

Organizational Assessment Matrix Attachment: Examples of rating level criteria

A. Overall Administration

	Emerging	Developing	Consolidating	Sustaining
BOARD	No board or independent body providing oversight. No differentiation between oversight and management roles. No one is assisting management to connect with and influence public opinion and legislators or raise funds for the organization.	Board or independent body identified but not yet playing leadership role. Not serving to influence public opinion or legislators and could be attempting to micro-manage organization rather than provide oversight. Still not properly aware of the role it should play.	Board membership stable, or improving. Differentiating between its role and that of management. Has some members who are leaders in the field and have capability in some of the functional areas required but some functions still not performed. Aware of responsibilities in relation to providing oversight and constituency representation.	Board composition includes leaders in the field of organization's mission, as well as those capable of carrying out key roles of provision of policy direction, fund raising, public relations and lobbying. Have systems in place for obtaining appropriate input from constituency and for monitoring organizational planning and functioning in relation to policy direction.
MISSION	There is a very vague idea of the mission of the organization. Only a few people at either the senior management or board level hold this idea. There may be activities conducted by members of the organization which seem to have little relationship to the mission.	The mission may be clarified internally, but is not widely known by the public. Staff may perform functions that support the mission, but there is not systematic annual planning or design of job functions based on the mission and the strategies to achieve it.	The mission is clear to staff, constituents, and outsiders. Strategies and objectives are in alignment with them. Operational planning may be conducted by senior management and linked to the budgeting process, but with little input from staff or constituents.	The vision of the future and how the organization will achieve that vision are clear to staff, constituents, and outsiders. The strategies are in alignment with the mission and take the form of statements as to how it will be achieved.
CONSTITUENCY	Links with the community are weak. The community is viewed by the organization as worthy, but passive beneficiaries of the services or benefits being provided, rather than potential partners. The idea of serving as an advocate for the community may be lacking.	Outreach to the community is improving, but primarily on an ad hoc basis. Certain influential members of the community may be consulted or invited to participate in some decision. There is some awareness of the possible role of the organization as an advocate for the community and the need for legislative/institutional support.	Well defined community base and needs and views of the community are considered in planning and decision -making. Organization involved in lobbying and other advocacy functions on behalf of the community if those are selected strategic directions.	Well defined community base regularly involved in review of the organization's mission and strategies. Recognition of community as partners, and support to the institutionalization of community structures and capacities in planning and decision-making. Regular survey of community needs with results integrated into planning process. Full scale advocacy and lobbying functions if they are strategic directions the organization has selected.
PLANNING	Planning is ad hoc, incremental and centralized with limited participation from staff and community. Decisions made and events planned without reference to the mission of the Organization or agreed upon strategies to achieve the mission. There may be little assessment of the resources required to conduct the activities. Only a few people may make all the decisions and plan activities with little explanation to those responsible for implementation.	Annual operating plans are developed and reviewed primarily by senior staff with connection to the review of the previous year, analysis of resources available or environmental factors. There is little community and staff input or review of job functions in relation to the annual plans.	There is strategic planning structured around the mission and short-term operating planning conducted primarily by senior management, including review of the previous year's achievements and analysis of resources available. There may be some input from organizational unit staff and community, but they are not involved in decision-making. There is some organizational unit-wide review of work achieved against objectives.	There is a review of the previous year's achievements and analysis of resources available based on the mission statement, strategic, and program objectives. Each organizational unit/team has annual operating plans in alignment with the organization's mission and strategies. The plans were developed with input of staff and constituents. There is a regular review of long-term plans based on comprehensive environmental scan and baseline impact reviews.
ADMINISTRATION	Some informal ways exist for getting things done, but they may not be complete or mutually understood. They are not yet formalized and documented.	Administrative procedures increasingly formalized. Filing, document flow, and recording systems utilized, but not comprehensively. No manual of administrative procedures.	Administrative systems developed and functioning. Administrative manual in place although only updated as needed.	Administrative manual reviewed as part of regular, strategic review process and updated as needed. Addressable, flexible, and utilized by all and considered the arbiter of procedures.

PROGRAM	Program development largely donor or staff-driven and funded and managed on a project-by-project basis. There is either no systematic method for designing, implementing, monitoring, and evaluating the impact of project activities or the system used is that of the donor. Often the system of the donor is imperfectly understood and administered both incompletely and incorrectly. Procedures are developed on an ad hoc basis. Staff and constituents may identify a variety of procedures that are unsatisfactory, but no system exist to take note of problems or suggestions and develop procedures to change or change them.	Individual projects developed within an overall programmatic framework. Occasional evaluations conducted, but usually at the request of donors and implemented by outsiders. Still no comprehensive system for determining the purpose and objectives of programs, monitoring the actual implementation against planned activities, and measuring the real achievement and impact of the program. Attempts made to develop/improve procedures on basis of complaints/suggestions, but not a systematic collection and utilization of such information.	Particular program approach and comprehensive system utilized. Sometimes this may be the system utilized by the donor or it may be a system developed by the Organization itself. Either way it provides type and form of information required by donor. Monitoring and evaluation conducted by staff. Constituent consulted on program design and mobilized for implementation and evaluation. Regular review and modification of procedures made utilizing staff and external expert input. Procedures in manuals and introduced in orientating/training sessions.	Full integration of monitoring and evaluation system data into monitoring of key indicators and evaluation of impact. Lessons learned from consideration of this information applied to future activities. External (Donor/Constituent) and internal (staff) customer surveys conducted to determine procedural modification requirements. Staff continuously seeking best practices and allowed time and opportunity to make improvements.
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B. Relations and Capability for Impact

	Emerging	Developing	Consolidating	Sustaining
LEGAL STATUS	The Organization is not legally registered and has not obtained whatever fiduciary and taxation status that local law provides for. Management has not identified affordable and qualified sources of legal, financial and labor management advice.	The Organization is registered as an Organization but not properly integrating expert financial and legal advice into planning and management decisions. Not in compliance with some reporting and labor requirements.	Expert advice is integrated into planning and management systems and the Organization is generally in compliance with reporting, tax and labor requirements.	Expert advice is fully integrated into management decisions and Organization is full in compliance with reporting, tax and labor requirements. Organization delivers services to assist constituency institutions obtain same legal status and compliance capacity.
SECTORAL EXPERTISE	Organization has limited track record in sector and area of service delivery but some good ideas about how to meet needs of target community/constituencies. It has little operational experience however and no specialization in the sector.	Improved targeting and redefined service/technical assistance package. Growing expertise in technical area and ability to access additional expertise in that area when required.	Client base well defined and well reached. Efficient delivery of appropriate services. Fee for service and other cost recovery mechanisms being built in to service delivery process. Organization being recognized as having significant expertise in technical area and being invited to contribute to these areas.	Organization is able to adapt program and other service delivery capacities to changing needs of constituency and to deliver services to additional communities/constituencies. Full recognition as experts in technical area and given consultative status in those sectors by government and other multi-sectoral organizations.
IMPACT ASSESSMENT	Organization does not systematically monitor or evaluate program/project achievements against projected or planned activities. It does not measure overall impact and has not determined impact indicators or established baseline measures of indicators.	Individual projects evaluated to determine if projected activities took place as planned and if specific project objectives were achieved. These objectives may or may not be measurable.	The Organization is aware of the issue of program sustainability and is exploring how to measure impact. There are no overall impact indicators selected and no baseline data available or accessed to provide basis of comparison.	Measurable indicators of success and impact have been determined. Studies are conducted or accessed which provide baseline measures. This information is regularly re-measured.

INFORMATION TECHNOLOGY	Organization has little use of computers in processing information. There may or may not be computers, printers, or a fax. Non IT staff are relied upon for sporadic assistance with technology -- Establish Internet connection; Email; Calendar software; Creating forms (document templates); and dialog with service provider regarding email accounts	Organization has 1 – 15 computers, stand alone or in a network. Some, not all staff, uses email and the internet. Volunteers/consultants provide IT needs. Select staff members have the “de-facto” responsibility for the computers. Organization may have a simple website developed, networking computers internally, common workspace (shared drive, address books...), upgrade Internet (from modem to DSL) and streamlining office work using computers	Organization utilizes shrink-wrap software and beginning to deliberate on automating processes within the organization. There exists its own email domain (email addresses for staff members). 15 – 50 computers are present and in a LAN, Sysadmin on staff, with primary responsibility to maintain computer systems (infrastructure). Website established with frequent updates, maintained by Volunteers or Consultants -- Researching and procuring software: Automating timesheets, Fundraising, Clinical Charts, Volunteers, and Statistics. Creating staff positions to handle IT needs, expanding web-based communications (internally)	Organization may have an IT department comprised of System Administrator, Network Administrator, DBAs, trainers and troubleshooters. A professional website is maintained at ISP or ASP with dynamic functionality (fundraising, discussion groups, etc.) Organization has its own servers/outsource to ASP, but have transparency. 50+ computers in LAN or WAN (or equivalent) -- Creating IS function at management level; Designing/developing own software; Expanding web-based communication externally and internally; and Helping create collaborative networks of shared systems. Outsourcing maintenance to service providers.
PUBLIC RELATIONS	Organization is little known outside the range of its direct collaborators. There is not a clear image of the Organization articulated and presented to the public. There is no document or prepared statement available which provides information about the Organization.	Organization is known in its own community, but does little to promote its activities in general public and with key decision-makers. There is the understanding that public relations is a management function of an Organization but very little understanding of how to conduct P.R.	Organization has limited contact with key decision-makers and has limited lines of communication with public. Organization has clear idea of intent and statement of purpose but has not yet developed this in to full and regularly updated policy platform.	Organization has clear image and message of intent or purpose as well as policy platform. Its work is well known to public and policy makers and it is able to use this to attract support when necessary. Able to engage decision-makers in dialogue on policy and has specific Board and staff members serving this function.
CONSTITUENCY RELATIONS	Relationship between Organization and community /constituency is that of superior to passive beneficiary. The agenda of the Organization is largely donor or management driven.	Organization is viewed as ally or protector of constituency. Significant credibility is built with target community and with donors interested in same program areas.	Constituency input is solicited for key decisions. Organization’s efforts viewed as services provided to the community/constituency. Community/constituency is seen as client of Organization services with increasing responsibility for providing counterpart resources.	Organization seen as valuable resource by community/constituents. Constituency’s input is integrated into most management considerations. Relationship between Organization and community/constituency is that of full partnership serving common purpose.
GOVERNMENT COLLABORATION	Relations with government is based on a “we”, “they” or even inimical perception. There is little collaboration or even joint planning with sectors of government working in the same sectors or geographic areas. Little understanding of the advocacy or lobbying.	Government is no longer seen as “they” and common interests have been identified. Relations are friendly. Collaboration established with different government groups/projects around specific areas/sectors of activity.	Collaboration is frequent, often on informal level in addition to specific project or sectoral collaboration or contracts that Organization performs for government. Relations are friendly.	Organization seen as full and credible partner by government. Formal mechanisms, such as government relations officers, consultative status, and lobbying procedures, exist for collaboration and are often used. Organization provides input into policy process on related issues.
ORGANIZATION COLLABORATION	Organization does not have experience working with other organizations, either local or national. It is not known or trusted by other organizations. Does not try to plan or deliver services in collaboration with other organizations or see the value of such collaboration.	Organization increasingly known and trusted by other organizations but with little experience with collaboration.	Organization works with national or local organizations and participates in Organization networks but has not played a leadership role in promoting organization coalitions and projects.	Organization plays leadership role in promoting coalitions on projects and in the sponsorship and participation in a formal association of Organizations. Can help resolve Org - Org or Org -Govt. conflict. Is fully integrated into organization community with formalized group lobbying mechanisms.

LOCAL RESOURCES	Organization tends to view the private sector as the other and even with suspicion and distrust. It does not work in cooperation with any part of the private sector to draw on human or other resources, technical expertise or leverage. Organization programming has no relationship with local sources of credit or revenue.	Beginnings of local volunteer support. Organization seeks technical assistance from some private sector and government resources. Organization purchases goods and services from private sector and seeks support from service agencies.	Organization draws support from local credit and government agencies but sustaining project results depends on continued support from the Organization and/or external donors. Private sector individuals recruited to serve on Board.	Organization's projects precipitate support from local agencies as contributions to project results and for sustaining the results. Staff member serves as development officer and is fully conversant with private sector donor opportunities. Private sector/Non-Private Sector collaboration is the norm. Organization is fully integrated as community partner.
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C. Formalized Financial and Leadership Structure

	Emerging	Developing	Consolidating	Sustaining
LEADERSHIP	Within the organization there are a few dynamic individuals controlling most functions. Staff provide technical input primarily and are often guided to understand work requirements on through instruction from management. Often this guidance is not accompanied by a clear articulation of the organization's purpose or clarification of the relationship between the individual's contribution and the purpose.	Most decisions are taken by the board and Executive Director. Some input from a few staff members. Little general understanding of management decision making by most staff. Leadership is seen primarily as controlling people to do right through administration of rules/procedures rather than through provision of meaning and direction of employees and the monitoring of staff performance.	Senior management relationship to staff is more consultative and management decision making increasingly delegated to unit managers. Basis of decision-making increasingly understood by all, but staff are not systematically involved as working partners. Leadership provides overall direction and monitors performance of different organizational units.	Board and senior management has a clear understanding of roles and responsibilities which includes articulating a clear vision of the goals of the organization and making this meaningful to staff. Delegation and transparency characterize senior management decision-making. Staff appropriately involved in direction and policy development and not just consulted on occasion.
ACCOUNTING	Financial procedures are incomplete. Financial reports are incomplete and difficult to understand. Organization needs to be prodded to produce them.	Financial reports are clearer but still incomplete and with errors. Usually timely, basic financial recording system in place.	Financial reports are clear and complete, even as portfolio becomes more complex.	Reports and data system can quickly provide a sense of financial health. Reports are always timely and trusted and feed back into financial planning process.
BUDGETING	Budgets are inadequate or if they do exist are produced because required by donors. Their use as a management tool is not understood.	Budgets are developed for project activities, but are often over or under spent by more than 20%. The executive director or accountant is the only staff who knows and understands budget information.	Total expenditure is usually within 20% of budget, but actual activity often diverges from budget projections. Department and organizational unit heads are consulted by financial manager(s) about budget planning and expenditures.	Budgets are integral part of project management and organizational unit management, and are adjusted as project implementation warrants. Budgeting process is integrated with annual operating planning process. Organizational unit senior staff is responsible for preparation, justification and management of unit/project budgets.
FINANCIAL CONTROL	No clear procedures exist for handling payables and receivables. Stock control is non-existent.	Financial controls exist but lack systematic office procedure.	Improved financial and stock control systems exist.	Excellent stock and cash controls for payables and receivables.

D. Crystallized Staff Structure

	Emerging	Developing	Consolidating	Sustaining
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STAFF ROLES	There is no particular process to determine relationship between the Organization's purpose and objectives, the work that needs to be done to achieve them, and the type and number of human resources required. The roles of existing staff and the assignment are unclear and changeable. Limited staff fulfill responsibilities beyond their expertise. Some essential tasks are not regularly carried out by anyone. There is no documentation of work assignment.	More specific alignment of responsibilities and tasks by senior staff. No comprehensive analysis of full work requirements or review of job functions in relation to strategic or operational plans. Some gaps exist between skill requirements and those of staff. Job descriptions do exist usually based on supervisor's idea of work to be performed.	Jobs well defined and documented in regularly updated job descriptions. All core skill requirements to perform these functions are known and covered by staff. Some human resource planning does take place, but still not integrated with performance management and strategic planning processes.	Organization-wide analysis of work requirements conducted and regularly reviewed/updated. Update is linked to planning priorities. There is a clear relationship between the current objectives of the Organization and the functions to be performed by staff - basis for work design and assignment. All skill areas covered and capacity exists to contract out for other needed skills. Performance is monitored. Decisions regarding training and promotion are based on needs identified in HR plan.
WORK ORGANIZATION	No understanding of necessity to organize work beyond issuing of directives. No systems in place to coordinate work activities of different staff. Little understanding of need or what it means to work as a team.	Work organized by supervisors. Little attention paid to work flow or consciously organizing work beyond work plans. Individual, unit or project work plan developed, but not coordinated across functions.	A variety of work methods are utilized. Staff is recognized as being able to make useful suggestions about how their own work should be organized. Teamwork encouraged and work plans shared across units and work sites.	Teams are self-directed in that they organize own work around clear understanding of organization mission and strategies. They are skilled in, and appropriately use, a variety of techniques and methods. There is a formal mechanism in place for inter-team linkages and cross-team planning, coordination and work review.
COMMUNICATIONS	Meetings irregular, dominated by interests of few, do not have pre-determined purpose and agenda, and do not reach concrete conclusion. Staff provides technical input only and are not involved or informed of decisions. No formally recognized lines or mechanisms for intra Organization Communication.	Regular meetings of staff are conducted according to known procedure. Select staff consulted on some decisions. Intra-Organization communication conducted on informal basis. Management is aware that communication breakdowns and overlaps occur.	Communications are open and inter-hierarchical. Staff knows how to participate in meetings and is aware how decisions are made. Mechanisms exist for vertical and horizontal communication and link organizational unit/project structures.	Staff increasingly able to shape the way in which they participate in management. Community/constituents are surveyed for input to management decisions that directly impact them. Double-loop decision-making and planning information-gathering processes are well utilized.

E. Financial responsibility and Funding Diversification

	Emerging	Developing	Consolidating	Sustaining
AUDIT	Audits are not performed.	External audits are only rarely performed.	External audits are performed frequently, but periodically.	External audits are performed with a regular and appropriate frequency.
FUND MANAGEMENT	There is no categorization of accounts and project and operating funds are not separated.	Account categories exist and project funds are separated, but some temporary cross-project financing may occur.	Standard procedure is to avoid cross-project financing and most funds are separated.	All project funds are separated and adequate controls exist to avoid cross-project financing.
RESOURCE BASE	Funds solicited for one short-term project at a time and only come from one source. Little understanding exists of the need for the Organization to eventually become self-supporting financially and local fund-raising for any income is untried or unsuccessful. Program funding is insufficient to meet plans or provide projected services.	Organization can prepare multi-year program budget but still dependent on single or limited donors. Developing awareness of local resource generation possibilities but few funds actually mobilized. Funding is available to cover short-term project costs.	No single source of funding provides more than 60% of funding. Developing a business/funding planning process within the Organization and significant percentage of core costs covered by locally generated revenue (membership dues, fees, regular fund-raising, etc.). Funding is available for short-term costs and medium-term funding strategies exist within business/funding plan.	No single source provides more than 40% of funding. Long-term business/funding plan exists that will result in Organization becoming sufficiently self-supporting so as to be able to continue basic operations if external funding is cut back. All projects have long-term funding plans and current funds are adequate to meet needs of management plan. Basic program delivery can continue even if there is a shortfall in funding that is not self-generated.

F. Employee Management

	Emerging	Developing	Consolidating	Sustaining
PERFORMANCE MANAGEMENT	No assessment of performance conducted and therefore no planning done and carried out to change or improve the performance of individuals through better work planning, training, development and promotion. There is no understanding of the relationship	Staff evaluation system may exist but not necessarily based on performance of job requirements as documented in job description. Better match between staff position and skill requirements needed. Resources identified for ad hoc training.	Performance based appraisal system in place and staff assigned and promoted according to performance. Staff development needs assessed and training plan exists.	Performance management system functioning to meet needs of human resource plan. Training plans regularly updated according to performance improvement and career development needs of individual and human resource
SALARY ADMINISTRATION	No mutually understood system of salary and benefits. Jobs are not classified internally or given comparative value in relation to each other. Salaries are also not determined on the basis of the market value of the work done or the relative levels of performance of individuals or teams.	Salary and benefit system rewards staff according to perceived position in internal hierarchy. Salaries not necessarily competitive with those in external market.	Jobs classified according to internal value system and salaries are based on this classification. Salary increases based on job performance.	Salaries and reward systems sufficiently competitive to attract and retain highly skilled staff.
CONFLICT RESOLUTION	Intra-staff relationships not recognized as a factor that impacts upon the achievement of the Organization's purpose. Conflict is unregulated.	Inter-personal and intra-group skills viewed as desirable job qualifications but not necessarily as something that can be taught or managed. Supervisors attempt to mediate conflict but mediation techniques and conflict resolution mechanisms regarded as unnecessary or divisive.	Grievance procedures in place. Supervisors trained in mediation techniques and inter-personal and group functioning training provided on an as-needs basis.	Organization development recognized as a legitimate Organization management function. Organization has policies and methods to develop skills and manage relationships as well as performance. Clear work assignment and planning and more self directed staff usually result in fewer conflicts. All staff trained in conflict recognition and resolution techniques.