



USAID
FROM THE AMERICAN PEOPLE

Organizational Capacity Assessment (OCA) Facilitator's Guide Version Without NUPAS Items¹

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¹ Separate versions of the OCA are available with and without the NUPAS-related items and additional guiding questions for facilitators.

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Cover Sheet

Name of Organization: _____

Dates of the Most Recent NUPAS _____

Dates of This OCA: _____

Number of Previous OCAs _____

Dates of Previous OCAs _____

★ OCA sub-sections that correspond to NUPAS items have been deleted from this version. These sub-sections do not need to be revisited in the first OCA if no significant changes have occurred since the NUPAS (the NUPAS scores can be used instead). However, if the organization has addressed any Special Award Conditions or more than a year has passed since the pre-award survey, it may still be useful to include these sub-sections. It may still be useful to include the starred sub-sections in the first OCA because they are not identical to the corresponding NUPAS items. Before deciding to omit the NUPAS-related items in the first OCA, an organization should consider whether additional discussion of issues raised in the NUPAS would be useful for the capacity development action plan. Because USAID does not generally require grantees with fixed obligation grants (FOGs) to have a pre-award survey, the NUPAS-related items would normally be included in a FOG recipient's first OCA.

● OCA items not included in the NUPAS

Composition of the Teams: The OCA can either be conducted with a single set of participants for all sections or different participants for the various sections. The first page of every section lists suggestions for important participants with relevant functions for that set of items. Relying on a single set of participants can increase communications and learning across organizational divisions. However, if separate teams work on different sections simultaneously, the OCA can be done more quickly and with less total staff time.

Identifying the Questions: Start with a discussion around the broader points in the section and sub-section objectives. Skip any specific questions that are not relevant for the organization or have already been covered in the general discussion. Facilitators should use their judgment in deciding what questions are needed to enable the organization to make a sound self-assessment and support action planning. Facilitator's guide questions should be woven skillfully into a conversation; they should not be read aloud verbatim. Facilitators will need to be very familiar with the tool to do this effectively.

Scoring: To encourage conclusive decisions, facilitators should inform participants that an organization should meet all of the criteria for a particular score. However, facilitators should not argue if the participants feel that a different score better reflects the capacity of the organization. The OCA scores are less important than the process of discussing the organization's strengths and weaknesses, action planning, and relationship building. Remind participants that the scores are used to set priorities for action planning; they are not the purpose of the exercise.

Action Plan: The action plan is the most important output from the OCA. It is best to work on the action plan for each sub-section right after the scoring has been done for that sub-section. After the initial action plan has been completed, senior managers should review and consider revising the relative priorities for the various items.

1. 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

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

1.5 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
1.5 Succession Planning <ul style="list-style-type: none"> • 	<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 with extreme events 	<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 • Other current managers who could not take over effectively from the current leader 	<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 • Other current managers who could take over effectively from the current leader, but with some transitional problems 	<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 • Other current managers who could take over effectively from the current leader without major transitional problems

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
2.1 Budgeting	1	2	3	4
	<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 an inadequate methods or data Non-budgeted expenses are extensive and not approved by senior managers or donors as required Multi-year revenue and expenditure projections are not done Revenues and expenditures are not monitored against budgets 	<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 only realistic, clear, and well documented 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 Multi-year revenue and expenditure projections are weak Revenues and expenditures are monitored against budgets quarterly 	<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 Revenues and expenditures are monitored against budgets monthly 	<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 Multi-year revenue and expenditure projections are reasonably accurate Revenues and expenditures are monitored against budgets monthly

2.8 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
2.9 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 • Written policies and procedures on cost sharing that are inadequate and require substantial changes 	<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 • 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 	<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

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

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 • No written guidance on client support and provision of goods and services or it is rarely followed 	<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 provision of goods and services is inadequate or not usually followed 	<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 good and consistently followed

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 • Not backed up <p>There is no system for tracking laptops</p>	<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 generator equipment or fuel • Occasionally backed up <p>There is a weak system for tracking laptops</p>	<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 • Regularly backed up on an adequate schedule <p>There is an adequate system for tracking laptops</p>	<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 <p>There is a good system for tracking laptops</p>

3.5 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
3.5 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 non-expendable equipment definition and titling, inventory, insurance, and custody requirements <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>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 non-expendable equipment definition and titling, inventory, insurance, and custody requirements <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>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 non-expendable equipment definition and titling, inventory, insurance, and custody requirements <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>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 non-expendable equipment definition and titling, inventory, insurance, and custody requirements <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

3.6 Branding and Marking

Subsection Objectives: Assess compliance with the branding and marking requirements of USAID and other donors, where applicable

Resources: Branding and marking plan; senior manager interviews; observation of signs at project sites, vehicles, equipment, and publications

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
3.6 Branding and Marking 	<p>The organization has</p> <ul style="list-style-type: none"> • Not received any financial support from donors with branding and marking requirements • Received financial support from donors with branding and marking requirements, but has not yet complied with these requirements • No written policies and procedures on branding and marking • Notices required by law or donors are not posted • No logo or tagline 	<p>The organization has</p> <ul style="list-style-type: none"> • Had prior donor branding and marking requirements that were not fully met • Been in the process of complying with its first donor branding and marking requirements • Weak written policies and procedures for branding and marking • Notices required by law or donors are not usually posted • A logo and/or tagline 	<p>The organization has.</p> <ul style="list-style-type: none"> • Had prior donor branding and marking requirements that may have behind schedule, but were eventually fully met • Adequate written policies and procedures for branding and marking that may need some updating • Notices required by law or donors are usually posted • A logo and tagline 	<p>The organization has</p> <ul style="list-style-type: none"> • Had prior donor branding and marking requirements that were consistently met in full and on time • Good written policies and procedures for branding and marking that are updated as needed • Notices required by law or donors are usually posted • A well-recognized logo and tagline

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"> ● 	<ul style="list-style-type: none"> • Policies and procedures on staffing and job descriptions are not written; or 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 people without appropriate skills • Some vacancies have significantly reduced efficiency or effectiveness for more than 6 months 	<ul style="list-style-type: none"> • Policies and procedures on staffing and job descriptions are written, but weak and require significant changes; or are adequate, but not usually followed. They 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 people without the appropriate qualifications or skills • Some vacancies have significantly reduced efficiency or effectiveness for 3-6 months 	<ul style="list-style-type: none"> • Policies and procedures on staffing and job descriptions are written and adequate, but may require minor changes or some updating. They are generally followed and are 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 people with appropriate qualifications and skills • Some vacancies have reduced efficiency or effectiveness for no more than 3 months 	<ul style="list-style-type: none"> • Policies and procedures on staffing and job descriptions are written and good and regularly revised as needed. They do not require changes and are consistently followed; are supported by good records in secure central files; and are 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 people with appropriate qualifications and skills • Vacancies have not reduced efficiency or effectiveness

	<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • 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 	Policies and procedures for staff recruitment and retention are <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 • Salaries and advancement potential are very low • Most staff are dissatisfied with the organization or their positions 	Policies and procedures for staff recruitment and retention are written and <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 • Staff have few opportunities for career advancement and salary increases 	Policies and procedures for staff recruitment and retention are written and <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 • Staff have some opportunities for career advancement and salary increases 	Policies and procedures for staff recruitment and retention are written and <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 • Staff have significant opportunities for career advancement and salary increases

	<ul style="list-style-type: none"> • Not identified staff professional development needs • Rarely provided training and other staff development opportunities for staff 	<ul style="list-style-type: none"> • Most staff are partially satisfied with the organization and their positions • Not adequately identified staff professional development needs • Occasionally provided training and other staff development opportunities for staff, but the amount or quality may be weak 	<ul style="list-style-type: none"> • Most staff are satisfied with the organization and their positions • Periodically identified staff professional development needs, but less than once a year • Regularly provided training and other staff development opportunities for staff, but more is needed 	<ul style="list-style-type: none"> • Most staff have high satisfaction with the organization and their positions • Routinely identified staff professional development needs at least once a year • Regularly provided an appropriate amount and quality of training and other staff development opportunities for staff
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4.7 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
4.7 Staff and Contractor Supervision and Work Planning <ul style="list-style-type: none"> ● 	<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 scopes of work for specific assignments 	<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 scopes of work for specific assignments 	<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 <p>Employees consistently have written workplans or performance objectives prepared at least once a year on a timely basis</p> <ul style="list-style-type: none"> • Staff and consultants consistently not have clear and detailed guidance or scopes of work for specific assignments

4.8 Volunteers and Interns

(Skip if volunteers and interns are not used)

Subsection Objectives: Assess the organization's systems for managing volunteers and interns.

Resources: Policies on volunteers and intern recruitment, training, and supervision; records on number of volunteers and interns; job descriptions for volunteers and interns; volunteer and intern surveys and exit interviews; senior manager questionnaires and interviews

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
4.10 Volunteers and Interns	<ul style="list-style-type: none"> The organization Has policies and procedures on selection, training, management, and supervision of volunteers and interns that are Not written Written, but inadequate and require substantial changes Not applied 	<p>The organization has written policies and procedures on selection, training, management, and supervision of volunteers and interns that are</p> <ul style="list-style-type: none"> Weak and require significant changes Not usually applied 	<p>The organization has written policies and procedures on selection, training, management, and supervision of volunteers and interns that are</p> <ul style="list-style-type: none"> Adequate, but may need some minor changes or updating Usually applied 	<p>The organization has written policies and procedures on selection, training, management, and supervision of volunteers and interns that are</p> <ul style="list-style-type: none"> Good and updated as needed Consistently applied

5. Program Management

Section Objectives: Assess the organization's experience with donor compliance, sub-award management, technical reporting, stakeholder involvement, and addressing culture and gender issues

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 USAID or another donor with complex compliance requirements • Not received a sub-award from USAID • Little understanding of USG cost principles (A-122) and USAID’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 USAID and other donors 	<p>The organization has</p> <ul style="list-style-type: none"> • Not received a direct award from USAID or another donor with complex compliance requirements • Received a sub-award from USAID • 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 USAID and other donors 	<p>The organization has</p> <ul style="list-style-type: none"> • Received a direct award from USAID 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 USAID and other donors 	<p>The organization has</p> <ul style="list-style-type: none"> • Received a direct award from USAID • Filed the required certifications for a direct award from USAID • 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 USAID and other donors

5.4 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
5.4 Stakeholder Involvement <ul style="list-style-type: none"> ● 	<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 • Not referred clients to other appropriate service providers • Inadequate physical space to meet with individual clients and groups 	<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 • Poor physical space to meet with individual clients and groups 	<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 • Adequate physical space to meet with individual clients and groups 	<p>The organization has</p> <ul style="list-style-type: none"> • Good written policies and procedures for stakeholder involvement and confidentiality • Consistently collected sufficient baseline data • Consistently incorporated a broad range of stakeholder views in project design, implementation, and monitoring and evaluation • Regular meetings with two-way communications with clients and clear channels for stakeholders to raise issues at any time • Consistently shared project findings and recommendations with clients • Consistently referred clients to other appropriate service providers • Good physical space to meet with individual clients and groups

5.5 Culture and Gender Issues

Subsection Objectives: Assess the organization’s ability to address culture and gender issues in its strategies and project design and implementation.

Resources: Culture assessments; gender analyses; 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
5.5 Culture and Gender Issues 	<p>Policies, procedures, and systems for addressing culture and gender issues 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 assessing culture and gender issues • Not given staff adequate training on culture and gender issues and tools • Not adequately addressed culture and gender issues in project planning, implementation, monitoring, and evaluation • Frequently experienced major problems in programs due to inadequate consideration of culture or gender issues 	<p>Written policies, procedures, and systems for addressing culture and gender issues are</p> <p>Weak and require significant changes</p> <p>Not usually applied</p> <p>Weak tools and expertise for systematically assessing culture and gender issues</p> <p>The organization has</p> <ul style="list-style-type: none"> • Weak tools and expertise for systematically assessing culture and gender issues • Not usually given staff sufficient training on culture and gender issues and tools • Not usually adequately addressed culture and gender issues in project planning, implementation, monitoring, and evaluation • Often experienced major problems in programs due to inadequate consideration of culture or gender issues 	<p>Written policies, procedures, and systems for addressing culture 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 culture and gender issues • Usually given staff sufficient training on culture and gender issues and tools • Usually adequately addressed culture and gender issues in project planning, implementation, monitoring, and evaluation • Occasionally experienced major problems in programs due to inadequate consideration of culture or gender issues 	<p>Written policies, procedures, and systems for addressing culture 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 culture and gender issues • Consistently given staff sufficient training on culture and gender issues and tools • Consistently adequately addressed culture and gender issues in project planning, implementation, monitoring, and evaluation • Rarely experienced major problems in programs due to inadequate consideration of culture or gender issues

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: _____

6.2 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
6.2 Project and Program Evaluation 	Policies and procedures for evaluation are <ul style="list-style-type: none"> • Not written • Written, but not followed The organization has <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 recommendations in existing and new projects 	Written policies and procedures for evaluation are <ul style="list-style-type: none"> • Weak and require significant changes • Not usually applied The organization has <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 • Weak ability to address evaluation findings and recommendations in existing and new projects 	Written policies and procedures for evaluation are <ul style="list-style-type: none"> • Adequate, but may require some updating • Usually applied The organization has <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 	Written policies and procedures for evaluation are <ul style="list-style-type: none"> • Good • Consistently applied The organization has <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 • Good ability to address evaluation findings and recommendations in existing and new projects

6.3 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
6.3 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 Service standards that are consistently applied and monitored

Service Delivery Standards	Notes
1. Has the organization adopted recognized, international, national, or sectoral standards for service delivery? If so, which standards?	
2. Does the organization have good internal standards for service delivery? If yes, describe the standards.	
3. Are the internal service delivery standards revised as needed? When were they last revised?	
4. Have relevant staff been trained on the standards and how to achieve them? How often are they trained? When was the last staff training on service delivery standards?	
5. Are the service delivery standards consistently applied?	
6. Are the standards consistently monitored?	

6.4 Field Support, Operations, and Oversight

(Skip if there are no field offices or field operations)

Subsection Objectives: Assess the organization's systems for management and oversight of field offices and operations

Resources: Policy and procedures manuals, records of communications with field staff, field visit reports, monitoring reports, evaluations

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
6.4 Field Support, Operations, and Oversight <ul style="list-style-type: none"> ● 	<p>The organization has</p> <ul style="list-style-type: none"> • No field offices or operations • No written procedures and processes for field support, operations, and oversight • Written procedures for field support, operations, and oversight that are not applied • Field offices or operations that do not submit annual workplans, budgets, and financial and progress reports for headquarters review • A head office that provides inadequate administrative and technical support and oversight to the field • Field site visits that are infrequent, irregularly scheduled, or too short 	<p>The organization has field offices or operations and</p> <ul style="list-style-type: none"> • Weak written procedures and processes for field support, operations, and oversight • Procedures for field support, operations, and oversight that are not usually applied • Field offices or operations that submit annual workplans, budgets, and financial and progress reports for headquarters review, but receive inadequate feedback • A head office that provides weak administrative and technical support and oversight to the field • An insufficient frequency or duration of regular field site visits 	<p>The organization has field offices or operations and</p> <ul style="list-style-type: none"> • Adequate written procedures and processes for field support, operations, and oversight that may need some updating • Procedures for field support, operations, and oversight that are usually applied • Field offices or operations that submit annual workplans, budgets, and financial and progress reports for headquarters review and receive adequate feedback • A head office that provides adequate administrative and technical support and oversight to the field • An adequate frequency and duration of regular field site visits 	<p>The organization has</p> <ul style="list-style-type: none"> • Good written procedures and processes for field support, operations, and oversight • Procedures for field support, operations, and oversight that are consistently applied • Field offices or operations that submit annual workplans, budgets, and financial and progress reports for headquarters review and receive good feedback • A head office that provides good administrative and technical support and oversight to the field • A good frequency and duration of regular field site visits

6.5 Project Performance (past 3 years)

Subsection Objectives: Assess the organization’s ability to carry out its programs efficiently, effectively, and sustainably

Resources: Program and project evaluations, donor and government funder performance ratings and references, client (beneficiary) satisfaction surveys, questionnaires and interviews with donors, government agencies, clients, senior managers and staff, spreadsheet with percent of project targets achieved over past 3 years

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
6.5 Project Performance <ul style="list-style-type: none"> ● 	<p>Over the past 3 years, the organization has</p> <ul style="list-style-type: none"> • Not received donor or government funding • Received donor or government funding, but low performance ratings or references (1 or 2 on a scale of 5) • Received low satisfaction ratings from clients or beneficiaries (1 or 2 on a scale of 5) • Met less than 70% of project output targets on time • Met less than 60% of project results targets • Not scaled up the geographic coverage or scope of its programs 	<p>Over the past 3 years, the organization has</p> <ul style="list-style-type: none"> • Received average performance ratings or references from donors and government funders (3 on a scale of 5) • Received average performance ratings or references from clients or beneficiaries (3 on a scale of 5) • Met at least 70% of project output targets on time • Met at least 60% of project results targets • Not significantly scaled up the geographic coverage or scope of its programs 	<p>Over the past 3 years, the organization has</p> <ul style="list-style-type: none"> • Received above average performance ratings or references from donors and government funders (4 on a scale of 5) • Received above average performance ratings or references from clients or beneficiaries (4 on a scale of 5) • Met 80% of project output targets on time • Met at least 70% of project results targets • Significantly scaled up the geographic coverage or scope of its programs 	<p>Over the past 3 years, the organization has</p> <ul style="list-style-type: none"> • Received outstanding performance ratings or references from donors and government funders (5 on a scale of 5) • Received outstanding performance ratings or references from clients or beneficiaries (5 on a scale of 5) • Met at least 90% of project output targets on time • Met at least 80% of project results targets • Substantially scaled up the geographic coverage or scope of its programs

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 • Not used for management decisions or operational planning . 	<p>The strategic plan (business plan) is written and</p> <ul style="list-style-type: none"> • Weak and require 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 • Not usually used for management decisions or operational planning 	<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 • Usually used for management decisions or operational planning 	<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

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 	Annual workplans <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 	Annual workplans are prepared and are <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 • Modified without required donor approvals 	Annual workplans are prepared and are <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 • Modified with required donor approvals 	Annual workplans are prepared and are <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

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; response to issues identified in the NUPAS or previous OCAs; 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 <ul style="list-style-type: none"> ● 	<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 • Not responded to issues identified in the NUPAS and previous capacity assessments • Experienced substantial setbacks, problems, or delays in response to changes • Management that does not assess staff comfort levels with changes • No system for monitoring whether changes are implemented and their positive and negative effects 	<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 • Only partly responded to issues identified in the NUPAS and previous capacity assessments • 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 • Adequately responded to most issues identified in the NUPAS and previous capacity assessments • 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 adapt to changes in internal and external environments • Fully responded to most issues identified in the NUPAS and previous capacity assessments • Experienced few setbacks, problems, or delays in response to changes • Management that consistently involves assesses staff comfort levels with changes • A good system for monitoring whether changes are implemented and their positive and negative effects

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 • Not presented its approaches and results at external events 	<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 approaches, lessons learned, and good practices • Occasionally presented its approaches and results at external events 	<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 • Regularly presented its approaches and results at external events 	<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 learned, and good practices • Frequently presented its approaches and results at external events

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 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 	<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 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 	<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 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 	<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 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

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 Internal Communications and Decision Making <ul style="list-style-type: none"> ● 	<p>The organization has</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 	<p>The organization has</p> <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 	<p>The organization has</p> <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 	<p>The organization has</p> <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

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 Capacity	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 No website or just a placeholder Little name recognition or a negative reputation with key stakeholders 	<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 A weak website A neutral reputation with key stakeholders 	<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 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 	<p>The organization has</p> <ul style="list-style-type: none"> A good written strategy for identifying audiences, channels, and materials for external communications that is regularly 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 A strongly positive reputation with key stakeholders

7.8 Advocacy and Influence

(Skip if the organization does not have an advocacy objective)

Subsection Objectives: Assess the strategies and effectiveness of the organization's work on 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
7.8 Advocacy and Influence (if applicable) <ul style="list-style-type: none"> ● 	<p>The organization has an objective of advocacy on 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 • Has not effectively mobilized its clients for advocacy • Has not developed alliances with other stakeholders for advocacy • 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 	<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 had little influence on the formulation or implementation of government policies at the national or local level • Has had little influence on donor or regional organization policies • Has had little influence on the general public's views 	<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 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 	<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 • Has had significant influence on donor or regional organization policies • Has had significant influence on the general public's views

OCA Score Sheet

Section	NUPAS Item Number ★	Sub-Section	NUPAS Score	Scores: OCA #1*	Scores: OCA #2	Scores: OCA #3
1. Governance and legal structure	●	1.1 Vision and mission				
	1.2	1.2 Legal requirements and status ★				
	1.3	1.3 Organizational structure ★				
	1.5	1.4 Board composition and responsibility ★				
	●	1.5 Succession planning				
		Average section 1 score				
2. Financial management and internal control systems	●	2.1 Budgeting				
	2.2	2.2 Accounting system ★				
	2.8	2.3 Internal controls ★				
	2.1	2.4 Bank account management ★				
	2.9	2.5 Financial documentation ★				
	2.11	2.6 Financial statements and reporting ★				
	2.12	2.7 Audit experience ★				
	●	2.8 Cost sharing				
		Average section 2 score				
3. Administration and procurement systems	●	3.1 Operating policies, procedures, and systems				
	●	3.2 Information technology				
	4.4	3.3 Travel policies and procedures ★				
	3.1	3.4 Procurement ★				
	●	3.5 Fixed assets management				
	●	3.6 Branding and marking				
		Average section 3 score				

OCA Score Sheet (p. 2)

Section	NUPAS Item Number	Sub-Section	NUPAS Score	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				
	4.1	4.3 Personnel policies ★				
	4.2	4.4 Staff time management and payrolls ★				
	4.3	4.5 Staff and consultant history ★				
	4.1	4.6 Staff salaries and benefits ★				
	4.1	4.7 Staff and contractor supervision and work planning				
	●	4.8 Volunteers and interns				
	Average section 4 score					
5. Program management	●	5.1 Donor compliance requirements				
	3.2	5.2 Sub-award management				
	5.2	5.3 Technical reporting ★				
	●	5.4 Stakeholder involvement				
	●	5.5 Culture and gender issues				
	Average section 5 score					
6. Project performance management	5.2	6.1 Monitoring and quality assurance ★				
	●	6.2 Project and program evaluation				
	●	6.3 Service delivery standards				
	●	6.4 Field support, operations, and oversight				
	●	6.5 Project performance				
	Average section 6 score					

OCA Score Sheet (p. 3)

Section	NUPAS Item Number	Sub-Section	NUPAS Score	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				
	●	7.8 Advocacy and influence				
				Average section 7 score		
		Average OCA score (average of the seven section scores)				

★ In the first OCA, USAID’s Non-US Organizations Pre-Award Survey (NUPAS) scores may be used for the corresponding OCA items if no significant changes have occurred since the NUPAS was done.

● Not included in the NUPAS, so the NUPAS score cell has been shaded out.

