Chapter 2:

Holistic Organizational Capacity Assessment Instrument (HOCAI)

CRS
CATHOLIC RELIEF SERVICES

GUIDE

Cover photo: Participants from CRS regions around the world meet in small groups at CRS headquarters during the M&E (monitoring and evaluation) Summit. Photo by Jim Stipe/CRS.

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CHAPTER 2: HOLISTIC ORGANIZATIONAL CAPACITY ASSESSMENT INSTRUMENT (HOCAI)

RICK D'ELIA FOR CRS

Two sisters construct a 20,000-liter cistern for their mother's farm in the semi-arid region of northern Brazil.

HOLISTIC ORGANIZATIONAL CAPACITY ASSESSMENT INSTRUMENT (HOCAI)

THE NEED FOR AN ASSESSMENT INSTRUMENT

Development and humanitarian work take place in increasingly complex environments with growing numbers of people in need. Resources are not sufficient to meet the needs and donors require measurable results, accountability, and indicators of efficiency and effectiveness of project interventions. These trends challenge civil society organizations to improve their performance to operate with maximum efficiency and effectiveness.

Catholic Relief Services' (CRS) Holistic Organizational Capacity Assessment Instrument (HOCAI) is designed to assist organizations to conduct a self-analysis of their strengths and challenges, develop an action plan, and improve organizational functions through capacity strengthening. With HOCAI, CRS creates a standardized framework to help organizations engage in a process of continuous assessment and improvement that will sustain organizational capacities.

INTEGRAL HUMAN DEVELOPMENT (IHD) CONCEPTUAL FRAMEWORK AND HOCAI

The HOCAI is based on the integral human development concept and framework[1]. Both HOCAI and IHD promote the understanding and application of Catholic Social Teaching principles in the practice of humanitarian and development assistance. The IHD concept envisions a world where all people are able to meet their basic needs, reach their full potential, and live with dignity in a just and peaceful society.

The IHD framework uses a lens that focuses on structures and systems, assets, and risks that include shocks, cycles, and trends. The HOCAI, in turn, focuses on the structures and systems of the non-profit organizations working to support communities.

1 A User's Guide to Integral Human Development, Geoff Heinrich, David Leege and Carrie Miller. 2008 http://www.crsprogramquality.org/storage/pubs/general/IHD_userguide.pdf?

THE BENEFITS AND CONSTRAINTS OF ORGANIZATIONAL CAPACITY ASSESSMENT

Among the expected benefits of assessment, action planning, and capacity strengthening are stronger, healthier organizations better able to survive in uncertain times; improved service delivery and financial management; improved partner relations; better stewardship; accountability to donors and constituents; reduced risk; and increased opportunity for growth.

At the same time, there are challenges such as the potential reluctance to initiate a time-consuming and effort-intensive assessment, lack of staff skilled in organizational development, and the challenge of balancing short-term demands with long-term benefits. Using HOCAI allows an organization to explore internal functions and develop plans to improve performance. The data provided by the HOCAI is crucial to organizational health and growth.

GUIDING PRINCIPLES OF HOCAI

- The assessment is highly participatory, open, fair, involving, and empowering.
- The organization commits to open dialogue and transparency on the planning, process, and results of the assessment.
- The organization undertaking the assessment owns the process and outcomes of the assessment.
- The HOCAI is a learning and discovery process that requires open minds and non-judgmental attitudes.
- The assessment is conducted with a long-term organizational development perspective, but specific project perspectives may be priority areas for review and planning.
- The organization should be ready and open to continue capacity strengthening.
- HOCAI does not analyze specific technical or programmatic capacities, such as systems required to implement a child survival project.

TEN CAPACITY AREAS OF HOCAI

Each of the ten capacity areas are broken down into components, and each component contains a series of observable statements. The observable statements are the indicators against which an organization assesses its capacity. Each observable statement is ranked according to the organization's level of achievement and the level of importance the organization attaches to the area or function. A glossary of terms used in HOCAI is found in Appendix 1.

1. *Identity and Governance:* Governance, mission, and culture are the basis for the reputation of organization. It must have clearly defined identities, regulatory frameworks, values, mission statements, and governance structures that establish its identity and a mutually shared understanding of its objectives. Governance of the organization provides legitimacy, leadership, and direction to the organization.

2. *Strategy and Planning:* Strategy defines how an organization will achieve its mission. Strategic planning is an ongoing process that occurs at many levels within the organization for setting objectives and identifying the actions and resources needed to achieve those objectives. Staff and constituents need to be involved systematically in these planning processes and leadership should initiate regular review and modifications of the strategic plan and the operational plan to ensure organizational growth and health.

3. *General Management:* General management includes those components that keep the organization cohesive and on track with its mission. The organization should apply management processes and systems that ensure it uses its resources effectively to achieve its vision and goals and evaluate results.

4. *External Relations and Partnerships:* Building external relations and maintaining healthy and productive partnerships enhances the ability of an organization to achieve its mission by effectively linking with important and influential groups in the broader environment. Effective relationships enable the organization to leverage resource and to network with like-minded groups to influence the policy and regulatory environment.

5. *Sustainability:* Organizations are sustained through ongoing attention to decisions that affect their short and long-term viability – program, management, financial and political.

6. *Organizational Learning:* Organizational learning is a process whereby an organization develops, captures, retains, and applies the knowledge and learning of individuals within that organization. Processes for collaboration through knowledge communities are institutionalized and aid the creation, sharing, adaptation, and use of knowledge.

7. *Human Resource Management:* Human resource management promotes and administers policies and procedures that ensure that staff have the skills, motivation, and opportunity to make their best contribution to the mission of the organization. Human resource management is also concerned with hiring, compensation, performance management, safety, well-being and other components of caring for staff.

8. *Financial and Physical Resource Management:* Financial and physical resources are the tangible assets of the organization. It has the responsibility to exercise good stewardship of those resources --accomplishing programmatic objectives in a cost efficient manner, ensuring that there are effective internal control systems, and maximizing the benefits derived from use of those assets.

9. *Programming, Services and Results:* The programming, services, and results section comprises the programs, services, and products that organizations provide to their constituents. An organization must utilize its resources to deliver quality services to its constituency and measure the impact of those services.

10. *Gender Equality Integration:* Based on CRS' Guiding Principles and vision of Integral Human Development, gender equality (right relations) must be promoted both within organizational structures as well as in programming to bring about sustainable and impactful change in the societies and communities where we work.

A civil society workshop held at CRS office in the city of Dili, capital of East Timor.

HOW TO USE THE HOCAI

The HOCAI is a flexible instrument and is easily adapted to specific organizational contexts and cultures. There are two options for conducting organizational capacity analysis: self-assessment, which is facilitated internally; or external assessment, which brings in a facilitator from outside the organization. The question of which approach to use will depend on the purpose of the assessment and the resources available, such as time, available staff and financial support for the process. Whether internal or externally-facilitated, the assessment must emphasize promotion of meaningful dialogue with the people affected by the process to guarantee their ownership of the process. Regardless of whether an internal or external facilitator is used, the following six steps are proposed:

1. PREPARATION

Basics of the Assessment

The organization’s management team should answer these questions when planning the assessment:

- What do we want to get out of the assessment?
- Are the leadership team and staff committed to this process?
- Do other stakeholders understand and support us in this assessment?
- Have we allocated sufficient resources (time, budget, staff, individuals with the requisite skills and experience to facilitate the process) to conduct the planning, implementation, and follow-up to the assessment?

Establishment of Assessment Team

Once the questions above are resolved, the organization being assessed should develop terms of reference[2] (ToR) to establish the assessment team and spell out its responsibilities. The members assigned should be knowledgeable in organizational development and skilled in facilitation.

Review the HOCAI and Select the Capacity Areas and Components

The assessment team should carefully review all nine capacity areas along with their more detailed components and observable statements. From the nine capacity areas, the team will choose between carrying out a comprehensive assessment of all nine capacity areas or a more selective assessment of capacity areas and components that are the most important to the organization at that time. Next, the team will determine which components, in the selected capacity areas, to include in the assessment. Selection of the capacity areas and components depends on the management challenges and needs that the organization faces at the time of the assessment.

RICK D'ELIA FOR CRS

In Cambodia, CRS has partnered with the local community on an aquaculture project that promotes legal means of fishing and provides safe havens for the fish to grow their population.

Identify Information Sources and Methods for Data Collection

In order to establish a comprehensive understanding of the organization, the views of a wide range of individuals and groups within and outside the organization should be gathered and collated. How many individuals and groups to include will depend on time constraints, people's availability, political sensitivities and geographic location[3]. Preferably, representatives of all stakeholders' groups will participate in the assessment, including staff, board members, volunteers, constituents, and others with a role in the organization's activities and development.

There are several ways to collect data, including in group discussion, in a workshop, or in individual interviews. The method chosen depends on issues such as education and literacy levels of staff, organizational culture, need for transparency and level of trust among staff. The organization being assessed and the assessment team may also wish to adopt a hybrid approach.

2 Example of ToR outline is presented in Appendix 2.

3 Source: A Guide to the WWF Organizational Assessment Process, WWF International 2003

Advantages and disadvantages of data gathering methods:

METHOD	ADVANTAGES	DISADVANTAGES
Group Discussions (Round-table Discussions)	A group process with a facilitator is an efficient way of gathering valuable and detailed information. The approach is transparent, with open discussion of all statements, so senior managers and board members may feel more confident in the results. There can be open discussion of issues not previously discussed.	Dominant people can affect the participation of others and bias the discussion. Requires specific facilitation skills. Must have good note-takers or data may be lost. There is no anonymity in the group, therefore may not be appropriate in low-trust settings.
Workshop	May save time by gathering everyone together for a set period. May bring together those who do not interact frequently (board and staff, program and finance, etc.) Everyone knows what the results of the initial assessment are and can feel ownership.	An unskilled facilitator may not be able to solve problems or resolve conflict in the group, resulting in lost time, effort, and resources. Must have good note-takers or data may be lost. There is limited (or no) anonymity in responses, therefore may not be appropriate in low-trust settings.
Individual Interview	Is relatively objective and neutral. Participants can reflect on the categories, components, and observable statements free from the influence or opinions of others. May be useful for triangulation of data.	Individuals can be seen to be subversive and very subjective. The results need careful and open analysis by the assessment team. Senior management and board must be psychologically prepared for criticism as the individual interviews may reveal weaknesses.

2. PLAN THE ASSESSMENT

The assessment team should prepare the following for the assessment:

- Develop an agenda
- Arrange all logistical issues (e.g., venue, transportation, meals, copying, etc.)
- Prepare handouts, flipcharts, PowerPoint presentations, etc. in advance
- Identify and send a written invitation to the participants
- Assign specific roles that each person will play before, during and after the assessment (e.g., facilitating, reporting, time keeping, etc.)
- Identify a note-taker(s) and review what information needs to be captured and, how it will be recorded, including how individual and small group comments will be recorded

- Include time in the beginning of any event (individual, group, or workshop) for introductions and getting to know one another in order to build trust and comfort in the setting

Prepare the Participants

Before the actual data collection, organize an introductory session on the process. Include the following steps to prepare participants:

- Explain the goal of the assessment and how the data collected will be used. Emphasize when the participants will receive assessment results and how they will be involved in any organizational improvement efforts based on the assessment
- Explain the role of internal and/or external facilitators, note-takers
- Explain the level of confidentiality in the assessment process
- Review the assessment's observable statements and explain the concept of "desired state"
- Provide copies of the HOCAI in advance, so that necessary research may be conducted and confusion on terminology resolved (optional)

3. CONDUCT THE ASSESSMENT

Regardless of the approach selected, the facilitator must maintain a task-oriented yet supportive environment, respecting the contributions of individuals and completing the assessment on time and within the agreed-upon budget. During the process, the participants may ask for explanations of the statements and even challenge the assumptions of the tool. This is normal and encourages participants to reflect critically on the way they work and what needs to change. Facilitate a discussion of whether and how changes to the tool will be made. Finally, participants should be reassured not to worry that they have too many "weak" or "poor" scores – the point of the HOCAI is to identify those areas that are weak and important in a spirit of improvement. Exaggerating scores does the organization a disservice.

It is important to remember that the organizational assessment is not just about identifying capacity strengthening needs; it is also about recognizing and celebrating existing organizational capacities. If this is not done, the feedback workshop may concentrate only on the organizational shortcomings and lead to a negative spiral of demoralization, demotivation and disillusionment – in fact the opposite result of that which is intended.

4. DATA ANALYSIS

Analysis turns the raw information and opinions into knowledge about the organization's capacities that can guide future capacity building interventions[4]. Participation is a key principle for data collection and analysis (and for the whole assessment), with an emphasis on the fact that the organization being assessed take the lead in data interpretation, decision making on priorities and capacity building needs in the spirit of subsidiarity.

The assessment team may decide to group the capacity areas and/or components by their level of priority. Another method of data consolidation may be simply listing all components that have received high priority. Whatever method is chosen, the consolidated data should show the areas for improvement as well as strengths of the organization. Overall, the purpose of this exercise is to determine the general picture of organizational capacity.

The assessment team may also determine the capacity areas or components that received low ratings or where participants did not have sufficient information to rate the component. Make notes on statements or components receiving many "don't know" responses. While the overall performance of the organization in the given capacity area may be strong or good, "don't know" responses for some of the statements or components may demonstrate other organizational development problems, such as poor dissemination of information within the organization, lack of transparency and accountability, or lack of human resource management procedures, etc. It will be important to discuss the "don't knows" to determine the causes and remedies to the situation.

DEBBIE DEVOE/CRS

In Hiyala, Sudan, a member of a community savings and lending group rests in her family compound.

Conduct In-Depth Root-Cause Analysis

Once the list of capacity areas/components that need improvement is developed by consensus, the facilitator should help participants to uncover the nature of the selected areas in order to make the final selection of capacity issues to be addressed. As participants start to analyze data during the assessment process, they may focus on key issues to be addressed. However, the root-cause analysis is an opportunity to learn about the issues more as well as to confirm the ratings. Regardless of the ad-hoc analysis done during the data collection, root-cause analysis will help to sort through all of the data. This analysis suggests that the capacity deficit is attributable to causes and, unless it is addressed as a matter of priority, it is likely to have serious consequences for the organization's ability to achieve its goals.

4 WWF International. (2003). A Guide to the WWF Organizational Assessment Process. Gland, Switzerland.

DAVID SNYDER FOR CRS

Children gather to greet CRS staff members on a field visit to educational and empowerment projects in the migrant community of Madhavi, northeast of Mumbai, India.

A cause is an underlying factor that exists in the community, organization, or external environment that has brought about a problem. Effects are social, environmental, political, or economic conditions, usually negative, that result from the problem[5].

Thus, the facilitator applies *problem tree*[6] analysis to facilitate discussion around the causes of the identified issue and its effects. The facilitator asks participants a series of questions that will help them to identify the causes and effects:

- Write the capacity issue agreed by the participants.
- Ask participants to identify the causes underlying this issue. Responses can come from personal experience and knowledge as well as information uncovered during the assessment.
- As causes are identified, ask, “Why does this occur?” to identify other lower-level causes that contribute to this particular cause. Using tact and sensitivity, keep asking “But why?” or “What explains this?” until participants feel they cannot go any deeper.
- Group the causes into internal and external.
- Show one-way “cause and effect” relationships between the various causal statements.
- Review the capacity issue again and ask participants to identify the effects of the issue.
- As effects are identified, ask “And then what happened?” or “What were the consequences?” to identify other effects until all ideas are exhausted.
- Effects also should be grouped as internal or external to show the consequences to the organization and beyond.

Review the completed problem tree. The following questions can help participants to review, correct and further analyze the problem tree:

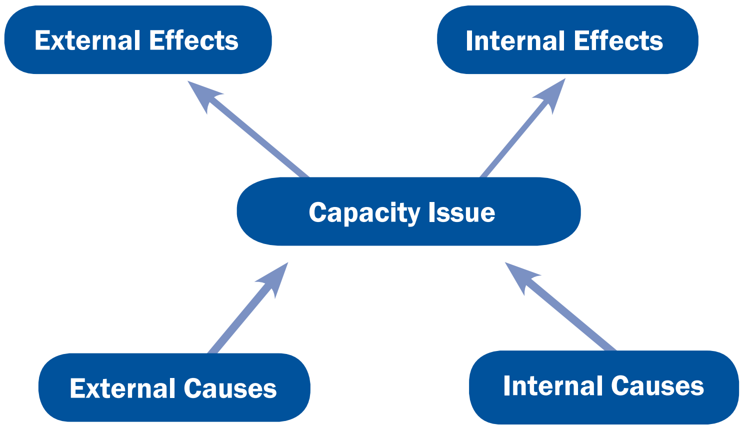
- Does each cause-effect link make sense? Is each link plausible?
- How well have the causes addressed the roots?
- Are there any unidentified root causes?
- What appears to be the relative contribution of each causal stream to the issue?

5 Catholic Relief Services. (2004). Pro Pack I. (Ch. III, page 79). Baltimore, MD: Hahn, S., Sharrock, G. and Stetson, V.

6 Catholic Relief Services. (2004). Pro Pack I. (Ch. III, page 78). Baltimore, MD: Hahn, S., Sharrock, G. and Stetson, V.

- Do some causes appear more than once? Why is this?
- Which causes show significant influence?

For the problem tree analysis, the following diagram could be used:



5. CHOOSE THE CAPACITY AREAS AND COMPONENTS TO BE IMPROVED

Choosing the issues is a crucial step. The ultimate goal is to end up with objectives and a strategy (action plan) that are specifically focused on improving the organizational performance and viability, taking into consideration the context in which the organization operates.

After in-depth root causes, the participants decide on needed improvements, choosing the most urgent capacity areas and components while at the same time being realistic about organizational capacity, using the follow criteria:

- Level of importance for the survival for organization
- Potential to influence organization's success
- Significance for program participants and stakeholders
- Urgency for improvement
- Resources available for improvement actions
- Time available to implement the improvement
- Risk of ignoring the problem
- Possible consequences of the interventions
- Difficulty or ease of improvement[7]

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7 Adapted from Caritas Europa. (2002). *Strategic Organizational Development Approach*. Brussels, Belgium: Hradcová, D. and Karpisek, M.

Having selected the capacity areas and components, the facilitator helps the organization to develop an action plan to improve the identified areas and components. While developing the action plan, the facilitator should make sure that participants understand that they should be able to bring about the needed improvements without external support, as external resources may not be available.

6. ACTION PLANNING

Participants should understand that they should develop a realistic and valid action plan that they can implement over the specified time period taking into consideration all internal and external factors. The action plan must be owned by the organization, not imposed by the facilitator, donors, or other external actors. The components of the action plan may include the following[8]:

Problem statement: description of the identified organizational weakness

Objectives: specific, measurable, achievable, relevant, and timely (SMART); a concise commentary on what the improvement and capacity strengthening effort aims to achieve, and how the organization intends to implement the improvement.[9]

Activities: the steps, or specific activities, necessary to achieve each objective

Approach: the method that will be used in capacity strengthening, such as capacity building, institutional strengthening, or accompaniment

Time frame: the length of time and the deadlines for each action

Persons responsible: the individuals or work units responsible for implementing the activities

Resources: human, financial, and material resources needed to achieve each objective

Monitoring and evaluation: indicators for assessing the achievement of each objective

Champion: the leader, or supervisor, who will provide high-level approval and guidance to the improvement effort

While the problem tree displays "cause-and-effect" relationships, an *objectives tree* shows means-to-end relationships[10]. Negative problem statements,

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8 Example of action plan format is presented in Appendix 3.

9 Catholic Relief Services. (2004). Pro Pack I. (Page 186). Baltimore, MD: Hahn, S., Sharrock, G. and Stetson, V.

10 Catholic Relief Services. (2004). Pro Pack I. (Ch. III, page 81). Baltimore, MD: Hahn, S., Sharrock, G. and Stetson, V.

transformed into positive objective statements, help identify the potential strategies that are available for tackling the core problems. For example, if the problem tree includes "high staff turnover," the objective tree transforms this into the positive objective statement "staff turnover is reduced".

Once the objectives are developed, the facilitator helps participants to brainstorm actions needed to achieve them. This discussion should include identifying forces that may resist or support change and devising a strategy to work with those forces. The data analyzed will help the participants understand what barriers to change exist, know how to improve activities based on an analysis of unintended as well as intended consequences, and understand better the external (political and social) environment.

At this point in the HOCAI process, the temporary assessment team usually completes its work and responsibility for implementation, monitoring and evaluation of the action plan transitions to the organization's management team. The agreed-upon capacity building interventions should be built into the formal planning processes, the strategic and annual plans. Senior managers should ensure that this takes places.

Once the organization's staff and leadership has completed the HOCAI and begun action planning, the relevant chapter(s) should be selected from the Institutional Development guide. The chapters provide information on how to develop or improve business processes and related policies and procedures and help clarify the role and importance of each organizational function, such as human resources, financial management, or governance. The chapters consist of principles, minimum standards and best practices, business processes, references, and tools necessary for effective and efficient fulfillment of the organizational function. After reading the relevant chapters, the organization's staff and leadership should review the steps proposed in the chapters to determine the actions necessary to improve that function and develop a time-bound, specific action plan.

DAVID SNYDER/CRS

Caritas staff members worked hand in hand with CRS during relief operations in Haiti. Days often began at 4 o'clock a.m. and did not end until late at night.

Follow Up

Implementation of the action plan is the most important stage of the organizational development process. Plans are useful only when translated into action. How this happens will depend on the nature of the plans and the commitment of the organization's management to implementing the plan. The organization must establish procedures to monitor implementation plans.

The organizational development process encourages learning by organization members. Monitoring of the action plan's implementation is therefore very important for learning from the past and influencing the future: all participants can learn from success as well as from things that have not gone well. They can review any obstacles they have faced and plan new action to help them move forward. Typically, a review should take place every four to six months based on the indicators in the action plan. It could be useful for the facilitator (if external) to return to the organization and help with assessing progress and identifying lessons learned. An example action plan monitoring report format can be found in Appendix 4.

Finally, the HOCAI reference section provides useful links and recommended reading as well as the sources consulted in the preparation of the HOCAI.

HOCAI ASSESSMENT MATRIX

LANE HARTILL/CRS

In Niger, a man pulls water from the holding tank as his friend pumps water from the well. Because of the location of the wells in a depression behind the village, they never go dry.

I. IDENTITY AND GOVERNANCE

It is increasingly recognized that issues of identity, organizational governance, ethics, and meeting stakeholder needs are crucial to an organization's reputation, integrity, development, and success. Identity and governance are critical to organizational capacity development and must be addressed from the organization's founding. Organizations should make it a priority to have clearly defined identities, regulatory frameworks, values, mission statements and governance structures that promote organizational development.

Catholic organizations may wish to adapt this section to reflect their governance structures, which are often composed of bishops, provincials, or other appropriate religious leaders.

Level of Achievement

A) **Strong**, meets present needs
B) **Good**, will benefit from improvement
C) **Weak**, requires improvement
D) **Poor,** requires substantial improvement
E) **Don't know**
F) **N/A** (Not applicable)

Level of Priority

Top
Medium
Low

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
1. Governance	**I.1.1**	A legally constituted board oversees the strategy and overall vision of the organization.		
	I.1.2	The roles of the board and board committees are defined in the constitution.		
	I.1.3	Board meetings are held regularly; decisions are documented and reflect accountability and stewardship of resources.		
	I.1.4	The board composition includes members who are recognized for leadership and/or areas of expertise and are representative of stakeholders including program participants.		
2. Mission, Vision and Values	**I.2.1**	Mission, vision, and value statements are clear, specific, developed in a participatory manner and are a compelling description of aspirations.		
	I.2.2	Mission, vision, and value statements reflect the needs of the constituency the organization serves.		
	I.2.3	Mission, vision, and value statements are approved by board.		
	I.2.4	Mission, vision and value statements are clearly articulated, known, and understood by stakeholders, community members and staff.		
	I.2.5	Mission, vision, and value statements are incorporated into existing systems and policies.		
	I.2.6	Mission, vision, and value statements are used to guide decision-making and daily activities.		

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
2. Mission, Vision and Values (continued)	**I.2.7**	Organization fulfills its mission and vision without being donor dependent.		
	I.2.8	Mission and vision statements reflect the organization's values.		
	I.2.9	Staff are able to effectively explain the organization's mission, vision, and principles to partners and external stakeholders.		
3. Stake holder Participation	**I.3.1**	Stakeholders are identified through stakeholder mapping.		
	I.3.2	Organization knows and can adequately describe the major stakeholder characteristics.		
	I.3.3	Stakeholder participation occurs through a variety of opportunities such as board membership, fundraising, advocacy campaigns, priority setting, etc.		
4. Organization Constitution	**I.4.1**	Organization is registered and has a constitution.		
	I.4.2	Organization complies with all statutory requirements.		
5. Organizational Culture	**I.5.z**	Organizational culture reflects the mission and vision of the organization.		
	I.5.2	Work ethics encourage sharing, collaboration, and mutuality.		
	I.5.3	Organization respects cultural diversity, language, and religious beliefs.		
	I.5.4	Organization promotes a non-discriminating work environment.		
6. Organizational Structure	**I.6.1**	Organizational structure supports the organization's mission, vision, and values.		
	I.6.2	Organizational constitution and structure clearly separate management and board roles and responsibilities.		
	I.6.3	Organization has an up-to-date organizational chart, which is shared with staff.		
	I.6.4	Organizational chart clearly shows reporting levels and communication channels. Organizational chart reflects the decision making levels and reporting lines within the organization.		
	I.6.5	Administrative structure has a consultative mechanism.		
	I.6.6	All positions on the organizational chart are filled, or there is a plan in place to fill them in the near future.		
	I.6.7	Positions in the organizational structure reflect or represent the organization's staffing requirements.		

II. STRATEGY AND PLANNING

Strategy concerns how an organization achieves its broad long-term objectives by addressing those major structural and/or programmatic issues that are crucial to the long-term viability of the organization and the success of its programs. Planning is an ongoing process that occurs at many levels, for setting objectives that are related to the organization and its programs and for identifying the actions and resources needed to achieve the objectives. Staff and community members (or the organization's constituency) should be involved systematically in these planning processes in order to elicit their input and commitment. In addition, the organization's leadership should initiate regular review and modifications of the strategic and operational plans to ensure organizational growth and health.

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
1. Overall Planning Process	II.1.1	The planning process reflects the organization's core values.		
	II.1.2	The planning process is documented and followed.		
	II.1.3	Relevant data from internal and external sources are used systematically to support and improve planning.		
	II.1.4	The planning process includes consultation with targeted communities and objective analysis of their needs.		
	II.1.5	The planning process includes participatory decision making for priority setting and resource allocation.		
	II.1.6	Responsibility for planning is included in staff job descriptions and staff performance and appraisal system.		
2. Strategic Planning	II.2.1	Strategy reflects the mission, vision, and values of the organization.		
	II.2.2	Strategy promotes human development.		
	II.2.3	Strategic planning exercise is carried out periodically.		
	II.2.4	Senior management leads the development of the organization's strategic plan.		
	II.2.5	Organization has internal expertise, or the capacity to efficiently use external expertise, to guide strategic planning.		
	II.2.6	Strategic plan is developed in a participatory manner that engages staff, stakeholders, and the communities impacted by the strategy.		
	II.2.7	Analysis of the internal and external environment, including major trends, is part of the organization's strategic planning process.		
	II.2.8	The strategic plan is clear, realistic, and achievable.		
	II.2.9	Timeframes for achieving strategic goals and objectives are clearly established.		

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
2. Strategic Planning (continued)	II.2.10	Management uses the strategy to make decisions.		
	II.2.11	Strategy consistently helps drive behavior at all levels of the organization.		
	II.2.12	Initiatives are developed and implemented in ways that are consistent with the organization's strategic plan.		
	II.2.13	Strategy is reviewed and updated periodically in a participatory and representative manner by staff, stakeholders, and communities.		
3. Operational Plans	II.3.1	Operational plans are developed in order to achieve the strategic plan objectives, and the needs of those served by the organization.		
	II.3.2	Operational plans are used to inform budget preparation.		
	II.3.3	Operational plans are detailed and are implementable within a specified timeframe.		
	II.3.4	Operational plans indicate the human, financial, and material resources needed to achieve objectives.		
	II.3.5	Staff uses operational plans for decision making in day-to-day operations.		
	II.3.6	Staff performance and departmental deliverables are linked to the operational plan.		
	II.3.7	Plans are developed or reviewed periodically in a participatory and representative manner by staff and those served by the organization.		
4. Monitoring of Strategic and Operational Plans	II.4.1	Organization has monitoring systems for the strategic and operational plans that report on and communicate progress toward achievement of the plans' objectives to staff and stakeholders.		
	II.4.2	Leadership periodically engages staff to critically reflect on the strategic and operational plans' objectives and uses the information to adjust the plans or their implementation.		

III. GENERAL MANAGEMENT

Organizational management is fundamental to creating an environment that supports continuous improvement of individuals and organizations to provide better goods and services for the communities they serve. It pertains to the general mechanisms intended to lead and coordinate activities and facilitate processes within an organization. Under general management rest the components that keep an organization cohesive and on track with its mission, such as leading, organizing, overseeing, and controlling. Organizations should apply management processes and systems that ensure the organization uses its resources effectively to achieve its vision and goals and evaluate results. It is critical that management systems are transparent and easily understood.

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
1. Management	III.1.1	Senior management provides leadership for policy, planning, operations, process integration, and coordination in line with the strategic plan.		
	III.1.2	Management ensures the organization has a sufficient number of staff and all have relevant qualifications and experience.		
	III.1.3	Management oversees appropriate information, reporting, and coordination systems.		
	III.1.4	The decision-making process is consultative to the extent possible and management communicates a clear and timely rationale on decisions made to those concerned.		
	III.1.5	Periodic reviews of management practices and organizational capacities are part of organizational self-assessments.		
	III.1.6	Management ensures the organization has up-to-date administrative, finance, and personnel policies and procedures available and adhered to by all staff.		
2. Reporting and Information Management	III.2.1	There are up-to-date procedures in place for internal and external reporting and information exchange, and the procedures are followed by all staff.		
	III.2.2	All organizational documents are systematically filed and archived according to documented procedures and are made available to all concerned parties as needed.		
	III.2.3	Staff at all levels adhere to established communication protocols.		
	III.2.4	Confidential personnel files are kept for each employee and access is provided according to local law requirements and a specified procedure.		
3. Team Relationships	III.3.1	Management supports a constructive and supportive team environment.		
	III.3.2	There is mutual respect, trust, and cooperation among employees at all levels of the organization.		

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
3. Team Relationships (continued)	III.3.3	Scheduled team-building activities enable open team communication and collaboration and promote staff morale.		
4. Change Management	III.4.1	Senior management embrace and support change opportunities towards organizational improvement and growth.		
	III.4.2	Management provides the human, material, and financial resources to support and reward approved change initiatives.		
5. Risk Management	III.5.1	Senior management ensures the strategic planning process incorporates assessment of risks that jeopardize the values, credibility, or viability of the organization.		
	III.5.2	Internal control systems and mechanisms are in place for periodic reviews to ensure compliance and reduce risk.		
	III.5.3	Internal controls and risk management responsibilities are assigned to relevant staff that is held accountable.		
	III.5.4	The Chief Executive reviews all audit reports and ensures audit findings are addressed.		
	III.5.5	Staff is aware of compliance requirements and mechanisms exist to confidentially report instances of noncompliance to management without fear of retribution.		
	III.5.6	Management ensures operational and/or contingency plans are designed and implemented to address current or potential risks		
	III.5.7	An external advisory board or similar structure keeps the organization apprised of major trends that could pose serious risks to the organization or to those it serves.		
	III.5.8	Organization has controls in place to limit or reduce spending in the event of a revenue shortfall.		
	III.5.9	Organization has established financial contingency measures to minimize operational disruptions resulting from emergencies or other unplanned events.		
	III.5.10	Organization evaluates all insurable risks and takes the appropriate action.		
	III.5.11	Assets are not subject to any conflicts and/or litigation.		

IV. EXTERNAL RELATIONS AND PARTNERSHIPS

Building external relations and maintaining healthy and productive partnerships is essential for a non-profit organization to achieve its goals. This is a process by which the organization will promote strategic alliances and partnerships with various groups, such as policy makers and other stakeholders; develop communication and information dissemination strategies; set up adequate systems to monitor the effectiveness of partnerships; and enhance relations with donors and the general public in order to be recognized and respected, and therefore be able to adequately leverage resources. External relations involve a diversity of actors working to increase the influence of the organization, which can help it to achieve its goals and make it less vulnerable to changing economic circumstances.

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
1. Relations with policy makers	IV.1.1	Organization has strategies in place to seek alliances with other groups and networks that advocate for the same issues and purposes.		
	IV.1.2	Organization establishes relationships with policy makers to advocate for application and/or creation of laws, regulations and policies that address the root causes of systemic issues and problems.		
	IV.1.3	Organization understands its role in advocacy or development of public policy and participates in advocacy activities.		
	IV.1.4	Organization strengthens its relationship with government without compromising its integrity and independence.		
	IV.1.5	Organization is involved in task forces or working groups with government.		
	IV.1.6	Organization possesses communication, information sharing, and dissemination strategies to inform and influence policies.		
2. Partnerships	IV.2.1	Organization makes programmatic and technical linkages with national and international organizations and the private sector in order to gain leverage and resources that enhance its ability to accomplish its mission.		
	IV.2.2	Organization prioritizes membership in coalitions, networks and alliances, and plays leadership role as appropriate.		
	IV.2.3	Organization has written agreements for its partnerships, which help to define and foster trust and cooperation.		
	IV.2.4	Organization consults regularly with major stakeholders to promote debate on policy issues, advocacy, needs assessment, funding, project design, implementation, and monitoring and impact assessment.		

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
2. Partnerships (continued)	IV.2.5	Information about current or planned services, other activities, and results are routinely shared with intended beneficiary communities and other stakeholders.		
	IV.2.6	Organization monitors the effectiveness of its partnerships with other organizations through reflections and documented reports.		
3. Relations with donors	IV.3.1	Organization is successful in leveraging resources from the government and donors for itself, its partners and communities.		
	IV.3.2	Organization is known, recognized, and respected by international and local donors, other civil society actors, and government officials as appropriate to organization's capacities and to the socio-economic and political environment.		
4. Public relations	IV.4.1	Organization has a public relations strategy, which is used and regularly monitored and evaluated.		
	IV.4.2	The person responsible for public relations has the necessary qualifications for that purpose.		

V. SUSTAINABILITY

Creating sustainable institutions is at the heart of organizational development. Sustainability means that long-term perspectives are applied to all actions that concern the organization and its programs. Organizations and their programs are sustained through ongoing attention to making decisions that meet not only short-term requirements, but also ensure the long-term viability of the organization and the continuation of the benefits of its programs after the organization's support for those programs ends. The mechanism for sustainability may be the continuation of the organization or it may be the assumption of responsibility for service delivery by the community and/or constituency.

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
1. Program sustainability	V.1.1	Program is focused and prioritized to reflect the values and strategic direction of the organization and advances the mission.		
	V.1.2	The community has ownership of the benefits that result from program implementation.		
	V.1.3	Organization is a recognized leader in its core program areas.		
	V.1.4	Program is designed and implemented equitably, inclusive of those who are most vulnerable and in need of access to program services.		
	V.1.5	Sustainability strategy is incorporated into all programs.		
	V.1.6	Program addresses gender and other equity concerns.		
	V.1.7	Program delivery systems and structures are appropriate to program scale, flexible and adaptive to changes in strategic direction.		
	V.1.8	Increasing numbers of people benefit from program.		
	V.1.9	Program has potential for replicability and scaling up.		
	V.1.10	Program has clear exit strategy understood by all concerned.		
2. Organizational sustainability	V.2.1	Management has the full support of its board or other governing structures in fulfillment of its mission, vision, and maintaining autonomy vis-à-vis donors.		
	V.2.2	Organization has internal capacity, networks, and reputation to attract and retain qualified staff that adheres to its mission and values.		
	V.2.3	Organization management systems and structures are flexible and adaptive to program scale and changes in strategic direction.		
	V.2.4	Senior management actively promotes leadership development and the advancement of new leaders within the organization.		

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
2. Organizational sustainability (continued)	V.2.5	There is a culture of and written guidelines for accountability and transparency, with repercussions if they are violated.		
	V.2.6	Organization monitors the effectiveness of its partnerships with other organizations as documented through reports.		
3. Financial and resource sustainability	V.3.1	Organization ensures that its operations are cost effective and competitive with similar organizations.		
	V.3.2	Organization's cash flow is consistently adequate to meet operational requirements.		
	V.3.3	Organization manages its assets to control costs and, as appropriate, to maximize income for financial viability.		
	V.3.4	Organization uses natural resources sustainably.		
	V.3.5	Organization generates credible proposals and concepts and demonstrates the cost effectiveness of its projects.		
	V.3.6	Organization is supported by a diversified resource base without overdependence on a single funding source.		
	V.3.7	Organization has identified local resources to supplement funding from foreign donors.		
	V.3.8	Organization has strategies and mechanisms consistent with its core program areas which are efficient for generating sustainable income for a portion of its operating costs.		
	V.3.9	Organization's fundraising strategy is linked to the strategic plan with a goal of ensuring continuity of core programs.		
	V.3.10	Organization's fundraising process is integrated with financial administration system and is monitored and adjusted on an ongoing basis.		
	V.3.11	Organization has qualified staff and systems in place to access, manage and account for resources from diversified donor sources.		
	V.3.12	Organization fundraising costs, as a percentage of program costs, are competitive with similar organizations.		
	V.3.13	Organization ensures that its operating and service delivery costs are cost effective and competitive with similar organizations.		
	V.3.14	Organization's cash flow is consistently adequate to meet operational requirements.		

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
3. Financial and resource sustainability (continued)	V.3.15	Organization manages its assets to control costs and, as appropriate, to generate income for financial viability.		
	V.3.16	Organization has a clear policy for the use of its land and assets that provides for economic gain for the organization on targeted population.		
	V.3.17	Assets are free from conflicts and litigation.		
4. Political Sustainability	V.4.1	Organization is professionally credible in its core program areas and has established legitimacy with communities and stakeholders.		
	V.4.2	Organization is able to mobilize internal and external support for its programs.		
	V.4.3	Organization contributes to the development, environment, growth, and effectiveness of the civil society sector.		
	V.4.4	Organization's partnership with government and policy makers, through participation in working groups and other structures, informs the policies and guidelines in which its programs operate.		
	V.4.5	Organization uses its values and perspective on human development to influence the priorities and guidelines of international organizations and donors.		
	V.4.6	Organization has fostered a loyal constituency within the community and has a respected public image.		
	V.4.7	Organization assists communities to develop representational and advocacy skills to enhance linkages with public and private institutions.		
	V.4.8	Organization has capacity to produce local evidence of the needs and the effectiveness of its programs and to communicate these to government, donors, other stakeholders and the public.		

VI. ORGANIZATIONAL LEARNING

Organizational learning is a process whereby an organization captures, retains, and applies the knowledge and learning of individuals within the organization. Individual knowledge and collective experience are brought together to improve the organization's performance. As much knowledge as possible is captured (written down or recorded in another medium), shared, and retained for future use. Processes for collaboration through knowledge communities aids the creation and sharing of knowledge.

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
1. Organizational learning strategy	VI.1.1	Organization has a learning strategy outlining how the knowledge that is essential for making decisions and meeting priorities will be built, maintained, and applied.		
	VI.1.2	Managers communicate a priority on knowledge sharing and learning in written and/or verbal messages.		
	VI.1.3	Managers allocate human, material, and financial resources to support the organizational learning strategy.		
	VI.1.4	Managers reward and recognize staff that help others, document and share learning, and innovate.		
	VI.1.5	Managers demonstrate how data from monitoring and evaluation and other learning processes are used to make decisions.		
	VI.1.6	Managers actively use sharing processes and tools.		
2. Critical reflection processes	VI.2.1	Staff and leadership reflect upon and analyze experiences and data for decision making relating to management practices and programming.		
	VI.2.2	Staff and leadership regularly reflect upon projects, programs, and strategies before, during, and after their implementation and document lessons learned and best practices.		
	VI.2.3	The organization incorporates lessons learned and best practices into organizational practices and program activities.		
3. Documenting, storing, and sharing knowledge	VI.3.1	Staff actively manage the knowledge base by creating knowledge products, collecting externally-created knowledge products, and keeping products up-to-date.		
	VI.3.2	Documented knowledge is in formats that present information most relevant to the target audiences.		
	VI.3.3	All staff easily access and add to the knowledge base regardless of rank or responsibility.		
	VI.3.4	Storing and sharing technologies appropriate to location, resources, and users' capacities are in place.		
	VI.3.5	Knowledge is shared externally with peer organizations, donors, and participants so that they can utilize the knowledge of the organization to improve their practices.		

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
4. Communities of practice	VI.4.1	The organization has in place processes and tools to help staff connect with each other to request and provide assistance.		
	VI.4.2	Staff share and collaborate within communities of practice to exchange information, discuss challenges, develop best practices, and innovations.		
	VI.4.3	Staff applies knowledge acquired from communities of practice.		
	VI.4.4	Organization actively participates in networks of peer organizations to jointly develop sector-wide best practices.		

VII. HUMAN RESOURCE MANAGEMENT

Human resource management is the organizational function that deals with issues related to people such as compensation, hiring, performance management, safety, wellness, benefits, employee motivation, communication, administration, training, and spirituality. Human resource management applies a coherent approach to the management of an organization's most valued assets: the people who individually and collectively contribute to the achievement of the organization's objectives. The people in the organization must have the skills, motivation, and opportunity to make the best contribution to the organization that they are capable of and which it requires. They also need to be organized and to relate to each other in ways that are most conducive to productive outcomes.

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
1. Human Resource Capacity	VII.1.1	Organization has adequate number and quality of staff to successfully complete tasks and programs and achieve the organization's mission.		
	VII.1.2	Organization is able to attract and retain qualified staff to achieve its goals.		
	VII.1.3	Organization staffing patterns includes a fair representation of the identity groups of the people it serves and the communities in which the organization works.		
	VII.1.4	Organization attends to the particular issues of women and other marginalized groups in its policies and practices.		
	VII.1.5	Staff is fully committed to the organization's mission.		
	VII.1.6	Staff feels the organization provides a safe and healthy work environment.		
	VII.1.7	Organization has the human resources capacity to create innovative and effective programs that meet recipient needs.		
2. Human Resource Management Systems	VII.2.1	The human resource management team is led by a qualified and experienced person.		
	VII.2.2	Organization dedicates qualified staff to manage each of its major operational units.		
	VII.2.3	Human resource policies and procedures reflect the organization's values and principles.		
	VII.2.4	Human resource policies and procedures are documented and accessible to staff.		
	VII.2.5	Human resource policies and procedures are based on local labor law and contain specific sections to protect the rights of all individuals, including sexual harassment, nepotism, and conflict of interest.		
	VII.2.6	Human resource policies and procedures are applied fairly and consistently.		
	VII.2.7	The organization's policies and procedures are regularly monitored and modified, as necessary, with input from the staff.		

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
3. Recruitment and Staffing	VII.3.1	Accurate and up-to-date job descriptions exist for each staff and volunteer position based on the mission of the organization and the requirements of the position.		
	VII.3.2	The recruitment process is documented, transparent, and competitive.		
	VII.3.3	Selection criteria for staff and volunteers correspond with the requirements of the position and the needs of the organization.		
	VII.3.4	Organization provides each new staff member with an orientation on its guiding principles, values, and programs.		
	VII.3.5	Confidential personnel files are kept for each staff member with documentation of offer letters, salary increases, promotions, etc.		
	VII.3.6	Every employee has access to his or her own personnel file based on local labor laws or accepted practice.		
	VII.3.7	The organization provides staff with adequate resources to do their work.		
	VII.3.8	Job descriptions are discussed between the employee and the supervisor and modified as needed according to a defined procedure.		
4. Compensation and Benefits	VII.4.1	The organization has a procedure in place to determine salary scale and for periodic reviews of the scale.		
	VII.4.2	Salaries and benefits are based on the organization's mission and principles, and aim to be competitive with similar organizations in the country or region.		
	VII.4.3	The compensation and benefits package is consistent with provisions of national labor law.		
5. Performance Management Systems	VII.5.1	Staff works with supervisors to set their own work plans and believes the plans adequately represent their responsibilities.		
	VII.5.2	Work performance goals are challenging and provide opportunity for staff to demonstrate initiative and creativity.		
	VII.5.3	A documented and functional system guides regular and systematic performance feedback, mentoring sessions, and annual appraisals for staff and volunteers.		
	VII.5.4	A documented, functional, and regularly updated system guides recognition and reward of staff and volunteers, including promotions and other rewards.		
6 Staff Development	VII.6.1	All employees feel they have a fair opportunity for promotion.		

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
	VII.6.2	Opportunities for promotion are advertised and clearly identify the work and skills required.		
	VII.6.3	Organization has a documented system to promote the development of each staff member and mechanisms to follow up on use of new capacities.		
	VII.6.4	Staff has a development plan that is tied to achieving individual performance and the organization's objectives.		
	VII.6.5	Staff development objectives include opportunities for promotion, on-the-job learning, mentoring, and guidance from fellow workers and trainings.		
	VII.6.6	Career path options and internal and external opportunities to upgrade skills are made available to all staff.		
	VII.6.7	Organization has a budget for staff development and training.		
7. Resolving Grievances and Managing Conflict	VII.7.1	Management welcomes input from a wide variety of staff into discussions and decisions.		
	VII.7.2	Organization uses a documented grievance and conflict resolution procedure that is easily available to staff and volunteers.		
	VII.7.3	The grievance and conflict resolution procedure assures reasonable confidentiality to those involved and staff and volunteers feel secure to use it.		

VIII. FINANCIAL & PHYSICAL RESOURCE MANAGEMENT

Financial resources, for the purpose of this document, consist of an organization's tangible assets. Assets are the properties owned by a company or organization. Any physical thing owned that has a monetary value is an asset. All organizations have the responsibility to exercise good stewardship of the resources with which their donors have entrusted them. Good stewardship entails accomplishing programmatic objectives in a cost efficient manner, ensuring that there are effective internal control systems to protect assets from theft or misuse, and maximizing the benefits derived from use of those assets.

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
1. Financial Personnel	VIII.1.1	The organization dedicates a sufficient number of staff to perform its finance function with a designated head that has relevant experience and the educational qualifications necessary to perform that role.		
	VIII.1.2	The head of the finance function takes part in all decisions affecting finance staff changes.		
2. Financial Systems	VIII.2.1	The organization maintains a formal general ledger with double-entry bookkeeping.		
	VIII.2.2	All financial transactions are recorded in the general ledger, for which one employee has the primary responsibility.		
	VIII.2.3	Accounting cycles and periods are defined and closing procedures are followed.		
	VIII.2.4	The organization has a chart of accounts that separately identifies all assets, liabilities, revenues, and expenses.		
	VIII.2.5	The general ledger or a subsidiary ledger categorizes all expenses by project, activity, or department.		
	VIII.2.6	The general ledger, whether manual or computerized, is secured to maintain the integrity of the data.		
3. Documentation and Record keeping	VIII.3.1	Standard entry forms are used for recording cash receipts, cash disbursements, and journal entries in the general ledger.		
	VIII.3.2	All documents, including original invoices and approvals, that support the accounting entries are kept on file as required by local law or the requirements of the grant, whichever is longer.		
	VIII.3.3	Standardized time records are used to capture all time charges.		
4. Internal Control	VIII.4.1	The organization has formal processes for requisitioning, authorizing, purchasing, and receiving goods and services and requires standardized documentation as support for those activities.		

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
4. Internal Control (continued)	VIII.4.2	Multiple bids are obtained and documented for purchases above a stated level.		
	VIII.4.3	The organization has formal processes for recording cash receipts and disbursements and requires standardized documentation for those transactions.		
	VIII.4.4	All cash and financial instruments are physically safeguarded at all times.		
	VIII.4.5	The organization uses an expenditure authorization chart that shows the approval levels for all commitments and disbursements.		
	VIII.4.6	Signatories are designated for each bank account, signature cards are kept on file, and all bank accounts are held in the organization's name.		
	VIII.4.7	The organization strives for segregation of duties or has additional controls in place when that goal is not achievable.		
	VIII.4.8	The organization complies with all external audit requirements and results of audits are made available to all concerned parties.		
	VIII.4.9	Organizational management takes prompt and appropriate corrective action when fraud has been detected.		
	VIII.4.10	A monthly bank reconciliation is prepared by an employee who does not receive or disburse cash and is approved by a senior manager.		
5. Financial Reporting	VIII.5.1	The general ledger is used as the basis of all financial reporting. Regular internal and external financial reporting is made available to management, donors, and other interested parties using required formats and in accordance with established deadlines.		
	VIII.5.2	Finance and the respective budget managers are required to investigate and report to management on significant variances or unusual balances noted during reviews of actual results versus budget.		
	VIII.5.3	Management responds to reported variances and takes the appropriate action.		
	VIII.5.4	The organization's total cash, investments, and receivables have consistently equaled or exceeded its liabilities during the last three years.		
	VIII.5.5	Balances in all asset and payable accounts are analyzed at least quarterly and the reports are submitted for management review.		

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
6. Inventory Management	VIII.6.1	The organization uses a manual or documented process that specifies the storage and recordkeeping requirements for all inventoriable items.		
	VIII.6.2	All goods, including commodities or livestock received or purchased by the organization, are properly maintained and kept in an appropriate, secured storage facility.		
	VIII.6.3	There is a warehouse manager who oversees the recordkeeping, maintenance, and security for goods stored in the warehouse.		
	VIII.6.4	The storage facility is guarded at all times.		
	VIII.6.5	All warehoused goods are independently counted at prescribed intervals and significant differences between counts and inventory records are investigated and reported to management.		
	VIII.6.6	All inventory activity, including incoming/outgoing shipments and inventory count differences, are documented using standard forms and recorded in a warehouse ledger.		
	VIII.6.7	Inventory reporting is submitted to organization management and to donors using prescribed formats and within established deadlines.		
	VIII.6.8	Inventory reporting has an audit trail that enables reviewers to trace all reported inventory activity and balances back to the warehouse ledger and other support documents.		
	VIII.6.9	The storage, shipment, distribution, and reporting of goods donated or funded by donors is performed in compliance with donor requirements, where applicable.		
7. Property, plant, and equipment	VIII.7.1	Organization has a policy that indicates which property acquisitions are to be capitalized, the various asset categories, the approvals needed for acquisitions and disposals, and the estimated useful life for each asset category.		
	VIII.7.2	Plant and equipment, purchased or received as donated property, are charged off to expense using depreciation over their estimated useful lives.		
	VIII.7.3	Organization's plant and equipment are secured at all times.		
	VIII.7.4	Organization maintains records to support its property, plant, and equipment acquisitions and disposals.		

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
7. Property, plant, and equipment (continued)	VIII.7.5	Plant and equipment assets are independently counted at prescribed intervals. Results of the counts are recorded, summarized, and reconciled to the fixed asset records. Count differences are investigated and brought to the attention of management.		
	VIII.7.6	The purchase, use, storage, and disposal of equipment donated or funded by donors is performed in compliance with donor requirements, where applicable.		
8. Receivables Management	VIII.8.1	All amounts advanced to other organizations, vendors, or employees are accounted for as open receivables in the organization's general ledger.		
	VIII.8.2	Organization follows a documented policy that states when each type of receivable or advance is due.		
	VIII.8.3	Management takes prompt action to collect or resolve open receivable balances.		
	VIII.8.4	Schedules that show the amounts due from each party and the dates when the amounts were advanced are prepared at least quarterly, reconciled to the general ledger, and submitted for management review.		
9. Budgeting	VIII.9.1	All managers participate in a budgeting process that is an integral part of the operational plan.		
	VIII.9.2	The annual budget shows both projected revenues and expenses and is approved by the Chief Executive or board.		
	VIII.9.3	Budgets for existing projects and estimates for proposed projects are incorporated into the annual budget and amended when necessary.		
	VIII.9.4	Allocations in the budgeting process closely reflect organizational priorities.		
	VIII.9.5	If multiple donors fund a single project, the funding and related expenditures are separately identified by donor in the accounting records.		
	VIII.9.6	There are systems to control budgetary spending.		

IX. PROGRAMMING, SERVICES AND RESULTS

This section comprises the programs, services, and products that organizations provide their constituents. These outcomes are the strongest indicators of the success and effectiveness of the organization. Organizations must utilize their resources, including sectoral expertise, to deliver quality services to their constituents. In addition to designing and implementing quality projects and programs, organizations should be able to determine and to measure the impact of those programs. Stakeholder participation in project functions, especially with regard to traditionally under-represented populations, and community participation are emphasized.

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
1. Sectoral expertise	IX.1.1	Organization's areas of sectoral expertise support it in achieving its mission.		
	IX.1.2	Organization maintains an adequate staffing base of sectoral experts.		
	IX.1.3	Organization is able to quickly access external, temporary consultants to provide technical services.		
	IX.1.4	Organization is recognized publicly for providing quality products and/or services to its constituents.		
	IX.1.5	Organization collaborates with other civil society actors to design and implement projects with complementary services.		
	IX.1.6	Organization is capable of adapting project and service delivery to the changing needs of constituents.		
2. Project Stakeholder engagement	IX.2.1	Organization has a standardized, participatory process for conducting stakeholder analyses and project staff applies it across all projects.		
	IX.2.2	Primary stakeholders are satisfied with the organization's services, projects, and programs.		
	IX.2.3	Project staff actively engages stakeholders to design, improve, and modify the planning and implementation process.		
	IX.2.4	Organization analyzes and designs projects based on impact to non-beneficiary or stakeholder populations to mitigate conflict.		
	IX.2.5	Organization collaborates with stakeholders to optimize the use of natural resources.		
3. Community participation	IX.3.1	Organization proactively uses community feedback in all phases of project development and management using transparently selected, representative community groups.		
	IX.3.2	Traditionally under-represented community groups derive benefit from project activities.		
	IX.3.3	Projects routinely build on local knowledge and best practices.		

4. Program Development	IX.4.1	Staff uses a specific organizational method for designing and implementing projects.		
	IX.4.2	Staff-designed and implemented projects support the mission, strategy, and principles of the organization.		
	IX.4.3	Organization uses participatory approaches and a sustainability strategy across projects to enhance community ownership.		
	IX.4.4	Organization documents and enforces a standard ensuring that projects do no harm. Communities or populations served are better off than without the intervention.		
	IX.4.5	Projects challenge social structures that limit the full participation, rights, or dignity of marginalized people.		
	IX.4.6	As applicable, the organization provides sound natural resource management in its interventions.		
	IX.4.7	As applicable, the organization supports civil society actors' abilities to advocate for social change in its interventions.		
	IX.4.8	Organization mainstreams gender equity into programming.		
5. Project design and implementation	IX.5.1	Staff develops well-written, logical proposals using donor language.		
	IX.5.2	Staff develops concept notes that provide donor-requested information.		
	IX.5.3	Staff submit responsive, timely proposals (and concept notes as requested) to donors.		
	IX.5.4	Staff develop project objectives that are results (output/impact) oriented rather than input- or activity-driven.		
	IX.5.5	Staff develops proposals, budgets, and budget notes concurrently and has peers review the draft and provide commentary for improvement.		
	IX.5.6	Organization develops output and impact indicators for its projects.		
	IX.5.7	Organization tracks progress against impact indicators.		
6. Monitoring, evaluation and reporting	IX.6.1	Organization has well-designed monitoring and evaluation systems which deliver clear quantitative and qualitative information and analysis on program processes and outcomes in relation to program goals and objectives.		
	IX.6.2	Management systematically monitors, evaluates, and reports on projects.		

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
6. Monitoring, evaluation and reporting (continued)	IX.6.3	Organization uses the information gathered from evaluations to develop more sustainable projects.		
	IX.6.4	Organization uses what it learns from mid-term evaluations to revise its project strategy to better achieve project goals and objectives.		
	IX.6.5	Organization measures the impact of its services on both male and female participants.		
	IX.6.6	Project staff conduct continual gap assessments on the ability of existing programs to meet recipient needs and makes adjustments as necessary.		
7. Quality of services	IX.7.1	Organization measures the service quality it provides. Services rendered reach the intended project participants.		
	IX.7.2	Organization collects and uses feedback from project participants on service quality to improve services.		
	IX.7.3	The quality of service delivery helps the organization achieve its strategies and mission.		

X. GENDER EQUALITY INTEGRATION[12]

CRS' Guiding Principles, inspired by Catholic social teaching, compel CRS to promote right relationships among all people by ensuring that men, women, girls and boys have the opportunity, capacity, voice, and support they need to realize their full potential, and to reduce disparities and imbalances including those which exist between males and females. In addition, CRS' vision of Integral Human Development (IHD) highlights the need to transform society's unjust structures and systems, ensuring full participation in social, economic, political and cultural life including the fair balancing of one's rights and responsibilities in relationships in which men, women, boys and girls participate within families, communities and society.

With the recognition that right relations must be promoted both within organizational structures as well as in programming to bring about sustainable and impactful change in the societies and communities where we work, this domain of the HOCAI is comprised of two sub-sections. The first is focused on gender equality in organizational dimensions (Policies and their Application; Staffing, Recruitment, Promotion, and Retention; Work Environment and Leadership), and the second is focused on gender equality in programming dimensions (Program Planning, Design, and Implementation; and Monitoring, Evaluation, and Learning).

When administering Domain 10 with Catholic church partners, observable statements 10.2.2 and 10.2.3 may be difficult to complete given doctrine that reserves certain positions for male clergy. If, after discussion, these statements are found not to apply to a Church partner, they may mark "N/A - Not Applicable.

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
1.Organizational Dimensions: Policies and their Application	X.1..1	The organization follows a documented gender equality policy or strategy.		
	X.1.2	The organization follows a documented equal opportunity policy.		
	X.1.3	The organization has flexible work arrangements available (e.g. working from home/ telecommuting, alternate work hours, etc.).		
	X.1.4	The organization follows a documented maternity leave policy.		
	X.1.5	The organization follows a documented parental leave policy.		
	X.1.6	The organization follows a documented policy to accommodate staff to care for their children and other dependents.		
	X.1.7	The organization follows a documented policy on the prevention and punishment of harassment, including sexual harassment.		
	X.1.8	All staff are briefed on the above policies as part of an on-boarding/ new hire procedure.		

12 If the partner being interviewed finds the terminology "gender equality" to be so controversial that it prevents continuation of the use of this domain, staff may name this tool "Promoting right relationships among men, women, boys and girls" instead.

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
2. Organizational Dimensions: Staffing, Recruitment, Promotion, and Retention	X.2.1	The organization's staff is made up of an equal ratio of women to men.		
	X.2.2	Women and men are equally represented among the organization's senior management team.		
	X.2.3	The organization has proactive strategies to improve its gender staffing ratio, including at senior management levels.		
	X.2.4	Recruitment processes screen candidates for their gender sensitivity (gender-related questions are included in job interviews to understand candidates' gender-related attitudes and experience) and make hiring decisions accordingly.		
	X.2.5	Male and female staff – both operations and programming – have been trained in gender equality.		
	X.2.6	In the past 5 years, the organization has conducted a pay equity analysis to examine any disparities between male and female staff salaries, and made any necessary adjustments as a result.		
	X.2.7	There are staff (e.g. Gender Advisors – with gender responsibility in their job title, or Gender Focal Points – with gender responsibility in their performance development plans) who are assigned formal responsibility for integrating and/or championing gender integration and equality.		
3.Organizational Dimensions: Work Environment and Leadership	X.3.1	The organization's facilities are amenable for both male and female staff (e.g. separate bathrooms and prayer spaces, designated nursing room, etc.)		
	X.3.2	Male and female staff participate equally in the organization's meetings and decision-making processes.		
	X.3.3	Male and female staff receive and avail opportunities for training and professional development equitably.		
	X.3.4	The organization's leadership/ senior managers respect diverse working styles, including the way males tend to work as well as the way females tend to work.		
	X.3.5	The organization's leadership/ senior managers take gender equality-related questions and challenges seriously and discuss them openly.		
	X.3.6	The organization's leadership/ senior managers promote and model gender sensitive behavior, including language used and appropriateness of jokes and comments among staff.		

COMPONENT		CAPACITY AREA	LEVEL OF ACHIEVEMENT	LEVEL OF PRIORITY
4. Programming Dimensions: Program Planning, Design, and Implementation	X.4.1	Gender analyses are systematically conducted as a part of project design, including an examination of gender roles and responsibilities; disparities in access to and control over resources; and gendered roles in decision making processes.		
	X.4.2	Projects address gender disparities in roles and responsibilities, time, control over resources, decision making power, and inequitable socio-cultural norms, and benefit women, men, girls and boys equitably.		
	X.4.3	Project design and implementation includes mitigating measures against negative unintended consequences, including gender-based violence and increasing women's and girls' workloads.		
	X.4.4	All projects have budgeted activities specifically for gender (e.g. gender analysis, gender-related social behavior change activities, gender training, leadership and negotiation skills for women, time and labor saving technologies, etc.)		
5. Programming Dimensions: Monitoring, Evaluation, and Learning	X.5.1	All data that is collected for projects is disaggregated by sex and age during collection, analysis, and reporting.		
	X.5.2	The project's M&E system includes gender sensitive indicators to monitor change in gender disparities, including roles and responsibilities, time, access to and control over resources, decision-making power, and monitor for unintended consequences.		
	X.5.3	The impact of projects on gender equality and relations is evaluated (e.g. the extent to which project interventions have positively impacted gender equality outcomes, changes in decision making power, identified any unintended consequences, etc.).		
	X.5.4	Gender-related lessons learned and good practices are systematically gathered, documented, and shared during and after program implementation.		

GLOSSARY

Identity and Governance

Mission

The overriding purpose of an organization in line with the values or the expectations of stakeholders.

Vision

The desired future state; the aspiration of the organization. The attention and focus of members of the organization should be drawn to the vision.

Constituents

Individuals, groups, and institutions forming the organization's universe and important in influencing the organization's development.

Constitution/Statute

The set of principles and regulations by which an organization is governed, especially as to the rights of the stakeholders it interacts with or governs.

Values

Ideals to which people in an organization aspire.

Governance

Combination of processes and structures implemented by the board in order to inform, direct, manage and monitor the activities of the organization toward the achievement of its objectives.[12]

Strategy and Planning

Strategic plan

A multi-year document used by an organization to fulfill its mission and to align its organization and budget structure with organizational priorities and objectives. A strategic plan addresses four questions: Where are we now? Where do we want to be? How do we get there? How do we measure our progress?

Operational plan

A subset of a strategic plan that describes short-term ways in which the strategic plan will be implemented, usually during an annual period. An operational plan is the basis and justification for an annual operating budget. Operational plans usually contain objectives, activities, performance standards, desired outcomes, staffing and resource requirements, implementation timetables, and a process for monitoring progress.

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12 Institute of Internal Auditors. (2011). *The Role of Internal Auditing in Governance, Risk and Compliance*.

Exit strategy

A plan describing how a program intends to withdraw all or part of its resources while assuring that the achievement of the program's goals is not jeopardized and that progress towards these goals continues.

General Management

Compliance

Within statutory limits and court interpretations, acts by an employer to bring practices into line with state, federal and local regulations.

Compliance requirements

A list of things that are demanded of an organization as a stipulation of being awarded a federal grant.

Risk management

A general term describing the process of analyzing risk in all aspects of management and operations and the development of strategies to reduce the exposure to such risks.

Contingency plan

A plan devised for a specific situation in which things could go wrong. Contingency plans are often devised by organizations who want to be prepared for anything that could happen. Sometimes known as *back-up plans*, *worst-case scenario plans*, or *Plan B*.

External Relations and Partnerships

Advocacy

The act or process of advocating; support

Coalition

A group of organizations that share different resources and agree to work towards an agenda or strengthen a specific mission by working together over a specified period of time.

Network

A group of individuals or organizations who come together based on clearly identified commonalities to exchange information and/or undertake joint activities.

Alliance

An association to further the members' common interests.

Partners

Organizations that are in a relationship of mutual commitment built upon a shared vision and spirit of solidarity.

Sustainability

Organizational sustainability

The ability to continually manage external and internal forces in a manner that preserves and/or recreates the main organizational structures needed to achieve the organization's mission.

Financial and resource sustainability

The ability to continually manage changes to the inflow of resources and financial management systems in a manner that preserves and/or recreates the main organizational systems and ability to program activities

Programmatic sustainability

The ability to continually manage changes to programming in a manner that preserves and/or recreates the systems and structures needed for the ability to program activities.

Political sustainability

The ability to continually manage changes to public image, functional networks, professional credibility, and legitimacy with constituency and stakeholders in a manner that preserves and/or maintains the ability to achieve the organization's mission.

Organizational Learning

Best practice

A technique, methodology, process or activity proven to be the most efficient and effective way to reliably achieve a desired result.

Community of practice

A group of people who learn together around a common professional interest by sharing information and experiences, solving problems, and developing innovative or best practices. Also known as *a knowledge community*.

Critical reflection process

A method of reflection and analysis that transforms information and experience into useful knowledge. Lessons learned can then be the basis for operational and programmatic decisions. Examples include periodic project reviews, partnership reflections, after action reviews and mid-term and final evaluations.

Knowledge product

Written or other form of documentation that contains information used for sharing and learning. Examples include case studies, learning papers, training manuals, and audio-visual reports.

Knowledge base

An organization's continually evolving collection of documented knowledge that is critical to carry out its functions. A knowledge base is founded on experience and expertise and should be readily accessible to all personnel and organized in a manner that is meaningful to them.

Learning processes

The practice through which an individual, group, or organization gains knowledge. Examples include monitoring, evaluations, assessments, and after action reviews.

Sharing processes and tools

Mechanisms that aid a group of people in exchanging information, skills or expertise. Examples of sharing processes include critical reflection, peer assists, mentoring, and learning visits. Examples of sharing tools include technologies such as email and electronic mailing lists, digital recording software, interactive websites and blogs. See also: *Storing and sharing technologies*.

Storing and sharing technologies

Devices that provide storage of and access to recorded information and knowledge. Examples include shared drives, the internet (websites), intranets, databases, cell phones, electronic audio and visual recordings, and electronic or hard copy document libraries.

Human Resource Management

Personnel

The aspect of human resource management that is concerned with staffing, orientation and well being (emotional and physical) of the employees of an organization.

Human resource policies and procedures manual

Document which sets out policies and procedures related to the management of personnel issues in an organization.

Policy

Formal institution and documentation of commonsense and courtesy guidelines by the management or stakeholders of an organization. It sets clear boundaries for employee/employer concerning a variety of issues that may arise within the context of the work environment.

Compensation

Additional incentives beyond salary and wages, which an organization provides to attract and retain quality employees. Compensation packages usually vary from organization to organization or even from one industry to another and could include insurance coverage (health, life, accident), extended leave, retirement or pension plans, educational support, etc.

Nepotism

Practice whereby a person in a position of authority shows preference to those related to him/her by blood, marriage or any other filial connection regardless of skill level, ability, suitability or any other objective criteria, especially with regard to hiring, benefits administration, discipline or promotion of staff in an organization.

Identity groups

The different social or cultural sub-groups that exist in an organization's geographical environment or context. Such groupings may be based on race, religion, gender, citizenship, class, caste etc.

Financial and Physical Resource Management

Asset

Any owned property that has a monetary or exchange value.

Capitalized

Property acquisitions that are recorded as assets since they have long-term (more than one year) value and use.

Cash instruments

For the purpose of this tool, this term refers to paper currency, checks, wire authorization documents, coins, and written orders or promises to pay that are payable to the bearer.

Double-entry bookkeeping

The use of balancing debits and credits to record each financial transaction. Debits and credits are used as follows:

CLASSIFICATION	DEBIT	CREDIT
Asset	Increase	Decrease
Liability	Decrease	Increase
Revenue	Decrease	Increase
Expense	Increase	Decrease
Net Assets (Net Worth)	Decrease	Increase

Financial instruments

written orders or promises to pay sums of money.

General ledger

The book of final entry for recording an entity's financial transactions.

Insurable risk

Risk for which a dollar amount of exposure to potential damages or loss can be logically estimated and for which protection against that possible occurrence can be obtained at a reasonable cost to the organization.

Internal control

The process, affected by an entity's board of directors, management and other personnel, designed to provide reasonable assurance regarding the achievement of objectives in the following categories:

Effectiveness and efficiency of operations

Reliability of financial reporting

Compliance with applicable laws and regulations

Inventory

Nondurable, tangible goods or livestock held for consumption in the normal course of business, for distribution to program participants, or for resale.

Property, plant and equipment

An entity's durable, tangible property that has long-term benefit. Also known as *fixed assets*. (For CRS, fixed assets are those assets that have useful lives of three years or more and that cost US $5,000 or greater.)

Receivables

Amounts due from other parties.

Programming, Services and Results

Do no harm

A contextual analysis framework developed by Mary Anderson of Collaborative for Development Action (CDA), Inc. The framework is used to ensure projects do not unintentionally harm program participants or constituent groups.

Sectoral

Refers to a programmatic area of work. A sector is a programming area, such as peace building, water and sanitation, or education.

Output

An output is the result of a specific activity. A training activity will achieve an output of 200 persons trained in a new piece of knowledge. CRS defines output as "the goods, services, knowledge, skills, attitudes, enabling environment or policy improvements that not only are delivered by the project (as a result of the activities undertaken), but also are demonstrably and effectively received by the intended program participants and participants.”

Impact

A measure of a project’s lasting change on a constituent group. This measure does not track whether a specific activity has been accomplished. Rather, it measures whether a completed activity resulted in a lasting change.

Advocate

A group’s ability to speak out for, support or recommend a course of action in a public forum.

Gender mainstreaming

A globally accepted strategy for promoting gender equality. Mainstreaming involves ensuring that gender perspectives and attention to the goal of gender equality are central to all activities, including advocacy/dialogue, program planning, implementation and monitoring and evaluation.

Project

A set of planned, interrelated actions that achieve defined objectives within a given budget and a specified period of time.

Program

A system of services, opportunities or projects designed to meet a social need.

Stakeholders

Individuals, groups and institutions important to, or with influence over, the success of the project.

Stakeholder analysis

An analysis of the needs of key stakeholders in the design and implementation of the project. It helps think carefully about who is important to the project and their level of interest or influence.

Project participant

A person who participates in a project. This person can be a project beneficiary who receives services and/or uses products developed through the project, such as a child who receives a hot meal at school for attendance. Likewise, a project participant can be someone who is involved in the project but does not receive a direct benefit, such as teachers involved in monitoring student attendance in a food-assisted education project.

Human development

Refers to the biological, psychological, and economic process of becoming Mature. It also refers to the quality of life or standard of living of a given group or population.

Beneficiary

A person who receives a direct benefit by participating in a project.

Gender Equality Integration

Access and Control

Access is defined as the opportunity to make use of a resource. Control is the power to decide how a resource is used, and who has access to it. Understanding who has access and control of resources can help to identify opportunities that make use of a resource for a larger gain. It indicates whether women or men have access to resources, who controls their use, and who controls the benefits of a household's (or a community's) use of resources. Access simply means that you are able to use a resource, but this says nothing about whether you have control over it. For example, women may have some access to local political processes but little influence or control over which issues are discussed and the final decisions. The person who controls a resource is the one ultimately able to make decisions about its use. Women often have access but no control.
(CRS Global Gender Strategy citing Just Associates, "Access to and Control of Resources" presentation at the Association for Women's Rights and Development International Forum, Istanbul, Turkey, April 19–22, 2012).

Gender

Refers to the two sexes, male and female, within the context of society. Factors such as ethnicity, class, race, age and religion can affect gender roles. Gender roles may vary widely within and between cultures, and often evolve over time.18 These characteristics often define identities, status, and power relations among the members of a society or culture. Someone's sex, on the other hand, refers to the biological identity of males and females, as manifested primarily by our physical characteristics.
(CRS Global Gender Strategy)

Gender-based violence (GBV)

Violence that is directed against a person on the basis of gender or sex in both public and/or private life. It includes acts that inflict physical, mental or sexual harm or suffering, threats of such acts, coercion, and other deprivations of liberty. While women and men, boys and girls can be victims of gender-based violence, women and girls are the main victims.

(CRS Global Gender Strategy)

Gender analysis

Examines the differences in women's and men's lives, including those which lead to social and economic inequality for women. It is a tool for systematically collecting data that can be used to examine these differences, the different levels of power they hold, their differing needs, constraints and opportunities, and the impact of these differences on their lives. This understanding is then applied to program and policy development and social services in order to address inequalities and power differences between males and females.

(CRS Global Gender Strategy)

Gender blind

Policies and programs that ignore gender considerations altogether. Designed without prior analysis of the culturally-defined set of economic, social, and political roles; responsibilities; rights; entitlements; obligations; and power relations associated with being female and male; and the dynamics between and among men and women, boys and girls.

(IGWG, accessed January 10, 2018 at https://www.igwg.org/training/programmatic-guidance/)

Gender disparities

Gaps between males and females that exist in households, communities, and countries. Differences in the status of women and men and their differential access to assets, resources, opportunities, and services.

(Adapted from USAID ADS 205 gender analysis description.)

Gender equality

Reflects the concern that women and men, boys and girls have equal opportunities, resources, rights, and access to goods and services that a society values—as well as the ability to make choices and work in partnership. Gender equality also means equal responsibility in terms of workloads and energy expended within one's individual capacity to care for families and communities. Gender equality does not mean that men and women, boys and girls become the same, but that their opportunities and life chances are equal and that the differences that do exist in their talents, skills, interests, ideas, etc. will be equally valued.

(CRS Global Gender Strategy)

Gender integration

Involves identifying and then addressing the gender differences and inequalities across all program and project design, implementation, monitoring and evaluation. Since roles and relationships of power between men and women affect how an activity is implemented, it is essential that project and activity planners address these issues throughout the life of a program or project. USAID uses the term "gender integration" in both development and humanitarian planning and programming.

(CRS Global Gender Strategy citing USAID, Guide to Gender Integration and Analysis: Additional Help for ADS Chapters 201 and 203. Washington, DC: USAID, 2010).

Gender mainstreaming

Is a strategy for promoting and achieving gender equality. It involves making women's as well as men's concerns, needs and experiences an integral part of ensuring that gender perspectives and attention to the goal of gender equality are central to all activities such as policy development, research, advocacy/dialogue, legislation, resource allocation, and planning, implementation and monitoring of programs and projects. It is not an end in itself, but a strategy and approach used as a means to achieve the goal of gender equality.

(CRS Global Gender Strategy citing "Concepts and definitions." UN Women: United Nations Entity for Gender Equality and the Empowerment of Women. Accessed May 25, 2013. http://www.un.org/womenwatch/osagi/conceptsandefinitions.htm.)

Gender relations

Concerned with how power is distributed between women and men, girls and boys. Gender relations are simultaneous relations of cooperation, connection, mutual support, and of conflict, separation, and competition, of difference and inequality. They create and reproduce systemic differences. They define the way in which responsibilities and workloads are allocated and the way in which each is given a value. Gender relations vary according to time and place, and between different groups of people. They also vary according to other social relations such as class, race, ethnicity, and disability.

(CRS Global Gender Strategy)

Gender roles and responsibilities

Identification of roles and responsibilities that are assigned to men and women based on socio-cultural (gender) norms, including productive (i.e. income earning) activities and reproductive (non-income earning) activities. In many societies, for example, a gendered role of women is to take care of children, cook and clean for the family, while a gendered role of men is to earn income for the family's cash needs.

(Adapted from USAID's ADS 205)

Gender sensitive

Gender-sensitive programs recognize the specific needs and realities of women and men, boys and girls based on the social construction of gender roles and respond to them accordingly. This level of awareness may be informed by a sound gender analysis that has looked at the specific assets of men and women and assessed how to accommodate their different roles and needs.

(CRS Global Gender Strategy)

Pay equity analysis

A pay equity analysis is a way of understanding whether pay (salaries) at an organization is influenced by factors you want (e.g., type of job, location) or those you don't want (e.g., gender, race/ethnicity). This type of analysis can help reveal trends across groups as well as individual outliers. For example, grouping positions by type and by sex should reveal whether men and women are earning similar salaries for similar work.

(Adapted from Society for Human Resource Management, accessed January 10, 2018 at https://www.shrm.org/ResourcesAndTools/hr-topics/compensation/Pages/PayEquityStudy.aspx)

Sexual harassment

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when this conduct explicitly or implicitly affects an individual's employment, unreasonably interferes with an individual's work performance, or creates an intimidating, hostile, or offensive work environment. Harassment does not have to be of a sexual nature, and can include offensive remarks about a person's sex.

(CRS HQ/HR Sexual Harassment in the Workplace Guidance, April 2017)

Time and labor saving strategies/ technologies

Technologies, strategies, practices, and techniques that could help address time and labor constraints, especially women's, who often work longer days than men. They can include improved stoves, rainwater harvesting schemes and intermediate transport devices that can reduce the time women spend on domestic chores such as collection of fuel wood and water; improved hoes, planters and grinding mills that can increase the productivity of their farming tasks; improved techniques such as conservation agriculture that can reduce the time needed for labor-intensive tasks such as weeding; and cassava graters, oil-seed presses and other food processing equipment that can help them earn more income in less time and/ or with less effort.

(IFAD Lightening the Load 2010)

APPENDIX 1

EXAMPLE OF TERMS OF REFERENCE OUTLINE[13]

Organizational Profile (mandate, history, operational framework, targeted program participants, funding, achieved results)

Broad Considerations (global, regional, national context, developments impacting external environment)

Reasons for organization to conduct organizational capacity assessment (objectives of the assessment, risk management, learning opportunity, other value-added)

Scope and Focus (broad and specific issues to be assessed)

Participation (mapping of participation by staff, volunteers, board members)

Stakeholder Participation (mapping of participation by program participants, donors, partners, other stakeholders)

Accountabilities and Responsibilities (delineating between roles of organization management team and assessment team)

Organizational Capacity Assessment Process (broad indication of how assessment is to be carried out, work plan)

Report Requirements (outline of the report)

Deliverables (timeframes for work plan and report delivery, on-going process reporting)

Assessment team qualifications (experience, expertise, language skills)

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13 Source: Canadian International Development Agency. (2006). Organization Assessment Guide. Gatineau, Quebec.

APPENDIX 2

ACTION PLAN FORMAT

For each problem statement, compose one objective and then fill in the chart with specific details on how the objective will be achieved.

Problem statement:

Objective:

ACTIVITIES	APPROACH	TIME FRAME	PERSONS RESPONSIBLE	RESOURCES	M&E	CHAMPION

Problem statement: description of the identified organizational weakness

Objectives: should be specific, measurable, achievable, relevant, and timely (SMART); a concise commentary on what the improvement effort and capacity strengthening aims to achieve and how it intends to implement the improvement[14]

Activities: the steps, or specific activities, to be taken to achieve each objective

Approach: the method that will be used in capacity strengthening, such as capacity building, institutional strengthening or accompaniment

Time frame: the length of time and the deadlines for each action

Persons responsible: the individuals or work units responsible for implementing the activities

Resources: human, financial, and material resources needed to achieve each objective

M&E: the monitoring and evaluation indicators for assessing the achievement of each objective

Champion: the leader, or supervisor, who will provide high-level approval and guidance to the improvement effort

14 Catholic Relief Services. (2004). *ProPack I* (page 186). Baltimore, MD: Hahn, S., Sharrock, G., and Stetson, V.

APPENDIX 3

EXAMPLE OF ACTION PLAN MONITORING REPORT FORMAT

Action Plan Review Date:

Participants:

Introduction

(No more than one page, describing the event, its objectives and main results.)

Progress made since last organizational capacity assessment

(Describe progress made against the last action plan in one or more of the nine capacity areas based on the indicators. List obstacles faced and new opportunities.)

Areas that need work

(Describe the needs identified and summarize the discussion points by the capacity areas discussed. Describe new actions to be conducted to move implementation of action plan forward.)

Follow-up

(Describe steps to further institutionalize regular organizational capacity assessment, to integrate action plan into annual implementation plan supporting the strategic plan.)

Attachments

(A copy of last action plan, revised action plan, etc.)

APPENDIX 4

Talking points for Domain X:
Gender Equality and the Catholic Church

As stated in the introduction to the Gender Equality Integration Domain, CRS's Guiding Principles, inspired by Catholic Social Teaching, compel CRS to promote right relationships among all people by ensuring that men, women, girls and boys have the opportunity, capacity, voice, and support they need to realize their full potential, and to reduce disparities and imbalances including those which exist between males and females. Despite having based CRS' Global Gender Strategy in Catholic Social Teaching and Integral Human Development, some Catholic Church partners may not share this vision upon introduction to this domain of the HOCAI. To facilitate this shared vision, staff administering the tool may refer to the below compendiums of Catholic Social Teaching and statements from Church clergy.

- Catholic Social Teaching Affirms the Equal Dignity of All Persons: Stripped of distinctions by the mystery of Christ's incarnation and his boundless love, in the light of Faith a man can only look at other men as creatures of equal dignity. The advent of the Emanuel is therefore the one and ultimate foundation of the radical equality and brotherhood among all people, regardless of their race, nation, sex, origin, culture, or class. (Compendium, No. 144)

- Catholic Social Teaching promotes women and girls building on Christ's life:

Together with equality in the recognition of the dignity of each person and of every people there must also be an awareness that it will be possible to safeguard and promote human dignity only if this is done as a community, by the whole of humanity. (Compendium, No. 145)

- In the *Letter to the Bishops of the Catholic Church on the Collaboration of Men and Women in the Church and in the World* in May 2004, Section 14, then Cardinal Joseph Ratzinger called upon the Bishops to recognize: "...if social policies—in the areas of education, work, family, access to services and civic participation—must combat all unjust sexual discrimination, they must also listen to the aspirations and identify the needs of all. The defense and promotion of equal dignity and common personal values must be harmonized with attentive recognition of the difference and reciprocity between the sexes where this is relevant to the realization of one's humanity, whether male or female."

- H.E. Monsignor Celestino Migliore addressed the 61st Session of the General Assembly of the United Nations on the Promotion of Gender Equality and the Empowerment of Women in March 2007. In this address he encouraged the leaders of the world to understand that "equality between women and men and the empowerment of women will be attained when the differences of the sexes are recognized and highlighted and understood in its proper context."

- At the 55th session of UNESCO's Commission on the Status of Women, Archbishop Francis Chullikatt, permanent observer of the Holy See to the United Nations, said, "The Holy See—as well as many women in the world—is convinced that the true advancement of women is strongly linked to the recognition and the effective implementation of their rights, dignity and responsibilities. Women and men are both called to welcome, protect and foster these, for a renewed commitment towards humanity."

- The Final Declaration of the Second Meeting of Bishops in Africa on "Organizing the Service of Charity in Africa: The Role of Bishops" held in Dakar, Senegal September 18 – 20, 2017, called to strengthen the participation of women and make their contributions to the development of our families and communities visible.

- CRS's Global Gender Strategy calls for programs and operations to be gender responsive at a minimum while striving for transformation. More information can be found here in English, French, and Spanish: http://pqpublications.squarespace.com/publications/2015/3/17/crs-global-gender-strategy.html

When administering Domain 10 with Catholic church partners, observable statements 10.2.2 and 10.2.3 may be difficult to complete given doctrine that reserves certain positions for male clergy. If, after discussion, these statements are found not to apply to a Church partner, they may mark "N/A - Not Applicable."

APPENDIX 5

Examples and explanations for Domain X: Gender Equality Integration

10.1. Organizational Dimensions: Policies and their Application

10.1.1 The organization follows a documented gender equality policy or strategy.

Having a documented gender policy or strategy makes the organization's commitment to gender equality manifest to all staff members. An example of a gender equality policy introduction is:

This policy represents the organization's commitment to take a cohesive and coordinated approach to gender equality. The policy defines the organization's explicit intention to support gender equality and the principles expressed in international agreements. The policy includes three core principles and commitments against which all parts of the organization will be held accountable. These are consistent with other organizational and programmatic standards.

The purpose of this policy is to:

- Define and communicate clear commitments and consistent messages within the organization and with others
- Continue to strengthen efforts to promote gender equality in our organization, increasing our integrity and credibility amongst partners and allies as a leader in the gender equality space, in both programming and advocacy
- Establish commitments for our development and humanitarian programming and our organization
- Enable us to work with others building on each other strengths, experience and lessons learned.

10.1.2. The organization follows a documented equal opportunity policy.

The organization has a written policy that ensures equality of opportunity and consistently adheres to it. One example is "Organization provides equal employment opportunities for all skilled employees and jobseekers and does not discriminate based on race, skin color, age, religion, gender, national origin, or disability. Some positions, however, require the employee to be an international or national while other positions require the employee to be an active member and participant in the Catholic Church. This directive covers all of the terms and conditions of employment that include recruitment, training, teaching, orientation, placement, promotions, transfers, job cuts, re-employment, benefits, retirement and termination of employment. As an equal opportunities employer, CRS will recruit, hire, train and promote people based solely on their qualifications and skills."

10.1.3. The organization has flexible work arrangements available (e.g. working from home/ telecommuting, alternate work hours, etc.).

Having flexible working arrangements allows staff to have better work-life balance and manage their work in a way that can also be amenable for duties in the home. Examples of flexible work arrangements include allowing staff to work from home one day a week, or work from 7:00 a.m. to 3:30 pm in order to pick up children from school. These flexible work arrangements are beneficial for everyone, but can particularly help working mothers who, because of cultural gender norms related to roles and responsibilities, still manage much childcare and other domestic duties even while working outside the home.

An example of a Telecommuting & Home Office Policy states “There may be occasions that arise when it is beneficial for the employee and the Agency if the employee telecommutes. For these infrequent, situational occurrences, exempt (salaried) employees have the option for unscheduled telecommuting if their supervisor agrees. The employee must make the request to their supervisor in advance.”

<u>10.1.4. The organization follows a documented maternity leave policy.</u>

Maternity Leave is consistently provided to employees who give birth in order to allow them time to physically recover from childbirth, bond with the infant and, for those who breastfeed, to allow the time to establish a breastfeeding relationship. Maternity leave is a fundamental human right and an indispensable element of comprehensive work–family policies. Maternity leave usually includes a minimum of 6-12 weeks paid at full salary, though some countries and organizations offer much more. The organization’s maternity leave policy should adopt its country’s national policy at a minimum.

Staff in your organization should be aware of the policy upon hire and take full advantage of the policy without fear of retribution or negative professional consequences.

<u>10.1.5. The organization follows a documented parental leave policy.</u>

It is also important for fathers to take leave following the birth of a child to bond with and care for the infant and support the mother’s recuperation. Parental leave should thus include fathers, but may also include time off for foster and adoptive parents upon placement of their child. The organization’s parental leave policy should adopt its country’s national policy at a minimum.

An example of a parental leave policy is, “Parental Leave is provided to new fathers upon the arrival of their child, foster parents and adoptive parents upon placement of their child. Organization will provide 2 weeks of paid Parental Leave. This leave must be used in the first three months after the arrival of the child.”

Staff in your organization should be aware of the policy upon hire and take full advantage of the policy without fear of retribution or negative professional consequences.

10.1.6. The organization follows a documented policy to accommodate staff to care for their children and other dependents.

Such policies could include provision of personal leave time for employees to use as they see fit for personal business; using employee sick leave time for the care of children or other ill family members; a separate room for nursing mothers to use to feed their infant during workday breaks or to pump breastmilk; a ‘child care’ room, nursey or ‘creche’ for parents to use as a space for childcare during the workday, etc..

These policies are beneficial for everyone but can particularly help working mothers who typically manage more childcare and other domestic duties than fathers, even while working outside the home.

10.1.7. The organization follows a documented policy on the prevention and punishment of harassment, including sexual harassment.

Harassment is a general concept simply meaning that the employee is feeling intimidated, bullied, or humiliated by someone at work. It can include derogatory comments about religion, political beliefs, age, ethnicity or anything that creates undue discomfort.

Sexual Harassment has a much more specific definition and consists of any unwelcome conduct of a sexual nature which is:

- made a condition of employment or promotion (quid pro quo), or
- severe or pervasive enough to affect the person's work

environment. This can include verbal behavior (comments/ jokes), nonverbal behavior (leering/ gestures), unwelcome physical conduct, and or visuals (pictures/ cartoons).

In both cases (harassment and sexual harassment), a hostile environment is generally defined as a pattern of offensive conduct. However, there are occasions, especially with severe incidents, where a single incident may create a hostile environment. Humanitarian and development work is built on fundamental principles that include nondiscrimination, non-coercion, and preservation of human dignity. Harassment and sexual harassment undermines these core values.

Policy should outline commitment to preventing and responding swiftly to incidences of harassment, including sexual harassment, and procedures to follow. Confidential reporting mechanisms should be available that staff are comfortable using. Where relevant these policies should align with the host country at a minimum.

10.1.8. All staff are briefed on the above policies (10.1.1 – 10.1.7) as part of an on-boarding/ new hire procedure.

Ensuring that staff are aware of the benefits available to them and that they feel free to take advantage of such policies is crucial to ensuring a healthy workplace. This is especially important for groups or positions who – because of power dynamics related to their gender or position – may not feel comfortable advocating for themselves and their rights as employees. One CRS Country Program has begun instituting an onboarding process that includes brief presentations on key HR policies related to maternity/paternity leave as well as sexual harassment. This onboarding responsibility sits with the HR unit but hiring managers also work to ensure the onboarding has been completed.

10.2. Organizational Dimensions: Staffing, Recruitment, Promotion, and Retention

10.2.1. The organization's staff is made up of an equal ratio of women to men.

Building diverse teams is vital to creating deeper impact. Diverse teams help us understand the circumstances and needs of beneficiaries from all backgrounds, allowing us to create more targeted and effective programs. The organization's staff make-up should ideally reflect the demographics of the communities we serve, as it impacts our ability to access different community members and have frank discussions. For example, a male field worker might be able to talk to men about their control over family finances, while a female field worker may be needed to talk to women about reproductive health.

An unequal gender staffing ratio could be a sign of discriminatory hiring practices or a work environment that is unfriendly to the underrepresented group, which goes against CRS's values.

10.2.2. Women and men are equally represented among the organization's senior management team.

While organizations' overall gender staffing ratios may be relatively equal, disaggregating data by band, position level or type may show disparities. This is often the case at senior management levels, which can tend to be dominated by men.

CRS's guiding principles, inspired by Catholic social teaching, compel CRS to promote right relationships among all people by ensuring that men and women have the opportunity, capacity, voice, and support they need to participate on an equal basis, to realize their full potential, and to reduce the disparities and imbalances of power including those which exist between men and women. Not only is it important to have women represented equally among staff generally in an organization, it is also important to have them equally represented in senior management team and decision-making structures. This type of representation allows for different perspectives in decision-making, different ways of thinking and can result in more inclusive outcomes and deeper impact.

10.2.3. The organization has proactive strategies to improve its gender staffing ratio, including at senior management levels.

Recognizing that there is disparity in the gender staffing ratio is a first step; outlining a strategy to correct any imbalances is a second step.

Recruiting under-represented staff can be challenging, due to a seemingly lack of qualified underrepresented individuals in the applicant pool. This is often worsened by cultural gender norms that may, for example, limit women's physical mobility and constrain her availability to travel, or restrict women's availability to be present in the office outside of certain hours. While it is true that there are many barriers to having an equitable gender staffing ratio, it is also true that there are many strategies to overcome these barriers. For example, organizations could:

- Plan recruitment in advance to allow for larger applicant pools and post job announcements in locations that are easily accessible to the under-represented group
- Discuss which position qualifications are flexible and which ones are not to open the position to as many candidates as possible
- Build networks and reach out to universities' career centers and occupational clubs or societies with diverse membership
- Examine the policies outlined in section 10.1 to become more "women-friendly"
- Put in place a women's mentorship program to develop women's capacity for senior management positions
- Put in place a training or other capacity building program to develop women's capacity

Building secure, productive and just communities requires an organizational culture that promotes and respects diversity. Addressing sex diversity is not a short-term goal — it is part of a long-term strategy to integrate gender throughout organization's programs and operations.

10.2.4. Recruitment processes screen candidates for their gender sensitivity and make hiring decisions accordingly.

Making sure you hire individuals with values and beliefs that are aligned with your organization's guiding principles and polices is important. Organizations should include gender-related questions during recruitment – in tests, during interviews, etc. – to try to understand whether or not candidates' personal attitudes and experience are aligned with the values of integral human development and right relations. One such question could be related to how one reacts to having a supervisor of the opposite sex, or providing a scenario related to recruiting diverse teams and asking for their comments. [15]

10.2.5. Male and female staff – both operations and programming – have been trained in gender equality.

Systematically budgeting for staff awareness raising and capacity building in gender equality subjects for both programming and operations staff can help foster an organizational culture that is inclusive and understands the importance of promoting right relations in the workplace as well as in the communities we serve. Making sure all staff have been trained in gender equality is an essential first step that would ideally take place soon after hiring.

15 CRS is developing a list of sample gender responsive questions that could be integrated in interviews – please check back for this resource.

10.2.6. In the past 5 years, the organization has conducted a pay equity analysis to examine any disparities between male and female staff salaries and made any necessary adjustments as a result.

An important component of creating diverse teams is developing and keeping talent. One important aspect of this relates to pay. Setting up a structured compensation system should help you avoid pay inequity, however, given ingrained gender attitudes and beliefs that are heavily influenced by culture, pay inequities may still occur inadvertently.

To ensure your pay system is working as intended, you can conduct a pay equity analysis to verify that there are no pay differences between male and female staff in similar positions. The analysis is a way of understanding whether pay at your organization is influenced by factors you want (e.g., type of job, responsibilities) or those you don't want (e.g., gender, race/ethnicity). This type of analysis can help reveal trends across groups as well as outliers and identify areas where salary differences should be addressed.

10.2.7. There are staff who are assigned formal responsibility for integrating and/or championing gender integration and equality.

While gender equality is a cross cutting component that is every staff members' responsibility to promote and integrate, additional expertise and time is typically needed to deliberately further gender equality and integration efforts in organizations.

For this reason, organizations should have staff with gender equality expertise who are assigned formal responsibility for integrating gender in operations and programs, such as a Gender Advisor who has gender responsibility in their job title, or a Gender Focal Point who has gender responsibility outlined in their performance development plan. Each organization should have at least one Gender Advisor on their payroll, which could increase to more than one staff person depending on the size of the organization and number of projects implemented.

10.3. Organizational Dimensions: Work Environment and Leadership

10.3.1. The organization's facilities are amenable for both male and female staff (e.g. separate bathrooms and prayer spaces, designated nursing room, etc.)

It's important to have a workplace that feels safe and is inclusive for all employees. Making sure there are adequate and separate facilities is an important step to doing this, especially in cultures where men and women do not frequently occupy the same physical spaces. Ensuring there are separate bathrooms and prayer spaces that are of equal quality is a good example. Having separate and safe spaces also is a good way to prevent incidences that could enable forms of harassment.

10.3.2. Male and female staff participate equally in the organization's meetings and decision-making processes.

While male and female staff may both be present in relatively equal numbers in meetings or other decision-making processes, that does not automatically mean that their participation is equal or that their contributions are heard equally. This relates to organizational culture, which often dictates who feels comfortable expressing themselves during meetings or who is able to access and participate in decision-making processes. Active participation is one in which both male and female staff express their views and do so without fear of negative consequences. Good leadership works hard to hear perspectives and opinions from underrepresented individuals, encourages participation from all staff in an equitable and inclusive manner, and takes everyone's contributions into account when making decisions.

10.3.3. Male and female staff receive and avail opportunities for training and professional development equitably.

CRS's guiding principles compel CRS to promote right relations among all people by ensuring that men and women have the opportunity, capacity, voice, and support they need to participate on an equal basis, to realize their full potential, and to reduce the disparities and imbalances of power including those which exist between men and women. In keeping with these values, organizations should provide training and professional development opportunities to female staff (or other more socially disadvantaged groups) at least as often as male staff.

However, in many countries where CRS works, even if female staff are offered training and professional development opportunities as often as male staff, socio-cultural and gender norms that prevent women from traveling frequently or far from their home and family often prevent them from availing those opportunities.

The organization should first and foremost be sure it's offering professional development opportunities to male and female staff equally, then determine whether men and women are equally availing those opportunities, and finally examine whether changes can be made or other initiatives offered to assist women in availing of professional development opportunities.

10.3.4. The organization's leadership/ senior managers respect diverse working styles, including the way males tend to work as well as the way females tend to work.

An organization's leadership typically sets the tone for the working environment and organizational culture. For this reason, it is especially important that senior managers recognize that while not all working styles are the same, there is not one right way to achieve success, and in-so-doing, value various working styles that may be different from their own. In some cultures, for example, leaders may value gregarious and charismatic workers that spend long hours at the office, while quieter and more introverted workers, or workers who leave the office consistently on time, may not be regarded as equally effective even if their outputs and performance are on par with or exceed others'. This also includes looking past gender stereotypes that may equate masculine and feminine work traits with working styles or behaviors, such as the stereotype that women are more trustworthy and thus make better financial accountants than men, to focus on individuals' outputs and performance.

10.3.5. The organization's leadership/ senior managers take gender equality-related questions and challenges seriously and discuss them openly.

An organization's leadership typically sets the tone for the working environment and organizational culture. For this reason, it is especially important that senior managers take gender equality-related questions and challenges seriously and discuss them openly. This means that senior managers openly recognize and call attention to gender disparities and the inequalities that cause them, prioritize reducing inequalities between males and females, and initiate conversations, discussions, and initiatives to take action.

10.3.6. The organization's leadership/ senior managers promote and model gender sensitive behavior, including language used and appropriateness of jokes and comments among staff.

An organization's leadership typically sets the tone for the working environment and organizational culture. For this reason, it is especially important that senior managers model gender sensitive behavior, including treating women and men with equal amounts of respect, using appropriate language, and avoiding inappropriate jokes and other comments that might make female or male staff feel uncomfortable. As models of gender sensitive behavior, senior managers and other leaders should also be among the first to speak out if they do see or hear inappropriate behavior, including comments on the way women look or dress, asking questions that are too personal in nature, or making jokes that disparage a gender or age group.

10.4. Programming Dimensions: Program Planning, Design, and Implementation

10.4.1. Gender analyses are systematically conducted as a part of project design, including an examination of gender roles and responsibilities; disparities in access to and control over resources; and gendered roles in decision making processes.

A gender analysis is a process that examines the differences in males' and females' lives, including those that lead to social and economic inequality. It is a tool for systematically collecting data that can be used to examine these differences, the different levels of power they hold, their differing needs, constraints and opportunities, and the impact of these differences on their lives. Various domains are often analyzed, including roles, responsibilities and time used; access to and control over resources; power and decision making; cultural norms and beliefs; and, legal frameworks and institutional practices.

Gender analyses should be routinely conducted during the design of new projects to ensure that the project is responsive to differences between males' and females' needs and works to reduce inequalities identified.

10.4.2 Projects address gender disparities in roles and responsibilities, time, control over resources, decision making power, and inequitable socio-cultural norms, and benefit women, men, girls and boys equitably.

Organizations' projects should address gender inequalities between males' and females' roles, responsibilities and time use; access to and control over resources; decision making power, and inequitable socio-cultural norms to achieve right relations between males and females.

Examples can include initiatives to reduce females' time and labor burdens with the provision of mills or other equipment; increase women's access to land and farming inputs (who typically have more restricted access to a number of resources than men); increase women's control over land with long-term leases and/or land titles; increase women's decision making power over the use of household income; and implementing social behavior change initiatives to change attitudes around early marriage, intimate partner violence, or other inequitable socio-cultural norms.

In addition, projects should benefit women, men, girls and boys equitably. This means that females should benefit from organizations' projects in at least equal numbers as males, and if females are socio-culturally at a disadvantage, that projects work to address that disadvantage, which may mean serving more females in order to "catch up" to males' place in society. An example of an equitable initiative could be, for example, that in a country where less girls go to school with boys, an education project focuses on girls' education. These projects do not benefit females at a cost to males – males do not "fall backward," but rather the intent is to advance females towards males' place in society.

10.4.3. Project design and implementation includes mitigating measures against negative unintended consequences, including gender-based violence and increasing women's and girls' workloads.

While all organizations aim to implement effective and impactful programs, without vigilance and deliberate mitigation efforts, organizations may in fact unintentionally do harm.

For example, projects that work to increase women's income may also increase their workload to the detriment of her physical and psychological health and that of her children, who women may keep home from school to help with chores they are no longer able to complete on their own. Projects may also inadvertently put individuals – usually women and girls – at increased risk of gender-based violence, either by increasing tension in the household or by increasing females' exposure to risky situations. Organizations should routinely consider possible negative consequences of their actions and include mitigation strategies during project design and implementation. Examples of mitigation strategies include discussing initiatives carefully with all stakeholders before implementation to reduce the risk of intra-household tension, considering effects on women's workloads and efforts to reduce them, carefully considering timing and location of project activities, and many others.

<u>10.4.4. All projects have budgeted activities specifically for gender (e.g. gender analysis, gender-related social behavior change activities, gender training, leadership and negotiation skills for women, time and labor saving technologies, etc.)</u>

All budgets should routinely and deliberately include line items or support for gender responsive or transformative activities. Examples of line items could include a gender analysis, assessment, or other study; gender-related social behavior change activities, gender training for staff and/or project participants; leadership and negotiation skills for women; time- and labor-saving technologies, etc.

10.5. Programming Dimensions: Monitoring, Evaluation, and Learning

<u>10.5.1. All data that is collected for projects is disaggregated by sex and age during collection, analysis, and reporting.</u>

In many contexts, women, men, girls, and boys have different needs and face different social, economic, and cultural barriers that can affect their ability to access and benefit from services and programs equitably. Sex- and age-disaggregated data is a powerful tool to identify quantifiable differences between males and females. Without sex-disaggregated data, vital information is missed about the existing differences and gaps between girls, boys, women, and men, and important opportunities to adapt programs to meet their unique needs and improve outcomes can be overlooked.

Collecting sex-disaggregated data alone does not result in a gender-sensitive intervention. Once collected, it’s vital that the sex-disaggregated data are continually analyzed over time. The analysis of sex-disaggregated data can, for example, inform staff about whether the proportion of females to males identified, enrolled or accessing a service is representative of the population as a whole, and whether males and females are responding to the intervention in the similar numbers. When gaps are identified, it’s important to do further research to determine what is causing the gap, and to make adjustments to the project in order to implement an intervention that benefits males and females equitably.

Another example that highlights how sex-disaggregated data can lead to improvement is to analyze the proportion of females and males living with HIV in the community. The goal of this identification is to then link PLHIV with treatment. If, for example, 70% of the PLHIV identified in the community are male, and only 30% are female, then it's important to look at other data sources to determine the ratio of the male to female HIV burden, to see whether the ratio of females to males identified is representative of the community. If it's not, then it suggests that there is an issue with the identification process, and it should be reviewed and adapted accordingly in order to overcome the issues that prevent one sex from being identified and linked to treatment. [16]

10.5.2. The project's M&E system includes gender sensitive indicators to monitor change in gender disparities, including roles and responsibilities, time, access to and control over resources, decision-making power, and monitor for unintended consequences.

Gender-sensitive indicators, which measure changes in the status and role of males and females over time, are central to the monitoring and evaluation of programs. Gender-sensitive indicators have the special function of pointing out how far and in what ways development programs have met their gender objectives and achieved results related to gender equity. It can also alert staff to any unintended consequences by showing if any aspects of the program benefit one sex more than another or creates negative results for one social group.

16 Excerpted and adapted from https://www.usaidassist.org/resources/gender-considerations-monitoring-and-evaluation

The best way to develop gender-sensitive indicators is to utilize findings from a gender analysis to identify gender-related constraints that may affect the program and to design indicators to track those issues over time. These could include, for example, indicators that measure change in males' and females' roles and responsibilities, time burden and use, disparities in access to and control over resources, and decision-making patterns. In developing gender-sensitive indicators, it's important to formulate measures that demonstrate removal of gender-based constraints, establish realistic separate targets for women and men, and check assumptions. Gender-sensitive indicators should capture quality and not just quantity: for example, not just measuring attendance but also true participation and decision-making, or examine the quality of jobs, rather than simply numbers of women employed. [17]

10.5.3. The impact of projects on gender equality and relations is evaluated (e.g. the extent to which project interventions have positively impacted gender equality outcomes, changes in decision making power, identified any unintended consequences, etc.).

Organizations should routinely and deliberately include evaluation questions that examine the extent to which projects have closed gender gaps and contributed to gender equality and right relations, and whether closing gender gaps has improved project outcomes. Without gender responsive evaluations, organizations will be unable to examine the extent to which its programming achieves positive results and improves quality of life for women as well as men; reduces gender gaps and empowers women and girls; and contributes to the high-level outcomes articulated in the organization's, CRS's, or the donor's gender strategy or policy.

17Adapted from https://www.usaidassist.org/resources/gender-considerations-monitoring-and-evaluation

Engendering an evaluation means that all stages of the evaluation reflect: (1) an awareness that the degree and meaning of program participation, program results, and potential sustainability are shaped by gender; (2) a recognition that explicit attention to gender issues must be integrated into the evaluation if gender equality objectives are to be addressed; and (3) a commitment to examining the extent to which gender equality was achieved as a result of the strategy, project, of approach that was implemented. A fully gender-sensitive approach would include these elements in the evaluation's Scope of Work; the evaluation design, methodological approach, and data collection methods; and throughout data analysis and reporting. [18]

10.5.4. Gender-related lessons learned and good practices are systematically gathered, documented, and shared during and after program implementation.

Just as gender needs to be integrated into M&E systems with indicators and evaluation questions, gender equality-related lessons learned and good practices should be gathered, documented, and shared during and after program implementation.

18 Adapted from "How-to Note: Engendering Evaluation at USAID." Version 2.0 October 2016.

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Recommended Reading

The Community of Practice Wiki, with resources on communities of practice. http://cpsquare.org/wiki/Welcome

Free Management Library. A collection of links and articles on human resource management. http://managementhelp.org/hr_mgmnt/hr_mgmnt.htm.

Knowledge Management for Development, information about knowledge management including events, resources, and community of practice. www.km4dev.org

The Society for Human Resource Management. Templates, tools, and publications on human resource topics. http://www.shrm.org/Pages/default.aspx

UN Women: United Nations Entity for Gender Advancement and the Empowerment of Women. Tools to assist in gender mainstreaming. http://www.un.org/womenwatch/osagi/gendermainstreaming.htm

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