# 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)