



# 2014

## ORGANIZATIONAL CAPACITY ASSESSMENT (OCA)

EASTERN AFRICA FARMERS  
FEDERATION

## Purpose

The EAFF OCA self assessment tool is a modification of the OCA USAID self assessment tool that was administered to the EAFF secretariat through a project known as Farm Trade. It is recommended that this tool shall be used to identify and give plausible recommendations as regards to capacity gaps that hinder effective participation of organizations to deliver services to its members. This tool will demonstrate progress and identify new capacity priorities at the NFO level to form a basis for future EAFF projects. The OCA is a self assessment because its objective is to enable organizational learning, team sharing and reflections. The tool is tailored to identify strengths and weaknesses in:

1. Governance and legal structure
2. Financial management and internal control systems
3. Administration and procurement systems
4. Human resources management
5. Program management
6. Project performance management
7. Organizational management and sustainability

If a broad range of staff, departments and levels are represented in an OCA exercise, a healthy dialogue can be promoted within the organization. The OCA is intended to contribute to the preparation of an Action Plan that identifies high priority areas for change, required steps, responsible staff, estimated completion dates, and any needed support. Periodic use of the OCA to create an Action Plan and obtain necessary capacity development assistance can contribute to the efficiency, effectiveness, and sustainability of member organizations.

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# EAFF's ORGANIZATIONAL CAPACITY ASSESSMENT (OCA)

Name of Organization: \_\_\_\_\_

Date of OCA Administration: \_\_\_\_\_

Date of Previous OCA: \_\_\_\_\_

OCA Sequence (check one): First \_\_\_\_\_ Second \_\_\_\_\_ Third \_\_\_\_\_ Fourth \_\_\_\_\_ Fifth \_\_\_\_\_

**Names and Positions of Participants from the Organization:**

1. Name: \_\_\_\_\_

Position: \_\_\_\_\_

2. Name: \_\_\_\_\_

Position: \_\_\_\_\_

3. Name: \_\_\_\_\_

Position: \_\_\_\_\_

4. Name: \_\_\_\_\_

Position: \_\_\_\_\_

**Names and Positions of EAFF Facilitators:**

1. Name: \_\_\_\_\_

Position: \_\_\_\_\_

2. Name: \_\_\_\_\_

Position: \_\_\_\_\_

3. Name: \_\_\_\_\_

Position: \_\_\_\_\_

**1. ADMINISTRATION AND PROCUREMENT SYSTEMS**

	Low Capacity	Moderate Capacity	Strong Capacity
<b>3.1 Operational Policies, Procedures and Systems</b>	<b>1</b>	<b>2</b>	<b>3</b>
	<p>The organization has some or no written administrative procedures, but they are not complete or appropriate.</p> <p>The policies are not understood by most relevant staff or are not usually followed.</p> <p>Information systems to support management decisions and verify compliance are weak or lacking/ inadequate</p>	<p>The organization has written administrative procedures that are generally complete and appropriate, but may require updating.</p> <p>Administrative policies and procedures are understood by most relevant staff and are generally followed.</p> <p>Information systems are generally sufficient to support management decisions and verify compliance.</p>	<p>The organization has written administrative procedures that are complete, appropriate, and revised as needed.</p> <p>Policies and procedures are known to staff and are consistently followed and updated as needed.</p> <p>Information systems to support management decisions and verify compliance are very good.</p>

<b>3.2 Travel Policies and Procedures</b>	<b>1</b>	<b>2</b>	<b>3</b>
	<p>The organization does not have written travel policies and procedures or they are inadequate or not followed.</p> <p>OR</p> <p>The organization has written travel policies and procedures, but they are incomplete, inadequate.</p> <p>Travel policies and procedures are not understood by most relevant staff or are not usually followed.</p> <p>Travel records are incomplete or too weak for control and verification of compliance.</p>	<p>The organization has written travel policies and procedures that are mostly complete and appropriate, but may need some updating.</p> <p>Travel policies and procedures are understood by most relevant staff and are generally followed.</p> <p>Travel records are sufficient for control and verification of compliance.</p>	<p>The organization has written travel policies and procedures that are complete, appropriate, and revised as needed.</p> <p>Travel policies and procedures are understood by relevant staff and are consistently followed. Management emphasizes the importance of adherence to travel policies and leads by example.</p> <p>Travel records are very good and are monitored for control and compliance.</p>

<b>3.3 Procurement</b>	<b>1</b>	<b>2</b>	<b>3</b>
	<p>The organization has some written procurement policies and procedures, but they are incomplete &amp; inadequate.</p> <p>Procurement policies and procedures are not understood by most relevant staff or are not usually followed.</p> <p>Procurement records are absent or insufficient , not monitored for control and verification of compliance.</p>	<p>The organization has written procurement policies and procedures that are mostly complete and appropriate, but may need some updating.</p> <p>Procurement policies and procedures are understood by most relevant staff and are generally followed.</p> <p>Procurement records are usually monitored for control and verification of compliance.</p>	<p>The organization has written procurement policies and procedures that are complete and appropriate, and are regularly reviewed and revised as needed.</p> <p>Procurement policies and procedures are understood by relevant staff and are consistently followed.</p> <p>Management emphasizes the importance of adherence to procurement policies and leads by example.</p> <p>Procurement records are consistently monitored for control and compliance.</p>
<b>3.4 Fixed Asset Control</b>	<b>1</b>	<b>2</b>	<b>3</b>
	<p>The organization has written fixed asset procedures (such as inventory of assets and systems for stock control), but these are weak.</p> <p>The procedures are not understood by relevant staff or are not usually followed.</p>	<p>The organization has written fixed asset procedures that are generally complete and appropriate, although they may need updating.</p> <p>The procedures are understood by most relevant staff and are usually followed.</p>	<p>The organization has written fixed asset procedures that are complete and appropriate and updated as needed.</p> <p>The procedures are understood by relevant staff and are consistently followed.</p>

	1	2	3
<b>3.5 Branding and Marking (Optional)</b>	<p>The organization has received financial support with branding and marking requirements, but it does not have written branding and marking procedures or they are inadequate.</p> <p>Donor branding and marking requirements are not understood by staff and are not usually followed.</p>	<p>The organization has written branding and marking policies and procedures that meet the requirements of its donors.</p> <p>The branding and marking policies and procedures are understood by most relevant staff and are usually followed.</p>	<p>The organization has written branding and marking procedures that meet the requirements of its donors.</p> <p>The branding and marking policies and procedures are understood by relevant staff and are consistently followed.</p>



## 2. HUMAN RESOURCES SYSTEMS

	Low Capacity	Moderate Capacity	Strong Capacity
<b>4.1 Staff Job Descriptions</b>	<b>1</b>	<b>2</b>	<b>3</b>
	<p>The organization has written policies on job descriptions and delegations of authority, but they are incomplete or weak. Roles and responsibilities may be unclear or unspecified.</p> <p>The policies are not usually applied.</p>	<p>The organization has written policies on job descriptions and delegations of authority. Roles and responsibilities are mostly clear.</p> <p>The policies are generally satisfactory, but may require updating. The policies are usually applied.</p>	<p>The organization has written policies on job descriptions and delegations of authority. Roles and responsibilities are clear.</p> <p>The policies are complete and appropriate and are regularly reviewed and revised as needed. The policies are consistently applied.</p>

	1	2	3
<b>4.2 Recruitment and Retention</b>	<b>1</b>	<b>2</b>	<b>3</b>
	<p>The organization has written guidelines for recruitment, hiring, and retention of staff, but they may be incomplete or are not usually applied.</p> <p>References and salary history are not usually checked.</p> <p>The organization may have difficulty retaining staff due to its size, salary levels, or location. The organization offers few significant opportunities for career advancement or potential salary increases beyond inflation adjustments.</p>	<p>The organization has written guidelines for recruitment, hiring, and retention that are satisfactory, but may need updating. The guidelines are usually applied.</p> <p>Recruitment, hiring, and retention are generally open and transparent. References and salary history are usually checked.</p> <p>Staff attrition rates are typical for an organization of this size, type, and location. The organization provides some opportunities for career advancement and potential salary increases beyond inflation adjustments.</p>	<p>The organization has written guidelines for recruitment, hiring, and retention. The guidelines are complete, appropriate, and regularly reviewed and updated as needed. The guidelines are consistently applied.</p> <p>Recruitment, hiring, and retention are consistently open and transparent. References and salary history are usually checked.</p> <p>Staff attrition rates are relatively low for an organization of this size, type, and location. Significant opportunities are available for career advancement and potential salary increases beyond inflation adjustments.</p>

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<p><b>4.3 Staffing Levels</b></p>	<p>The organization has a written staffing plan, but it is weak or not usually followed.</p> <p>Many key management, technical, or finance positions have not yet been established, remain vacant, or are filled by people without the appropriate qualifications or skills.</p> <p>Many staff need to significantly improve their capacity to do their current jobs well.</p> <p>Staff professional development needs are only identified or addressed by donors.</p> <p>The organization has some difficulty recruiting additional well-qualified staff</p>	<p>The organization has a written staffing plan that is generally good and is usually followed with appropriate flexibility.</p> <p>Most key management, technical, and finance positions have been established and are filled by people with appropriate qualifications and skills.</p> <p>There may be temporary vacancies in a some positions as long as they are under active recruitment and are not disrupting the efficiency or effectiveness of the organization</p> <p>Some staff may need to improve their capacity to do their current jobs well.</p> <p>Staff professional development needs are routinely identified by the organization in workplans or performance appraisals, but are often not met in a timely manner.</p> <p>The organization does not have much difficulty recruiting additional well-qualified staff</p>	<p>The organization has a written staffing plan that is complete and consistently followed with appropriate flexibility.</p> <p>All key management, technical, and finance positions have been established and are filled by people with appropriate qualifications and skills.</p> <p>There may be temporary vacancies in a few positions as long as they are under active recruitment are not disrupting the efficiency or effectiveness of the organization.</p> <p>Some staff may need to improve their capacity to take on new tasks or adjust to new systems and requirements.</p> <p>Staff professional development needs are routinely identified by the organization in workplans or performance appraisals and are generally met in a timely manner.</p> <p>The organization does not have any difficulty recruiting additional well-qualified staff.</p>

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<b>4.4 Personnel Policies</b>	<p>The organization has written personnel policies and procedures, but they are weak, inadequate or incomplete.</p> <p>Personnel policies and procedures are not usually applied.</p> <p>Personnel policies only partially conform to good practices of donor requirements</p>	<p>The organization has written personnel policies and procedures that are generally good, but may require some updating.</p> <p>Personnel policies and procedures are usually applied.</p> <p>Personnel policies generally conform to good practices and donor requirements.</p>	<p>The organization has written personnel policies and procedures that are complete and appropriate.</p> <p>Personnel policies and procedures are regularly reviewed and updated as needed.</p> <p>Personnel policies and procedures are consistently applied.</p> <p>Personnel policies consistently conform to good practices and donor requirements.</p>

	1	2	3
<b>4.5 Staff Time Management</b>	<p>The organization has written payroll policies and procedures, but they are weak or incomplete. The policies and procedures are not usually applied.</p> <p>Timesheets are not usually submitted by employees or are not signed. Timesheets only include total work hours instead of actual time worked on each project and indirect activities. Timesheets are not usually signed by supervisors.</p> <p>Salary and wage payments do not consistently correspond to verifiable information. Labor costs are distributed among projects and indirect activities according to the budgets or rough estimates of work hours.</p> <p>Payroll records are weak or often contain</p>	<p>The organization has written payroll policies and procedures that are generally good, but may require some updating. The policies and procedures are usually applied.</p> <p>Employees generally submit signed timesheets on time. Timesheets reflect actual time worked on each project and indirect activities. Timesheets are usually signed and approved by supervisors.</p> <p>Salary and wage payments correspond to verifiable information. Labor costs are equitably distributed among projects and indirect activities based on the timesheets.</p> <p>Payroll records are generally good and errors are infrequent. Payroll records consistently meet legal</p>	<p>The organization has written payroll policies and procedures that are complete and appropriate. The policies and procedures are regularly reviewed and updated as needed. The policies and procedures are consistently applied.</p> <p>Employees consistently submit signed timesheets on time. Timesheets reflect actual time worked on each project and indirect activities. Timesheets are consistently signed and approved by supervisors.</p> <p>Salary and wage payments correspond to verifiable information. Labor costs are equitably distributed among projects and indirect</p>

	errors. Payroll records may require improvement to meet legal or donor requirements.	requirements and generally meet donor requirements.	activities based on the timesheets.  Payroll records are complete and rarely contain errors. Payroll records consistently meet legal and donor requirements.
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<b>4.6 Staff and Consultant History Documentation</b>	<p>The organization retains some staff resumes, performance appraisals, and changes in work status (part/full time, extended leave, salary, benefits, assignments, training, bonuses and awards) on file, but the records are incomplete. The records might not be in a central file.</p> <p>Consultant salaries, terms of reference, and major outputs are not retained in files.</p> <p>Staff and consultant resumes are not routinely kept up to date for proposal purposes.</p> <p>The organization does not usually conduct exit interviews with departing staff or key findings are not documented.</p>	<p>The organization usually retains staff resumes, performance appraisals, and changes in work status (part/full time, extended leave, salary, benefits, assignments, training, bonuses and awards) in a central file, but there may be some gaps.</p> <p>Consultant salaries, terms of reference, and major outputs are usually retained in files.</p> <p>Staff and consultant resumes are usually updated when needed for proposal purposes.</p> <p>The organization usually conducts exit interviews with departing staff and key findings are documented.</p>	<p>The organization consistently retains staff resumes, performance appraisals, and changes in work status (part/full time, extended leave, salary, benefits, assignments, training, bonuses and awards) in a central file and the records are generally complete.</p> <p>Consultant salaries, terms of reference, and major outputs are consistently retained in files.</p> <p>Staff and consultant resumes are consistently updated when needed for proposal purposes.</p> <p>The organization consistently conducts exit interviews with departing staff and key findings are well documented.</p>

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<b>4.7 Staff Salary and Benefits Policy</b>	<p>The organization has some written policies and procedures on staff salaries and benefits, but they are weak or incomplete. The policies and procedures are not usually applied or are only applied to some staff.</p> <p>Salary and benefit practices are in partial/no compliance with local labor laws and other donor requirements.</p>	<p>The organization has written policies and procedures on staff salaries and benefits that are generally good, but may require some updating. The policies and procedures are usually applied to all staff.</p> <p>Salary and benefit practices are in compliance with local labor laws and other donor requirements.</p>	<p>The organization has written policies and procedures on staff salaries and benefits that are complete and appropriate. The policies and procedures are regularly reviewed and updated as needed. The policies and procedures are consistently applied to all staff.</p> <p>Salary and benefit practices are in compliance with local labor laws and other donor requirements.</p>

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<b>4.8 Staff Performance Management</b>	<p>The organization has some written policies and procedures on staff performance management, but they are weak or incomplete. The policies and procedures are not usually applied or are only applied to some staff.</p> <p>Employees may receive informal guidance on current responsibilities, goals and activities, expected performance results and standards.</p> <p>The organization does not ensure that all employees receive a written performance appraisal at least once a year.</p> <p>Informal performance appraisals might be conducted, but the process is not systematic or documented.</p>	<p>The organization has written policies and procedures on staff performance management that are generally good, but may require some updating. The policies and procedures are usually applied to all staff.</p> <p>Most employees have written workplans that address current responsibilities, goals and activities, expected performance results and standards, but these might not be revised at least once a year.</p> <p>Most employees receive a written performance appraisal at least once a year that is kept on file, but management does not ensure that this is generally done on time. The appraisal process might not be conducted in a participatory manner. Performance appraisals are generally</p>	<p>The organization has written policies and procedures on staff performance management that are complete and appropriate. The policies and procedures are regularly reviewed and updated as needed and consistently applied to all staff.</p> <p>All employees have written annual or bi-annual workplans that address current responsibilities, goals and activities, expected performance results and standards.</p> <p>All employees receive a written performance appraisal at least twice a year and management ensures that these are generally done on time and kept on file. The appraisal process is conducted</p>

		kept on file.	in a participatory manner.
<b>4.9 Management and Staff Diversity</b>	<b>1</b>	<b>2</b>	<b>3</b>
	There is some diversity in the gender and ethnic and Culture composition of key management and the staff, but considerable under-representation of key groups. There are some limited efforts to diversify the staff.	There is significant diversity in the gender, and ethnic and Culture composition of key management and the staff, but some under-representation of key groups may remain. Some efforts to diversify the staff are underway.	There is good diversity in the gender and ethnic and Culture composition of key management and the staff. Active efforts to diversify the staff in proportion to the representation in the community are underway.

<b>4.10 Policy on Volunteers and Interns (Optional)</b>	<b>1</b>	<b>2</b>	<b>3</b>
	If volunteers and interns are used, there are no formal policy or they are weak or incomplete policies governing their selection, training, management, supervision and support or the policies are not usually applied.	If volunteers and interns are used, there are good policies governing their selection, training management, supervision and support. The policies are usually applied.	If volunteers and interns are used, there are very good policies governing their selection, training management, supervision, and support. The policies are consistently applied.

<b>PROGRAMME MANAGEMENT</b>			
	<b>Low Capacity</b>	<b>Moderate Capacity</b>	<b>Strong Capacity</b>
	<b>1</b>	<b>2</b>	<b>3</b>
<b>Donor Compliance Requirements</b>	The organization has not yet received a direct award from EAFF or another donor with complex compliance requirements and has a limited understanding of donor requirements.	The organization has not yet received a direct award from EAFF or another donor with complex compliance requirements, but has a basic understanding of donor requirements.	The organization has received a direct award from EAFF or another donor with complex compliance requirements. The organization has demonstrated a good understanding of donor requirements.
★	The organization has received a direct award from EAFF or another donor with complex compliance requirements, but it has an inadequate understanding of donor compliance requirements.	The organization has received a direct award from EAFF or another donor with complex compliance requirements and has an adequate understanding of donor requirements, although it will need refresher training.	The organization has good knowledge of cost principles, budgeting or similar documents for other donors.
	The organization has limited knowledge of cost principles, budgeting or similar documents for other donors	The organization has some knowledge of cost principles, budgeting or similar documents for other donors.	The organization has good systems to help ensure compliance with complex donor requirements.

	<p>The organization lacks adequate systems and procedures to ensure compliance with complex donor requirements.</p> <p>The organization would have difficulty completing the required certifications for prime or sub awards.</p> <p>The organization might not have filed the required certifications for prime and partner organizations.</p> <p>The organization will need considerable improvement in existing systems and procedures to help ensure compliance with complex donor requirements.</p>	<p>The organization has adequate systems to help ensure compliance with complex donor requirements.</p>	
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<b>Sub-Award Management (where applicable)</b>  ★	<p>The organization has not provided any sub-grants or sub-contracts to member organizations.</p> <p>The organization has some experience providing sub-grants or sub-contracts to member organizations, but has not provided adequate technical or financial oversight to the sub-awardees. It has not made regularly scheduled supervisory visits.</p> <p>The organization lacks or have weak policies and procedures for sub-grant and sub-contract management that comply with donor requirements and lacks/have weak technical and financial oversight to oversee the effective implementation of these policies.</p>	<p>The organization has some experience providing sub-grants or sub-contracts to member organizations.</p> <p>The organization has generally provided adequate technical and financial oversight to the sub-awardees. It has usually oriented them to their responsibilities and made regularly scheduled supervisory visits.</p> <p>The organization has adequate policies and procedures for sub-grant and sub-contract management, monitoring, and supervision. The policies and procedures generally comply with donor requirements, but may need updating. The policies and procedures are usually followed.</p>	<p>The organization has good experience providing sub-grants or sub-contracts to partner organizations.</p> <p>The organization has consistently provided good technical and financial oversight to the sub-awardees. It has consistently oriented them to their responsibilities and made regularly scheduled supervisory visits.</p> <p>The organization has good policies and procedures for sub-grant and sub-contract management, monitoring, and supervision that comply with donor requirements. The policies and procedures are consistently followed.</p>

	1	2	3
<b>Technical Reporting</b>  ★	<p>The organization has not demonstrated the ability to adequately document quantitative and qualitative progress and review objectives, strategies, and activities.</p> <p>The organization does not use technical information effectively to review strategies and activities, identify constraints and opportunities, and formulate lessons learned and good practices.</p> <p>Technical reports are not reviewed by management or shared with staff.</p>	<p>The organization has demonstrated the ability to document some quantitative and qualitative progress and review objectives, strategies, and activities. However, technical reports are often not timely, complete, or reliable.</p> <p>The organization occasionally uses technical information effectively to review strategies and activities, identify constraints and opportunities, and formulate lessons learned and good practices.</p> <p>Technical reports are occasionally reviewed by management and shared with staff.</p>	<p>The organization has consistently demonstrated the ability to document some quantitative and qualitative progress and review objectives, strategies, and activities. Technical reports are consistently timely, complete, and reliable.</p> <p>The organization consistently uses technical information effectively to review strategies and activities, identify constraints and opportunities, and formulate lessons learned and good practices.</p> <p>Technical reports are consistently reviewed by management and shared with staff.</p>



	1	2	3
<b>Stakeholder Involvement</b> ●	<p>The organization does not have written policies requiring use of participatory planning and decision making processes.</p> <p>The organization does not involve affected stakeholders in project design and implementation.</p> <p>There are no channels of communication that stakeholders can use to raise questions or issues at any time.</p>	<p>The organization has some written policies requiring use of participatory planning and decision making processes, but they may need some updating. The policies and procedures are usually followed.</p> <p>The organization sometimes uses participatory planning and decision making processes. The views of stakeholders are usually incorporated into project designs and mid-course corrections.</p> <p>There exists some channels of communication that stakeholders can use to raise questions or issues at any time, but stakeholders might not be well informed about them.</p>	<p>The organization has good written policies requiring use of participatory planning and decision making processes that are regularly reviewed and revised as needed. The policies and procedures are consistently followed.</p> <p>The organization consistently uses participatory planning and decision making processes and the views of stakeholders are consistently incorporated into project designs and mid-course corrections.</p> <p>There are clear channels of communication that stakeholders can use to raise questions or issues at any time and stakeholders have been well informed about them.</p>

	1	2	3
<b>Culture and Gender Issues</b> ●	<p>The organization has no written policies for addressing culture and gender issues or they are not followed.</p> <p>The organization lacks tools and expertise for systematically assessing culture and gender issues.</p> <p>Culture and gender issues are generally neglected.</p> <p>Major problems associated with insufficient consideration of culture or gender issues are frequent.</p>	<p>The organization has some written policies on addressing culture and gender issues, but they are inadequate or may need some updating so as to ensure that policies and procedures are followed.</p> <p>The organization has limited tools or expertise for systematically assessing culture and gender issues. Staff may need additional training in these areas.</p> <p>The organization sometimes consider culture and gender issues in strategy development and project planning and implementation in an informal way.</p> <p>Major problems associated with insufficient consideration of culture or gender issues are common.</p>	<p>The organization has good written policies on addressing culture and gender issues that are regularly reviewed and revised as needed. The policies and procedures are consistently followed.</p> <p>The organization has good tools or expertise for systematically assessing culture and gender issues and staff are well trained in these areas.</p> <p>The organization consistently considers culture and gender issues in strategy development and project planning and implementation.</p> <p>Major problems associated with insufficient consideration of culture or gender issues are rare.</p>

PROJECT PERFORMANCE MANAGEMENT			
	Low Capacity	Moderate Capacity	Strong Capacity
	<b>1</b>	<b>2</b>	<b>3</b>
<b>Monitoring</b>	<p>The organization has no written policies or procedures on project monitoring.</p> <p>The organization does not have the ability to set realistic targets and develop useful quantitative and qualitative performance indicators.</p> <p>The organization lacks the expertise to collect and analyze project monitoring data. Project monitoring data are frequently absent or not timely and reliable.</p> <p>The organization cannot provide plausible explanations for differences between performance and the targets and identify mitigating measures to address shortfalls and improve efficiency.</p>	<p>The organization has some written policies and procedures on project monitoring, but they are inadequate or not usually followed.</p> <p>The organization has difficulty setting realistic targets and developing useful quantitative and qualitative performance indicators</p> <p>The organization has limited expertise in collecting and analyzing project monitoring data. Project monitoring data are often not timely and reliable</p> <p>The organization has limited ability to provide plausible explanations for differences between performance and the targets and identify mitigating measures to address shortfalls and improve efficiency.</p>	<p>The organization has good written policies and procedures on project monitoring that are regularly reviewed and revised as needed. The policies and procedures are consistently followed.</p> <p>The organization has demonstrated the ability to set realistic targets and develop useful quantitative and qualitative performance indicators.</p> <p>The organization has good expertise in collecting and analyzing project monitoring data. Project monitoring data are consistently timely and reliable.</p> <p>The organization has good ability to provide plausible explanations for differences between performance and the targets and identify mitigating measures to address shortfalls and improve efficiency.</p>

	1	2	3
<b>Evaluation</b> ★	<p>The organization has no written policies or procedures on project and program evaluation.</p> <p>The organization does not have the ability to conduct an objective evaluation of strategies, approaches, outcomes and impacts.</p> <p>The organization does not have the ability to develop a scope of work for an external evaluation, provide adequate support and documentation for evaluation consultants, and review evaluation reports.</p> <p>The organization lacks the ability to address evaluation findings and recommendations by changing the design and implementation of existing projects and apply the lessons learned to other programs and projects.</p>	<p>The organization has some written policies and procedures on project and program evaluation, but they are inadequate or may need some updating to ensure that they are followed.</p> <p>The organization would have difficulty to conduct an objective internal evaluation of strategies, approaches, outcomes and impact.</p> <p>The organization cannot develop a good scope of work for an external evaluation, provide support and documentation for evaluation consultants, and review evaluation reports.</p> <p>The organization sometimes addresses evaluation findings and recommendations by changing the design and implementation of existing projects and applying the lessons learned to other programs and projects.</p>	<p>The organization has good written policies and procedures on project and program evaluation that are regularly reviewed and revised as needed. The policies and procedures are consistently followed.</p> <p>The organization has the ability to conduct an objective evaluation of strategies, approaches, outcomes and impact.</p> <p>The organization can develop a good scope of work for an external evaluation, provide support and documentation for evaluation consultants, and review evaluation reports.</p> <p>The organization consistently addresses evaluation findings and recommendations by changing the design and implementation of existing projects and applying the lessons learned to other programs and projects.</p>

	1	2	3
<b>Standards</b> ●	<p>The organization has not adopted recognized, international or national standards for service delivery and other key functions.</p> <p>The organization lacks internal standards for service delivery and other key functions are weak.</p> <p>Management and staff are not aware of the standards. The standards are not applied or monitored.</p>	<p>The organization has adopted recognized, international or national standards for service delivery and other key functions.</p> <p>The organization's internal standards for service delivery and other key functions are adequate, but may require updating.</p> <p>Some relevant staff have not been trained on the standards and how to achieve them</p> <p>The standards are not usually applied and monitored.</p>	<p>The organization has adopted recognized, international or national standards for service delivery and other key functions.</p> <p>The organization's internal standards for service delivery and other key functions are good. The internal standards are regularly reviewed and revised as needed.</p> <p>All relevant staff have been trained on the standards and how to achieve them.</p> <p>The standards are consistently applied and monitored.</p>

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<p><b>Supervision</b></p> <p>●</p>	<p>Supervisory assignments are not defined and documented.</p> <p>The organization does not have a supervision plan that addresses expectations and requirements for supervisors and staff.</p> <p>Many supervisors lack adequate skills and training.</p> <p>The organization lacks a documented format and procedures for employee and contractor performance reviews and follow-up.</p> <p>Performance reviews are not regularly done or are not timely.</p> <p>Appropriate actions are not taken after performance reviews.</p>	<p>Supervisory assignments are sometimes defined and documented, sometimes some are unclear and out of date but may need some updating.</p> <p>The organization has a supervision plan that addresses expectations and requirements for supervisors and staff. However, the supervision plan is inadequate or not usually followed.</p> <p>Supervisors lack adequate skills and training.</p> <p>The organization has procedures for employee and contractor performance reviews and follow-up but they are weak or not standardized</p> <p>Performance reviews are not usually timely with participation of the employee or contractor and colleagues. Appropriate actions are sometimes taken after performance reviews.</p>	<p>Supervisory assignments are well defined and documented and updated as needed.</p> <p>The organization has a good supervision plan that addresses expectations and requirements for supervisors and staff. The supervision plan is consistently followed.</p> <p>Supervisors have good skills and training.</p> <p>The organization has good procedures for employee and contractor performance reviews and follow-up.</p> <p>Performance reviews are consistently timely with participation of the employee or contractor and colleagues. Appropriate actions are consistently taken after performance reviews.</p>

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<p><b>Field Support and Oversight</b></p> <p>●</p>	<p>The organization does not have field offices or operations.</p> <p>The organization has field offices or operations, but no formal procedures and processes for oversight of their administration and programs.</p> <p>Field offices or operations are not required to submit annual workplans or budgets for headquarters review.</p> <p>Headquarters does not provide administrative and technical support and oversight to the field. The frequency and duration of site visits to the field are poor.</p>	<p>The organization has field offices which have somewhat running operations.</p> <p>The organization has written policies on management and oversight of field offices and operations, but they are inadequate or usually not followed and therefore may need some updating.</p> <p>Field offices or operations are required to submit annual workplans or budgets for headquarters review. Workplan and budget execution are not effectively monitored by headquarters.</p> <p>Headquarters provides some administrative and technical support and oversight to the field. The frequency and duration of site visits to the field are adequate.</p>	<p>The organization has fully equipped and staffed field offices which have fully functional operations</p> <p>The organization has good written policies and procedures on management and oversight of field offices and operations that are regularly reviewed and revised as needed. The policies and procedures are consistently followed.</p> <p>Field offices or operations are required to submit annual workplans or budgets for headquarters review. Workplan and budget execution are effectively monitored by headquarters.</p> <p>Headquarters provides good administrative and technical support and oversight to the field. The frequency and duration of site visits to the field are good.</p>

ORGANIZATIONAL MANAGEMENT AND SUSTAINABILITY			
	Low Capacity	Moderate Capacity	Strong Capacity
<b>Strategic Planning</b> ●	<b>1</b>	<b>2</b>	<b>3</b>
	<p>The organization does not do comprehensive strategic planning.</p> <p>It does not have a written strategic plan based on a thorough review of organizational strengths, weaknesses, opportunities, and threats; the external environment and competition; and stakeholder needs.</p>	<p>The organization has a strategic plan, but it is weak or outdated.</p> <p>The organization has an adequate, written strategic plan, but it may require updating.</p> <p>The strategic plan may not have been based on a thorough review of organizational strengths, weaknesses, opportunities, and threats; the external environment and competition; and stakeholder needs.</p> <p>The strategic plan is not usually used for management decisions or operational planning.</p>	<p>The organization has a good, written strategic plan that is current and regularly reviewed and updated.</p> <p>The strategic plan is based on a thorough review of strengths, weaknesses, opportunities, and threats; the external environment and competition; and stakeholder needs.</p> <p>The strategic plan is consistently used in guiding management decisions and operational planning.</p>

<b>Workplan Development</b> ★	<b>1</b>	<b>2</b>	<b>3</b>
	<p>The organization does not produce annual workplans with stated goals, measurable objectives, strategies, timelines, responsibilities.</p>	<p>The organization produces annual workplans with stated goals, measurable objectives, strategies, timelines, responsibilities, and indicators. However, the plan is weak or it is not linked to the program or project budget.</p> <p>The workplans are usually not followed and progress against workplans is not regularly reviewed. However, workplans are developed without broad staff participation.</p> <p>Periodic reports on workplans is done at least once a quarter.</p>	<p>The organization produces good annual workplans with stated goals, measurable objectives, strategies, timelines, responsibilities, and indicators.</p> <p>The workplans are linked to the program or project budget. Workplans are developed with broad staff participation.</p> <p>Workplans are consistently followed. Progress against workplans is regularly reviewed at least once a month.</p>

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<b>Change Management</b> ●	<p>The organization has no written policies or procedures on change management. The organization has no formal structures for change management.</p> <p>The organization has not demonstrated the ability to adapt to changes in the internal and external environment.</p>	<p>The organization has written policies or procedures on change management, but they may need some updating. The organization has weak formal structures for change management.</p> <p>The organization has demonstrated a limited capacity to adapt to changes in the internal and external environment.</p>	<p>The organization has good written policies or procedures on change management that are regularly reviewed and revised as needed. The organization has good formal structures for change management.</p> <p>The organization has demonstrated a good capacity to adapt to changes in the internal and external environment.</p>

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<b>Knowledge Management and Linkages</b>	<p>The organization lacks the analytical capacity to identify good practices and lessons learned.</p> <p>The organization does not generally share knowledge on good practices and lessons learned internally.</p> <p>The organization is not a member of any formal networks.</p> <p>The organization does not participate in discussions with international, regional, governmental and civil society organizations on policies, strategies, policies, approaches, lessons learned, and good practices.</p>	<p>The organization has weak analytical capacity to identify good practices and lessons learned.</p> <p>The organization occasionally shares knowledge on good practices and lessons learned internally. It however lacks systematic approaches to storing and disseminating knowledge.</p> <p>The organization is a member of some formal networks, although not generally as a leader in their establishment or operation.</p> <p>The organization sometimes participates in discussions with international, regional, governmental and civil society organizations on policies, strategies, policies, approaches, lessons learned, and good practices. The organization sometimes serves as a presenter or discussant.</p>	<p>The organization has proven analytical capacity to identify good practices and lessons learned.</p> <p>The organization consistently shares knowledge on good practices and lessons learned internally. It has systematic approaches to storing and disseminating knowledge.</p> <p>The organization has played a leadership role in the establishment or operation of formal networks.</p> <p>The organization consistently participates in discussions with international, regional, governmental and civil society organizations on policies, strategies, policies, approaches, lessons learned, and good practices. The organization often serves as a presenter or discussant.</p>

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<b>Opportunity Development for Sustainability</b> ●	<p>The organization does not have a written business development plan or funding strategy.</p> <p>The organization has had little success obtaining funding from international, national, or local, sources. It may have had frequent cashflow problems over the previous twelve months and substantially negative net income.</p> <p>The organization has not identified sufficient financial resources to operate existing programs at the current level for the next twelve months.</p> <p>The organization does not generate significant financial resources from cost recovery for services, sales, or membership fees.</p> <p>The organization does not have the absorptive capacity to implement sizable new projects.</p>	<p>The organization has a written business development plan or funding strategy, but it is inadequate or not usually followed.</p> <p>The organization has had limited success obtaining funding from international, national, or local sources. Over the past twelve months, it may have had occasional cashflow problems and negative net income.</p> <p>The organization has identified sufficient financial resources to operate existing programs at the current level for the next twelve months.</p> <p>The organization has at least two major funding sources. It generates a significant portion of its financial resources from cost recovery for services, sales, or membership fees.</p> <p>The organization has limited absorptive capacity to implement sizable new projects</p>	<p>The organization has a good written business development plan or funding strategy that is regularly reviewed and updated as needed. The business development plan or funding strategy are consistently followed.</p> <p>The organization has had good success obtaining funding from international, national, or local sources. Over the past thirty-six months, it has not had significant cashflow problems and has generated a surplus or profit.</p> <p>The organization has identified sufficient financial resources to operate existing programs at the current level for the next thirty-six months.</p> <p>The organization has at least three major funding sources. It generates a major portion of its financial resources from cost recovery for services, sales, or membership fees.</p> <p>The organization has good absorptive capacity to implement sizable new projects.</p>

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<b>Internal Communications</b> ●	<p>Two-way communication between management and staff is poor. There are no structured settings to exchange ideas, discuss problems or opportunities, and address administrative or technical issues.</p> <p>Management rarely listens to staff ideas. Staff rarely raise challenging issues.</p>	<p>Two-way communication between management and staff is limited. There are few structured settings to exchange ideas, discuss problems or opportunities, and address administrative or technical issues.</p> <p>Management sometimes listens to staff ideas, but staff input is not actively sought.</p> <p>Many staff feel uncomfortable raising challenging issues. .</p>	<p>Two-way communication between management and staff is good. There are regular structured settings to exchange ideas, discuss problems or opportunities, and address administrative or technical issues.</p> <p>Management consistently listens to staff ideas and staff ideas are regularly sought.</p> <p>Staff initiate discussions with management and most feel comfortable raising challenging issues.</p>
<b>Decision Making</b> ●	<p>Staff are not part of the decision-making process on major issues. Management does not explain major decisions affecting the organization to staff.</p>	<p>Staff are not usually part of the decision-making process on major issues. Management does not adequately explain major decisions affecting the organization to staff.</p>	<p>Staff are consistently part of the decision-making process on major issues. Management usually explains major decisions affecting the organization to staff.</p>

	Management and staff do not share responsibility, ownership, and accountability.	Management and staff share an adequate degree of responsibility, ownership, and accountability.	Management and staff share a good degree of responsibility, ownership, and accountability.
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