Organisational Capacity Assessment & Capacity Building
# 组织能力评估& 能力建设

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Introduction to organisational capacity assessment & capacity building
组织能力评估 & 能力建设介绍

1. **What** is organisational capacity building?什么是组织能力建设?

2. **What** is organisational capacity assessment (OCA)? 什么是组织能力建设?

3. **Why** conduct OCA? 为什么要执行组织能力评估测定?

4. **When** should OCA be done?何时使用组织能力评估测定?

Linkages between Organisational Capacity and Effectiveness (Paul Light, *Sustaining Nonprofit Performance: The case for capacity building and the evidence to support it*, 2004)
机构能力和效率的联系 (保罗·莱特, 保持非营利组织表现: 能力建设案例以及相关支持文献, 2004)
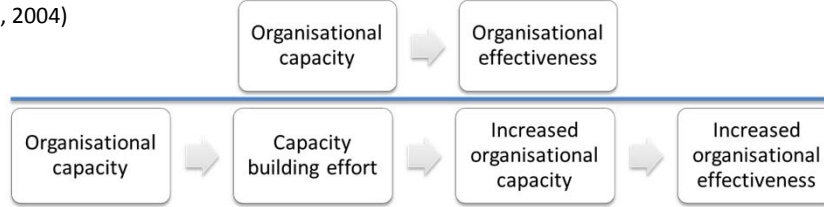
组织能力->组织效力
组织能力->能力建设效果->增强组织能力->提高组织效力

- NGOs can effectively achieve their mission and be poorly managed非政府组织可以高效地完成自身的使命还是管理不善
- NGOs can be well managed but still not achieve mission 非政府组织在管理良好的时候却没能完成自身的使命
- Poorly run organisations cannot produce program impacts for **a long time**运作的极差的组织不可能产生持续的项目影响
- Trick is to **achieve** and **sustain** effectiveness over time 窍门是实现和维持机构的有效性

Building organisational capacity 機構能力建設   3

1. What is capacity building?
什么是能力建设

- **What is "capacity"? 能力的定义?**
  - **Capabilities**, **knowledge**, and **resources** that NGOs need in order to be effective 非政府组织需要的能力，知識，資源

- Capacity building is **purposeful** and **conscious** efforts to **mobilise organisational development** 能力建设是有目的，有意識地促進機構發展
  - Structured process 结构化流程
  - Specific change objectives 具体变化的目标
  - Builds on existing capacity 在现有能力基础上建设
  - Ongoing 不断前进
  - Context specific 特定情境
  - Sustainable 可持续性的

- **Activities**: planning, reorganising, assessing, installing, training, etc.
- 活动：计划，重新组织，评估，落地，培训等等

Process is **designed** following an **initial diagnosis** or **capacity assessment** 根据初步诊断或能力评估设计   4

2. What is organisational capacity assessment (OCA)?
什么是组织能力评估测定？

- **Systematic process** to identify the **current capacity** 系统地认识现在的能力
- Areas of **strength** and areas of **development** 长处和发展的空间
- **Select capacity building activities** for desired improvements为了理想中的进步选择能力建设的活动
- Selecting an appropriate tool depends on:选择适合的工具需要：
  - Purpose目的
  - Organisational complexity机构复杂性
  - Cost 花费
  - Level of concern or crisis关心或者危机的程度

Journey of learning and discovery rather than a test or judgment
學習和探索之旅

5

3. Why conduct OCA?
为什么要组织能力评估测定

- Learning beyond projects 学习项目以外的东西
- Learning as a whole organisation 作为一个整体机构的学习
- Capacity building能力建设

6

- Learning beyond projects
  学习项目以外的东西

  - **Project evaluation** tells us little about **how organisations function** 项目评估告诉我们机构是如何运作的

  - **Project results or outputs** are often what is measured or assessed 项目结果或者产出是用什么测量或评定的

  - Project evaluations often reveal **major organisational issues** beyond deliverables of a project 项目评估在项目以外揭示了机构的重要问题

7

- Learning as a whole organisation
  作为一个整体机构的学习
  - **Money** is often not the solution 需要聰明，策略的經營方式
  - **Learning purpose** 学习的目的
  - **Clear and accurate picture** 清晰和準確
  - **Planned development effort** 有規劃的发展工作
    - strategic planning, restructuring, program development, service delivery enhancements, targeted organisational improvements 策略的制定，重组结构，项目发展，服务传递的加强，机构提升目标

8

4

- Capacity building
  能力建设

Organisational capacity → Organisational effectiveness

组织能力->组织效力

- **Purpose of capacity assessment is for capacity building** 能力评估的目的是为了能力建设
  - **Baseline** of current capacity 現時的能力基線
  - **Capacity indicators** serve as reference points for **monitoring changes** 指標作為參考點，以監測變化
- **Capacity assessment process builds capacity itself** 能力评估过程增强自身能力
  - Should not be separated from capacity building 不应该与能力建设分离
  - Should be conducted **before** capacity building to identify training **needs** and **after** training initiatives to identify **changes** 在能力建设确认培训的必要性以及在培训确认产生改变之后执行

9

4. When should OCA be done?
何时进行组织能力评估测定？

Specific: 细节：

- Turning point; major change of direction 大方向轉變
- Decision making 决策
  - Strategic decisions 策略决定
  - Program decisions 项目决定
  - Financial-feasibility decisions 财务可行性决定
  - Staffing decisions人才决定
- Support funding decisions (donors) 支持资金的决定（捐款人）

10

General:总体上：

•Identify strengths & weaknesses 认识到优点和缺点

•Identify issues & key areas for improvement that should be addressed through specific action 为具体行动能产生的提升去识别问题和关键领域

•Assist fundraising 协助筹款

•Provide donors/stakeholders information about the organisation's performance 提供机构的绩效信息给捐赠人

•Vision renewal exercise 视觉更新演练

•Generate information useful in planning and decision-making 在计划和制定中产出有用的信息

Regular basis (e.g., annually) to integrate organisational learning into organisation culture
將學習融入機構文化

11

Are you ready? 你准备好了吗？

•**Cultural** readiness文化

•**Leadership** readiness 領導

•**Resource** readiness 資源

•**Vision & strategy** readiness 願景與策略

•**People** readiness 員工

•**Systemic** readiness 系統

•Organisational culture 机构文化

•Support process/resources 支持的资源

•Commit ppt, time, money 提交ppt,时间，金钱

•Has/ wants to have clear vision 必须/希望 有清晰的愿景

•Commit and work together 承诺和共同奋斗

•Has/ wants to have systems in place 必须/希望可以有适当的系统

12

Summary 总结

1. What is organisational capacity building?什么是组织能力建设?
   - Capacity building is purposeful and conscious efforts to mobilise organisational development 能力建设是有目的的努力去调动起组织的发展

2. What is organisational capacity assessment?什么是组织能力建设?
   - Systematic process to identify current capacity; journey of learning and discovery 系统的测定时为了确认现在的能力，也是学习和发现的过程

3. Why conduct OCA? 为什么要执行组织能力评估测定?
   - Learning beyond project; learning as a whole organisation; capacity building for organisational effectiveness 学习项目以外的东西，作为一个整体机构的学习，能力建设提高机构效率

4. When should OCA be done? 何时进行组织能力评估测定？
   - Anytime and regularly, but organisation needs to be ready 随时及定期进行，但是机构应该有所准备

13

Common Features of Different OAC Tools 不同组织能力测定评估工具的一般特点

- Though variations in the individual tools and the adopted approaches, most OCA processes are similar in the following: 根据大量的单独工具及采用的方法，大部分的组织能力测定评估过程都有以下相似的部分

a) the **core compositions** and underlying **principles** 核心的部分以及潜在的原则

b) focusing on **internal components** of the organisation 注重机构内部构成

14

ExCEL3 OCA Project for NGO
excel3针对非政府组织 组织能力评估测定
计划

- Co-organised by : 重组
  - ExCEL3 and
  - Department of Social Work & Social Administration of HKU 香港大学的社会工作行政部门
- Objectives : 目标
1) Promote efforts of Capacity Assessment and Capacity Building in NGOs 提高非政府组织能力评估的成果以及能力建设
2) Provide hands-on support to 6 – 8 NGOs in conducting OCA 为6-8家非政府组织在执行能力评估测定系统的时候提供手把手的帮助
3) Develop a localised OCA tool for NGOs in Hong Kong为非政府组织在香港开发一个地方化的组织能力评估测定工具

9 Capacity Areas
9个能力模块

16

Capacity Areas 能力范围	Sub-areas 次要能力
Governance & Leadership 管理和领导力	Values, Vision & Mission, Board of Governor, Senior Management 价值，愿景和目标，理事会，高级管理
Human Resource Management 人力资源管理	HR plan, system and support, staffing, use of volunteers 人力资源计划系统以及支持，员工，志愿者的使用
Financial Management 财务管理	Financial planning, budgeting, monitoring and fundraising 财务计划，预算，监控以及筹款
Organisational Planning 有组织的计划	Strategic and operational planning 策略以及用作计划
Innovation and Learning 创新学习	Learning culture and opportunity 学习文化，机会
Program Management 项目管理	Program design, coordination and monitoring 项目设计，合作，监控
Quality & Performance Management 项目的质量和绩效	System and mechanism for organisation's overall quality, as well as output and outcome management 系统机制对于机构整体质量，以及输出输入的管理
Partnership and External Relationship 伙伴以及外部关系	Networking and alliances with different external parties 和外部的网络和联盟
Use of Technology 工具的使用	The ability to make use of technology to improve delivery of services 使用技术提供服务流动性的能力

Part I – Self Assessment
第一部分-自我测定

- To be conducted individually by Board members, Senior Management, Staff, Volunteers, etc 在理事会成员，高级管理，员工，志愿者中一个一个进行
- 9 capacity areas, about 120 questions 9个能力模块，将近120个问题
- One hour for completion 一个小时的完成时间
- 5-point scale measurement 5点刻度
  - 1 – Strongly Disagree 强烈不同意
  - 2 – Disagree 不同意
  - 3 – Neutral 中立
  - 4 – Agree 同意
  - 5 – Strongly Agree 强烈同意

- **Standardised Capacity Score**: using an index so that different capacities can be compared 标准的能力得分：使用一个指标所以不同能力可以得到比较
- **Standardised Consensus Score**: the degree to which participants agree with one another concerning their assessment of a given capacity area. 标准的意识得分：不同程度为了参与者同意一个或其他的与自身测定相关的能力模块的程度

19

Examples 例子

Capacity Areas能力范围	Standardised Capacity Score 标准能力得分	Standardised Consensus Score标准共识得分
Governance & Leadership 管理和领导力	Above 高于正常	High高
HRM人力资源管理		
Financial Management财务管理	Below低于正常	Low低
Organisational Planning有组织的计划		
Innovation & Learning 创新学习		
Program Management 项目管理	Acceptable可以接受	Moderate适中
Quality and Performance Management 项目的质量和绩效	Above高于正常	Low地
Partnership & External Relationship 伙伴及外部关系	Below低于正常	High高
Use of Technology 技术的使用		

Part II – Discussion Session
第二部分-讨论环节

- Facilitator-led group discussion session引导员-引领小组讨论环节

- 8 – 15 participants 8-15个参与者

- Cross-functional and Cross-level participation from the organisation 组织里跨职能的和跨级别的参与者

- 2 to 3 hours each session 每一环节2-3个小时

- Supported by documentary review, or individual meeting in case of need 在有需要时提供文件的回顾或者个人会议