

ARISE Phase II Organizational Capacity Assessment Tool Potential Supporting Documents

To ensure that the ideal participant(s) are well-prepared for the exercise, the following list delineates all eight OCAT domains. It also highlights the potential documents which, when known or accessible, would greatly enhance the ability to provide the most precise information possible.

1. Governance

1.1. Vision/Mission

Potential Resources: *job descriptions of senior management, succession plan, organizational chart*

1.2. Organizational Structure

Potential Resources: organizational diagram, organogram or narrative

1.3. Board Composition and Responsibilities

Potential Resources: board membership, board TOR, board meeting minutes, anonymous board questionnaire

1.4. Legal Status

Potential Resources: registration, where possible and feasible, local tax laws, local labor laws

1.5. Succession Planning

Potential Resources: job descriptions of senior management, succession plan, organizational chart

2. Administration

2.1. Operational Policies, Procedures, and Systems

Potential Resources: policy and procedures manual, anonymous staff questionnaires, related payment vouchers

2.2. Travel Policies and Procedures

Potential Resources: travel manual, staff questionnaires, related payment vouchers

2.3. Procurement

Potential Resources: procurement policies, procurement files, related payment vouchers, procurement plan

2.4. Fixed-Asset Control

Potential Resources: fixed-asset policies, fixed-asset register, physical inventory reports

2.5. Information Systems

Potential Resources: information system policies and procedures, staff interviews

3. Human Resource Management

3.1. Job Descriptions

Potential Resources: sample job descriptions for each position or level (depending on size of organization)

3.2. Recruitment

Potential Resources: recruitment manual/guidelines or policy, recruitment guidelines, documentation of employment history, personnel manual

3.3. Staffing Levels

Potential Resources: staffing plan and/or organizational diagram, vacancy and turnover data, attendance information, retention policy

3.4. Personnel Policies

Potential Resources: personnel manual, staff time records, work schedule policies, 2–3 personnel files, payment vouchers

3.5. Staff Salaries and Benefits

Potential Resources: salary grades and ranges, 2–3 personnel files from different levels

3.6. Staff Performance Management

Potential Resources: samples of completed performance appraisals or a blank form

3.7. Volunteers and Interns

Potential Resources: volunteer/intern policy, samples of completed performance appraisals

4. Financial Management

4.1. Financial Systems

Potential Resources: financial manual, accounting journals, chart of accounts, payment vouchers, staff training plan/curricula, staff interviews

4.2. Financial Policies and Procedures

Potential Resources: financial manual, accounting journals, chart of accounts, staff interviews, payment vouchers, staff training plan/curricula

4.3. Internal Controls

Potential Resources: financial manual, signatory policy/authority matrix, payment vouchers, staff interviews, audit reports on internal controls, insurance policies

4.4. Financial Documentation

Potential Resources: financial files, finance manual, staff interviews

4.5. Budgeting

Potential Resources: organization’s budget, project budgets, budget worksheet, chart of accounts, budget tracking worksheet

4.6. Financial Reporting

Potential Resources: annual financial statements, financial reports to donors, donor grant agreements, management reports, senior management meeting minutes, board meeting minutes

4.7. Audits

Potential Resources: financial audit reports, post-audit management plans, financial manual staff interviews

4.8. Cost Share

Potential Resources: approved grant agreements/budgets, cost-sharing plan and procedures, cost-share vouchers

4.9. Financial Sustainability

Potential Resources: organization’s budget, annual financial statements, strategic plan, finance strategy (business plan)

5. Organizational Management

5.1. Strategic Planning

Potential Resources: strategic plan

5.2. Operational Plan Development

Potential Resources: operational plan

5.3. Communication and Advocacy Strategy

Potential Resources: communication strategy, sample publications

5.4. Change Management

Potential Resources: policy review plan or timeline

5.5. Knowledge Management

Potential Resources: listing of association memberships and linkages with external organizations, staff reports on meetings attended, organizational newsletters

5.6. Stakeholder Involvement

Potential Resources: list of key stakeholders, stakeholder report

5.7. Internal Communication

Potential Resources: employee handbook, HR handbook

5.8. Decision Making

Potential Resources: staff questionnaires

6. Program Management

6.1. Donor Compliance

Potential Resources: cooperative agreement

6.2. Sub-grant Management

Potential Resources: sub-grants management and monitoring manual or written procedures, partner agreements, staff interviews, technical reports from grantees, supervisory trip reports, financial reports from grantees, financial tracking of grantees

6.3. Technical Reporting

Potential Resources: most recent technical report, workplan

6.4. Community Involvement

Potential Resources: community participation and/ or mobilization plan; if not documented, discuss approach with appropriate staff

6.5. Culture and Gender

Potential Resources: community or client assessments, program plans

7. Project Performance Management

7.1. Field Oversight Activities

Potential Resources: field oversight policies and procedures, trip reports, management meeting minutes

7.2. Standards

Potential Resources: standards/guidelines used, monitoring reports

7.3. Quality Assurance

Potential Resources: quality monitoring tools (could be part of M&E tools)

7.4. Supervision

Potential Resources: supervision plan or guidelines, supervisors' reports

7.5. Monitoring and Evaluation (M&E)

Potential Resources: M&E plan, M&E tools, M&E reports

8. Sustainability and Resource Mobilization

8.1. Organizational Sustainability

Potential Resources: reports, presentations and marketing materials referring to future planning, including staffing, technology and market niches

8.2. Financial Sustainability

Potential Resources: financial-related documents, including: financial forecasts, multiple-year financial estimates and funding diversification plans

8.3. Resource Mobilization

Potential Resources: business development plan, resource development plan, funding strategy

8.4. Private Sector Mobilization

8.4.1. TBD

8.5. Public Sector Mobilization

8.5.1. TBD