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**“We appreciated the collaborative and inclusive nature of the OCA process. The facilitators provided clear guidance and created a supportive environment that encouraged open discussions. The structured approach helped us identify our strengths and areas for improvement effectively.”**

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<p><b>6.7 Consentimiento y confidencialidad</b> En cualquier caso relacionado con la explotación sexual, el abuso sexual y todas las formas de abuso infantil, la OSC debe obtener el consentimiento para asegurarse de que la persona es consciente de sus decisiones.</p>	<p>La OSC no tiene una política de consentimiento obligatorio que establezca la necesidad de permiso cuando se presenta un incidente.</p>	<p>La OSC se asegura de obtener el consentimiento en casos de explotación sexual, abusos u otras formas de maltrato, pero muchas personas de dentro y fuera de la OSC intervienen en la tramitación del caso, por lo que se pierde la confidencialidad.</p>	<p>La OSC cuenta con un procedimiento para obtener el consentimiento de los supervivientes de explotación sexual, y abuso sexual (y abuso infantil), antes de iniciar la denuncia formal del caso. Se toman medidas para garantizar la confidencialidad, pero no son suficientes, ya que, por ejemplo, la información sobre casos de protección puede no estar almacenada de forma segura.</p>	<p>La OSC cuenta con procedimientos y políticas que solicitan el consentimiento de los supervivientes de explotación y abusos sexuales en cada paso que se da. En los casos que afectan a niños, la OSC obtiene el consentimiento garantizando el principio del "interés superior del niño". Se garantiza la confidencialidad y la información se almacena de forma segura.</p>
<p><b>6.8 Inclusión</b> Es importante garantizar la protección de los grupos que han sufrido discriminación y marginación en el pasado. Para proteger a estos grupos de una discriminación continuada, la OSC debe declarar y describir explícitamente cómo protege específicamente a los grupos discriminados y marginados de cualquier forma de explotación sexual, abuso sexual y abuso infantil.</p>	<p>No existen declaraciones específicas en las políticas para garantizar la protección de los grupos discriminados y marginados frente a la explotación sexual, los abusos sexuales y el abuso infantil.</p>	<p>La política de salvaguarda de la OSC aborda indirectamente la inclusión, pero no explícitamente.</p>	<p>La política de salvaguarda de la OSC menciona específicamente a los grupos discriminados y marginados para protegerlos de los abusos de explotación. La OSC sensibiliza a través de cursos de formación o de otras formas sobre la inclusión de la protección.</p>	<p>Las políticas de salvaguarda y otras políticas de protección y prevención de las OSC abordan explícitamente cuestiones de inclusión. Las OSC forman a todo el personal para garantizar</p>
<p><b>6.9 Seguridad y protección de la OSC y de su personal</b> Las OSC que trabajan en favor de los derechos humanos abordando las causas profundas de la injusticia y la discriminación deben ser conscientes de que esta labor de cambio suele provocar resistencia. Esta resistencia puede crear riesgos para la OSC, su personal, sus miembros, sus voluntarios y los titulares de derechos con los que trabaja. La OSC debe tener la capacidad de analizar esos posibles riesgos y cómo asegurarse de que puede mitigarlos y gestionarlos. Los riesgos suelen ser mayores para los grupos que ya están expuestos a la discriminación y la marginación debido a su género, identidad sexual, origen étnico, religioso o de otro tipo. Por lo tanto, las OSC deben analizar los riesgos desde una perspectiva interseccional.</p>	<p>La OSC no es consciente de que puede estar expuesta a riesgos o de que su personal, integrantes, voluntarios o titulares de derechos están expuestos a riesgos debido a la resistencia contra su trabajo.</p>	<p>La OSC es consciente de que ella misma, su personal, sus integrantes, sus voluntarios y los titulares de derechos con los que se relaciona pueden estar expuestos a riesgos relacionados con su trabajo. Principalmente, gestiona estos riesgos evitando las acciones que considera que pueden desencadenar dichos riesgos.</p>	<p>La OSC es capaz de analizar los riesgos y cuenta con un plan de gestión de riesgos desde la perspectiva de la protección, pero este plan no tiene una perspectiva interseccional y se centra en los riesgos para la organización.</p>	<p>La OSC dispone de un sistema con un enfoque interseccional para analizar y abordar los riesgos relacionados con la seguridad y la protección. La OSC tiene contactos con otras OSC o partes interesadas con experiencia o que pueden apoyarla para protegerse a sí misma y a las personas con las que se relaciona. Su enfoque de la seguridad y la protección incluye el apoyo psicosocial y el bienestar psicosocial.</p>
<p>Puntuación total Salvaguarda</p>				

La política de consentimiento obligatorio...

en el tema más en seguridad

La política está en construcción pero la organización cuenta con plan de...

La organización cuenta con la política de identificación de...

en el caso de caso en estos...

cómo tener cosas...

se utiliza de se emplea...

Se garantiza la confidencialidad para los casos que se han presentado...

Se tiene conciencia del procedimiento de...

Al menos formación al personal, no aplicas temas de grupo discriminados...

Protección...

Si se es consciente de...

## For whom is this document?

**This document is developed for facilitators of the organisational capacity development. It focuses on the process of carrying out organisational capacity development and describes the entire process; from initiating discussions with an organisation about engaging in organisational capacity development to the final evaluation of their progress.**

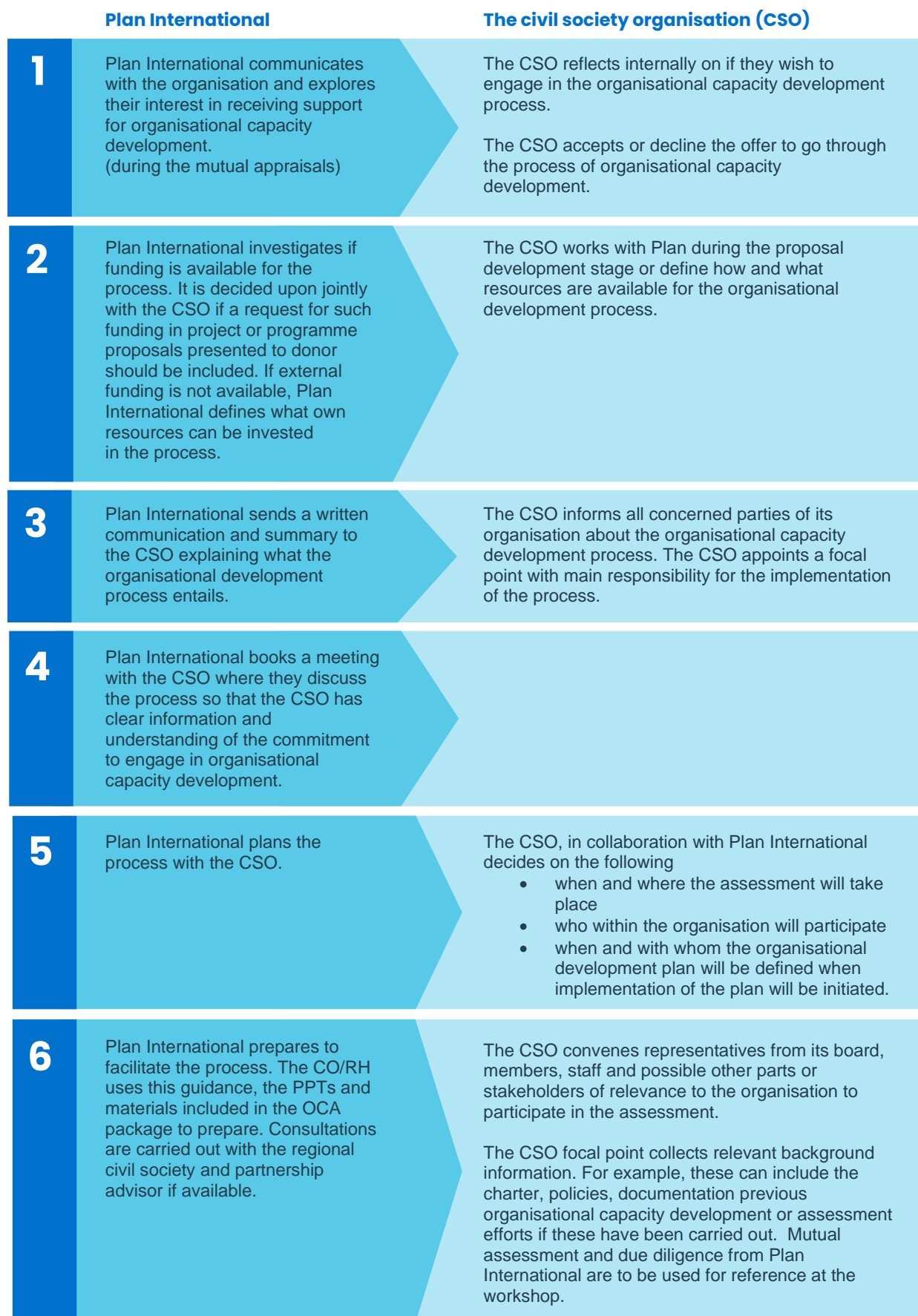
This document serves as a supplement to the “Introduction to the organisational capacity development” document that gives an overview and rationale for organisational capacity development.

The document firstly provides an overview of the process and then details each step of the process and how to facilitate them.



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# Overview of the organisational capacity development process



## Plan International

## The civil society organisation (CSO)

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The organisational capacity assessment is facilitated by the CO/RH. Plan International introduces the methodology (fit for the organisation) and facilitates the assessment.

The organisation involves representatives from all relevant stakeholders from the organisation in the assessment and creates conditions that allow for everyone's meaningful participation in an ambience where dissenting opinions are respected.

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The facilitator supports the participants to assess its level of organisational capacity by using the excel file with the OCA tool. The facilitator ensures all data is included and a consolidated assessment is produced.

The focal point within the organisation convene the leadership (members from the board and/or the leadership from the organisation) to develop and Organizational Capacity Development plan.

9

Plan International facilitates the development of an organisational development plan based on the assessment.

The organisation develops an organisational development plan and decides how to follow up and monitor that the plan is implemented.

10

Plan International review available resources and funding for the implementation of the organisational development plan.

The organisation defines which areas are prioritized to develop based on available resources, support from Plan International and other actors who may be able to support the implementation of the OD plan.

11

Plan International discusses with the civil society organisation when and how to implement the OD plan. Follow up of the implementation is also discussed and agreed on.

The organization, in collaboration with Plan International and other potential supporting entities, establishes a consensus on the timeline for the Organizational Development (OD) plan's implementation. They also define a process for monitoring progress and conducting follow-ups to ensure successful execution.

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Plan International facilitates capacity development support coordinate and engage with other organisations or stakeholders that can provide trainings and actions to implement the OD plan.

The CSO invests in its capacity development through engaging in trainings, coaching or other activities and identify actors who can support the organisational development and the implementation of the OD.

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Plan International supports the monitoring of the implementation of the OD plan. Plan International gives support to an annual review of the OCA and support to the adjustment of the OD plan in line with the outcomes of the OCA review. Plan International supports the internal or external evaluation of the organisational capacity development work.

The organisation monitors the implementation of the OD plan and annually reviews and updates OCA. As the OD plan is implemented, priorities may shift-then the OD plan will also be reviewed to reflect the new outcomes of the OCA. The organisation evaluates, internally externally the relevance, effectiveness, and impact of the organisational development.

## Starting up the process



**The process of organisational capacity development does not start with a workshop where the organisation assesses its capacity. The dialogue with the organisation to explore if the organisation is interested in engaging in the process of organisational capacity development is the starting point of the process.**



For Plan International, this dialogue can be initiated during the mutual appraisals process. This part of the process is crucial and an approval to engage should be expressed through a decision by the senior management of the partner organisation.

Engaging in organisational capacity development requires commitment from the organisation, since dedication of time and resources are required to the process. The organisation must also be prepared to engage in open, honest, and in-depth internal discussions about how the organisation is functioning.

The decision to engage in a process of organisational capacity development needs to build on a voluntary commitment by the organisation. To enable the organisation to make an informed decision, Plan International is required to describe the purpose and the process of organisational capacity development.

A meeting for this purpose can be arranged. After such a meeting the document “Communication brief about organisational capacity development” can be shared with the organisation. Allow the organisation to reflect and discuss if they wish to engage in the process.

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Ideally the dialogue surrounding if the organisation is to engage in organisational capacity development should start within a considerate timeframe prior to when the organisational capacity assessment is carried out (4-6 weeks will give the organisation time to reflect and decide if it wants to engage in the process).

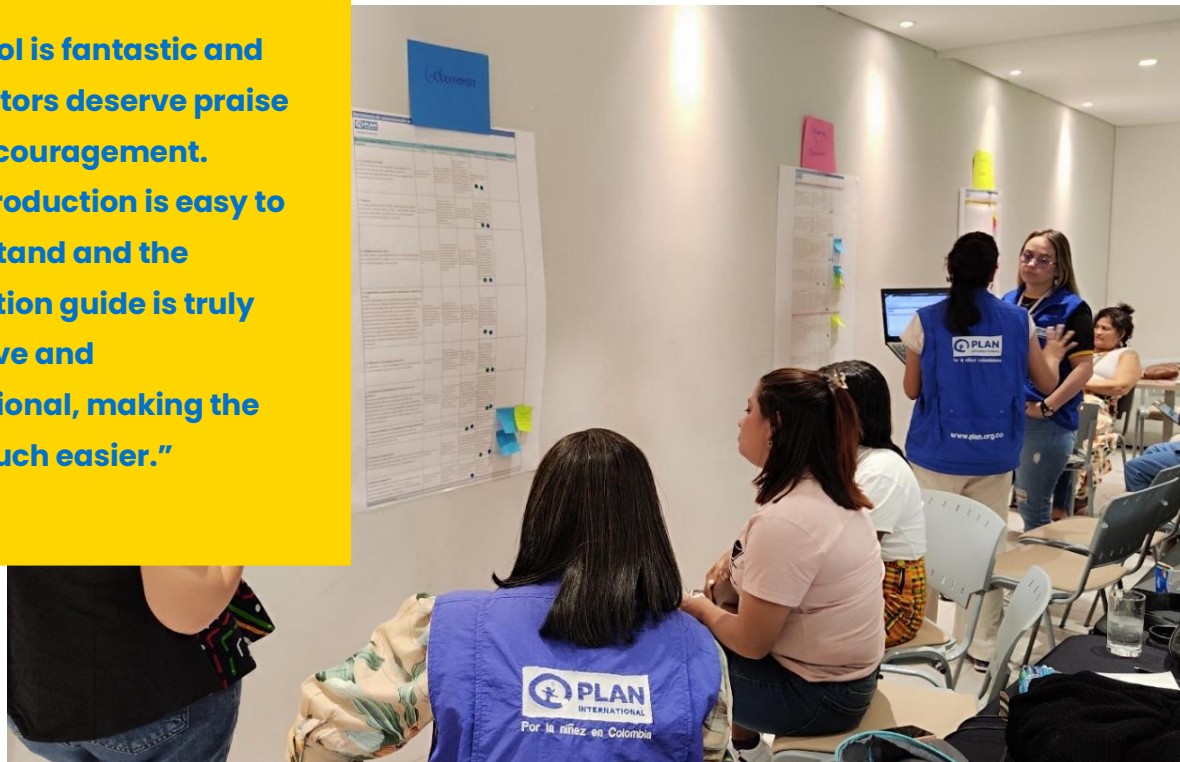
If the organisation decides to engage in the process, Plan International should ask the organisation to appoint a focal point for the organisational capacity development process.

That person will coordinate the process within the organisation and will for example arrange the organisational capacity assessment workshop, coordinate the drafting of the organisational development plan etc, with the support of Plan International.

Organisational capacity development can be carried out with or without external or specific funding. Plan International can include the process of organisational capacity development into the project or programme design and budget for it. If the process of organisational capacity development is included in a proposal for funding, the concerned CSOs should be consulted before the submission of the proposal. If Plan International seeks local civil society partners through an open call for partnership, it should to be clearly expressed in the call that commitment to engage in the organisational capacity development is a requirement for collaboration. Setting aside 10-15% of the total partner CSO budget specifically to organisational capacity development should enable the partner CSO's to implement its plan for organisational capacity development.



**“The tool is fantastic and its creators deserve praise and encouragement. The introduction is easy to understand and the facilitation guide is truly objective and educational, making the task much easier.”**



## Existing work on organisational capacity development

A partner civil society organisation may already be engaged in a process of organisational capacity development, either on its own, or with support from another donor and partner. In those cases, Plan International should have a dialogue with the partner to learn more about that process.

What methodology has been used? Is there dedicated funding set aside for the process?

With this material on organisational capacity development, Plan International has opted for using the OCAT or octagon model for organisational capacity development.

This means that this is the model that Plan International intends to use when we are facilitating and supporting organisational capacity development.

This should not mean that partner CSOs cannot use other methodologies. If a partner CSO is already engaged in Organisational capacity development and are using a different methodology that allows them to go through this process in a qualitative way, Plan International can support that ongoing organisational capacity development process.

For example, adding funding and offering to support with capacity building activities within areas where Plan International has competence and where the partner CSO is interested in getting this support from Plan International.

Duplication of efforts by having the partner engaging in two different processes of organisational capacity development is inefficient and not in line with the localisation agenda, whereby we should contribute to increasing local partners power and control over their own organisation and work.

If the partner CSO is already engaged in an organisational capacity development process, Plan International should coordinate and benefit from what is already ongoing with the organisation itself, and other donors that may be engaged in the process. This aligns to the development effectiveness principle of harmonisation.

If the other organisational capacity development process is limited in its scope, for example only supporting capacity development on specific thematic or other areas, Plan International should discuss with the organisation if they want to accept the offer of Plan International to engage in our more comprehensive process.



**It is important to remember that the decision to engage always lies with the partner CSO itself!**

## Planning—preparing for the organisational capacity assessment process

When the organisation has decided to engage in organisational capacity development, Plan International should book a new meeting with the organisation and the appointed focal point and present the whole process of organisational capacity development. This will incorporate the organisation of the organisational capacity assessment to the implementation of the development plan. After that Plan International and the partner CSO plans the process together.

The partner should have clear understanding of who needs to be invited to the organisational capacity assessment workshop. This workshop is crucial and should be planned so that the partner CSO can include different stakeholders from within the organisation: the board, member representatives, staff representatives and the management. Smaller organisations may not have all these entities within the organisation, and it may be possible there are no paid staff. In these cases, the important thing is that all concerned stakeholders within the organisation can meet and discuss how they assess the organisations capacity.

If the organisation does not have members, it can invite representatives from the rights-holders it works with. This could possibly be for example children and youth. If it does not have staff, it can invite volunteers.

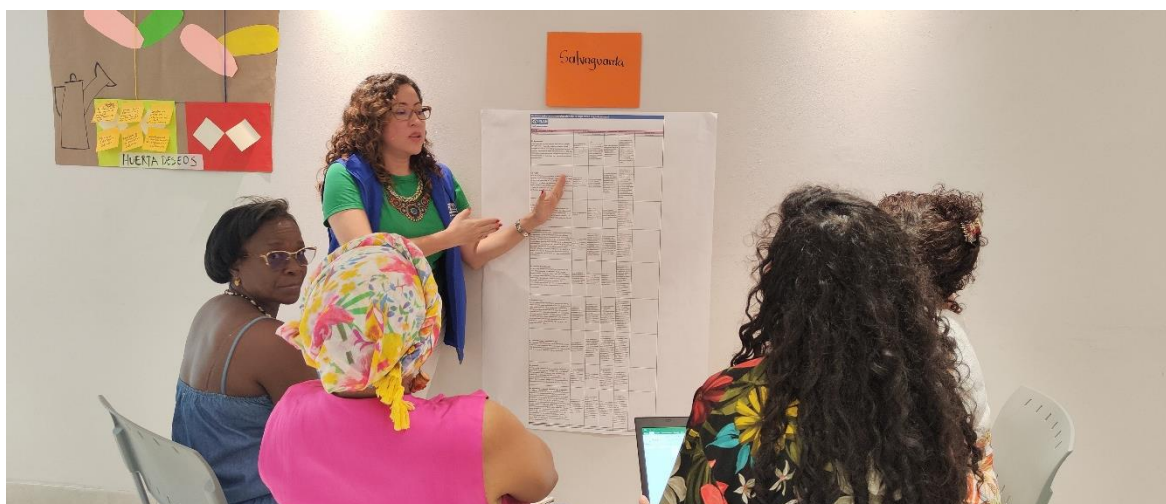
When a date for the workshop and who should participate has been defined, Plan International can start preparing the facilitation of the workshop.

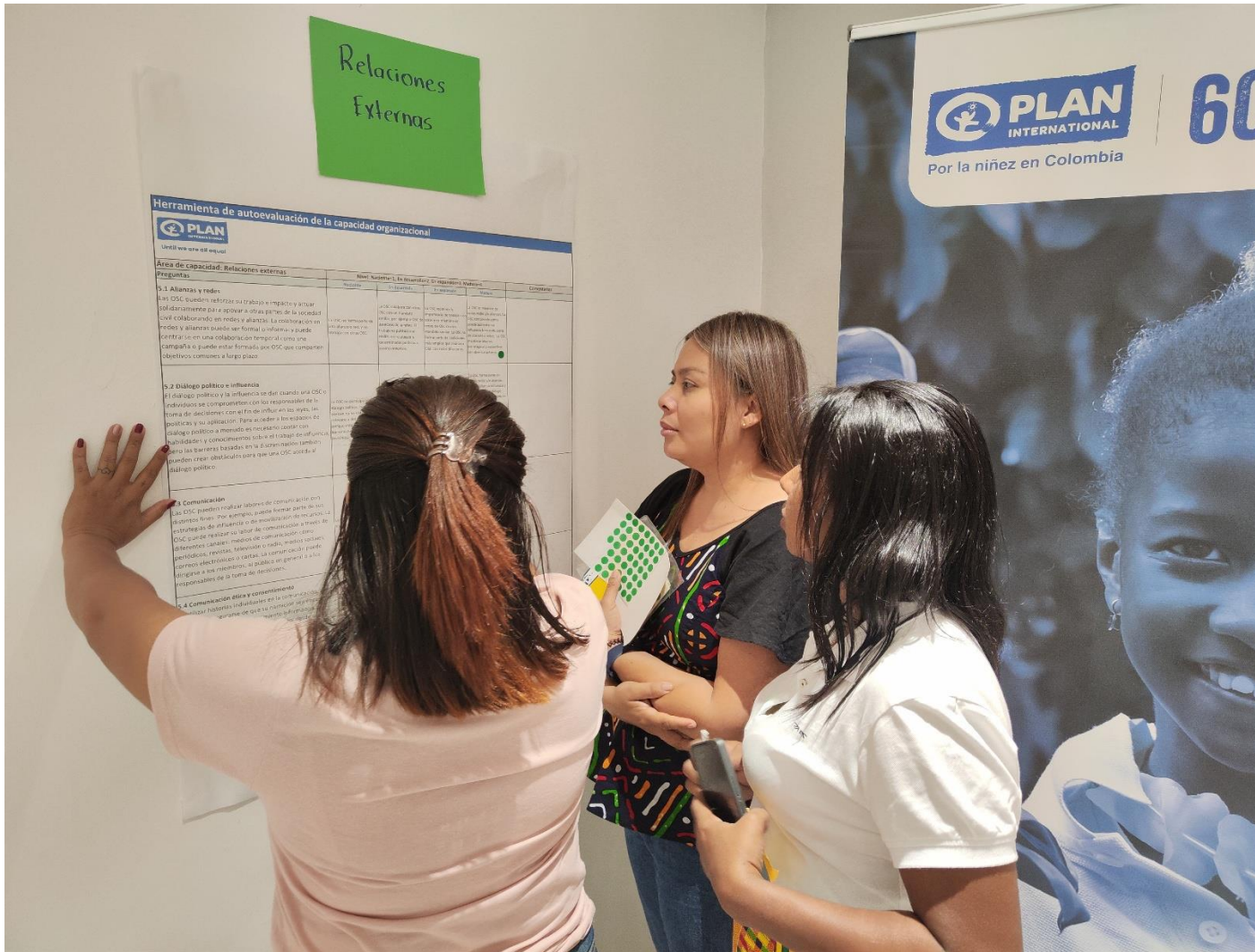
It is important to prepare for the workshop by bringing out all knowledge Plan International has about the organisation.

The person who will be facilitating the workshop should go through and familiarise themselves with the material in the OCA package to prepare the following: the introduction to OCD, this facilitators guide, the generic PowerPoint for the OCA workshop and the excel document with the Organisational Capacity Assessment.

The facilitator should ask the focal point from the CSO to collect all relevant documents such as the organisation's charter, policies, and other relevant material to go through these as a preparation, but also to bring to the workshop.

The mutual assessment and the due diligence carried out between Plan International and the CSO should also be included in this material. During the mutual appraisals process the CSO has already reviewed several internal processes and this information can be relevant background information. The more informed the facilitator is about the organisation; more comprehensive support can be provided during the assessment.





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## Organisational capacity development workshop

As described, it is important the facilitator is both familiar with and understands the Organisational Capacity Assessment tool and is informed as much as possible about the organisation itself. Start up the workshop by describing the objective of the organisational capacity development process and how the workshop will be carried out. Underline the importance of allowing everyone to express their own views and showing respect for dissenting views. Before starting the assessment of each capacity area, start with a discussion around the content and broader points of that area.

Under the capacity area of People and Culture, there are some questions for organisations with employed staff. If the organisation does not have employed staff, these questions should be omitted. All questions should be replied.

The OCA workshop should be held in the language that participants from the organisation speak, if possible. This will reduce misunderstanding and make the review quicker. It will also allow everyone to participate and express themselves clearly. This means that the facilitator should ideally speak the language of the participants.

# Developing an Organisational Capacity Development Plan and follow-up and monitoring of the organisational capacity development.

After the OCA workshop, the organisation should develop an Organisational Capacity Development (OCD) Plan. The leadership of the organisation, meaning the and/or the leadership of the organisation should convene and review the Organisational Capacity Assessment and develop an OCD plan.

The plan should be developed based on the outcomes of the OCA. This means that the group developing the plan should review how all capacity areas have been assessed and possible comments made in the documents. If an area, such as finance, was assessed as nascent, then the leadership of the CSO should consider developing Outcomes and activities to further develop its capacity linked to finance.

If the CSO for example does not have any budgeting practices or follow up on budgets, the outcome to develop could be to install capacity within relevant staff on how to produce budgets and how to follow up on budgets.

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Naciente	En desarrollo	En expansión	Maduro	Comentarios
llevan registros de las transacciones y no se archivan los recibos.	Las transacciones se registran en un libro de caja o en un sistema, pero no se mantienen actualizadas. A menudo se confunden fondos de distintas fuentes. Muchas transacciones carecen de justificantes o recibos.	Las transacciones se registran con exactitud y prontitud, pero los justificantes no siempre están disponibles ni se archivan de forma sistemática.	Todas las transacciones se registran con precisión y prontitud en un programa informático de doble entrada, con toda la documentación justificativa fácilmente accesible de acuerdo con el manual financiero.	Se necesita mejorar la precisión del software para mejorar los datos y asegurar que los procedimientos sean los mismos.
Existen manuales ni procedimientos financieros.	Existe un manual financiero, pero no se sigue en la práctica.	Existe un manual financiero, pero no está completo y no se siguen todas las normas.	Existe y se sigue un manual que incluye descripciones detalladas de los procedimientos contables para los distintos tipos de transacciones financieras y contables, incluidos los sistemas de gestión bancaria y de tesorería.	Se requiere actualizar el manual de acuerdo con los cambios en la práctica.
no tiene cuenta bancaria o sus fondos están en la cuenta personal de un individuo y no es utilizada como su cuenta bancaria.	La OSC tiene una cuenta bancaria y una caja o caja fuerte, pero a veces el personal pide dinero prestado o mezcla su dinero personal con la caja chica o menor de la OSC.	La OSC regula los fondos depositados en el banco y en efectivo. Se requieren al menos dos firmantes para todas las transacciones bancarias.	La OSC maximiza los intereses de las cuentas bancarias y supervisa cuidadosamente el flujo de caja.	Los registros de la OSC deben ser más precisos y detallados.
no tiene funciones asignadas claras con el trabajo financiero.	La OSC cuenta con personal dedicado a las finanzas, pero con experiencia limitada.	Existen descripciones de funciones y líneas jerárquicas relativas a asuntos financieros, incluidos umbrales/límites de aprobación, pero no siempre se respetan.	Existen líneas claras de información y rendición de cuentas en materia financiera y los umbrales/límites de aprobación están documentados y se respetan.	
no tiene preparadores de presupuestos.	Se elaboran presupuestos para los proyectos, pero no existe un presupuesto organizativo.	Se preparan los presupuestos de los proyectos y de los programas anuales y de la organización.	Se elaboran los presupuestos de los proyectos y de los programas plurianuales y de la organización.	Se necesita mejorar la precisión de los datos y asegurar que los procedimientos sean los mismos.
no se determinan los gastos en función de los presupuestos disponibles.	Se presta poca o ninguna atención a los presupuestos a la hora de elegir las actividades y gastar los fondos.	Los gastos se controlan con respecto a los presupuestos, pero no se toman medidas cuando se detectan problemas.	Los gastos se controlan estrechamente con respecto a estos presupuestos y se toman medidas correctivas cuando surgen problemas.	
los informes financieros se elaboran cuando lo requiere el donante. Existen, pero no se actualizan a la fecha de ingresos.	De vez en cuando se elaboran informes financieros, pero reflejan más lo que se cree que dejará satisfecho a un donante que la realidad. Los informes suelen llegar tarde.	Se elaboran informes razonablemente precisos con regularidad, pero a menudo se confunden los proyectos y las fuentes de ingresos. Los informes suelen llegar a tiempo.	Se elaboran informes precisos, diferenciando claramente los proyectos y las fuentes de ingresos. Los informes se completan y envían antes de la fecha límite.	
no se han realizado auditorías con regularidad. Cuando se han llevado a cabo, no se han aplicado las conclusiones.	No se han realizado auditorías con regularidad. Cuando se han llevado a cabo, no se han aplicado las conclusiones.	Se realizan auditorías, pero no son independientes ni se ajustan a las normas internacionales de auditoría.	Periódicamente se realizan auditorías legales y de proyectos. Existen rutinas de seguimiento y tratamiento de las conclusiones y deficiencias.	Se requiere hacer más de cinco auditorías al año.



**The activities to be developed could be; identify staff or members who are responsible for developing and monitoring a budget, identify a trainer (could for example be Plan Finance staff), train staff, coach staff, ensure that budget is produced and followed up on.**



**“Facilitating the partners was a very rich experience that strengthened not only the partners but also Plan staff.”**



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To ensure the continued ownership of the partner of the organisational capacity development process, it should be the partner that leads the monitoring of the process. Plan International can continue to support and facilitate the process.

If the organisational capacity development is part of the project or programme outcomes, Plan International must follow-up and monitor the implementation. This should be undertaken together with the partner and based on their perceptions of the validity of the outcomes and outputs. The Organisational capacity assessment should be revisited annually.

This can be a more “light-touch” process, where for example only the leadership within the organisation, for example the management team and the board are involved.

During a meeting they can review the initial capacity assessment and quickly score and reassess their capacity. It can be an internal workshop of 2-3 hours.

Either each question can be reviewed and scored again, or if a quicker process is preferred, each area can be scored. This means that in this exercise only the leadership within the organisation, or those that they invite, participate.

This will make the outcome less reliable, as it will only reflect one group within the organisation. This may be sufficient for an annual reassessment.

The main purpose is to see if progress can be seen. If progress is not visible, or if capacity is weakened within certain areas, the leadership is required to analyse and explore how to approach this.

It might be worth considering issues such as whether:

- External or internal changes influenced the organisational capacity?
- Are the implemented activities not yielding results?

Plan International can support the organisation in deciding how they should identify the reasons for why no progress can be seen and how to address it.

If a large staff turnover has occurred, if the leadership has changed or if the organisation has lost engaged and active members, measures to rebuild capacity needs to be taken.

Implemented activities may not lead to sufficient increase of knowledge or know-how on ways to use gained knowledge, for example if the activities have only consisted in trainings or workshops they may need to be complemented with other support, that maybe extends over time.

During the final year of the project or programme (if the organisational capacity is linked to a project or programme, the organisational capacity should be fully re-assessed, with the same broad participation from the whole organisation as during the initial capacity assessment. If our support has yielded results, the organisational capacity should have increased.

The annual reassessment and the continuous monitoring is important in the sense that in that way, weaknesses in the OD plan will be noticed before the project or programme ends. During the final year of a programme or project the Organisational Capacity Development plan of the CSO should be linked to a phase-out plan of that programme, to handle the relationship with the partner organisation responsibly.

The phase-out plan usually means that a greater emphasis is put on supporting capacities that will increase the sustainability of the partner CSO beyond the collaboration with Plan International.



### Initial Capacity Self-Assessment-Baseline

At programme start  
(within 1-4 months)

First Organisational  
Capacity Self-Assessment



### Periodic Capacity Assessment

#### Annually:

- light-touch re-assessment
- review of OD plan to ensure relevance

#### Final year:

- full reassessment
- development of phase-out plan