

**CASH TRANSFER PROGRAMMING ORGANIZATIONAL CAPACITY ASSESSMENT  
TOOL (CTP OCAT) TO SUPPORT THE INSTITUTIONALIZATION OF CASH  
TRANSFER PROGRAMMING**  
By CaLP  
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**This document is complemented by a tool in an excel file, kindly refer to it.**

## **BACKGROUND AND PURPOSE**

Since the inception of CTP in emergencies, organizations have looked individually and collaboratively to put systems in place and share good practices for quality CTP. While CaLP has been supportive on the uptake of CTP broadly and the development of tools, organizational capacity building has not yet been approached in a strategic manner, with a comprehensive assessment tool that would provide a holistic picture on the level of cash institutionalization. More often than not, capacity building has been limited to HR development and the provision of trainings.

The purpose of this tool is to provide institutions with a solid methodology and supportive instruments to assess their institutionalization of CTP and thus their capacity to deliver quality CTP in a significant scale, and come up with a capacity building workplan. It also aims at addressing barriers that have or may exist for CTP adoption within organizations, by pointing out the areas where further support is needed. A shorter version of the assessment aims at providing quick criteria to decide on an organization capacity to perform a rapid cash response in an emergency context and is closer to setting up minimum standards.

Thus, the vision for the “CTP Organizational Capacity Assessment Tool (CTPOCAT)<sup>2</sup>” designed by CaLP is to enable assessments taking place in 3 different operational settings:

- A. Supporting emergency response aiming at taking rapid steps for capacity building through a simplified and emergency friendly version of the tool. At minimum, the tool can be supportive in the rating of implementers’ capacity and self-assessment or to set up standards (fit for purpose) prior to making a decision to respond via a specific implementer. We should be wanting to balance an acceptable level of risk with speed and scale.
  
- B. Building organizations (non-state) on a medium-term commitment (6 months -1 year). Some specific areas of assessment can be defined to reduce its scope and length.

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<sup>2</sup> CaLP is grateful to McKinsey Company for its free access to its OCAT tool <http://mckinseysociety.com/ocat/> which was a source of inspiration for the CTPOCAT. It has also drawn from the Spanish Red Cross Livelihood Tool <http://www.livelihoodscentre.org/> and numerous other organizational capacity tools available to the public.

- C. Building States Capacity to undertake CTP. Similarly to the CADRI<sup>3</sup> tool for DRR capacity assessments, this would be seen as medium term commitment (over 1-2 years) for the whole process and would be strongly linked to Minimum Preparedness Package provision or other preparedness efforts, including peer to peer support initiatives.

## **TOOL**

The tool is an excel book that generates the questionnaires for the 3 type of uses. The possible questions are listed on a sheet on which the assessor will select the most relevant ones for his/her context and organization by the allocation of a 1 or 0 attribute. The book will then automatically generate the questionnaire under the relevant section.

A score based on a simple addition has been defined by default. It is possible to adapt the scoring methodology in the future and after the first trials. At this stage, CaLP recommends that if scores are generated, it would be only for an institutions to measure its progress and not as a comparative tool cross-organizations. It is possible to develop scoring system on a range of 1-5 rating, or by topics. This is left for the organization to decide. Similarly, organizations may want to reorganize the structure to reflect their own frameworks or to adjust to preexisting data collection tools in order to simplify the obtention of responses to the question. For this reason the tool has been kept generic enough to accommodate all sorts of needs.

As the tool will be of free access, it is encouraged for organizations to pilot, use and adapt it as long as they feedback to CaLP so that the CoP can learn from the various experiences.

CaLP would be glad to organize webinars to share theses experiences or when enough examples would be collected, to publish some of the experience as well as to reedit the tool including field examples. CaLP will also pilot the tool in some of its projects and can act as a facilitator if need be to perform a CTP OCAT assessment upon request.

## **PROCESSES**

- A. For A, the process could take the form of a self-assessment or be done collaboratively under the lead of a Cash Working Group, a Cluster or other coordination group or by a donor or a host government. Once the key questions (advisable 10-15) are selected, organizations will rate themselves and possibly identify rapid support needed (for example a specific training)<sup>4</sup>.

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<sup>3</sup> <http://www.cadri.net/>

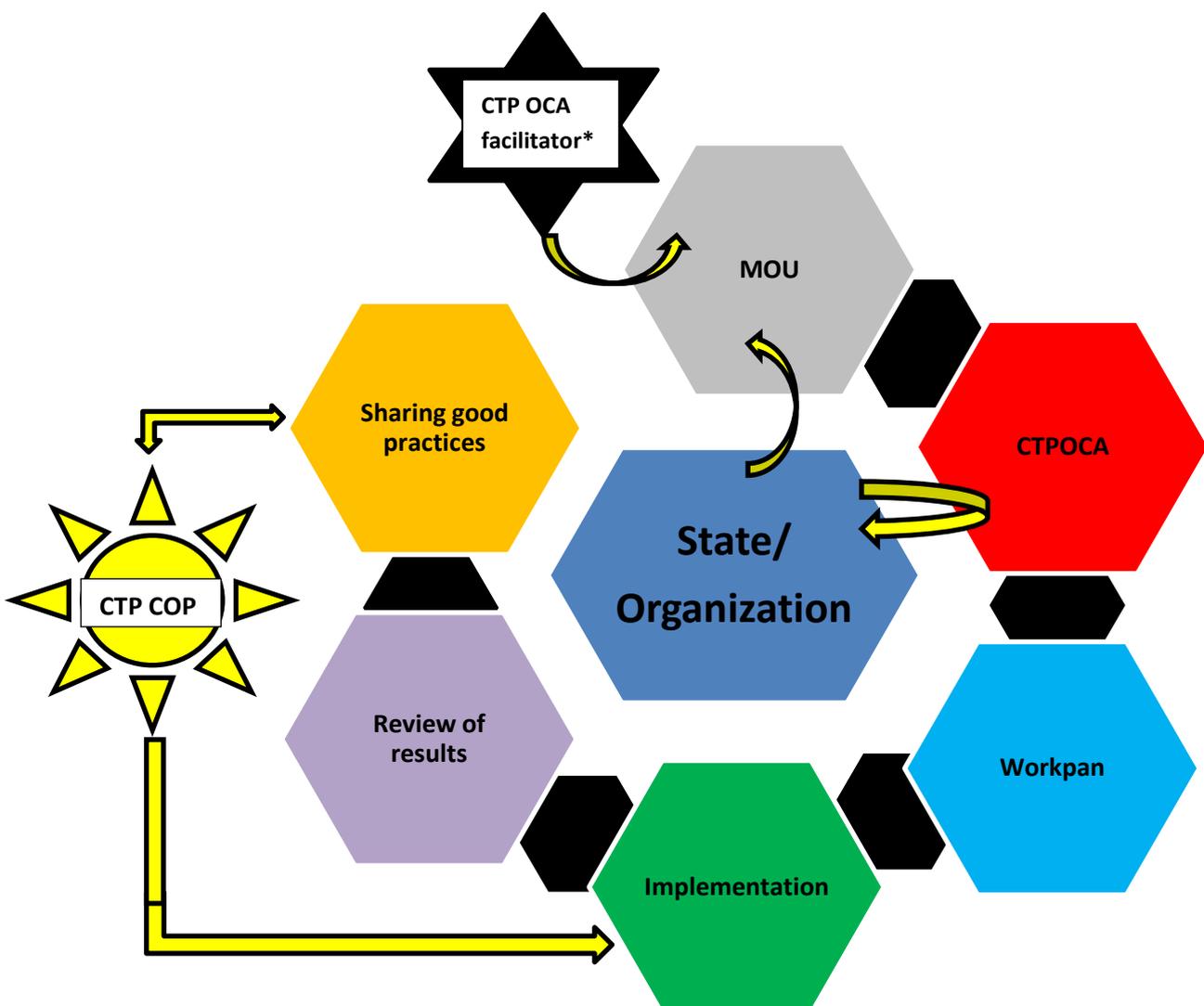
<sup>4</sup> CaLP would very much like to collect experiences from Country Based Cash Working Groups that would like to use the tool to come up with their context relevant minimum criteria (possibly standards) for emergency cash response.

B and C. For B and C, the process would be organized around 6 key steps: MoU, Assessment, Workplan, Implementation of the Workplan, Review, Sharing Knowledge.

A *Facilitator* needs to be appointed. It could be CaLP or other partner organizations including joint teams. In case of self-assessment, a steering group and a focal point can be appointed. It can also take the form of a peer-to-peer mechanism.

For State capacity assessments, it is also possible to embed the tool within existing mechanisms such as DRR capacity assessment (CADRI) or in support of Social Protection Systems design.

Although it is foreseen to have a facilitator, the CTPOCAT is first and foremost a participatory assessment tool.



- **\*CaLP or other partner organizations including joint teams can act as facilitator. In case of self-assessment, a steering group and a focal point can be appointed. It can also take the form of a peer-to-peer mechanism.**

## ACTIONS

The CTPOCAT outlines a common approach for all partners in B and C, however the process will still need to be tailored to the context and specific organizations capacities and needs. It is anticipated that the following activities will be carried out in each case.

### Step 1: MoU

In order to focus effectively the CTPOCA a MoU between involved parties will be prepared prior to beginning. The document will need to incorporate the following elements:

- Description of the action
- Objectives and results
- Budget
- Chronogram
- Commitments of the parties
- Roles

Preferably, a steering committee would be established for the process, or at minimum a focal point will be identified.

Organizations, for reasons of priorities, resource or time may also require the CTPOCAT to be focused on specific areas and not rolled-out in all its comprehensive scope. That would be object of discussion when developing the MoU.

- **By the end of this process an MOU is signed and the key assessment questions annexed.**

### Step 2: Participatory assessment

An initial participatory diagnosis is first conducted with the purpose of identifying capacities and gaps in the existing institutionalization of CTP. This assessment may include:

- Discussions with team members at different levels and sectors (including all support functions) to deepen knowledge of existing capacities and gaps, experience and environments and identify internal resources. Country visits will be included depending on the scope of the assessment.
  - Surveys (including on-line surveys), workshops and focus groups discussions will be the main methodological tools used.
  - Indicators for results will be identified and measured.
- **By the end of this process information to respond to the assessment questions will be compiled and analyzed. Recommendations will be drawn.<sup>5</sup>**

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<sup>5</sup> This is a very summarized outlines, with the feedback from pilot organization, a more explicit methodology or good practices could be outlined with step by step approach or recommendations. The tool is a work in progress in this aspect.

### **Step 3: Plan of action**

Based on the capacities and needs identified in the initial diagnosis, a tailor-made action plan will be developed. It could possibly be broken down by function or sectors. The plan of action should identify where the resource is available to address the actions envisioned and clearly highlight where external resources technical and non-technical are needed. The plan of action will include indicators and milestones that will measure progress and allow for reflection on whether changes need to be made to achieve the envisaged outputs. It will need to be validated by the organization higher-level management. There are many ways a plan of action can be developed but they will almost always include a workshop. Sometimes team may be able to draft a workplan out a 2 days workshop, sometimes the process will be longer especially when addressing states that will have to pass it to different ministries and decisional instances.<sup>6</sup>

- **By the end of this process an action plan is developed and validated.**

### **Step 4: Implementation**

Depending on the type of actions and MoU arrangement, CaLP could provide direct support, facilitate peer-to-peer support through the CTP Community of Practice or help in the identification of specialized external support. In many instance, the assesse may simply undertake the actions itself as the CTPOCAT help it to identify areas where to bring its attention. It can also be used by an organization to leverage funds for it to be able to appoint the right capacity at the right place.

If training support is requested to CaLP, the CTPOCAT will enable the identification of the priority training elements to bring in either a tailor-made package or through the enrolment of staff within the CaLP general training offer. In all cases, CaLP will then complement with a rapid training need assessment to help the organization participation in CaLP trainings or develop a tailor-fit package.

- **By the end of this process activities under the action plan are being rolled out. A training package is also designed. Advocacy/Fundraising activities can be pursued.**

### **Step 5: Review of Progress/Evaluation**

A review of the progresses should take place to measure the degree of achievements of the milestones set in the workplan and measure the indicators, as well as to provide learning from the process and orient future undertakings.

- **By the end of this a review is undertaken and the workplan adapted if needed.**

### **Step 6: Sharing Knowledge with the CTP CoP**

The sharing with the wider CTP Community of Practice will be encouraged and could be done through dissemination events such as webinars or workshops as well as by making material available to others on the CaLP website.

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<sup>6</sup> If organizations share their workplan with CALP, that will enable to annex some typical examples, recommended indicators and best practice

- By the end of this process communication material and events will have ensured the sharing of the good practice.

### CHRONOGRAM (Indication)

	YEAR 1												YEAR 2			
	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A
Design	■															
MoU	■	■														
Assessment			■	■	■											
Development of Workplan						■										
Implementation							■	■	■	■	■	■				
Trainings							■	■	■	■	■	■				
Monitoring of Indicators/Milestones							■	■	■	■	■	■				
Review of Progress												■				
Share experiences Learning event													■	■	■	■

This chronogram is mainly for B and C scenarios and can be shortened for organizations requiring only some specific sectors to be strengthened.