Organisational Assessment Tools

A database of tools suitable for the AOD sector

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Citation details

About NCETA

NCETA is based at Flinders University in South Australia and is an internationally recognised research and training centre that works as a catalyst for change in the alcohol and other drug (AOD) field. NCETA's areas of expertise include training needs analyses, the provision of training and other workforce development approaches. We have developed training curricula, programs and resources, and provided training programs, to cater for the needs of: specialist AOD workers; frontline health and welfare workers; Aboriginal and/or Torres Strait Islander workers; community groups; mental health workers; police officers; and employers and employee groups. NCETA focuses on supporting evidence-based change and specialises in change management processes, setting standards for the development of training curriculum content and delivery modes, building consensus models and making complex and disparate information readily accessible to workers and organisations.

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Introduction

This database is a complementary resource to the Organisational Check-Up. An evidence-based toolkit for assessing workforce development in the AOD sector. The Organisational Check-Up contains tools to support Alcohol and Other Drug (AOD) organisations to explore and review key areas of organisational effectiveness.

Organisational assessment tools such as the Organisational Check-Up are designed to assist organisations to map areas of strength and optimal functioning, and areas where more attention and development is needed. The Organisational Check-Up is designed to meet the specific needs and context of Australian AOD organisations.

This resource contains a carefully curated database of existing organisational assessment tools that can also be used to explore and evaluate organisational effectiveness. The tools in this database can be used to supplement or extend the Organisational Check-Up tools, to meet the needs of your organisation.

Background and development

Over 90 organisational assessment tools were considered for inclusion in this database; the 12 tools included in this resource were considered most relevant and suitable for the Australian AOD sector.

The tools in this database are publicly available. Most were designed as organisational assessment tools for the volunteer, community or not-for-profit sectors. As these tools were developed in other countries for a range of sectors some adjustment may be required to fit the context and needs of the Australian AOD sector.

What are organisational assessment tools?

Most of the organisational assessment tools included in this database are in the form of survey style assessments, with separate sections on key areas of organisational functioning (e.g. leadership, finance, staff development).

Three assessment tools in this database provide an overview of organisational functioning and effectiveness, using simple and quick assessment measures.

This database also describes ten assessment tools that provide a more in-depth analysis of organisational functioning. These in-depth assessment tools address a range of key areas of organisational functioning. Each area usually has multiple indicators or standards, that are used to evaluate various aspects of functioning and effectiveness in a particular area. For example, the area of communication may be assessed by a set of indicators related to internal communication, external communication, marketing and so on.

Assessment tools usually contain indicators in the form of either:

- Definitions of optimal functioning in a particular area, against which assessors rate the extent to which their organisation meets this standard
  - Example: OA2 Organisational Assessment Activity
  - Area: Communication
  - Indicator: 'Our organisation has a communication plan that expresses our voice'
  - Rating: Agree, mostly agree, mostly disagree, disagree.
- Definitions of optimal functioning in a particular area, against which assessors rate the extent to which their organisation meets this standard
  - Example: Bruner Foundation Modified Evaluative Thinking Assessment Tool
  - Area: Mission
  - Indicator: 'The mission statement is specific enough to provide a basis for developing goals and objectives'
  - Assessment scale (assess whether your organisation meets the indicator):
  - 0 = Not present in organisation; 1 = Present in organisation
  - High priority for action/lower priority for action/not a priority for action.

Ratings across these multiple indicators are summed to create an assessment of organisational effectiveness in each area. Summary tables are either automatically (Excel tool) or manually (PDF tool) generated to provide an overview of an organisation's strengths and challenges across key areas of functioning.

Most tools recommend that staff from a range of roles within the organisation have an opportunity to participate and share their views and experience about the organisation's functioning. Assessment tools can be completed separately by individual assessors, with individual assessments either collated into a single summary score or used as a basis for discussion and consensus. Alternatively, assessment tools can be completed as a small group(s) exercise, ideally with a facilitator to assist the group agree on ratings for each area of organisational functioning.

Overview of database contents

This database contains summaries of 12 organisational assessment tools that can be used to support exploration, review and evaluation of key aspects of organisational effectiveness.

This database is divided into three sections:

1. Quick guide: short summaries of each tool included in the database
2. Tools for a general overview: 3 tools for a quick 'snapshots' of organisational functioning
3. Tools for in-depth analysis: 10 tools for a detailed assessment of organisational functioning.

   - Sections 1 and 2 contain short summaries of each tool including the:
   - Areas of organisational functioning assessed (e.g. strategic planning, financial management, communication and marketing)
   - Method of assessment (e.g. comparison against indicators of optimal functioning, assessments of level of progress in an area)
   - Outputs generated by the tool (e.g. summary tables, action plans)
   - Time and resources required to use tool in an organisational assessment.

How to use this database

These tools can be used in conjunction with the *Organisational Check-Up* to supplement or enhance assessment of particular areas of organisational functioning.

The *Organisational Check-Up* is focused on workforce development at the level of workforce and workplace effectiveness. If a more in-depth analysis of a particular workforce development issue is needed, particular items from a tool in this database could be used to supplement and extend the assessment provided in the *Organisational Check-Up.*

Organisational systems and governance issues are not addressed in the *Organisational Check-Up*. The tools in this database could be used to extend your organisational check-up to include assessment of organisational governance and systems issues such as the functioning of a Governance Board, communication systems, financial management and strategic planning.

It is important to acknowledge that each organisation has a unique history, context, mission and working environment. *The Organisational Check-Up* and other organisational assessment tools can be adapted to suit your particular needs and purpose.

It is also worth noting that there are advantages in using a single organisational assessment tool to produce a consistent and internally coherent evaluation. However, this outcome must be balanced against ensuring that your assessment meets the needs and priorities of your organisation. An effective approach may be to chose one assessment tool, such as the *Organisational Check-Up*, as your main tool. Then you may choose to extend your assessment with a careful selection of some crucial additional areas for assessment, or essential additional items addressing a particular topic, from one or two tools in this database.

Quick guide ('in-a-nutshell' summaries)

This section provides an overview of the tools described in the database. Click on heading to jump to detailed summary and link to full tool.

Resiliency Guide

Review short checklists of indicators for optimal organisational resiliency and risks to resiliency. Identify actions and strategies to address risks or problems. PDF.

Sustainable Sun Needs Analysis

Assess organisational sustainability using 7 short scales defining lower to higher levels of functioning. Draw a simple line diagram to visualise results. PDF.

The Big Picture

Use up to 3 simple tools to facilitate discussion and reflection of key organisational issues and prioritise areas for action. PDF.

Bruner Foundation Modified Evaluative Thinking Assessment Tool

Conduct an in-depth assessment across 15 areas of organisational capacity on 91 indicators of optimal functioning. Prioritise and plan next steps. Excel spreadsheet generates summary tables and graphs.

Institutional Self-Assessment

Assess organisational capacity across 8 key areas using short scales defining lower to high levels of functioning on 43 indicators. PDF.

Leap of Reason Performance Practice

Conduct an in-depth assessment across 7 key areas against a set of 168 'proof points' (indicators of optimal performance). Plan for improvements. Excel spreadsheet generates summary tables for each area.

Management and Organizational Sustainability Tool (MOST)

Assess organisational management effectiveness and sustainability across 5 key areas using short scales that define lower to high levels of development/functioning on 19 management components. Develop action plan. PDF.

Mass Cultural Council Organizational Capacity Measurement Tool

Assess organisational capacity across 4 key areas using short scales defining levels of development/functioning across 40 capacity elements. PDF.

Nonprofit Organizational Assessment Tool

Assess organisational functioning across 8 key areas assessing organisation against 244 indicators of optimal functioning. Develop action plan. PDF.

Organisational Capacity Assessment Tool (OCAT)

Assess organisational capacity across 10 key elements using short scales defining level of capacity against 136 components. Excel spreadsheet generates summary table and figure.

Organizational Capacity and Viability Assessment Tool (OCVAT)

Assess organisational capacity across 13 areas of essential organisational functioning against 75 indicators.PDF.

Organizational Mapping Tool (OMT)

Assess organisational functioning across 14 areas, identifying strengths and areas for strengthening against 148 indicators. Identify priorities for development and develop a detailed action plan. PDF.

Section 1: Assessment tools for a 'big picture' overview

This section describes the key elements of three tools designed as quick 'snap-shot' assessments of organisational effectiveness in key areas.

Resiliency Guide

S.D Bechtel, JR. Foundation (US)

Nutshell: *Review short checklists of indicators for optimal organisational resiliency and risks to resiliency. Identify actions and strategies to address risks or problems.*

Purpose:
- Assess organisational resiliency
- Identify areas of strength and those requiring further attention and development.
- Organisational Resiliency: is defined as the 'capacity to respond effectively to change, to adapt successfully to new and unforeseen conditions and circumstances – and to seize opportunity. It's an essential characteristic of organisations that are built for ongoing success'.

Areas:
- Culture of learning
- Talent & leadership
- Context (outside-in thinking)
- Planning & execution
- Reputation & communications
- Partnerships & alliances
- Financial footing.

Tools:
- Each area of organisational resiliency is defined by 3 – 5 indicators of optimal functioning
- Worksheet identifies areas of resiliency in need of further attention and development
- Checklists defining indicators of risks to resiliency in each area
- Checklists of possible strategies to strengthen each area of resiliency
- PDF resource.

Outputs generated:
- Overview table of areas of resiliency needing further action
- Checklists of specific indicators of resiliency in each area that need further attention and development.

Example:

> Area: Talent and leadership (choose the indicator that best describes your organisation)
>
> Indicator of optimal functioning (1 of 4 indicators): Attracts and retains talented and diverse staff
>
> Indicator of poor functioning: Board and/or staff lack commitment and accountability to diversity, equity and inclusion
>
> Recommended approach to strengthening talent & leadership: Training/coaching on diversity, equity and inclusion.

Time & resources:
- Minimal
- Download copy of resiliency guide and checklists
- Manually complete checklists.

Participants:
- Selected staff members as preferred.

Most suitable for:
- NGO, NFP or community organisations
- Organisations with limited resources (time, financial resources, staff availability).

Access:

http://sdbjrfoundation.org/effectiveness/resiliency/

Sustainable Sun Needs Analysis

NEF consulting (UK)

Nutshell: *Assess organisational sustainability using 7 short scales defining lower to higher levels of functioning. Draw a simple line diagram to visualise results.*

Purpose:

- Assess key issues impacting on organisational sustainability
- Identify areas of strength and those requiring further attention and development
- Track progress over time
- Create simple visual representation of assessment across key issues.

Areas:

- Self determination
- Organisational culture
- Planning
- Financial management
- Funding base
- Skills for sustainability
- Outcomes.

Tools:

- Each area is rated on a 7-step scale
- Each step defines a level of functioning (lower, moderate and higher)
- Template for simple line diagram to visualise organisational strengths and areas for improvement
- PDF resource.

Outputs generated:

- Simple diagram (sun shape) indicating areas of strength and areas for improvement.

Example:

- Area: Organisational culture
- Assessment scale for organisational culture (choose the level that best reflects your organisation):
  - Level 1: Fear of or resistance to change. Fear of loss of mission or being swamped. May be inconsistency between individuals
  - Level 2: First awareness that things could be different, but not knowing how and may be dismissed as "not for us" without consideration
  - Level 3: Some understanding of how others generate income and more openness to exploring what is relevant and needed
  - Level 4: Resolve to really put energy and resources behind finding new and appropriate ways to generate income
  - Level 5: Trying new things. Able to commit to action and willing to take some risks, with an emphasis on learning
  - Level 6: Increasingly know what is appropriate and how to do it. Outward-looking, open to partnerships, ideas and new ways of doing things
  - Level 7: Entrepreneurial spirit, strategic and responsive. Strong shared mission and values Internally and communicated externally.

Time & resources:

- Minimal
- Download copy of manual and diagram template
- Manually create simple line diagram on template.

Participants:

- Selected staff members as preferred.

Most suitable for:

- NGO, NFP or community organisations
- Organisations with limited resources (time, financial resources, staff availability).

Access:

www.nefconsulting.com/wp-content/uploads/2017/04/Sustainable-Sun-Tool.pdf

The Big Picture

Evaluation Support Scotland (UK)

Nutshell: *Use up to 3 simple tools to facilitate discussion and reflection of key organisational issues and prioritise areas for action.*

Purpose:
- Assess and reflect on organisational effectiveness in relation to 4 key areas related to Enablers (directions, processes) and Results (stakeholder satisfaction, positive impact)
- Identify priorities for attention, development and improvement
- Create simple visual representation of assessment across key issues.

Areas:
- Enablers (what helps?)
  - Direction (governance, purpose, strategy and policy, staffing, culture, legislation and regulation)
  - Processes (planning, managing people, managing money, managing other resources, managing activities, monitoring and review).
- Results (what do we achieve)
  - Stakeholder satisfaction (people we help, paid staff, volunteers, funders, partner organisations, influencers)
  - Positive impact (strategic outcomes, financial health, evidence of standards, development, public profile, impact on society).

Tools:
- Short definitions of each of the 4 areas and the issues it addresses
- Reflection/discussion points for each issue within the four areas
- Simple diagrams (3 options) to visualise areas of strength and areas of challenge and prioritise action
- PDF resource.

Outputs generated:
- Simple diagrams:
  - Scoring grid (quick assessments of progress in each area)
  - Priority boxes (summary low, medium & high priority areas for action)
  - Diamond ranking (ranking top 9 areas of importance).

Example:

- Scoring grid tool: 'quick gut reaction' (choose a rating for your organisation):
  - Assess stakeholder satisfaction (keeping everyone happy)
  - Rating scale: 1 = Disaster, 2 = Not OK, 3 = OK, 4 = Good, 5 = Very Good, 6 = Excellent.

Time & resources:
- Minimal
- Download copy of short manual and diagram templates
- Manually create simple diagrams.

Participants:
- Selected staff members as preferred.

Most suitable for:
- NGO, NFP or community organisations
- Organisations with limited resources (time, financial resources, staff availability).

Access:
http://www.evaluationsupportscotland.org.uk/media/uploads/resources/introducingthebigpicture.pdf
OR http://www.evaluationsupportscotland.org.uk/resources/223/

Section 2: Assessment tools for in-depth analysis

This section describes the key elements of ten tools that provide an in-depth assessment of organisational functioning and effectiveness in key areas.

Bruner Foundation Modified Evaluative Thinking Assessment Tool

Bruner Foundation (US)

Nutshell: *Conduct an in-depth assessment across 15 areas of organisational capacity on 91 indicators of optimal functioning. Prioritise and plan next steps. Excel spreadsheet generates summary tables and graphs.*

Purpose:

- Critically assess 15 key areas of organisational capacity
- Identify areas of strength and those requiring further attention and development.
- Identify areas for action and prioritise action areas.

Areas:

- Mission
- Strategic planning
- Governance
- Finance
- Leadership
- Fund development/fund raising
- Evaluation
- Program development
- Client relationships
- Communication and marketing
- Technology acquisition and planning
- Staff development
- Human resources
- Business venture development
- Alliances and collaboration.

Tools:

- Each area defined by a set of indicators that describe optimal functioning
- Excel spreadsheets collate assessments on indicators for each area of organisational capacity:
  - Assessment of whether organisational functioning meets each indicator
  - Ranking of priority for further action against each indicator.

Outputs generated:
- Summary table: capacity scores and action priorities for each of the 15 organisational capacity areas (automatically generated from spreadsheet entries)
- Summary chart: collating scores for each of the 15 capacity areas (automatically generated)
- Action planning guide (reflections on priorities for next steps) (automatically generated).

Example:

- Area: Mission
- Indicator (1 of 4 indicators): The mission statement is specific enough to provide a basis for developing goals and objectives
- Assessment scale (assess whether your organisation meets the indicator):
  - 0 = Not present in organisation; 1 = Present in organisation
  - High priority for action/lower priority for action/not a priority for action.

Time & resources:
- Moderate
- Individuals or small groups in leadership roles complete the spreadsheet by scoring 15 areas of organisational capacity across 91 indicators.

Participants:
- Designed for organisational leaders to complete.

Most suitable for:
- Any organisation
- Organisations with high levels of leadership commitment to the process, including willingness to commit time for assessment, reflection and planning.

Access:

http://evaluativethinking.org/assesset.html

Institutional Self-Assessment

Nature Conservancy (US)

Nutshell: *Assess organisational capacity across 8 key areas using short scales defining lower to high levels of functioning on 43 indicators.*

Purpose:
- Identify current level of development in 8 key areas of organisational effectiveness
- Identify areas of strength and those requiring further attention and development.

Areas:
- Strategic vision and planning
- Leadership
- Organizational management
- Human resources
- Resource development
- Financial management
- Constituency building/outreach
- Programmatic capacity.

Tools:
- Each of the 8 areas is assessed by 3 – 6 indicators
- Each indicator is rated on a 5-step scale
- Each step defines a level of functioning (lower, moderate and higher)
- PDF resource.

Outputs generated:
- Benchmarks of organisational functioning in the 8 key areas of organisational effectiveness.

Example:

- Area: Strategic vision and planning
- Strategic vision and planning assessment scale (choose the level that best reflects your organisation):
  - Level 1: No strategic plan exists
  - Level 2: Strategic plan outdated or being prepared
  - Level 3: Current strategic plan exists. Staff is somewhat familiar with strategic plan
  - Level 4: The staff uses the current strategic plan, which incorporates long-term institutional financial plan, to guide all major program decisions, including submission of grant proposals
  - Level 5: The strategic plan, including long-term institutional financial plan (3-5 years) is updated periodically as the result of a participatory process involving staff, board and outside advisors.

Time & resources:
- Moderate
- Download copy of self-assessment guide and benchmark definitions for each indicator
- Manually complete benchmarks.

Participants:

- Selected staff members as preferred.

Most suitable for:

- NGO, NFP or community organisations
- Organisations with limited resources (time, financial resources, staff availability).

Access:

https://rmportal.net/library/content/tools/biodiversity-conservation-tools/putting-conservation-in-context-cd/capacity-building-and-organizational-development-resources/Institutional-Self-Assessment-A-Tool-for-Strengthening-Nonprofit-Organizations/view

OR

https://www.cbd.int/doc/pa/tools/Institutional%20self-assessment%20tool%20for%20strengthening%20nonprofits.pdf

Leap of Reason Performance Practice

Leap of Reason (US)

Nutshell: *Conduct an in-depth assessment across 7 key areas against a set of 168 'proof points' (indicators of optimal performance). Plan for improvements. Excel spreadsheet generates summary tables for each area.*

Purpose:
- Assess 7 key areas ('Pillars') of organisational performance
- Identify areas of strength and those requiring further attention and development
- Engage in a process of continuous learning and improvement.

Areas:
- Courageous, adaptive Executive and Board leadership
- Disciplined people-focused membership
- Well-designed and well-implemented programs and strategies
- Financial health and sustainability
- Culture that values learning
- Internal monitoring for continuous improvement
- External evaluation for mission effectiveness.

Tools:
- Excel spreadsheets that collate assessments on each of the 7 pillars of organisational performance
  - Each pillar is defined by 7 – 12 principles
  - Each principle is rated against a set of proof points that define high performance in an area.
- Apps for Mac or Windows to collate input from separate spreadsheets if multiple assessors are used.

Outputs generated:
- Summary tables of assessments for each pillar of organisational performance
- Plans for improvement spreadsheet to guide next steps in areas for further development.

Example:

- Pillar: Culture that values learning
- Principle (1 of 10 principles): Even the busiest leaders, managers and staff members carve out formal and informal opportunities to step back, take stock and reflect
- Proof point (1 of 3): My organisation periodically affords staff an opportunity to step out of their daily demands of email and meetings (e.g. through retreats, professional development sessions, nature walk).
- Assessment scale (assess the extent to which your organisation meets the proof point):
  - Not started/partially met/substantially met/fully met/not sure/not applicable.

Time & resources:
- Moderate
- Complete the spreadsheet by scoring 7 areas of organisational performance, each with multiple indicators (168 proof points).
- Users encouraged to select a few priority areas to assess, or complete full assessment (all 7 pillars).

Participants:
- Selected staff members as preferred.

Most suitable for:
- NGO, NFP or community organisations
- Organisations with high levels of leadership commitment to the process, including willingness to commit time for assessment, reflection and planning.

Access:

https://leapambassadors.org/continuous-improvement/performance-practice/

Management and Organizational Sustainability Tool (MOST)

Management Sciences for Health (US)

Nutshell: *Assess organisational management effectiveness and sustainability across 5 key areas using short scales that define lower to high levels of development/functioning on 19 management components. Develop action plan.*

Purpose:

- Assess the quality of organisational management in 5 key areas
- Engage in a structured process to assess management performance, plan improvements and action the plan
- Assess and strengthen organisational functioning to improve service provision.

Areas:

- Mission: Why do we do what we do?
- Values: What are the core beliefs and principles that we all share and that give direction to our work?
- Strategy: How will we get to where we want to go?
- Structure: Are we organised in a way that facilitates what we want to do and where we want to go?
- Systems: What systems help us to carry out our activities and how can they be improved?

Tools:

- Each of the 5 areas is assessed by a set of management components
- Rate the organisation's stage of development for each management component (4 levels from less evolved to more evolved functioning)
- Action plan template
- Leading and managing framework (actions and strategies to address challenges and achieve results)
- PDF resource (blank worksheets on p 57-63 of manual).

Outputs generated:

- Assessment of organisation's stage of development against each area of management functioning
- Action plan to guide next steps to address areas in need of further attention and development.

Example:

- Area: Strategy
- Component: Links to clients and community
- Assessment scale (choose the stage that best reflects your organisation):
  - Stage 1: Strategies are developed without knowledge of the current or potential demand for the organisation's services
  - Stage 2: Strategies are developed on the basis of anecdotal knowledge of the demand for the organisation's services
  - Stage 3: Strategies are developed on the basis of occasional assessments of the demand for services, as well as analysis of the services already provided by other organisations
  - Stage 4: A mechanism is in place for regularly scanning current and potential demand, evaluating other organisations' services, and using these findings to develop strategies.

Time & resources:

- Moderate/significant
- Complete spreadsheet (pdf) by scoring organisational stage of development in 5 key areas of organisational management across 19 components
- Tool designed as a participatory process that includes staff from various roles in an organisation
- The creators of the MOST tool suggest a 3-day workshop process
- Tool and assessment process can be adapted to fit with available time & resources.
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Participants:

- Selected staff members as preferred.

Most suitable for:

- NGO, NFP or community organisations providing a social or community service
- Organisations with high levels of leadership commitment to the process, including willingness to commit time for assessment, reflection and planning.

Access:

https://www.msh.org/resources/management-and-organizational-sustainability-tool-most?field_resource_type%5B0%5D=Tool

Mass Cultural Council Organizational Capacity Measurement Tool

Mass Cultural Council (US)
(Note: Adapted from the McKinsey Capacity Assessment Grid – see next tool)

Nutshell: *Assess organisational capacity across 4 key areas using short scales defining levels of development/functioning across 40 capacity elements.*

Purpose:

- Assessment of organisational capacity to fulfil its mission
- Evaluation of organisational capacity across 4 key areas
- Identify areas of strength and those requiring further attention and development.

Areas:

- Leadership capacity
- Adaptive capacity
- Management capacity
- Operational capacity.

Tools:

- Each of the 4 areas is assessed by a set of capacity elements
- Rate the organisation's stage of development for each capacity element (4 levels from less evolved to more evolved functioning)
- Summary table template (collate scores)
- PDF resource.

Outputs generated:

- Assessment of organisational stage of development against each area of organisational capacity
- Summary table of capacity scores and priority areas for further attention and development (manual entry).

Example:

- Area: Management capacity
- Capacity element: Staff
- Assessment scale (choose the level that best reflects your organisation):
  - Level 1: Drawn from a narrow range of backgrounds and experiences; interest and abilities limited to present job; little ability to solve problems as they arise
  - Level 2: Drawn from somewhat diverse backgrounds and experiences; good capabilities, including some ability to solve problems as they arise; many are interested in work beyond their current jobs and in the success of the organization's mission
  - Level 3: Drawn from diverse backgrounds and experiences and bring a broad range of skills; most are highly capable and committed to mission and strategy; eager to learn and develop, and assume increased responsibility
  - Level 4: Drawn from extraordinarily diverse backgrounds and experiences, and bring broad range of skills; most are highly capable in multiple roles and committed to both mission, strategy, and continuous learning; eager and able to take on special projects and collaborate across divisional lines; frequent source of ideas and momentum for improvement and innovation.

Time & resources:

- Moderate/significant
- Complete spreadsheet (pdf) by scoring organisational capacity on 40 elements across 4 areas
- Manual collation of summary scores (table template provided).
- Participants:
- Selected staff members as preferred.

Most suitable for:

- NGO, NFP or community organisations
- Organisations with high levels of leadership commitment to the process, including willingness to commit time for assessment, reflection and planning.

Access:

https://massculturalcouncil.org/organizations/cultural-investment-portfolio/organizational-capacity-measurement-tool/

Nonprofit Organizational Assessment Tool

Prof. Andrew Lewis University of Wisconsin Extension (US)

Nutshell: *Assess organisational functioning across 8 key areas assessing organisation against 244 indicators of optimal functioning. Develop action plan.*

Purpose:
- Assess the key operations of non-profit organisations and identify areas in need of improvement
- Develop action plans to address areas in need of further attention and development.

Areas:
- Strategic planning
- Resource development
- Board development
- Marketing
- Financial empowerment
- Social entrepreneurship
- Volunteer involvement
- Strategic Alliances.

Tools:
- Each of the 8 areas is assessed by a set of capacity indicators
- Rate the organisation's level of capacity against a set of indicators for each area
- Identify areas in which capacity needs to be further developed
- Action plan template.

Outputs generated:
- Assessment of organisation's capacity in each area
- Action plans to address areas that require further attention or development
- PDF resource.

Example:

> - Area: Communication
> - Indicator (1 of 9 indicators): The organization regularly evaluates how the community views the non-profit
> - Assessment scale (assess the extent to which your organisation meets the indicator):
>   - Done
>   - Needs improvement (Some/Much)
>   - Not applicable.

Time & resources:
- Moderate/significant
- Complete spreadsheet (PDF) by scoring organisational capacity on 244 indicators across 8 areas
- Manual collation of summary scores.

Participants:
- Selected staff members as preferred.

Most suitable for:
- NGO, NFP or community organisations
- Organisations with high levels of leadership commitment to the process, including willingness to commit time for assessment, reflection and planning.

Access:

https://portailqualite.acodev.be/fr/system/files/node/196/non_profit_organisation_assessment_tool.pdf

Organisational Capacity Assessment Tool (OCAT)

Social Venture Partners (US)

Nutshell: *Assess organisational capacity across 10 key elements using short scales defining level of capacity across 136 components. Excel spreadsheet generates summary table and figure.*

Purpose:

- Assessment of non-profit organisations' capacity strengths and challenges.
- Evaluation of organisational capacity across 10 key areas
- Identify areas of strength and those requiring further attention and development.

Areas:

- Mission, vision, strategy and planning
- Program design and evaluation
- Human resources
- CEO/ED/Senior management team leadership
- Information technology
- Financial management
- Fund development
- Board leadership
- Legal affairs
- Marketing, communications and external relations.

Tools:

- Excel spreadsheets that collate assessments for each of the 10 capacity areas
  - Each of the 10 areas is assessed by a set of capacity elements
  - Rate the organisation's level of capacity against each element (4 level from lower to higher capacity)

Outputs generated:

- Summary table of capacity scores in each area (automatically generated) and priority rating (manual entry)
- Summary figure of capacity scores in each area (automatically generated).

Example:

- Area: Fund development
- Indicator (1 of 4 indicators): Fundraising skills
- Assessment scale (choose the level that best reflects your organisation):
  - Level 1 Clear need for increased capacity:
    - Generally weak fundraising skills and lack of expertise (either internal or access to external expertise); inadequate time devoted to fundraising by staff or Board; Board used ineffectively or not at all for fundraising or cultivating donor contacts
  - Level 2 Basic level of capacity in place:
    - Main fundraising needs covered by some combination of internal skills and expertise; and access to some external fundraising expertise; staff time devoted to fundraising is insufficient and overly reliant on Executive Director; ineffective use of Board for fundraising or cultivating donor contacts

- Level 3 Moderate level of capacity in place:
  - Regular fundraising needs adequately covered by well developed internal fundraising skills, with occasional access to external fundraising expertise; sufficient hours devoted to fundraising, but Executive Director may spend too much time relative to other staff; Board used to lead occasional fundraising initiatives
- Level 4 High level of capacity in place:
  - Highly developed internal fundraising skills and expertise in all funding source types cover regular needs; access to external expertise for extraordinary needs; adequate staff time devoted to fundraising; Executive Director's fundraising time used strategically; Board well utilised in leading and carrying out fundraising activities.

Time & resources:

- Moderate/significant
- Complete series of excel spreadsheets by scoring organisational capacity on 136 elements of capacity across 10 areas.

Participants:

- Selected staff members as preferred.

Most suitable for:

- NGO, NFP or community organisations
- Organisations with high levels of leadership commitment to the process, including willingness to commit time for assessment, reflection and planning.

Access:

https://www.socialventurepartners.org/svp_resources/organizational-capacity-assessment-tool/

Notes:

The OCAT was developed based on the McKinsey Capacity Assessment Grid, with some modifications in the order and arrangement of capacity areas and their component elements. The original McKinsey tool can be downloaded as a pdf here: http://ilj.org/publications/docs/McKinsey_Organization_Capacity_Assessment_Tool.pdf

An updated McKinsey Capacity Assessment Tool 2.0 has been developed. At time of writing the link to this online tool was not functioning. https://mckinseyonsociety.com/ocat/

Organizational Capacity and Viability Assessment Tool (OCVAT)

Elizabeth Glaser Pediatric Aids Foundation (US)

Nutshell: *Assess organisational capacity across 13 areas of essential organisational functioning against 75 indicators.*

Purpose:

- Assess organisational capacity on across necessary functions to identify key strengths and weaknesses
- Review 13 areas of organisational functioning across 75 indicators defining stage of progress towards optimal functioning
- Identify areas of strength and those requiring further attention and development.

Areas:

- Governance and legal structure
- Organisation management
- Project management
- Monitoring and evaluation
- Technical capacity
- Financial management
- Human resources
- Grant and sub-grantee management
- Office operations
- Information technology
- Resource mobilisation
- Networking
- Communications.

Tools:

- Each area defined by a set of indicators that describe optimal functioning
- Each of the 13 areas is assessed by 3 –11 indicators
- Each indicator is rated on a 5-step scale, with definitions of lower, moderate and higher levels of functioning
- PDF resource.

Outputs generated:

- Ratings of organisation across the 13 key areas.

Example:

- Area: Coordination with other non-government implementers
- Indicator: networking
- Optimal functioning indicator: Organisation has relations with other implementers, including community-based organisations and actors, in order to coordinate service delivery and avoid duplication of services

- Assessment (choose the level that best reflects your organisation):
  - Levels 1/2: The organisation works in isolation. There is no knowledge of the strategies or work of other organisations
  - Levels 3/4: There is knowledge of other organisations' work, informal internal discussions occur when planning projects, and an effort is made not to duplicate services
  - Levels 5/6: There have been discussions with other organisations about specific opportunities for collaboration, and there have been joint activities
  - Levels 7/8: When planning projects there is always internal discussion as well as consultation with other organisations; regular joint activities are done involving formal or informal agreements. However networking happens within technical or senior-management level with out a lot of information sharing
  - Levels 9/10: The organisation has numerous formal partnerships with a range of organisations to ensure comprehensive service delivery. Most involve formal agreements and/or joint funding. Networking happens at both senior and technical levels and is encouraged.

Time & resources:
- Moderate/significant
- Complete spreadsheet (pdf) by scoring organisational capacity on 75 indicators across 13 areas
- Manual collation of summary scores.

Participants:
- Selected staff members as preferred.

Most suitable for:
- NGO, NFP or community organisations
- Organisations with high levels of leadership commitment to the process, including willingness to commit time for assessment, reflection and planning.

Access:

http://www.cedarscenter.com/resources/OCVAT_Implementation_Guide_-15Feb12_FINAL.pdf

AND

http://www.cedarscenter.com/resources/EGPAF_OCVAT_13Feb12.FINAL.pdf

Organizational Mapping Tool (OMT)

Ford Foundation (US)

Nutshell: *Assess organisational functioning across 14 areas, identifying strengths and areas for strengthening against 148 indicators. Identify priorities for development and develop a detailed action plan.*

Purpose:
- Reflect on strengths of organisation and identify areas for strengthening
- Review 14 areas of organisational functioning across 148 indicators defining stage of progress towards optimal functioning
- Identify priority areas for improvement and steps to be taken towards improvement

Areas:
- Mission and strategy
- Programming
- Leaning and evaluation
- Advocacy
- Field engagement
- Network leadership
- External communications
- Governance
- Financial management
- Fundraising and donor relations
- Administration
- Human resources
- Safety and security
- Organisational culture.

Tools:
- Each of the 14 areas is assessed by 3 –7 indicators
- Each indicator is rated on a 4-step scale, with definitions of minimal, basic, moderate and strong functioning
- Worksheet to prioritise areas for further development
- Worksheet to plan next steps to address areas in need of strengthening
- PDF resource with forms function enabled (type in text).

Outputs generated:
- Overview of organisational functioning in each of the 14 areas
- Prioritisation of areas for further strengthening
- Detailed plan for strengthening areas of concern.

Example:

- Area: Financial management
- Indicator (1 of 6): Staff financial skills
- Assessment (choose the level that best reflects your organisation):
  - Minimal: Staff do not have the knowledge and training to manage the financial aspects of their jobs
  - Basic: Few staff have the knowledge and training to manage the financial aspects of their jobs; where policies exist, they are not followed consistently
  - Moderate: Most staff have the necessary knowledge and skills to manage the most necessary financial aspects of their jobs; most have been trained on the organisations' financial systems, following policies most of the time
  - Strong: Staff have the necessary knowledge and skills to manage the financial aspects of their jobs adeptly; they are fully trained on the organisations' financial systems and they follow policies consistently.

Time & resources:

- Moderate/significant
- Complete spreadsheet (pdf) by scoring organisational capacity on 14 areas across 148 indicators
- Manual collation of summary scores.

Participants:

- Selected staff members as preferred.

Most suitable for:

- NGO, NFP or community organisations
- Organisations with high levels of leadership commitment to the process, including willingness to commit time for assessment, reflection and planning.

Access:

https://www.fordfoundation.org/work/our-grants/building-institutions-and-networks/organizational-mapping-tool/