Partner Capacity Assessment

1.1 Vision and Mission
Objective: Assess the clarity of the organization's statements of its purpose and values and how they have been shared and applied

Vision and Mission	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
	Vision and mission statements are • Not written • Written, but not clear and specific • Written, but no longer relevant to the organization's current purpose or aspirations • Not considered in decisions on priorities and actions • Not included in staff orientation and public communication materials	Vision and mission statements are written, but • Vague and general • Partly relevant to organization's current purpose or aspirations • Not usually considered in decisions on priorities and actions • Not usually included in staff orientation and public communication materials	Vision and mission statements are written and • Reasonably clear and specific • Relevant to the organization's current purpose or aspirations, but may need some updating • Usually considered in decisions on priorities and actions • Included in staff orientation and public communication materials	Vision and mission statements are written and • Clear and specific • Relevant to the organization's current purpose or aspirations • Consistently considered in decisions on and actions • Included in staff orientation and public communication materials

1.2 Organizational Structure and Succession Planning

Objective: Assess whether the organizational structure is appropriate and the organization's ability to continue smooth operations and program management in the event of change in leadership

Organizational Structure and Succession Planning	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
	The organizational structure is: • Informal or undocumented • Documented, but not followed • Based on inadequately defined functional responsibilities • Very high dependence on its current leader • High risk of closing or functioning poorly in the absence of the current leader • No succession plan for a leadership transition	The organizational structure is: • Documented, but incomplete or out of date • Not usually followed • Based on partially clear roles and responsibilities • High dependence on its current leader • Ability to survive without the current leader, but at reduced scale, efficiency, and effectiveness • No written succession plan or a weak plan for a leadership transition or coping with extreme events	The organizational structure is: • Documented and adequate, but may require some updating • Usually followed • Based on reasonably clear roles and responsibilities • Moderate dependence on the current leader • Ability to continue existing activities without the current leader, but growth might suffer significantly • An adequate written succession plan exists for a leadership transition	The organizational structure is: • Documented, good and updated as needed • Consistently followed • Based on well-defined roles and responsibilities • Ability to continue existing activities at the same rate without the current leader • A good succession plan exists for a leadership transition and other staff could take over effectively from the current leader

2.1 Budgeting

Objectives: Assess the ability to budget and plan financial resources

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
Budgeting	1	2	3	4
	• There is no master budget, just project budgets • Core cost budgeting is inadequate • Project budgets are not realistic, clear, and well documented • Indirect costs are not calculated or are based on inadequate methods or data • Multi-year revenue and expenditure projections are not done • Revenues and expenditures are not monitored against budgets	• Annual master budgets are separate from project budgets, but not well documented • Core cost budgeting is adequate, but not aligned with a strategic plan • Project budgets are realistic, clear, and well documented only with external assistance • Indirect costs are calculated with external assistance or are based on weak methods or data • Multi-year revenue and expenditure projections are weak • Revenues and expenditures are monitored against budgets quarterly	• Annual master budgets are separate from project budgets, and adequately documented • Core cost budgeting is adequate and aligned with a strategic plan • Project budgets are reasonable, clear, and documented without significant external assistance • Indirect costs are calculated without external assistance and based on adequate methods and data • Multi-year revenue and expenditure projections are adequate • Revenues and expenditures are monitored against budgets monthly	• Annual master budgets are separate from project budgets and well documented • Core cost budget is aligned with a strategic plan • Project budgets are realistic, clear, and well documented without external assistance • Indirect costs are calculated without external assistance and based on good methods • Multi-year revenue and expenditure projections are reasonably accurate • Revenues and expenditures are monitored against budgets monthly

2.2 Accounting System

Objectives: Assess the ability to record and report revenues and expenditures in an accurate and timely manner

Accounting System	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	**2**	**3**	**4**
	The accounting system is: • Not using double-entry accounting • Not based on a standard chart of accounts that corresponds to the general ledger • Manual • Cash based • Not attributing transactions to projects nor comparing them to budget ceilings • Not tracking unallowable expenses, advances, sales taxes, foreign currency conversions, and sub-grants • The organization has no accountant	The accounting system is: • Using double-entry accounting, but it is not completely reliable • Based on a standard chart of accounts that corresponds to the general ledger • Manual or computerized • Cash based • Attributing financial transactions to projects, but not comparing them to budget ceilings • Not adequately tracking unallowable expenses, advances, sales taxes, foreign currency conversions • Not properly recording some payments and receipts • The organization has a partly qualified accountant	The accounting system is: • Using double-entry accounting that is reliable, but may need some updating to meet current legal and donor requirements • Based on a standard chart of accounts that corresponds to the general ledger • Computerized • Cash or accruals based • Attributing financial transactions to projects and comparing them to budget ceilings • Tracking unallowable expenses, advances, sales taxes, foreign currency conversions • Properly recording all transactions • The organization has a qualified accountant who reports to the board, but may need some training	The accounting system is: • Using double-entry accounting that is reliable and meets current legal and donor requirements • Based on a standard chart of accounts that corresponds to the general ledger • Computerized • Cash or/and accruals based • Attributing financial transactions to projects and comparing them to budget ceilings • Tracking unallowable expenses, advances, sales taxes, foreign currency conversions • Properly recording all transactions • The organization has a qualified accountant who reports to the board and regularly updates their skills

2.3 Internal Controls (Checks and Balances ,Segregation of Duties and fraud prevention)

Objectives: Assess whether there are adequate internal controls to safeguard funds and check the accuracy and reliability of accounting data

Internal Controls	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
	• There is inadequate separation of duties among procurement staff and staff handling finance	• There is weak separation of duties among procurement staff and staff handling finance	• There is adequate separation of duties among procurement staff and staff handling finance	• There is good separation of duties among procurement staff and staff handling finance
	• Procedures for managing payments, expenditures, and petty cash are inadequate	• Procedures for managing payments, expenditures, and petty cash are weak	• Procedures for managing payments, expenditures, and petty cash are adequate	• Procedures for managing payments, expenditures, and petty cash are good
	• Many payments are made in cash	• Few payments are made in cash	• Cash payments are not made above petty cash limits	• Cash payments are not made above petty cash limits
	• Checks are not secured or do not get signed by at least two authorized people	• Checks are secured and signed by at least two authorized people	• Checks are not pre-signed or made out to "cash" or "bearer"	• Checks are secured and signed by at least two authorized people
	• Checks are pre-signed or made out to "cash" or "bearer"	• Checks are not pre-signed or made out to "cash" or "bearer"	• Checks are secured and signed by at least two authorized people	• Checks are not pre-signed or made out to "cash" or "bearer"
	• Field offices have inadequate internal controls	• Field offices have weak internal controls	• Field offices have adequate internal controls	• Field offices have good internal controls
	• Field office advances are not adequately reconciled and reviewed	• Insufficient frequency of reconciling and reviewing field office advances	• Adequate of reconciling and reviewing field office advances	• Good frequency of reconciling and reviewing field office advances
	• The organization does not assess financial risks	• The organization rarely assesses financial risks	• The organization periodically assesses financial risks	• The organization regularly assesses and mitigates financial risks
	• An internal or external audit or assessment of internal controls	• An internal or external audit or assessment has found	• An internal or external audit or assessment has found some	

has not been done or has found uncorrected significant weaknesses or deficiencies	significant weaknesses or deficiencies in internal controls that have only been partially corrected	weaknesses or deficiencies in internal controls that have been fully corrected	• An internal or external audit or assessment has found no significant weaknesses or deficiencies in internal controls

2.4 Financial Documentation (Financial Records and Filing)

Objective: Assess whether the organization has a routine reporting system for financial information and is able to meet donors' financial reporting requirements

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
Financial Documentation	**1**	**2**	**3**	**4**
	Financial documentation policies and procedures are: • Not written • Written, but not supported by adequate records or filing • Financial files are not kept or are very incomplete • Accounting entries frequently lack proper documentation	Written financial documentation policies and procedures are: • Weak and require significant changes • Adequate, but not usually followed • Financial files are kept, but are incomplete • Some accounting entries lack proper documentation	Written financial documentation policies and procedures are: • Adequate, but may require some updating • Usually supported by adequate records and filing • Financial files are readily available, reasonably complete, and secure • Accounting entries generally have proper documentation	Written financial documentation policies and procedures are: • Good and regularly updated • Consistently supported by good records and filing • A good financial filing system exists and financial files are secure, readily available, and complete

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• Financial files are not readily available • Financial files are not secure • No staff have been designated to manage financial files • No regular practices for backup and recovery of important documents	• Financial files are readily available • Financial files are secure • Financial files are maintained by designated staff • There may be a large filing backlog • Weak practices for backup and recovery of important documents	• Financial files are maintained by designated staff • There may be a small filing backlog • Adequate practices for backup and recovery of important documents	• Accounting entries consistently have proper documentation • Financial files are maintained by designated staff • There is no significant filing backlog • Good practices for backup and recovery of important documents

2.5 Financial Statements and Reporting

Objectives: Assess the policies, procedures, and practices for generating financial statements that meet the needs of the organization and comply with government and donor financial reporting requirements

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
Financial Statements	1	2	3	4
	• Internal financial statements are not regularly produced • Internal financial statements are inadequate or lack adequate explanatory notes	• Internal financial statements are produced less than once a quarter • Financial statements are incomplete or insufficiently documented with explanatory notes	• Internal financial statements are produced at least once a quarter • Financial statements are reasonably complete and reliable, but may need better explanatory notes	• Internal financial statements are produced at least once a month • Financial statements are complete, reliable, and well documented with good explanatory notes

• Managers do not regularly review financial statements • Managers who review financial statements, but rarely take corrective actions based on the review • Financial reports on donor projects are: not prepared; or they are prepared, but not accurate, complete, adequately, or timely documented; only prepared with substantial external assistance; not produced to donor standards; not prepared and approved by separate designated staff	• Managers do not regularly review financial statements • Managers review financial statements, but rarely take corrective actions based on the review • Financial reports on donor projects are: mostly accurate, but incomplete; weakly documented; not usually timely; prepared with significant external assistance; do not meet donor standards without much revision; prepared by designated staff, but not approved by others	• Managers usually review financial statements • Managers usually take corrective actions based on reviewed financial statements • Financial reports on donor projects are: accurate and reasonably complete; adequately documented; usually timely; prepared without external assistance; meet donor standards with few significant revisions; prepared and approved by separate designated staff	• Managers consistently review financial statements • Managers consistently take corrective actions based on reviewed financial statements • Financial reports on donor projects are: accurate and complete; well documented; consistently timely; prepared without external assistance; meet donor standards with little or no revision; prepared and approved by separate designated staff

3.1 Operating Policies, Procedures, Systems, and compliance

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

Operating Policies, Procedures, Systems and compliance	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
	Operating policies, procedures, and systems are • Not written	Operating policies, procedures, and systems are written and	Operating policies, procedures, and systems are written and	Operating policies, procedures, and systems are written and • Good and regularly updated

• Inadequate and require substantial changes • Rarely followed • Do not address use of office equipment, supplies, office vehicles, taxis, and personal vehicles; handling of mail, phone, faxes, and photocopying; safety and security; lost or stolen equipment; and the hiring and use of consultants • Forms and approval processes are not appropriately standardized and computerized • No written guidance on client support and provision of goods and services or guidance is rarely followed	• Weak and require significant changes • Not usually followed • Only partially address use of office equipment, supplies, office vehicles, taxis, and personal vehicles; handling of mail, phone, faxes, and photocopying; safety and security; lost or stolen equipment; and the hiring and use of consultants • Forms and approval processes are not appropriately standardized and computerized • Written guidance on client support and provision of goods and services is inadequate or not usually followed	• Adequate, but may require some updating • Usually followed • Adequately address use of office equipment, supplies, office vehicles, taxis, and personal vehicles; handling of mail, phone, faxes, and photocopying; safety and security; lost or stolen equipment; and the hiring and use of consultants • Most forms and approval processes are appropriately standardized and computerized • Written guidance on client support and provision of goods and services is adequate and usually followed	• Consistently followed • Comprehensively address use of office equipment, supplies, office vehicles, taxis, and personal vehicles; handling of mail, phone, faxes, and photocopying; safety and security; lost or stolen equipment; and the hiring and use of consultants • Forms and approval processes are consistently appropriately standardized and computerized • Written guidance on client support and provision of goods and services is good and consistently followed

3.2 Procurement

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

Procurement	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
	Procurement policies and procedures are • Not written • Written, but inadequate and require substantial changes • Not followed • Not supported by adequate procurement records • Not monitored for compliance • Include guidance on codes of conduct; fair and open competition; ineligible goods, services, and suppliers; sources; and allowable, allocable, and reasonable costs • Not in compliance with donor requirements, including advance approvals	Procurement policies and procedures are written and • Weak and require significant changes • Adequate, but not usually followed • Hindered by weak procurement records • Occasionally monitored for compliance • Include guidance on codes of conduct; fair and open competition; ineligible goods, services, and suppliers; sources; and allowable, allocable, and reasonable costs • Usually in compliance with donor requirements, including advance approvals • Supported with occasional training	Procurement policies and procedures are written and • Adequate, but may require some minor changes or updating • Generally followed • Supported by adequate procurement records • Usually monitored for compliance • Include guidance on codes of conduct; fair and open competition; ineligible goods, services, and suppliers; sources; and allowable, allocable, and reasonable costs • Usually in compliance with donor requirements, including advance approvals • Supported with periodic training	Procurement policies and procedures are written and • Good and regularly reviewed and revised as needed • Consistently followed • Supported by good procurement records • Consistently monitored for compliance • Include guidance on codes of conduct; fair and open competition; ineligible goods, services, and suppliers; sources; and allowable, allocable, and reasonable costs • Consistently in compliance with donor requirements, including advance approvals • Supported with regular training

• At risk due to potential duplicate payments, voucher misuse, reliance on cash payments	• At risk for duplicate payments, voucher misuse, reliance on cash payments	• Not at risk for duplicate payments, voucher misuse, reliance on cash payments	• Not at risk for duplicate payments, voucher misuse, reliance on cash payments

3.3 Asset Management (Equipment and Property)

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

	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
Asset Management	1	2	3	4
	Asset management policies and procedures are • Not written • Written, but inadequate and require substantial changes • Not supported by adequate inventory records • Not comprehensive, including a definition of	Asset management policies and procedures are written and • Weak and require significant changes • Adequate, but not usually followed • Hindered by weak inventory records • Partly comprehensive, including a definition of non-expendable	Asset management policies and procedures are written and • Adequate, but may require minor changes or some updating • Generally followed • Supported by adequate inventory records • Generally comprehensive, including a definition of non-	Asset management policies and procedures are written and • Good and regularly reviewed and revised as needed • Do not require changes • Consistently followed • Supported by good inventory records

non-expendable equipment and requirements for titling, inventory, insurance, and custody	equipment and requirements for titling, inventory, insurance, and custody	expendable equipment and requirements for titling, inventory, insurance, and custody	• Comprehensive, including a definition of non-expendable equipment and requirements for titling, inventory, insurance, and custody
Equipment and property:	**Equipment and property:**	**Equipment and property:**	**Equipment and property:**
• Are not marked with inventory control numbers and ownership	• Are not consistently marked with inventory control numbers and ownership	• Are consistently marked with inventory control numbers and ownership	• Are consistently marked with inventory control numbers and ownership
• Are not properly maintained, replaced, and disposed	• Are not usually properly maintained, replaced, and disposed	• Are usually properly maintained, replaced, and disposed	• Are not usually properly maintained, replaced, and disposed
• Shared use is not tracked and billed to each project	• Shared use is not tracked and billed to each project	• Shared use is usually tracked and billed to each project	• Shared use is not tracked and billed to each project
			• Depreciation is calculated annually according to acceptable standards

4.1 HR planning and recruitment

Objectives: Review the organization's systems for human resource planning, structuring staff positions, and recruiting staff

HR planning and recruitment	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	**2**	**3**	**4**
	• No written staffing plan or it is not followed • Many key management, technical, or finance positions have not been established, remain vacant, or are filled by people without appropriate skills • Some vacancies have significantly reduced efficiency or effectiveness for more than 6 months • Policies and procedures for staff recruitment are not written; Inadequate or not followed; Not supported by adequate records • Recruitment and hiring are prone to favoritism or bias • References and salary history are not verified	• A written staffing plan that is weak or not usually followed • Some key management, technical, or finance positions have not yet been established, remain vacant, or are filled by people without the appropriate qualifications or skills • Some vacancies have significantly reduced efficiency or effectiveness for 3-6 months • Policies and procedures for staff recruitment are written and Weak or incomplete; Adequate, but not usually followed; Hindered by weak records • Recruitment and hiring are not open and transparent • References and salary history are not usually verified	• A written staffing plan that is generally adequate and is usually followed with appropriate flexibility • Most key management, technical, and finance positions are filled by people with appropriate qualifications and skills • Some vacancies have reduced efficiency or effectiveness for no more than 3 months • Policies and procedures for staff recruitment and retention are written and Adequate, but may require some updating; Usually followed; Supported by adequate records • Recruitment, hiring, and retention are usually open and transparent • References and salary history are usually verified	• A written staffing plan that is good and consistently followed with appropriate flexibility • All key management, technical, and finance positions are filled by people with appropriate qualifications and skills • Vacancies have not reduced efficiency or effectiveness • Policies and procedures for staff recruitment are written and Good and regularly revised as needed; Consistently followed; supported by good records • Recruitment, hiring, and retention are consistently open and transparent • References and salary history are consistently verified

4.2 Job Descriptions and staff supervision

Objectives: Review the organization's systems for developing and updating job descriptions and clarity of supervisory responsibilities

Job Descriptions and staff supervision	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
	• Policies and procedures job descriptions are: not written; or are inadequate and require substantial changes; or they are not followed; not supported by adequate records in secure central files; not comprehensive addressing position titles, roles and responsibilities, required qualifications and skills, reporting, delegations of authority	• Policies and procedures job descriptions are: written, but weak and require significant changes; or adequate, but not usually followed; may be hindered by weak records or lack of secure central files; partly comprehensive addressing position titles, roles and responsibilities, required qualifications and skills, reporting, delegations of authority	• Policies and procedures job descriptions are written and adequate, but may require minor changes or some updating; generally followed; supported by adequate records in secure central files; adequately comprehensive addressing position titles, roles and responsibilities, required qualifications and skills, reporting, delegations of authority	• Policies and procedures on staffing and job descriptions are written and good and regularly revised as needed; consistently followed; supported by good records in secure central files; and fully addressing position titles, roles and responsibilities, required qualifications and skills, reporting, delegations of authority
	• Not documented supervisory assignments	• Documented some supervisory assignments, but incomplete, unclear	• Documented most supervisory assignments, but some may need updating	• Documented supervisory assignments and revised them as needed
	• No written policies and procedures for staff supervision	• Weak written policies and procedures for staff supervision	• Adequate written policies or procedures for staff supervision	• Good written policies or procedures for staff supervision
	• Written supervision policies and procedures that are not usually followed	• Supervision policies and procedures that are not usually followed	• Supervision policies and procedures that are usually followed	• Supervision policies and procedures that are consistently followed
	• Lack of guidance or scopes of work for specific assignments	• Do not have clear guidance or scopes of work for specific assignments	• Clear guidance or scopes of work for specific assignments	• Clear and detailed guidance or scopes of work for specific assignments

4.3 Personnel Policies

Objectives: Assess whether the organization's personnel policies conform to good practices and donor requirements

Personnel Policies	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	**2**	**3**	**4**
	Personnel policies and procedures are • Not written • Written, but not followed • Inadequate and require substantial changes • Not supported by adequate human resource records • Not comprehensive in addressing work schedules and locations, salaries and benefits, sick leave and annual leave, performance reviews, employee conduct, disciplinary procedures, grievances, resignations, and terminations • Not given to all staff • Not in compliance with legal and donor requirements and certifications	Personnel policies and procedures are written and • Weak and requires significant changes • Not usually followed • Hindered by weak recruitment and personnel records • Partly comprehensive in addressing work schedules and locations, salaries and benefits, sick leave and annual leave, performance reviews, employee conduct, disciplinary procedures, grievances, resignations, and terminations • Not usually given to all staff • Not usually in full compliance with legal and donor requirements and certifications	Personnel policies and procedures are written and • Adequate, but may require some updating or minor changes • Generally followed • Supported by adequate recruitment and personnel records • Mostly comprehensive in addressing work schedules and locations, salaries and benefits, sick leave and annual leave, performance reviews, employee conduct, disciplinary procedures, grievances, resignations, and terminations • Usually given to all staff • Usually in full compliance with legal and donor requirements and certifications	Personnel policies and procedures are written and • Good and regularly reviewed and revised as needed • Consistently followed • Supported by good human resource records • Fully comprehensive, addressing work schedules and locations, salaries and benefits, sick leave and annual leave, performance reviews, employee conduct, disciplinary procedures, grievances, resignations, and terminations • Consistently given to all staff and acknowledged in writing • Consistently in full compliance with legal and donor requirements and certifications

5.3 Gender mainstreaming

Objectives: Assess the organization's ability to address gender mainstreaming issues in its strategies and project design and implementation.

Culture and Gender Issues	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
	Policies, procedures, and systems for addressing gender issues are • Not written • Written, but require substantial changes • Not followed The organization has • Inadequate tools and expertise for systematically assessing gender issues • Not given staff adequate training on gender issues and tools • Not adequately addressed gender issues in project planning, implementation, monitoring, and evaluation	Written policies, procedures, and systems for addressing gender issues are • Weak and require significant changes • Not usually applied The organization has • Weak tools and expertise for systematically assessing gender issues • Not usually given staff sufficient training on gender issues and tools • Not usually adequately addressed culture and gender issues in project planning, implementation, monitoring, and evaluation	Written policies, procedures, and systems for addressing gender issues are • Adequate, but may require some updating • Usually applied The organization has • Adequate tools and expertise for systematically assessing culture and gender issues • Usually given staff sufficient training on gender issue • Usually adequately addressed culture and gender issues in project planning, implementation, monitoring, and evaluation	Written policies, procedures, and systems for addressing gender issues are • Good • Consistently applied The organization has • Good tools and expertise for systematically assessing gender issues • Consistently given staff sufficient training on gender issues • Consistently adequately addressed gender issues in project planning, implementation, monitoring, and evaluation

• Frequently experienced major problems in programs due to inadequate consideration of gender mainstreaming	• Often experienced major problems in programs due to inadequate consideration of gender issues	• Occasionally experienced major problems in programs due to inadequate consideration of culture or gender issues	• Rarely experienced major problems in programs due to inadequate consideration of culture or gender issues

5.6 Generic Technical capacity

Objectives: Assess the comprehensiveness of the technical skills (health, WASH, nutrition, etc.,) of the organization for quality service provision

Generic Technical capacity	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
	• The organization has no defined, documented technical strategy • The program strategy does not include guidelines, protocols, or SOPs • Program strategy is ad hoc and passive • There are some trainings being conducted by the organization but there is no process to generate training needs.	• The organization has a defined and documented technical strategy that is in response to an evidence-based determination of need • The program strategy includes guidelines, protocols, and SOPs that are up-to-date and in line with national or international guidelines. • Program strategy is based on a plan, and uses multiple contacts	• The organization has a defined and documented technical strategy that is in response to an evidence- based determination of need and according to national or international requirements • The program strategy includes guidelines, protocols, and SOPs that are up-to-date, in line with national and international guidelines, and applied in service delivery.	• The organization has a defined and documented strategy that it can be shared with other organizations and the capacity to scale-up services • The program strategy includes guidelines, protocols, and SOPs that are up to date and in line with national and international guidelines, and used as a model by other organizations.

		to reach the target beneficiaries. • The process to generate training needs, adapt training tools, and monitor achievements are designed to meet overall project objectives.	• Program strategy is based on a plan, and uses multiple contacts to reach the target beneficiries, including outreach and, referral system • Trainings conducted by the organization are based on training needs assessments and include support supervision training.	• Program strategy is based on a plan, uses multiple contacts to reach the target beneficiaries, and uses periodic reviews to ensure that materials are up-to-date and relevant to the context and realities. • Trainings are based on needs assessment and there is a mechanism to evaluate their relevance and effectiveness. Trained people apply skills acquired.

6.1 Strategic Planning (Business Planning)

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

Strategic Planning (Business Planning)	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
	The strategic plan (business plan) is • Not written	The strategic plan (business plan) is written and • Weak and requires significant changes	The strategic plan (business plan) is written and • Adequate, but may require some updating	The strategic plan (business plan) is written and • Good and regularly updated

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• Written, but outdated or inadequate and requires substantial changes • Not based on an analysis of strengths, weaknesses, opportunities, threats, and realistic resource requirements and availability • Does not reflect client priorities • Not clear and specific on priorities and lacks measurable objectives and targets • Not regularly reviewed • Not used for management decisions or operational planning	• Does not reflect its current vision, mission, and values • Not based on an adequate analysis of strengths, weaknesses, opportunities, threats, and realistic resource requirements and availability • Does not usually reflect client priorities • Partly clear and specific on priorities with some measurable objectives and targets • Occasionally reviewed • Not usually used for management decisions or operational planning	• A reflection of its current vision, mission, and values • Based on an adequate analysis of strengths, weaknesses, opportunities, threats, and realistic resource requirements and availability • Reflects client priorities • Reasonably clear and specific on priorities, measurable objectives, and targets • Periodically reviewed • Usually used for management decisions or operational planning	• A reflection of its current vision, mission, and values • Based on a good analysis of strengths, weaknesses, opportunities, threats, stakeholder needs, realistic resource requirements and availability • Reflects client priorities • Clear and specific on priorities, measurable objectives, and targets • Regularly reviewed • Consistently used for management decisions or operational planning

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6.2 Annual Workplans

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

Annual Workplans	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	**2**	**3**	**4**
	Annual workplans • Have not been prepared • Have been prepared, but are inadequate • Not timely • Not linked to program or project budgets • Lack clear and measureable goals, activities, timelines, responsibilities, performance indicators, or targets • Not prepared with significant staff participation • Not used for management decisions, operational planning, and monitoring progress • Not modified as needed	Annual workplans are prepared and are • Weak, incomplete, or require substantial external assistance • Not usually timely • Not well linked to program or project budgets • Needing significant revisions in goals, activities, timelines, responsibilities, or performance indicators and targets • Not prepared with broad staff participation • Not usually used for management decisions, operational planning, and monitoring progress • Modified without required donor approvals	Annual workplans are prepared and are • Adequate without external assistance, but may need minor improvements • Usually timely • Linked to program or project budgets • Containing adequate goals, activities, timelines, responsibilities, or performance indicators and targets • Prepared with significant staff participation • Usually used for management decisions, or operational planning, and monitoring progress • Modified with required donor approvals	Annual workplans are prepared and are • Good without external assistance • Consistently timely • Integrated with program or project budgets • Containing good goals, activities, timelines, responsibilities, or performance indicators and targets • Prepared with broad staff participation • Consistently used for management decisions, or operational planning, and monitoring progress • Modified with required donor approvals

6.3 Knowledge Management and external linkages

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

Knowledge Management and External Linkages	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
	The organization has: • Inadequate or unproven analytical capacity to identify good practices and lessons learned • No systematic approach to documenting, storing, and disseminating program knowledge • Not analyzed and shared good practices and lessons learned internally through a regular process • Not joined any formal networks • Rarely participated in discussions with donors, governments, and civil society organizations on approaches, lessons learned, and good practices	The organization has: • Weak analytical capacity to identify good practices and lessons learned • Weak systems for documenting, storing, and disseminating program knowledge • Occasionally analyzed and shared good practices and lessons learned internally, but not annually • Joined some formal networks, but has not taken an active role in them • Occasionally participated in discussions with donors, governments, and civil society organizations on approaches, lessons learned, and good practices	The organization has: • Adequate proven analytical capacity to identify good practices and lessons learned • Adequate systems for documenting, storing, and disseminating program knowledge • Analyzed and shared good practices and lessons learned internally at least once a year • Regularly participated actively in some formal networks, although not in a leadership role • Regularly participated in discussions with donors, governments, and civil society organizations on policies, lessons learned, and good practices	The organization has: • Good proven analytical capacity to identify good practices and lessons learned • Strong systems for documenting, storing, and disseminating program knowledge • Analyzed and shared good practices and lessons learned internally at least twice a year • Frequently participated actively in formal networks and in a leadership role • Frequently and routinely participated in discussions with donors, governments, and civil society organizations on approaches, lessons learned, and good practices

	• Not presented its approaches and results at external events		

6.4 Fundraising and New Business Development

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

Fundraising and New Business Development	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
	The organization has: • No written fundraising and new business development plan • A written fundraising and business development plan that is not being implemented • Had frequent cash flow problems or negative net income last year • Only one major funding source • Insufficient funds for existing programs next year	The organization has: • A weak fundraising and new business development plan • Weak implementation of the fundraising and new business development plan • Had occasional cash flow problems, but positive net income last year • Insufficient funds for existing programs next year • Only one major funding source • Insignificant funding from cost recovery, sales, or membership fees	The organization has: • An adequate fundraising and new business development plan that may need updating • Satisfactory implementation of the fundraising and new business development plan • Had no significant cash flow problems and positive net income over the last year • Sufficient funds for existing programs next year • At least two major funding sources	The organization has: • A good fundraising and new business development plan that is regularly updated and well implemented • Had no significant cash flow problems and positive net income over the last 2 years • Sufficient funds for existing programs next year • At least three major funding sources • Significant funding from cost recovery, sales, or membership fees • Good absorptive capacity for additional projects

• No regular funding from cost recovery, sales, or membership fees • Little absorptive capacity for additional projects • Insufficient unrestricted income and cash reserves to cover 2 months of operating costs without new donor funding	• Limited absorptive capacity for additional projects • Unrestricted income and cash reserves to cover 2-3 months of operating costs without new donor funding	• Limited funding from cost recovery, sales, or membership fees • Adequate absorptive capacity for additional projects • Unrestricted income and cash reserves to cover 3-6 months of operating costs without new donor funding	• Unrestricted income and cash reserves to cover over 6 months of operating costs without new donor funding

6.5 Internal Communications and Decision Making (within the organization)

Objective: Assess the effectiveness of the organization's internal communications within and across departments or functions and the decision-making process

Internal Communications and Decision Making	Low Capacity	Basic Capacity	Moderate Capacity	Strong Capacity
	1	2	3	4
	The organization has: • Poor two-way communications between management and staff • No structured settings to exchange ideas and discuss problems or opportunities	The organization has: • Limited two-way communication between management and staff • Few structured settings to exchange ideas and discuss problems or opportunities	The organization has: • Adequate two-way communication between management and staff • Occasional structured settings to exchange ideas and discuss problems or opportunities	The organization has: • Good two-way communications between management and staff • Regular structured settings to exchange ideas and discuss problems and opportunities

• Management rarely listens to or encourages staff ideas • Staff rarely initiating discussions with management and raising challenging issues • Inadequate communications within and across departments or functions • A decision-making process that lacks staff involvement for shared responsibility, ownership, and accountability	• Management sometimes listens to staff ideas, but does not actively seek staff input • Staff occasionally initiating discussions with management and raising challenging issues • Weak communications within and across departments or functions • A decision-making process with little staff involvement for shared responsibility, ownership, and accountability	• Management usually listens to staff ideas and periodically seeks staff input • Staff usually initiating discussions with management and raising challenging issues • Adequate communications within and across departments or functions • A decision-making process with some staff involvement for shared responsibility, ownership, and accountability	• Management consistently listens to staff ideas and seeks staff input • Staff frequently initiating discussions with management and raising challenging issues • Good communications within and across departments or functions • A decision-making process with extensive staff involvement for shared responsibility, ownership, and accountability