



# ADVANCING PARTNERS & COMMUNITIES

Organizational Capacity Assessment Tool



JSI Research & Training Institute, Inc.





# **Organizational Capacity Assessment Tool**

## **Advancing Partners & Communities**

Advancing Partners & Communities (APC) is a five-year cooperative agreement funded by the U.S. Agency for International Development under Agreement No. AID-OAA-A-12-00047, beginning October 1, 2012. APC is implemented by JSI Research & Training Institute, Inc., in collaboration with FHI 360. The project focuses on advancing and supporting community programs that seek to improve the overall health of communities and achieve other health-related impacts, especially in relationship to family planning. APC provides global leadership for community-based programming, executes and manages small- and medium-sized sub-awards, supports procurement reform by preparing awards for execution by USAID, and builds technical capacity of organizations to implement effective programs.

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## Section A. Governance

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**Objective:** Assess the clarity of the organization's motivation, purpose, and stability by reviewing its guiding principles, structure, and oversight mechanisms.

### ***A1. Vision, Mission, and Values***

**Objective:** To create a sense of shared ownership and common commitment to activities through articulated and shared goals

<b>Vision/Mission</b>				
<b>Subsection Checklist</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments/Quality Notes</b>
Does the organization have a vision statement, mission statement, and statement of values?				
Are the vision and mission used to set priorities? If so, please describe how.				
Are these statements posted openly in the office or somewhere that staff and visitors can see?				
Are the statement(s) used in human resource materials (i.e., staff handbooks, orientation materials, job descriptions, etc.), organizational brochures, reports, and proposals?				
Does the organization regularly review the vision and mission statements (for example, in conjunction with strategic and/or operational planning)?				

<b>Vision/Mission</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The vision and/or mission is</p> <ul style="list-style-type: none"> <li>• Not a clearly stated description of what the organization aspires to achieve or become</li> </ul>	<p>The vision and/or mission is</p> <ul style="list-style-type: none"> <li>• A moderately clear or specific understanding of what the organization aspires to become or achieve</li> <li>• Not widely held</li> <li>• Rarely used to direct actions or to set priorities</li> </ul>	<p>The vision and/or mission is</p> <ul style="list-style-type: none"> <li>• A clear, specific statement of what the organization aspires to become or achieve</li> <li>• Well-known to most but not all staff</li> <li>• Sometimes used to direct actions and to set priorities</li> </ul>	<p>The vision and/or mission is</p> <ul style="list-style-type: none"> <li>• A clear, specific and forceful understanding of what the organization aspires to become or to achieve</li> <li>• Well-communicated and broadly held within the organization</li> <li>• Consistently used to direct actions and to set priorities</li> </ul>

## A2. Governing or Advisory Board

**Objective:** Ensure that governing or advisory boards are committed to the organization and bring relevant knowledge and experience, provide guidance, support, and oversight to the organization’s staff and operations.

	Yes	No	N/A	Comments/Quality Notes
Does the board have clearly defined terms of reference (TOR) that detail its primary duties?				
Are board roles clearly differentiated from the executive roles?				
Are there clear and documented criteria for becoming a board member?				
Are there term limits and a system for electing or approving board members?				
Does the board meet regularly and document its decisions with minutes?				
How are board members involved in strategic planning, resource mobilization, and developing and approving organizational policies and budget and annual financial statements?				

<b>Governing Advisory Board</b>			
1	2	3	4
<ul style="list-style-type: none"> <li>No functioning board</li> </ul>	<ul style="list-style-type: none"> <li>The board membership is small, static, and made of only people with personal ties.</li> </ul>	<ul style="list-style-type: none"> <li>A committed board but lacks some relevant experience. Meetings are held periodically. Inconsistent level of involvement with the organization.</li> </ul>	<ul style="list-style-type: none"> <li>A strong diverse board comprised of members with relevant experience. Regular and well-documented meetings. Thoughtful, consistent and careful oversight of the organization according to its functions defined in the terms of reference.</li> </ul>



### A3. Succession Planning

**Objective:** To assess the organization’s ability to continue smooth operations and to manage programs in the event of an absence of, or shift in, leadership.

**Guiding Questions**

<b>Succession Planning</b>				
<b>Subsection Checklist</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments/Quality Notes</b>
Is there a deputy or other staff/board member who can fulfill the duties of the CEO/ED for short or long periods?				
Does the organization support capacity-building to ensure that others are able to take on or assist with the key functions of the organization’s leadership (fund-raising, operations, and program quality)?				
Is there a documented succession plan for the ED?				
Is there a plan for handling a transition process, including fundraising, operations and program quality? Please describe.				

<b>Succession Planning</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization</p> <ul style="list-style-type: none"> <li>• Is very dependent on the Chief Executive Officer (CEO)/Executive Director (ED)</li> <li>• Would cease to exist or function without the CEO/ED</li> <li>• Has no plan for how it would continue if the CEO/ED left</li> </ul>	<p>The organization</p> <ul style="list-style-type: none"> <li>• Is dependent on the CEO/ED</li> <li>• Would continue to exist without the CEO/ED but most likely in a very different form, or with significantly less capability and reduced program quality</li> <li>• Has a very basic succession plan describing how the organization will continue if the CEO/ED leaves</li> </ul>	<p>The organization</p> <ul style="list-style-type: none"> <li>• Has limited dependence on CEO/ED; s/he does not have sole control of, for example, finances and planning</li> <li>• Would continue in a similar way without the CEO/ED, but fundraising and/or program quality would suffer significantly</li> <li>• Has a documented plan for how it would continue should the CEO/ED leave, but no member of management could take on the CEO/ED role</li> </ul>	<p>The organization</p> <ul style="list-style-type: none"> <li>• Is reliant but not dependent on the CEO/ED</li> <li>• Has a clear, documented succession plan</li> <li>• Has the potential for a smooth transition to a new leader; fundraising and program quality would not be major problems</li> <li>• Would handle transition by having a senior management team fill in or one or more members of the management team would take on the CEO/ED role</li> </ul>

#### A4. Operational Policies, Procedures and Systems

**Objective:** To assess the availability of and adherence to operational policies.

##### Guiding Questions

<b>Operational Policies and Procedures*</b>				
<b>Subsection Checklist</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments/Quality Notes</b>
Are there written operational procedures? Are they approved?				
Do the documented procedures adequately support the operational needs of the organization (i.e., travel, procurement, fixed assets, IT, file management, meeting and workshop planning, security and safety, etc.)?				
Are the operational policies and procedures presented in a way that is easy for non-financial staff to understand and apply?				
Are staff oriented/trained in the procedures? How often? How is the orientation/training documented?				
Are copies of forms/templates incorporated in the manual and/or readily				
Are there systems to ensure compliance with operational procedures? Please describe. Have there been findings in external or internal audits related to noncompliance with operational procedures?				

<b>Operational Policies, Procedures and Systems</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization has</p> <ul style="list-style-type: none"> <li>• No documented operational policies and procedures</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Documented some operational policies and procedures, but they are incomplete or not compliant with national and donor regulations</li> <li>• Policies and procedures that are not consistently adhered to</li> <li>• Not oriented or trained staff in the policies and procedures</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Documented most or all operational policies and procedures and they are compliant with national or donor regulations</li> <li>• Policies and procedures that are known but not consistently adhered to</li> <li>• Oriented or trained staff in the policies and procedures</li> <li>• No process for regularly reviewing and updating operational policies and procedures</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Complete and appropriate operational policies and procedures</li> <li>• Policies and procedures that are known and understood by staff</li> <li>• Policies and procedures are consistently adhered to, reviewed and updated</li> </ul>

## Section B. Organizational Management

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### **BI. Strategic and Operational Plan**

Helps an organization realize its mission and goals with a shared vision, long- term and costed plan, and annual operational plans.

**Objective:** A strategic plan helps an organization realize its mission and goals with a shared vision, long-term and costed plan, and annual operational plans.

<b>Strategic and Operational Plan</b>				
<b>Subsection Checklist</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments/Quality Notes</b>
Does the organization have a current strategic plan?				
Did staff and stakeholders participate in its development?				
How long a period of time does it cover?				
Does it include measurable objectives, resource needs, and costs? How will it be funded?				
Is the strategic plan used to guide annual operational planning?				
Is the operational plan linked to the budget?				
How are the plans reviewed and monitored?				

<b>Operational Plan</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization has</p> <ul style="list-style-type: none"> <li>• No strategic or operational plans</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A short-term plan that translates its mission and goals into objectives</li> <li>• An annual operational plan</li> <li>• Not linked the operational plan to project or program workplans and budgets</li> <li>• Not developed the operational plan with staff participation</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Operational plans and budgets relate strategic plan to management decisions</li> <li>• An annual operational plan</li> <li>• Included goals, measurable objectives, strategies, timelines, responsibilities and indicators</li> <li>• Linked the plan to project/program workplans and budgets</li> <li>• Not developed the operational plan with staff participation</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Long term strategic plan developed with staff and stakeholders</li> <li>• Budget is tied to plans activities</li> <li>• Sp is reviewed annually</li> <li>• Sp informs annual operational plan, guides organizational activities and is reviewed quarterly</li> <li>• An annual operational plan</li> <li>• Included goals, measurable objectives, strategies, timelines, responsibilities and indicators</li> <li>• Linked the plan to program/project workplans and budget</li> <li>• Developed the plan with staff participation</li> <li>• Submitted the plan on time to HQ or donors (if required)</li> </ul>

**B2. Resource Mobilization**

**Objective:** To enable the organization to prioritize strategies for identifying and approaching appropriate donors with a resource mobilization plan that ties to the strategic plan’s budget

<b>Resource Mobilization</b>				
<b>Subsection Checklist</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments/Quality Notes</b>
Does the organization have sufficient funds to support activities for the next year? Three years?				
Does the organization receive support from more than one donor? Who are the donors?				
Does the organization have a strategic plan that identifies resource needs?				
Have potential funders or donors been identified?				
Is there a strategy for obtaining funds and resources to support program priorities?				
Do staff or board members in the organization have the skills needed for proposal writing and communication strategy implementation?				
Does the organization have income-generating activities or other sources of funds that are not tied to a single program but can support general operations?				
Does the organization partner with other organizations to maximize input and minimize cost?				

<b>Resource Mobilization</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization has</p> <ul style="list-style-type: none"> <li>• No strategic plan or resource mobilization strategy.</li> <li>• External funding is raised infrequently</li> <li>• No funding strategy</li> <li>• Not estimated its future resource needs</li> <li>• Taken no steps to identify additional local, national or international resources or opportunities to support its programs and activities, either directly or through partnerships</li> <li>• Not created a communication strategy for resource mobilization</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Has a budget linked to the strategic plan</li> <li>• Actively reaches out to potential donors</li> <li>• has taken preliminary steps to estimate future resource needs based on an analysis of its programs and/or its strategic plan</li> <li>• Identified additional resource providers or opportunities and their interests and potential for support</li> <li>• Not created a communication strategy to attract resources</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Has a budget linked to the strategic plan</li> <li>• Actively reaches out to potential donors</li> <li>• Has one or more income-generation activities for raising unrestricted funds</li> <li>• Identified resource providers</li> <li>• Created a communication strategy for resource mobilization</li> <li>• Received support from at least one source or has a clear plan for fundraising or proposal writing</li> <li>• Insufficient funds to support its activities</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Has an RM strategy listing potential resource providers and an outreach plan.</li> <li>• Developed partnerships for efficiency</li> <li>• Has submitted one or more proposals for funding</li> <li>• A business plan based on an analysis of its programs and resource needs and the activities in its strategic plan</li> <li>• Identified resource providers</li> <li>• Created a communication strategy for resource mobilization</li> <li>• Successfully bid for resources from one or more sources</li> <li>• Sufficient funds to support its activities</li> </ul>



### B3. Communication Strategy: Documentation and Reporting

**Objective:** Having policies on documentation and reporting enables the organization to build institutional memory. Disseminating factual and analytical reporting contributes to building a reputation that can attract donors and partners, especially when recognized branding is used.

<b>Communication Strategy</b>				
<b>Subsection Checklist</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments/Quality Notes</b>
Does the organization have templates and a style guide and have staff been trained on the guidance?				
Is there a policy that describes what should be documented and how? Are there templates to enable uniformity?				
Is there a filing system (soft (electronic) and/or hard) to ensure easy access to documentation?				
Are reports tagged for sharing? For example, is relevant M&E data shared with organization, community, stakeholders, success stories, board reports, donor reports?				
Is there a plan for promoting successes, etc. to donors, other organizations, stakeholders and/or beneficiaries?				
Does the organization have an up-to-date website or brochure to provide information and promote its efforts?				
Does the organization have a branding or tag line and a policy for how and when to use it? Is it linked to your mission? Has it been tested for recognition?				
Are staff trained on how to follow the branding policy?				
Is/are qualified staff member(s) tasked with communication strategy management and documentation (oral, written and online) oversight?				

<b>Communication Strategy</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization has</p> <ul style="list-style-type: none"> <li>• No formal documentation plan</li> <li>• Files are disorganized</li> <li>• No filing system</li> <li>• No strategy for identifying audiences, channels, materials, and dissemination for promotion of technical/best practice innovation and overall achievements</li> <li>• No one assigned responsibility for developing/overseeing communication strategy and products (written, oral and/or online)</li> <li>• No process/tools for testing the materials/messages</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• An incomplete strategy, lacking objectives, responsibility, timelines and dissemination mechanisms</li> <li>• Assigned responsibility for communication strategy development</li> <li>• A basic filing system is in use</li> <li>• No process/tools for testing materials/messages</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A documentation policy which describes what should be documented and how</li> <li>• Some available report templates</li> <li>• A basic filing system is in use</li> <li>• Tasked staff member(s) with communication strategy management including documentation oversight</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Reports documented in line with policy and standardized</li> <li>• Staff trained on templates, branding, and filing requirements and monitored for adherence</li> <li>• Documents shared with stakeholders</li> <li>• A comprehensive communication strategy</li> <li>• Tasked staff member(s) with communication strategy management, including documentation development and oversight</li> </ul>

### B4. Stakeholder Involvement

**Objective:** To identify and nurture relationships with relevant stakeholders to facilitate program coordination, partnering, and resource sharing.

Stakeholder Involvement				
Subsection Checklist	Yes	No	N/A	Comments/Quality Notes
Does the organization have a clear definition of stakeholders?				
Does the organization have complete and up-to-date information about all stakeholders working in the same geographic and/or technical areas?				
Does the organization have collaborative agreements with relevant stakeholders?				
Does the organization plan with and update relevant stakeholders (community, donors, districts, etc.) on progress?				

<b>Stakeholder Involvement</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization has</p> <ul style="list-style-type: none"> <li>• No definition of stakeholders or analysis of their service and geographic coverage</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Some information about stakeholders and service providers in the same geographic and/or technical areas in which it operates</li> <li>• Information that is incomplete and out of date</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Current information about stakeholders working in the same geographic and technical areas</li> <li>• Identified where stakeholders are, what they do, their expectations and how/if they can collaborate</li> <li>• Informal sharing sessions with stakeholders for planning and sharing knowledge periodically</li> <li>• No regular meetings with stakeholders</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A strong link to formal stakeholders</li> <li>• Complete and up-to-date information about all stakeholders working in the same geographic and technical areas and, if appropriate, collaborative agreements with them</li> <li>• MOUs with one or more partners has been developed</li> <li>• Regular (at least annually) meetings with stakeholders to review relevant activities and their impact on the organization's area of operations</li> </ul>

**B5. Advocacy Planning**

**Objective:** To evaluate the organization’s capacity to plan for advocacy activities

<b>Advocacy Planning</b>				
<b>Subsection Checklist</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments/Quality Notes</b>
Is advocacy a primary objective of the organization?				
Is advocacy a part of the organization’s mission?				
Does the organization participate in developing and/or implementing an advocacy plan to improve uptake of service(s) by the target population?				
Are there staff members trained in advocacy methods?				

<b>Advocacy Planning</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
Organization does not participate in the development or implementation of advocacy plans.	Organization has participated in developing formal short-, medium, or long-term advocacy priorities, which have been identified and documented, based on local needs and informed by evidence.	Organization has participated in developing advocacy priorities and has participated in implementing an advocacy plan.	Organization has participated in developing and implementing advocacy plans and effectively influences policymaking at local or other levels.

**B6. Engaging Target Populations in Advocacy and Monitoring**

**Objective:** Strengthening the ability of the organization to best utilize its members to further its cause

<b>Engaging Target Populations in Advocacy and Monitoring</b>				
<b>Subsection Checklist</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments/Quality Notes</b>
Does the organization have members that can perform advocacy				
Does the organization have the resources to organize and train members to perform advocacy?				
Can organization identify or support opportunities and mechanisms for engaging target population and their advocates in advocacy and monitoring for high-quality services?				

<b>Engaging Target Populations in Advocacy and Monitoring</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
Organization does not engage targeted populations in advocacy and monitoring efforts to improve the quality of survivor related services.	Organization engages targeted populations in monitoring the quality of survivor related services.	Organization engages targeted populations in monitoring services and advocating for improvement in the quality of survivor related services.	Organization engages targeted population in monitoring and advocating for improved quality of services and supports mechanisms to systematize this engagement.

## Section C. Program Management

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### CI. Community Involvement

**Objective:** Strengthening Involvement of the community in designing, monitoring, and implementing activities fosters buy-in and makes programs more relevant, effective, and sustainable.

Community Involvement				
Subsection Checklist	Yes	No	N/A	Comments/Quality Notes
Are the community, beneficiaries, and leaders involved in identifying needs and designing strategies? How?				
Does the community and/or beneficiaries assist in program activities or provide feedback? How?				
Does the organization provide regular updates on program results and solicit feedback from the community?				
Are the community, beneficiaries, and leaders involved in identifying needs and designing strategies? How?				
Does the community and/or beneficiaries assist in program activities or provide feedback? How?				

<b>Community Involvement</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization</p> <ul style="list-style-type: none"> <li>• No strategy for involving community or beneficiaries in needs assessment, planning or program design</li> <li>• Orients communities on its programs, but does not actively include them</li> <li>• Does not involve affected families and communities in planning and decision-making</li> </ul>	<p>The organization</p> <ul style="list-style-type: none"> <li>• Orients communities on its program and discusses its approach with community leaders</li> <li>• Inconsistently involves affected families and communities in planning and decision-making</li> </ul>	<p>The organization</p> <ul style="list-style-type: none"> <li>• Orients communities and leaders on its program and actively engages them in the activities</li> <li>• Involves affected families and communities in planning and decision-making and sometimes integrates their ideas into program design and revision</li> </ul>	<p>The organization</p> <ul style="list-style-type: none"> <li>• Has a documented strategy for community engagement</li> <li>• Orients communities and leaders on its program and actively engages them in activities and service provision</li> <li>• Involves affected families and communities in planning and decision-making and consistently integrates their views into program design and revision</li> </ul>



## C2. Project Implementation

Creating a detailed plan with objectives, targets, indicators, activities, and a timeline as well as appropriate staffing, budgeting, and continual monitoring makes it easier to implement, monitor, and revise projects.

**Objective:** To create a detailed plan with objectives, targets, indicators, activities, and a timeline as well as appropriate staffing, budgeting, and continual monitoring to make it easier to implement, monitor, and revise projects.

<b>Project Implementation</b>				
<b>Subsection Checklist</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments/Quality Notes</b>
Is there a budgeted workplan for key project activities?				
Was it developed with input from staff?				
Are activities taking place according to the workplan timeline?				
Are there people (staff/volunteers) in place with the required skills to implement the activities?				
Is there a monitoring plan? Are the data reviewed regularly?				
Are revisions to the project made based on the data?				

<b>Project Implementation</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization</p> <ul style="list-style-type: none"> <li>• Has no workplan or budget</li> <li>• Has activities that are not started or are conducted erratically</li> </ul>	<p>The organization</p> <ul style="list-style-type: none"> <li>• Has workplans and a budget with input from staff</li> <li>• Has incomplete staffing</li> <li>• Has no M&amp;E plans</li> </ul>	<p>The organization</p> <ul style="list-style-type: none"> <li>• Has workplans and a budget with input from staff</li> <li>• Has incomplete staffing but has identified next priority hires</li> <li>• M&amp;E plans are incomplete and data are not used for program revisions</li> </ul>	<p>The organization</p> <ul style="list-style-type: none"> <li>• Has workplans which address objectives, targets, indicators, strategies, timelines, monitoring, and budget</li> <li>• Is fully and appropriately staffed</li> <li>• Conducts monitoring regularly</li> <li>• Regularly conducts reviews and revisions of data</li> </ul>

### C3. Monitoring and Evaluation and Quality Assurance

**Objective:** Collecting, analyzing, and reviewing data on project activities and beneficiaries helps organizations identify strengths and gaps and review whether they are achieving targets. Setting up a quality assurance process allows activities to design and test strategies for achieving performance standards.

<b>Monitoring and Evaluation</b>				
<b>Subsection Checklist</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments/Quality Notes</b>
Is there an M&E plan? Does it include output and outcome indicators, data collection tools, quality review, and plans for sharing and using data?				
Is M&E training provided to relevant staff including providers, data collectors, and supervisors?				
Are M&E data routinely collected, analyzed and discussed with management, staff, stakeholders, and the community?				
Are the data used to improve performance?				
Are the data used to identify quality challenges and root causes?				
Does the organization develop plans to address the challenges, test results, and implement effective practices?				

<b>Monitoring and Evaluation</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization has</p> <ul style="list-style-type: none"> <li>• No M&amp;E plan</li> <li>• No process for monitoring program implementation</li> <li>• Not identified indicators to monitor</li> <li>• No system for data processing: tools, trained data collectors, data quality review or a plan for analyzing and using information</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A basic M&amp;E plan</li> <li>• Identified outcome indicators</li> <li>• Staff not routinely trained in M&amp;E</li> <li>• No system for regularly collecting, analyzing or reporting data</li> <li>• No review of data quality</li> <li>• No process for reporting progress against targets</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A well-defined M&amp;E plan</li> <li>• Process and outcome indicators</li> <li>• Trained staff to collect data</li> <li>• A process for consistently using data/findings for follow-up monitoring, support or planning and reporting against targets</li> <li>• No process for sharing results with field and stakeholders</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A well-defined M&amp;E plan</li> <li>• Process and outcome indicators</li> <li>• A process for data quality review</li> <li>• A strategy for reporting on progress against targets and involving staff and data collectors in reviewing and using findings</li> <li>• A strategy for regularly sharing information with stakeholders, including the community</li> </ul>

## Section D. Human Resources

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**Objective:** To assess the organization's ability to maintain a satisfied and skilled workforce, to manage operations and staff time and to implement quality programs.

### DI. Staffing

	Yes	No	N/A	Comments/Quality Notes
Has the organization documented positions needed and staffing status?				
Are all key positions filled or is there active recruitment to fill gaps?				
Is there a staffing plan? Short or long term?				
What process is there to ensure that staff have the qualification and skills for their positions?				
Is there a designated HR staff?				

<b>Staffing Levels</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization has</p> <ul style="list-style-type: none"> <li>• No formal staffing plan</li> <li>• Positions/vacancies are not documented</li> <li>• Many key management and technical positions open or filled by staff without the right qualifications or skills</li> <li>• No system to ensure that positions are filled quickly</li> <li>• High turnover and severe problems with staff attendance affecting program implementation</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A formal staffing plan</li> <li>• Documented positions and vacancy data</li> <li>• Some key positions filled with qualified and skilled staff</li> <li>• No system to ensure that positions are filled quickly</li> <li>• High turnover rate or staff attendance problems affecting program implementation</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A formal staffing plan</li> <li>• Documented and available vacancy data</li> <li>• Qualified and skilled staff in all key positions (technical, administrative, finance)</li> <li>• A system to ensure that positions are filled quickly</li> <li>• Moderate turnover or minor attendance problems</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A formal staffing plan</li> <li>• Documented positions and vacancy data</li> <li>• Qualified and skilled staff in all positions</li> <li>• Active recruitment to fill gaps</li> <li>• A system for rapidly filling new positions where staff turnover is high</li> <li>• Minimal turnover and no attendance problems</li> </ul>

**D2. Job Descriptions and Staff Supervision**

**Objective:** To ensure job descriptions (JDs) explain staff roles and responsibilities and are clearly defined and understood and help supervisors review and improve performance against expectations

Discuss some or all of the following questions:

Are there templates for job descriptions that list title, job duties, reporting requirements, qualifications, and skills?	Yes	No	N/A	Comments/Quality Notes
Are JDs filed and updated as needed?				
Is there a documented supervisory plan? Is staff aware of the structure?				
Are supervisors aware of their responsibilities and trained to be supportive?				
Are supervisor findings documented and discussed?				
Are performance appraisals conducted? How often?				

Come to consensus: Where does the organization fall on this spectrum?

<b>Staff Performance Management</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization has</p> <ul style="list-style-type: none"> <li>• No documented job descriptions or supervisory plan</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• JDs in place which include key components, and are filed</li> <li>• There is no documented supervisory plan</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• JDs in place which include key components, and are filed</li> <li>• A process for assessing staff performance that includes setting objectives, listing responsibilities/ tasks, assessing performance on past activities, supervision and professional development</li> <li>• A performance review process for new staff that is not timely or consistently done</li> <li>• Conducted appraisals for some, but not all, staff</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• JDs are compliant with policy.</li> <li>• A process for assessing staff performance that includes setting objectives, listing responsibilities/ tasks, assessing performance on past activities, supervision and professional development</li> <li>• A supervisory plan exists and staff are trained to provide supportive supervision.</li> <li>• Performance appraisals are conducted annually</li> <li>• Regularly reviews new staff performance after the probationary period</li> </ul>



### D3. Volunteers and Interns

**Objective:** Provide field and office-based volunteers and interns with clear tasks, training, supervision, and recognition to have less turnover and allow them to make significant contributions to the organization

	Yes	No	N/A	Comments/Quality Notes
Is there a documented policy for recruiting, selecting, engaging, and managing/supervising volunteers and interns?				
Is training and orientation provided regularly?				
Are volunteers given job descriptions?				
Are they provided with performance standards? Are these used to assess performance?				
How is supervision provided?				
Do they receive financial or non-financial recognition/compensation?				

<b>Volunteers/Interns</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization has</p> <ul style="list-style-type: none"> <li>• No policy for selecting or managing volunteers/interns</li> <li>• No training program for volunteers or interns</li> <li>• No job descriptions</li> <li>• No performance standards or feedback process</li> <li>• No supervisory guidance to support volunteers/interns</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A basic volunteer/intern policy that includes guidance on selection, supervision and support</li> <li>• Job descriptions</li> <li>• Orientation and/or training for volunteers that is not consistent</li> <li>• No performance standards or regular review of performance</li> <li>• Inconsistent or irregular supervision</li> <li>• High volunteer turnover that affects program implementation</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A comprehensive volunteer/intern policy that includes guidance on selection, supervision and support</li> <li>• Job descriptions</li> <li>• Volunteers/interns appropriately trained for their tasks</li> <li>• Performance standards but no performance review</li> <li>• Provided regular, consistent supervision and feedback</li> <li>• Moderate turnover</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A comprehensive volunteer/intern policy that includes guidance on selection, supervision and support</li> <li>• Volunteers/interns who are appropriately and consistently trained for their tasks</li> <li>• Performance standards and regular performance reviews</li> <li>• Provided regular, consistent supervision and feedback</li> <li>• Minimal turnover</li> </ul>

## Section E. Financial Management

**Objective:** To assess the quality of the organization's financial system and policies and procedures and the staff's knowledge of the system.

### E1. Financial Policies and Procedures

What type of accounting system does the organization use? How is the system implemented? Is the organization using accounting software?	Yes	No	N/A	Comments/Quality Notes
Which financial procedures are documented? How are financial procedures developed and approved? How often are the financial procedures formally reviewed/updated? What is included in the financial policies and procedures?				
How are staff members oriented/trained in the procedures? How often?				
Does the organization have separate accounts for separate programs? Does the organization use codes to assign transactions to a specific project/donor?				
Is there cashbook (or bank journal) completed in ink used for each bank account?				
How are account balances kept? Are all payments and receipts recorded in the organization's bookkeeping system? How are transactions in the accounting system linked to supporting documentation?				
What systems ensure compliance with financial procedures? At the end of the fiscal year how are accruals recorded?				

<b>Financial Systems</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization has</p> <ul style="list-style-type: none"> <li>• No formal financial system</li> <li>• Transactions that are either not recorded or are recorded on an ad hoc basis</li> <li>• Few people in the organization understand and follow the policies</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A basic financial system, but it is incomplete and/or not compliant with accounting standards</li> <li>• Systems that are not consistently adhered to</li> <li>• Not oriented or trained financial staff on systems</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A good financial system with most or all required components</li> <li>• An accounting system that is not fully operational</li> <li>• Systems that are consistently adhered to</li> <li>• Oriented or trained financial staff on systems</li> <li>• No process for reviewing and updating the financial system</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• A complete and appropriate financial system</li> <li>• A fully operational accounting system</li> <li>• Systems that are consistently adhered to, reviewed and updated</li> <li>• Systems known and understood by trained staff</li> <li>• A narrative description of its financial system in its financial manual</li> </ul>

## E2. Internal Controls

To help an organization safeguard its assets, manage internal risks, and ensure accurate and reliable financial accounting and reporting

**Objective:** To assess if internal controls adequately safeguard the organization's assets, manage internal risk and ensure the accuracy and reliability of accounting data.

Internal Controls				
Subsection Checklist	Yes	No	N/A	Comments/Quality Notes
Are there written policies on internal controls that are regularly reviewed and updated, and staff are trained on?				
Do the controls guide the segregation of duties among staff involved in financial management?				
Do multiple people review and approve payments and financial reports?				
How is petty cash managed?				
Is there a safe or other secure location for storing cash and checkbooks? Are there a limited and known set of people who can access the contents?				
How does the organization periodically assess its financial risks?				
Is there a documented procedure for handling possible instances of fraud or theft?				

<b>Internal Controls</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization has</p> <ul style="list-style-type: none"> <li>• No documented internal controls</li> <li>• Improper segregation of duties and checks and balances (1–2 people are responsible for all steps in financing or procurement)</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Some documented internal controls, but they are incomplete and inappropriate</li> <li>• Procedures not well-known and understood by staff and not consistently adhered to</li> <li>• Inadequate segregation of duties</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Most or all documented appropriate internal controls</li> <li>• Procedures that are generally known by staff but not consistently adhered to</li> <li>• Adequate segregation of duties</li> <li>• No process for reviewing and updating internal controls or for assessing financial risk</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Complete and appropriately documented financial controls</li> <li>• Procedures known and understood by trained staff</li> <li>• Internal controls that are consistently adhered to, reviewed and updated</li> <li>• A process for assessing financial risk</li> </ul>

### E3. Financial Documentation and Reporting

**Objective:** Keeping accurate and up-to-date financial records enables an organization to track resources, monitor its financial status, and prepare accurate financial reports for donors, stakeholders, and auditors in a timely fashion.

<b>Financial Documentation</b>				
	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments/Quality Notes</b>
Is there a written process for managing financial documentation?				
Is there a policy on which and how long financial documents are kept? Is the policy compliant with local law and donor regulations?				
How often are these guidelines reviewed and updated? What is the process for this?				
Is the organization's financial documentation up-to-date?				
Are financial files kept neatly, organized, and secure?				
Are there procedures for preparing and disseminating financial reports?				
Does the organization adhere to relevant legal requirements on financial reporting, such as audits?				
Who in the organization prepares, reviews, and approves financial reports that are shared with donors and other stakeholders?				

<b>Financial Documentation</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization has</p> <ul style="list-style-type: none"> <li>• No written financial documentation procedures</li> <li>• No filing system, and financial files are not readily available</li> <li>• No one designated to manage the financial files</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Some written financial documentation procedures, but they are incomplete and/or inappropriate</li> <li>• Procedures that are not consistently adhered to and/or are not known to staff</li> <li>• A basic filing system, but financial files are not complete</li> <li>• No one designated to manage the financial files</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Financial documentation procedures that are mostly or completely documented in writing and appropriate</li> <li>• Procedures that are generally adhered to, known and understood by staff</li> <li>• Financial documentation files that are not regularly updated or secure</li> <li>• A staff member designated to manage the financial files</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Complete and appropriate financial documentation procedures</li> <li>• Procedures that are known and understood by staff</li> <li>• Procedures that are consistently adhered to, reviewed and updated</li> <li>• Up-to-date financial files in a secure location</li> <li>• A staff member designated to manage the financial files</li> </ul>



#### **E4. Financial Planning and Sustainability**

**Objective:** Financial planning and monitoring that aligns with program planning and monitoring enables an organization to implement planned activities and demonstrate accountability to resource providers, which builds their confidence in the organization and makes them more likely to continue supporting the organization.

<b>Financial Sustainability</b>				
<b>Subsection Checklist</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments/Quality Notes</b>
Does the organization have a master budget that includes operating and overhead costs as well as project activities? How is it developed?				
How are budgets reviewed and approved? Are they frequently updated?				
Are project budgets developed during activity planning?				
Does the organization have a documented resource mobilization strategy? How does it relate to the strategic plan?				
Does the organization have income-generating activities or other sources of unrestricted funding?				
Does the organization have a cash flow that allows it to meet its financial obligations? Is the organization in debt?				
Does the organization have the cash flow to meet its financial obligations and overhead costs?				
Does the organization have debt? What is the debt level?				

<b>Financial Sustainability</b>			
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<p>The organization has</p> <ul style="list-style-type: none"> <li>• Full dependence on one external donor</li> <li>• No unrestricted funds</li> <li>• Not enough liquidity to pay all outstanding financial obligations</li> <li>• No documented finance strategy</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Occasional financial reports are prepared upon request from stakeholders</li> <li>• Almost full dependence on external donor funds (more than one donor)</li> <li>• Not enough liquidity to pay all outstanding financial obligations</li> <li>• A finance strategy that is not fully documented</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Financial records are documented and filed periodically according to an organizational systems</li> <li>• A somewhat diversified funding base, but is too reliant on restricted income</li> <li>• Limited reserves to operate without donor grants</li> <li>• Enough liquidity to pay all outstanding financial obligations</li> <li>• A documented finance strategy that is not fully in line with the strategic plan and is not reviewed regularly</li> </ul>	<p>The organization has</p> <ul style="list-style-type: none"> <li>• Documenting and filing financial records is done according to standard procedures</li> <li>• Financial documentation and reporting procedures are regularly reviewed and updated</li> <li>• A diversified funding base with strong stakeholder relationships</li> <li>• Income-generating activities and/or unrestricted sources of income</li> <li>• A documented finance strategy in line with the strategic plan and reviewed regularly</li> </ul>