



# SAT

## M&E TOOLS:

SATCOMP - SAT Community Competence  
Baseline Assessment Tool

SOCAT - SAT Organisational Capacity  
Assessment Tool

# Contents

Community competence.....	3
Components of community competence.....	3
Linking community competence and CBO/NGO support work .....	3
Approach to measuring community competence.....	4
SATCOMP – SAT Community Competence Baseline Assessment Tool .....	5
Participants and organisation .....	5
Programme template .....	5
Activity 1: Problem Tree .....	6
Activity 2: Mapping (sustainable) community resources.....	7
Activity 3: Community reactions .....	8
Activity 4: Ladder of empowerment.....	9
Activity 5: Ownership and involvement .....	10
Organisational capacity .....	11
Components of organisational capacity .....	11
Approach to measuring organisational capacity .....	11
SOCAT – SAT Organisational Capacity Assessment Tool .....	12
Participants and organisation .....	12
Programme template .....	12
Organisational capacity questions .....	12
APPENDICES.....	16
SATCOMP Report Template.....	17
SOCAT .....	21
SOCAT Report Template .....	37

# Community competence

## Components of community competence

Community competence is a complex idea. For practical purposes of M&E, however, the complex needs to be rendered manageable. Therefore, SAT proposes that we view community competence as comprised of three broad components.

- Presence of, and activation of, feelings of **solidarity and willingness to serve the community**
- Presence of, and access to, **sustainable resources**
- **(Community) Empowerment and skills**

### *Solidarity and willingness to serve the community*

This component focuses on the strength and closeness of relationships within a community, the motivations of community members to respond to the challenges and impacts of HIV and AIDS. Key aspects here are compassion, mutual reliance and feelings of mutual benefit, trust, altruism, common values, unity and social cohesion – the things that bring people together and compel them to care for or assist each other.

### *(Sustainable) Resources*

Caring and motivated people require resources to be able to effect change. Resources are defined broadly, to include physical, financial, human and institutional resources. Physical resources might include a place to meet, land to cultivate, information materials, blankets, livestock, thatch for housing, etc. Financial resources include money, savings and access to credit. Human resources include the necessary people to undertake necessary work, i.e. volunteers and staff. Institutional resources include schools, clinics, church institutions etc.

This component focuses on the acquisition and mobilisation of resources in order to respond to the challenges and impacts of HIV and AIDS.

### *(Community) Empowerment and skills*

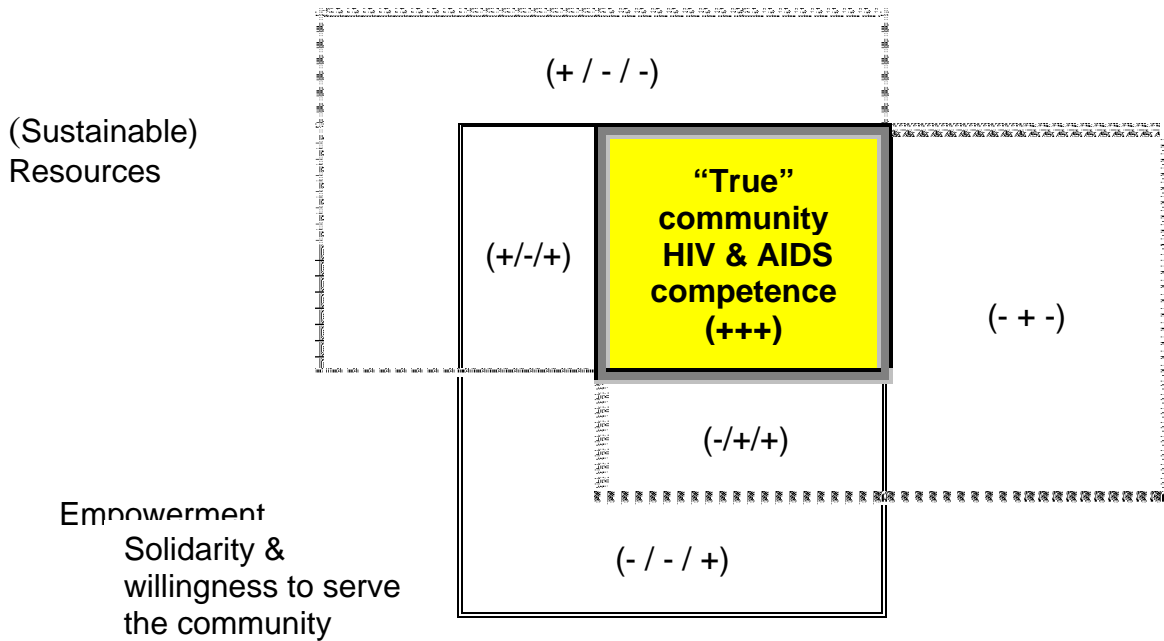
Even caring and motivated people with relevant resources at their disposal, will have a minimal impact if they are not sufficiently empowered and skilled to plan and implement meaningful actions.

This component focuses on the capacity of the community to generate and maintain sustainable response systems characterised by a high level of self-reliance, development of own resources and ability to mobilise external resources, capacity to assess their own needs and problems and respond to them, capacity to self-organise and self-monitor their actions.

## Linking community competence and CBO/NGO support work

It is a core belief at SAT that all communities are, to some extent, competent. Our work is to support the increase of community competence, not its creation.

However, the three components interact in various ways resulting in varying levels and types of community competence. The following diagram identifies the possible interrelationships and permutations between factors.



“True” community competence exists at the intersection of all three components. Simply stated, SAT’s work seeks to support the expansion of that area of overlap, and to correct the underlying, arising and ongoing factors that generate the following imbalances:

- + / - / -    Untapped resources** - Here the community has relevant resources available, but is lacking either the motivation or the empowerment required to mount effective responses to HIV and AIDS.
- + / - / +    Looking for direction** – Here the community has resources and is empowered to act, but lacks the motivation or compassion to effect appropriate responses to HIV and AIDS.
- / + / -    Untapped motivation** – Here the community has the necessary motivations to respond to HIV and AIDS, but lacks both the resources and also the organisation and dynamism to turn this into meaningful action.
- / + / +    Looking for resources** – Here the community is ready, willing and able to act, but is unable to find or mobilise the necessary resources to do so.
- / - / +    Abstract empowerment** - Here the community is empowered, but lacks resources and meaningful motivations to effectively respond.

Each of these ‘unbalanced’ situations implies the necessary priority areas for support from organisations such as SAT. In this way, there is a clear and explicit link between baseline data collection, the NGO/CBO support relationship that is planned between SAT and the partner, ongoing monitoring and re-planning processes.

### Approach to measuring community competence

Measurement of community competence will take the form of:

- **Baseline data collection at the start of new partnerships**
- Periodic evaluation some years into the partnership
- Occasional, ad hoc surveys as identified in SAT OR plans
- (and not routine monitoring procedures).

# SATCOMP – SAT Community Competence Baseline Assessment Tool

## Participants and organisation

This is a one-day workshop with community stakeholders, facilitated by SAT staff and staff/volunteers from the relevant SAT partner. Participatory activities are used throughout.

- Aim for a maximum group size of **20**
- Participants should represent a **cross-section of the community**
  - **Socio-economic status** – aim to have representation from both poor and powerful/higher status community members
  - **Age profile** – aim to have at least some representation from youth and elderly
  - **Gender** - aim for a 50/50 gender balance
  - **Community representatives** – to be agreed by CPOs and SAT Partners. May include: volunteers, beneficiaries, community health workers, church leader, community leaders, SAT partner organisation staff (see below), local administrators/politicians, members/workers from development organisations, youth, traditional healers.
  - **Partner representation** – max. 2 or 3 participants from the SAT partner CBO/NGO
- CPOs and SAT Partners to discuss and agree on participant list before invitations are made
- SAT Partners to organise the event and invite participants
- Venue to be a relevant local meeting place, suitable for group size and group work (i.e. floor space for mapping and for ladder of empowerment exercise
- Reasonable teas and lunches to be provided

## Programme template

	Session timings	Session topic
<b>Morning</b>		Introductions and admin
	@ 45 mins to 1 hour	Problem tree
	@ 2 hours	Mapping (sustainable) community resources
	@ 45 mins to 1 hour	Community reactions
<b>Afternoon</b>	@ 45 mins	Lunch
	@ 45 mins	Ladder or empowerment
	@ 1 hour	Ownership and involvement
		Thank you's and close of proceedings

## Activity 1: Problem Tree

*Time allocated: @ 45 minutes to 1 hour*

This exercise explores the impact of HIV and AIDS on the community.

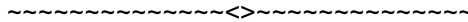
- 1) Explain that we want to understand HIV and AIDS at community level and how people view the causes and effects.
- 2) Draw a tree on a piece of flip chart paper (if necessary join two sheets together to make it big enough for all to see).
- 3) Highlight that the trunk is “HIV and AIDS”, the roots are “causes” and the branches are “effects”.
- 4) Facilitate the group to identify the causes and effects and write their contributions onto the flip chart.

### *Output from Activity*

- Detailed discussion notes from the participants.
- Picture of the problem tree (take digital photo).

### *Guidance for facilitators*

- This is a relatively straightforward exercise to start the discussions of HIV and AIDS.
- Record everything that participants say (even if you know something is factually incorrect)
- Remember to write so that participants can see what you have recorded (i.e. you need a BIG TREE!)



## Activity 2: Mapping (sustainable) community resources

*Time allocated: @ up to 2 hours*

This exercise explores the resources that the community is currently drawing on to respond to challenges and impacts of HIV and AIDS. These resources can be:

- Physical – such as land or equipment or buildings
- Financial – money or savings
- Human – the people available to help out, or who lend their support to make things happen

This exercise can be repeated periodically to track changes in the community's sustainable resource base.

- 1) Start by dividing the participants into two groups, one for males and one for females.
- 2) Ask each group to draw a map of the community showing in particular the resources that are available (physical, financial and human)
- 3) One facilitator stays with each group (and more senior SAT staff member floats between groups) facilitating the process of mapping.
- 4) In the process of mapping, the facilitator prompts the groups by inquiring:
  - How are resources utilised in responding to HIV and AIDS?
  - Which resources come from within the community?
  - Which resources come in from outside the community?
  - Who benefits and who does not?
  - Which of these resources does the community control?
  - Who controls the other resources?

And eventually..

- Ask the participants to identify (if they can) the resources that are currently lacking but they think are needed for them to be able to improve/increase their response to HIV and AIDS
- 5) Display the maps and allow each group to highlight key aspects / issues.
  - 6) Facilitate group discussion.
  - 7) Note takers to take very detailed notes during the mapping as well as the discussion**

### *Output from Activity*

- Detailed discussion notes from the participants.
- Pictures of the community maps (take digital photo).

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### Activity 3: Community reactions

Time allocated: @45 minutes to 1 hour

This exercise explores the community's response to people known or suspected of living with HIV or AIDS *or associated* with people known or suspected of living with HIV or AIDS.

- 1) Read story 1 to the group
- 2) Facilitate reactions and discussions, using the questions/prompts below.
- 3) Encourage participants to relate the stories to their own community, rather than speaking in the abstract

| <b>Story 1: Themba and Nyasha</b>                                                                                                                                                                                                                                                                                                                                                                                                             | <b>Story 2: Tawanda is head of the household</b>                                                                                                                                                                                                                                                                                                            |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Themba worked for some years as a security guard in town, whilst his wife Nyasha stayed in his home village. At the beginning of the year, he became sick and discovered that he is HIV positive. When Themba's health got worse, he travelled back to his village to be cared for by Nyasha. In the village, Themba is now very sick and Nyasha can't cope on her own.                                                                       | Tawanda is 14 years of age. He has been the head of his household for 5 months now since his mother died. In the household live Tawanda's two sisters, aged 12 and 10. Tawanda has heard people whisper that his parents died of AIDS.<br><br>The children have many needs and Tawanda often wonders how they will survive.                                 |
| <b>Questions / prompts:</b>                                                                                                                                                                                                                                                                                                                                                                                                                   | <b>Questions / prompts:</b>                                                                                                                                                                                                                                                                                                                                 |
| <ul style="list-style-type: none"> <li>• If this happened here, what would your community do?</li> <li>• What would people say about Themba and Nyasha?</li> <li>• If Themba and Nyasha told people that he has AIDS, would the community help them? How? Why?</li> <li>• If Themba and Nyasha told people that he has AIDS, would there be any negative reactions? What? Why?</li> <li>• Would anyone help to protect the couple?</li> </ul> | <ul style="list-style-type: none"> <li>• If this happened here, what would your community do?</li> <li>• What would people say about Tawanda and his sisters?</li> <li>• Would the community help them? How? Why?</li> <li>• Would there be any dangers for Tawanda and his sisters? What?</li> <li>• Would anyone help to protect the children?</li> </ul> |
| <b>Checkpoint issues:</b>                                                                                                                                                                                                                                                                                                                                                                                                                     | <b>Checkpoint issues:</b>                                                                                                                                                                                                                                                                                                                                   |
| <ul style="list-style-type: none"> <li>• Stigmatising the couple</li> <li>• Isolation or support?</li> <li>• Who helps and why?</li> <li>• Disclosure</li> </ul>                                                                                                                                                                                                                                                                              | <ul style="list-style-type: none"> <li>• Stigmatising the children</li> <li>• Sexual abuse and loss of inheritance</li> <li>• Who helps and why?</li> </ul>                                                                                                                                                                                                 |

#### Output from Activity

- Detailed discussion notes from the participants.
- Quotation of participants' responses (*using participants' own words*).

#### Guidance for facilitators

- Remember that you need to cover both stories/issues. You may need to control the discussion and move the group on, if they are taking long to discuss the first story.
- Remember not to put words into the mouths of participants, but to gently probe
- It is important to try and get people to reflect on real situations (which can be either good or bad), not what they think should happen in an ideal world

## Activity 4: Ladder of empowerment

*Time allocated: @ 45 minutes*

The exercise explores the extent to which a community is self-reliant in terms of generating its HIV and AIDS responses systems, i.e. responses that are owned and run by the community itself.

- 1) Participants are introduced to the ladder and each step on the ladder is explained
- 2) Give time for questions and clarifications
- 3) Ask participants to discuss and assess where they think their community was located on the ladder before the SAT partner's project was introduced.
- 4) Then ask where they think their community is currently located on the ladder.
- 5) N.B. In subsequent monitoring visits the community makes a new assessment of where it feels it stands on the ladder in relation to the previous assessment. This new assessment serves as a basis for discussing why changes have occurred and what action might be required to reinforce positive changes or limit deterioration.

|                       |                                                                                                                                                                                                    |
|-----------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Empowerment</b>    | The community has developed strong and sustainable local responses to HIV and AIDS and organised them well. They now have the skills and abilities to achieve their goals.                         |
| <b>Local Action</b>   | The community is responding with its own ideas and actions. Various HIV and AIDS responses that reflect the interests and priorities of the community are being organised locally.                 |
| <b>Consultation</b>   | The response is still driven by outsiders but the community's views are at least listened to. The community response to HIV and AIDS is dependent on external resources and outsiders.             |
| <b>Imposed Action</b> | The response to HIV and AIDS is driven by outsiders. Many community members do not know what to do to respond to HIV and AIDS. The community is told what to do and no-one listens to their views. |
|                       |                                                                                                                                                                                                    |

### *Output from Activity*

- Detailed discussion notes from the participants.
- Picture of the community's location on the ladder before and after CBO/NGO establishment (i.e. the SAT partner) (take digital photo).

### *Guidance for facilitators*

- Be aware that the community may experience different realities at once. For example, you might find a community with a prevention programme "imposed" from outside as well as organic community home care responses.
- Be prepared for community groups to be over-optimistic in their self-assessment.

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## Activity 5: Ownership and involvement

*Time allocated: @1 hour*

The exercise explores who is contributing to the community response to HIV and AIDS and the degree of their involvement. The core question is:

- “Who are the stakeholders of (the programme) and how involved are they?”

Start by clarifying what a ‘stakeholder’ means, i.e. the groups and organisations that are involved in the programme, that care about it, that have a responsibility for it. Then, ask the group to identify stakeholders. Write the name of each stakeholder onto one of the circles of paper with the marker pens. You may need to encourage the group to think of stakeholders as opposed to individuals, though some individuals may be relevant e.g. the local Chief or Headman. After the stakeholders are written onto the circles of paper, ask:

- “How involved are these stakeholders in the programme?”

It is important to explain and discuss what exactly you are assessing. In this case we are interested in who helps out / contributes / lends support, etc.

Then put two pieces of paper on the floor about 2 metres apart. One piece of paper is “High involvement”; the other is “Low involvement”. Ask the group to place the stakeholder circles in the appropriate place, i.e. near to High involvement if the stakeholder is very involved etc. Encourage participants to discuss, negotiate, and compare the different stakeholders. E.g. is the stakeholder on this circle more involved than the one that has been put closer to ‘high involvement’ etc. This can take some time. It is best if participants physically move the circles and explain their actions as they go along.

The final part of the activity (hopefully there is time) is to ask the group to look at the ranking they have identified. The facilitator can then ask:

- “Which of these stakeholders would you like to be more involved in the programme?”

Participants need to identify a stakeholder that they would like to be more involved, and then the group can brainstorm on ways to encourage or achieve greater involvement of that stakeholder.

Then, the group can choose another stakeholder they would like to see more involved in the programme and identify ways of achieving this. And so on, continuing the process.

### *Output from Activity*

- Detailed discussion notes from the participants.
- Picture of the ranking of stakeholders (take digital photo).

### *Guidance for facilitators*

- Encourage participants to discuss, negotiate and compare the involvement of the different stakeholders.

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# Organisational capacity

## Components of organisational capacity

Organisational capacity is complex. We have prioritised seven areas for our M&E work with partners. These areas are to be used both in baseline studies, evaluation processes, and also in routine monitoring, i.e. they provide both snapshot data and also measures of change.

- |                                          |                           |
|------------------------------------------|---------------------------|
| (i) Planning, monitoring and reporting   | (ii) Volunteer management |
| (iii) General human resources            | (iv) Governance           |
| (v) Resource mobilisation and management | (vi) Learning and sharing |
| (vii) Advocacy and networking            |                           |

## Approach to measuring organisational capacity

The approach takes the form of a checklist that a SAT staff member (usually the Country Programme Officer) can work through with stakeholders from the partner organisation (i.e. Board, Director / Management team, staff, volunteers). The tools are designed to guide a group discussion about organisational and programmatic strengths and weaknesses in relation to the six core subject areas. Again, we are linking the processes of M&E and ongoing partner support and capacity building.

Participants are presented with a statement implying a 'quality standard' in organisational capacity (e.g. does the organisation have a written strategic plan?). They are requested to discuss and agree on one of the following 5 possible answers to these statements:

- **“Yes”** - means that the organisation has achieved the standard. Areas where there are many “Yes” responses are likely to point to agreement about some strengths that can be celebrated.
- **“YNI-Yes Needs Improvement”** - means that the organisation is some way towards meeting the standard, but needs further improvement to meet it fully. Within this response people can also express their opinions about the degrees of improvement required and possible ways of achieving that improvement.
- **“No”** - means that the organisation has not achieved the standard, but should. “No” responses are clear signs of the organisation’s capacity building needs.
- **“?”** - means that the respondent(s) are unsure whether or not the standard is being met.
- **“N/A”** - means the standard does not apply / is not relevant to the assessment.

# SOCAT – SAT Organisational Capacity Assessment Tool

## Participants and organisation

- Aim for a maximum group size of **10-15**
- Participants should represent a **cross-section of the organisation**
  - **Hierarchy** – aim to have representation from the Board, management, staff and volunteers
  - **Gender** - aim for a 50/50 gender balance, if possible
- CPOs and SAT Partners to discuss and agree on participant list
- SAT Partners to organise the event and invite participants
- Venue to be the partner’s office (or if necessary, a relevant local meeting place, suitable for focus group discussion)
- Reasonable teas and lunches to be provided

## Programme template

|                  | Session timings                       | Session topic                                                                                            |
|------------------|---------------------------------------|----------------------------------------------------------------------------------------------------------|
| <b>Morning</b>   | 3 – 4 hours (including break for tea) | Organisational capacity focus group discussion.                                                          |
| <b>Afternoon</b> | @ 45 mins                             | Lunch                                                                                                    |
|                  | @ 1- 1.5 hours                        | Follow up with Partner organisation Management. Clarification of issues and exploration of implications. |

## Organisational capacity questions

N.B. This is laid out differently in the actual record sheets.

### 1) Planning, monitoring and reporting

- 1.1 Have you got a written strategic plan for the next 3-5 years? (*if “NO” then jump to 1.7*)
- 1.2 Does the strategic plan set goals and measurable objectives?
- 1.3 Does the strategic plan identify performance indicators to measure progress towards goals and objectives?
- 1.4 Do you periodically review the strategic plan and revise it if necessary?
- 1.5 When you developed your strategic plan did you consider the external and internal environment? (i.e. after analysis of: community needs and key beneficiaries; organisational SWOT; stakeholders; resource availability; programming options)

- 1.6 Do the board, staff, volunteers, beneficiaries and members of the community participate in the planning and review of the strategic plan?
- 1.7 Do you have short term workplans and budgets to ensure the accomplishment of the goals on time? (i.e. annual workplans or semi-annual workplans)
- 1.8 Do you have a written vision statement that communicates your "future direction"?
- 1.9 Do you have a written mission statement that communicates your fundamental purpose, values and community served?
- 1.10 Is/was there wide participation in the development of the vision and mission statements? (i.e. involvement of board, staff, volunteers, stakeholders, beneficiaries and other community members)
- 1.11 Are your programmes and activities consistent with your organisation's mission and strategic plan?
- 1.12 Has a needs assessment been conducted for each of your programmes or activities?
- 1.13 Do you have a clearly defined catchment area for your work?
- 1.14 Do you have guidelines or criteria to identify the vulnerable groups you want to work with?
- 1.15 Are you working towards establishing comprehensive programmes to meet the needs of your community?
- 1.16 Do you regularly monitor your programmes and activities? (what tools are used? Do you disaggregate the data?)
- 1.17 Do systems exist for recording and filing information?
- 1.18 Do you regularly evaluate the quality and appropriateness of your programmes and activities?
- 1.19 Have programme staff been trained in gender awareness / gender mainstreaming?
- 1.20 Are your programmes and activities designed, monitored and evaluated from a gender perspective?
- 1.21 Have you formed strategic alliances with any organisation to improve your services or capacity?
- 1.22 Do you have written policies and procedures governing your assets and infrastructure?
- 1.23 Do you have a detailed inventory of your assets?
- 1.24 Is/was there wide participation in programme reporting?
- 1.25 Do your reports meet the information needs of their target audience?

- **Overall assessment: Long term 3-5 year strategic plan and systems of regular review and updating in place**

## **2) General human resources**

- 2.1 Do you have a written personnel policy that is regularly reviewed and updated? (i.e. recruitment, hiring, termination, standard work conditions, salary scales, job descriptions, duties and reporting relationships for all staff)?
- 2.2 Does your recruitment policy and practise promote gender balance & gender equality?
- 2.3 Does your recruitment policy and practise promote the greater involvement of people living with HIV and AIDS?
- 2.4 Do staff employed by the organisation have appropriate qualifications and/or experience?
- 2.5 Do staff demonstrate expertise in their specific work areas?
- 2.6 Do staff have appropriate skills in monitoring and evaluating their programmes and activities?

- 2.7 Does the organisation conduct performance appraisals at least annually?
- 2.8 Have you got an on-going process of staff development?
- 2.9 Is there effective communication within your organisation?
- 2.10 Does your organisation effectively communicate with other organisations?

- **Overall assessment: General human resources system (recruiting, training, salary and appraisals) established and operational.**

### **3) Volunteer management**

- 3.1 Do you have a written statement explaining why you work with volunteers?
- 3.2 Do your organisational policies cover volunteers?
- 3.3 Have you developed job descriptions for your volunteers?
- 3.4 Do you provide initial and on going training for volunteers?
- 3.5 Is the work of volunteers monitored and evaluated on a regular basis?
- 3.6 Do you recognise the contribution made by volunteers?
- 3.7 Do you encourage meaningful participation from volunteers? (i.e. consultation, involvement in planning, getting their ideas and feedback)
- 3.8 Are you able to design and organise the work of volunteers to take into account their other time commitments?
- 3.9 Does the volunteer selection process take into account the diversity of the community and appropriate gender balance?

- **Overall assessment: Systems for recruiting, training, managing and retaining volunteers in place.**

### **4) Governance**

- 4.1 Do you have formal registration?
- 4.2 Do you have a Board? Is it elected or appointed? (N.B. some might call it an Executive Committee) (**if "NO" then jump to section 5 on resource mobilisation**)
- 4.3 Are the roles of the Board and director/management team clearly defined and well understood?
- 4.4 Does the Board reflect a cross-section of your community (i.e. stakeholders, both sexes, diversity in age, economic status, culture, geographic area served and skills/expertise)?
- 4.5 Do you have a constitution? (i.e. how and when notices for board meetings are made, how members are elected /appointed, terms of office for officers/members, removal of ineffective board members from the board and a stated number of board members to make up a quorum which is required for all policy decisions)
- 4.6 Does the Board regularly review financial and programme reports?
- 4.7 Does the Board approve revisions to the budget?

- **Overall assessment: Governance structures (role of board, director/management team, and governance systems) in place.**

### **5) Resource mobilisation and management**

- 5.1 Do you actively mobilise local resources (donations, subscriptions)?
- 5.2 Do you actively mobilise national resources (NAC funds etc)?

- 5.3 Do you actively mobilise international resources (donor contracts)?
- 5.4 Do you have multiple funding sources?
- 5.5 Have you got a fundraising strategy?
- 5.6 Do you have any income generation activities that help to fund your organisation's programming?
- 5.7 When you do annual budgeting, do you involve key staff outside of management?
- 5.8 Are at least two signatures needed on all cheques drawn by the organisation?
- 5.9 Do you have at least one trained accountant or bookkeeper?
- 5.10 Are programme staff responsible for their own budget areas?

- **Overall assessment: The organisation has established systems for mobilising resources to meet the needs of the organisation and its work.**

## **6) Learning and sharing**

- 6.1 Have you been able to improve the quality of your programming as a result of School Without Walls activities? (How?)
- 6.2 Have you used or adapted SAT publications to improve your programming?
- 6.3 Through School Without Walls, have you built the skills base of your organisation (thereby reducing dependence on external skills)?
- 6.4 Do you facilitate skills training for other organisations / groups? (i.e. local, national or regional levels?)
- 6.5 Have you mentored or supported any other community groups? (How, which groups?)
- 6.6 Have you documented your work for sharing with others?

- **Overall assessment: The organisation has demonstrated ability to translate skills acquired through SWW into programming.**

## **7) Advocacy and networking**

- 7.1 Do you support or train other organisations to link issues of HIV and gender equality, human rights or child rights?
- 7.2 Do you lead or play a major role in national advocacy activities on HIV-related issues?
- 7.3 Do you have an advocacy and networking strategy or plan?
- 7.4 Do you produce materials that help to achieve your advocacy and networking goals?

- **Overall assessment: The organisation's advocacy and networking activities effectively link issues of HIV and gender equality, human rights or child rights.**

# APPENDICES

# SATCOMP Report Template

Partner organisation: \_\_\_\_\_

## Overall community competence assessment

| Activity                                                 | Data from the baseline<br>(analysis of the key findings) |
|----------------------------------------------------------|----------------------------------------------------------|
| <b>Mapping (sustainable) community resources</b>         | 1                                                        |
|                                                          | 2                                                        |
|                                                          | 3                                                        |
|                                                          | 4                                                        |
|                                                          | 5                                                        |
| <b>Solidarity and willingness to serve the community</b> | 1                                                        |
|                                                          | 2                                                        |
|                                                          | 3                                                        |
|                                                          | 4                                                        |
|                                                          | 5                                                        |
| <b>Empowerment and skills</b>                            | 1                                                        |
|                                                          | 2                                                        |
|                                                          | 3                                                        |
|                                                          | 4                                                        |
|                                                          | 5                                                        |

**Comment:**

**Problem Tree:** Insert picture of problem tree on this page *(At the bottom of the picture highlight any key issues or observations arising from the activity).*

### Ladder of Empowerment

| Community's assessment of where it feels it stands on the ladder        |  | Comments:<br><i>(highlight key points emerging from the community's own assessment)</i> |
|-------------------------------------------------------------------------|--|-----------------------------------------------------------------------------------------|
| Location before the introduction of the SAT partner organisations       |  |                                                                                         |
| Current location after the introduction of the SAT partner organisation |  |                                                                                         |

*(Do not exceed this page)*



# SOCAT

## 1) Planning, monitoring and reporting

|                                                                                                                                                                                                                                                   |   |     |   |   |    |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-----|---|---|----|
| 1.1 Have you got a written strategic plan for the next 3-5 years? ( <i>if "NO" then jump to 1.7</i> )                                                                                                                                             | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                                   |   |     |   |   |    |
| 1.2 Does the strategic plan set goals and measurable objectives?                                                                                                                                                                                  | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                                   |   |     |   |   |    |
| 1.3 Does the strategic plan identify performance indicators to measure progress towards goals and objectives?                                                                                                                                     | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                                   |   |     |   |   |    |
| 1.4 Do you periodically review the strategic plan and revise it if necessary?                                                                                                                                                                     | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                                   |   |     |   |   |    |
| 1.5 When you developed your strategic plan did you consider the external and internal environment? (i.e. after analysis of: community needs and key beneficiaries; organisational SWOT; stakeholders; resource availability; programming options) | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                                   |   |     |   |   |    |

|                                                                                                                                                                                                       |   |     |   |   |    |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-----|---|---|----|
| 1.6 Do the board, staff, volunteers, beneficiaries and members of the community participate in the planning and review of the strategic plan?                                                         | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                       |   |     |   |   |    |
| 1.7 Do you have short term workplans and budgets to ensure the accomplishment of the goals on time? (i.e. annual workplans or semi-annual workplans)                                                  | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                       |   |     |   |   |    |
| 1.8 Do you have a written vision statement that communicates your "future direction"?                                                                                                                 | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                       |   |     |   |   |    |
| 1.9 Do you have a written mission statement that communicates your fundamental purpose, values and community served?                                                                                  | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                       |   |     |   |   |    |
| 1.10 Is/was there wide participation in the development of the vision and mission statements? (i.e. involvement of board, staff, volunteers, stakeholders, beneficiaries and other community members) | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                       |   |     |   |   |    |

|                                                                                                         |   |     |   |   |    |
|---------------------------------------------------------------------------------------------------------|---|-----|---|---|----|
| 1.11 Are your programmes and activities consistent with your organisation's mission and strategic plan? | Y | YNI | N | ? | NA |
|                                                                                                         |   |     |   |   |    |
| 1.12 Has a needs assessment been conducted for each of your programmes or activities?                   | Y | YNI | N | ? | NA |
|                                                                                                         |   |     |   |   |    |
| 1.13 Do you have a clearly defined catchment area for your work?                                        | Y | YNI | N | ? | NA |
|                                                                                                         |   |     |   |   |    |
| 1.14 Do you have guidelines or criteria to identify the vulnerable groups you want to work with?        | Y | YNI | N | ? | NA |
|                                                                                                         |   |     |   |   |    |
| 1.15 Are you working towards establishing comprehensive programmes to meet the needs of your community? | Y | YNI | N | ? | NA |
|                                                                                                         |   |     |   |   |    |

|                                                                                                                    |   |     |   |   |    |
|--------------------------------------------------------------------------------------------------------------------|---|-----|---|---|----|
| 1.16 Do you regularly monitor your programmes and activities? (what tools are used? Do you disaggregate the data?) | Y | YNI | N | ? | NA |
|                                                                                                                    |   |     |   |   |    |
| 1.17 Do systems exist for recording and filing information?                                                        | Y | YNI | N | ? | NA |
|                                                                                                                    |   |     |   |   |    |
| 1.18 Do you regularly evaluate the quality and appropriateness of your programmes and activities?                  | Y | YNI | N | ? | NA |
|                                                                                                                    |   |     |   |   |    |
| 1.19 Have programme staff been trained in gender awareness / gender mainstreaming?                                 | Y | YNI | N | ? | NA |
|                                                                                                                    |   |     |   |   |    |
| 1.20 Are your programmes and activities designed, monitored and evaluated from a gender perspective?               | Y | YNI | N | ? | NA |
|                                                                                                                    |   |     |   |   |    |
| 1.21 Have you formed strategic alliances with any organisation to improve your services or capacity?               | Y | YNI | N | ? | NA |
|                                                                                                                    |   |     |   |   |    |

|                                                                                            |   |     |   |   |    |
|--------------------------------------------------------------------------------------------|---|-----|---|---|----|
| 1.22 Do you have written policies and procedures governing your assets and infrastructure? | Y | YNI | N | ? | NA |
|                                                                                            |   |     |   |   |    |
| 1.23 Do you have a detailed inventory of your assets?                                      | Y | YNI | N | ? | NA |
|                                                                                            |   |     |   |   |    |
| 1.24 Is/was there wide participation in programme reporting?                               | Y | YNI | N | ? | NA |
|                                                                                            |   |     |   |   |    |
| 1.25 Do your reports meet the information needs of their target audience?                  | Y | YNI | N | ? | NA |
|                                                                                            |   |     |   |   |    |

**NOTES:**

**2) General human resources**

|                                                                                                                                                                                                                                          |   |     |   |   |    |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-----|---|---|----|
| 2.1 Do you have a written personnel policy that is regularly reviewed and updated? (i.e. recruitment, hiring, termination, standard work conditions, salary scales, job descriptions, duties and reporting relationships for all staff)? | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                          |   |     |   |   |    |
| 2.2 Does your recruitment policy and practise promote gender balance & gender equality?                                                                                                                                                  | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                          |   |     |   |   |    |
| 2.3 Does your recruitment policy and practise promote the greater involvement of people living with HIV and AIDS?                                                                                                                        | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                          |   |     |   |   |    |
| 2.4 Do staff employed by the organisation have appropriate qualifications and/or experience?                                                                                                                                             | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                          |   |     |   |   |    |
| 2.5 Do staff demonstrate expertise in their specific work areas?                                                                                                                                                                         | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                          |   |     |   |   |    |

|                                                                                                    |   |     |   |   |    |
|----------------------------------------------------------------------------------------------------|---|-----|---|---|----|
| 2.6 Do staff have appropriate skills in monitoring and evaluating their programmes and activities? | Y | YNI | N | ? | NA |
|                                                                                                    |   |     |   |   |    |
| 2.7 Does the organisation conduct performance appraisals at least annually?                        | Y | YNI | N | ? | NA |
|                                                                                                    |   |     |   |   |    |
| 2.8 Have you got an on-going process of staff development?                                         | Y | YNI | N | ? | NA |
|                                                                                                    |   |     |   |   |    |
| 2.9 Is there effective communication within your organisation?                                     | Y | YNI | N | ? | NA |
|                                                                                                    |   |     |   |   |    |
| 2.10 Does your organisation effectively communicate with other organisations?                      | Y | YNI | N | ? | NA |
|                                                                                                    |   |     |   |   |    |

NOTES:

**3) Volunteer management**

|                                                                              |   |     |   |   |    |
|------------------------------------------------------------------------------|---|-----|---|---|----|
| 3.1 Do you have a written statement explaining why you work with volunteers? | Y | YNI | N | ? | NA |
|                                                                              |   |     |   |   |    |
| 3.2 Do your organisational policies cover volunteers?                        | Y | YNI | N | ? | NA |
|                                                                              |   |     |   |   |    |
| 3.3 Have you developed job descriptions for your volunteers?                 | Y | YNI | N | ? | NA |
|                                                                              |   |     |   |   |    |
| 3.4 Do you provide initial and on going training for volunteers?             | Y | YNI | N | ? | NA |
|                                                                              |   |     |   |   |    |
| 3.5 Is the work of volunteers monitored and evaluated on a regular basis?    | Y | YNI | N | ? | NA |
|                                                                              |   |     |   |   |    |
| 3.6 Do you recognise the contribution made by volunteers?                    | Y | YNI | N | ? | NA |
|                                                                              |   |     |   |   |    |

|                                                                                                                                               |   |     |   |   |    |
|-----------------------------------------------------------------------------------------------------------------------------------------------|---|-----|---|---|----|
| 3.7 Do you encourage meaningful participation from volunteers? (i.e. consultation, involvement in planning, getting their ideas and feedback) | Y | YNI | N | ? | NA |
|                                                                                                                                               |   |     |   |   |    |
| 3.8 Are you able to design and organise the work of volunteers to take into account their other time commitments?                             | Y | YNI | N | ? | NA |
|                                                                                                                                               |   |     |   |   |    |
| 3.9 Does the volunteer selection process take into account the diversity of the community and appropriate gender balance?                     | Y | YNI | N | ? | NA |
|                                                                                                                                               |   |     |   |   |    |

**NOTES:**

**4) Governance**

|                                                                                                                                                                                                                                                                                                                            |   |     |   |   |    |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|-----|---|---|----|
| 4.1 Do you have formal registration?                                                                                                                                                                                                                                                                                       | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                                                                                                            |   |     |   |   |    |
| 4.2 Do you have a Board? Is it elected or appointed? (N.B. some might call it an Executive Committee) <i>(if "NO" then jump to section 5 on resource mobilisation)</i>                                                                                                                                                     | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                                                                                                            |   |     |   |   |    |
| 4.3 Are the roles of the Board and director/management team clearly defined and well understood?                                                                                                                                                                                                                           | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                                                                                                            |   |     |   |   |    |
| 4.4 Does the Board reflect a cross-section of your community (i.e. stakeholders, both sexes, diversity in age, economic status, culture, geographic area served and skills/expertise)?                                                                                                                                     | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                                                                                                            |   |     |   |   |    |
| 4.5 Do you have a constitution? (i.e. how and when notices for board meetings are made, how members are elected /appointed, terms of office for officers/members, removal of ineffective board members from the board and a stated number of board members to make up a quorum which is required for all policy decisions) | Y | YNI | N | ? | NA |
|                                                                                                                                                                                                                                                                                                                            |   |     |   |   |    |

|                                                                      |   |     |   |   |    |
|----------------------------------------------------------------------|---|-----|---|---|----|
| 4.6 Does the Board regularly review financial and programme reports? | Y | YNI | N | ? | NA |
|                                                                      |   |     |   |   |    |
| 4.7 Does the Board approve revisions to the budget?                  | Y | YNI | N | ? | NA |
|                                                                      |   |     |   |   |    |

**NOTES:**

**5) Resource mobilisation and management**

|                                                                          |   |     |   |   |    |
|--------------------------------------------------------------------------|---|-----|---|---|----|
| 5.1 Do you actively mobilise local resources (donations, subscriptions)? | Y | YNI | N | ? | NA |
|                                                                          |   |     |   |   |    |
| 5.2 Do you actively mobilise national resources (NAC funds etc)?         | Y | YNI | N | ? | NA |
|                                                                          |   |     |   |   |    |
| 5.3 Do you actively mobilise international resources (donor contracts)?  | Y | YNI | N | ? | NA |
|                                                                          |   |     |   |   |    |
| 5.4 Do you have multiple funding sources?                                | Y | YNI | N | ? | NA |
|                                                                          |   |     |   |   |    |
| 5.5 Have you got a fundraising strategy?                                 | Y | YNI | N | ? | NA |
|                                                                          |   |     |   |   |    |

|                                                                                                     |   |     |   |   |    |
|-----------------------------------------------------------------------------------------------------|---|-----|---|---|----|
| 5.6 Do you have any income generation activities that help to fund your organisation's programming? | Y | YNI | N | ? | NA |
|                                                                                                     |   |     |   |   |    |
| 5.7 When you do annual budgeting, do you involve key staff outside of management?                   | Y | YNI | N | ? | NA |
|                                                                                                     |   |     |   |   |    |
| 5.8 Are at least two signatures needed on all cheques drawn by the organisation?                    | Y | YNI | N | ? | NA |
|                                                                                                     |   |     |   |   |    |
| 5.9 Do you have at least one trained accountant or bookkeeper?                                      | Y | YNI | N | ? | NA |
|                                                                                                     |   |     |   |   |    |
| 5.10 Are programme staff responsible for their own budget areas?                                    | Y | YNI | N | ? | NA |
|                                                                                                     |   |     |   |   |    |

NOTES:

**6) Learning and sharing**

|                                                                                                                                         |   |     |   |   |    |
|-----------------------------------------------------------------------------------------------------------------------------------------|---|-----|---|---|----|
| 6.1 Have you been able to improve the quality of your programming as a result of School Without Walls activities? (How?)                | Y | YNI | N | ? | NA |
|                                                                                                                                         |   |     |   |   |    |
| 6.2 Have you used or adapted SAT publications to improve your programming?                                                              | Y | YNI | N | ? | NA |
|                                                                                                                                         |   |     |   |   |    |
| 6.3 Through School Without Walls, have you built the skills base of your organisation (thereby reducing dependence on external skills)? | Y | YNI | N | ? | NA |
|                                                                                                                                         |   |     |   |   |    |
| 6.4 Do you facilitate skills training for other organisations / groups? (i.e. local, national or regional levels?)                      | Y | YNI | N | ? | NA |
|                                                                                                                                         |   |     |   |   |    |
| 6.5 Have you mentored or supported any other community groups? (How, which groups?)                                                     | Y | YNI | N | ? | NA |
|                                                                                                                                         |   |     |   |   |    |
| 6.6 Have you documented your work for sharing with others?                                                                              | Y | YNI | N | ? | NA |
|                                                                                                                                         |   |     |   |   |    |

**NOTES:**

**7) Advocacy and networking**

|                                                                                                                          |   |     |   |   |    |
|--------------------------------------------------------------------------------------------------------------------------|---|-----|---|---|----|
| 7.1 Do you support or train other organisations to link issues of HIV and gender equality, human rights or child rights? | Y | YNI | N | ? | NA |
|                                                                                                                          |   |     |   |   |    |
| 7.2 Do you lead or play a major role in national advocacy activities on HIV-related issues?                              | Y | YNI | N | ? | NA |
|                                                                                                                          |   |     |   |   |    |
| 7.3 Do you have an advocacy and networking strategy or plan?                                                             | Y | YNI | N | ? | NA |
|                                                                                                                          |   |     |   |   |    |
| 7.4 Do you produce materials that help to achieve your advocacy and networking goals?                                    | Y | YNI | N | ? | NA |
|                                                                                                                          |   |     |   |   |    |

**NOTES:**

## Overall assessments

| Assessment areas                                                                                                                                                          | Capacity Assessment |                    |               |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|--------------------|---------------|
| <u>Planning, monitoring and reporting:</u><br>Long term 3-5 year strategic plan and systems of regular review and updating in place                                       | <b>Emerging</b>     | <b>Established</b> | <b>Mature</b> |
| <u>General human resources</u><br>General human resources system (recruiting, training, salary and appraisals) established and operational                                | <b>Emerging</b>     | <b>Established</b> | <b>Mature</b> |
| <u>Volunteer management</u><br>Systems for recruiting, training, managing and retaining volunteers in place.                                                              | <b>Emerging</b>     | <b>Established</b> | <b>Mature</b> |
| <u>Governance</u><br>Governance structures (role of board, director/management team, and governance systems) in place.                                                    | <b>Emerging</b>     | <b>Established</b> | <b>Mature</b> |
| <u>Resource mobilisation and management</u><br>The organisation has established systems for mobilising resources to meet the needs of the organisation and its work.      | <b>Emerging</b>     | <b>Established</b> | <b>Mature</b> |
| <u>Learning and Sharing</u><br>The organisation has demonstrated ability to translate skills acquired through SWW into programming                                        | <b>Emerging</b>     | <b>Established</b> | <b>Mature</b> |
| <u>Advocacy and networking</u><br>The organisation's advocacy and networking activities effectively link issues of HIV and gender equality, human rights or child rights. | <b>Emerging</b>     | <b>Established</b> | <b>Mature</b> |

**KEY: Organisational capacity assessment levels.**

- **Emerging** - the partner is starting to develop some capacity in the standards/criteria measured by the checklist.
- **Established** - the partner has established capacity in the standards/criteria measured by the checklist. The standards /criteria are in place and functioning but they are incompletely developed.
- **Mature** - the partner's capacity is well developed , fully functional and sustainable (even though there may still be room for improvement).

**Process for conducting assessment**

- After filling in the organisational capacity checklist the SAT team should discuss and agree on the overall assessment of each area.
- In the follow-up meeting with the partner management discuss the overall assessments allocated to each area.

## SOCAT Report Template

**Partner organisation:** \_\_\_\_\_

### Overall organisational capacity assessment

| Assessment areas                                                                                                                                                          | Capacity Assessment |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| <u>Planning, monitoring and reporting:</u><br>Long term 3-5 year strategic plan and systems of regular review and updating in place                                       |                     |
| <u>Volunteer management</u><br>Systems for recruiting, training, managing and retaining volunteers in place.                                                              |                     |
| <u>General human resources</u><br>General human resources system (recruiting, training, salary and appraisals) established and operational.                               |                     |
| <u>Governance</u><br>Governance structures (role of board, director/management team, and governance systems) in place.                                                    |                     |
| <u>Resource mobilisation and management</u><br>The organisation has established systems for mobilising resources to meet the needs of the organisation and its work.      |                     |
| <u>Learning and Sharing</u><br>The organisation has demonstrated ability to translate skills acquired through SWW into programming                                        |                     |
| <u>Advocacy and networking</u><br>The organisation's advocacy and networking activities effectively link issues of HIV and gender equality, human rights or child rights. |                     |

**KEY: Organisational capacity assessment levels.**

- **Emerging** - the partner is starting to develop some capacity in the standards/criteria measured by the checklist.
- **Established** - the partner has established capacity in the standards/criteria measured by the checklist. The standards /criteria are in place and functioning but they are incompletely developed.
- **Mature** - the partner's capacity is well developed , fully functional and sustainable (even though there may still be room for improvement.

**Comment on overall organisational capacity assessment:**

**Key Issues (summary of findings)**

1. Planning, monitoring and reporting

2. General human resources

3. Volunteer management

4. Governance

5. Resource mobilisation and management

6. Learning and Sharing

7. Advocacy and networking

**SOCAT:****1. Planning, monitoring and reporting**

| Question                                                                                                                                                                                              | Answer | Comment |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|---------|
| 1.1 Have you got a written strategic plan for the next 3-5 years? ( <i>if "NO" then jump to 1.7</i> )                                                                                                 |        |         |
| 1.2 Does the strategic plan set goals and measurable objectives?                                                                                                                                      |        |         |
| 1.3 Does the strategic plan identify performance indicators to measure progress towards goals and objectives?                                                                                         |        |         |
| 1.4 Do you periodically review the strategic plan and revise it if necessary?                                                                                                                         |        |         |
| 1.5 When you developed your strategic plan did you consider the external and internal environment?                                                                                                    |        |         |
| 1.6 Do the board, staff, volunteers, beneficiaries and members of the community participate in the planning and review of the strategic plan?                                                         |        |         |
| 1.7 Do you have short-term workplans and budgets to ensure the accomplishment of the goals on time? (i.e. annual workplans or semi-annual workplans)                                                  |        |         |
| 1.8 Do you have a written vision statement that communicates your "future direction"?                                                                                                                 |        |         |
| 1.9 Do you have a written mission statement that communicates your fundamental purpose, values and community served?                                                                                  |        |         |
| 1.10 Is/was there wide participation in the development of the vision and mission statements? (i.e. involvement of board, staff, volunteers, stakeholders, beneficiaries and other community members) |        |         |
| 1.11 Are your programmes and activities consistent with your organisation's mission and strategic plan?                                                                                               |        |         |

|      |                                                                                                               |  |  |
|------|---------------------------------------------------------------------------------------------------------------|--|--|
| 1.12 | Has a needs assessment been conducted for each of your programmes or activities?                              |  |  |
| 1.13 | Do you have a clearly defined catchment area for your work?                                                   |  |  |
| 1.14 | Do you have guidelines or criteria to identify the vulnerable groups you want to work with?                   |  |  |
| 1.15 | Are you working towards establishing comprehensive programmes to meet the needs of your community?            |  |  |
| 1.16 | Do you regularly monitor your programmes and activities? (what tools are used? Do you disaggregate the data?) |  |  |
| 1.17 | Do systems exist for recording and filing information?                                                        |  |  |
| 1.18 | Do you regularly evaluate the quality and appropriateness of your programmes and activities?                  |  |  |
| 1.19 | Have programme staff been trained in gender awareness / gender mainstreaming?                                 |  |  |
| 1.20 | Are your programmes and activities designed, monitored and evaluated from a gender perspective?               |  |  |
| 1.21 | Have you formed strategic alliances with any organisation to improve your services or capacity?               |  |  |
| 1.22 | Do you have written policies and procedures governing your assets and infrastructure?                         |  |  |
| 1.23 | Do you have a detailed inventory of your assets?                                                              |  |  |
| 1.24 | Is/was there wide participation in programme reporting?                                                       |  |  |
| 1.25 | Do your reports meet the information needs of their target audience?                                          |  |  |

## 2. General human resources

| Question                                                                                                                                                                                                                                 | Answer | Comment |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|---------|
| 2.1 Do you have a written personnel policy that is regularly reviewed and updated? (i.e. recruitment, hiring, termination, standard work conditions, salary scales, job descriptions, duties and reporting relationships for all staff)? |        |         |
| 2.2 Does your recruitment policy and practise promote gender balance & gender equality?                                                                                                                                                  |        |         |
| 2.3 Does your recruitment policy and practise promote the greater involvement of people living with HIV and AIDS?                                                                                                                        |        |         |
| 2.4 Do staff employed by the organisation have appropriate qualifications and/or experience?                                                                                                                                             |        |         |
| 2.5 Do staff demonstrate expertise in their specific work areas?                                                                                                                                                                         |        |         |
| 2.6 Do staff have appropriate skills in monitoring and evaluating their programmes and activities?                                                                                                                                       |        |         |
| 2.7 Does the organisation conduct performance appraisals at least annually?                                                                                                                                                              |        |         |
| 2.8 Have you got an on-going process of staff development?                                                                                                                                                                               |        |         |
| 2.9 Is there effective communication within your organisation?                                                                                                                                                                           |        |         |
| 2.10 Does your organisation effectively communicate with other organisations?                                                                                                                                                            |        |         |

### 3 Volunteer management

| Question                                                                                                                                      | Answer | Comment |
|-----------------------------------------------------------------------------------------------------------------------------------------------|--------|---------|
| 3.1 Do you have a written statement explaining why you work with volunteers?                                                                  |        |         |
| 3.2 Do your organisational policies cover volunteers?                                                                                         |        |         |
| 3.3 Have you developed job descriptions for your volunteers?                                                                                  |        |         |
| 3.4 Do you provide initial and on going training for volunteers?                                                                              |        |         |
| 3.5 Is the work of volunteers monitored and evaluated on a regular basis?                                                                     |        |         |
| 3.6 Do you recognise the contribution made by volunteers?                                                                                     |        |         |
| 3.7 Do you encourage meaningful participation from volunteers? (i.e. consultation, involvement in planning, getting their ideas and feedback) |        |         |
| 3.8 Are you able to design and organise the work of volunteers to take into account their other time commitments?                             |        |         |
| 3.9 Does the volunteer selection process take into account the diversity of the community and appropriate gender balance?                     |        |         |

## 4. Governance

| Question                                                                                                                                                                                                                                                                                                                   | Answer | Comment |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|---------|
| 4.1 Do you have formal registration?                                                                                                                                                                                                                                                                                       |        |         |
| 4.2 Do you have a Board? Is it elected or appointed? (N.B. some might call it an Executive Committee) <i>(if "NO" then jump to section 5 on resource mobilisation)</i>                                                                                                                                                     |        |         |
| 4.3 Are the roles of the Board and director/management team clearly defined and well understood?                                                                                                                                                                                                                           |        |         |
| 4.4 Does the Board reflect a cross-section of your community (i.e. stakeholders, both sexes, diversity in age, economic status, culture, geographic area served and skills/expertise)?                                                                                                                                     |        |         |
| 4.5 Do you have a constitution? (i.e. how and when notices for board meetings are made, how members are elected /appointed, terms of office for officers/members, removal of ineffective board members from the board and a stated number of board members to make up a quorum which is required for all policy decisions) |        |         |
| 4.6 Does the Board regularly review financial and programme reports?                                                                                                                                                                                                                                                       |        |         |
| 4.7 Does the Board approve revisions to the budget?                                                                                                                                                                                                                                                                        |        |         |

## 5. Resource mobilisation and management

| Question |                                                                                                 | Answer | Comment |
|----------|-------------------------------------------------------------------------------------------------|--------|---------|
| 5.1      | Do you actively mobilise local resources (donations, subscriptions)?                            |        |         |
| 5.2      | Do you actively mobilise national resources (NAC funds etc)?                                    |        |         |
| 5.3      | Do you actively mobilise international resources (donor contracts)?                             |        |         |
| 5.4      | Do you have multiple funding sources?                                                           |        |         |
| 5.5      | Have you got a fundraising strategy?                                                            |        |         |
| 5.6      | Do you have any income generation activities that help to fund your organisation's programming? |        |         |
| 5.7      | When you do annual budgeting, do you involve key staff outside of management?                   |        |         |
| 5.8      | Are at least two signatures needed on all cheques drawn by the organisation?                    |        |         |
| 5.9      | Do you have at least one trained accountant or bookkeeper?                                      |        |         |
| 5.10     | Are programme staff responsible for their own budget areas?                                     |        |         |

## 6. Learning and sharing

| Question                                                                                                                                | Answer | Comment |
|-----------------------------------------------------------------------------------------------------------------------------------------|--------|---------|
| 6.1 Have you been able to improve the quality of your programming as a result of School Without Walls activities? (How?)                |        |         |
| 6.2 Have you used or adapted SAT publications to improve your programming?                                                              |        |         |
| 6.3 Through School Without Walls, have you built the skills base of your organisation (thereby reducing dependence on external skills)? |        |         |
| 6.4 Do you facilitate skills training for other organisations / groups? (i.e. local, national or regional levels?)                      |        |         |
| 6.5 Have you mentored or supported any other community groups? (How, which groups?)                                                     |        |         |
| 6.6 Have you documented your work for sharing with others?                                                                              |        |         |

## 7. Advocacy and networking

| Question |                                                                                                                      | Answer | Comment |
|----------|----------------------------------------------------------------------------------------------------------------------|--------|---------|
| 7.1      | Do you support or train other organisations to link issues of HIV and gender equality, human rights or child rights? |        |         |
| 7.2      | Do you lead or play a major role in national advocacy activities on HIV-related issues?                              |        |         |
| 7.3      | Do you have an advocacy and networking strategy or plan?                                                             |        |         |
| 7.4      | Do you produce materials that help to achieve your advocacy and networking goals?                                    |        |         |