

# ORGANIZATIONAL CAPACITY ASSESSMENT TOOL (OCAT) USER GUIDE

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## Disclaimer

References given by the author for various good practice 'indicators' listed under each OCAT criteria are not meant to infer they are the only or best examples, but rather were used to help develop content, while showing a variety organizational approaches to operational guidance.

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# INTRODUCTION

As evidence has grown of its impact, an increasing number of organizations, donors and governments are taking an interest in 'Cash Transfer Programming' (CTP) in humanitarian crises. Many organizations are considering it for the first time, while use by others is expanding or increasing in scale.

*The Cash Learning Partnership* (CaLP) has therefore developed an updated *Organizational Capacity Assessment Tool* (OCAT) to allow organisations to assess their capacity to deliver and/or scale-up CTP effectively. This version 2.0 is based on review of the original CaLP tool and a range of other capacity assessment tools, including those few used specifically for CTP.

## DESCRIPTION OF THE CALP OCAT

### OVERVIEW

*The Organizational Capacity Assessment Tool* (OCAT) comprises a User Guide, Tool Worksheets for use in scoring and graphing results respectively, and a Recommendations Matrix. Assessment is done in six categories of organizational capacity, each with a series of criteria. Discussion and scoring on each of the criteria allows the organization to determine gaps and make recommendations for building the required capacity.

### Intended Use of the Tool

The OCAT is intended as a self-assessment tool for organizations to identify gaps and required capacity building for CTP, and to measure progress against initial or target benchmarks.

Single organizations of any type or size should be able to use the OCAT, and can interpret it as needed for the specific context being assessed, by for example defining 'senior management' as HQ or country office leadership as appropriate, or defining 'systems' as global processes or those at field level. Targets/benchmarks can also be set by for example defining 'some/most/all staff', or determining which scores are expected at each point in the capacity building process.

A thorough and valid capacity assessment is most likely with broad engagement from all staff. Relevant expertise and needs likely exist right across all levels and functions of an organization, not just in the program teams but in finance, HR, logistics/procurement and IT, so members of those teams should be involved along with management.

Organizations can lead the process themselves, or use a facilitated process involving external consultants to support preparation, learning and action planning. While it should not require 'CTP experts', a good understanding of CTP is required at least by the process leaders as they present the tool, and facilitation skills are necessary for the workshop/discussion stages.

The OCAT was designed for use in workshops, though for broader representation it could also be done via a survey process. Candid group discussion of the results is more likely to better assess capacity, identify gaps and make appropriate recommendations, so survey results should still be work-shopped. Either way, preparation is required before use of the OCAT.

### Other Uses

A multi-country organization or a multi-member association could use the OCAT to assess and compare capacity and needs across the organization or association. To improve comparability, it would best to discuss and pre-determine definitions or targets for the various criteria and/or indicators. Participating offices/members could then conduct and submit their self-assessments so central HQ could collate and analyse the results.

In a similar way, an organization may support its implementing partners to assess their capacity, again as necessary agreeing on acceptable definitions and targets. For smaller partners or those with fewer CTP-skilled staff, support may be required to facilitate the preparation and assessment process.



Finally, individual staff members or teams could use the OCAT to assess their own unit or the broader organization. This could help plan unit improvements, or could support advocacy to senior management for necessary change or investment across the organization.

### **What the OCAT is Not**

While the OCAT references a range of CTP good practice it not a set of CTP standards. As CaLP and other organizations do develop CTP standards, the OCAT will be revised to reflect changes.

The OCAT is not intended as an external evaluation of organizational, programme, team or staff performance. The self-assessment aspect is important in candidly assessment capacity, delivering useful recommendations, and fostering acceptance of change.

Other than the examples given above, the OCAT is also not intended to be a comparison between non-related organizations, as without agreed definitions the results would be too subjective for direct comparison.

Though not as rigorous as audits or other due diligence, donors or other agencies wishing to assess the CTP capacity of prospective funding recipients or implementing partners could require that they conduct a self-assessment and submit a Plan of Action as part of the application process, Again, the scores themselves would not be directly comparable.

Finally, the OCAT is not designed to be an independent process. It should be used as part of a broader organizational preparedness process, with buy-in from senior management that supports the concept, and has the commitment and resources to drive and support the required changes.

## **THE USER GUIDE**

The OCAT User Guide is for the leader and/or facilitator of the preparedness process, as well as participants, whether in the capacity assessment workshop or taking a survey.

It contains the instructions for using the tool, and a description of what each assessment category, criteria and score represent.

Users/participants should understand the descriptions before discussing/selecting a score, through either advance reading or presentations from facilitators.

The annexes contain a reference image of the tool worksheets, the recommendations matrix, and list of CTP good practice documents referenced or recommended.

### **Categories**

For the purpose of this OCAT, there are six broad categories of organizational capacity: Governance/Leadership, Organizational Management, Human Resource Management, Financial Management, Program/Project Management, and External Relations.

Categories are not intended to align with specific staff teams/units, and assessment use should not be limited to related teams or functions, though of course relevant staff would bring useful perspectives to the assessment, recommendations and action planning.

### **Criteria**

Each category contains a number of criteria that describe what capacity, systems or processes should be in place and routinely used well for effective CTP.

### **Indicators**

For each of the criteria a series of 'indicator' statements describe in further detail the various aspects of capacity that should be in place, and in many cases reference CTP good practice materials.

### **Guidance**

Some criteria also have guidance giving background for indicators or examples of capacities.



### Score/Descriptions

For each criteria, there are four possible assessment scores from 1 to 4, each describing the extent to which it is met. 1 means no CTP-specific capacity and 4 means complete or well prepared; with 2 and 3 meaning needed capacity is still under development.

### The Tool Worksheets

The OCAT uses [two worksheets](#) – one to capture/enter the scores, and one to present the results in a graphical form for sharing with users/participants and stakeholders.

The scoring matrix should not be used alone without the User Guide and/or a presentation of indicators and guidance. It can be used as a handout for participants to discuss and score the criteria, once they understand the meaning of the criteria and the indicators/guidance.

### The Recommendations Matrix

Once capacity gaps have been assessed, the recommendations matrix is used to list the required or suggested improvements for each of the criteria based on score descriptions and review of the respective indicators/guidance in the user guide.

## USING THE OCAT

### PREPARATION

The OCAT fits into the broader organizational preparedness process, and provides the tools to assess capacity and recommend improvements, so that organizations can make a plan of action.

If senior management is not yet aware or supportive of CTP preparedness or the OCAT, plan a separate workshop/presentation first to advocate for the process and workshop. Doing a preliminary individual assessment or staff survey first using the OCAT can assist with such advocacy, but does not meet the need to discuss the results in a joint participatory process.

Preparation is required to use the tool effectively, at least by the assessment lead and/or facilitator, but preferably also by users/workshop participants so that they understand the criteria and can justify their assessments:

1. Review the indicators/guidance for each of the criteria. If not familiar with the good practices described or referenced, review those documents as well.
2. Where possible, identify and review existing relevant organizational processes, systems or other results such as Strategic and Contingency Plans, Standard Operating Procedures, HR policies, program monitoring and evaluation reports, etc. These can help to both assess and document evidence of capacity.
3. Schedule a workshop or other participatory forum to bring together all key stakeholders, including management, program and operations/support staff across the organization. At least one or two days of workshop are recommended to allow enough in-depth discussion.
4. Ask participants to also review the user guide and if possible to prepare evidence of existing organizational capacity to bring or refer to at the workshop as described above.
5. Prepare for the workshop by agreeing a facilitation plan, and making copies and/or presentations of indicators/guidance and other key content from the user guide, tools, etc.

## ASSESSMENT WORKSHOP/FORUM

A participatory workshop or other forum (e.g. online webinar or discussion board) should be used to jointly conduct and discuss the assessment (and/or the finding in case of a prior survey). Mixed role, smaller groups are best, with each presenting their findings with the broader group. As an alternative, functional groups focused on relevant sections can also work, especially if their findings are further discussed with and validated by the broader group.

A suggested process for the workshop/forum would be:

1. For each of the categories, participants read, reflect on and discuss each of the criteria. If necessary, a collective decision can be made to define, add to or adapt them for the specific context, though not before understanding the indicators/guidance.
2. For each of the criteria, discuss and clarify the indicators and any guidance to ensure all participants are clear on what the criteria means. If necessary, share the relevant sections of the good practice documents referenced.
3. The indicators should allow an objective and evidence-based assessment of some of the key aspects of the given criteria. Not all aspects will however have the same status, and given the summary format of the tool, not all aspects may be listed.
4. Using the scoring description in the user guide or the OCAT scoring matrix, discuss therefore which column best describes the current situation overall. Enter the score into the scoring matrix. Explain decisions and/or refer to any evidence as appropriate and capture it for entry into the tool's comment section as appropriate.
5. Ideally the group (in small groups and in plenary) would reach consensus on the scores, but given the range of aspects covered in each criteria, the final decision may instead need to reflect 'majority opinion'. In such a case it is important to document the differences of opinion, and to record the degree of consensus in the comments section for later consideration during decision-making. Agreeing on specific definitions (for example of 'some/most/all') would also help.
6. The scores can then be graphed and presented using the results worksheet. The 'spider graphs' compare multiple scores in one easy to understand graphic. They can be used to represent the scores for each of the criteria, or total scores for each category.
7. While the scores and graphs are a useful way to present the results, keep in mind that not every category or criteria has equal importance. Prioritizing where to build capacity comes under the next step.

## DEVELOPING RECOMMENDATIONS

As part of the same assessment workshop/forum, or in a separate process, recommendations for improvement should be developed for each of the criteria, or at least those scoring below 4. The recommendation matrix can be used to capture/document the suggestions:

1. Look to score descriptions and the indicators/guidance to identify the specific capacity that needs to be developed or strengthened.
2. Brainstorm the specific changes that could be done. Include targets as relevant and reference CaLP/other good practice and organizational policies as appropriate.
3. Identify implications of the change, including the time, expertise and cost likely required to make them, any resistance to be expected, and any impacts on other programmes.
4. Consider opportunities for advocacy or linking change to other expected events, such as annual planning processes, new funding cycles, pending system upgrades, or recruitment and training rounds.
5. To help identify likely resistance or acceptance, look at both the expected impact from the change, and the degree of consensus on results of the assessment.



6. Results with a high degree of consensus but with low score are the 'easy wins' that most staff should agree need fixing and would have a significant positive impact. While they may be difficult to fix in terms of time or cost, the high level of consensus also supports advocacy to senior management and others for change. Those with high consensus and high scores are an opportunity to 'raise the bar' – i.e. agreement to try to do even better.
7. Results with low degree of consensus and low (average) score need further investigation to determine the actual situation, so a recommendation might be to 'conduct a review in more detail with relevant experts'. Those with higher average scores need greater awareness of the existing policies or capacity that may be in place, so a recommendation might be to have relevant staff more broadly share information on the existing capacity. The criteria could then be re-scored to see if consensus improves.
8. Recommendations should be specific for how changes could be made, by/with whom including service providers such as CaLP, and in what suggested order based on impact, urgency and likely acceptance of change.

## PLAN OF ACTION

After the OCAT is done, senior management needs to review the recommendations and decide how to prioritize and implement the changes. It should consider the urgency, expected impact, the level of effort and cost required to fill each gap, and the likely acceptance, and then decide what makes sense to do first.

Generally, a low score means that significant impact can be gained, so they should be prioritized if the buy-in and resources are available. Not all have the same importance however, so the single lowest score does not necessarily reflect the very highest priority.

The relevant findings and recommendations also need to be embedded into organisational preparedness activities such as conducting regular baseline market assessments, review and updates based on latest good practice, and even regular use of the OCAT to assess and maintain CTP capacity.

The Plan of Action (PoA) is the management tool that then outlines what will be done, by/with whom, and in what order of priority. As with strategic planning, the CTP PoA should be sufficiently resourced and rolled out to enable the implementation to occur.



# ORGANIZATIONAL CAPACITY CRITERIA

For the purposes of this tool, organizational capacity is broken into six categories, each with a number of criteria that must be substantially met for the organization to consider itself ready and/or able to implement CTP effectively.

Each category has a number of criteria that describe what capacity, systems or processes should be in place and routinely used well for effective CTP.

## 1 GOVERNANCE/LEADERSHIP

- 1.1 The organization has a clear vision of where and why CTP as a modality fits into its mission/mandate, goals and structure
- 1.2 Senior management understands, supports and advocates for CTP and is willing to invest in needed planning, resources and systems
- 1.3 The organization has a strategy to effectively manage any changes required for CTP, including empowered focal point(s) for institutionalization and support to staff

## 2 ORGANIZATIONAL MANAGEMENT

- 2.1 CTP is integrated into both strategic planning and emergency preparedness activities
- 2.2 Sufficient donor or internal funding can be secured for CTP to meet response needs and to justify the required investment in organizational capacity
- 2.3 CTP is integrated into mechanisms for learning, sharing and using good practice

## 3 HUMAN RESOURCE MANAGEMENT

- 3.1 Management, program, finance, logistics and other staff have the necessary knowledge, skills and experience to effectively design, implement and monitor CTP as needed
- 3.2 Staff learning and development builds knowledge and skills in line with CTP good practice, and involves and includes management, program and operations staff
- 3.3 Systems to recruit and retain qualified staff include required CTP competencies, and they can effectively meet the staffing needs for CTP in both normal and emergency situations

## 4 FINANCIAL MANAGEMENT

- 4.1 Financial systems are adapted to suit CTP with controls appropriate to the amount of transfer and the degree of risk, are in line with CTP good practice and routinely used effectively
- 4.2 Proposals and program budgets routinely seek sufficient resources for security, finance, Information Management and other operational capacity and infrastructure needed for CTP
- 4.3 Cash/funding reserves are available where possible to enable faster CTP response to humanitarian and operational needs in emergencies



## 5 PROGRAM/PROJECT MANAGEMENT

- 5.1 Policies and procedures (P&Ps) to determine the most appropriate response are in line with CTP good practice and are routinely used effectively, including needs and market assessment, feasibility and risk analysis, and response options analysis.
- 5.2 Policies and procedures (P&Ps) for program design and implementation using CTP modalities are in line with CTP good practice and routinely used effectively, including calculation of transfer amounts, selection of delivery mechanisms and service providers, beneficiary targeting and privacy, and distribution tracking.
- 5.3 Policies and procedures (P&Ps) for monitoring and evaluation (M&E) account for the specific information needed to analyse response effectiveness and efficiency, are in line with CTP good practice and are routinely used effectively.

## 6 EXTERNAL RELATIONS

- 6.1 Effective advocacy and communication strategies and systems reach all relevant stakeholders with appropriate messaging for CTP
- 6.2 Capacity exists and is prioritised for the appropriate level of coordination and collaboration, is sufficiently resourced, regularly engaged in, and recommendations appropriately acted upon with effective result
- 6.3 Relationships with local organizations, service providers, donors and other partners bring added value for CTP and are effectively managed

# CATEGORY I: GOVERNANCE/LEADERSHIP

Cash Transfer Programming (CTP) but can require significant organizational change to successfully implement. For some, it can also threaten their sense of purpose or job security.

Leadership buy-in and support are required to drive change. Organizations need to self-reflect, be willing to invest in needed capacity, and put in place strategies to institutionalize CTP.

## CRITERIA I.1

The organization has a clear vision of where and why CTP as a modality fits into its mission/mandate, goals and structure

### Indicators:

- The organization has thought through the impact of CTP on its mission/mandate, operations and staff, and has a clear vision for the way forward
- The organizational chart has been reviewed to ensure clear lines of authority and accountability for key CTP functions – in integrated or speciality units as appropriate

### Score/Description:

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool’s comment section.

1	2	3	4
There is no mission statement or org. chart, or they have not been reviewed	Organizational structure has been reviewed but not yet adapted to CTP	Organizational structure has been reviewed, adapted to CTP but not rolled out	Organizational structure has been adapted to CTP and been fully rolled out

## CRITERIA I.2

Senior management understands, supports and advocates for CTP and is willing to invest in needed planning, resources and systems

### Indicators:

- Senior management understands, supports and advocates for use of CTP with board/HQ and staff, and supports as needed but also holds accountable those tasked to implement changes and programs
- Senior managers are willing to invest attention, staff time and funding for planning change, for recruiting additional capacity, and for equipment and systems required to implement CTP

### Score/Description:

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool’s comment section.

1	2	3	4
Senior management does not understand or support CTP	Senior management supports CTP, but is not willing or able to invest as needed	Senior management supports CTP and is willing to invest, but not yet fully done so	Senior management drives CTP change, makes investment as and when needed



### CRITERIA 1.3

The organization has a strategy to effectively manage any changes required for CTP, including empowered focal point(s) for institutionalization and support to staff

**Indicators:**

- Senior management has a strategy to manage the required organizational change, including an agreed plan of action for institutionalization of CTP that is known to all relevant staff
- Someone on the board or senior management team is a ‘champion’ of change for CTP, and/or management has appointed and empowered focal point(s) to lead the institutionalization of CTP and provide technical or functional support to management and staff

**Score/Description:**

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool’s comment section.

1	2	3	4
No strategy for CTP has been considered	Strategy not fully in place, or CTP focal point(s) not identified	Strategy in place but not widely known, or CTP focal point(s) not very empowered	Strategy known to all, and empowered CTP focal point(s) in place to manage change

## CATEGORY 2: ORGANIZATIONAL MANAGEMENT

In order to effectively implement CTP, organizations need to have in place clear strategies and capacities to be able to rapidly respond as needed, and the ability to allocate or secure funding for proposed programs as needed.

As a relatively new and fast-evolving approach with few recognized standards but a wide range of tools and guidance available, organizations need the ability to learn and improve each time.

### CRITERIA 2.1

CTP is integrated into both strategic planning and emergency preparedness activities

**Indicators:**

- CTP is incorporated into the organization’s strategic plan, describing where and how the various modalities might be used in existing or new programming, and how it will be communicated to key stakeholders
- CTP is integrated into emergency preparedness/contingency plans to identify, plan for and allow rapid response or scale up of CTP in expected emergencies
  - See CaLP’s [Ready or Not – Emergency Cash Transfers At Scale](#), Section 5.4 Contingency Planning and Preparedness
- Preparedness activities have been done for CTP as required, for example baseline market analysis, service-provider agreements and pre-positioning of equipment and supplies, and development of information management and IT systems to enable CTP processes

### Score/Description:

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool's comment section.

1	2	3	4
No strategic or contingency planning process, or CTP not considered	CTP is partially integrated into strategic and contingency plans	CTP is fully integrated into strategic and contingency plans, and preparedness activities underway	CTP is fully integrated into strategic and contingency planning, and preparedness activities are complete

## CRITERIA 2.2

Sufficient donor or internal funding can be secured for CTP to meet response needs and to justify the required investment in organizational capacity

### Indicators:

- Fundraising teams understand CTP, are able to identify suitable donors, and as necessary advocate for internal stakeholders, external donors and the public to fund CTP
- Those involved in proposal development understand and are able to describe proposed response analysis, design and implementation plans and criteria including risk, cost-effectiveness and impact
- Sufficient program and operational funds can routinely secured to justify the investment of time, effort and additional capacity required to be able to implement CTP

### Score/Description:

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool's comment section.

1	2	3	4
Fundraising does not seek CTP funding	Fundraising can find some CTP donors, but cannot secure much CTP funding	Fundraising can find CTP donors, develop strong proposals and secure some CTP funding	Fundraising can find CTP donors, develop successful proposals and secure sufficient CTP funding

## CRITERIA 2.3

CTP is integrated into mechanisms for learning, sharing and using good practice

### Indicators:

- Process in place to systematically capture internal learning on CTP from program monitoring and evaluation, operational process reviews, case studies, etc.
- Process in place to internally share captured learning and to seek out, assess for relevance and share the latest tools, guidance, training and research from the CTP community of practice
- Process in place for management to regularly review and take action on the uptake and successful use of organizational learning and good practice

**Score/Description:**

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool's comment section.

1	2	3	4
No learning process in place, or does not capture CTP	Process in place to learn and share CTP good practice, but learning not used	Process in place to learn, share and use CTP good practice, but no review of its use or success	Processes in place to learn, share, and regularly review use and success of CTP good practice

## CATEGORY 3: HUMAN RESOURCES CAPACITY

Skilled and effective staff, including managers, program, finance and logistics teams is critical to the successful design and implementation of Cash Transfer Programming (CTP).

Because CTP is a relatively new approach many staff may not yet possess the specific skills required. Because CTP is being used by more and more organizations, skilled and experienced staff can be hard to find or keep.

Human Resource systems and capacity must therefore be able to recruit, develop and retain sufficient qualified staff to meet program needs.

### CRITERIA 3.1

Management, program, finance, logistics and other staff have the necessary knowledge, skills and experience to effectively design, implement and monitor CTP as needed

#### Indicators:

- All staff have been trained in relevant CTP policies and procedures (P&P) as needed
- Human Resources (HR) understands required CTP knowledge, skills and experience, and has put in place systems to regularly assess the capacity of existing staff
  - See [CTP Competency Framework in International Red Cross and Red Crescent Movement Cash in Emergencies Toolkit](#), CaLP's CTP Competency Framework (under development), CaLP's [Guidance Note for Operational and Support Staff involved in Cash Transfer Programming](#)
- Where gaps are identified, systems are in place to effectively develop or recruit the necessary capacity prior to CTP implementation

#### Guidance:

Required expertise includes CTP-related market, risk and response options analysis, transfer payment mechanism and service provider selection, beneficiary data management and privacy, and household and market impact monitoring and evaluation.

### Score/Description:

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool's comment section.

1	2	3	4
Few staff have skills to implement CTP, with no plans to develop capacity	Some staff have the required skills to implement CTP, but plans are made to develop capacity	Most staff have the required skills to implement CTP, and work is underway to develop full capacity	All staff have the required skills to implement CTP effectively with plans for regular review

## CRITERIA 3.2

Staff learning and development (L&D) builds knowledge and skills in line with CTP good practice, and involves and includes management, program and operations staff

### Indicators:

- Learning and development is based on an assessment of CTP training needs and links to organizational mechanisms for learning, sharing and using good practice
  - See Criteria 3.1 and Criteria 2.3 above
- Training is effective and uses or is based on the latest CTP trainings and regularly evaluated
  - See [IFRC/CaLP's e-learning Introduction to Cash Transfer Programming](#)
  - See CaLP's [Level 1](#) and [Level 2](#) Cash Transfer Programming Training, and CaLP's new training course for operations/support staff
- Training reaches all relevant management, program and operations staff, where appropriate in joint training sessions

### Guidance:

CTP requires expertise in a variety of sectors/functions, and also effective integration between functions, i.e. programme staff liaising with logistics, procurement and finance. It is therefore useful to do joint training with programme and operations staff to foster shared understanding.

In addition to CaLP, several larger agencies are also developing or contracting training for their staff and partners, some of which may be available to the broader humanitarian community.

### Score/Description:

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool's comment section.

1	2	3	4
No staff L&D or does not include CTP	Staff L&D includes CTP but not fully in line with good practice	Staff L&D includes CTP in line with good practice, but not for all mgmt., program and operations staff	Staff L&D includes CTP in line with good practice, and reaches all mgmt., program and operations staff

### CRITERIA 3.3

Systems to recruit and retain qualified staff include required CTP competencies, and they can effectively meet the staffing needs for CTP in both normal and emergency situations

**Indicators:**

- Human Resources works with programme and operations to understand required CTP staff functions and competencies
  - See [CTP Competency Framework in International Red Cross and Red Crescent Movement Cash in Emergencies Toolkit](#), CaLP’s CTP Competency Framework (under development), and CaLP’s [Guidance Note for Operational and Support Staff involved in Cash Transfer Programming](#)
- CTP competencies are incorporated into prospective applicant sourcing, job descriptions and selection processes, and in review and reward mechanisms so as to help retain qualified staff
- HR is prepared both for sustaining existing programmes and for rapid recruitment in cases of emergency response

**Score/Description:**

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool’s comment section.

1	2	3	4
HR systems not in place or are not adapted for CTP	HR systems are not fully adapted for CTP or not often effective in recruiting and retaining staff	HR systems are fully adapted for CTP and often effective in recruiting and retaining qualified staff	HR systems are fully adapted for CTP and effective in recruiting and retaining qualified CTP staff as needed

## CATEGORY 4: FINANCIAL MANAGEMENT CAPACITY

Strong financial management is essential for implementing and managing risk in CTP. Systems must be robust and allocated sufficient operational resources and infrastructure, which could be considerable if undertaking CTP for the first time. Cash reserves help with rapid response.

### CRITERIA 4.1

Financial systems are adapted to suit CTP with controls appropriate to the amount of transfer and the degree of risk, are in line with CTP good practice and routinely used effectively

**Indicators:**

- Finance are involved in all CTP feasibility and risk assessment, response analysis and program design to ensure relevant financial controls and required segregation of duties are in place
  - See CaLP’s [Guidance Note for Operational and Support Staff involved in Cash Transfer Programming](#)
- Finance systems and controls are adapted to the relevant modalities and transfer mechanisms selected
  - See CaLP’s [E-transfers in Emergencies: Implementation support Guidelines](#), Section D



- Vendor selection and contracting for banking, financial and mobile payment service providers follows CTP good practice for due diligence and loss prevention:
  - See WFP’s [Cash and Voucher Manual 2014](#), Section B.3.2 Contracting of food merchants and service providers
  - See CalP’s [E-transfers in Emergencies: Implementation support Guidelines](#), Section E

### Guidance:

As Calp’s [E-transfers in Emergencies: Implementation support Guidelines](#), section D outlines, while e-transfers or other electronic systems can allow for real time reporting and improved accuracy, there are some donor compliance challenges, including confirmation of receipt (rather than disbursement) and identification of who actually received the cash. There should therefore be advance agreement with auditors and donors on minimum standards for verifying beneficiary cash collection, as well as on agreed electronic reporting formats.

### Score/Description:

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool’s comment section.

1	2	3	4
No P&Ps in place or do not include CTP	P&Ps in place but not fully in line with good practice; P&Ps are not known to or routinely used by staff	P&Ps in place and in line with good practice, but no process for review; P&Ps known and routinely used but not always effectively	P&Ps in place and in line with good practice, with process for regular review; P&Ps are known and routinely used effectively

## CRITERIA 4.2

Proposals and program budgets routinely seek sufficient resources for security, finance, Information Management and other operational capacity and infrastructure needed to start up and implement CTP.

### Indicators:

- Program budget development process involves finance and other operational staff to identify required additional staff, staff training, equipment and their costs for supporting and implementing CTP effectively
  - See Oxfam’s [Working with Markets and Cash – SOPs and Guidance Notes Sec. 2.9](#)
- Program development and grant management staff are aware of donor attitudes and regulations related to CTP funding, and in particular funding of capacity and infrastructure
- Funding requests routinely seek sufficient operational resources from donors or internal sources as appropriate

### Guidance:

Start up costs can be particularly heavy if CTP has not previously been run in country. This could be due to: cost of experienced staff; use of technology for registration of beneficiaries, data management; and transfer of cash (Oxfam’s [Working with Markets and Cash](#)).

**Score/Description:**

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool's comment section.

1	2	3	4
No process to identify operational needs	CTP operational needs not routinely identified or funding sought	CTP operational needs identified, but funding not routinely sought	CTP operational needs routinely identified and funding sought

**CRITERIA 4.3**

Cash/funding reserves are available where possible to enable faster CTP response to humanitarian and operational needs in emergencies

**Indicators:**

- Where CTP is included in possible emergency responses, sufficient cash and/or funding are held in reserve for the initial program set up and cash distributions once the initial rapid assessment identifies critical responses
- Robust finance processes are in place for rapid authorization, disbursement and reconciliation of cash reserves/funds
- Agreements or systems should be in place to recover the cost and reimburse the cash/fund reserves from later donor or internal funds

**Score/Description:**

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool's comment section.

1	2	3	4
No cash or funding reserves are available	Cash and/or funding reserves are set aside but are not rapidly available or usable	Cash and/or funding reserves are rapidly usable, but no system to recover or replenish	Cash and/or funding reserves are rapidly usable, with system in place to recover and replenish

## CATEGORY 5: PROGRAM/PROJECT MANAGEMENT

Strong program/project management is essential for CTP, including effective design, implementation, and monitoring and evaluation of programs. Processes should be in line with good practice documents as referenced below and/or others available on the CaLP website ([www.cashlearning.org](http://www.cashlearning.org)).

### CRITERIA 5.1

Policies and procedures (P&Ps) to determine the most appropriate response are in line with CTP good practice and are routinely used effectively, including needs and market assessment, feasibility and risk analysis, and response options analysis.

#### Indicators:

- Processes for needs assessments for CTP have, in addition to the usual information, questions relating to understanding how people make, save and spend money, and beneficiary preferences and acceptance
  - For details see the Inter-agency [Multi-Purpose Grant \(MPG\) Toolkit Part 1. Situation and Response Analysis](#), the Humanitarian Practice Network's [Good Practice Review, Cash transfer programming in emergencies](#) and tools such as the [Oxfam 48 hour Assessment](#)
- Processes for market assessment includes baseline and post-disaster analysis and mapping of availability of goods, supply chain capacity and obstacles, market trader preferences, and govt. policies
  - See CaLP's [Minimum Requirements for Market Analysis in Emergencies](#)
- Processes to consider feasibility of using cash or vouchers includes both the capacity of required partners or service providers, and analysis of the risks and opportunities involved for the cash, program and beneficiaries:
  - See above, and [UNHCR's Guide for Protection in Cash-based Interventions](#)
- Response options analysis is used to decide, justify and document which interventions are most appropriate by comparing their fit with objectives and preferences, feasibility with acceptable risk, value for money, and capacity to implement
  - According to [ECHO's 10 Common Principles for Multi-Purpose Cash-Based Assistance](#), multi-purpose assistance should be considered from the outset
- P&Ps have been widely shared with relevant staff, including management, program/technical, finance and other operational staff, and processes are in place for regular updating and review for compliance and effectiveness

#### Guidance:

Capacity analysis includes the performance, reach and attitudes of banks and financial transfer mechanisms and communication services such as mobile phone providers.

Risk analysis considers the likelihood and likely consequences of security issues, corruption, and possible harm to beneficiaries including impact on gender relations, and considers possible mitigation plans for identified risks.

Likely programme participants should be consulted, and a thorough protection and gender analysis done to identify risks, then consideration given to possible mitigation plans.

Response options chosen may include a combination of modalities depending on the context, including cash, vouchers, market support, and in-kind.

Capacity to implement includes internal organization management capacity, human resources capacity, and financial management capacity.

**Score/Description:**

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool’s comment section.

1	2	3	4
No P&Ps in place or do not include CTP	P&Ps in place but not fully in line with good practice; P&Ps are not known to or routinely used by staff	P&Ps in place and in line with good practice, but no process for review; P&Ps known and routinely used but not always effectively	P&Ps in place and in line with good practice, with process for regular review; P&Ps are known and routinely used effectively

**CRITERIA 5.2**

Policies and procedures (P&Ps) for program design and implementation using CTP modalities are in line with CTP good practice and routinely used effectively, including calculation of transfer amounts, selection of delivery mechanisms and service providers, beneficiary targeting and privacy, and distribution tracking.

**Indicators:**

- Processes to determine appropriate transfer amounts and frequency include analysis of existing assistance, income and expenditure data for the respective market and aid context
  - See Humanitarian Practice Network’s [Good Practice Review, Cash transfer programming in emergencies 3.3 How much to give and when to give it](#)
- Where multi-sector/multi-purpose cash assistance is planned, design and implementation involves staff with appropriate sector-specific expertise to determine transfer amounts considering geography, livelihood, degrees of vulnerability, availability of aid, etc.
  - See the inter-agency [Multi-Purpose Grant \(MPG\) Toolkit, Part 2. MPG Transfer Design](#)
- Program design involves the government and other key stakeholders, seeks to understand government policies and plans for social protection, and considers possible impact on and opportunities for linking with intended CTP
  - See the inter-agency [Multi-Purpose Grant \(MPG\) Toolkit, Part 3. Response Design and Plan](#), and [UNHCR’s Guide for Protection in Cash-based Interventions](#)
- Appropriate payment delivery mechanisms are chosen based on analysis of feasibility, including cost-efficiency and cost-effectiveness, and financial and other service providers are competitively chosen with involvement of procurement, finance and other stakeholders as appropriate
  - See [Good Practice Review](#) above, as well as UNHCR’s [Operational Guidelines for Cash-Based Interventions in Displacement Settings, 4.2 Decide on the delivery mechanism](#), and Oxfam’s [Working with Markets and Cash: Standard Operating Procedures and Guidance Notes](#)
- Clear targeting and eligibility criteria and effective processes are used to mobilize, identify, verify and register beneficiaries
  - See inter-agency [Multi-Purpose Grant \(MPG\) Toolkit, Part 3, Section 3\) Targeting Strategy and Determining Eligibility](#)
- Agreements and systems are in place so that the organization and all third parties take appropriate steps to protect beneficiary privacy
  - See CaLP’s [Protecting Beneficiary Privacy – Principles and operational standards for the secure use of personal data in cash and e-transfer programmes](#)

- Cash distribution and reconciliation processes are developed with finance and include appropriate segregation of duties and post-distribution monitoring.

### Guidance:

Social protection considerations include how CTP might link to any social assistance programmes in place, how they might affect CTP targeting or transfer value, whether they can help in delivery of cash or identification of beneficiaries, and whether CTP beneficiaries can be also referred to the longer-term assistance.

As part of risk mitigation strategies, there should be appropriate segregation of duties between program and M&E staff, and risk assessments should be regularly updated.

### Score/Description:

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool's comment section.

1	2	3	4
No P&Ps in place or do not include CTP	P&Ps in place but not fully in line with good practice; P&Ps are not known to or routinely used by staff	P&Ps in place and in line with good practice, but no process for review; P&Ps known and routinely used but not always effectively	P&Ps in place & in line with good practice, with process for regular review; P&Ps are known and routinely used effectively

## CRITERIA 5.3

Policies and procedures (P&Ps) for monitoring and evaluation (M&E) account for the specific information needed to analyse response effectiveness and efficiency, are in line with CTP good practice and are routinely used effectively.

### Indicators:

- M&E includes assessment of impacts both on beneficiaries including protection concerns, and on markets including price monitoring to ensure transfer amounts are still adequate
  - See Humanitarian Practice Network's [Good Practice Review, Cash transfer programming in emergencies Table 13: Key questions for monitoring and evaluating cash projects](#)
- Impact monitoring, including markets is on-going and regular, with clear plans for programme amendments if impact changes
- Where multi-sectoral or multi-purpose CTP is implemented, M&E processes involve staff with relevant sector-expertise

### Guidance:

In addition to standard post-distribution monitoring, questions are needed not just whether it was received but what was done with it and how it affected household decisions; any impacts such as inflation and if possible any multiplier effects on local economies; and impact on household and community dynamics including concerns about anti-social use, security and gender inequities in decision-making.

It is also important to assess the results of other program design assumptions, such the efficiency and cost-effectiveness of the chosen payment delivery mechanisms.

**Score/Description:**

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool's comment section.

1	2	3	4
No P&Ps in place or do not include CTP	P&Ps in place but not fully in line with good practice; P&Ps are not known to or routinely used by staff	P&Ps in place and in line with good practice, but no process for review; P&Ps known and routinely used but not always effectively	P&Ps in place and in line with good practice, with process for regular review; P&Ps are known and routinely used effectively

## CATEGORY 6: EXTERNAL RELATIONS

Effective advocacy, communication, coordination and partnerships require well-planned and managed relationships with target external stakeholders, with strategies for regular review.

### CRITERIA 6.1

Effective advocacy and communication strategies and systems reach all relevant stakeholders with appropriate messaging for CTP

#### Indicators:

- Where necessary advocacy is done with donors, host governments and implementing partners to encourage acceptance and funding or use of CTP
  - See ODI's [Doing cash differently](#), including its 12 Recommendations of the High Level Panel on Cash Transfer says the questions should always be asked: 'why not cash?' and 'if not now, when?'
- Communications strategies and messages are developed in line with CTP good practice to ensure acceptance and effective participation
  - See Humanitarian Practice Network's [Good Practice Review, Cash transfer programming in emergencies, Table 8: Dissemination audiences and messages](#)
- Sufficient time and resources are put into beneficiary sensitization activities, so that all recipients know what their entitlements are, and understand the processes they need to follow to access the cash
  - See CaLP's [Communicating Cash, A Quick Guide To Field Communications In Cash Transfer Programming](#)

### Score/Description:

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool's comment section.

1	2	3	4
No advocacy or communication strategies in place, or do not include CTP	Some advocacy and communication strategies in place, but not in line with CTP good practice	Most advocacy, and communication strategies are in place and in line with CTP good practice	Effective advocacy, and communication strategies are in place and in line with CTP good practice, and are regularly reviewed

## CRITERIA 6.2

Capacity exists and is prioritised for the appropriate level of coordination and collaboration, is sufficiently resourced, regularly engaged in, and recommendations appropriately acted upon with effective result

### Indicators:

- Management nominates enough staff with appropriate decision-making authority to represent the organization in relevant cash coordination forums, and allows sufficient time for the role
  - See CaLP's [Cash Coordination Toolkit](#)
- Relevant staff routinely promote, participate in and report back on activities of Cash Working Groups, on CTP in other sector WGs or other formal or informal coordination mechanisms as established
- Management puts systems in place to present well-prepared proposals to, and to review, plan and implement recommendations of CTP coordination process

### Guidance:

Job descriptions, supervision and performance evaluation for managers and staff should include expectations and responsibilities for CTP coordination effort and results.

Coordination activities include joint response options analysis, harmonization of processes or service provider agreements, and multi-purpose cash coordination across sectors.

### Score/Description:

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool's comment section.

1	2	3	4
No coordination in place or attempted, or CTP is not considered	CTP coordination is engaged in on an ad-hoc basis, or is not routinely acted upon	CTP coordination is routinely engaged in and acted upon, but staff not fully resourced	CTP coordination is routinely resourced, engaged in and acted upon, with regular assessment of results



### CRITERIA 6.3

Relationships with local organizations, service providers, donors and other partners bring added value for CTP and are effectively managed

**Indicators:**

- Relevant partnerships with service providers, the private sector and local organizations are in place to help implement CTP as appropriate
- Partnerships are designed and chosen to provide useful additional capacity not available to the implementing organization without excessive bureaucratic processes or costs
- Partnerships are well negotiated, with clear and thoroughly documented agreements, and processes for complaints and dispute resolution
  - See WFP’s [Cash and Voucher Manual 2014](#), Section B.3.2, and CaLP’s [E-transfers in Emergencies: Implementation support Guidelines](#), Section E

**Guidance:**

Functions of partners can include financial services providers, mobile phone networks, and other agents to transfer cash; Private sector and other non-traditional donors to fund infrastructure or provide expertise, and Implementing partners to conduct contracted program activities and services.

Additional capacity brought by partners can include cost effectiveness due to use of existing systems or economies of scale, advantages of the broader or more specific reach, expertise or technology they have, or a transfer of some of the financial risk and insurance or security costs to external provider.

Organizations should try to agree harmonized agreements and processes with other CTP actors, and base selection criteria and contract terms on CTP good practice.

**Score/Description:**

After reviewing the indicators/guidance, discuss/decide which column/score best describes the current situation. Explain and/or give evidence as appropriate in the tool’s comment section.

1	2	3	4
No partnerships in place though helpful, or do not cover CTP	Partnerships not all added value, or not effectively managed, or not in line with CTP good practice	Partnerships bring added value, are effectively managed in line with CTP good practice, but not regularly reviewed	Partnerships bring added value, are effectively managed in line with CTP good practice, and are regularly reviewed





# ANNEX I: OCAT SCORING MATRIX

Category 1: Governance / Leadership							
#	Criteria	1	2	3	4	Score	Comment
1.1	The organization has a clear vision of where and why CTP as a modality fits into its mission/mandate, goals and structure	There is no mission statement or org. chart, or they have not been reviewed	Organizational structure has been reviewed but not yet adapted to CTP	Organizational structure has been reviewed, adapted to CTP but not rolled out	Organizational structure has been adapted to CTP and been fully rolled out		
1.2	Senior management understands, supports and advocates for CTP and is willing to invest in needed planning, resources and systems	Senior management does not understand or support CTP	Senior management supports CTP, but is not willing or able to invest as needed	Senior management supports CTP and is willing to invest, but not yet fully done so	Senior management drives CTP change, makes investment as and when needed		
1.3	The organization has a strategy to effectively manage any changes required for CTP, including empowered focal point(s) for institutionalization and support to staff	No strategy for CTP has been considered	Strategy not fully in place, or CTP focal point(s) not identified	Strategy in place but not widely known, or CTP focal point(s) not very empowered	Strategy known to all, and empowered CTP focal point(s) in place to manage change		
Category 2: Organizational Management							
#	Criteria	1	2	3	4	Score	Comment
2.1	CTP is integrated into strategic planning and emergency preparedness activities	No strategic or contingency planning process, or CTP not considered	CTP is partially integrated into strategic and contingency plans	CTP is fully integrated into strategic and contingency plans, and preparedness activities underway	CTP is fully integrated into strategic and contingency planning, and preparedness activities are complete		
2.2	Sufficient donor or internal funding can be secured for CTP to meet response needs and to justify the required investment in organizational capacity	Fundraising does not seek CTP funding	Fundraising can find some CTP donors, but cannot secure much CTP funding	Fundraising can find strong proposals and secure some CTP funding	Fundraising can find CTP donors, develop successful proposals and secure sufficient CTP funding		
2.3	CTP is integrated into mechanisms for learning, sharing and using good practice	No learning process in place, or does not capture CTP	Process in place to learn and share CTP good practice, but learning not used	Process in place to learn, share and use CTP good practice, but no review of its use or success	Processes in place to learn, share, and regularly review use and success of CTP good practice		

**Category 3: Human Resource Management**

#	Criteria	1	2	3	4	Score	Comment
3.1	Management, program, finance, logistics and other staff have the necessary knowledge, skills and experience to effectively design, implement and monitor CTP as needed	Few staff have skills to implement CTP, with no plans to develop capacity	Some staff have the required skills to implement CTP, but plans are made to develop capacity	Most staff have the required skills to implement CTP, and work is underway to develop full capacity	All staff have the required skills to implement CTP effectively with plans for regular review		
3.2	Staff learning and development builds knowledge and skills in line with CTP industry good practice, and involves and includes management, program and operations staff	No staff L&D or does not include CTP	Staff L&D includes CTP but not fully in line with good practice	Staff L&D includes CTP in line with good practice, but not for all mgmt., program and operations staff	Staff L&D includes CTP in line with good practice, and reaches all mgmt., program and operations staff		
3.3	Systems to recruit and retain qualified staff include required CTP competencies, and they can effectively meet the staffing needs for CTP in both normal and emergency situations	HR systems not in place or are not adapted for CTP	HR systems are not fully adapted for CTP or not often effective in recruiting and retaining staff	HR systems are fully adapted for CTP and often effective in recruiting and retaining qualified staff	HR systems are fully adapted for CTP and effective in recruiting and retaining qualified CTP staff as needed		

**Category 4: Financial Management**

#	Criteria	1	2	3	4	Score	Comment
4.1	Financial systems are adapted to suit CTP with controls appropriate to the amount of transfer and the degree of risk, are in line with CTP good practice and routinely used effectively	No P&Ps in place or do not include CTP	P&Ps in place but not fully in line with good practice; P&Ps are not known to or routinely used by staff	P&Ps in place and in line with good practice, but no process for review; P&Ps known and routinely used but not always effectively	P&Ps in place and in line with good practice, with process for regular review; P&Ps are known and routinely used effectively		
4.2	Proposals and program budgets routinely seek sufficient resources for security, finance, Information Management and other operational capacity and infrastructure needed for CTP	No process to identify operational needs	CTP operational needs not routinely identified or funding sought	CTP operational needs identified, but funding not routinely sought	CTP operational needs routinely identified and funding sought		
4.3	Cash/funding reserves are available where possible to enable faster CTP response to humanitarian and operational needs in emergencies	No cash or funding reserves are available	Cash and/or funding reserves are set aside but are not rapidly available or usable	Cash and/or funding reserves are rapidly usable, but no system to recover or replenish	Cash and/or funding reserves are rapidly usable, with system in place to recover and replenish		

**Category 5: Program/Project Management**

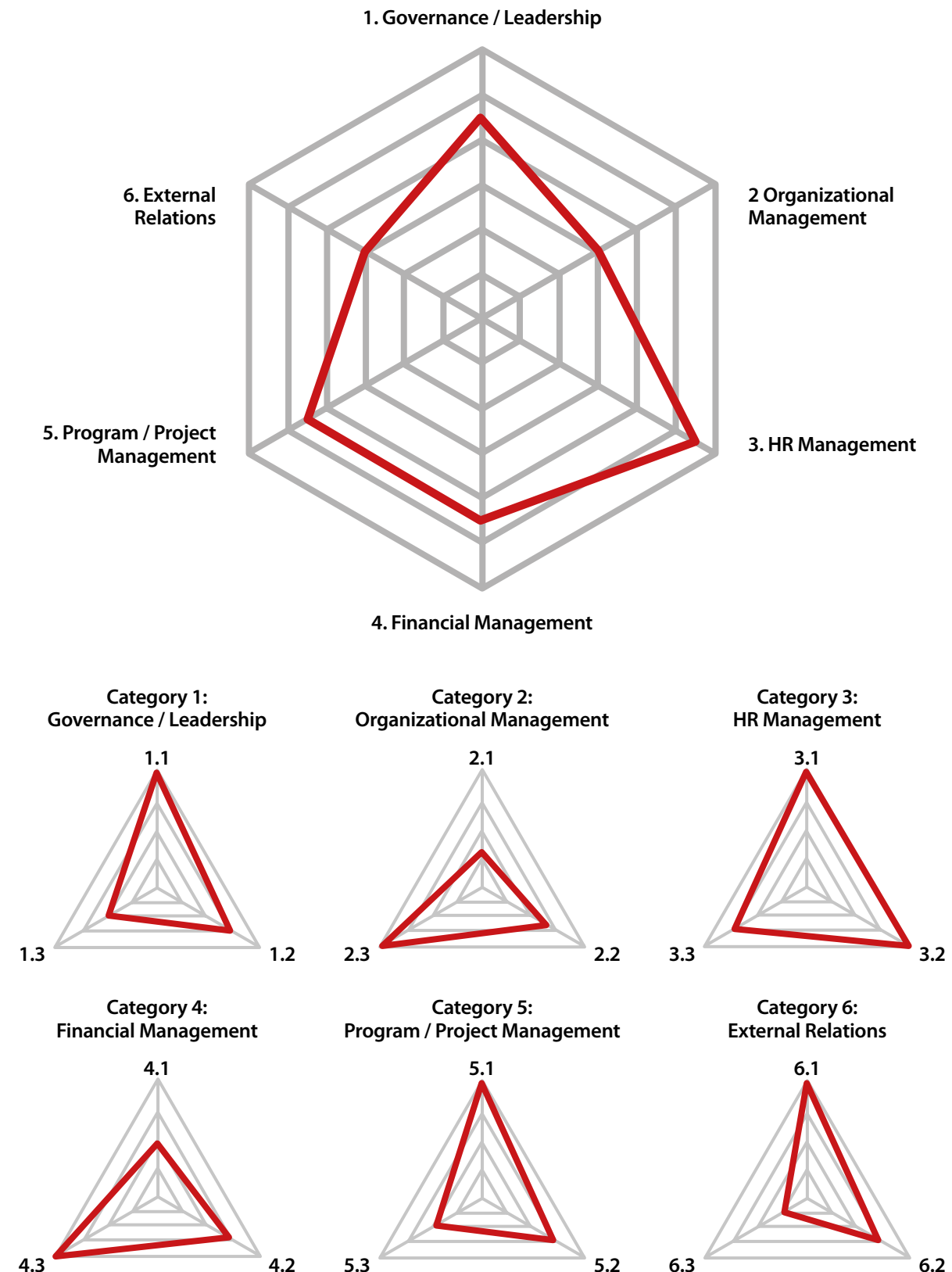
#	Criteria	1	2	3	4	Score	Comment
5.1	Policies and procedures (P&Ps) to determine the most appropriate response are in line with CTP good practice and are routinely used effectively, including needs and market assessment, feasibility and risk analysis, and response options analysis	No P&Ps in place or do not include CTP	P&Ps in place but not fully in line with good practice; P&Ps are not known to or routinely used by staff	P&Ps in place and in line with good practice, but no process for review; P&Ps known and routinely used but not always effectively	P&Ps in place and in line with good practice, with process for regular review; P&Ps are known and routinely used effectively		
5.2	Policies and procedures (P&Ps) for program design and implementation using CTP modalities are in line with CTP good practice and routinely used effectively, including calculation of transfer amounts, selection of delivery mechanisms and service providers, beneficiary targeting and privacy, and distribution tracking	No P&Ps in place or do not include CTP	P&Ps in place but not fully in line with good practice; P&Ps are not known to or routinely used by staff	P&Ps in place and in line with good practice, but no process for review; P&Ps known and routinely used but not always effectively	P&Ps in place and in line with good practice, with process for regular review; P&Ps are known and routinely used effectively		
5.3	Policies and procedures (P&Ps) for monitoring and evaluation (M&E) account for the specific information needed to analyse response effectiveness and efficiency, are in line with CTP good practice and are routinely used effectively	No P&Ps in place or do not include CTP	P&Ps in place but not fully in line with good practice; P&Ps are not known to or routinely used by staff	P&Ps in place and in line with good practice, but no process for review; P&Ps known and routinely used but not always effectively	P&Ps in place and in line with good practice, with process for regular review; P&Ps are known and routinely used effectively		

**Category 6: External Relations**

#	Criteria	1	2	3	4	Score	Comment
6.1	Effective advocacy and communication strategies and systems reach all relevant stakeholders with appropriate messaging for CTP	No advocacy or communication strategies in place, or do not include CTP	Some advocacy and communication strategies in place, but not in line with CTP good practice	Most advocacy, and communication strategies are in place and in line with CTP good practice	Effective advocacy, and communication strategies are in place and in line with CTP good practice, and are regularly reviewed		
6.2	Program, technical and operational coordination on CTP is sufficiently resourced, regularly engaged in, and recommendations appropriately acted upon with effective result	No coordination in place or attempted, or CTP is not considered	CTP coordination is engaged in on an ad-hoc basis, or is not routinely acted upon	CTP coordination is routinely engaged in and acted upon, but staff not fully resourced	CTP coordination is routinely resourced, engaged in and acted upon, with regular assessment of results		
6.3	Capacity exists and is prioritised for the appropriate level of coordination and collaboration, is sufficiently resourced, regularly engaged in, and recommendations appropriately acted upon with effective result	No partnerships in place though helpful, or do not cover CTP	Partnerships not all added value, or not effectively managed, or not in line with CTP good practice	Partnerships bring added value, are effectively managed in line with CTP good practice, but not regularly reviewed	Partnerships bring added value, are effectively managed in line with CTP good practice, and are regularly reviewed		

## ANNEX 2: OCAT SAMPLE RESULTS GRAPHS

### ORGANIZATIONAL CAPACITY ASSESMENT TOTAL SCORES BY CATEGORY





## ANNEX 3: OCAT RECOMMENDATIONS MATRIX

<b>Category 1: Governance/Leadership</b>			
#	Criteria	Recommendation	Implications, costs/effort, timing/priority, etc.
1.1	The organization has a clear vision of where and why CTP as a modality fits into its mission/mandate, goals and structure		
1.2	Senior management understands, supports and advocates for CTP and is willing to invest in needed planning, resources and systems		
1.3	The organization has a strategy to effectively manage any changes required for CTP, including empowered focal point(s) for institutionalization and support to staff		
<b>Category 2: Organizational Management</b>			
#	Criteria	Recommendation	Implications, costs/effort, timing/priority, etc.
2.1	CTP is integrated into strategic planning and emergency preparedness activities		
2.2	Sufficient donor or internal funding can be secured for CTP to meet response needs and to justify the required investment in organizational capacity		
2.3	CTP is integrated into mechanisms for learning, sharing and using good practice		
<b>Category 3: Human Resource Management</b>			
#	Criteria	Recommendation	Implications, costs/effort, timing/priority, etc.
3.1	Management, program, finance, logistics and other staff have the necessary knowledge, skills and experience to effectively design, implement and monitor CTP as needed		
3.2	Staff learning and development builds knowledge and skills in line with CTP industry good practice, and involves and includes management, program and operations staff		
3.3	Systems to recruit and retain qualified staff include required CTP competencies, and they can effectively meet the staffing needs for CTP in both normal and emergency situations		

**Category 4: Financial Management**

#	Criteria	Recommendation	Implications, costs/effort, timing/priority, etc.
4.1	Financial systems are adapted to suit CTP with controls appropriate to the amount of transfer and the degree of risk, are in line with CTP good practice and routinely used effectively		
4.2	Proposals and program budgets routinely seek sufficient resources for security, finance, Information Management and other operational capacity and infrastructure needed for CTP		
4.3	Cash/funding reserves are available where possible to enable faster CTP response to humanitarian and operational needs in emergencies		

**Category 5: Program/Project Management**

#	Criteria	Recommendation	Implications, costs/effort, timing/priority, etc.
5.1	Policies and procedures (P&Ps) to determine the most appropriate response are in line with CTP good practice and are routinely used effectively, including needs and market assessment, feasibility and risk analysis, and response options		
5.2	Policies and procedures (P&Ps) for program design and implementation using CTP modalities are in line with CTP good practice and routinely used effectively, including calculation of transfer amounts, selection of delivery mechanisms and service providers, beneficiary targeting and privacy, and distribution tracking.		
5.3	Policies and procedures (P&Ps) for monitoring and evaluation (M&E) account for the specific information needed to analyse response effectiveness and efficiency, are in line with CTP good practice and are routinely used effectively		

**Category 6: External Relations**

#	Criteria	Recommendation	Implications, costs/effort, timing/priority, etc.
6.1	Effective advocacy and communication strategies and systems reach all relevant stakeholders with appropriate messaging for CTP		
6.2	Program, technical and operational coordination on CTP is sufficiently resourced, regularly engaged in, and recommendations appropriately acted upon with effective result		
6.3	Capacity exists and is prioritised for the appropriate level of coordination and collaboration, is sufficiently resourced, regularly engaged in, and recommendations appropriately		

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The Cash Learning Partnership

As evidence has grown of its impact, an increasing number of organizations, donors and governments are taking an interest in 'Cash Transfer Programming' (CTP) in humanitarian crises. Many organizations are considering it for the first time, while use by others is expanding or increasing in scale.

The Cash Learning Partnership (CaLP) has therefore developed an updated Organizational Capacity Assessment Tool (OCAT) to allow organisations to assess their capacity to deliver and/or scale-up CTP effectively. This version 2.0 is based on review of the original CaLP tool and a range of other capacity assessment tools, including those few used specifically for CTP.

The Organizational Capacity Assessment Tool (OCAT) comprises a User Guide, Tool Worksheets for use in scoring and graphing results respectively, and a Recommendations Matrix. Assessment is done in six categories of organizational capacity, each with a series of criteria. Discussion and scoring on each of the criteria allows the organization to determine gaps and make recommendations for building the required capacity.

The OCAT is intended as a self-assessment tool for organizations to identify gaps and required capacity building for CTP, and to measure progress against initial or target benchmarks.

This research was commissioned by the Cash Learning Partnership (CaLP), with the generous support of the European Commission's Humanitarian Aid department (ECHO).



Humanitarian Aid  
and Civil Protection