# COMPREHENSIVE ORGANIZATIONAL ASSESSMENT

# FOR LARGE SUB-PROJECTS

# Implementing partner self-ASSESSMENT FORM

## GENERAL AND CONTACT INFORMATION

|  |  |
| --- | --- |
| ORGANIZATION NAME: | Click or tap here to enter text. |
| FULL ADDRESS: | Click or tap here to enter text. |
| EMAIL: | Click or tap here to enter text. |
| FAX: | Click or tap here to enter text. |
| PHONE NUMBER: | Click or tap here to enter text. |
| CONTACT PERSON: | Click or tap here to enter text. |

## 1. LEGAL FRAMEWORK

|  |  |
| --- | --- |
| 1. The organization legally registered[[1]](#footnote-1) | Choose an item. |
| Date | Click or tap to enter a date. |
| Period of validity of the registration (if applicable) | Click or tap here to enter text. |
| Type of organization | Choose an item.  If other specify: Click or tap here to enter text. |
| Number of Staff | Click or tap here to enter text. |
| Parent/Subsidiary/Sister organizations | Click or tap here to enter text. |

|  |  |  |
| --- | --- | --- |
|  | | COMMENTS |
| 1. The organization’s operating procedures, tax payments[[2]](#footnote-2) and mission comply with current legislation | Choose an item. | Click or tap here to enter text. |
| 1. The organization has any legal actions against it. If yes, provide explanation. | Choose an item. | Click or tap here to enter text. |

## 2. GOVERNANCE

|  |  |  |
| --- | --- | --- |
|  | | COMMENTS |
| 1. The organization has a governance body | Choose an item. | Click or tap here to enter text. |
| 1. The governing body meets regularly | Choose an item. | Click or tap here to enter text. |
| 1. The governing body has a constitution clearly outlining the respective roles and responsibilities of the staff, management and governing body[[3]](#footnote-3) | Choose an item. | Click or tap here to enter text. |
| 1. The governance meetings have set agendas | Choose an item. | Click or tap here to enter text. |
| 1. The governance meetings are recorded accurately[[4]](#footnote-4) | Choose an item. | Click or tap here to enter text. |
| 1. Decisions are clearly communicated to those the governing body affects | Choose an item. | Click or tap here to enter text. |
| 1. The governing body consists of committed members who represent the varied interests of key stakeholders[[5]](#footnote-5) | Choose an item. | Click or tap here to enter text. |
| 1. The organization has a clear membership recruitment strategy[[6]](#footnote-6) | Choose an item. | Click or tap here to enter text. |

## 3. MISSION AND STRATEGY

|  |  |  |
| --- | --- | --- |
|  | | COMMENTS |
| 1. A clear strategic direction and mission exists that is understood by all in the organization[[7]](#footnote-7) | Choose an item. | Click or tap here to enter text. |
| 1. The organization activities reflect the mission statement and strategic plans | Choose an item. | Click or tap here to enter text. |
| 1. The organization has a gender policy and/or guidelines[[8]](#footnote-8) | Choose an item. | Click or tap here to enter text. |

## 4. PARTNERSHIP AND ADVOCACY

|  |  |  |
| --- | --- | --- |
|  | | COMMENTS |
| 1. The organization has substantive contacts within the Government, including authorities at the national and local levels | Choose an item. | Click or tap here to enter text. |
| 1. The organization participates in relevant Government planning processes | Choose an item. | Click or tap here to enter text. |
| 1. The organization works with international donors[[9]](#footnote-9) | Choose an item. | Click or tap here to enter text. |
| 1. The organization works with local communities[[10]](#footnote-10) | Choose an item. | Click or tap here to enter text. |
| 1. The organization is an active participant in coalitions/networks[[11]](#footnote-11) | Choose an item. | Click or tap here to enter text. |
| 1. The organization has a communication strategy[[12]](#footnote-12) | Choose an item. | Click or tap here to enter text. |
| 1. The organization works with media | Choose an item. | Click or tap here to enter text. |
| 1. The organization carries out research on advocacy issues | Choose an item. | Click or tap here to enter text. |
| 1. The organization has a publication policy | Choose an item. | Click or tap here to enter text. |

## 5. STRUCTURE

|  |  |  |
| --- | --- | --- |
|  | | COMMENTS |
| 1. The organization has a functional organizational structure[[13]](#footnote-13) | Choose an item. | Click or tap here to enter text. |
| 1. Roles and responsibilities of all positions in the organizational structure are clearly defined | Choose an item. | Click or tap here to enter text. |
| 1. Decision-making and/or advisory mechanisms are clearly defined[[14]](#footnote-14) | Choose an item. | Click or tap here to enter text. |
| 1. The organization has systems of mutual accountability (e.g. petty cash not handled by Finance Manager, Finance Manager reports to CEO, CEO reports to Board, etc.) | Choose an item. | Click or tap here to enter text. |
| 1. The organization has clear administrative and operating procedures[[15]](#footnote-15) | Choose an item. | Click or tap here to enter text. |

## 6. ETHICS AND PROFESSIONALISM

|  |  |  |
| --- | --- | --- |
|  | | COMMENTS |
| 1. The organization has a Code of Ethics/Professional Conduct in line with international standards[[16]](#footnote-16) | Choose an item. | Click or tap here to enter text. |
| 1. All employees are familiar with the Code of Ethics and/or Standards of Professional Conduct of the organization | Choose an item. | Click or tap here to enter text. |
| 1. Breaches related to the Code of Ethics and/or Standards of Professional Conduct have been sanctioned over the past three years. If yes, provide explanation. | Choose an item. | Click or tap here to enter text. |

## 7. STAFFING

|  |  |  |
| --- | --- | --- |
|  | | COMMENTS |
| 1. The organization has clearly articulated personnel policies which comply with statutory labour regulations[[17]](#footnote-17) | Choose an item. | Click or tap here to enter text. |
| 1. Job descriptions are clearly written for each position[[18]](#footnote-18) | Choose an item. | Click or tap here to enter text. |
| 1. The organization has performance management systems in place | Choose an item. | Click or tap here to enter text. |
| 1. The organization implements a human resources development plan | Choose an item. | Click or tap here to enter text. |
| 1. The organization has sufficient staff to carry out its technical work effectively | Choose an item. | Click or tap here to enter text. |
| 1. The organization has sufficient staff to carry out its administrative and finance work effectively | Choose an item. | Click or tap here to enter text. |
| 1. Staff are familiar with international standards and procedures | Choose an item. | Click or tap here to enter text. |
| 1. Salaries and allowances are clearly structured | Choose an item. | Click or tap here to enter text. |
| 1. The organization has recruitment policies based on equal opportunities and non-discrimination[[19]](#footnote-19) | Choose an item. | Click or tap here to enter text. |
| 1. Are there vacancies in key positions? | Choose an item. | Click or tap here to enter text. |
| 1. There has been significant staff turnover in the last five years   (e.g. more than 50% of staff has varied in the last 5 years) | Choose an item. | Click or tap here to enter text. |
| 1. The organization has comprehensive insurance for its human and material assets[[20]](#footnote-20) | Choose an item. | Click or tap here to enter text. |

## 8. INFORMATION SYSTEMS

|  |  |  |
| --- | --- | --- |
|  | | COMMENTS |
| 1. The organization has a computerized financial management system | Choose an item. | Click or tap here to enter text. |
| 1. The organization has systems to collect, analyse and manage information | Choose an item. | Click or tap here to enter text. |
| 1. The organization has a shared directory with logical filing for all work to be stored | Choose an item. | Click or tap here to enter text. |
| 1. Electronic data is backed up regularly and stored | Choose an item. | Click or tap here to enter text. |
| 1. The organization has a procedure to manage and ensure the protection of personal data[[21]](#footnote-21) | Choose an item. | Click or tap here to enter text. |
| 1. The organization has an IT Manager | Choose an item. | Click or tap here to enter text. |

## 9. FINANCIAL MANAGEMENT

|  |  |  |
| --- | --- | --- |
|  | | COMMENTS |
| 1. Annual budgets and projections exist and are utilized | Choose an item. | Click or tap here to enter text. |
| 1. The organization can easily receive and transfer funds | Choose an item. | Click or tap here to enter text. |
| 1. An accounting system is in place recording all financial transactions | Choose an item. | Click or tap here to enter text. |
| 1. Accounting categories exist and are utilised for separating project funds | Choose an item. | Click or tap here to enter text. |
| 1. Accurate accounting records exist and are retained for audits purposes[[22]](#footnote-22) | Choose an item. | Click or tap here to enter text. |
| 1. Internal checks and balances are followed | Choose an item. | Click or tap here to enter text. |
| 1. The organization has invoice processing procedures[[23]](#footnote-23) | Choose an item. | Click or tap here to enter text. |
| 1. The organization conducts internal audits on a regular basis[[24]](#footnote-24) | Choose an item. | Click or tap here to enter text. |
| 1. The organization prepares accurate and timely financial reports | Choose an item. | Click or tap here to enter text. |
| 1. The organization commissions a registered firm of external auditors to conduct regular financial audits[[25]](#footnote-25) | Choose an item. | Click or tap here to enter text. |
| 1. Major accountability issues were brought out in audit reports over the past three years | Choose an item. | Click or tap here to enter text. |

## 10. PROCUREMENT

|  |  |  |
| --- | --- | --- |
|  | | COMMENTS |
| 1. The organization has written procurement policies and procedures[[26]](#footnote-26) | Choose an item. | Click or tap here to enter text. |
| 1. The organization follows acceptable international procurement standards and principles | Choose an item. | Click or tap here to enter text. |
| 1. The organization has undertaken a procurement exercise with an international donor in the past[[27]](#footnote-27) | Choose an item. | Click or tap here to enter text. |
| 1. The organization has a procurement committee for review and approval of contracts | Choose an item. | Click or tap here to enter text. |
| 1. The organization has standard bidding documents and contracts | Choose an item. | Click or tap here to enter text. |
| 1. The organization has an asset management system and procedures[[28]](#footnote-28) | Choose an item. | Click or tap here to enter text. |
| 1. The organization has periodic physical inventories of fixed assets and stocks | Choose an item. | Click or tap here to enter text. |
| 1. Indicate the number of procurement actions performed over the past two years and the corresponding total value. | Click or tap here to enter text. | Click or tap here to enter text. |

## 11. REPORTING AND MONITORING

|  |  |  |
| --- | --- | --- |
|  |  | COMMENTS |
| 1. The organization produces reports comparing actual expenditures with budgeted and programmed allocations[[29]](#footnote-29) | Choose an item. | Click or tap here to enter text. |
| 1. The organization has internal monitoring and quality management systems[[30]](#footnote-30) | Choose an item. | Click or tap here to enter text. |
| 1. The organization reporting system has the capacity to link financial information with the workplan’s physical progress | Choose an item. | Click or tap here to enter text. |
| 1. The organization has procedures to sub-grant implementation to external partners[[31]](#footnote-31) | Choose an item. | Click or tap here to enter text. |
| 1. The organization has the necessary reporting and monitoring mechanisms to track the use of funds by external partners | Choose an item. | Click or tap here to enter text. |
| 1. The organization has a Monitoring and Evaluation Officer | Choose an item. | Click or tap here to enter text. |

## 12. SUSTAINABILITY

|  |  |  |
| --- | --- | --- |
|  | | COMMENTS |
| 1. The organization has a clear strategy to allow local partners to take increased responsibility for the programme | Choose an item. | Click or tap here to enter text. |
| 1. The organization ensures that local level skills transfer takes place | Choose an item. | Click or tap here to enter text. |

## 13. EXPERIENCE IMPLEMENTING ACTIVITIES SPONSORED BY INTERNATIONAL DONORS

|  |  |
| --- | --- |
| DONOR | DESCRIPTION |
| Click or tap here to enter text. | Click or tap here to enter text. |
| Click or tap here to enter text. | Click or tap here to enter text. |
| Click or tap here to enter text. | Click or tap here to enter text. |
| Click or tap here to enter text. | Click or tap here to enter text. |
| Click or tap here to enter text. | Click or tap here to enter text. |

1. **APPLICABLE SUPPORT MATERIALS** (Check boxes for materials that are provided with this form)

Legal registration documentation

Constitution

Governance meetings minutes/records

List of governing body members

Membership recruitment strategy

Mission statement and strategic plan

Gender policy/guidelines

List of international donors

Examples of work with local communities

Examples of coalitions/networks

Communication strategy

Tax Payment Certificate

Organization Chart

Example of decision-making and/or advisory mechanisms

Administrative and operating procedures

Code of ethics/professional conduct

Personnel policies

Example of job descriptions

Recruitment policies

Insurance documentation

Example of internal audit documentation

Example of external audit documentation

Procurement policies and procedures

Example of procurement undertaken for an international donor

Asset management system and procedures

Reporting (narrative and financial) examples

Example of internal monitoring and quality management systems

Procedures to sub-grant implementation to external partners

1. Provide “Legal Registration Documentation” as supporting material. [↑](#footnote-ref-1)
2. Provide “Tax Payment Certificate” as supporting material.  [↑](#footnote-ref-2)
3. Provide “Constitution” as supporting material. [↑](#footnote-ref-3)
4. Provide “Governance Meetings Minutes/Records” as supporting material. [↑](#footnote-ref-4)
5. Provide “List of Governing Body Members” as supporting material. [↑](#footnote-ref-5)
6. Provide “Membership Recruitment Strategy” as supporting material. [↑](#footnote-ref-6)
7. Provide “Mission Statement and Strategic Plan” as supporting material. [↑](#footnote-ref-7)
8. Provide “Gender Policy/Guidelines” as supporting material. [↑](#footnote-ref-8)
9. Provide “List of International Donors” as supporting materials. [↑](#footnote-ref-9)
10. Provide “Examples of Work with Local Communities” as supporting material. [↑](#footnote-ref-10)
11. Provide “Examples of Coalitions/Networks” as supporting material. [↑](#footnote-ref-11)
12. Provide “Communication Strategy” as supporting material. [↑](#footnote-ref-12)
13. Provide “Organization Chart” as supporting material. [↑](#footnote-ref-13)
14. Provide “Example of Decision-making and/or Advisory Mechanisms” as supporting material. [↑](#footnote-ref-14)
15. Provide “Administrative and Operating Procedures” as supporting material. [↑](#footnote-ref-15)
16. Provide “Code of Ethics/ Professional Conduct” as supporting material. [↑](#footnote-ref-16)
17. Provide “Personnel Policies” as supporting material. [↑](#footnote-ref-17)
18. Provide “Example of Job Descriptions” as supporting material. [↑](#footnote-ref-18)
19. Provide “Recruitment Policies” as supporting material. [↑](#footnote-ref-19)
20. Provide “Insurance Documentation” as supporting material. [↑](#footnote-ref-20)
21. Provide relevant supporting material. [↑](#footnote-ref-21)
22. Provide “Administrative and Operating Procedures” as supporting material. [↑](#footnote-ref-22)
23. Provide “Administrative and Operating Procedures” as supporting material. [↑](#footnote-ref-23)
24. Provide “example of Internal Audit Documentation” as supporting material. [↑](#footnote-ref-24)
25. Provide “example of External Audit Documentation” as supporting material. [↑](#footnote-ref-25)
26. Provide “Procurement Policies and Procedures” as supporting material. [↑](#footnote-ref-26)
27. Provide “Example of Procurement undertaken for an International Donor” as supporting material. [↑](#footnote-ref-27)
28. Provide “Assets Management System and Procedures” as supporting material. [↑](#footnote-ref-28)
29. Provide “Reporting (narrative and financial) Examples” as supporting materials. [↑](#footnote-ref-29)
30. Provide “Example of Internal Monitoring and Quality Management Systems” as supporting material. [↑](#footnote-ref-30)
31. Provide “Procedures to Sub-Grant Implementation to External Partners” as supporting material. [↑](#footnote-ref-31)