to activities and has made some effort to mobilize contributions to project activities (material, financial, labor, etc.).</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Mobilizing beneficiary contributions to project activities are build into the design of activities.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Beneficiaries not only make substantial contributions of resources, they also take active part in making decisions on how local resources are raised and used.</td>
</tr>
</tbody>
</table>
RE: PROVIDING TECHNICAL ASSISTANCE TO YOUR ORGANISATION

The caption above is concerned.

I am a student at the Open University of Tanzania in for the Community Economic Development Masters Programme. I have joined the 2003/2004 programme that began in September 2003. As one of the requirement for the course, I am supposed to work with one local organisation and provide free technical assistance in addressing the organisation capacity building areas in order to increase the organisation's effectiveness. The assistance may involve some training, advice and general sharing of experiences depending on both the organisation needs and my capacity/competence in the specific issues of concern.

I acquired a Bachelor of Science degree in Animal science from Sokoin University of Agriculture and a certificate of Facilitating Organisation Development (FOD) from East African Support Unit for NGOs. I have an experience of two years working in as a facilitator of capacity building for NGOs at the grass root level.

I have heard of your organisation and admired to work with in accomplishing both the organisation objectives and my studies requirements. I therefore request you to allow me to work with your organisation at this end.

Accepting my request also means FLAT's commitment in accepting my facilitation and involvement in the organisation's issues as one of the resource person in your organisation's technical team. I will be available in case you need some other discussion before you make the final decision concerning this request.

Yours truly,

Mbelwa Gabagambi
MSc CED Student
Open University of Tanzania
Ref: FLAT/027/03

MBELWA GABAGAMBI, 06th October 2003
P. O. BOX 80192, DAR ES SALAAM.

Dear Sir,

RE: PROVIDING TECHNICAL ASSISTANCE TO FLAT

The caption above is concerned.

Referring to your letter dated 29th of September 2003 concerning your application for technical provision to FLAT, FLAT has appreciated your interest and agreed your request as we will work together towards the achievement of the desired organization goal.

FLAT management team welcome you for the detail discussion on how we will work together and other terms of agreement.

Yours truly,

JULIANA MWIMA BWIRE
EXECUTIVE DIRECTOR.