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Organizational Capacity Assessment Facilitator's Guide

For USAID, DHHS, and Generic Versions

New Partners Initiative Technical Assistance (NuPITA) Project

2012

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Organizational Capacity Assessment Tool

Goal:

The goal of this tool is to assist organizations in assessing the critical elements for effective organizational management, and identifying those areas that need strengthening or further development.

Purpose:

The OCA tool was designed to enable organizations to define a capacity-building improvement plan, based on self-assessed need. This Organizational Capacity Assessment (OCA) was initially designed to measure overall capacity of organizations funded by President's Emergency Plan for AIDS Relief (PEPFAR) under the New Partners Initiative (NPI). This OCA tool provides organizations with a set of criteria to assess their current management capacity to implement quality health programs, to identify key areas that need strengthening.

Although many capacity assessments exist, the structure and process of this tool distinguishes it from others. Multi-level and multi-department involvement fosters team building and organizational learning. Inclusion of management, compliance, and program components ensure a holistic understanding of the organization's strengths and challenges and the guided self-assessment by skilled facilitators instills ownership on the part of the organization for its improvement plan.

The OCA tool assesses technical capacity in seven domains, and each domain has a number of sub-areas.

OCA Domains

1. Governance
2. Administration
3. Human Resources
4. Financial Management
5. Organizational Management
6. Program Management
7. Project Performance Management

Using This Tool

This Organizational Capacity Assessment tool is designed to enable organizational learning, foster team sharing, and encourage reflective self-assessment within organizations.

Recognizing that organizational development is a process, the use of the OCA tool results in concrete action plans to provide organizations with a clear organizational development road map. The OCA can be repeated on an annual basis to monitor the effectiveness of previous actions, evaluate progress in capacity improvement, and identify new areas in need of strengthening.

The OCA is an interactive self-assessment process that should bring together staff from all departments at implementing organizations, both at headquarters and in the field, for the two- to three-day assessment.

Not intended to be a scientific method, the value of the OCA is in its collaborative, self-assessment process. The framework offers organizations a chance to reflect on their current status against recognized best practices. Lively discussions are also an opportunity for management, administration, and program staff to learn how each functions, strengthening the team and reinforcing the inter-relatedness of the seven OCA components.

Each page of this tool examines one area. A range of examples of services available is provided along a continuum, from 1-4.

The methodology is a guided self-assessment that encourages active participation. The facilitator and participants meet and discuss each area to determine where the organization sits along the continuum of implementation. Facilitators ask open-ended, probing questions to encourage group discussion, and take notes on participant responses. These notes are later used for the action planning.

Sample questions which might help the facilitator to probe further into the content areas are presented on each page.

The scores that are arrived at are designed to set priorities for the actions and are not used to judge performance. Facilitators use the information from the scoring and rationale sheets to define the issues and actions. The organization reviews or adjusts the problem statement and builds on the suggested actions to define action steps, responsibilities, timeframe, and possible technical assistance needs.

The ability to identify areas to be addressed will strengthen the organization and in subsequent years, enable it to view improvement and note where progress is still needed.

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Acronym List

AIDS	Acquired immunodeficiency syndrome
CBO	Community-based organization
CDC	Centers for Disease Control and Prevention
CEO	Chief executive officer
ED	Executive director
FBO	Faith-based organization
HIV	Human immunodeficiency virus
HR	Human resources
IT	Information technology
JSI	John Snow, Inc.
M&E	Monitoring and evaluation
MOU	Memorandum of understanding
NGO	Nongovernmental organization
NPI	New Partners Initiative
NuPITA	New Partners Initiative Technical Assistance Project
OCA	Organizational capacity assessment
OD	Organizational development
PEPFAR	President's Emergency Plan for AIDS Relief
TA	Technical assistance
TA-NPI	Technical Assistance to the New Partners Initiative Project
TOR	Terms of reference
USAID	United States Agency for International Development
USG	United States government

Preface

The organizational capacity assessment was created for the New Partners Initiative (NPI) program by technical assistance (TA) provider John Snow, Inc. (JSI) and its partner, Initiatives Inc., in 2009. The OCA process helped NPI grantees assess their current level of functioning in strategic management, compliance, and program components. NPI's goal was to help organizations mature and become capable of expanding, providing quality HIV and AIDS services in their countries, and managing donor funds effectively.

The PEPFAR-funded New Partners Initiative (NPI) program provided grants to 54 organizations in Asia, Africa, and Haiti to build the capacity of local organizations to contribute to their country's HIV and AIDS response. The USAID-funded NuPITA and CDC-funded TA-NPI Projects, led by John Snow, Inc. and its partner Initiatives Inc., conducted technical assistance projects from 2008-2012 to support 26 of those organizations to:

1. Manage United States government (USG) grants and comply with USG regulations
2. Develop into stronger entities that are positioned to source USG and other funding to continue and expand programs
3. Implement quality HIV programs

The OCA tool was designed to enable grantees to define a capacity building improvement plan, based on self-assessed need. The process was repeated annually to note progress and to identify additional areas for organizational development.

Although many capacity assessments exist, this tool's structure and process distinguishes it from others. Multi-level and multi-department involvement fosters team building and organizational learning. Inclusion of management, compliance, and program components ensure a holistic understanding of the organization's strengths and challenges and the guided self-assessment by skilled facilitators instills ownership on the part of the organization for its improvement plan.

This guide describes the OCA process, tools and approach for use with organizations beyond the NPI program. It provides guidance for the three versions of the organizational capacity tool:

1. **USAID-specific for use with organizations supported by and following USAID regulations.**
2. **CDC-specific for use with organizations supported by and following CDC regulations.**
3. **Generic for use with organizations funded by other than the US government.**

OCA AT A GLANCE

Audience	Management and program staff and board members from NGOs, FBOs, and CBOs in the public or private health sector interested in strengthening their management and service delivery capacity.								
Process	The OCA is a facilitated self-assessment to assist organizations to review management and program best practices. Program and compliance components are defined along a continuum of four levels, ranked from 1 (lowest capacity) to 4 (strong capacity) based on detailed criteria.								
Objectives	<p>To build the capacity of organizations to:</p> <ul style="list-style-type: none"> • Create transparent and comprehensive systems • Implement high quality programs • Attract and manage donor grants 								
Components	<table border="0"> <tr> <td>Governance</td> <td>Administration</td> </tr> <tr> <td>Human Resources</td> <td>Financial Management</td> </tr> <tr> <td>Organizational Management</td> <td>Program Management</td> </tr> <tr> <td colspan="2" style="text-align: center;">Project Performance Management</td> </tr> </table>	Governance	Administration	Human Resources	Financial Management	Organizational Management	Program Management	Project Performance Management	
Governance	Administration								
Human Resources	Financial Management								
Organizational Management	Program Management								
Project Performance Management									
Key Steps	<ol style="list-style-type: none"> 1. Review Meeting 2. Assessment, Scoring, and Action Identification 3. Plenary Score Review and Prioritization 4. Action Planning 5. Closing 6. Final Report and Follow-up 								
Facilitators	Two to three facilitators experienced in organizational development, administration and finance, and program development guide the process, encouraging broad discussion and consensus driven scoring and action planning.								
Timeframe	Generally three days for the initial OCA and two days for repeat OCAs.								

Introduction to the Organizational Capacity Assessment Tool

The OCA Tool

The organizational capacity assessment is designed to measure organizations' overall capacity. The tool assesses capability in seven key capacity areas:

1. Governance
2. Administration
3. Human Resources Management
4. Financial Management
5. Organizational Management
6. Program Management
7. Project Performance Management

Each of the seven sections has more detailed subsections. For example, governance is comprised of "vision and mission," "organizational structure," "board composition and responsibility," "legal status," and "succession planning." Each subsection is broken down further into four stages of organizational capacity development ranked from one, indicating low capacity, to four, indicating strong capacity. The scoring helps the OCA team and the organization identify key strengths and priority areas of need. In addition, it enables the team to document progress in key areas and monitor organizational capacity improvement over time.

Recognizing that organizational development is a process, the use of the OCA tool results in concrete action plans to provide organizations with a clear organizational development road map. The OCA can be repeated on an annual basis to monitor the effectiveness of previous actions, evaluate progress in capacity improvement, and identify new areas in need of strengthening.

Preparation

Prior to conducting the OCA, the organization is provided with a letter describing the process and confirming the dates, a list of documents to have on hand to assist the process, guidance on which staff members should participate, and on the type of facility that might be needed for the plenary meetings. A set of questions for staff and board members, meant to be anonymously completed, are also given to the organization so that inputs on selected issues can be collected in advance of the OCA process.

Approach

The team: The OCA is implemented with a team of facilitators who have skills in organizational development, financial and technical areas, and representatives from the organization's management, administration, finance, and technical departments, as well as at least one board representative.

Time: The initial OCA takes three days to complete and results in an agreed action plan that will map priority areas and the actions the organization will take to address problems or gaps.

Steps: The OCA process is conducted in six steps as noted below.

Step 1: Review Meeting. Introduction and overview of the process.

Step 2: Assessment, Scoring and Action Identification. Determine current status of the organization's strengths and areas in which they want to improve.

Step 3: Plenary Score Review and Prioritization. Organizational review and prioritization of findings.

Step 4: Action Planning. Completion of the problem statements, actions, and responsibilities.

Step 5: Closing. Evaluation and next steps.

Step 6: Final Report. Documentation of findings, actions, and technical assistance needs.

Supporting Tools

Tool	Description
Participant OCA Tool	The participant and facilitator tools for all three OCA versions (USAID, CDC, and generic) contain the matrix with all seven sections, divided into subsections. Each subsection has a continuum of scores, 1 (low capacity) to 4 (strong capacity). Guided by the facilitators, the team discusses the descriptions of each section/subsection and then assesses the organization's stage of development on the continuum. This leads to a score for each subsection and section.
OCA Facilitator's Tool	This tool includes all of the same information as the participant OCA tool and adds probing questions that may be used to guide the conversations. Questions are asked, as needed, to help participants carefully think through their systems and procedures. A list of possible verification documents is also included in the facilitator's guide. The verification documents are requested in advance or onsite to review for quality and completeness of organizational manuals and systems. The facilitator's tool is generally not provided to the participants during the OCA process but may be shared later upon request.
OCA Facilitator's Guide	This guide includes all the instructions, guidance, and tools: sample invitation letters, anonymous questionnaires, and tips for managing assessments to help a facilitator organize, implement, and complete the OCA process.
Anonymous Staff and Board Questionnaires	These surveys are sent to the organization in advance to get additional information on how participating and non-participating staff and board members perceive their roles and understand policies and procedures of the organization. The responses inform the discussions while maintaining confidentiality of individual respondents.
Scoring and	These sheets, completed by the facilitators, summarize the organizational representatives' justification for their ranking and note actions proposed for

Rationale Sheets	improvement. Scores guide prioritization, but the facilitators should help participants focus on the ranking definitions rather than the scores.
Score Sheet	In the first column, there are seven management sections; in the second column, each section is subdivided into components. Scores for each subsection are entered into an Excel sheet, which compiles an average score. Scoring can also be done manually using the same methodology. The score sheets for the USAID and CDC versions are designed to allow overall scores as well as separate scores on USG-compliance and non-compliance subsections. USG compliance subsections are noted by a ★ and the non-USG compliance subsections are noted by a ●.
Action Plan	Facilitators use the information from the scoring and rationale sheets to define the issues and actions. The organization reviews or adjusts the problem statement and builds on the suggested actions to define action steps, responsibilities, timeframe, and possible technical assistance needs.

A. Preparation

Appoint a team leader who has an understanding of the OCA and required facilitation skills to take on the following tasks:

1. Organizes and leads the OCA process.
2. Orients and maintains communications with the organization.
3. Prepares the facilitation team.
4. Uses the Team Leader Checklist (Appendix 1) to ensure readiness for the assessment process.
5. Leads the three-day assessment process from orientation to closing; keeps the process on track and on time and closes the meeting.
6. Finalizes and submits the final report.

Communication with the Organization

1. Establishes contact with the organization to be assessed at least one month in advance and explains the process in detail. The leader emphasizes the self-assessment focus and the role of the facilitation team in guiding the process. S/he discusses with the NGO which categories of staff are appropriate for each topic and an ideal size to help the organization decide which staff and board members should attend. The leader explains that the plenary is often divided into multiple groups which meet simultaneously to address time management, but that all staff are welcome and encouraged to attend the initial and action planning sessions. Smaller organizations should be encouraged to discuss most sections in plenary. Finally, s/he discusses the preparation required in terms of documentation and logistics.
2. Sends an introductory letter (Appendix 2) confirming the dates, timing, location, and logistics. Together with the letter, the facilitator should send the OCA section summaries (Appendix 3) which provide a list of documents that should be available for review at the assessment, and encourages organizations, as possible, to provide the materials in advance.
3. Clarifies the need for anonymous staff and board questionnaires (Appendices 4A and 4B) to get comprehensive (participant and non-participant) views on their roles and understanding of the organization's policies and procedures. Sends the questionnaires in advance and asks them to be returned prior to the assessment. This can be done individually by respondents to the facilitator's email or agreement can be made for one person to collect and mail all questionnaires.
4. Reconfirms the meeting time and planned logistics (meeting space, provision of breaks and lunch, etc.) and answers any outstanding questions and concerns one week before the assessment.

Orientation of Facilitators

1. Describes the structure of the tool, the section and subsection contents, the role of the guiding questions to support discussions, and the suggested resource documents.
2. Ensures the appropriate resource documents as well as hard and soft copies of the OCA participant and facilitator tools and compiled anonymous questionnaires are distributed to the facilitators.

3. Explains that the role of the facilitator is to guide the discussion and help participants reach decisions on their current status, the scores, and needed actions using a participatory, non-judgmental, and positive approach.
4. Encourages facilitators to take every opportunity to make participants feel comfortable by avoiding an audit approach; explains scores are less important than actions and reminds them to keep in mind that the OCA is most importantly a self-assessment and opinions may vary.
5. Describes the process and tools for which the facilitator is responsible. These include: facilitating sections, completing the scoring and rationale sheets, setting up action planning, and summarizing their sections for the final report.
6. Assigns co-facilitators to take notes of the discussions using the rationale sheets.

B. Implementation Overview

Suggested Agenda

Illustrative Agenda for an Initial OCA	
Day 1	
Morning	<ul style="list-style-type: none"> Welcome and introductions. Begin group discussions of assessment areas.
Afternoon	Group discussions continue.
Day 2	
Morning and Afternoon	Group discussions continue.
Day 3	
Morning	<ul style="list-style-type: none"> Organization reviews scoring and rationale sheets (using track changes, if possible) in private to confirm scoring and rationale sheets compiled by facilitators reflect discussions. Facilitators make necessary changes based on the organizational feedback. Action planning begins.
Afternoon	<ul style="list-style-type: none"> Complete action planning and next steps. Evaluation of assessment process.

Detailed Steps

Step 1: Review Meeting. The process begins with a meeting in which the organization and facilitation team review the tool, process, and schedule (Appendix 5); identify sub-groups for specific sections and subsections, and decide when different groups meet. For example, the finance facilitator and the organization's financial manager may make up one sub-team responsible for reviewing and scoring financial management, while the OD specialist and representatives from the organization's management and board may sit together to review the governance section and subsections. (For a full list of suggested participants see Appendix 3.)

Step 2: Assessment, Scoring and Action Identification. The objective of this step is to identify the organization's capacity level in each subsection of the OCA. Participants rank the organization along a continuum of 1 (low), 2 (basic), 3 (moderate), and 4 (strong), provide a rationale for the selected scores, and propose follow-up actions. This step may be completed in small groups or plenary sessions. Facilitators record scores and justifications for the scores on the scoring and rationale sheet (Appendix 6).

Step 3: Plenary Score Review and Prioritization. The organization meets in private to review the scoring and rationale sheets. It is their opportunity to learn from each other by discussing and coming to consensus on the findings, set a priority for addressing each issue, and recommend potential actions to remedy problems or gaps. Priority levels—low, medium and high—help the team to focus the action plan on the most important issues, as well as those that are easy to accomplish. Other problems may be deferred until the more pressing matters have been taken care of.

Step 4: Action Planning. Led by the team leader, the organization completes and finalizes the action plan (Appendix 7) in plenary. The team adds their thoughts on the problem statement and recommended actions, assigns priority levels, adds deadlines, responsible parties and identifies any technical assistance needs. The facilitator then shows the score sheet (Appendices 8A-8C) on the LCD or in paper form as a summary for the organization.

Step 5: Closing. Participants are asked to complete an evaluation (Appendix 9) and closing remarks are made by the facilitation team and the organization. The team leader leaves the action plan behind for the organization's review. S/he asks for it to be returned within one week with any changes so that it can be included in the final report.

Step 6: Final Report. The final report is prepared by the team leader with assistance from the other facilitators and is presented to the organization within three weeks. This report summarizes the findings, actions, and technical assistance needs (Appendix 10).

C. Conducting and Implementing the Assessment Process

The team leader:

Opening Session Introduction

1. Briefly explains that the purpose of this meeting is to introduce everyone to the assessment purpose, process, and timeline, and to refine the agenda.
2. Introduces the facilitators and asks participants to state their name, position, and roles within their organization, and state their understanding, expectations, and questions regarding the OCA.

Outline the Assessment Process

1. Reviews in detail the assessment components and process. Shares the OCA overview (Appendix 11) so the sections and subsections are clear. This also helps all participants confirm their choice of sessions.
2. Reviews the three-day agenda. Note that the first day includes the introductory session. During this period, a schedule and participant assignment for the various sections should be determined, which may allow multiple groups to meet simultaneously (Appendix 5), assuming the size of the organization allows for this configuration. If not, plenary sessions can be conducted. In any case, the entire group can be encouraged to participate in the first session to help orient them to the process. The small group discussions start on Day 1 and continue into Day 2. The third day starts with an organizational review of the rationale and scoring sheets (Appendix 6) for accuracy and sharing. The organization reports any inaccuracies to the facilitators and the remainder of the day is used to complete an action plan and close the assessment.
3. Explains that the methodology is a guided self-assessment that encourages active participation. Facilitators ask open-ended, probing questions to encourage group discussion, and take notes on participant responses. These notes are later used for the action planning.
4. Stresses that scores are designed to set priorities for the actions and are not used to judge performance. The ability to identify areas to be addressed will strengthen the organization and in subsequent years, enable it to view improvement and note where progress is still needed.
5. Asks the executive director if s/he would like to orient the facilitators to the organization—especially any major changes that had an impact on the organization within the past year or so—before the assessment starts.
6. Responds to any additional questions or need for clarification.
7. Reconfirms the schedule, room, and participation list with the organization prior to the first small group meeting.

Implement the Assessment

1. Asks the groups to go to their first meeting.
2. Ensures each facilitator has copies of the compiled board and staff questionnaires for sharing information relevant to assist decision-making and their scoring and rationale sheets. (Findings from the questionnaires are included in the final report.) At the end of each day, reviews that the sections are completed and all rationale and action sheets are filled in. This is best done electronically.

3. Compiles all the rationale and action sheets after all sections are completed and makes copies for the organization to review independently of the facilitators.
4. Informs the organization that they can have time to review the scoring rationale and action summaries; their task is to make any desired revisions (electronically, using the “track changes” function, if possible) to the scores, actions or rationale, prioritize the action items, and think about where they might want technical assistance. The organization should meet in private without the facilitators or donor present. The private nature of the meeting encourages exchange of ideas among the staff about one another’s responsibilities and challenges. If all discussions occurred in plenary, the review may be shorter. This meeting usually takes place at the end of the second day or early on the third day.
5. Has the facilitation team and organization meet after its review, to discuss any desired changes to the scoring rationale and action worksheets; changes should be entered on the scoring rationale sheet, Excel score sheet, and action plan format.
6. Displays the action plan format (Appendix 7) using an LCD projector to assist the process. In the event there is no projector, the group may use one computer if visibility allows, or break the group into small groups led by a facilitator and multiple computers to finalize relevant sections of the tool; alternatively, print the document and work from the hard copy. The actions should be generated by the team. Compile all items into one Excel action planning sheet.
7. Provides the action plan to the organization in soft or hard copy and explains how it can be sorted by date, person responsible, etc., to assist them as they manage the plan. Reviews the sorted version of the action plan to see if deadlines are overly clustered in one month, if the group is unrealistic in their deadlines, or if some people are overburdened.
8. Provides a copy or shows (as appropriate) the score sheet (Appendices 8A–8C) on the LCD projector and reminds them that the scores are helpful guidance for continuing to prioritize their action plan.
9. Explains that organizations may want to make further changes to the action plan and they are free to do so; it is their plan. When ready, the organization should send a copy of the revised action plan to the team leader. Although a copy of the action plan is included in the OCA report, this does not preclude the organization from making additional changes in the future.
10. States that a final report including the action plan will be sent to the organization first for review and then as a final copy.
11. Conducts the evaluation (Appendix 9).
12. Thanks everyone for their time.

Final Report

A brief report (Appendix 10) that includes a section-by-section description of the identified problems and potential solutions, as well as the score sheet and action plan, is an appropriate product for the organization that was assessed. Facilitators should be requested to write up their own sections while their memory is fresh and provide it to the team leader for compilation and finalization. There may be others who would like the report (e.g., a donor or home office). The organization should be consulted on any other organizations with which this should be shared. The organization should always have the opportunity to review the final draft before it is shared with a wider audience.

D.OCA Next Steps

Repeat OCAs

A repeat OCA is helpful to provide a record of organizational growth and to identify additional challenges that should be addressed. It also gives organizations an opportunity to celebrate their success. When doing a repeat OCA, remember that the process is not an external evaluation; the organization's participation in the process is key to its success. Recognize the previous assessment and results throughout the process. Ask the organization to reflect on what it has done since the last OCA, how successful it has been, and what else the organization wants or needs to do to move forward. Generally, repeat OCAs can be completed in two days, with the discussions taking place on Day 1, and the rationale sheet review and action planning taking place on Day 2. Other considerations are as follows:

1. Review the previous OCA and, if applicable, other assessments for background information and discuss key priority areas with other staff/managers.
2. Communicate the schedule and any variation to the organizations.
3. Send staff and board questionnaires for the follow-up annual assessment.
4. Compare, after completing the scoring for a repeat OCA, this assessment to previous assessment scores to identify progress and issues.

Close-out OCA

A close-out OCA is conducted in coordination with a project close-out and usually takes two days. It gives both the organization and the project an opportunity to review progress over time, discuss remaining challenges, and ways in which the organization can continue to monitor growth. The OCA should result in an action plan and a commitment to continue conducting periodic self-assessments to identify areas of need and success.

E. Sample Session Guidance

Governance: Vision and Mission

Facilitators use a detailed OCA tool which includes objectives, definitions, and probing questions to assist participants. Participants receive a tool with only the section components and definitions for each level.

The facilitator explains to participants they will be reviewing their current status against the criteria in the four continually more comprehensive definitions in each subsection. S/he emphasizes that the score is only a guide; understanding of current functioning and needed improvements is paramount and creates a collegial and supportive atmosphere to encourage participation and learning.

Using the example of **governance** (see below), the facilitators completes the following steps:

1. Orient participants to the **governance** section objective: To assess the organization's motivation and stability by reviewing its guiding principles, structure, and oversight.
2. Cite the **vision and mission** subsection objective: To review the organization's vision and/or mission statement, learn what drives the organization, how the statements are reflected in what it does, and how they are communicated and understood by staff. These guiding statements help to create a common identity among staff and for the public.
3. Introduce **scoring** as a mechanism for prioritizing actions and reviewing progress over time, and help participants come to a consensus on their ranking. Ensure participants understand that scores matter less than the actual plan for improvement; do not make this a stumbling point.
4. If not done prior to the assessment, ask for and review the **resources** that support staff understanding of the vision and mission; this includes the organization's own statements and the anonymous board and staff questionnaires, which point to how well staff and board members understand and comply with the guiding statements. These questionnaires can assist in probing for additional information.
5. Ask a participant to read aloud, or the group to read silently, the four levels of **criteria** for defining the vision and mission statements. Explain that the standards get more rigorous as they approach the recognized best practice.
6. Ask them to describe how their vision and mission was developed and how it is currently used and understood.
7. Use any relevant guiding **questions from the facilitator's tool** to aid the discussion. These questions are meant as a reference if more information is needed. Ensure questions are asked in an open-ended manner and allow for in-depth discussion. Refer to the resources provided in discussions. Take notes during the discussion to help complete the rationale sheet (these should be edited later).
8. In summary ask participants to suggest where their organization is in relation to the scoring criteria and to provide a rationale for their response.
9. Note their response on the **scoring and rationale sheet**.
10. Ask participants to state what actions are necessary to help them reach the next level and note them along with others articulated during the discussions in the action section of the **scoring and rationale sheet**.

Governance

Objective: To assess the organization's motivation and stability by reviewing its guiding principles, structure, and oversight.

Vision/Mission

Subsection Objective: To review the organization's vision and/or mission statement, learn what drives the organization, how the statements are reflected in what it does, and how they are communicated and understood by staff. These guiding statements help to create a common identity among staff and for the public.

Resources: Vision and/or mission statement, anonymous staff and board questionnaires should be considered to get feedback on understanding and adherence to policies and practices

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

Vision/Mission				
Guiding Questions	Yes	No	NA	Comments/Quality Notes
Is the vision or mission statement posted visibly where staff and/or visitors see it regularly?				
Is the statement(s) used regularly in guiding organizational activities and priorities?				
Is the statement(s) used in human resource materials (i.e., staff handbooks, orientation materials, etc.)?				
Does the organization review the vision and mission statements in conjunction with strategic planning?				
Are the vision and mission used to set priorities? If so, please describe the process.				

F. Facilitation Tips

Facilitating meetings is a skill that requires a combination of diplomacy and control. At times, personal motives can sidetrack a meeting. The facilitator should use the following techniques if process or communication management is needed.

Manage the Process¹

Managing the Facilitators and Organizers

1. Difficulty in comprehension: language or cultural variations

Response: Recognize differences and speak slowly and articulately. Set a model for others by gently asking them to speak louder, clearer, or slower. Avoid using words like “should” or showing emotions through your body language. Always check by reviewing facial expressions and body language if people understand and are paying attention or by asking directly if anything needs repeating or clarification.

Managing Personalities

1. The dominator: One person uses a meeting for his or her personal forum on every agenda item.

Response: Handle the situation by looking for a place to interrupt him, quickly summarize his point of view and turn to the group and say, "Does anyone else have an opinion about this?" or "Joe, I'd be interested in your opinion about this."

2. The wallflower: Participant has good ideas, but is shy or reluctant to share them in a group setting.

Response: Encourage the person by stating “Cindy, you’ve had experience with this in your last position. What can you tell us?” or "Cindy you were telling me about an idea you had last week. Why don't you share it with all of us?"

3. Complainer: Participant voices issues or negativity constantly.

Response: Summarize the basic concern the person is griping about. Use neutral words such as "She thinks the policy isn't fair." Turn to the rest of the group and say, "What about this concern? Let's examine it. Does anyone else feel this way?" If no one else joins in, the group can often diffuse the griper and you won't have to do a thing. If the person is a chronic griper, it's time for a private one-on-one conversation during the next break about what is at the bottom of his or her discontent.

¹ Material derived from <http://www.joanlloyd.com/Managing/Five-tips-for-managing-group-dynamics,-in-meetings.aspx>, accessed September 3, 2012.

Managing Group Dynamics

1. **Side conversations:** Two people hold a competing conversation with the larger group.

Response: Wait before making your next point. Sometimes that will cause them to stop talking. Call on someone who is sitting next to one of them. That will startle them enough to stop, without embarrassing them. If all else fails, say something like, "Hey, you two. You must have a good idea over there. How about filling the rest of us in?"

2. **Quiet group:** This can occur due to dominance by a few people, resistance, too much information, or too long a session.

Response: Learn to read the group; don't prolong the discussion unnecessarily, and be clear about what you want to say, but don't repeat without need. Ask someone else to summarize the discussion to see if it is clearly understood. Make people feel comfortable participating by verbal and non-verbal support. Keep your manner non-judgmental. Encourage others to communicate, stop for breaks and keep the discussion on topic. If you sense the stillness is due to the presence of the 'boss,' try to talk separately to him/her about encouraging input from all or call directly on other participants to speak.

Managing the Meeting

1. **Size of group, either too large or too small**

Response: Prior to the assessment, discuss with the NGO which categories of staff are appropriate for which topics and an ideal size. Make a draft schedule using the point person's input. Review the schedule during the meeting and explain that multiple groups assist in time management and ensure key people are correctly placed. Suggest a core group is used to cover most, if not all, topics, but bring in others as relevant for specific sessions. Sometimes all activities are held in plenary due to the size of the organization; this is the reality of the situation and is generally not an issue.

2. **Scoring in advance, too high or too low**

Response: The organization receives the tool in advance and at times may agree on scores prior to the assessment or give themselves unjustified scores. The opening session should stress this is their tool, and that their ability to identify areas needing improvement will strengthen the organization. Scores set priority for actions and are not used to judge the organization. In subsequent years, it will be helpful to see how the scores and organization improve and where progress is still needed.

Even if the scoring was determined prior to the assessment, the facilitator should help the participants think through the rationale for the score, review documents and use the facilitator's guide to challenge, in a helpful way, their thinking. The facilitator should set the ground rules for an open, honest and non-judgmental approach.

3. Addressing defensiveness

Response: Organizations like to be recognized and commended for what they do well. Most organizations are on a continuum toward meeting best practices and should understand that it takes time and understanding to meet the requirements of best practices. In other areas, there is always new information and practices that can make programs better.

Acknowledge that they are doing well, but the program needs to meet national and international standards to evolve, be more effective in management and services and more attractive to donors.

4. Managing time: over- or under-estimating

Response: Develop a schedule and assign team leaders to keep the process moving; use a parking lot to place items that are not directly related to the discussion. If you have time remaining or can find time after hours, address the parking lot, otherwise decide together how to respond. Always keep the action planning in mind, this is critical and time consuming, and work backwards to assign time to other activities. Normally activities take more time on Day 1, until a rhythm is established.

Appendix I: Team Leader Checklist

TEAM LEADER CHECKLIST

Preparation

1. Correspond with organization at least two weeks in advance _____
 - a. List of documents to pull together for review (section summaries) _____
 - b. OCA Overview _____
 - c. OCA Tool _____
 - d. Staff and Board Questionnaires _____
2. Compiled staff/board questionnaire responses _____

Document Preparation

1. OCA Overview _____
2. Participant's OCA Tool _____
3. OCA Section Summaries _____
4. Facilitator's OCA Tool _____
5. OCA Schedule Worksheet _____
6. Anonymous Staff and Board Questionnaires _____
7. Scoring and Rationale Worksheet _____
8. Action Plan _____
9. Score Sheet _____
10. OCA Evaluation _____

Appendix 2: Introductory Letter

Dear _____,

In order to prepare for the organizational capacity assessment (OCA) that is scheduled for (insert date) _____, please share this email and attached documents with everyone from (insert name of organization) _____ who will be participating.

Please also provide us with the names and positions of those individuals whom you expect to participate in the assessment, as it would be extremely helpful for the OCA team to have this information while preparing for the three days. If there are significant scheduling constraints that will prevent anyone from participating for the entire duration, please also let us know.

Regarding logistics, it would also be helpful to discuss the requirements for the meeting room, your hours of operation, and whether an LCD projector would be available for use on Day 3.

Please note that the following documents have been attached to this email for your review:

- 1) Overview of the OCA: This document outlines the basic structure of the organizational capacity assessment, provides a brief schedule of the three days, details which staff should participate, and lists the documents that will be needed.
- 2) Anonymous Staff and Board Questionnaires: In preparation for the OCA, we would appreciate your assistance in distributing questionnaires to 8-10 staff and 3-5 members of the board. Staff knowledge about the organization will be helpful in providing a picture of how widely known and understood the structure, policies, and procedures of your organization are. The attached questionnaires should be supplied to a representative sample of your staff, which should include both those participating in the OCA and those that are not. The staff should also include a range of administrative, finance, technical, and management staff. Please ask the staff and board members to reply to the questions independently of each other and return the questionnaire to (insert name of team leader) _____ by (insert date) _____ so that the information can contribute to the assessment findings.
- 3) OCA Participant Tool: This is the tool that will be used during the OCA.
- 4) OCA Section Summaries: This provides guidance on what documents would be useful to have on hand during the OCA, as well as suggested participants.

Please let me know if you have any questions regarding this email.

Best regards,

Appendix 3: OCA Section Summaries

Governance Section Summary

Section	Suggested Facilitator	Subsection	Suggested Participants	Documents
Governance	OD Specialist	Vision/Mission	CEO or ED, and/or Senior Staff Member. Board representative, if possible	Vision/Mission Statement
		Organizational Structure		Organogram or Facsimile Organizational Structure Description
		Board Composition and Responsibility		Board TORs Membership List Meetings Board Meeting Minutes, if available
		Legal Status		Registration Tax Laws
		Succession Planning		Job Descriptions of Senior Management Succession Plan Organizational Chart (organogram)
				Board/Staff Questionnaire (Appendices 4A and 4B)

Administration Section Summary

Section	Suggested Facilitator	Subsection	Suggested Participants	Documents
Administration	Administration /Finance Specialist	Office Policies, Procedures and Systems	Administrative Chief/Staff	Administrative Policy/Procedure Manual Related Payment Vouchers Donor Policy and Regulations, if appropriate Board/Staff Questionnaire (Appendices 4A and 4B)
		Travel Policies and Procedures		Travel Procedure Manual Related Payment Vouchers
		Procurement		Procurement Policies Related Procurement Files and Payment Vouchers
		Fixed Assets Control		Fixed Asset Register Physical Inventory Reports
		Information Systems		

Human Resources Management Section Summary

Section	Suggested Facilitator	Subsection	Suggested Participants	Documents
HRM	OD Specialist	Job Descriptions	HR Director, staff, managers	Job Descriptions for each category of staff Staff Questionnaire (see Appendix 4A)
		Recruitment		Recruitment Guidelines
		Staffing Levels		Staffing Plan
		Personnel Policies		Personnel Manual Local Labor Laws
		Staff Salaries and Benefits		Salary Grade Range Time Sheets Work Schedule Policies Payment Vouchers
		Staff Performance Management		Performance Appraisal Form
		Volunteers/Interns		Volunteer/Intern Management Manual/Policy, Volunteer/Intern Job Descriptions Training & Supervision Plan

Financial Management Section Summary

Section	Suggested Facilitator	Subsection	Suggested Participants	Documents
Financial Management	Administration /Finance Specialist	Financial Systems	Finance Manager and finance staff	Financial Manual, Tools and Payment Vouchers
		Financial Policies & Procedures		
		Internal Controls		
		Financial Documentation		Donor Reports/Financial Reports
		Budgeting		Budget
		Reporting		
		Audits		Financial Audits Donor Audit Guidelines, if appropriate
		Cost Share		Cost Share Budget, Plan/Procedures and Reporting
		Sustainability		

Organizational Management Section Summary

Section	Suggested Facilitator	Subsection	Suggested Participants	Documents
Organizational Management	OD Specialist	Strategic Planning	Director/Senior Manager; supervisors, program managers and implementers	Strategic Plan
		Operational Planning		Annual Plan, Project/Program Workplans
		Resource Mobilization		Business Plan, Funding Strategy
		Communication Strategy		Branding Policy and Plan
		Change Management		Policy Review Schedule
		Knowledge Management		Evidence of Association/Network Memberships
		Stakeholder Involvement		List of Stakeholders
		Internal Communication		Staff Meeting notes, Staff Questionnaire
		Decision Making	Decision Tree, Staff Meetings Notes, Staff Questionnaire	

Program Management Section Summary

Section	Suggested Facilitator	Subsection	Suggested Participants	Documents
Program Management	Program Specialist	Donor Compliance	Program Manager/Senior Technical Staff supervisors, and service delivery staff	Financial Manual Payment Vouchers
		Sub-grant Contract Management		Grants Manual or Policy Partner Agreements, Donor Approval Documentation
		Technical Reporting		If available, most recent Quarterly/Semi Annual or Annual Technical Report
		Referral		Referral Plan MOUs with Referral Site, Referral Reports and/or data if available
		Community Involvement		Program Plans, Community or Client Assessments
		Culture and Gender		Culture and Gender Assessments; Policy

Project Performance Management Section Summary

Section	Suggested Facilitator	Subsection	Suggested Participants	Documents
Project Performance Management	Program Specialist	Field Oversight	Senior Program Staff/M&E Advisor	Monitoring/Supervision Reports
		Standards		Program Implementation Standards
		Quality Assurance		Quality Monitoring Tools
		Supervision		Supervision Plan and Reports Training Reports
		Monitoring and Evaluation		M&E Plan, Tools, Reports

Appendix 4A: Anonymous Staff Questionnaire

As part of its continuing focus on organizational development, _____ is participating in an organizational capacity assessment. It would help the process if you could spend 10 minutes filling in this survey and send it back to by.....

Please indicate your position (check the appropriate function in the box to the right):	Technical _____ Administrative _____ Financial _____ Management _____	For Facilitators' Use					
1. Are you aware that your organization has a vision (future aspiration) and/or mission statement (purpose)?	<table border="1"> <tr> <td data-bbox="870 709 1062 772">Yes</td> <td data-bbox="1062 709 1258 772">No</td> </tr> </table>		Yes	No	Vision/Mission		
Yes	No						
2. What is the key message of the statement(s)?	Vision/Mission						
On a scale of 1 (strongly disagree) to 5 (strongly agree), rate the following statements by circling the number that best represents your response.							
3. My organization...	<table border="1"> <tr> <td data-bbox="870 961 1015 1050">Strongly disagree</td> <td data-bbox="1015 961 1258 1050">.....</td> <td data-bbox="1258 961 1482 1050">Strongly agree</td> </tr> </table>	Strongly disagree	Strongly agree			
Strongly disagree	Strongly agree					
A. Has staff meetings, which I find satisfactory	<table border="1"> <tr> <td data-bbox="870 1050 950 1108">1</td> <td data-bbox="950 1050 1029 1108">2</td> <td data-bbox="1029 1050 1109 1108">3</td> <td data-bbox="1109 1050 1188 1108">4</td> <td data-bbox="1188 1050 1258 1108">5</td> </tr> </table>	1	2	3	4	5	Communication
1	2	3	4	5			
B. Does a good job of informing me about decisions	<table border="1"> <tr> <td data-bbox="870 1108 950 1167">1</td> <td data-bbox="950 1108 1029 1167">2</td> <td data-bbox="1029 1108 1109 1167">3</td> <td data-bbox="1109 1108 1188 1167">4</td> <td data-bbox="1188 1108 1258 1167">5</td> </tr> </table>	1	2	3	4	5	Decision-making
1	2	3	4	5			
C. Routinely seeks and listens to my ideas	<table border="1"> <tr> <td data-bbox="870 1167 950 1226">1</td> <td data-bbox="950 1167 1029 1226">2</td> <td data-bbox="1029 1167 1109 1226">3</td> <td data-bbox="1109 1167 1188 1226">4</td> <td data-bbox="1188 1167 1258 1226">5</td> </tr> </table>	1	2	3	4	5	Decision-making
1	2	3	4	5			
4. My organization <u>routinely</u> involves me in...	<table border="1"> <tr> <td data-bbox="870 1226 1015 1314">Strongly disagree</td> <td data-bbox="1015 1226 1258 1314">.....</td> <td data-bbox="1258 1226 1482 1314">Strongly agree</td> </tr> </table>	Strongly disagree	Strongly agree			
Strongly disagree	Strongly agree					
A. Workplanning	<table border="1"> <tr> <td data-bbox="870 1314 950 1373">1</td> <td data-bbox="950 1314 1029 1373">2</td> <td data-bbox="1029 1314 1109 1373">3</td> <td data-bbox="1109 1314 1188 1373">4</td> <td data-bbox="1188 1314 1258 1373">5</td> </tr> </table>	1	2	3	4	5	Workplanning
1	2	3	4	5			
B. Strategic planning	<table border="1"> <tr> <td data-bbox="870 1373 950 1432">1</td> <td data-bbox="950 1373 1029 1432">2</td> <td data-bbox="1029 1373 1109 1432">3</td> <td data-bbox="1109 1373 1188 1432">4</td> <td data-bbox="1188 1373 1258 1432">5</td> </tr> </table>	1	2	3	4	5	Strategic Planning
1	2	3	4	5			
C. Policy development or review	<table border="1"> <tr> <td data-bbox="870 1432 950 1491">1</td> <td data-bbox="950 1432 1029 1491">2</td> <td data-bbox="1029 1432 1109 1491">3</td> <td data-bbox="1109 1432 1188 1491">4</td> <td data-bbox="1188 1432 1258 1491">5</td> </tr> </table>	1	2	3	4	5	Change Management
1	2	3	4	5			
D. Best practices sharing	<table border="1"> <tr> <td data-bbox="870 1491 950 1549">1</td> <td data-bbox="950 1491 1029 1549">2</td> <td data-bbox="1029 1491 1109 1549">3</td> <td data-bbox="1109 1491 1188 1549">4</td> <td data-bbox="1188 1491 1258 1549">5</td> </tr> </table>	1	2	3	4	5	Knowledge Management
1	2	3	4	5			
5. I feel comfortable raising issues about the organization or its programs with my supervisors.	<table border="1"> <tr> <td data-bbox="870 1549 950 1608">1</td> <td data-bbox="950 1549 1029 1608">2</td> <td data-bbox="1029 1549 1109 1608">3</td> <td data-bbox="1109 1549 1188 1608">4</td> <td data-bbox="1188 1549 1258 1608">5</td> </tr> </table>	1	2	3	4	5	Communication
1	2	3	4	5			
6. Does your organization have travel policies?	<table border="1"> <tr> <td data-bbox="870 1608 1003 1667">Yes</td> <td data-bbox="1003 1608 1115 1667">No</td> <td data-bbox="1115 1608 1258 1667">Not sure</td> </tr> </table>	Yes	No	Not sure	Travel Policies		
Yes	No	Not sure					
7. Do you know how to access the policy if needed?	<table border="1"> <tr> <td data-bbox="870 1667 1003 1726">Yes</td> <td data-bbox="1003 1667 1115 1726">No</td> <td data-bbox="1115 1667 1258 1726">Not sure</td> </tr> </table>	Yes	No	Not sure	Travel Policies		
Yes	No	Not sure					
8. Do you fill out time sheets with daily hours of work?	<table border="1"> <tr> <td data-bbox="870 1726 1003 1785">Yes</td> <td data-bbox="1003 1726 1115 1785">No</td> <td data-bbox="1115 1726 1258 1785">Not sure</td> </tr> </table>	Yes	No	Not sure	Staff Time Management		
Yes	No	Not sure					

9. Do you fill out forms to claim reimbursement for work expenses?	Yes	No	Not sure	Operational Policies, Procedures and Systems
10. Do you have a copy of your current job description?	Yes	No	Not sure	Job Description
11. Do you have a copy or know where to access a copy of your organization's personnel manual?	Yes	No	Not sure	Personnel Policies
12. Did you provide a signature to indicate you received and read the personnel manual?	Yes	No	Not sure	Personnel Policies
13. In the last 12 months, have you received feedback from your supervisor on your performance?	Yes	No	Not sure	Performance Management
14. Do the organization's information technology (IT) systems allow you to complete your job as required?	Yes	No	Not sure	Information Management

Appendix 4B: Anonymous Board Questionnaire

As part of its continuing focus on organizational development, _____ is participating in an organizational capacity assessment. It would help the process if you could spend 10 minutes filling in this survey and send it back to by.....

1. Does your board have terms of reference (TOR) or bylaws?	Yes	No
2. How many members serve on the board?	_____	
3. What is the length of appointment for a board member?	_____	
4. How often does the board have elections?	_____	
5. How often are meetings held?	_____	
6. Are you aware that the organization has a vision (future aspiration) and/or mission statement?	Yes	No
7. What is the key message of the statement(s)?		
8. What are your main functions on the board?		
9. What is the board's most important role?		
10. Describe what guidance the board provides to the Executive Director.		
11. Describe any provisions that are available for building the skills and capacity of board members.		

Appendix 5: Schedule Framework

Section	Facilitators	Organization	Meeting Time	Meeting Location
Governance				
Administration				
Human Resources Management				
Financial Management				

Section	Facilitators	Organization	Meeting Time	Meeting Location
Organizational Management				
Program Management				
Project Performance Management				

Appendix 6: Scoring and Rationale Worksheet

Section _____

Subsection _____

Score	Justification	Recommended Action

Section _____

Subsection _____

Score	Justification	Recommended Action

Section _____

Subsection _____

Score	Justification	Recommended Action

Section _____

Subsection _____

Score	Justification	Recommended Action

Participants

Organization:

Facilitators:

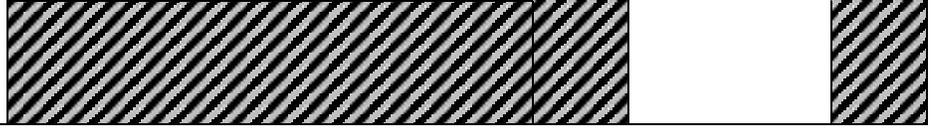
Other:

Appendix 8B: USAID Score Sheet

Section		Subsection	Score	Section Tally Average Score	USG Score
Governance	<input type="checkbox"/>	Vision/Mission			
	<input type="checkbox"/>	Organizational Structure			
	<input type="checkbox"/>	Board Composition and Responsibility			
	<input type="checkbox"/>	Legal Status			
	<input type="checkbox"/>	Succession Planning			
Administration	<input type="checkbox"/>	Operational Policies, Procedures and Systems			
	<input type="checkbox"/>	Travel Policies and Procedures			
	<input type="checkbox"/>	Procurement			
	<input type="checkbox"/>	Fixed Asset Control			
	<input type="checkbox"/>	Information Systems			
Human Resources Management	<input type="checkbox"/>	Job Descriptions			
	<input type="checkbox"/>	Recruitment			
	<input type="checkbox"/>	Staffing Levels			
	<input type="checkbox"/>	Personnel Policies			
	<input type="checkbox"/>	Staff Salaries and Benefits Policy			
	<input type="checkbox"/>	Staff Performance Management			
	<input type="checkbox"/>	Volunteers/Interns			
Financial Management	<input type="checkbox"/>	Financial Systems			
	<input type="checkbox"/>	Financial Policies and Procedures			
	<input type="checkbox"/>	Internal Controls			
	<input type="checkbox"/>	Financial Documentation			
	<input type="checkbox"/>	Budgeting			
	<input type="checkbox"/>	Financial Reporting			

	<input type="checkbox"/>	Audits			
	<input type="checkbox"/>	Cost Share			
	<input type="checkbox"/>	Financial Sustainability			
Organizational Management	<input type="checkbox"/>	Strategic Planning			
	<input type="checkbox"/>	Resource Mobilization			
	<input type="checkbox"/>	Operational Plan Development			
	<input type="checkbox"/>	Communication Strategy			
	<input type="checkbox"/>	Change Management			
	<input type="checkbox"/>	Knowledge Management			
	<input type="checkbox"/>	Stakeholder Involvement			
	<input type="checkbox"/>	Internal Communication			
	<input type="checkbox"/>	Decision-making			
Program Management	<input type="checkbox"/>	Donor Compliance			
	<input type="checkbox"/>	Sub-grant Management			
	<input type="checkbox"/>	Technical Reporting			
	<input type="checkbox"/>	Referral			
	<input type="checkbox"/>	Community Involvement			
	<input type="checkbox"/>	Culture and Gender			
Project Performance Management	<input type="checkbox"/>	Field Oversight			
	<input type="checkbox"/>	Standards			
	<input type="checkbox"/>	Quality Assurance			
	<input type="checkbox"/>	Supervision			
	<input type="checkbox"/>	Monitoring and Evaluation			
Average Organizational Capacity Score					
Average USG Grant Implementation Capacity Score				<input type="checkbox"/>	

Average Organizational
Capacity Score without USG
Subsections



Appendix 8C: DHHS/CDC Score Sheet

Section		Subsection	Score	Section Tally Average Score	USG Score
Governance	<input type="checkbox"/>	Vision/Mission			
	<input type="checkbox"/>	Organizational Structure			
	<input type="checkbox"/>	Board Composition and Responsibility			
	<input type="checkbox"/>	Legal Status			
	<input type="checkbox"/>	Succession Planning			
Administration	<input type="checkbox"/>	Operational Policies, Procedures and Systems			
	<input type="checkbox"/>	Travel Policies and Procedures			
	<input type="checkbox"/>	Procurement			
	<input type="checkbox"/>	Fixed Asset Control			
	<input type="checkbox"/>	Information Systems			
Human Resources Management	<input type="checkbox"/>	Job Descriptions			
	<input type="checkbox"/>	Recruitment			
	<input type="checkbox"/>	Staffing Levels			
	<input type="checkbox"/>	Personnel Policies			
	<input type="checkbox"/>	Staff Salaries and Benefits Policy			
	<input type="checkbox"/>	Staff Performance Management			
	<input type="checkbox"/>	Volunteers/Interns			
Financial Management	<input type="checkbox"/>	Financial Systems			
	<input type="checkbox"/>	Financial Policies and Procedures			
	<input type="checkbox"/>	Internal Controls			
	<input type="checkbox"/>	Financial Documentation			
	<input type="checkbox"/>	Budgeting			
	<input type="checkbox"/>	Financial Reporting			
	<input type="checkbox"/>	Audits			

	<input type="checkbox"/>	Financial Sustainability			
Organizational Management	<input type="checkbox"/>	Strategic Planning			
	<input type="checkbox"/>	Resource Mobilization			
	<input type="checkbox"/>	Operational Plan Development			
	<input type="checkbox"/>	Communication Strategy			
	<input type="checkbox"/>	Change Management			
	<input type="checkbox"/>	Knowledge Management			
	<input type="checkbox"/>	Stakeholder Involvement			
	<input type="checkbox"/>	Internal Communication			
	<input type="checkbox"/>	Decision-making			
Program Management	<input type="checkbox"/>	Donor Compliance			
	<input type="checkbox"/>	Sub-grant Management			
	<input type="checkbox"/>	Technical Reporting			
	<input type="checkbox"/>	Referral			
	<input type="checkbox"/>	Community Involvement			
	<input type="checkbox"/>	Culture and Gender			
Project Performance Management	<input type="checkbox"/>	Field Oversight			
	<input type="checkbox"/>	Standards			
	<input type="checkbox"/>	Quality Assurance			
	<input type="checkbox"/>	Supervision			
	<input type="checkbox"/>	Monitoring and Evaluation			
Average Organizational Capacity Score					
Average USG Grant Implementation Capacity Score			<input type="checkbox"/>		
Average Organizational Capacity Score without USG Subsections					

Appendix 9: Evaluation

OCA Evaluation

Organization Name _____

Dates of OCA _____

- | | | |
|---|-----|----|
| 1. Did you participate in the entire OCA process? | Yes | No |
| 2. If no, in which sections did you participate? | | |
| 3. Do you feel the OCA process allows for a fair assessment of your organization? | Yes | No |
| 4. Please explain your response: | | |
| 5. Do you feel the members of your organization were adequately included in the assessment process? | Yes | No |
| 6. Please explain your answer: | | |
| 7. Do you feel the agreed action plan will help your organization address issues and grow? | Yes | No |
| 8. What do you think worked well in this process? | | |

9. What did you not like about this process?

10. What would you change in this process?

11. Other comments or suggestions:

Appendix 10: OCA Report Outline

The report is a tool to help the assessed organization implement changes to build its capacity. It should summarize the OCA process, findings, and action plan.

1. Organizational Overview

Brief description of organization and rationale for conducting OCA.

2. OCA Participants

Facilitators	Organization	Parent Organization	Others

3. OCA Process

Describe briefly how the OCA was conducted:

- Dates and location of OCA
- General participation and response of staff

4. OCA Findings

4.1. OCA Scores

Analysis of scoring:

- Provide a graph with scoring by section and subsection
- Denote areas of great strength and areas needing improvement
- Add any clarification or explanation that might help the organization understand the reason for scores that may be particularly high or low

4.2. Summary of Issues

Each section should be limited to one or two paragraphs summarizing the scoring and rationale worksheets to complement and expand on the action plan and the partner's strengths and weaknesses.

- Provide statements about each subsection that qualify the score and the issue
- Include any details that will help the organization be specific in their action plans
- List areas of particular concern that should be prioritized

4.2.1. Governance (Score:)

4.2.2. Administration (Score:)

4.2.3. Human Resources Management (Score:)

4.2.4. Financial Management (Score:)

4.2.5. Organizational Management (Score:)

4.2.6. Program Management (Score:)

4.2.7. Project Performance Management (Score:)

5. Conclusion

Briefly summarize the organization's understanding of the OCA and acceptance of the action plan as a tool for moving forward.

- Provide perspective for organization success in meeting standards
- Identify internal support that can facilitate progress
- Reiterate any immediate assistance required to implement plan

Appendix II: OCA Overview

OCA Overview

The OCA Tool

The organizational capacity assessment is designed to measure organizations' overall capacity. The tool assesses capability in seven key capacity areas:

1. Governance
2. Administration
3. Human Resources Management
4. Financial Management
5. Organizational Management
6. Program Management
7. Project Performance Management

Each of the seven sections has more detailed subsections. For example, the section on governance is made up of vision and mission, organizational structure, board composition and responsibility, legal status, and succession planning. Each subsection is broken down further into four stages of organizational capacity development ranked from one, indicating low capacity, to four, indicating strong capacity. The scoring will help the OCA team and the organization identify key strengths and priority need areas. In addition, it will enable the team to document progress in key areas and monitor organizational capacity improvement over time.

Recognizing that organizational development is a process, the use of the OCA tool results in concrete action plans to provide organizations with a clear organizational development road map. The OCA can be repeated on an annual basis to monitor the effectiveness of previous actions, evaluate progress in capacity improvement, and identify new areas in need of strengthening.

Preparation

Prior to conducting the OCA, the organization is provided with a letter describing the process and confirming the dates, a list of documents to have on hand to assist the process, guidance on which staff members should participate, and the type of facility that might be needed for the plenary meetings. A set of questions for staff and board members is also submitted to the organization so that inputs on selected issues can be collected in advance of the OCA process.

Approach

The team: The OCA is implemented with a team of facilitators who have skills in organizational development, financial and technical areas, as well as representatives from the organization's management, administration, finance, and technical departments.

Time: The initial OCA will take three days to complete and will result in an agreed action plan that will map priority areas and the actions the organization will take to address problems or gaps.

Steps: The OCA process will be conducted in six steps as noted below.

Step 1: Review Meeting. The process begins with a meeting in which the organization and facilitation team review the tool, process, and schedule (Appendix 5); identify sub-groups for specific sections and subsections, and decide when different groups meet. For example, the finance facilitator and the organization's financial manager may make up one sub-team responsible for reviewing and scoring financial management, while the OD specialist and representatives from the organization's management and board may sit together to review the governance section and subsections. (For a full list of suggested participants see Appendix 3.)

Step 2: Assessment, Scoring and Action Identification. The objective of this step is to identify the organization's capacity level in each subsection of the OCA. Participants rank the organization along a continuum of 1 (low), 2 (basic), 3 (moderate), and 4 (strong); provide a rationale for the selected scores and propose follow-up actions. This step may be completed in small groups or plenary sessions. Facilitators record scores and justifications for the scores on the scoring and rationale sheet (Appendix 6).

Step 3: Plenary Score Review and Prioritization. The organization meets in private to review the scoring and rationale sheets. It is their opportunity to learn from each other by discussing and coming to consensus on the findings, set a priority for addressing each issue, and recommend potential actions to remedy problems or gaps. Priority levels—low, medium and high—help the team to focus the action plan on the most important issues, as well as those that are easy to accomplish. Other problems may be deferred until the more pressing matters have been taken care of.

Step 4: Action Planning. Led by the team leader, the organization completes and finalizes the action plan (Appendix 7) in plenary. The team adds their thoughts on the problem statement and recommended actions, assigns priority levels, adds deadlines, responsible parties and identifies any technical assistance needs. The facilitator then shows the score sheet (Appendices 8A–8C) on the LCD or in paper form as a summary for the organization.

Step 5: Closing. Participants are asked to complete an evaluation (Appendix 9) and closing remarks are made by the facilitation team and the organization. The team leader leaves the action plan behind for the organization's review. S/he asks for it to be returned within one week with any changes so that it can be included in the final report.

Step 6: Final Report. The final report is prepared by the team leader with assistance from the other facilitators and is presented to the organization within three weeks. This report summarizes the findings, actions, and technical assistance needs (Appendix 10).

Follow-up: While the action plan is completed at the end of Day 3, a revised/finalized action plan may need to be compiled by the organization in the days following the assessment process. The final action

plan should be available no more than one week following the OCA, as it will be used as a road map for organizational development.

Final Report: Provides a section-by-section description of the identified problems and potential solutions, as well as the score sheet and action plan.

Repeat: It is recommended to repeat the OCA process on an annual basis to monitor organizational development, identify persistent or new problems, and establish new action plans from which to continue the OD process

