Organizational Capacity Assessment (OCA)

Facilitator Guide

Administration Section Only

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The OCA Purpose and Framework

Within USAID' Forward's Implementation and Procurement's Local Capacity Development (LCD) reform efforts, the OCA can be facilitated through a guided, interactive self-assessment with USAID's partners (NGOs, private businesses, and government counterparts) on an annual basis. This is based on the objective to enable organizational learning, team sharing, and reflective self-assessment within each partner organization. The tool is tailored to identify areas of need within management systems, project performance, program performance, and networking as well as reinforce healthy organizational practices. Through this process with a broad range of staff representation (all departments and levels represented), this snapshot promotes both a healthy, focused dialogue on organizational areas (and technical areas in year 2 and beyond through an additional tool) and leads to the development of an Action Plan identifying areas of high priority, ensuing steps, responsible staff identified, estimated completion dates, and additional support identified. Through the regular use of the OCA, an associated Action Implementation Plan, and supportive training/coaching/mentoring opportunities have demonstrated an increase in strengthening the self-sufficiency and sustainability of partners.

Acknowledgements

This compilation is based on a review and inclusion of the following Organizational Assessment Tools:

- The foundational tool is originally based on the New Partners Initiatives (NPI) OCA tool and process which was developed by Initiatives Inc. with contributions by John Snow Incorporated (JSI) under the USAID-funded New Partner's Initiatives Technical Assistance (NuPITA) Contract No. GHS-I-00-07-00002-00 and the CDC/HRSA-funded New Partner's Initiatives Technical Assistance (TA-NPI) Contract No. 200-204-05316.
- IDF originally based on USAID's TIPs #15
- Pact's Organizational Capacity Assessment Tool (OCAT)
- Discussion-Oriented Organizational Self-Assessment (DOSA) Tool
- NGO Sustainability Index

Additional Resources

- Initiatives Inc. (2009). *Organizational Capacity Assessment for NGOs* . Boston, MA: Published by Initiatives Inc. for the United States Agency for International Development Support for HIV and AIDS Response in Zambia Project (SHARe).
- Management Sciences for Health. (2003). *Rapid Assessment Tool for HIV/AIDS Environments: A Guide for Strengthening HRM Systems* . Cambridge, MA: Published by MSH for the U.S. Agency for International Development Management and Leadership Program.
- Venture Philanthropy Partners. (2001). *Effective Capacity Building in Non-Profit Organizations* . Reston, VA: Venture Philanthropy Partners.

Administration

Objective: The objective of this section is to assess the organization's functionality by measuring its capacity to develop and apply policies and procedures, the existence and quality of administrative systems, and staff knowledge of these systems.

The scoring criteria presented below apply to all Administration subsections and should be referred to for scoring.

Score	Scoring Criteria
1	• **Documentation:** Policies and procedures are not documented or reordered • **Completeness:** No items from the checklist are available
2	• **Documentation:** Policies and procedures are documented. • **Completeness:** Some written policies noted in the checklist are completed and/or some do not meet standards • **Compliance:** and/or most are completed but are not necessarily compliant with donor requirements
3	• **Documentation:** Policies and procedures are documented • **Completeness:** Most or all written policies and procedures noted in the checklist are available and meet a good standard • **Compliance:** Existing policies are compliant with any donor requirements • **Staff Awareness:** Either policies are not known (as noted in the staff questionnaire form where applicable, or discussions with staff) and/or staff do not know where to go to find the policies if needed. • **Application:** A review of sample documents shows that policies are not routinely adhered to.
4	• **Documentation:** Policies and procedures are documented • **Completeness:** All written policies and procedures noted in the checklist are available and meet a high standard • **Compliance:** Policies are compliant with any donor/s' requirements • **Staff Awareness:** Staff are aware of policies and know where to locate them (as noted in the staff questionnaire form where applicable, or discussions with staff) • **Application:** A review of sample documents indicates that policies are consistently adhered to.

Operational Policies, Procedures and Systems

Objective: The Objective of this sub-section is to assess the availability of and adherence to key operational policies in the organization.
Resources: Policy and Procedures Manual, Staff Questionnaires, Related Payment Vouchers

Operational Policies, Procedures and Systems	**1**	**2**	**3**	**4**
	The organization has no documented administrative procedures and information systems are insufficient to manage its operations and/or programs.	The organization has some documented administrative procedures but they are not complete and appropriate. Information systems support operations and programs at basic levels of functionality.	The organization has most or all documented administrative procedures and they are appropriate. They are either not known to staff and/or are not consistently adhered to. Information systems are sufficient to support operations and programs at a good level of functionality without major inputs.	The organization has complete and appropriate documented administrative procedures, updated as necessary, which are known and understood by staff and which are consistently adhered to, reviewed and updated. Information systems support operations and programs at a high level of functionality with sustainable systems.

Operational Policies, Procedures and Systems				
Sub-section Checklist	**Yes**	**No**	**NA**	**Comments/Quality Notes**
1. Are there written office procedures?				
2. Do they include: mail, phone, fax and photocopying procedures?				
3. Are there office supply policies?				
4. Is there a filing system?				
5. Are there written safety and security procedures?				
6. Are there written information technology (IT) policies and procedures including equipment borrowing procedures, signatures for equipment and staff held responsible for equipment?				
7. Does the IT structure adequately support the needs of the organization?				
8. Are there procedures for lost or stolen equipment?				
9. **Are there written vehicle use and management policies?**				
10. Do policies include all of the following: authorized drivers, proper use, driver responsibility, fuel policy, use/fuel/maintenance logs, safety procedures, vehicle security, accident reporting, trip reports, and use of taxis/privately owned vehicles?				

11. **Is there a written consultant policy?**				
12. Is there a consultant hiring and fair compensation policy per local law?				
13. Is the consultant policy compliant with any donor requirements?				
14. Does the payment process make any necessary distinction where required by donors?				
15. Is there a written advance and reconciliation policy for workshops, travel, etc?				
16. Is there a policy on personal advances or loans where permissible? And notice where not permissible?				

Travel Policies and Procedures

Objective: The Objective of this sub-section is to assess the availability of and adherence to key travel policies and procedures as determined as sound business practice and/or as determined by donor requirements.
Resources: Travel Procedure Manual, Staff Questionnaires, Related Payment Vouchers

Travel Policies and Procedures	1	2	3	4
	The organization has no documented travel procedures. (i.e. per diem levels, forms, approval procedures).	The organization has some documented travel policies procedures but they are not complete and appropriate.	The organization has most or all documented travel procedures and they are appropriate. They are either not known to staff and/or are not consistently adhered to.	The organization has complete and appropriate documented travel procedures, updated as necessary, which are known and understood by staff and which are consistently adhered to, reviewed and updated.

Travel Policies and Procedures				
Sub-section Checklist	**Yes**	**No**	**NA**	**Comments/Quality Notes**
1. Are there written travel policies and procedures?				
2. Is there an internal approval process for travel?				
3. Is there a policy for lodging? Are there different rates per respective region? Is there option for direct lodging payment?				
4. Is there a policy for meals and incidental expenses (M&IE)? Are M & IE broken down? Is there a day-trip policy? Is there a meal deduction policy?				
5. Is there a travel expense report used?				
6. Is there a trip report format that is used?				
7. Is international travel tracked and approved as required by any donor?				

Procurement

Objective: The Objective of this sub-section is to assess the availability of and adherence to key procurement policies and procedures including adherence to any donor requirements.
Resources: Procurement Policies, Procurement Plan, Related Payment Vouchers, Procurement Files

Procurement	1	2	3	4
	The organization has no documented procurement procedures. (i.e. procurement plan, procurement manual, approval processes).	The organization has some documented procurement policies procedures but they are not complete and appropriate.	The organization has most or all documented procurement procedures and they are appropriate. They are either not known to staff and/or are not consistently adhered to.	The organization has complete and appropriate documented administrative procedures, updated as necessary, which are known and understood by staff and which are consistently adhered to, reviewed and updated.

Procurement				
Sub-section Checklist	**Yes**	**No**	**NA**	**Comments/Quality Notes**
1. Are there written procurement policies and procedures?				
2. Is annual procurement planning conducted in accordance with work planning and budgeting as applicable?				
3. Are annual procurement plans approved if/when required?				
4. Are approvals obtained as appropriate?				
5. Does it include approval/authority thresholds?				
6. Are restricted and ineligible goods and services, ineligible suppliers, and special source rules defined? And adhered to?				
7. Do the policies include guidance on codes of conduct, conflict of interest, fair and open competition?				
8. Is there a procurement documentation checklist?				

Fixed Asset Control

Objective: The Objective of this sub-section is to assess the availability of and adherence to policies and systems for fixed asset management.
Resources: Fixed Asset Register, Physical Inventory Reports

Fixed Assets Control	**1**	**2**	**3**	**4**
	The organization has no documented fixed asset procedures. (i.e. inventory of assets and systems for stock control.)	The organization has some documented fixed asset policies but they are not complete and appropriate.	The organization has most or all documented fixed asset procedures and they are appropriate. They are either not known to staff and/or are not consistently adhered to.	The organization has complete and appropriate documented fixed asset procedures, updated as necessary, which are known and understood by staff and which are consistently adhered to, reviewed and updated.

Fixed Asset Control				
Sub-section Checklist	**Yes**	**No**	**NA**	**Comments/Quality Notes**
1. Is there a policy for inventory, maintenance, insurance, disposition and custody of non-expendable equipment?				
2. Is expendable/non-expendable equipment defined (non-expendable > determined value)?				
3. Is physical inventory conducted in compliance with policies and documented?				
4. Are inventory correctly organized/organizational requirements?				
5. Is there title and disposition statements for non-expendable equipment?				
6. Do you share equipment across projects? Is there a way of billing usage?				
7. Is a system for maintaining equipment in place? (describe)				

Branding and Marking (Optional)

Objective: The Objective of this sub-section is to assess the availability of and adherence to branding and marking procedures including adherence to donor requirements where applicable.
Resources: Branding/Marking Plan, staff Interviews, publications produced

OPTIONAL: Branding/Marking	**1**	**2**	**3**	**4**
	The organization has no documented branding/marking procedures.	The organization has some documented branding/marking policies but they are not complete and appropriate.	The organization has most or all documented branding/marking procedures and they are appropriate. They are either not known to staff and/or are not consistently adhered to.	The organization has complete and appropriate documented branding/marking procedures, updated as necessary, which are known and understood by staff and which are consistently adhered to, reviewed and updated.

Branding and Marking				
Sub-section Checklist	**Yes**	**No**	**NA**	**Comments/Quality Notes**
1. Are there written marking and branding policies per determined organizational policy?				
2. Is the branding strategy and/or marking plan compliant with any donor where required?				