**Country Office (CO) Capacity Assessment Tool**

## INTRODUCTION

The **aim** of the assessment is to discuss the CO capacity vis-à-vis its portfolio, to identify areas where the CO already does well and areas for improvement. The focus is on CO’s programmatic & administrative capacities to manage its portfolio, as well as to ensure capacities to deliver LCDF projects.

The **timing and process** for the assessment is at the discretion of the Country Director (CD) in alignment with the Regional Hub (RH). The CD in alignment with the RH will decide whether to involve other CBM teams and/or stakeholders in the process. For example, the assessment can be a self-assessment or involve other stakeholders. It can be conducted in preparation for an upcoming Country Planning process, audit or if there are significant changes to the country portfolios. Examples of processes developed by COs are available ([click here](https://cbm365.sharepoint.com/sites/cbmnet/GlobalProgrammes/Documents/Forms/AllDocuments1.aspx?id=/sites/cbmnet/GlobalProgrammes/Documents/Examples%20of%20CO%20capacity%20assessments.pdf&parent=/sites/cbmnet/GlobalProgrammes/Documents)). Key considerations include:

* The capacity assessment exercise should take no longer than one 1 day. If one-on-one meetings are planned additional time might be needed.
* RH facilitation of the process is strongly recommended, to enable an open discussion. External facilitation could also be contracted if funds are available.
* The process will involve relevant CO staff. Other relevant teams could be involved in the assessment.
* Partners and/or stakeholders with a long-standing relationship with CBM could be involved in the assessment. However, this is not mandatory.
* Semi-structured interviews, as well as written questionnaires or surveys shared with partners, can be conducted to complement group discussions.

This tool provides guidance on topics to be covered. Key words and criteria are identified to stimulate discussions. Whether it is used as a one-by-one questionnaire or as an underlying matrix for discussions will depend on the process chosen by the CO in alignment with the RH.

A 1 to 5 (1=never, 2=rarely. 3=sometimes, 4=often, 5=always) appraisals system is used. **Reasons for appraisals will be provided in the comments box**. For statements with **appraisals 1 to 3, tangible actions will be planned** to strengthen capacities in those areas of work.

A checklist with a Yes, No, N/A appraisal system is also to be completed. **Reasons for No and N/A will be provided in the comment box.**

An Action Plan will be developed after the assessment. It needs to be **ensured that the action plan is realistic and aligned with resources** available. It is recommended to select only 3-5 priorities per year. This Action plan will be resourced and followed-up via the CO Annual Operational Plan.

## INFORMATION ABOUT THE CO ASSESSMENT

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| Country: | *Indicate country.* |
| CO staff: | *name and title of staff that participated in the CO capacity assessment.* |
| Partner portfolio: | *total number of partners, projects and volume of annual funds of the partner portfolio e.g. 5 partners with a total volume of €1,5 million per year.* |
| Assessment process: | *Describe the process used for the assessment. If partners participate in the process, this should also be indicated* |
| Date of the assessment: | *Indicate date of the assessment.* |
| Facilitators: | *Indicate the name and title of facilitators*. |

## CRITERIA FOR THE ASSESSMENT

# Programme Management

Score: 1 to 5, 1=never, 2=rarely, 3=sometimes, 4=often, 5=always. Please explain reasons for appraisals in the comment box.

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| --- | --- | --- | --- | --- |
| **No** | **Key word** | **Criteria** | **Appraisal**  1 to 5 | **Comments,** includingareas for improvement and sources of verification. |
| 1.1 | CBM’s mandate | The CO team understands projects and partnerships in the context of CBM's initiative areas, including humanitarian action, and the contribution of the CO Country Plan to the overall CBM strategy. |  |  |
| 1.2 | Advocacy | The CO is known, respected and has strong linkages with government departments, key stakeholders and networks at all levels that are relevant to deliver the Country Plan and raise the profile of CBM in the country. |  |  |
| 1.3 | Operating model | The 3-way collaboration works and communicates in a way that enables the development of quality programmes and effective partnerships that support the attainment of the country plan. |  |  |
| 1.4 | iPCM | The CO staff has the knowledge, skills and time to use iPCM to support project development, implementation, and review, with the involvement of persons with disabilities and communities. |  |  |
| 1.5 | Partner capacity development | The CO team has the knowledge and skills to identify partner capacity gaps using the partner assessment and to develop actions plans. Knowledge and skills to provide capacity development support to the partners and the implementation of the PA action plan are available. |  |  |
| 1.6 | Sustainability | The CO works with partners to develop projects that incorporate approaches that can be continued by the partner or that ensure the continuation of project outcomes after the project cycle ends. The CO has the knowledge & skills to facilitate the development of exit strategies for partnerships and projects. |  |  |
| 1.7 | Project evaluation | The CO is capable and sufficiently resourced to initiate and manage evaluations according to CBM standards. Actions of the Management Responses and their implementation are monitored. Evaluation results are used for all future project development. |  |  |
| 1.8 | Monitoring & reporting (narrative report) | The CO provides timely information and support to partners on monitoring and reporting within agreed timeframes. It has the knowledge, skills, and staff to conduct monitoring and reporting of portfolios in line with CBM requirements and standards. |  |  |
| 1.9 | Humanitarian Action | The CO has the capacity, skills, networks, partnerships and time to support the development and monitoring of inclusive Humanitarian Action projects, in line with the humanitarian principles as well as the humanitarian standards and relevant guidelines. |  |  |

# LCDF readiness

Appraisal: 1 to 5, 1=never, 2=rarely, 3=sometimes, 4=often, 5=always. Please explain reasons for appraisals in the comment box.

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| --- | --- | --- | --- | --- |
| **No** | **Key word** | **Criteria** | **Appraisal**  1 to 5 | **Comments,** including areas for improvement and sources of verification. |
| 2.1 | Partner | Time, knowledge & skills are available to keep partner assessments up to date and to have an overview of humanitarian and development partners that are compliant with donor requirements, to speed up the development of LCDF proposals. |  |  |
| 2.2 | Capacity needs | Established channels enable discussions on the capacities of the office and partners to meet LCDF requirements. CO and partner capacity needs for planning, implementation & monitoring of LCDF projects are always communicated by the CO to the regional hub. |  |  |
| 2.3 | Donor requirements | The CO receives information in time and understands donor requirements for project development, reporting, evaluation, and audit. The capacities to respond to request within agreed timelines are in place. |  |  |
| 2.4 | Training | The CO receives regular training and support for implementation of donor requirements. Support is provided in a way that enables the CO to meet requirements and deadlines. |  |  |

# Financial Management

# Appraisal: 1 to 5, 1=never, 2=rarely, 3=sometimes, 4=often, 5=always. Please explain reasons for appraisals in the comment box.

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| --- | --- | --- | --- | --- |
| **No** | **Key word** | **Criteria** | **Appraisal**  1 to 5 | **Comments,** including areas for improvement and sources of verification. |
| 3.1 | Policies | The CO has the capacities to implement the Finance Handbook and Accounting Manual German GAAP for regional and country offices. |  |  |
| 3.2 | CO costs | CO has an agreed budget for own expenses, and regularly tracks and forecasts expenses against it. Staff costs are managed via the staff plan. Major deviations are discussed with regional finance management. |  |  |
| 3.3 | Partner project implementation | The CO has the staff time to regularly (at least quarterly) follow up the status of partner project implementation. It reports on project status & financial forecast for all partner projects via the established channels. |  |  |
| 3.4 | Project Progress Report (PPR) | The CO provides timely information and support to partners on financial monitoring & reporting. It has the knowledge, skills and staff time to conduct financial monitoring & reporting in line with CBM requirements & standards. |  |  |
| 3.5 | Navision | The CO has the knowledge, skills and time to use the NAV functionalities to monitor project reporting and to manage and maintain the partner and project data. |  |  |
| 3.6 | Audit | The CO has the capacities to effectively identify, manage and close all audit/critical issues within 3 months of the issue being raised, in liaison with key stakeholders. |  |  |

# People Management

Appraisal: 1 to 5, 1=never, 2=rarely, 3=sometimes, 4=often, 5=always. Please explain reasons for appraisals in the comment box.

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| --- | --- | --- | --- | --- |
| **No** | **Key word** | **Criteria** | **Appraisal**  1 to 5 | **Comments,** including areas for improvement and sources of verification. |
| 4.1 | Staff development | Staff time and resources are available to address staff capacity development needs identified during yearly performance appraisals or throughout the year. |  |  |
| 4.2 | Inclusion & accessibility | The CO has the resources to promote an accessible workplace in line with CBM accessibility policy, as well as the recruitment of staff with disabilities. |  |  |
| 4.3 | Attract, retain and recruit staff | Terms and conditions of employment allow to attract, recruit and retain staff with the knowledge, skills and experience to successfully fulfil their role. |  |  |
| 4.4 | Safeguarding | The CO has the capacities to ensure that all known or suspected cases of unacceptable conduct which are reported are managed and responded to in accordance with defined procedures. |  |  |

# Organisational

Appraisal: 1 to 5, 1=never, 2=rarely, 3=sometimes, 4=often, 5=always. Please explain reasons for appraisals in the comment box.

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| --- | --- | --- | --- | --- |
| **No** | **Key word** | **Criteria** | **Appraisal**  1 to 5 | **Comments,** including areas for improvement and sources of verification. |
| 5.1 | CO structure | Composition of teams, division of work, and communication and decision-making processes within the CO are documented in an organigram or similar document. |  |  |
| 5.2 | Team size | The size, composition, knowledge, and skills of the CO team is suitable to the CO project and partnership portfolio and enables the delivery of quality work within agreed timeframes. Key positions are staffed. |  |  |
| 5.3 | Systems | CO staff knows how to use CBM systems, namely Navision, PowerBi and SharePoint, to monitor partner and project portfolio, and to find CBM policies, processes and templates. Yearly refreshers are conducted with the team. |  |  |
| 5.4 | Peer exchange and learning | Procedures to document lessons learned & to translate learnings into practice are available at the CO. Established channels exist to integrate learnings into the CO work. |  |  |
| 5.5 | Risk assessment | An internal organisational risk assessment is conducted every year. Substantial risks are addressed and discussed with regional management. Capacities to address, monitor and/or develop mitigation measures for substantial risks are available. |  |  |

# Learnings and challenges

Use this space to document any additional information discussed, learnings or challenges faced by the CO not covered above.

**7. Feedback from other CBM teams and/or stakeholder (only complete if applicable)**

This space can be used by other CBM teams and/or stakeholders to provide feedback to the CO or on the CO’s capacity assessment.

## D. CO CAPACITY ASSESSMENT CHECKLIST

**Instructions**: This checklist is to be completed by Country Offices when performing a CO capacity assessment.

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| Description | Yes, No N/A | If No or N/A, please provide reasons and actions to address gaps |
| **Training for all new and existing staff** |  |  |
| Induction on CBM organisational policies (incl. operating model, safeguarding policy, code of conduct, safety & security, preventing corruption & fraud, and feedback & whistle blower system). |  |  |
| For travellers only, training on safety & security and a refresher every 3 years. |  |  |
| For travellers to high/extreme risk areas, a HEAT training is required every 2 years. |  |  |
| **Compliance with the 5 minimum operational security standards (MOSS)** |  |  |
| A Security Risk Assessment for the CO exists. |  |  |
| A Country Security Plan for the CO exists. |  |  |
| An incident reporting protocol is in place. |  |  |
| Security briefings for staff & visitors are always provided. |  |  |
| A Security Management Team has been set up and is available when needed. |  |  |
| **Compliance with the 4 minimum operational safeguarding standards (MOSGS)** |  |  |
| A 1-3 year Safeguarding Action Plan to help the CD oversee the Safeguarding policy implementation, to address the CO's safeguarding needs & support to partners. The CO reviews this at least annually. |  |  |
| Country Office has a safeguarding focal person (and depending on context or need, also a safeguarding committee). |  |  |
| Sufficient safeguarding budget is available to implement the Safeguarding Action Plan. |  |  |
| 100% of Country Office staff have ever participated in a CBM Safeguarding training at least once. |  |  |
| **Country office set-up, processes and systems** |  |  |
| The registration documentation and list of Board members is available in the system & up to date |  |  |
| The CO organigram is up to date and consistent with CBM guidelines |  |  |
| Legal & tax requirements are duly completed, according to local provisions and CBM guidelines |  |  |
| The CO filing systems allows confidentiality, integrity and availability of data, resilience of supporting systems. Validation of these measures is regularly conducted. |  |  |
| Evidence that all staff read, understood & signed once the code of conduct exists. |  |  |
| The CO office and its operations are accessible in line with CBM’s accessibility policy. |  |  |
| The CO team implements all relevant Quick Process Reference Guides and CBM standards. |  |  |
| Power of attorney and CBM delegation of authority forms are available in the system and up to date. |  |  |

## ACTION PLAN

Identified actions for each section will be listed. It is recommended to prioritise only 3-5 action per year. Actions will be monitored via the CO Annual Operational Plan.

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| --- | --- | --- | --- | --- |
| **Criteria** | **Action (priority) to be taken** | **Who** | **When** | **Required support** |
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Date: