**ESMS – Annex 8**

**Capacity Assessment & Pre-Funding Site Checklist**

**Alliance for a Green Revolution in Africa (AGRA)**

*Capacity Assessment & Pre-Funding Site Checklist for proposed Grantees*

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| --- | --- |
| **ORGANIZATIONAL CAPACITY ASSESSMENT & PRE-FUNDING SITE CHECKLIST FOR PROPOSED GRANTEES.** |   |
| **Name of Organization:** |   |
|  |  |   |
| **Country:** |  |   |
| **Assessors:** |   |
| **Assessment Date:**  |   |
|   |   |   |
| **Section 1: Leadership, Governance and Strategy**  |
| **How does the organization govern itself and plan for the future?** |
| **Assessment Area** | **Question** | **Score[[1]](#footnote-1)**  |
| 1.1. Constitution/Rules (Articles of Association, Memorandum of Association) | Does the organization have a written constitution or rules that are accepted and approved by all the members of the organization? |   |
| 1.2. Governance Structures  | Does the organization have a board/committee that meets regularly? |   |
| 1.3 Foundation | Does the organization have a strategic plan ? |   |
| Does the organization have a bank account? |   |
| Does the organization have a diversified source of financial resources?  |   |
| Is the organization/company financially sustainable and profitable? |   |
| 1.5 Values  | How does the organization respect, encourage, and promote equal participation from people of all genders? |   |
| Does the organization share a common set of basic beliefs and values with AGRA? |   |
| **Total Score (Average)** |   |
| **Section 2: Financial Management**  |
| **How does the organization plan and manage its finances?** |
| **Assessment Area** | **Question** | **Score**  |
| 2.1 Bank Account  | Does the organization have a bank account? |   |
| 2.2. Financial Procedures | Does the organization follow documented financial procedures?  |   |
| 2.3. Budgets and Cash Flow Planning  | Does the organization prepare, monitor and review budgets ? |   |
| 2.4. Record Keeping  | Does the organization keep records of revenue and expenditure that can be presented on demand?  |   |
| 2.5. Reporting | Does the organization prepare and submit reports to its stakeholders as required or expected?  |   |
| **Total Score (Average)** |   |
| **Section 3: Administration and Human Resources** |
| **How does the organization manage its operations, staff and volunteers?** |
| **Assessment Area** | **Question** | **Score**  |
| 3.1 Office and Equipment  | Does the organization have its own office with office equipment? |   |
| 3.2 Office procedures | Does the organization have office procedures covering working hours, office administration and procurement? |   |
| 3.3 Human Resources  | What human resources are available to implement the organization’s work? |   |
| 3.4. Managing Staff/ volunteers  | How does the organization ensure that staff and volunteers are well managed?  |   |
| 3.5 HR policies and procedures  | Does the organization have formal and documented policies and procedures to guide the overall management of people? |   |
| **Total Score (Average)** |   |
| **Section 4: Project Design and Management** |
| **How does the organization develop and manage its projects?** |
| **Assessment Area** | **Question** | **Score**  |
| 4.1 Targeting | How does the organization determine its target for Agricultural activities?  |   |
| 4.2. Project design | How does the organization initiate its projects?  |   |
| 4.3 Gender Mainstreaming  | How does the organization respect, encourage, and promote equal participation from people of all genders? |   |
| 4.4 Environmental and Social | How does the organization assess and manage the environmental and social risks of its activities/projects?Has an Environmental and Social Action Plan been submitted with the project proposal? |  |
| 4.5 Community Involvement / relevant Government structures | Does the organization involve the target community / government in program identification, implementation and performance Monitoring? |   |
| 4.6 Project Implementation during Emergencies /Humanitarian Crisis | How does the organization implement its activities during humanitarian crisis or emergencies? |   |
| 4.7 Phasing out  | Does the organization have a phasing out strategy for its activities? |   |
| **Total Score (Average)**  |   |
| **Section 5: Monitoring and Evaluation**  |   |
| **How does the organization monitor, evaluate and track the implementation of its programmes?** |   |
| **Assessment Area** | **Question** | **Score**  |
| 5.1 Monitoring and Evaluation  | Does the organization routinely monitor and evaluate the progress of its project activities to ensure that resources are used efficiently and that goals are met? Does the organization monitor the E&S performance of its projects? |   |
| 5.2 Inputs [Resources available to carry out an activity] | Are input indicators incorporated in the implementation and reporting methods/approaches? |   |
| 5.3 Work plan  | Does the organization prepare work plans for implementation of identified intervention activities?  |   |
| 5.4 Outputs [Measurable, direct results of activities, such as products or services provided]  | After implementing its activities, does the organization look back to check what actually took place?  |   |
| 5.5 Outcomes [Measurable consequences of a projects or program’s outputs, impacts on the client or the public, and the results of the outputs Outcomes may be immediate, ultimate or somewhere in between] | Does the organization follow up to establish the changes that its activities bring on the target groups? *e.g.* **Micro dosing (SHP)** |   |
| 5.6 Impact [Impact is the result of project/program activities as felt by clients and society. Impacts may be positive or negative] | Does the organization measure the overall impact of its activities on the targets? |   |
| **Total Score (Average)**  |   |
| **Section 6. Technical Capacity**  |   |
| **What knowledge and experience does the organization have in agricultural interventions?** |
| **Assessment Area** | **Question** | **Score**  |
| 6.1 Competence [Knowledge and skills] | Do officials, staff, volunteers and members have the necessary skills to do their duties well?Does the organization have a designated role for the management of E&S risks and impacts? |   |
| 6.2 Use of National guidelines  | Are the organization’s programme activities guided by established national practices? |   |
| **Total Score (Average)**  |   |
| **Section 7: Sustainability**  |   |
| **How does the organization ensure sustainability in order to be effective in its projects(s)?** |
| **Assessment Area** | **Question** | **Score**  |
| 7.1 Programme Sustainability | Do the beneficiaries and stakeholders perceive that the services which they are receiving are of sufficient importance and value that they are willing to assume responsibility and ownership for them? |   |
| 7.2 Financial Sustainability | Does the organization have a diversified source of financial resources?  |   |
| **Total Score (Average)**  |   |
| **Section 8: Knowledge Management**  |
| **Knowledge management is a vital component of effective interventions and in impact mitigation. How does the organization record, store, maintain and share relevant data and information?** |
| **Assessment Area** | **Question** | **Score**  |
| 8.1 Managing data and information  | To what extent is the organization using information and communication technologies (ICT) like the internet, email and cell phones to connect with key stakeholders, facilitate transfer and sharing of information? |   |
| 8.2 Identification of lessons learnt | How does the organization identify and use lessons learned?  |   |
| 8.3 Identification of best practices  | How does the organization identify best practices in any of its work? *(Best practices are approaches, techniques, characteristics and projects/programs for which there is evidence of effectiveness or promise of effectiveness)* |   |
| 8.4 Documenting lessons learnt and best practices | How does the organization document its lessons learned and best practices? |   |
| **Total Score (Average)**  |   |
| **TOTAL AVERAGE SCORE** |   |
|   |  |   |
|   |   |   |
|  |  |  |
|  |  |  |
| **Name** | **Signed** |  **Date**  |
|  |  |  |
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |

*Site Checklist and Questionnaire Table for use before the Funding of a Project Site.*

|  |  |
| --- | --- |
| **Issue** | **Remarks** |
| Date of Visit: |  |
| Grant Applicant: |  |
| Project Location: |  |
| Field Visit Conducted by: |  |
| Interviews Conducted: (Include names and titles of interviewees) |  |

*Confirm that original copies of the following documents were reviewed.*

|  |
| --- |
|  |
| Registration Certificate  | Constitution  | Bank Statements |
| [ ] | [ ] | [ ] |
| Audited Financial statements | Organogram | Management meeting minutes |
| [ ] | [ ] | [ ] |

**Environmental and Social Performance**

*Complete the table below with information required*

|  |
| --- |
|  |
| Main E&S risks as defined in the Pre-Screening:  | *List only these that are related to the visit.* |
| Assessment of the risks after site visit/ interviews conducted: | *Verify the above and/or provide additional information.* *Provide proof in the form of photographs, documents and meeting minutes.*  |

**Annex – Meeting Minutes and Site Visit Photo Log**

1. Assign a score from 0 to 1, where 0 = negative answer; 1 = positive answer. [↑](#footnote-ref-1)