



USAID
FROM THE AMERICAN PEOPLE

WorkwithUSAID.org



Partner Pre-Engagement Assessment Questions List

The **Partner Pre-Engagement Assessment** is a tool designed by USAID's Partnerships Incubator to support organizations in their quest for continuous capacity improvement. Conducting a formal organizational assessment allows the identification of operational and programmatic strengths, weaknesses, gaps, and areas of improvement. While the assessment is not required to be eligible for an award with USAID, it allows organizations to map out their journey to partnering with USAID by addressing any organizational gaps that might potentially serve as a barrier to entry. The full assessment tool can be found [here](#) on the WorkwithUSAID.org site. Additional context of the scale ratings are provided for each question within the assessment tool.

PROGRAMMING

1. Are you currently funded by USAID?
 - My organization is not funded by USAID.
 - My organization has received funding from USAID through a subaward for less than \$10 million.
 - My organization has received funding from USAID through a subaward(s) or prime award for less than \$25 million.
 - My organization currently receives at least \$25 million from USAID funding.
2. My organization is currently funded by a non-USAID donor(s).
 - My organization receives no support from non-USAID donor(s).
 - My organization receives minimal support from non-USAID donor(s).
 - My organization receives some support from non-USAID donor(s).
 - My organization receives substantial support from non-USAID donor(s).
3. My organization knows where to find and access donor funding opportunities, including from USAID, and has a plan for pursuing funding.

- My organization does not have a fundraising and new business development plan.
 - My organization has an inadequate fundraising and new business development plan.
 - My organization has an adequate fundraising and new business development plan that may need updating.
 - My organization has a robust fundraising and new business development plan that is regularly updated and well-implemented.
4. My organization knows where to find and access USAID non-financial resources, such as information about partnering with the Agency and building organizational capacity.
- My organization does not know where to find and access USAID non-financial resources.
 - My organization doesn't know what specific non-financial resources are applicable to our organization.
 - My organization knows where to find USAID non-financial resources but does not use them on a regular basis.
 - My organization knows where to find USAID non-financial resources and uses them on a regular basis.
5. My organization knows where to find and access non-financial resources from other donors to enable our success.
- My organization does not know where to find and access non-financial resources from other donors.
 - My organization does not know what specific non-financial resources are applicable to our organization.
 - My organization knows where to find non-financial resources from other donors but does not use them on a regular basis.
 - My organization knows where to find non-financial resources from other donors and uses them on a regular basis.
6. My organization understands how to respond to donor funding opportunities with written proposals.
- My organization has a written fundraising and business development plan that is not being implemented.
 - My organization has weak implementation of the fundraising and new business development plan.
 - My organization has satisfactory implementation of the fundraising and new business development plan.
 - My organization had no significant cash-flow problems and positive net income over the last two years as a result of a successful fundraising and business development plan.
7. My organization involves beneficiaries/end users in program/project planning.
- My organization never seeks a broad range of stakeholder views in the project cycle, including design, implementation, and monitoring and evaluation.
 - My organization does not usually collect stakeholder views in the project cycle, including design, implementation, and monitoring and evaluation.
 - My organization usually collects sufficient stakeholder views in the project cycle, including design, implementation, and monitoring and evaluation.
 - My organization consistently collects stakeholder views in the project cycle, including design, implementation, and monitoring and evaluation.
8. My organization has a strategic plan.
- My organization does not have a strategic plan.

- My organization has a weak strategic plan that requires significant changes.
 - My organization has an adequate strategic plan, but it may require some updating.
 - My organization has a strong and regularly updated strategic plan.
9. My organization has policies and procedures to measure the performance of our programs/projects.
- My organization has no written policies and procedures to measure the performance of our programs/projects.
 - My organization has weak policies and procedures to measure the performance of our programs/projects.
 - My organization has adequate policies and procedures to measure the performance of our programs/projects, but they may require some updating.
 - My organization has clear and updated policies and procedures to measure the performance of our programs and projects.
10. My organization exchanges knowledge and lessons learned with industry partners to improve programming.
- My organization rarely participates in discussions with industry partners on lessons learned to improve programming.
 - My organization occasionally participates in discussions with industry partners on lessons learned to improve programming.
 - My organization regularly participates in discussions with industry partners on lessons learned to improve programming.
 - My organization frequently participates in discussions with industry partners on lessons learned to improve programming.

COMPLIANCE

11. My organization has a Unique Entity Identifier (UEI).
(Note: The UEI is a 12-character alphanumeric code that is assigned to each entity through SAM.gov. The UEI replaced the DUNS number as the official government-wide identifier used for federal awards.)
- My organization does not have a UEI.
 - My organization has attempted to register for a UEI but was unsuccessful.
 - My organization has a UEI but cannot access the account.
 - My organization has a UEI.
12. My organization has a CAGE/NCAGE code.
- My organization does not have a CAGE/NCAGE code.
 - My organization has attempted to register for a CAGE/NCAGE code but was unsuccessful.
 - My organization has a CAGE/NCAGE code but cannot access the account.
 - My organization has a CAGE/NCAGE code.
13. My organization is registered on SAM.gov.
- My organization is not registered on SAM.gov.
 - My organization has attempted to register on SAM.gov but was unsuccessful.
 - My organization is registered on SAM.gov but cannot access the account.

- My organization is registered on SAM.gov.
14. My organization has internally approved written procurement policies and procedures.
- My organization has no written procurement policies and procedures.
 - My organization has weak written procurement policies and procedures that require significant changes.
 - My organization has adequate written procurement policies and procedures, but they may require some updating.
 - My organization has good, regularly updated, internally approved written procurement policies and procedures.
15. My organization has vetting procedures for suppliers when purchasing goods and/or services.
- My organization does not have vetting procedures.
 - My organization does not monitor for compliance.
 - My organization offers basic guidance and codes of conduct to support fair and open competition.
 - My organization provides detailed guidance on codes of conduct; fair and open competition; ineligible goods, services, and suppliers; sources; and allowable, allocable, and reasonable costs.
16. My organization has internally approved written policies and procedures to manage branch/field offices.
- My organization has no field offices or operations.
 - My organization has inadequate written procedures and processes for field support, operations, and oversight.
 - My organization has adequate written procedures and processes for field support, operations, and oversight that may need some updating.
 - My organization has well-defined written procedures and processes for field support, operations, and oversight.
17. My organization has procedures to protect proprietary information of my organization and our partners.
- My organization has no written policies and procedures for managing confidentiality and proprietary information, or they are not applied.
 - My organization has inadequate written policies and procedures for managing confidentiality and proprietary information, or they are not usually applied.
 - My organization has adequate written policies and procedures for managing confidentiality and proprietary information.
 - My organization has good written policies and procedures for managing confidentiality and proprietary information.
18. My organization has terms of reference for its board of advisors.
- My organization has no process for appointing, electing, and/or removing board members and officers.
 - My organization has inadequate written terms of reference or limited understanding of its functions.
 - My organization has adequate written terms of reference and understanding of its functions.
 - My organization has strong written terms of reference and understanding of its functions.
19. My organization has a brand and visual identity.
- My organization has no brand and visual identity.

- My organization has a logo.
 - My organization has a logo and tagline.
 - My organization has a well-recognized logo and tagline and branding guidelines to inform their use.
20. My organization has a marketing plan.
- My organization has no written marketing plan.
 - My organization has an inadequate written marketing plan that requires significant changes.
 - My organization has an adequate written marketing plan that may require some updating.
 - My organization has a robust marketing plan.
21. My organization complies with branding and marking requirements.
- My organization receives financial support from donors with branding and marking requirements, but has not yet complied with these requirements.
 - My organization has been in the process of complying with its first donor branding and marking requirements.
 - My organization has adequate written policies and procedures for branding and marking that may need some updating.
 - My organization has strong and clearly written policies and procedures for branding and marking that are updated as needed.
22. My organization has change management processes.
- My organization has no process or structures for responding to changes in leadership, staffing, budgets, government policies, or donor funding levels and priorities.
 - My organization has inadequate processes or structures for responding to changes in leadership, staffing, budgets, government policies, or donor funding levels and priorities.
 - My organization has adequate processes or structures for responding to changes in leadership, staffing, budgets, government policies, and donor funding levels and priorities.
 - My organization has well-defined processes or structures for responding to changes in leadership, staffing, budgets, government policies, or donor funding levels and priorities.

HUMAN RESOURCES

23. My organization has internally approved human resource policies and procedures.
- My organization does not have internally approved human resource policies and procedures.
 - My organization has inadequate human resource policies and procedures that require significant changes.
 - My organization has adequate human resource policies and procedures, but they may require some updating or minor changes.
 - My organization has strong internally approved human resource policies and procedures that are regularly reviewed and revised as needed.
24. My organization publicly announces all job openings.
- My organization has recruitment and hiring processes that are prone to favoritism or bias.
 - My organization has recruitment and hiring processes that are not open and transparent.

- My organization has recruitment, hiring, and retention processes that are usually open and transparent.
 - My organization has recruitment, hiring, and retention processes that are constantly open and transparent.
25. My organization is able to recruit and retain quality staff.
- My organization finds it is difficult to recruit most positions; staff attrition rates are high for the organization's size, type, and location.
 - My organization finds it is difficult to recruit many positions; staff attrition is above normal for the organization's size, type, and location.
 - My organization finds it is difficult to recruit some positions; staff attrition is typical for the organization's size, type, and location.
 - My organization does not find it difficult to recruit a few key positions; staff attrition is relatively low for the organization's size, type, and location.
26. My organization has sufficient staff to implement all essential operations.
- My organization has many key management, technical, or finance positions that have not been established, remain vacant, or are filled by people without appropriate skills.
 - My organization has some vacancies in key management, technical, and finance positions that have significantly reduced efficiency or effectiveness for 3-6 months.
 - My organization has some vacancies in key management, technical, and finance positions that have reduced efficiency or effectiveness for no more than 3 months.
 - My organization has all key management, technical, and finance positions filled by people with appropriate qualifications and skills.
27. My organization has a documented process for assessing staff performance.
- My organization does not have written work plans or performance objectives for employees and contractors.
 - My organization does not usually have written work plans or performance objectives prepared for employees and contractors at least once a year or they are not timely.
 - My organization has written work plans or performance objectives prepared at least once a year on a timely basis for most employees.
 - My organization consistently has written work plans or performance objectives prepared at least once a year on a timely basis for all employees.
28. My organization is in compliance with local labor laws in countries where it maintains operations.
- My organization has (1) inadequate knowledge of its obligations under required licenses and permits and (2) inadequate knowledge of national and local tax, labor, occupational health and safety, environmental, and other laws.
 - My organization has partial knowledge of national and local tax, labor, occupational health and safety, environmental, or other laws.
 - My organization has adequate awareness of national and local tax, labor, occupational health and safety, environmental, and other laws.
 - My organization has an excellent awareness of national and local tax, labor, occupational health and safety, environmental, and other laws.

PROGRAM MANAGEMENT

29. My organization has a point of contact for collaborations and partnerships.

- My organization does not have a point of contact for collaborations and partnerships and no partnerships framework.
- My organization has a staff member that supports collaborations and partnerships when it is needed but no partnerships framework.
- My organization has a point of contact for collaborations and partnerships but a limited partnership framework.
- My organization has a dedicated point of contact for collaborations and partnerships and a thorough partnerships framework.

30. My organization actively explores external partnerships.

- My organization has no written policies and procedures for stakeholder and external partnership involvement, or they are not applied.
- My organization has inadequate written policies and procedures for stakeholder involvement, or they are not usually applied.
- My organization has adequate written policies and procedures for stakeholder and external partnership involvement.
- My organization has good written policies and procedures for stakeholder and external partnership involvement.

31. My organization prepares annual work plans for our programs/projects.

- My organization has not prepared annual work plans for our programs/projects.
- My organization has inadequate or incomplete work plans or requires substantial external assistance preparing annual work plans for our programs/projects.
- My organization can adequately prepare an annual work plan for our programs/projects without external assistance but it may need minor improvement.
- My organization can prepare good annual work plans for our programs and projects, without external assistance.

32. My organization uses lessons learned to inform the design of new programs.

- My organization has inadequate or unproven analytical capacity to identify good practices and lessons learned.
- My organization has inadequate analytical capacity to identify good practices and lessons learned.
- My organization has adequate proven analytical capacity to identify good practices and lessons learned.
- My organization has an excellent proven analytical capacity to identify good practices and lessons learned.

33. My organization has policies and procedures for management accountability and controls.

- My organization has no clear roles and responsibilities of departments or functions and lines of authority
- My organization has partially clear roles and responsibilities of departments or functions and lines of authority.
- My organization has reasonably clear roles and responsibilities of departments or functions and lines of authority.

My organization has well-defined roles and responsibilities of departments or functions and lines of authority.

34. My organization has experience preparing complex reports.

My organization has limited to no experience preparing complex technical reports.

My organization has some experience with preparing complex technical reports with significant assistance from donors or technical assistance providers.

My organization has prepared complex technical reports without significant assistance from donors or technical assistance providers.

My organization has prepared complex technical reports without assistance from donors or technical assistance providers.

35. My organization considers culture and gender in project planning, monitoring, and evaluation.

My organization does not adequately address culture and gender issues in project planning, implementation, monitoring, and evaluation.

My organization often experiences major problems in programs due to inadequate consideration of culture or gender issues.

My organization occasionally experiences major problems in programs due to inadequate consideration of culture or gender issues.

My organization rarely experiences major problems in programs due to inadequate consideration of culture or gender issues.

36. My organization can provide support and documentation to evaluators on project performance.

My organization has inadequate ability to provide support and documentation for evaluators.

My organization has limited ability to provide support and documentation for evaluators.

My organization has adequate ability to provide support and documentation for evaluators.

My organization has excellent ability to provide support and documentation for evaluators.

BUDGET AND FINANCE

37. My organization has internally approved written financial policies and procedures.

My organization has no written policies, procedures, or practices for managing the financials.

My organization has weak written policies, procedures, and practices for managing the financials.

My organization has adequate written policies, procedures, and practices for managing the financials.

My organization has strong written policies, procedures, and practices for managing the financials.

38. My organization's financial policies and procedures are understood by all staff members.

My organization does not have clearly defined financial policies and procedures that are disseminated and understood by all staff members.

My organization's financial policies and procedures are not widely disseminated to all staff and are only understood by some key personnel members.

My organization's financial policies and procedures are disseminated and understood by most senior

level staff members.

My organization's financial policies and procedures are disseminated and understood by all staff members.

39. My organization has experience managing budgets.

My organization does not have experience managing budgets.

My organization has project budgets that are realistic, clear, and well-documented, only with external assistance.

My organization has project budgets that are reasonably realistic, clear, and documented, without significant external assistance.

My organization has project budgets that are realistic, clear, and well-documented without external assistance.

40. My organization has a dedicated staff member for managing financial operations.

In my organization, key finance positions have not been established, remain vacant, or are filled by people without appropriate skills.

My organization has some key finance positions that are not filled by people with appropriate qualifications and skills.

My organization has all key finance positions filled, but additional training is required to reach appropriate qualifications and skills.

My organization has all key finance positions filled by people with appropriate qualifications and skills.

41. My organization's financial records are properly maintained for potential audit.

My organization's financial files are not kept or are incomplete.

My organization's financial files are kept but are mostly incomplete.

My organization's financial files are readily available, reasonably complete, and secure.

My organization has a good financial filing system, and financial files are secure, readily available, and complete.

42. My organization's financial statements are reviewed on an annual basis by an accredited, third-party auditor.

My organization's financial statements are not reviewed or audited on an annual basis by an accredited third-party auditor.

My organization has had occasional project audits but no annual review or audits of complete financial statements by an accredited third-party auditor.

My organization's financial statements are regularly reviewed or audited by a third-party auditor, but not annually.

My organization's financial statements are reviewed and audited annually by an accredited third-party auditor.

43. My organization regularly implements audit recommendations.

My organization has no written policies, procedures, or practices for managing audits and closing audit findings and recommendations.

My organization has written policies, but these are not applied consistently.

My organization has written policies, but they need review or update.

My organization has written policies, and they are applied consistently.

44. My organization has procedures for managing payments and expenditures.
- My organization's procedures for managing payments, expenditures, and petty cash are inadequate.
 - My organization's procedures for managing payments, expenditures, and petty cash are weak.
 - My organization's procedures for managing payments, expenditures, and petty cash are adequate.
 - My organization's procedures for managing payments, expenditures, and petty cash are good.
45. My organization assesses financial risks.
- My organization does not assess, monitor, or control financial risks.
 - My organization rarely assesses, monitors, or controls financial risks.
 - My organization periodically assesses, monitors, and controls financial risks.
 - My organization regularly assesses, monitors, and controls financial risks.
46. My organization has procedures for cost-sharing.
- My organization does not have written policies and procedures for recording and reporting on cost-sharing.
 - My organization has begun complying with its first donor cost-sharing requirement, and is current on all active cost-sharing requirements.
 - My organization has adequate written policies and procedures for recording and reporting on cost-sharing that may need some updating.
 - My organization has excellent written policies and procedures for recording and reporting on cost-sharing.



ABOUT THE PARTNERSHIPS INCUBATOR

The Partnerships Incubator works hand-in-hand with USAID to transform its partnering paradigm, lower barriers to partners' understanding of USAID and its processes, increase partner engagement, boost the capacity of new, nontraditional, and local partners to work with USAID, and increase the impact of the Agency's development programming.

ABOUT THIS WEBSITE

WorkwithUSAID.org is a free, USAID-funded resource hub that empowers partners with the knowledge and networks to navigate locally led development. Registration on this globally accessible website unlocks a variety of innovative services and curated resources designed to improve organizational readiness, connect partners to peers and experts, and prepare them to receive USAID funding. You're creating a better world; we're here to help.