



Organizational Capacity Assessment (OCA)
Facilitator Guide
Human Resources 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.

Human Resources Management

Objective: The objective of this section is to assess the organization's ability to maintain a satisfied and skilled workforce, manage operations and staff time, and implement quality programs by reviewing human resource management systems and processes.

Job Descriptions

Objective: The Objective of this sub-section is to review the organization's systems for developing, disseminating, following and updating job descriptions to ensure that staff roles and responsibilities are clearly defined and understood and that they remain relevant to the needs of the organization.

Resources: Sample job descriptions for each position or level in the organization (depending on size of org)

Job Descriptions	1	2	3	4
	The organization has no job/task descriptions for staff, volunteers, or interns.	The organization has job/task descriptions, but staff, volunteers and interns are not aware of or do not have copies of their job/task descriptions. Job descriptions do not include all key sections.	The organization has clear job/task descriptions; staff, volunteers and interns have copies or access to copies; job descriptions cover all key sections; but job/task descriptions are not respected/adhered to, reviewed or updated.	The organization has job/task descriptions that staff, volunteers and interns have copies of or access to; job descriptions have all key sections; they are respected/ adhered to, reviewed and updated. Both staff and the organization have job descriptions on file.

Job Descriptions				
Sub-section Checklist	Yes	No	NA	Comments/Quality Notes
1. Are there job descriptions for all positions in the organization, including volunteers and/or interns?				
2. Do the job descriptions include title, job duties/responsibilities, report to details, supervision responsibilities (if any), qualifications, skills required. (<i>review sample job descriptions</i>)				
3. Are the job descriptions filed in personnel files?				
4. Do staff, volunteers and interns have copies of their job descriptions?				
5. Does the organization have a process for updating job descriptions?				

Job Descriptions	
Score	Criteria
1	• Documentation: Organizations does not have job descriptions for each staff member

2	<ul style="list-style-type: none"> • Documentation: Job descriptions exist for each staff member. • Completeness: Some of the checklist items related to job descriptions are fulfilled • Staff Awareness: All staff, volunteers or interns do not have copies of their job descriptions or know where to find them
3	<ul style="list-style-type: none"> • Documentation: Job descriptions exist for each staff member • Completeness: Most or all of the checklist items related to job descriptions are fulfilled • Staff Awareness: All staff have copies of their job descriptions (or at least have reviewed copies and know where to find them or who to ask to receive them) • Application: Some or all staff do not adhere to their job descriptions or some staff do, or are asked to do, additional tasks or take on responsibilities that are not in their job description
4	<ul style="list-style-type: none"> • Documentation: Job descriptions exist for each staff member • Completeness: All of the checklist items related to job descriptions are fulfilled • Staff Awareness: All staff have copies of their job descriptions (or at least have reviewed copies and know where to find them or who to ask to receive them) • Application: The organization and the staff adhere to the job descriptions meaning they do and are asked to do what is listed in the job description • Up-Dating: There is a process for reviewing and updating job descriptions that can include annual updates when the workplan is reviewed, modifications if job responsibilities/tasks need to be added or changed due to structure or program changes.

Recruitment and Retention

Objective: The Objective of this sub-section is to assess the organization’s systems for recruiting and retaining staff. Organizations with strong recruitment and retention processes are able to identify, bring on and keep skilled staff members who work well in the organization. Strong recruitment and retention systems also improve program quality and reduce interruptions in program implementation.

Resources: Recruitment manual/guidelines or policy, Recruitment guidelines example, Outline of a complete personnel manual, Retention strategy or policy document

Recruitment and Retention	1	2	3	4
	Organization has no guidelines or consistent approach to recruitment and/or no approaches for retaining staff are in place.	Organization has basic guidelines for recruitment and hiring but they are not consistently applied or followed and HR staff have not been trained/oriented to apply them. And/or the organization has basic approaches for retaining staff, but does not conduct exit interviews, store information on leavers or	The organization has clear recruitment and hiring guidelines and the process is transparent; but the guidelines are not consistently applied. HR staff have not been trained/oriented to apply the guidelines. The organization has good approaches for retaining staff, conducts exit	The organization has clear recruitment guidelines and the process is transparent; the guidelines are consistently applied and HR staff have been trained/oriented to apply the guidelines. The organization has strong approaches for retaining staff that are reviewed and modified to ensure

		provide opportunities for career advancement	interviews, stores information on leavers and provides opportunities for career advancement.	effectiveness. Exit interviews are conducted and information on leavers is stored. Opportunities for career advancement are available.
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Recruitment and Retention				
Sub-section Checklist	Yes	No	NA	Comments/Quality Notes
1. Are there written recruitment procedures?				
2. Does the process for recruitment guidelines on announcing positions/advertising, collecting CVs, interviewing candidates, checking references and salary history, making offers, employment agreements and transparency.				
3. Has staff been trained to follow recruitment procedures?				
4. Are recruitment procedures always followed?				
5. Does the organization have approaches for retaining staff? (LIST)				
6. Does the organization keep data on leavers and conduct exit interviews?				
7. Does the organization review and update the retention approaches?				

Recruitment and Retention	
Score	Criteria
1	<ul style="list-style-type: none"> • Documentation: The organization does not have recruitment procedures or approaches for retaining staff.
2	<ul style="list-style-type: none"> • Documentation: The organization has basic recruitment procedures and/or approaches for retaining staff • Completeness: Some of the items in the checklist are addressed/available • Staff Competence: Staff have not been oriented or trained to implement recruitment and retention processes • Application: Processes are not consistently applied • Analysis: The organization does not have a process for collecting information on people who leave the organization and reasons for leaving.
3	<ul style="list-style-type: none"> • Documentation: The organization has clear recruitment procedures and approaches for retaining staff • Completeness: Most or all of the items in the checklist are addressed/available • Staff Competence: Staff have been oriented or trained to implement the recruitment and retention processes • Application: Processes are not consistently applied • Analysis: The organization collects information on people who leave the organization and their reason for leaving.
4	<ul style="list-style-type: none"> • Documentation: The organization has clear recruitment procedures and approaches for retaining staff • Completeness: All of the items in the checklist are addressed/available • Application: Staff have been oriented or trained to implement the recruitment and retention processes and processes are consistently applied

- **Analysis:** The organization collects information on people who leave the organization and their reason for leaving.

Staffing Levels

Objective: The Objective of this sub-section is to assess the organization's ability to function by reviewing its management of staffing – positions available, positions filled, vacancies – for any specific donor program and the organization as a whole, and assess processes for ensuring staffing levels are maintained at the level required for the organization to function effectively.

Resources: Staffing Plan and/or Organizational Diagram

Staffing Levels	1	2	3	4
	The organization has no formal staffing plan. Many key management and technical positions within the organization are unfilled, or filled by persons without the right qualifications or skills. Attrition is high or staff attendance problems severe.	The organization has a formal staffing plan and most key management, technical, administration and finance positions are filled with qualified and skilled staff and the organization's attrition rate and/or staff attendance problems are moderate.	The organization has a staffing plan and all key management and other positions (technical, admin, finance) within the organization are staffed with qualified and skilled persons and the organization's attrition rate and/or attendance problems are minimal.	All positions within the organization are staffed with qualified and skilled persons. When gaps exist they are minimal, recent and recruitment is active. No attendance problems exist. The organization has an approach to rapidly filling new positions in environments where staff turnover is high.

Staffing Levels				
Sub-section Checklist	Yes	No	NA	Comments/Quality Notes
1. Does the organization have documentation of positions and staffing status?				
2. Are all key positions in the organization filled or active recruitment is in process to fill minimal gaps?				
3. Does the organization have appropriate with skills in financial management, program management, monitoring and evaluation and key technical areas addressed by its program?				
4. Are other key positions in the organization currently filled or being actively recruited?				

Staffing Levels	
Score	Criteria
1	<ul style="list-style-type: none"> • Documentation: The organization has no documentation of positions or vacancies. • Completeness: None of the items on the checklist are completed • Sustainability: Staff attrition and/or attendance problems are severe and no system is in place for ensuring positions are quickly filled.
2	<ul style="list-style-type: none"> • Documentation: The organization has documentation of positions and some sort of data on positions filled and vacancies are available.

	<ul style="list-style-type: none"> • Completeness: Some of the items in the checklist are addressed/available • Allocation: Some, but not all, staff with the appropriate skills are allocated to the specific donor program to ensure financial management, program management, M&E, and key technical areas are addressed. Other staff in the organization are also appropriately allocated • Sustainability: Staff attrition and/or attendance problems are moderate.
3	<ul style="list-style-type: none"> • Documentation: The organization has documentation of positions and some sort of data on positions filled and vacancies are available. • Completeness: Most or all of the items in the checklist are addressed/available • Allocation: Staff with the appropriate skills are allocated to the specific donor program to ensure financial management, program management, M&E and key technical areas are addressed. Key positions in the organization are filled through gaps remain among other staff. • Sustainability: Staff attrition and/or attendance problems are minimal
4	<ul style="list-style-type: none"> • Documentation: The organization has documentation of positions and some sort of data on positions filled and vacancies are available. • Completeness: All of the items in the checklist are addressed/available • Allocation: Staff with the appropriate skills are allocated to the specific donor program to ensure financial management, program management, M&E, and key technical areas are addressed. All other staff in the organization are also appropriately allocated and positions filled. • Sustainability: Staff attrition is minimal and systems are in place to address staff turnover in settings where turnover is high. There are no attendance problems.

Personnel Policies

Objective: The Objective of this sub-section is to review the organization’s personnel policies to ensure that personnel policies are in place that key donor compliance issues with regard to personnel are addressed and that best practices regarding personnel policy management are adhered to.

Resources: Personnel Manual

Personnel Policies	1	2	3	4
	The organization has no personnel policy manual.	The organization has personnel policies that include either a drug free workplace policy, non-discrimination policies (for US organizations), or timekeeping policy. The policies may or may not correspond to the organization’s practice with regard to HR and they do not require signature	The organization has personnel policies which include a drug free workplace policy, non-discrimination policies (for US organizations) and timekeeping policy. The policies correspond with the organization’s practice with regard to HR, but they do not require signature statements and/or have	The organization has personnel policies which include a drug free workplace policy, non-discrimination policies (for US organizations) and timekeeping policy. The policies correspond with the organization’s practice with regard to HR. They require signature statements and have been disseminated to

		statements and have not been disseminated to all staff. There is no process for updating personnel policies and manuals	not been disseminated to all staff. There is no system for updating personnel policies and manuals.	all staff and are on file. There is a system for updating personnel policies and manuals.
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Personnel Policies				
Sub-section Checklist	Yes	No	NA	Comments/Quality Notes
1. Are the organization's Personnel Policies documented?				
2. Does the document include policies on: Recruitment and selection of staff, work schedule, employee compensation (salary) and benefits, leave, performance review, grievance and disciplinary procedures, ending employment (resignation, termination), administrative procedures, employee conduct.				
3. Is there a process for staff signing for the personnel manual and are these signatures recorded/filed?				
4. Is there a process for updating the personnel manual?				
5. Does the organization have any written workplace policies if required by various donors that meet any requirements and is signed by each staff member if required				
6. Does the organization have written policies about time keeping and timesheets that include who should fill them in, how often, how to fill them in/make corrections, who submitted to, who reviews, who signs and how they are filed?				

Personnel Policies	
Score	Criteria
1	<ul style="list-style-type: none"> • Documentation: Personnel policies and procedures are not documented • Completeness: None of the items in the checklist are available
2	<ul style="list-style-type: none"> • Documentation: Personnel policies and procedures are partially documented • Completeness: Some of the items on the checklist are available • Compliance: Existing items are not compliant with donor rules and regulations • Staff Awareness: Relevant staff are not aware of the policies, staff questionnaires suggest that few staff are aware of where to find the personnel policies
3	<ul style="list-style-type: none"> • Documentation: Personnel policies and procedures are documented • Completeness: Most or all of the items on the checklist are available • Compliance: Existing items are compliant with donor rules and regulations • Staff Awareness: Relevant staff know the policies exist • Application: An examination of documentation suggests that policies are not fully adhered to. Staff questionnaires suggest that most staff are aware of where to find the personnel policies
4	<ul style="list-style-type: none"> • Documentation: Personnel policies and procedures are documented

- **Completeness:** All items on the checklist are available
- **Compliance:** All items are compliant with donor rules and regulations
- **Staff Awareness:** Relevant staff know the policies exist
- **Application:** An examination of documentation suggests that policies are adhered to. Staff questionnaires suggest that all staff are aware of where to find the personnel policies.

Staff Time Management

Objective: The Objective of this sub-section is to assess if the organization actively uses timesheets for each staff member, that timekeeping practices meet donor requirements and that the organization has processes in place for reviewing timesheets and ensuring accuracy.

Resources: Staff Time Sheets, Work schedule policies, 2-3 staff files, Payment Vouchers

Staff Time Management	1	2	3	4
	The organization has no policy or system for documenting staff work hours.	The organization has a staff billing policy and timesheets but they do not meet demonstrate solid business practices: staff and supervisors have not been oriented to complete them properly; timesheets are not reviewed or signed by a supervisor.	The organization has a billing policy and timesheets that demonstrate solid business practices and/or conforms to donor requirements where applicable. Staff and supervisors have been oriented to complete them properly. Timesheets are reviewed and signed by a supervisor, but they are not always completed and submitted in a timely manner and payment is not based on the information included in the timesheets.	The organization has a billing policy and timesheets that demonstrates solid business practices and/or conforms to donor requirements where applicable. Staff and supervisors have been trained to complete them. Timesheets are reviewed and signed by a supervisor, they are completed and submitted in a timely manner, and payment corresponds to the information documented in the timesheets

Staff Time Management				
Sub-section Checklist	Yes	No	NA	Comments/Quality Notes
1. Does the organization have functional timesheets?				
2. Does the timesheet include a section for tracking paid time off (holiday, sickness, vacation, etc.)				
3. Does the timesheet breakdown time by project when needed for accounting?				
4. Do the timesheets conform to organizational policies				

5. Staff and supervisors have been oriented to complete timesheets correctly?				
6. Staff complete timesheets?				
7. If errors occur they are crossed out and initialed, no whiteout is used?				
8. Is there a person designated to review and sign each staff member's timesheet?				
9. Are timesheets signed and filed in personnel files?				

Staff Time Management	
Score	Criteria
1	<ul style="list-style-type: none"> • Documentation: The organization does not have timesheets • Completeness: Non of the items on the checklist have been available/addressed
2	<ul style="list-style-type: none"> • Documentation: The organization has timesheets • Completeness: Some of the items on the checklist are available/addressed • Compliance: Existing checklists and timekeeping practices are not donor compliant • Staff Awareness: Staff and supervisors have not been oriented to complete timesheets
3	<ul style="list-style-type: none"> • Documentation: The organization has timesheets • Completeness: Most or all of the items on the checklist are available/addressed • Compliance: Existing checklists and timekeeping practices are donor compliant • Staff Awareness: Staff and supervisors have been oriented to complete timesheets • Application: An examination of documentation suggests that timekeeping policies and procedures are not always adhered to and/or that billing is not linked to the timekeeping system
4	<ul style="list-style-type: none"> • Documentation: The organization has timesheets • Completeness: All of the items on the checklist are available/addressed • Compliance: Existing checklists and timekeeping practices are donor compliant • Staff Awareness: Staff and supervisors have been oriented to complete timesheets • Application: An examination of documentation suggests that timekeeping policies and procedures are adhered to and that billing is linked to the timekeeping system

Staff Professional and Salary History Documentation

Objective: The Objective of this sub-section is to review the organization's practices related to confirming and keeping record of staff professional and salary history. Keeping records helps ensure that the organization has needed information in case of legal disputes regarding staff and has documentation on site to submit for the purpose of proposals.

Resources: Staff CVs

Staff Professional and Salary History Documentation	1	2	3	4
	The organization does not keep staff and consultant CVs or salary history on file	The organization keeps staff and consultant CVs, but salary histories are not kept on record. Changes in staff work status (part/full	The organization keeps staff and consultant CVs and salary history on file but they are not used to check staff salary history.	The organization keeps staff CVs and these are up dated for records and proposal purposes. Staff salary histories are kept on

		time, maternity leave), salary and benefits are not kept on file.	Changes in staff work status are filed, but not up-to-date.	file and are used to check salary history. Changes in staff work status are filed and up-to-date.
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Staff Professional and Salary History Documentation				
Sub-section Checklist	Yes	No	NA	Comments/Quality Notes
1. Does the organization collect staff and consultant CVs and keep them on file?				
2. Are CVs updated for files and proposal purposes?				
3. Are CVs for staff and consultants collected used to verify past work experience and salary and update staffing forms for proposal purposes?				
4. Are changes in staff work status routinely filed in personnel files?				

Staff Professional and Salary History Documentation	
Score	Criteria
1	<ul style="list-style-type: none"> • Documentation: The organization does not keep staff and consultant CVs on file • Completeness: Non of the items on the checklist are available/addressed
2	<ul style="list-style-type: none"> • Documentation: The organization keeps staff and consultant CVs • Completeness: Some of the items on the checklist are available/addressed
3	<ul style="list-style-type: none"> • Documentation: The organization keeps staff CVs • Completeness: Some of the items on the checklist are available/addressed • Application: Changes in staff work status are filed but are not up-to-date
4	<ul style="list-style-type: none"> • Documentation: The organization keeps staff CVs • Completeness: All of the items on the checklist are available/addressed • Application: Changes in staff work status are filed and up to date

Staff Salaries and Benefits

Objective: The Objective of this sub-section is to review the organization's systems for setting and managing salaries and benefits.

Resources: Organization's salary grade and range, 2-3 personnel files representative of different levels

Staff Salaries and Benefits Policy	1	2	3	4
	The organization has no clear rationale for staff salaries, such as pay grade and range, benefits are not clearly documented in a policy manual and/or	The organization has a clear rationale for staff salaries, such as pay grade and range, but it is not consistently applied and is not reviewed and	The organization has a clear rationale for staff salaries, such as pay grade and range, and this is consistently applied to all staff but is not reviewed	The organization has a clear rationale for staff salaries, such as pay grade and range, that is consistently applied to all staff and is reviewed and

	are not equitably applied and/or do not conform to national labor requirements.	updated annually; benefits are clearly documented in a policy manual but are not equitably applied and/or do not conform to national labor requirements.	and updated annually; benefits are clearly documented in a policy manual, are equitably applied and conform to national labor requirements.	updated annually; pay increases follow the salary framework and or pay increase policy; benefits are clearly documented in a policy manual, are equitably applied and conform to national labor laws. Performance review and pay period are coordinated.
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Staff Salaries and Benefits				
Sub-section Checklist	Yes	No	NA	Comments/Quality Notes
1. Is there a documented pay grade and range?				
2. Is the pay grade and range applied to all staff?				
3. Do pay increases follow the salary grade and range framework?				
4. Is the pay grade and range updated annually?				
5. Are pay increases and performance review processes coordinated?				
6. Are employee benefits documented in the personnel manual?				
7. Are employee benefits equitably applied?				
8. Do employee benefits conform to national labor law requirements?				

Staff Salaries and Benefits	
Score	Criteria
1	<ul style="list-style-type: none"> • Documentation: The organization does not have a salary structure or documented benefits • Completeness: None of the items on the checklist are available/addressed
2	<ul style="list-style-type: none"> • Documentation: The organization has a salary structure and/or documented benefits • Completeness: Some of the items on the checklist are available/addressed • Application: Salary grade is not consistently applied or followed and/or benefits are not equitably applied.
3	<ul style="list-style-type: none"> • Documentation: The organization has a salary structure and/or documented benefits • Completeness: Most of the items on the checklist are available/addressed • Application: Salary grade is consistently applied or followed and benefits are equitably applied, but salary grade is not reviewed and updated annually
4	<ul style="list-style-type: none"> • Documentation: The organization has a salary structure and/or documented benefits • Completeness: All of the items on the checklist are available/addressed • Application: Salary grade consistently applied and followed and benefits are equitably applied; salary grade is reviewed and updated annually.

Staff Performance Management

Objective: The Objective of this sub-section is to review the organization's systems for staff performance management, including performance review processes and systems.

Resources: Examples of completed performance appraisal forms or, if not available, Example PA form

Staff Performance Management	1	2	3	4
	The organization has no process for regularly assessing staff performance including objective setting, listing of responsibilities/tasks and assessment of performance. Changes in staff work status are not kept on file.	The organization has a process for assessing staff performance, but it does not include objective setting, list of responsibilities/tasks, supervision or professional development. It is not participatory and follows an auditing approach rather than a supportive supervision approach. Changes in staff work status, salary and benefits are neither consistently filed nor up to date.	The organization has a process for assessing staff performance that includes objective setting, listing of responsibilities/tasks, assessment of performance on past activities, supervision and professional development. It is conducted as a participatory process, but is not regularly applied or not conducted for all staff. Changes in staff work status, salary and benefits are consistently filed and up to date	The organization has a process for assessing staff performance that includes objective setting, listing of responsibilities/tasks, assessment of performance on past activities, supervision and professional development. It is conducted for all staff at a minimum of once a year. Changes in staff work status, salary and benefits are consistently filed and up to date and available to staff.

Staff Performance Management				
Sub-section Checklist	Yes	No	NA	Comments/Quality Notes
1. Is there a documented process for assessing staff performance?				
2. Does the process include objective setting, listing of responsibilities/tasks for the review period, assessment of performance on past activities, supervision and professional development?				
3. Is the performance assessment process participatory, allowing both staff and supervisors to assess performance and discuss performance related issues?				
4. Are performance assessments carried out for all staff?				
5. Are performance assessments done regularly, at least once a year?				
6. Are performance assessments conducted for new staff at the conclusion of the probationary period?				

Staff Performance Management

Score	Criteria
1	<ul style="list-style-type: none"> • Documentation: The organization has no documented system for assessing staff performance
2	<ul style="list-style-type: none"> • Documentation: The organization has a documented system for assessing staff performance. Changes in staff work status are neither consistently filed nor up to date • Completeness: Some of the items on the checklist are available/addressed • Quality: The process does not include objective setting, listing responsibilities, supervision or professional development. Performance appraisal does not follow a supportive supervision approach
3	<ul style="list-style-type: none"> • Documentation: The organization has a documented system for assessing staff performance. Changes in staff work status are neither consistently filed and up to date • Completeness: Some of the items on the checklist are available/addressed • Quality: The process includes objective setting, listing responsibilities, supervision or professional development. Performance appraisal follows a supportive supervision approach • Application: Performance appraisal is applied for some, but not all staff, volunteers and interns at least once a year
4	<ul style="list-style-type: none"> • Documentation: The organization has a documented system for assessing staff performance. Changes in staff work status are neither consistently filed and up to date • Completeness: Some of the items on the checklist are available/addressed • Quality: The process includes objective setting, listing responsibilities, supervision or professional development. Performance appraisal does not follow a supportive supervision approach • Application: Performance appraisal is conducted for all staff, volunteers and interns a minimum of once a year. • Staff Awareness: Staff questionnaires indicate that staff have received feedback from supervisors in the last year.

Volunteers and Interns (Optional)

Objective: The Objective of this sub-section is to review the organization's systems for managing field and office-based volunteers and interns.

Resources: Volunteer/Intern policy, Examples of completed performance appraisal form

Volunteers/Interns	1	2	3	4
	There is no volunteer/intern policy and no selection process or management and supervision guidance for volunteer support.	There is a volunteer/intern policy which includes selection, supervision and support guidance. There are performance standards but volunteer orientation and training is not consistent and performance is not	Volunteers/interns are appropriately trained for the tasks they are assigned and performance is regularly reviewed; they are consistently supervised and provided feedback and turnover is moderate.	Volunteers/interns are appropriately trained for the tasks they are assigned and performance is regularly reviewed and they are consistently supervised. Feedback is provided and turnover is minimal, allowing them to make a

		regularly reviewed. Turnover is high.		significant contribution to the organization.
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Volunteers and Interns				
Sub-section Checklist	Yes	No	NA	Comments/Quality Notes
1. Is there a policy for recruiting, engaging and managing volunteers and interns?				
2. Are there performance standards for volunteers and interns?				
3. Are performance reviews conducted for volunteers and interns?				
4. Are training or orientation seminars provided to volunteers and interns?				

Volunteers and Interns	
Score	Criteria
1	<ul style="list-style-type: none"> • Documentation: The organization has no documented volunteer/intern policy • Completeness: Non of the checklist items are available/addressed
2	<ul style="list-style-type: none"> • Documentation: The organization has a documented volunteer/intern policy • Completeness: Some of the items on the checklist are available/addressed • Quality: Performance Standards exist for volunteers and/or interns • Staff competence: Training is not consistently available for volunteers and interns, and performance assessments are not conducted • Supervision: Volunteers and interns are not supervised on a regular basis • Sustainability: Turnover of volunteers and/or interns is high and affects program implementation
3	<ul style="list-style-type: none"> • Documentation: The organization has a documented volunteer/intern policy • Completeness: Most of the items on the checklist are available/addressed • Quality: Performance standards exist for volunteers and/or interns • Staff competence: Training is consistently available for volunteers and interns and performance assessments are conducted • Supervision: Supervision is provided on a regular basis and feedback offered • Sustainability: Turnover of volunteers and/or interns is moderate, but manageable
4	<ul style="list-style-type: none"> • Documentation: The organization has a documented volunteer/intern policy • Completeness: All of the items on the checklist are available/addressed • Quality: Performance standards exist for volunteers and/or interns. Volunteers and/or interns make a significant contribution to the program. • Staff competence: Training is consistently available for volunteers and interns, and performance assessments are conducted • Supervision: Supervision is provided on a regular basis and feedback offered • Sustainability: Turnover of volunteers and/or interns is minimal.