

TAF-SAGP OCA

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Purpose and Adaptation of OCA methodology for SAGP

The South Asia Grants Program (SAGP) has adapted the USAID Organizational Capacity Assessment Methodology (OCA) for purposes of project implementation. The OCA tool was designed to enable organizations to define a capacity-building improvement plan, based on self-assessed need. The SAGP program has three main components, providing small grants, strategic grants, and capacity and coalition building. This OCA tool has been adapted in order to inform grantees, engaged through the first two components, along with program staff with a targeted strategy for capacity and coalition building. The original OCA framework has been adapted for SAGP by streamlining and adapting some of the original seven sub-component assessment areas and adding a new one. This new component, component 8 titled 'Technical topics in governance', has incorporated some of the aspects of component seven, and included key technical governance competency areas. These competency areas are based off of The Asia Foundation's long standing governance programming expertise and also, based on feedback from sub-grantees. The hope is that this tool will also help SAGP to create cross-country coalitions based on certain topic areas. For example, sub-grantees who identify component 7, organizational management as a growth area in our different operating countries (Nepal, Bhutan, Bangladesh, Sri Lanka, Maldives), will be put together to create a learning group, where they can network and learn from each other through technical expertise provided through the project. In light of the constantly changing operating environments in the region, this OCA is meant to be a living document, where new competency areas can be adjusted as new sub-grantees continue to be added to the program.

1. Organizational Governance and Legal Structure

Section Objectives: Review the organization's vision and mission statements, legal registration and compliance, organizational structure, board composition and responsibility, and succession planning

Important Participants: Chief executive (director), board chair or representative*, senior managers, legal counsel for the organization (in-house or external), chief financial officer

* *Inviting board members may not be appropriate for some organizations; confirm with the organization first*

Names and Positions of Participants from the Organization:

Names and Positions of External Facilitators:

1.1 Vision and Mission

Subsection Objectives: Assess the clarity of the organization’s statements of its purpose and values and how they have been shared and applied

Resources: Vision statement; mission statement; and board, senior manager, and staff questionnaires or interviews

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
1.1 Vision and Mission	Vision and mission statements are <ul style="list-style-type: none"> • Not written • Written, but not clear and specific • Written, but no longer relevant to the organization’s current purpose or aspirations 	Vision and mission statements are written, but <ul style="list-style-type: none"> • Vague and general • Partly relevant to organization’s current purpose or aspirations • Not usually considered in decisions on priorities and actions 	Vision and mission statements are written and <ul style="list-style-type: none"> • Reasonably clear and specific • Relevant to the organization’s current purpose or aspirations, but may need some updating 	Vision and mission statements are written and <ul style="list-style-type: none"> • Clear and specific • Relevant to the organization’s current purpose or aspirations • Consistently considered in decisions on and actions • Included in staff orientation and public communication materials

	<ul style="list-style-type: none"> • Not considered in decisions on priorities and actions • Not included in staff orientation and public communication materials 	<ul style="list-style-type: none"> • Not usually included in staff orientation and public communication materials 	<ul style="list-style-type: none"> • Usually considered in decisions on priorities and actions • Included in staff orientation and public communication materials 	
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1.2 Succession Planning

Subsection Objectives: Assess the organization’s ability to continue smooth operations and program management in the event of a loss or change in leadership.

Resources: Job descriptions of senior managers, succession plan, organization chart or description of the staffing pattern, board and senior manager questionnaires or interviews

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
1.2 Succession Planning	<p>The organization has</p> <ul style="list-style-type: none"> • Very high dependence on its current leader • High risk of closing or functioning poorly in the absence of the current leader • No succession plan for a leadership transition or coping 	<p>The organization has</p> <ul style="list-style-type: none"> • High dependence on its current leader • Ability to survive without the current leader, but at reduced scale, efficiency, and effectiveness • No written succession plan or a weak plan for a leadership transition or coping with extreme events 	<p>The organization has</p> <ul style="list-style-type: none"> • Moderate dependence on the current leader • Ability to continue existing activities without the current leader, but growth might suffer significantly • An adequate written succession plan exists for a leadership transition or coping with extreme events 	<p>The organization has</p> <ul style="list-style-type: none"> • Low dependence on the current leader • Ability to continue existing activities and grow at the same rate without the current leader • A good succession plan exists for a leadership transition or coping with extreme events

	with extreme events	<ul style="list-style-type: none"> Other current managers who could not take over effectively from the current leader 	<ul style="list-style-type: none"> Other current managers who could take over effectively from the current leader, but with some transitional problems 	<ul style="list-style-type: none"> Other current managers who could take over effectively from the current leader without major transitional problems
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2. Financial Management and Internal Control Systems

Section Objectives: Review the financial management systems, financial controls, financial documentation, financial statements and financial reporting, audit experience, and cost sharing capacity

Important Participants: Chief executive (director), board chair or representative, chief financial officer, accountant, financial staff, and external auditor

Recommendation: Many of the facilitator's questions in section 2 are addressed in advance of the detailed discussion by reviewing the organization's financial policies and procedures manual and documentation.

Names and Positions of Participants from the Organization:

Names and Positions of External Facilitators:

2.1 Budgeting

Subsection Objectives: Assess the ability to budget and plan financial resources

Resources: Annual and multi-year budgets, financial policies and procedures manuals, financial monitoring tools, revenue and expenditure reports, and financial staff questionnaires or interviews

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
2.1 Budgeting <ul style="list-style-type: none"> ■ 	<ul style="list-style-type: none"> • There is no master budget, just project budgets • Core cost budgeting is inadequate • Annual master budgets are not well documented or realistic • The budget process does not include program and financial staff and is not transparent • Project budgets are not realistic, clear, and well documented • Indirect costs are not calculated or are based on inadequate methods or data • Non-budgeted expenses are extensive and not approved by senior 	<ul style="list-style-type: none"> • Annual master budgets are separate from project budgets, but not well documented • Core cost budgeting is adequate, but not aligned with a strategic plan • The budget process uses input from program and financial staff, but is not inclusive and transparent • Project budgets are realistic, clear, and well documented only with external assistance • Indirect costs are calculated with external assistance or are based on weak methods or data • Non budgeted expenses are frequent, approved by senior managers, but not usually approved by donors as required 	<ul style="list-style-type: none"> • Annual master budgets are separate from project budgets, and adequately documented • Core cost budgeting is adequate and aligned with a strategic plan • The budget process is inclusive and partly transparent • Project budgets are reasonably realistic, clear, and documented without significant external assistance • Indirect costs are calculated without external assistance and based on adequate methods and data • Non-budgeted expenses are occasional, approved by senior managers, and usually approved by donors as required • Multi-year revenue and expenditure projections are adequate 	<ul style="list-style-type: none"> • Annual master budgets are separate from project budgets and well documented • Core cost budget is good and aligned with a strategic plan • The budget process is inclusive and transparent • Project budgets are realistic, clear, and well documented without external assistance • Indirect costs are calculated without external assistance and based on good methods and data • Non-budgeted expenses are infrequent, approved by senior managers, and consistently approved by donors as required

	<p>managers or donors as required</p> <ul style="list-style-type: none"> Multi-year revenue and expenditure projections are not done Revenues and expenditures are not monitored against budgets 	<ul style="list-style-type: none"> Multi-year revenue and expenditure projections are weak Revenues and expenditures are monitored against budgets quarterly 	<ul style="list-style-type: none"> Revenues and expenditures are monitored against budgets monthly 	<ul style="list-style-type: none"> Multi-year revenue and expenditure projections are reasonably accurate Revenues and expenditures are monitored against budgets monthly
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2.2 Cost Sharing

Subsection Objectives: Assess whether the organization has systems to track, report, and document cost sharing and meet the cost sharing requirement in their agreements with various donors' regulations.

Resources: Cost sharing experience, vouchers or reports; interviews with chief executive (director) and financial managers

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
2.2 Cost Sharing <ul style="list-style-type: none"> <ul style="list-style-type: none"> Not had any donor cost-sharing requirements Had prior donor cost-sharing requirements that were not met No written policies and procedures for recording and reporting on cost-sharing 	<p>The organization has</p> <ul style="list-style-type: none"> Not had any donor cost-sharing requirements Had prior donor cost-sharing requirements that were not met No written policies and procedures for recording and reporting on cost-sharing 	<p>The organization has</p> <ul style="list-style-type: none"> Not had any donor cost-sharing requirements or is not yet expected to contribute Had prior donor cost-sharing requirements that were behind schedule, but were eventually met 	<p>The organization has</p> <ul style="list-style-type: none"> Had prior donor cost-sharing requirements that were fully met Been current on all active cost-sharing requirements Adequate written policies and procedures for recording and reporting on cost-sharing that may need some updating 	<p>The organization has</p> <ul style="list-style-type: none"> Had prior donor cost-sharing requirements that were consistently met in full and on time Good written policies and procedures for recording and reporting on cost-sharing that are updated as needed

	<ul style="list-style-type: none">• Written policies and procedures on cost sharing that are inadequate and require substantial changes	<ul style="list-style-type: none">• Begun complying with its first donor cost-sharing requirement, and is current on all active cost-sharing requirements• Weak written policies and procedures for recording and reporting on cost-sharing that require significant changes		
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3. Administration and Procurement Systems

Section Objectives: Review the operational policies, procedures, and systems, including those for travel, procurement, fixed asset control, and branding and marking as well as management and the degree of management and staff understanding and compliance with these policies, procedures, and systems

Important Participants: Chief executive (director), chief financial officer, accountant, financial staff, external auditor, and IT manager

Names and Positions of Participants from the Organization:

Names and Positions of External Facilitators:

3.1 Operating Policies, Procedures, and Systems

Subsection Objectives: Assess the soundness of operating policies and procedures and the degree of staff understanding and compliance

Resources: Policy and procedures manual; staff questionnaires; senior manager and staff questionnaires or interviews

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
3.1 Operating Policies, Procedures, and Systems	<p>Operating policies, procedures, and systems are</p> <ul style="list-style-type: none"> • Not written • Inadequate and require substantial changes • Rarely followed • Do not address use of office equipment, supplies, office vehicles, taxis, and personal vehicles; handling of mail, phone, faxes, and photocopying; safety and security; lost or stolen equipment; and the hiring and use of consultants • Forms and approval processes are not appropriately standardized and computerized 	<p>Operating policies, procedures, and systems are written and</p> <ul style="list-style-type: none"> • Weak and require significant changes • Not usually followed • Only partially address use of office equipment, supplies, office vehicles, taxis, and personal vehicles; handling of mail, phone, faxes, and photocopying; safety and security; lost or stolen equipment; and the hiring and use of consultants • Forms and approval processes are not appropriately standardized and computerized • Written guidance on client support and 	<p>Operating policies, procedures, and systems are written and</p> <ul style="list-style-type: none"> • Adequate, but may require some updating • Usually followed • Adequately address use of office equipment, supplies, office vehicles, taxis, and personal vehicles; handling of mail, phone, faxes, and photocopying; safety and security; lost or stolen equipment; and the hiring and use of consultants • Most forms and approval processes are appropriately standardized and computerized • Written guidance on client support and provision of goods and services is adequate and usually followed 	<p>Operating policies, procedures, and systems are written and</p> <ul style="list-style-type: none"> • Good and regularly updated • Consistently followed • Comprehensively address use of office equipment, supplies, office vehicles, taxis, and personal vehicles; handling of mail, phone, faxes, and photocopying; safety and security; lost or stolen equipment; and the hiring and use of consultants • Forms and approval processes are consistently appropriately standardized and computerized • Written guidance on client support and provision of goods and services is

	<ul style="list-style-type: none">• No written guidance on client support and provision of goods and services or guidance is rarely followed	provision of goods and services is inadequate or not usually followed		good and consistently followed
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3.2 Information Technology

Subsection Objectives: Assess the soundness of IT policies and procedures and systems and staff compliance.

Resources: Policy and procedures manual; staff questionnaires; senior manager and staff questionnaires or interviews

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
3.2 Information Technology	<p>Information technology policies and procedures are</p> <ul style="list-style-type: none"> • Not written • Written, but require substantial changes, or rarely followed <p>IT systems are</p> <ul style="list-style-type: none"> • Inadequate for the current staff size • Not networked • Based on obsolete hardware or software or illegal software • Hindered by inadequate skills of IT staff or users • Affected by lack of training on IT security, policies, and applications • Not secure from malware and security breaches • Frequently affected by unreliable grid electricity due to lack of generator equipment or fuel 	<p>Information technology policies and procedures are written and</p> <ul style="list-style-type: none"> • Weak, requiring significant changes • Not usually followed <p>IT systems are</p> <ul style="list-style-type: none"> • Barely adequate for the current staff size • Networked • Based on weak hardware or software or illegal software • Hindered by weak skills of IT staff or users • Affected by insufficient training on IT security, policies, and applications • Partly secure from malware and security breaches • Often affected by unreliable grid electricity and insufficient 	<p>Information technology policies and procedures are written and</p> <ul style="list-style-type: none"> • Adequate, but may require some updating • Usually followed <p>IT systems are</p> <ul style="list-style-type: none"> • Adequate for the current staff size • Networked • Based on adequate hardware and legal software • Supported by adequate skills of IT staff or users and sufficient, training on IT security, policies, and applications • Reasonably secure from malware and security breaches • Not usually affected by unreliable grid electricity due to sufficient generator equipment and fuel 	<p>Information technology policies and procedures are written</p> <ul style="list-style-type: none"> • Good and regularly updated • Consistently followed <p>IT systems are</p> <ul style="list-style-type: none"> • Capable of serving expected growth in the staff size over the next year • Networked • Based on good hardware and legal software • Supported by good skills of IT staff or users and frequent, regular training on IT security, policies, and applications • Secure from malware and security breaches • Rarely affected by unreliable grid electricity due to sufficient generator equipment and fuel • Regularly backed up on a frequent schedule

	<ul style="list-style-type: none"> Not backed up <p>There is no system for tracking laptops</p>	<p>generator equipment or fuel</p> <ul style="list-style-type: none"> Occasionally backed up <p>There is a weak system for tracking laptops</p>	<ul style="list-style-type: none"> Regularly backed up on an adequate schedule <p>There is an adequate system for tracking laptops</p>	<p>There is a good system for tracking laptops</p>
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3.3 Fixed Asset Management (Equipment and Property)

Subsection Objective: Assess the soundness of policies and procedures for fixed assets management and degree of staff understanding and compliance.

Resources: Fixed assets register, physical inventory reports; payment vouchers: financial manager, accountant, and staff questionnaires or interviews

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
3.3 Fixed Asset Management	<p>Asset management policies and procedures are</p> <ul style="list-style-type: none"> Not written Written, but inadequate and require substantial changes Not supported by adequate inventory records Not comprehensive, including a definition of non-expendable equipment and requirements for titling, 	<p>Asset management policies and procedures are written and</p> <ul style="list-style-type: none"> Weak and require significant changes Adequate, but not usually followed Hindered by weak inventory records Partly comprehensive, including a definition of non-expendable equipment and requirements for titling, 	<p>Asset management policies and procedures are written and</p> <ul style="list-style-type: none"> Adequate, but may require minor changes or some updating Generally followed Supported by adequate inventory records Generally comprehensive, including a definition of non-expendable equipment and requirements for titling, inventory, insurance, and custody 	<p>Asset management policies and procedures are written and</p> <ul style="list-style-type: none"> Good and regularly reviewed and revised as needed Do not require changes Consistently followed Supported by good inventory records Comprehensive, including a definition of non-expendable equipment and

	<p>inventory, insurance, and custody</p> <p>Equipment and property</p> <ul style="list-style-type: none"> • Are not marked with inventory control numbers and ownership • Are not properly maintained, replaced, and disposed • Shared use is not tracked and billed to each project • Depreciation is not calculated annually according to acceptable standards 	<p>inventory, insurance, and custody</p> <p>Equipment and property</p> <ul style="list-style-type: none"> • Are not consistently marked with inventory control numbers and ownership • Are not usually properly maintained, replaced, and disposed • Shared use is not tracked and billed to each project • Depreciation is calculated annually according to acceptable standards 	<p>Equipment and property</p> <ul style="list-style-type: none"> • Are consistently marked with inventory control numbers and ownership • Are usually properly maintained, replaced, and disposed • Shared use is usually tracked and billed to each project • Depreciation is calculated annually according to acceptable standards 	<p>requirements for titling, inventory, insurance, and custody</p> <p>Equipment and property</p> <ul style="list-style-type: none"> • Are consistently marked with inventory control numbers and ownership • Are not usually properly maintained, replaced, and disposed • Shared use is not tracked and billed to each project • Depreciation is calculated annually according to acceptable standards
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4. Human Resource Systems

Section Objectives: Assess the quality of staff job descriptions, recruitment and retention approaches, staffing levels, personnel policies, the staff time management and payroll system, staff and consultant history documentation, the staff salary and benefits policy, staff performance management, staff diversity, and the policy on volunteers and interns to determine whether the organization can maintain a satisfied and skilled workforce, manage operations, and implement quality programs

Important Participants: Chief executive (director); human resources director and staff

Names and Positions of Participants from the Organization:

Names and Positions of External Facilitators:

4.1 Adequacy of Staffing and Job Descriptions

Subsection Objectives: Review the organization’s systems for recruiting qualified staff, structuring staff positions, and developing and updating job descriptions to ensure that roles and responsibilities are clearly defined, understood, and relevant

Resources: Human resources policy; sample job descriptions; senior manager and staff questionnaires or interviews

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
4.1 Adequacy of Staffing and Job Descriptions	<ul style="list-style-type: none"> • Policies and procedures on staffing and job descriptions are: <ul style="list-style-type: none"> ○ not written; or ○ are inadequate and require substantial changes; ○ or they are not followed; ○ not supported by adequate records in secure central files; ○ not comprehensive addressing position titles, roles and responsibilities, required qualifications and skills, reporting, delegations of authority, and re-assignments • No written staffing plan or it is not followed • Many key management, technical, or finance positions have not been established, remain vacant, or are filled by 	<ul style="list-style-type: none"> • Policies and procedures on staffing and job descriptions are: <ul style="list-style-type: none"> ○ written, but weak and require significant changes; or ○ adequate, but not usually followed. ○ may be hindered by weak records or lack of secure central files; ○ partly comprehensive addressing position titles, roles and responsibilities, required qualifications and skills, reporting, delegations of authority, and re-assignments • A written staffing plan that is weak or not usually followed • Some key management, technical, or finance positions have not yet been established, remain vacant, or are filled by 	<ul style="list-style-type: none"> • Policies and procedures on staffing and job descriptions are: <ul style="list-style-type: none"> ○ written and adequate, but may require minor changes or some updating. T ○ generally followed ○ supported by adequate records in secure central files; ○ adequately comprehensive addressing position titles, roles and responsibilities, required qualifications and skills, reporting, delegations of authority, and re-assignments • A written staffing plan that is generally adequate and is usually followed with appropriate flexibility • Most key management, technical, and finance positions are filled by 	<ul style="list-style-type: none"> • Policies and procedures on staffing and job descriptions are <ul style="list-style-type: none"> ○ written and good and regularly revised as needed; ○ do not require changes ○ consistently followed; ○ supported by good records in secure central files; and ○ fully comprehensive addressing position titles, roles and responsibilities, required qualifications and skills, reporting, delegations of authority, and re-assignments • A written staffing plan that is good and consistently followed with appropriate flexibility • All key management, technical, and finance positions are filled by

	<p>people without appropriate skills</p> <ul style="list-style-type: none"> • Some vacancies have significantly reduced efficiency or effectiveness for more than 6 months • Many staff need to substantially improve their capacity to do their jobs well • There is little diversity in the gender, ethnic, religious, and cultural composition of management and staff • The organization has made little or no active efforts to diversify the management and staff 	<p>people without the appropriate qualifications or skills</p> <ul style="list-style-type: none"> • Some vacancies have significantly reduced efficiency or effectiveness for 3-6 months • Many staff need to significantly improve their capacity to do their current jobs well • There is some diversity in the gender, ethnic, religious, and cultural composition of management and staff, but some groups are significantly under-represented • The organization has made some efforts to diversify management and staff that have not been very successful 	<p>people with appropriate qualifications and skills</p> <ul style="list-style-type: none"> • Some vacancies have reduced efficiency or effectiveness for no more than 3 months • Some staff need to improve their capacity to do their current jobs well • There is significant diversity in the gender, ethnic, religious, and cultural composition of management and staff, but some groups remain under-represented • The organization has made some active efforts to diversify management and staff that have been partially successful 	<p>people with appropriate qualifications and skills</p> <ul style="list-style-type: none"> • Vacancies have not reduced efficiency or effectiveness • Some staff need to improve their capacity to take on new tasks or adjust to new systems and requirements • There is good diversity in the gender, ethnic, religious, and cultural composition of management and staff • The organization has made some active efforts to diversify management and staff that have been successful
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4.2 Recruitment and Retention

Subsection Objectives: Assess the organization's systems for recruiting and retaining staff

Resources: Human resources manual, recruitment guidelines or policy, recruitment policies and procedures, retention strategy or policy, attrition rates, senior manager and staff questionnaires or interviews

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
4.2 Recruitment and Retention	<p>Policies and procedures for staff recruitment and retention are</p> <ul style="list-style-type: none"> • Not written • Inadequate or not followed • Not supported by adequate records • Recruitment and hiring are prone to favoritism or bias • References and salary history are not verified • It is difficult to recruit most positions • Staff attrition rates are high for the organization's size, type, and location 	<p>Policies and procedures for staff recruitment and retention are written and</p> <ul style="list-style-type: none"> • Weak or incomplete • Adequate, but not usually followed • Hindered by weak records • Recruitment and hiring are not open and transparent • References and salary history are not usually verified • It is difficult to recruit many positions • Staff attrition is above normal for the organization's size, type, and location 	<p>Policies and procedures for staff recruitment and retention are written and</p> <ul style="list-style-type: none"> • Adequate, but may require some updating • Usually followed. • Supported by adequate records • Recruitment, hiring, and retention are usually open and transparent • References and salary history are usually verified • It is difficult to recruit some positions • Staff attrition is typical for the organization's size, type, and location 	<p>Policies and procedures for staff recruitment and retention are written and</p> <ul style="list-style-type: none"> • Good and regularly revised as needed • Consistently followed • Supported by good records • Recruitment, hiring, and retention are consistently open and transparent • References and salary history are consistently verified • It is not difficult to recruit a few key positions • Staff attrition is relatively low for the organization's size, type, and location

	<ul style="list-style-type: none"> • Salaries and advancement potential are very low • Most staff are dissatisfied with the organization or their positions • Staff professional development needs are not identified • Rarely provide training and other staff development opportunities for staff 	<ul style="list-style-type: none"> • Staff have few opportunities for career advancement and salary increases • Most staff are partially satisfied with the organization and their positions • Staff professional development needs are not adequately identified • Occasionally provide training and other staff development opportunities for staff, but the amount or quality may be weak 	<ul style="list-style-type: none"> • Staff have some opportunities for career advancement and salary increases • Most staff are satisfied with the organization and their positions • Staff professional development needs are periodically identified, but less than once a year • Regularly provide training and other staff development opportunities for staff, but more is needed 	<ul style="list-style-type: none"> • Staff have significant opportunities for career advancement and salary increases • Most staff have high satisfaction with the organization and their positions • Staff professional development needs are routinely identified at least once a year • Regularly provide an appropriate amount and quality of training and other staff development opportunities for staff
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4.3 Staff and Contractor Supervision and Work Planning

Subsection Objectives: Assess the clarity of supervisory responsibilities and staff and contractor work planning

Resources: Organization chart, supervision plan, supervisor reports, training needs assessment and training plans for supervisors, employee and contractor work plans, questionnaires or interviews of managers and staff

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
4.3 Staff and Contractor Supervision and Work Planning	<p>The organization has</p> <ul style="list-style-type: none"> • Not defined and documented supervisory assignments • No written policies and procedures for staff and contractor supervision • Written supervision policies and procedures that are not usually followed • Many supervisors with inadequate skills and training • Employees and contractors do not have written workplans or performance objectives • Staff and consultants lack clear and detailed guidance or scopes of work for specific assignments 	<p>The organization has</p> <ul style="list-style-type: none"> • Defined and documented some supervisory assignments, but they may be incomplete, unclear, or out of date • Weak written policies and procedures for staff and contractor supervision • Supervision policies and procedures that are not usually followed • Some supervisors with weak skills and training • Employees and contractors do not usually have written workplans or performance objectives prepared at least once a year or they are not timely • Staff and consultants usually do not have clear and detailed guidance or 	<p>The organization has</p> <ul style="list-style-type: none"> • Defined and documented most supervisory assignments, but some may need updating • Adequate written policies or procedures for staff and contractor supervision • Supervision policies and procedures that are usually followed • Supervisors with adequate skills and training • Most employees have written workplans or performance objectives prepared at least once a year on a timely basis • Staff and consultants usually have clear and detailed guidance or 	<p>The organization has</p> <ul style="list-style-type: none"> • Defined and documented supervisory assignments and revised them as needed • Good written policies or procedures for staff and contractor supervision • Supervision policies and procedures that are consistently followed • Supervisors with good skills and training • Employees consistently have written workplans or performance objectives prepared at least once a year on a timely basis • Staff and consultants consistently have clear and detailed guidance or scopes of work for specific assignments

		scopes of work for specific assignments	scopes of work for specific assignments	
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5. Program Management

Section Objectives: Assess the organization's experience with sub-award management, technical reporting, and stakeholder involvement,

Important Participants: Chief executive (director), program managers and staff, sub-grant and sub-contract recipients, key stakeholders (clients)

Names and Positions of Participants from the Organization:

Names and Positions of External Facilitators:

5.1 Donor Compliance Requirements

Subsection Objectives: Assess the organization's capacity to comply with complex donor requirements so that funded programs can continue to operate and the organization will remain eligible for future support

Resources: Policy and procedure manuals; donor policies; grant and contract agreements; donor reports, audits, and evaluations; and senior manager and donor questionnaires and interviews

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
5.1 Donor Compliance Requirements	<p>The organization has</p> <ul style="list-style-type: none"> Not received a direct award from US DoS or another donor with complex compliance requirements Not received a sub-award from US DoS Little understanding of USG cost principles (A-122) and DoS's Standard Provisions for Non-US organizations Inadequate systems and procedures that would require substantial changes to meet complex donor requirements Not had to comply with complex requirements of DoS and other donors 	<p>The organization has</p> <ul style="list-style-type: none"> Not received a direct award from DoS or another donor with complex compliance requirements Received a sub-award from DoS A basic understanding of USG cost principles (A-122) and USAID's Standard Provisions for Non-US organizations Weak systems and procedures that would require significant changes to meet complex donor requirements Not adequately complied with complex requirements of DoS and other donors 	<p>The organization has</p> <ul style="list-style-type: none"> Received a direct award from DoS or another donor with complex compliance requirements An adequate understanding of USG cost principles (A-122) and USAID's Standard Provisions for Non-US organizations Adequate systems and procedures to meet complex donor requirements, but they may need some updating Usually complied with complex requirements of DoS and other donors 	<p>The organization has</p> <ul style="list-style-type: none"> Received a direct award from DoS Filed the required certifications for a direct award from DoS A good understanding of USG cost principles (A-122) and USAID's Standard Provisions for Non-US organizations Good systems and procedures to meet complex donor requirements Consistently complied with complex requirements of DoS and other donors

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5.2 Stakeholder Involvement

Subsection Objectives: Assess whether the organization is responsive to stakeholder needs and seeks input from clients (beneficiaries) in designing, implementing, monitoring, and evaluating projects

Resources: Project guidelines; stakeholder analyses; project plans, site visit, monitoring, and evaluation reports; client and staff questionnaires or interviews

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
5.2 Stakeholder Involvement	<p>The organization has</p> <ul style="list-style-type: none"> No written policies and procedures for stakeholder involvement and confidentiality, or they are not applied Not sought a broad range of stakeholder views in project design, implementation, and monitoring and evaluation Not collected sufficient baseline data before projects No regular meetings or communication with clients Rarely shared project findings and recommendations with clients 	<p>The organization has</p> <ul style="list-style-type: none"> Weak written policies and procedures for stakeholder involvement and confidentiality, or they are not usually applied Not usually collected sufficient baseline data before projects Not usually incorporated a broad range of stakeholder views in project design, implementation, and monitoring and evaluation Irregular meetings with clients or largely one-way communications Not usually shared project findings and recommendations with clients Not usually referred clients to other appropriate service providers 	<p>The organization has</p> <ul style="list-style-type: none"> Adequate written policies and procedures for stakeholder involvement and confidentiality Usually collected sufficient baseline data before projects Usually incorporated stakeholder views in project design, implementation, and monitoring and evaluation Regular meetings with two-way communications with clients Usually shared project findings and recommendations with clients Usually referred clients to other appropriate service providers 	<p>The organization has</p> <ul style="list-style-type: none"> Good written policies and procedures for broad stakeholder involvement, which takes into account gender, disability, and ethnic identity amongst others, and confidentiality Consistently collected sufficient baseline data from a broad range of partners and stakeholders Consistently incorporated a broad range of stakeholders from different backgrounds' views in project design, implementation, and monitoring and evaluation. Regular meetings with two-way communications with partners and clear channels for stakeholders to raise issues at any time

	<ul style="list-style-type: none">• Not referred clients to other appropriate service providers• Inadequate physical space to meet with individual clients and groups	<ul style="list-style-type: none">• Poor physical space to meet with individual clients and groups	<ul style="list-style-type: none">• Adequate physical to space to meet with individual clients and groups	<ul style="list-style-type: none">• Consistently shared project findings and recommendations with partners and stakeholders• Ability to refer stakeholders to other appropriate service providers• Good physical space, with a focus on accessibility, to meet with individual clients and groups
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6. Project Performance Management

Section Objectives: Assess the organization's ability to monitor and evaluate projects, implement high-quality programs that meet recognized standards, supervise staff, and provide field support and oversight

Important Participants: Chief executive (director), managers and staff responsible for monitoring and evaluation

Names and Positions of Participants from the Organization:

Names and Positions of External Facilitators:

6.1 Project and Program Evaluation

Subsection Objectives: Review the organization’s ability to conduct objective internal evaluations of project strategies, approaches, outcomes and impacts or to organize, manage, and use external evaluations

Resources: Project and program evaluation plans, evaluation tools, evaluation reports, staff and stakeholder surveys or interviews

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
6.1 Project and Program Evaluation	<p>Policies and procedures for evaluation are</p> <ul style="list-style-type: none"> • Not written • Written, but not followed <p>The organization has</p> <ul style="list-style-type: none"> • Inadequate ability to prepare a scope of work for an evaluation of approaches, performance, and results • Inadequate ability to provide support and documentation for evaluators • Inadequate ability to review evaluation data quality and reports • Inadequate ability to address evaluation findings and 	<p>Written policies and procedures for evaluation are</p> <ul style="list-style-type: none"> • Weak and require significant changes • Not usually applied <p>The organization has</p> <ul style="list-style-type: none"> • Weak ability to prepare a scope of work for an evaluation of approaches, performance, and results • Weak ability to provide support and documentation for evaluators • Weak ability to review evaluation data quality and reports 	<p>Written policies and procedures for evaluation are</p> <ul style="list-style-type: none"> • Adequate, but may require some updating • Usually applied <p>The organization has</p> <ul style="list-style-type: none"> • Adequate ability to prepare a scope of work for an evaluation of approaches, performance, and results • Adequate ability to provide support and documentation for evaluators • Adequate ability to review evaluation data quality and reports • Adequate ability to address evaluation findings and recommendations in existing and new projects 	<p>Written policies and procedures for evaluation are</p> <ul style="list-style-type: none"> • Good • Consistently applied <p>The organization has</p> <ul style="list-style-type: none"> • Good ability to prepare a scope of work for an evaluation of approaches, performance, and results • Good ability to provide support and documentation for evaluators • Good ability to review evaluation data quality and reports

	recommendations in existing and new projects	<ul style="list-style-type: none"> Weak ability to address evaluation findings and recommendations in existing and new projects 		<ul style="list-style-type: none"> Good ability to address evaluation findings and recommendations in existing and new projects
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6.2 Service Delivery Standards

Subsection Objectives: Determine whether the organization has adopted any recognized standards for service delivery and has the ability to apply and monitor the standards.

Resources: International, national, or sectoral standards for service delivery, monitoring reports, evaluations, assessments by standard-setting entities, senior manager questionnaires and interviews, certifications from organizations assessing standards

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
6.2 Service Delivery Standards and Quality Assurance	<p>The organization has</p> <ul style="list-style-type: none"> Not adopted recognized, international, national, or sectoral standards for service delivery Inadequate or no internal standards for service delivery Not trained staff on service delivery standards and ways to achieve them Service standards that are not applied and monitored 	<p>The organization has</p> <ul style="list-style-type: none"> Adopted recognized, international, national, or sectoral standards for service delivery Weak internal standards for service delivery Not adequately trained relevant staff on service delivery standards and ways to achieve them Service standards that are not adequately applied or monitored 	<p>The organization has</p> <ul style="list-style-type: none"> Adopted recognized, international, national, or sectoral standards for service delivery Adequate internal standards for service delivery that may need some updating Adequately trained relevant staff on service delivery standards and ways to achieve them Service standards that are usually applied and monitored 	<p>The organization has</p> <ul style="list-style-type: none"> Adopted recognized, international, national, or sectoral standards for service delivery Good internal standards for service delivery that are regularly reviewed and revised as needed Regularly trained relevant staff on service standards and ways to achieve them

				<ul style="list-style-type: none">• Service standards that are consistently applied and monitored
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7. Organizational Management and Sustainability

Section Objectives: Assess the organization's ability to do effective strategic planning, use annual workplans, manage change; generate and share knowledge and develop linkages, achieve financial sustainability; and foster effective internal communications and decision making

Important Participants: Board; chief executive (director); senior managers; managers and staff of program, fundraising, communications, and monitoring and evaluation units; consultants involved in organizational development strategic planning, fundraising, and change management

Names and Positions of Participants from the Organization:

Names and Positions of External Facilitators:

7.1 Strategic Planning (Business Planning)

Subsection Objectives: Assess the organization's ability to review its organizational strengths, weaknesses, opportunities, and threats; the external environment and competition; and stakeholder needs in preparing and using an effective strategic plan (business plan)

Resources: Strategic plans (business plans); annual reports; questionnaires and interviews with board, senior managers, and staff

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
7.1 Strategic Planning (Business Planning)	<p>The strategic plan (business plan) is</p> <ul style="list-style-type: none"> • Not written • Written, but dated or inadequate and requires substantial changes • Not based on an analysis of strengths, weaknesses, opportunities, threats, and realistic resource requirements and availability • Does not reflect client priorities • Not clear and specific on priorities and lacks measurable objectives and targets • Not regularly reviewed 	<p>The strategic plan (business plan) is written and</p> <ul style="list-style-type: none"> • Weak and requires significant changes • Does not reflect its current vision, mission, and values • Not based on an adequate analysis of strengths, weaknesses, opportunities, threats, and realistic resource requirements and availability • Does not usually reflect client priorities • Partly clear and specific on priorities with some measurable objectives and targets • Occasionally reviewed 	<p>The strategic plan (business plan) is written and</p> <ul style="list-style-type: none"> • Adequate, but may require some updating • A reflection of its current vision, mission, and values • Based on an adequate analysis of strengths, weaknesses, opportunities, threats, and realistic resource requirements and availability • Reflects client priorities • Reasonably clear and specific on priorities, measurable objectives, and targets • Periodically reviewed 	<p>The strategic plan (business plan) is written and</p> <ul style="list-style-type: none"> • Good and regularly updated • A reflection of its current vision, mission, and values • Based on a good analysis of strengths, weaknesses, opportunities, threats, stakeholder needs, realistic resource requirements and availability • Reflects client priorities • Clear and specific on priorities, measurable objectives, and targets • Regularly reviewed • Consistently used for management decisions or operational planning

	<ul style="list-style-type: none">• Not used for management decisions or operational planning	<ul style="list-style-type: none">• Not usually used for management decisions or operational planning	<ul style="list-style-type: none">• Usually used for management decisions or operational planning	
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7.2 Annual Workplans

Subsection Objectives: Assess the organization’s ability to prepare, follow, and monitor annual workplans containing goals, measurable objectives, strategies, timelines, and responsibilities

Resources: Annual program and project workplans, reviews of workplan progress, questionnaires and interviews of senior managers and donors

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
7.2 Annual Workplans	<p>Annual workplans</p> <ul style="list-style-type: none"> • Have not been prepared • Have been prepared, but are inadequate • Not timely • Not linked to program or project budgets • Lacking clear and measureable goals, activities, timelines, responsibilities, performance indicators, or targets • Not prepared with significant staff participation • Not used for management decisions, operational planning, and monitoring progress • Not modified as needed 	<p>Annual workplans are prepared and are</p> <ul style="list-style-type: none"> • Weak, incomplete, or require substantial external assistance • Not usually timely • Not well linked to program or project budgets • Needing significant revisions in goals, activities, timelines, responsibilities, or performance indicators and targets • Not prepared with broad staff participation • Not usually used for management decisions, operational planning, and monitoring progress 	<p>Annual workplans are prepared and are</p> <ul style="list-style-type: none"> • Adequate without external assistance, but may need minor improvements • Usually timely • Linked to program or project budgets • Containing adequate goals, activities, timelines, responsibilities, or performance indicators and targets • Prepared with significant staff participation • Usually used for management decisions, or operational planning, and monitoring progress 	<p>Annual workplans are prepared and are</p> <ul style="list-style-type: none"> • Good without external assistance • Consistently timely • Integrated with program or project budgets • Containing good goals, activities, timelines, responsibilities, or performance indicators and targets • Prepared with broad staff participation • Consistently used for management decisions, or operational planning, and monitoring progress • Modified with required donor approvals

		<ul style="list-style-type: none">• Modified without required donor approvals	<ul style="list-style-type: none">• Modified with required donor approvals	
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7.3 Change Management

Subsection Objectives: Assess the organization's ability to respond to change in the internal and external environment

Resources: Policies, processes, and plans for change management; schedule for reviewing policies; and questionnaires or interviews of senior managers, staff, and donors

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
7.3 Change Management	<p>The organization has</p> <ul style="list-style-type: none"> No process or structures for responding to changes in leadership, staffing, budgets, government policies, and donor funding levels and priorities Not demonstrated the ability to identify and adapt to changes in internal and external environments Experienced substantial setbacks, problems, or delays in response to changes 	<p>The organization has</p> <ul style="list-style-type: none"> Weak processes or structures for responding to changes in leadership, staffing, budgets, government policies, and donor funding levels and priorities Demonstrated little capacity to identify and adapt to changes in internal and external environments Experienced significant setbacks, problems, or delays in response to changes Management that does not usually assess staff comfort levels with changes A weak system for monitoring whether changes are implemented and their positive and negative effects 	<p>The organization has</p> <ul style="list-style-type: none"> Adequate processes or structures for responding to changes in leadership, staffing, budgets, government policies, and donor funding levels and priorities Demonstrated adequate capacity to identify and adapt to changes in internal and external environments Experienced moderate setbacks, problems, or delays in response to changes Management that usually assesses staff comfort levels with changes An adequate system for monitoring whether changes are implemented and their positive and negative effects 	<p>The organization has</p> <ul style="list-style-type: none"> Good processes or structures for responding to changes in leadership, staffing, budgets, government policies, and donor funding levels and priorities Demonstrated good capacity to identify and adapt to changes in internal and external environments Experienced few setbacks, problems, or delays in response to changes Management that consistently assesses staff comfort levels with changes A good system for monitoring whether changes are implemented

	<ul style="list-style-type: none">• Management that does not assess staff comfort levels with changes• No system for monitoring whether changes are implemented and their positive and negative effects			and their positive and negative effects
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7.4 Knowledge Management and External Linkages

Subsection Objectives: Assess the organization’s ability to identify good practices and lessons learned, develop linkages with other organizations and networks to improve the enabling environment, plan sector strategies and approaches, and share knowledge internally and externally

Resources: Reports and presentations on lessons learned; documentation on collaborations with other organizations and networks and participation in public and private sector and donor dialogues; senior manager and staff questionnaires or interviews

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
7.4 Knowledge Management and External Linkages	<p>The organization has</p> <ul style="list-style-type: none"> • Inadequate or unproven analytical capacity to identify good practices and lessons learned • No systematic approach to documenting, storing, and disseminating program knowledge • Not analyzed and shared good practices and lessons learned internally through a regular process • Not joined any formal networks • Rarely participated in discussions with donors, governments, and civil society organizations on approaches, lessons learned, and good practices 	<p>The organization has</p> <ul style="list-style-type: none"> • Weak analytical capacity to identify good practices and lessons learned • Weak systems for documenting, storing, and disseminating program knowledge • Occasionally analyzed and shared good practices and lessons learned internally, but not annually • Joined some formal networks, but has not taken an active role in them • Occasionally participated in discussions with donors, governments, and civil society organizations on 	<p>The organization has</p> <ul style="list-style-type: none"> • Adequate proven analytical capacity to identify good practices and lessons learned • Adequate systems for documenting, storing, and disseminating program knowledge • Analyzed and shared good practices and lessons learned internally at least once a year • Regularly participated actively in some formal networks, although not in a leadership role • Regularly participated in discussions with donors, governments, and civil society organizations on policies, lessons learned, and good practices 	<p>The organization has</p> <ul style="list-style-type: none"> • Good proven analytical capacity to identify good practices and lessons learned • Strong systems for documenting, storing, and disseminating program knowledge • Analyzed and shared good practices and lessons learned internally at least twice a year • Frequently participated actively in formal networks and in a leadership role • Frequently and routinely participated in discussions with donors, governments, and civil society organizations on approaches, lessons

	<ul style="list-style-type: none"> Not presented its approaches and results at external events 	<p>approaches, lessons learned, and good practices</p> <ul style="list-style-type: none"> Occasionally presented its approaches and results at external events 	<ul style="list-style-type: none"> Regularly presented its approaches and results at external events 	<p>learned, and good practices</p> <ul style="list-style-type: none"> Frequently presented its approaches and results at external events
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7.5 Fundraising and New Business Development

Subsection Objectives: Assess the organization’s progress toward financial sustainability by reviewing its ability to identify and obtain funding

Resources: Business development (resource mobilization) plan; fundraising history; partnership agreements; cash flow statements and projections; questionnaires and interviews with board, chief executive (director), senior financial managers, and new business development and fundraising managers

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
7.5 Fundraising and New Business Development	<p>The organization has</p> <ul style="list-style-type: none"> No written fundraising and new business development plan A written fundraising and business development plan that is not being implemented Had frequent cash flow problems or negative net income last year Only one major funding source 	<p>The organization has</p> <ul style="list-style-type: none"> A weak fundraising and new business development plan Weak implementation of the fundraising and new business development plan Had occasional cash flow problems, but positive net income last year 	<p>The organization has</p> <ul style="list-style-type: none"> An adequate fundraising and new business development plan that may need updating Satisfactory implementation of the fundraising and new business development plan Had no significant cash flow problems and positive net income over the last year 	<p>The organization has</p> <ul style="list-style-type: none"> A good fundraising and new business development plan that is regularly updated and well implemented Had no significant cash flow problems and positive net income over the last 2 years Sufficient funds for existing programs next year At least three major funding sources

	<ul style="list-style-type: none"> • Insufficient funds for existing programs next year • No regular funding from cost recovery, sales, or membership fees • Little absorptive capacity for additional projects • Insufficient unrestricted income and cash reserves to cover 2 months of operating costs without new donor funding • No access to new loans or a line of credit 	<ul style="list-style-type: none"> • Insufficient funds for existing programs next year • Only one major funding source • Insignificant funding from cost recovery, sales, or membership fees • Limited absorptive capacity for additional projects • Unrestricted income and cash reserves to cover 2-3 months of operating costs without new donor funding • No existing line of credit or limited access to new loans 	<ul style="list-style-type: none"> • Sufficient funds for existing programs next year • At least two major funding sources • Limited funding from cost recovery, sales, or membership fees • Adequate absorptive capacity for additional projects • Unrestricted income and cash reserves to cover 3-6 months of operating costs without new donor funding • Access to new loans, but no existing line of credit 	<ul style="list-style-type: none"> • Significant funding from cost recovery, sales, or membership fees • Good absorptive capacity for additional projects • Unrestricted income and cash reserves to cover over 6 months of operating costs without new donor funding • Good access to new loans or an existing line of credit
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7.6 Internal Communications and Decision Making (within the organization)

Subsection Objectives: Assess the effectiveness of the organization’s internal communications within and across departments or functions and the decision-making process

Resources: Assessments of internal communications, reports on major organizational planning and program review meetings, organization chart, list of staff participants in board and major management meetings, questionnaires and interviews of senior managers and staff

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
7.6	The organization has	The organization has	The organization has	The organization has

<p>Internal Communications and Decision Making</p> <p>■</p>	<ul style="list-style-type: none"> • Poor two-way communications between management and staff • No structured settings to exchange ideas and discuss problems or opportunities • Management rarely listens to or encourages staff ideas • Staff rarely initiating discussions with management and raising challenging issues • Inadequate communications within and across departments or functions • A decision-making process that lacks staff involvement for shared responsibility, ownership, and accountability • Inadequate space and infrastructure to facilitate internal communications 	<ul style="list-style-type: none"> • Limited two-way communication between management and staff • Few structured settings to exchange ideas and discuss problems or opportunities • Management sometimes listens to staff ideas, but does not actively seek staff input • Staff occasionally initiating discussions with management and raising challenging issues • Weak communications within and across departments or functions • A decision-making process with little staff involvement for shared responsibility, ownership, and accountability • Weak space and infrastructure to facilitate internal communications 	<ul style="list-style-type: none"> • Adequate two-way communication between management and staff • Occasional structured settings to exchange ideas and discuss problems or opportunities • Management usually listens to staff ideas and periodically seeks staff input • Staff usually initiating discussions with management and raising challenging issues • Adequate communications within and across departments or functions • A decision-making process with some staff involvement for shared responsibility, ownership, and accountability • Adequate space and infrastructure to facilitate internal communications 	<ul style="list-style-type: none"> • Good two-way communications between management and staff • Regular structured settings to exchange ideas and discuss problems and opportunities • Management consistently listens to staff ideas and seeks staff input • Staff frequently initiating discussions with management and raising challenging issues • Good communications within and across departments or functions • A decision-making process with extensive staff involvement for shared responsibility, ownership, and accountability • Good space and infrastructure to facilitate internal communications
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7.7 External Communications

Subsection Objectives: Assess the effectiveness of the organization's external communications (media, general public, government, donors, private sector, and civil society organizations)

Resources: External communications policy, website, brochures, public annual reports, publications, social media messaging, questionnaires and interviews of senior managers and staff and target audiences

	Low Capacityy	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
7.7 External Communications	<p>The organization has</p> <ul style="list-style-type: none"> No written strategy for identifying audiences, channels, and materials for external communications A written external communications strategy that is inadequate or not followed No capacity for implementing an external communications strategy and overseeing written and oral products No process for pre-testing external communication messages and materials and monitoring their effectiveness No templates or style guide for documents and the website 	<p>The organization has</p> <ul style="list-style-type: none"> A weak written strategy for identifying audiences, channels, and materials for external communications that requires significant changes A written external communications strategy that is not usually followed or reviewed Little capacity for implementing an external communications strategy and overseeing written and oral products Weak or inconsistent process for pre-testing external communication messages and materials and monitoring their effectiveness Weak templates or style guides for documents and the website 	<p>The organization has</p> <ul style="list-style-type: none"> An adequate written strategy for identifying audiences, channels, and materials for external communications that may require some updating A written external communications strategy that is usually followed and periodically reviewed Adequate capacity for implementing the external communications strategy and overseeing written and oral products 	<p>The organization has</p> <ul style="list-style-type: none"> A good written strategy for identifying audiences, channels, and materials for external communications A written external communications strategy that is consistently followed Good capacity for implementing the external communications strategy and overseeing written and oral products Good process for pre-testing and revising external communication messages and materials and monitoring their effectiveness Good templates or style guides for documents and the website An effective website

	<ul style="list-style-type: none"> • No website or just a placeholder • Little name recognition or a negative reputation with key stakeholders 	<ul style="list-style-type: none"> • A weak website • A neutral reputation with key stakeholders 	<ul style="list-style-type: none"> • Adequate process for pre-testing external communication messages and materials and monitoring their effectiveness • Adequate templates or style guides for documents and the website • An adequate website • A positive reputation with key stakeholders 	<ul style="list-style-type: none"> • A strongly positive reputation with key stakeholders
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8. Technical topics in Governance

Section Objectives: Assess the organization's ability to engage in governance related activities. Which for the purposes of this activity is defined as the process of negotiation between different groups within society through which power and authority are exercised to set priorities, make decisions and mediate differences. Governance is defined broadly to conceptualize not only the actions of governments in decision-making and the design and implementation of policies but also the involvement of citizens, civil society and the private sector in collective decision-making. Organizations that seek to intervene in the way the country, region or locality are governed may be involved in influencing policies and policymakers, influencing the public or private sector, to achieve goals for the greater social good.

Important Participants: Board; chief executive (director); senior managers; managers and staff of program, fundraising, communications, and monitoring and evaluation units; consultants involved in organizational development strategic planning, fundraising, and change management

Names and Positions of Participants from the Organization:

Names and Positions of External Facilitators:

8.1 Public policy

Subsection Objectives: Assess the strategies and effectiveness of the organization’s work on public policy. Strong capacity in this area focuses on providing quality research or technical input into policy processes; engages with policymakers; has a network of key decision-makers who influence policy; understand the policies and issues relevant to their work. It also entails a strong understanding of policymaking cycles, planning and budgeting, and bureaucracy and institutions.

Resources: Publications; conferences; social media messaging; changes in national and local government policies, regulations, and laws; changes in donor and regional organization policies and public views; questionnaires and interviews of senior managers, staff, stakeholders, and the general public

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4

**8.1
Engaging in
Public
Policy**

<p>The Organization has policy priorities but no documented agenda and:</p> <ul style="list-style-type: none"> • Is not aware of the public policies relevant to their work. • Knows little about public policymaking process. • Has little understanding of planning and budgeting cycles. • Has little knowledge of the structure of relevant bureaucracies. • Has little engagement with government stakeholders. 	<p>The Organization has a policy agenda and:</p> <ul style="list-style-type: none"> • Is aware of the public policies relevant to their work but does not engage with them • Has some engagement with local policymaking processes? • Has a basic understanding of planning and budgeting cycles? • Has ad hoc engagement with government stakeholders. 	<p>The Organization has a policy agenda and:</p> <ul style="list-style-type: none"> • Has a good knowledge of relevant public policies? • Is across a range of policymaking processes and cycles and their drivers • Has a solid understanding of planning and budgeting cycles and the opportunities to influence them. • Has strong relationships with key counterparts in ministries and other government bodies. 	<p>The Organization has a policy agenda and:</p> <ul style="list-style-type: none"> • Is across the power dynamics, interests and influences that drive policy in their relevant area. • Has experience in successfully influencing policy by engaging directly with policymakers. • Has been involved in successful efforts to influence the strategic direction of government and the apportioning of government budgets. • Has expertise in a policy area that is well-regarded by policymakers.
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8.2 Advocacy and Influence

Subsection Objectives: Assess the strategies and effectiveness of the organization's work in advocacy of policies and issues

Resources: Publications; conferences; social media messaging; changes in national and local government policies, regulations, and laws; changes in donor and regional organization policies and public views; questionnaires and interviews of senior managers, staff, stakeholders, and the general public

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
8.2 Advocacy and Influence	<p>The organization has an advocacy objective targeting policies and issues and</p> <ul style="list-style-type: none"> • Has not carried out significant advocacy activities over the past three years • No written plan or strategy for advocacy work or it is not followed • Lacks staffing or skills for effective advocacy • Lacks staffing or skills for effective policy directed research • Has not effectively mobilized its clients for advocacy • Has not developed alliances with other 	<p>The organization has an objective of advocacy on policies and issues and</p> <ul style="list-style-type: none"> • Has occasionally carried out significant advocacy activities over the past three years • A weak written plan or strategy for advocacy work • Insufficient number or skills of staff for effective advocacy • Has been weak in mobilizing its clients for advocacy • Has been weak in developing alliances with other stakeholders for advocacy • Has little ability in effective policy directed research. • Has had little influence on the formulation or implementation of government policies at the national or local level 	<p>The organization has an objective of advocacy on policies and issues and</p> <ul style="list-style-type: none"> • Has regularly carried out significant advocacy activities over the past three years • An adequate written plan or strategy for advocacy work • Adequate number and skills of staff for effective advocacy • Has been adequate in mobilizing its clients for advocacy • Has been adequate in developing alliances with other stakeholders for advocacy • Has adequate staffing and skills for effective policy related research 	<p>The organization has an objective of advocacy on policies and issues and</p> <ul style="list-style-type: none"> • Has regularly carried out significant advocacy activities over the past three years • A good written plan or strategy for advocacy work • Good number and skills of staff for effective advocacy • Has been good in mobilizing its clients for advocacy • Has been good in developing alliances with other stakeholders for advocacy • Has had significant influence on the formulation or implementation of government policies at the national or local level • strong ability in conducting effective policy directed research

	<p>stakeholders for advocacy</p> <ul style="list-style-type: none"> Has not influenced the formulation or implementation of government policies at the national or local level Has not influenced donor or regional organization policies Has not influenced the general public's views 	<ul style="list-style-type: none"> Has had little influence on donor or regional organization policies Has had little influence on the general public's views 	<ul style="list-style-type: none"> Has had some influence on the formulation or implementation of government policies at the national or local level Has had some influence on donor or regional organization policies Has had some influence on the general public's views 	<ul style="list-style-type: none"> Has had significant influence on donor or regional organization policies Has had significant influence on the general public's views
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8.3 Soft power: Networking, negotiation, collaboration and coalition building

Subsection Objectives: Assess the strategies and effectiveness of the organization's work on networking, negotiation, collaboration and coalition building

Resources: List of stakeholders/partners, workshops and trainings, social media handling, publications, articles, conferences, exchange visits, collaborative projects, governance related projects

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
8.3 Soft power: Networking, negotiation, collaboration and coalition building	<p>The organization has/does</p> <ul style="list-style-type: none"> No clearly articulated influencing agenda or strategy 	<p>The organization has/does</p> <ul style="list-style-type: none"> Has some form of articulated influencing agenda or strategy Has some links to organizations with a variety of views around issue areas 	<p>The organization has/does</p> <ul style="list-style-type: none"> Has articulated influencing agenda or strategy Communicates with networks of organizations with a 	<p>The organization has/does</p> <ul style="list-style-type: none"> Has a clearly articulated influencing agenda or strategy Established diverse networks of organizations with a variety of views around issue areas

	<ul style="list-style-type: none"> • No networks of organizations to collaborate with • Does not actively seek out opportunities to build coalitions • Little capacity to negotiate with government and other stakeholders • Does not actively engage with regional or international networks • No formal membership in formal associations or organizations with similar interest and goals 	<ul style="list-style-type: none"> • Occasionally seeks out opportunities to build coalitions with other organizations to achieve goals / undertakes joint advocacy work • Limited capacity to negotiate with government and other stakeholders • Sometimes engages within regional and international networks on areas of interest • Membership in formal associations/networks of organizations with similar interests and goals 	<p>variety of views around issue areas</p> <ul style="list-style-type: none"> • Seeks out opportunities to build coalitions with other organizations to achieve goals / and joint advocacy work • Capacity to negotiate with government and other stakeholders • Engages within regional and international networks on areas of interest • Some engagement in formal associations/networks of organizations with similar interests and goals • Holds a position in a formal association/network that is actively working on governance issues 	<ul style="list-style-type: none"> • Actively seeks out opportunities to build coalitions with other organizations to achieve goals / undertakes joint advocacy work • Strong capacity to negotiate with government and other stakeholders • Actively engages within regional and international networks on areas of interest • Membership in formal associations/networks of organizations with similar interests and goals • Holds a leadership position in a formal association/network that is actively working on governance issues
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8.4 Citizen engagement

Subsection Objectives: Assess the strategies and effectiveness of the organization’s work on Citizen Engagement

Resources: citizen-oriented projects, trainings and workshops, surveys, publications, policies, MEL reports

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
8.4 Citizen Engagement	<p>The organization has</p> <ul style="list-style-type: none"> • No policies, planning and approaches on gender • No planning and approaches in engaging and mobilizing citizen participation • No policies and general approaches on inclusion • No processes and definitions for citizen engagement • Not part of diverse and active network of community organizations who can be mobilized quickly • Does not engage community leaders 	<p>The organization has</p> <ul style="list-style-type: none"> • Some policies, planning and approaches on gender • Some planning and approaches in engaging and mobilizing citizen participation • Some policies and general approaches on inclusion • Limited processes and definitions for citizen engagement • Limited engagement in diverse and active network of community organizations who can be mobilized quickly • Limited engagement of community leaders 	<p>The organization has</p> <ul style="list-style-type: none"> • Has policies, planning and approaches on gender • Engages planning and approaches in engaging and mobilizing citizen participation • Has policies and general approaches on inclusion • Has processes and definitions for citizen engagement • Engages with diverse and active network of community organizations 	<p>The organization has</p> <ul style="list-style-type: none"> • Clear policies, planning and approaches on gender • Clear policies planning and approaches in engaging and mobilizing citizen participation • Clear policies and approaches on inclusion • Defined processes and definitions for citizen engagement • A diverse and active network of community organizations who can be mobilized quickly • Strategically engages community leaders from diverse backgrounds

	from diverse backgrounds	from diverse backgrounds	<ul style="list-style-type: none"> Engages community leaders from diverse backgrounds 	
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8.5 Gender and Inclusive Governance

Subsection Objectives: Assess the organization’s ability to address exclusion and inequalities in its strategies and project design, governance approaches and implementation.

Resources: Gender analyses; inclusion assessments strategy documents; project plans; monitoring reports; evaluations; senior manager, staff and client questionnaires and interviews

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
8.5 Inclusion and Governance approaches	<p>Policies, procedures, and systems for addressing inclusion and gender are</p> <ul style="list-style-type: none"> Not written Written, but inadequate and require substantial changes Not followed <p>The organization has</p> <ul style="list-style-type: none"> Inadequate tools and expertise for systematically 	<p>Written policies, procedures, and systems for addressing inclusion and gender issues are</p> <ul style="list-style-type: none"> Weak and require significant changes Not usually applied <p>The organization has</p> <ul style="list-style-type: none"> Weak tools and expertise for systematically assessing inclusion and gender issues Not usually given staff sufficient training on inclusion and gender issues and tools 	<p>Written policies, procedures, and systems for addressing inclusion and gender issues are</p> <ul style="list-style-type: none"> Adequate, but may require some updating Usually applied <p>The organization has</p> <ul style="list-style-type: none"> Adequate tools and expertise for systematically assessing inclusion and gender issues Usually given staff sufficient training on 	<p>Written policies, procedures, and systems for addressing inclusion and gender issues are</p> <ul style="list-style-type: none"> Good Consistently applied <p>The organization has</p> <ul style="list-style-type: none"> Good tools and expertise for systematically assessing inclusion and gender issues Consistently given staff sufficient training on inclusion and gender issues and tools

	<p>assessing inclusion and gender issues</p> <ul style="list-style-type: none"> • Not given staff adequate training on gender and inclusion • Not adequately addressed inclusion and gender issues in project planning, implementation, monitoring, and evaluation • Frequently experienced major problems in programs due to inadequate consideration gender and inclusion issues 	<ul style="list-style-type: none"> • Not usually adequately addressed inclusion and gender issues in project planning, implementation, monitoring, and evaluation • Often experienced major problems in programs due to inadequate consideration of inclusion or gender issues 	<p>inclusion and gender issues and tools</p> <ul style="list-style-type: none"> • Usually adequately addressed inclusion and gender issues in project planning, implementation, monitoring, and evaluation • Occasionally experienced major problems in programs due to inadequate consideration of inclusion or gender issues 	<ul style="list-style-type: none"> • Consistently adequately addressed inclusion and gender issues in project planning, implementation, monitoring, and evaluation • Rarely experienced major problems in programs due to inadequate consideration of inclusion or gender issues
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OCA Score Sheet

Section	Sub-Section	Scores : OCA #1*	Scores: OCA #2	Scores : OCA #3
1. Governance and legal structure	1.1 Vision and mission			
	1.5 Succession planning			
	Average section 1 score			
2. Financial management and internal control systems	2.1 Budgeting			
	2.8 Cost sharing			
	Average section 2 score			
3. Administration and procurement systems	3.1 Operating policies, procedures, and systems			
	3.2 Information technology			
	3.5 Fixed assets management			
	Average section 3 score			

OCA Score Sheet (p. 2)

Section	Sub-Section	Scores: OCA #1*	Scores: OCA #2	Scores: OCA #3
4. Human resources systems	4.1 Adequacy of staffing and job descriptions			
	4.2 Recruitment and retention			
	4.7 Staff and contractor supervision and work planning			

	Average section 4 score			
5. Program management	5.1 Donor compliance requirements			
	5.4 Stakeholder involvement			
	Average section 5 score			
6. Project performance management	6.2 Project and program evaluation			
	6.3 Service delivery standards			
	Average section 6 score			

OCA Score Sheet (p. 3)

Section	Sub-Section	Scores: OCA #1*	Scores: OCA #2	Scores: OCA #3
7. Organizational management and sustainability	7.1 Strategic (business) planning			
	7.2 Annual workplans			
	7.3 Change management			
	7.4 Knowledge management and external linkages			
	7.5 Fundraising and new business development			
	7.6 Internal communications and decision making			
	7.7 External communications			
	Average section 7 score			
8. Technical topics in Governance	8.1 Engaging in Public Policy			
	8.2 Advocacy and Influence			
	8.2 Soft power: Networking, negotiation, collaboration and coalition building			
	8.4 Citizen Engagement			
	8.5 Inclusion and Governance approach			
	Average section 7 score			
	Average OCA score (average of the eight section scores)			

Scale for priorities (1 to 5): 1= High, 5 = Low

Initial priority scores, dates, and responsibilities are assigned in the brainstorming for each subsection, which may involve different participants. After all of the subsections have been completed, the preliminary priority scores, dates, and responsibilities should be reviewed by senior managers for a more holistic view.

Expand rows and columns as needed.

¹The status column is reserved for monitoring action plan implementation.