



ARISE OCAT

User Guide

PURPOSE

This user guide is designed to help administrators and participants use the ARISE Phase II OCAT effectively. It provides step-by-step instructions for preparing, administering, and scoring the tool, along with guidance on recording notes, customizing domains, and developing an action plan. The guide draws on best practices on how the OCAT can support reflection and dialogue on organizational strengths and areas for growth.

USING THE TOOL

The ARISE Phase II OCAT is a Microsoft Excel-based tool with tabs for each component, including introductory information, the nine organizational domains to be assessed, and a summary action tab. Please refer to ANNEX 1 for a breakdown of the various tool components.

Currently, there are two versions of the tool, one designed for Ministries of Health (MoH) and the other for public and private sector implementing organizations.

	MoH	Implementing Partner
File Name	END Fund OCAT - MoH Version	END Fund OCAT - IP Version
Number of Questions	46	49
Notes	Does not include three questions under Governance, which are not applicable to government agencies.	

The goals of the ARISE Phase II OCAT tool are to:

- Include all the desired organizational domains and related questions.
- Use an easy-to-understand scoring system.
- Be administered efficiently and in a timely manner.
- Enable the administrator to record appropriate notes for each question.
- Be used in Microsoft Excel, allowing for offline use without an Internet connection.
- Allow for flexibility, with domains and related questions that can be added or removed.
- Provide a simple but insightful visual scoring summary once the tool has been completed



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ADMINISTRATION AND SCORING

The ARISE II OCAT is designed to follow a linear path, however the domains can be administered in any order depending on stakeholder availability and/or interest. The assessment preparation phase steps are as follows:

1. Outreach and communication.
 - a. Contact the organization to explain the OCAT process, schedule the assessment date and time, and provide background documentation.
 - b. A sample list of potential supporting documents familiar to participants or accessible through ARISE II is provided in APPENDIX 2.
2. Prior to the assessment, complete the assessment information on the Introduction tab.
3. Begin the administration day with an introduction to the assessment, clarify the overall purpose and goals, provide an overview of the day's schedule, and introduce names and roles.
4. Complete participants' information based on assessment attendees in the Participant Info tab.
5. Begin the assessment, ideally starting with the first domain: Governance.
6. Read the assessment of the domain to the participants.

Organizational Domain: Governance

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

7. Move through each domain question, reading the objective and begin the discussion with the participants.
8. During the discussion, record appropriate information, notes, etc. in the comments section of the question. Should it be deemed necessary, the assessment can be recorded for the benefit of staff members who were unable to attend the exercise. Additionally, the recording will serve as a valuable resource for future reference within the organization.

Comments



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9. Based on the information gathered, score the question based on the criteria provided. Each question can be scored from 1-4 and the tool does not allow any input other than 1-4.

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

10. Complete these steps for all questions within the domain, then continue to the next domain and follow the same process.

11. At the end of the assessment, thank the participants and inform them of how the relevant scoring, suggestions, and next steps will be communicated with them.

TAILORING THE TOOL

The ARISE II OCAT is Excel-based and can be tailored to the specific needs of an organization, including the following functions:

Editing text	Double-click the cell you want to change and add, delete and/or alter text.
Adding or removing questions	Individual questions can be removed from the tool by highlighting and deleting all the rows for the specific question on the specific tab.
Altering dropdown values	<p>To change dropdown values in Excel, select the cell with the dropdown, go to Data → Data Validation, edit the list of allowed values, and click OK to save.</p> <p>Click here to view the full video demonstration.</p>
Adding or removing tabs	<p>To add a tab in Excel, click the plus (+) icon next to existing sheet tabs, and to remove a tab, right-click the tab and select "Delete."</p> <p>Click here to view the full video demonstration.</p>



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NEXT STEPS

Once the tool has been administered, the following steps can be taken to complete the assessment process.

1. Review the data and notes.
2. Follow up with participants in case any further clarifications are needed.
3. Adjust the initial scoring if additional information emerges.
4. Use the Action Plan tab to record identified organizational weaknesses by domain and to list recommended next steps, estimated timelines, and costs.
5. Discuss the Action Plan recommendations collaboratively with participants and identify a final set of desired actions and next steps.
6. Share the participant scoring and next steps in ways that suit the scope and mandate of each organization, as well as funding guidelines.



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ANNEX 1. OCAT COMPONENTS.

The ARISE II OCAT is created in Microsoft Excel, using tabs for each section. The sections include:

Introduction	Provides background information that the administrator can reference when introducing the tool administration process.
Participant Info	Allows for the administrator to record the names and contact information of assessment attendees.
Scoring	A summary automatically generated based on inputted score.
Dashboard	A visual summary automatically generated based on imputed scores.
Organizational Domains	Each organizational domain is presented on its own tab, including specific questions, background details, and designated spaces for entering both scores and notes. The ARISE II OCAT includes the following nine domain tabs:
1. Governance	Assess motivation and stability by examining principles, structure, and oversight.
2. Administration	Review administrative systems, policy processes, and staff.
3. Human Resource Management	Gauge strength in workforce retention, operations oversight, and program execution.
4. Financial Management	Evaluate financial controls, procedures, and staff expertise.
5. Organizational Management	Assess planning, external relations, information management, and opportunity development.
6. Program Management	Gauge strength in comprehensive programming, partner management, and meeting specific health needs.
7. Project Performance Management	Evaluate oversight of field activities, standards, and outcome indicators.
8. Sustainability and Resource Mobilization	Review planning, information flow, and capacity to pursue new opportunities.
9. Country-specific	Custom questions can be inserted, if applicable.
Action Plan	A blank template is provided for administrators, to be used post-assessment to document areas for improvement, outline potential solutions, and record the estimated costs and timelines for each proposed action.



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ANNEX 2. Sample List of 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



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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)



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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)



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7.1. Supervision

Potential Resources: supervision plan or guidelines, supervisors' reports

7.2. 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, multipleyear 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