

# ORGANIZATIONAL CASH READINESS ASSESSMENT

Project Concern International  
and Relief International  
Case Study





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## ACKNOWLEDGEMENTS

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## EXECUTIVE SUMMARY

The Cash Learning Partnership (CaLP) partnered in 2016 with two organizations, Relief International (RI) and Project Concern International (PCI), to support them through a six-month process to strengthen their organizational readiness to deliver cash or voucher programming, using CaLP's Organizational Capacity Assessment Tool (OCAT). During this OCAT process, an organization assesses its current readiness to implement cash or voucher programming and develops plans for improvements. The implementation of these plans is not part of this OCAT process.

RI and PCI engaged in this partnership with CaLP because they recognized the increasing relevance of cash and voucher programming and identified the need and desire to strengthen their own organizational readiness and capacity for using this modality. CaLP's interest in the partnership was its overall promotion and support of the institutionalization of cash and voucher programming readiness beyond the technical training of individuals in the required techniques, and its willingness and desire to improve the OCAT. CaLP supported RI and PCI by orienting both organizations to the process and the tool, and by giving guidance during the assessment/scoring and action planning activities.

Both organizations successfully completed the process. The OCAT scores were generally at the low- to mid-range, as anticipated. Each organization invested over 100 days in the process that resulted in detailed action plans for the next 12–18 months. The estimated level of effort (LOE) for these plans is significant, and is divided between activities that have cash or voucher programming specific outcomes (LOE-Cash) and those that improve organizational capacity and efficiency in general (LOE-Org).

	RI	PCI
<b>Phase 1: Assessment and Planning</b>	Person Days	
LOE OCAT Process	165	110
<b>Phase 2: Implementation</b>		
LOE-Cash	787	176
LOE-Org	760	93
<b>LOE-Total</b>	<b>1547</b>	<b>269</b>

This case study presents various lessons learned for CaLP and for organizations that are considering going through a similar process. For example, PCI and RI were both appreciative of, but also surprised by, the comprehensiveness of the process. They decided on different approaches to the process based on their organizational context. In summary, the recommendations for organizations are:

1. Do not underestimate the significant level of effort this process takes.
2. View the process as an organizational development initiative, not as a cash or voucher programming technical training needs assessment.
3. Define the approach to the process based on organizational factors such as the level of '*organizational match*' between current programmes and cash and voucher programming, the degree of uniformity and cohesion between the parts of the organization that will be part of the process or '*organizational mash*' (see the *Organizational framework and the process* section below), and the level of active involvement of senior leadership in meetings.
4. Secure and make visible senior leadership support for and participation in the process.
5. Establish a process timeline that allows ample time for coordination and feedback.
6. Explicitly define in some detail the roles of internal and/or external process facilitators.
7. Plan for significant work after the process to transition to implementation.

CaLP learned from this partnership that the OCAT needs to be updated and streamlined. CaLP has released a new version, called the [Organizational Cash Readiness Tool \(OCRT\)](#). This tool comes with the [OCRT Instructions](#) and the Organizational Cash Readiness (OCR) Process Guide. While this document references the OCAT, the focus is on lessons learned from the process that will also be applicable to the OCRT.

The case study involved evaluating what type of services organizations such as RI and PCI would like from CaLP when going through this process. In addition to providing the tool and associated instructions, the type of service most mentioned by participants was active process facilitation to guide them through the organizational development and change process. CaLP will need to consider its future support for the institutionalization of cash and voucher programming readiness based on these findings.

## INTRODUCTION

An increasing number of organizations, donors and governments are taking an interest in cash and voucher programming in humanitarian crises, as evidence of its impact has grown. Many organizations are considering using it for the first time, while others are expanding or increasing their use of cash and vouchers. The Cash Learning Partnership (CaLP) initiated a Strengthening Institutional Capacity programme in 2016 in the US. One aspect of this programme included CaLP facilitating support to enable organizations: 1) to diagnose their unique internal cash-readiness challenges, using its Organizational Capacity Assessment Tool (OCAT), and 2) to design action plans for organizational change to address those challenges. Most organizations will be able to complete the assessment and planning (Phase 1) in three to six months. Phase 2, not included in this case study, would cover action plan implementation.

CaLP secured funding to offer OCAT Phase 1 facilitation services to NGOs in the US and released a Request for Application for those services in July 2016. CaLP selected Relief International (RI) and Project Concern International (PCI) and signed Letters of Agreement with them in September, with a contract end date of 31 March 2017.

This is a case study of RI's and PCI's OCAT Phase 1 processes, and of CaLP's support to those processes. Each process was independent of the other, but combining them in one case study provides helpful supplementary information for organizations interested in using the OCAT and going through a similar process to strengthen their organizational readiness for cash and voucher programming. In addition, CaLP is planning to use this case study to update its OCAT and associated resources and services.

It is important to understand from the outset of this case study that RI and PCI are both medium-sized NGOs, but they have different beginnings and programming portfolios. RI, jointly headquartered in Washington, DC and London with additional senior management based in Los Angeles, is largely relief focused, and was founded out of a response to an earthquake in Iran in 1990. Its mission is to reduce human suffering by responding to natural disasters, humanitarian emergencies and chronic poverty. RI blends humanitarian and development efforts to resolve immediate needs and lay the groundwork for long-term impact.<sup>1</sup> It has a strong humanitarian assistance emphasis and a portfolio that readily links to the interest in cash and voucher programming across the organization.

PCI was founded in 1961 and has its roots in international development work in the health sector in Mexico, just across the US border from its main headquarters in San Diego; it now maintains a second headquarters in Washington, DC. Its mission is to empower people to enhance health, end hunger and overcome hardship. PCI works in vulnerable communities to improve health and create long-term change by helping people help themselves.<sup>2</sup> Its programming includes disaster relief and recovery, and includes several cash and voucher programmes; however, its overall portfolio is more development and long-term focused. Recent efforts to promote cash and voucher programming have been associated with humanitarian response as opposed to development assistance. As such, PCI has less experience with cash and vouchers than other, more relief-centred organizations.

This case study demonstrates how RI and PCI each implemented their approach to the OCAT process, and the lessons learned.

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<sup>1</sup> [www.ri.org/about-us](http://www.ri.org/about-us)

<sup>2</sup> [www.pciglobal.org/our-mission/](http://www.pciglobal.org/our-mission/)



## METHODOLOGY

The research for this case study has been retrospective, gathering and analysing feedback on the OCAT Phase 1 process after the fact, while also maintaining a prospective component, looking to apply lessons learned to improve the OCAT and related future CaLP services. The research mainly used a qualitative approach to data gathering and analysis, by reviewing personal notes and transcripts of semi-structured interviews with seven key process participants:

- The main RI process facilitator and assistant process facilitator;
- The main PCI process facilitator and assistant process facilitator;
- Three CaLP cash and voucher programming technical specialists and process facilitators.

The data-gathering phase also included sending out surveys: one to key informants (the RI and PCI process facilitators), and another to all 20 RI and 13 PCI OCAT process participants. Attachment A shows the two survey versions used. The surveys had several open-ended questions and two level-of-satisfaction questions (1: low; 5: high). All process facilitators responded to the survey request, and 10 process participants answered all or part of the survey questions. Attachment B has the quantitative responses (scores) to the survey level-of-satisfaction questions.

The qualitative data was analysed using coding software. The subsections in the next chapter represent the final four code clusters: 1) the OCAT, 2) the process, 3) the outcome, and 4) CaLP services.



# OCAT PROCESS OVERVIEW

An organization can use the OCAT to take a snapshot of its current cash and voucher programming readiness, and then use that assessment to develop plans to address shortcomings. This typically means going through a facilitated multistep process of getting familiar with the tool, contextualizing the tool as needed to the particular work and language of the organization being assessed, gathering evidence for scoring each indicator, deciding on the final scores, forming recommendations, and developing action plans to increase organizational readiness for cash and voucher programming.



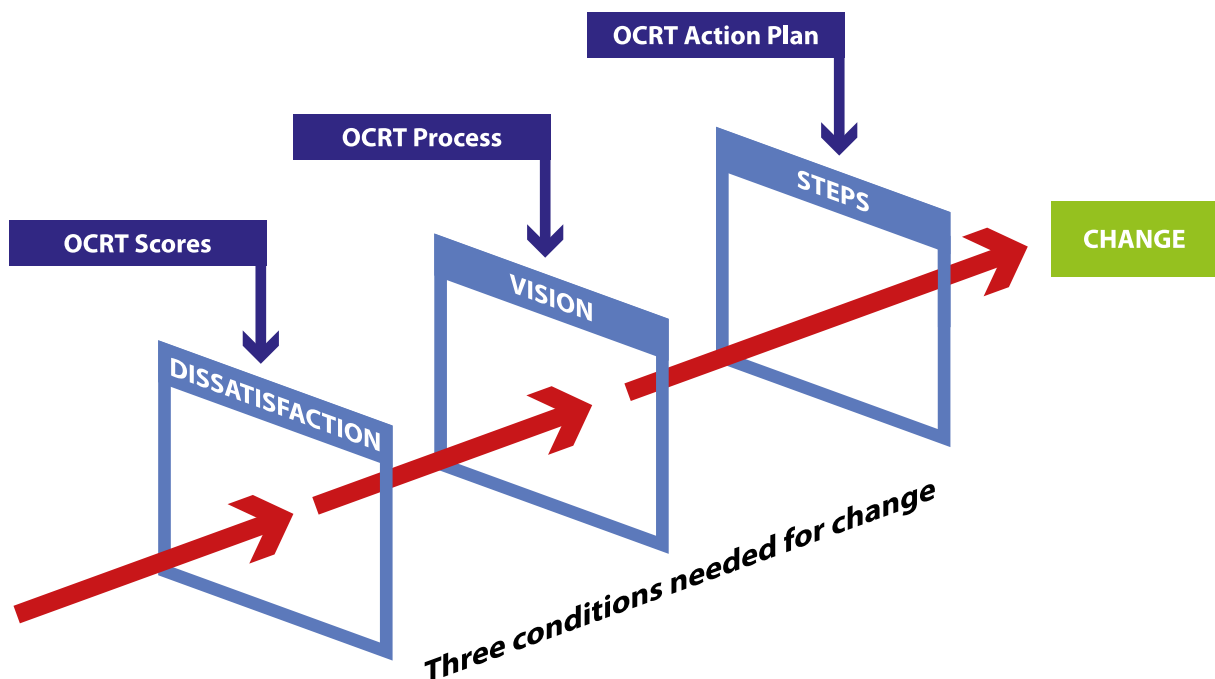
An organization of any type or size can use the OCAT, with the caveat that every organization will want to tailor or contextualize the tool to its circumstances, and that the current tool is best suited to grant or contract recipients rather than donor organizations. The initial OCAT was developed with input from grant-making organizations, but later versions have removed those nuances. The tool is not meant to be used for a quick assessment in isolation. It is best to involve a broad cross-section of staff from diverse departments and locations, and to appoint a process facilitator or small facilitation team. The facilitators can be external consultants and/or internal staff members.

The overall standard OCAT process has six steps. It includes a set of three meetings:

1. Orientation Meeting;
2. Scoring Meeting;
3. Action Planning Meeting.

The time between these meetings is for evidence gathering, soliciting feedback and finalizing recommendations. The last activity of the OCAT Phase 1 process is developing and reviewing the action plan with senior leadership to secure approval for its implementation (Phase 2).

The OCAT process is a self-assessment and is best used as part of an organization-wide preparedness process that facilitates organizational development in an integrated fashion. Involvement of senior leadership is crucial to bring about the desired organizational change.





Organizational change principles are pertinent throughout the OCAT process. Effective and sustainable change only happens when three conditions are in place: 1) people have a dissatisfaction with the status quo, 2) people embrace a clear vision of a better future, and 3) people understand the immediate next steps/actions that will lead towards that vision. The OCAT process can cultivate each of these three conditions.

The OCAT itself is an Excel file with two linked tabs/spreadsheets: *OCAT Details* and *OCAT Graphs*. The first tab has all the information and data, including the scores. The second tab shows outputs in the form of average scores and scoring information in bar charts. The first part of the *OCAT Details* spreadsheet depicts the core elements of the tool: 6 categories, 20 criteria, 88 indicators and 352 score descriptions (4 per indicator).<sup>3</sup>

Category 1						
#	Criteria	Indicator	1	2	3	4
1.1	Title					
		1.1.a. Title	Score description	Score description	Score description	Score description
		1.1.b. Title	Score description	Score description	Score description	Score description
		1.1.c. Title	Score description	Score description	Score description	Score description
1.2	Title					
		1.2.a. Title	Score description	Score description	Score description	Score description
		1.2.b. Title	Score description	Score description	Score description	Score description
		1.2.c. Title	Score description	Score description	Score description	Score description
		1.2.d. Title	Score description	Score description	Score description	Score description
1.3	Title					
		1.3.a. Title	Score description	Score description	Score description	Score description
		1.3.b. Title	Score description	Score description	Score description	Score description
		1.3.c. Title	Score description	Score description	Score description	Score description
Category 2						
#	Criteria	Indicator	1	2	3	4
2.1	Title					
		2.1.a. Title	Score description	Score description	Score description	Score description
		2.1.b. Title	Score description	Score description		

<sup>3</sup> Note: the OCRT is structured similarly, though it has only 4 categories, 14 criteria, 55 indicators and 220 score descriptions.

At the highest level, the OCAT has six categories and 20 criteria:

<b>Category 1: Governance/Leadership</b>	
	1.1 Vision for CTP
	1.2 Change for Strategy
	1.3 Senior Management
<b>Category 2: Organizational Management</b>	
	2.1 Plans & System Capacity
	2.2 Funding/Proposal Capacity
	2.3 Knowledge Management
<b>Category 3: Human Resource Management</b>	
	3.1 Knowledge, Skills & Abilities (KSA)
	3.2 Staff Learning and Development (L&D)
	3.3 Recruitment and Retention
<b>Category 4: Operations and Finance Management</b>	
	4.1 Finance & IT System
	4.2 Operations Staff
	4.3 Proposals and Program Budgets
	4.4 Reserve Funds
<b>Category 5: Program/Project Management</b>	
	5.1 Policies & Procedures (P&Ps)
	5.2 Guidance for Field Offices
	5.3 Project Design Guidance
	5.4 Implementation
	5.5 Monitoring & Evaluation (M&E)
<b>Category 6: External Relations</b>	
	6.1 Advocacy & Communications
	6.2 Coordination

Each criterion has several indicators, which form the lowest level of organizational sub-functions or processes that need to be evaluated to assess organizational cash and voucher programming<sup>4</sup> readiness. They indicate the level of preparedness by way of a score selection of a 1, 2, 3 or 4, the latter indicating optimal capacity and readiness.

The last three columns in the *OCAT Details* tab have the labels: Evidence Collected, Reason for Score, and Recommendations. The user needs to fill in these fields for each indicator. A rigorous and inclusive process of collecting evidence, scoring and recording the rationale for each score, and collaboratively developing and listing recommendations reduces subjectivity and bias. It also ensures that the OCAT outputs are objective and that action plans are based on evidence and the best available information.

<sup>4</sup> Please note that in this figure and others, CTP stands for 'Cash Transfer Programming' though in this case study it refers to both cash and voucher programming.

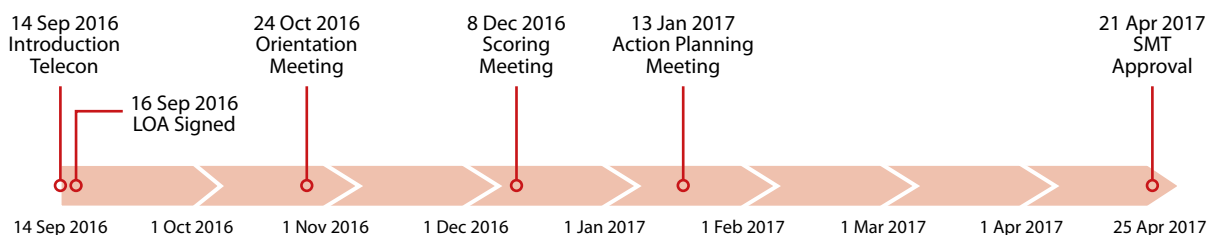


## FEEDBACK AND OBSERVATIONS

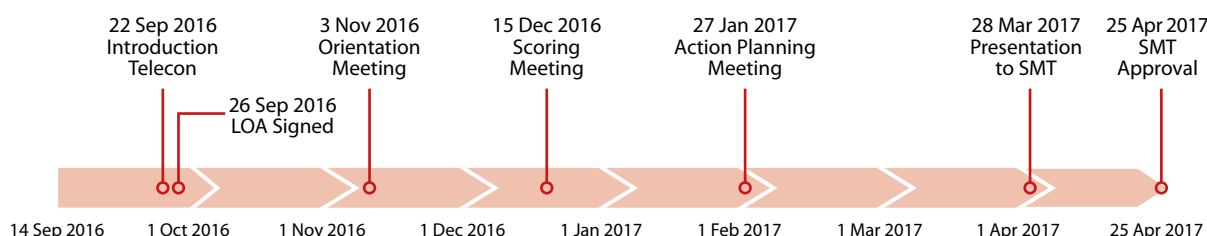
The OCAT Phase 1 processes for RI and PCI ran in parallel. The following figure shows the major milestones in each process, side by side.

### OCAT Process Milestones

#### Relief International



#### Project Concern International



Each process included much activity and communication internal to PCI and RI, and between these organizations and CaLP. The subsections below capture the main feedback from participants and facilitators as well as general observations and lessons learned.

### THE OCAT

	OCAT Version	
	MAR 2016	OCT 2016
Categories	6	6
Criteria	18	20
Indicators		88

The March 2016 OCAT version previously on the CaLP website was not the version that PCI and RI used in their process. CaLP contracted an organizational change management specialist in August 2016 to assist with facilitating the OCAT Phase 1 process for the selected US-based NGOs. The specialist’s first task, however, was to adapt the March 2016 OCAT and related templates and instructions to the US NGO context, since this would be the first time the full OCAT Phase 1 process would be used in the US. The OCAT was updated from having 6 categories, each with 3 criteria, totalling 18, to a version with the same 6 categories, but now with a total of 20 criteria and 88 indicators. The March 2016 version required an organization using the OCAT to self-assess and score itself on the 18 criteria. The updated version increased the number to be scored to 88 indicators. The main reason for this change was to disambiguate the old criteria. Most criteria covered multiple aspects of cash and voucher programming, and the wording in the score descriptions only partially covered the scope of the associated indicator. This made the scoring process somewhat more subjective, with greater potential for variation in interpretation. In the October 2016 OCAT, the criteria were disambiguated by placing each cash and voucher programming aspect in its own sub-criterion or indicator, and by moving all content on these aspects from the criteria to the scoring descriptions, avoiding confusion about the scope of each item to be scored. RI and PCI used the October 2016 version and contextualized the tool slightly to their own organizations at the beginning of the OCAT process.

The OCAT tool received some positive and negative feedback from RI and PCI. The positive input mostly came from the process facilitators. They appreciated the tool for its comprehensiveness, both for the breadth (range) of topics covered by the six categories, and for the depth (detail) on each topic. The facilitators gave the tool a score of 4.0. One of the facilitators noted that the structure of the tool was helpful and allowed for easy linking from indicator to score, to recommendations, and to resulting action steps. A CaLP facilitator mentioned that the tool has many details, and that any facilitator needs to be very aware of those details to guide the process and to adjust the tool when needed.

Most of the feedback on the tool was more critical. The participants only had an average 2.6 level of satisfaction with the tool, according to the survey results. Several found it too complex, unnecessarily lengthy, and not very well synchronized between categories. One facilitator said, 'The tool is daunting to some, especially to those who were not involved in the entire process.'

There also were some comments about the OCAT content and language:

- It could have been tailored a bit better to fit our organizational needs.
- Make a version more appropriate for implementation NGOs, rather than funding/grant-making NGOs.
- Fixing the tool at the beginning of the process was time-consuming and challenging.
- There seems to be a level of repetition of topics in the tool because of the way the six categories are laid out. You don't want to lose anything, but overlap and repetitiveness should be avoided.

Interestingly, a few people mentioned the need to expand the tool for organizational support functions such as finance and HR: 'Those areas could and should be more specific and unpacked.'

## THE PROCESS

Most feedback was associated with the broad topic of *the process*. This section presents that feedback under four subheadings: 1) Process length, timing and intensity, 2) Process steps, 3) Internal process facilitation, and 4) CaLP process support role. The latter only covers the general perceived role which CaLP had in the process. A later section, *Feedback and observations*, covers in more detail the specific types of services CaLP provided and recommendations of options for CaLP to consider in the future.

### Process length, timing and intensity

How much time did it take RI, PCI and CaLP to go through this process? What level of effort was required? CaLP signed Letters of Agreement with both PCI and RI articulating respective roles and responsibilities in implementing the OCAT. The Letter of Agreement stipulates that CaLP would provide approximately 20 days of cash and voucher programming and organizational change expertise in support of each organization. The letter mentions that the organization's main facilitator (focal point) might need 10–15 days of effort for evidence gathering and tool fitting (contextualizing the OCAT to the organization), supported by 10–20 days by junior- to mid-level staff. It also notes that department leads need to commit at least 2 days per month to this process. This would result in a total level of anticipated investment of 80–100 days. The letter is silent on the anticipated level of effort required on the part of additional staff within the departments.

Based on the collected feedback, these are the rough estimates of the total level of effort required for the OCAT Phase 1 process:

- CaLP: 100 days (combined for both organizations)
- RI: 165 days
- PCI: 110 days

It should be noted that this was the first time that CaLP's North America office facilitated this type of full process. Subsequent processes may take less effort on CaLP's part, given the experience gained with RI and PCI and the process templates and tools developed. In addition, CaLP double-staffed these two processes as learning opportunities, which would be another reason for a significantly reduced level of effort on CaLP's part in future cases.

Several people found the overall process unnecessarily lengthy and intense. One participant said, 'The process is too long. It requires a major investment for what is just one way of providing benefits.' Participants scored the length of the process at 2.4.

It is interesting that the process facilitators also recognized the length of time over which the assessment was completed, and the intensity of the process, but found both the length and intensity worthwhile and indeed necessary:

- Going through the OCAT process is a lot of work, and that is part of the point, to better understand our organizational capacity.
- I heard the grumblings about how much time this OCAT process was taking, but because of the robustness of the process it connected many people within our organization and highlighted our organizational challenges.
- Every step was valid, even though it took a lot of time. I previously expressed an interest in an OCAT-light version, but the longer process was worth it.
- Managing change takes time. You need good change management strategies. Having significant time for discussions among peers in the same room, discussing the merits of each indicator, is very beneficial to the change process.
- I heard some people say that they appreciated the in-depth approach. 'Why don't we use the same rigour with other topics/needs?'
- It is good to have a longer process, because we need to give people time to adjust to new ideas. A long process also requires a bigger investment by staff, which creates more of a connection with the outcome.
- Yes, this is a long process, to show how important each function is in a cash or voucher programme, and how important it is to make changes.
- All organizations struggle with doing proper response analysis and then actually responding. There is a need to bring the technical and operational functions together. This is why the OCAT process is valuable, because it brings together all these functions within an organization. This takes time.

The timing of the OCAT process came up as an issue. The year-end holiday schedule was a factor, and both organizations were going through a strategic planning effort. One person observed the mixed impact:

*It was the opportune time to talk with senior leadership to make cash and vouchers part of the strategic plan. On the other hand, many members of the senior leadership who were heavily invested in the strategic planning process saw the OCAT process as a distraction from strategic decisions on personnel assignments and resource allocations. The timing worked against us.*

The clear lessons learned are that the rationale for the process length needs to be explained to all participants, and that the timing of the OCAT process needs to take all other main organizational activities and initiatives into account.

## Process steps

Prior to initiating the OCAT process, CaLP had several meetings with PCI and RI to clarify the process and to ensure the involvement and support of the organizations' leadership. This preparation is critical to starting the process on the right foot.

### Step 1: The Orientation Meeting

This meeting is the official, public starting point of the OCAT process. The purpose is to give leadership the opportunity to demonstrate organizational commitment to the process and to empower the assigned process facilitators. It also is the first time for participants to get together and learn what the OCAT process is all about. One participant recalled the Orientation Meeting as a helpful and positive step:

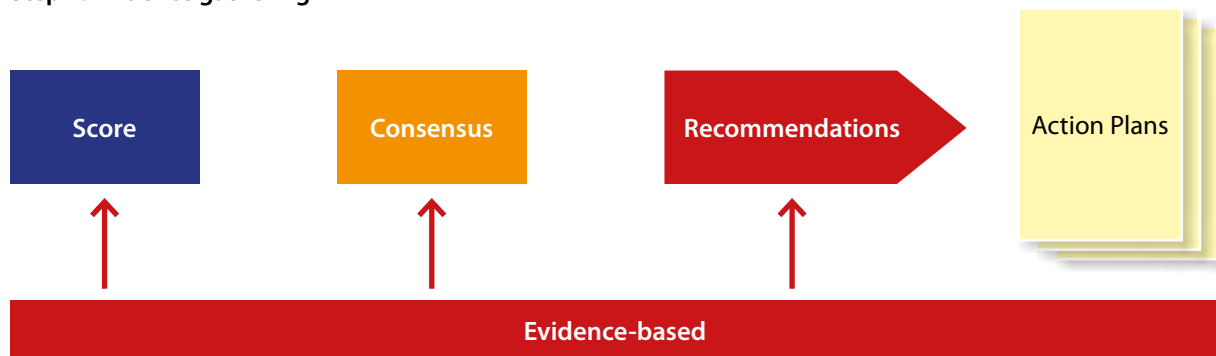
The CEO was there and the main facilitator set the scene well, showing the need for cash and voucher programming readiness and the strategic importance to us as an organization. All the pieces were put in place. The CEO clearly had empowered the main facilitator to facilitate this process.

However, even a well-prepared Orientation Meeting may encounter obstacles:

We got off track in the first big meeting. The meeting was not focused and the process seemed like a lot of work. There were many questions about the tool, and it wasn't clear how we could pull this off. If there is some way to make it seem less overwhelming initially, that would be good.

These two different experiences show the importance of getting the process off to a good start. Participation by senior leadership is important, and the meeting facilitators should be well prepared to explain the role of cash and voucher programming within the organizational mission, present the OCAT process clearly, and state the anticipated level of effort required.

### Step 2: Evidence gathering



Both organizations gathered the various evidence documents and organized them into shared folders for each OCAT category. They wrote evidence summary statements for each indicator prior to the Scoring Meeting. Both RI and PCI sought evidence and feedback on the OCAT process from the field, through surveys. However, a representative of PCI commented: 'I think that we didn't have as much feedback from the field as we would have liked, due to time constraints. The evidence-gathering phase could have been better by designing better questions.'

We learn from this that evidence gathering is a time- and effort-intensive step that involves staff from across the organization to cover all the indicators in the six OCAT categories. The investment in evidence gathering should not be underestimated. It also is important to remember that the OCAT process is evidence-based. The investment in gathering the evidence is well worth it, as it not only supports the scoring step but also the formulation of recommendations and action plans, and even the implementation of the plans. The evidence represents the status quo of an organization's cash and voucher programming readiness. The more information you have about the status quo, the better you can plan for and bring about change.

### Step 3: Scoring Meeting

The Scoring Meetings of PCI and RI went differently for various reasons. Participants agreed that this is an effort-intensive activity, as much information needs to be processed by multiple people, assessing the data's validity, accuracy and significance, and coming to consensus on the resulting score for each indicator based on that assessment. That takes focused attention to much detail in various contexts.

At RI, the Scoring Meeting took two full days with ten RI staff in attendance, including four from its senior leadership team. RI convened senior staff and facilitators from New York, London and Los Angeles in its Washington, DC office to participate in the meeting in person, with additional senior staff present by phone throughout. The facilitators split the participants into two groups. Each group went through the entire OCAT, looking at evidence summary statements, indicator and score descriptions, and deciding on an appropriate score. The intermittent plenary sessions introduced participants to the scoring task, compared scores and rationale for scoring between groups, and decided on the final score for each indicator. People appreciated the collaborative team effort and honest discussions. One person mentioned that the meeting could be shortened:

I think it took too long to ask both groups to split and score ALL indicators, then ask them to go through all scores again in a plenary session. Although I think this was valuable in terms of consensus building and teasing out nuances, for organizations that don't have much time, this could be shortened.

PCI's Scoring Meeting was scheduled over three half-days and took place in Washington, DC. A small core group facilitated and attended all meeting sessions, and other participants were brought in when discussions and scoring focused on the OCAT category most applicable to their organizational function. The main participants in this meeting were evidence-gathering coordinators, and several attended virtually/remotely from PCI's main headquarters in San Diego. These evidence-gathering coordinators had previously been appointed for each category and asked to pre-score each indicator in that category prior to the Scoring Meeting. During the first half-day of the Scoring Meeting, the core team reviewed all pre-scores and answered three questions for each indicator: 1) do we agree with the score? 2) is there enough evidence? 3) do we need to discuss this with the larger group tomorrow? In many cases, the evidence was clear and the score was obvious, so further discussion was not deemed warranted. This pre-processing by the core group significantly reduced the amount of information to be processed by the larger group, and allowed the latter to focus only on scoring those indicators that needed more discussion and input from a broad cross-section of the organization.

RI and PCI used different approaches to the Scoring Meeting, but both were successful in reviewing the evidence, recording the discussions and arriving at scores for each indicator. While the OCAT process was designed to have the entire participant team go through all indicators, i.e. RI's approach, PCI's approach fit better with its geographical structure and time constraints.

The lesson learned is that each individual organization will need to adapt the process to its own context and limitations, and that adaptation can affect details such as how to conduct a Scoring Meeting. One approach is not better than another if certain principles are applied, such as:

1. Base scores on demonstrated evidence;
2. Record the discussions about evidence and scores as additional evidence;
3. Use a collaborative process that ensures the participation of the right people on each topic/indicator;
4. Appreciate the cross-pollination, awareness raising and team building that come from broad collaborative processing. This sets a stronger foundation for validating and implementing the action plan.

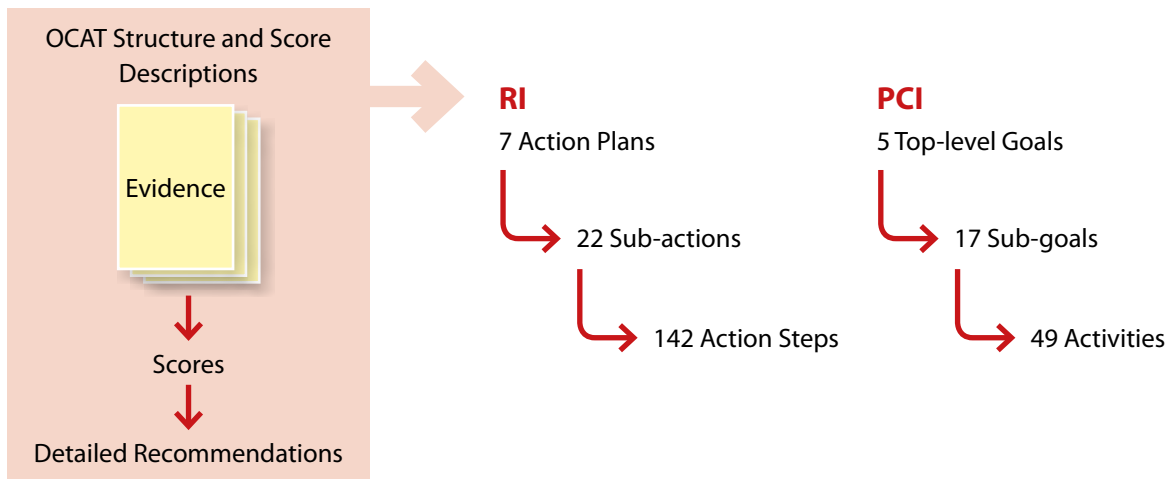
#### **Steps 4/5: Recommendations/Action Planning Meeting**

The third and last meeting in the process is the Action Planning Meeting.

RI had a two-day working meeting with the same core team of participants as the previous meetings. Based on the OCAT scores and about 125 recommendations connected to OCAT indicators, the facilitators grouped the recommendations into seven high-level clusters or action plans, and developed 22 low-level clusters as sub-actions under these action plans. They used CaLP's action plan template, populated it with information about the seven action plans and 22 sub-actions, and introduced the participants to this information and the template prior to the Action Planning Meeting. The purpose of the meeting was to review and update the clustering output developed by the facilitation team in consultation with participants, and to work together to develop action steps underneath each sub-action. One of the CaLP facilitators commented, 'The facilitators did a good job socializing everyone to the action plan template provided by CaLP. People had looked at the templates and were familiar with them.' By the end of the meeting, RI had defined 142 action steps with assignees and timelines (start and due dates).

The PCI facilitators processed the OCAT scores and formulated 227 detailed recommendations. They developed their own action plan template and derived from the detailed recommendations 5 top-level goals and 17 more detailed sub-goals. In an approach similar to pre-scoring, the PCI facilitators collaborated bilaterally within the organization prior to the Action Planning Meeting, to define a total of 49 activities under the sub-goals. The purpose of the one-day Action Planning Meeting, therefore, was to consult with senior leadership regarding the goals, sub-goals and activities drafted by the facilitation team. The meeting took place in San Diego rather than Washington, DC, where the first two meetings were held. The majority of participants were members of the senior leadership team, and included a mix of core team members who had been involved throughout the process and team members that had only limited participation in the previous meetings.





Taking the different organizational contexts into consideration, both Action Planning Meetings met their respective objectives. RI developed action plans with senior leadership involvement, and PCI reviewed its pre-developed plans with its senior leadership.

### Internal process facilitation

Both RI and PCI appointed an internal OCAT process facilitator, and both had an assistant as well. The internal process facilitators were technical experts and were, at least at the start of the process, considered to be the organizational focal points for cash and voucher programming. In the interviews with the various facilitators from CaLP, PCI and RI, and in some survey responses, a few comments were made about the internal OCAT process facilitators:

- The RI main facilitator gets people prepared and uses his assistant effectively.
- RI is very humanitarian-focused. It [humanitarian work] constitutes a large share of their portfolio. This means that the main facilitator [the Humanitarian Director] has a significant role with influence in the organization.
- PCI does humanitarian work as well, but this work, and cash and voucher programming, is not as central to who they are as [it is] with RI. This may have impacted the main facilitator's level of access to stakeholders within the organization.
- I really, really appreciated our [PCI's] main facilitator's leadership in all this! She made it relatively painless for us all and was a steady, proactive and effective guide and pusher of progress. She pulled together information, created templates and instructions, and effectively shared it with all participants.
- I can't speak highly enough about our [PCI's] main facilitator and what she did for the organization. She was the ideal person for it. She is very organized and hardworking.

These comments bring out the importance of process facilitation and the key role that a facilitator, or facilitation team, plays in this process. They also highlight an important difference between PCI's and RI's mission focus regarding development and humanitarian programming. While most of the OCAT could apply to either humanitarian or development programming contexts, this distinction was perceived as relevant to the assessment of readiness for cash and voucher programming.

Given the organizations' different missions, the OCAT addressed a more significant portion of the programme portfolio of RI than of PCI. The RI facilitator is well connected because his cash and voucher programming expertise applies to several of RI's programmes. Within PCI, the use of cash and vouchers is growing but is not yet a large part of the programming, nor is it present in most of its country operations. This different level of 'organizational match' between cash and voucher programming and an organization's programme portfolio can explain the different approaches to internal process facilitation. The process at RI benefited from visible executive support and resources, which contributed to interest from across the organization and leadership, and allowed for collaborative teamwork. The facilitators' role was to guide a collaborative process with distributed responsibility. At PCI, leadership was supportive, but resources were more limited. As such, the facilitators played a more active

role with greater responsibility, consulting bilaterally with different parts of the organization to complete many tasks. Some staff at PCI were less familiar with cash and voucher programming, which meant that the facilitators expended more effort explaining the *organizational match*. Both facilitation teams can be commended for their ability to recognize the unique context of their respective organizations and to adjust their facilitation approach accordingly. The OCAT process is about organizational development and change, and knowing the organization (context) certainly is one of the pillars of organizational change management.

Senior management support of and involvement in the OCAT process is important to ensure that it is an organization-wide effort with good participation. In RI, both management support and engagement was strong. PCI also had general leadership support, but had less involvement of senior management throughout the process.

Comments about management support in RI:

- There was support for the process among key Senior Management Team (SMT) members from the start. They demonstrated an organizational resolve to get better at cash and voucher programming.
- It was clear that the SMT was interested in contributing all the way through the process.

Comments about management support in PCI:

- It seemed like senior leadership had delegated matters to the DC office leadership and the main facilitator, but they didn't stay engaged and were challenged to contribute constructively when consulted at the end (i.e. at the Action Planning Meeting).
- Management could have given the facilitator more support. She stepped forward, which was great, but that created some problems as well. People were saying that this was her thing, which was an unfortunate perception.

The overall organizational context led to these different approaches to management support, which is understandable, but it still is helpful to realize the follow-on effects of these approaches and the associated challenges. RI invested in senior leadership being involved collaboratively throughout the process, while PCI's senior leadership chose a more consultative role, delegating work to the facilitation team. Both resulted in action plans that were approved by the executive leadership.

In general, the level of constructive participation by a broad spectrum of representatives from across the organization affects the quality of the output of the process. A significant group of participants were involved at both RI and PCI. One of the CaLP facilitators commented on the teamwork at the RI meetings:

*They were very team-oriented, and high-level people were involved throughout. The RI Way seems clear to all staff. There is a strong institutional identity at all levels, even though they were going through a strategy refresh. Their teamwork led to good debate. There was a lot of strategic thought, and building on that with this process was helpful. Overall there was great team work.*

PCI had the challenge of using the consultative and delegated approach while operating with two headquarters offices located at opposite ends of the country. The following comments from PCI reflect that reality and are insightful and helpful:

- Ideally it would have been a more collaborative and participatory process, but we did well.
- There is a tough balance between wanting broader and higher-level participation versus producing outputs in small groups. The current OCAT process requires high time commitments by many people and leadership. There may be some thinking to do around the structure and steps and how to get some more involvement and buy-in, and a better way to strike this balance.
- You get more done in the smaller meetings, and some people only can participate virtually and need to come online for that part of the meeting that pertains to them. Working virtually in plenary sessions was challenging, especially when you are doing intense work like in the Scoring Meeting. Face-to-face meetings are much more productive in certain situations, especially when lots of discussions are to be had.
- Stepping back, my overall view is that those participation challenges are very relevant, not just for cash, but for all technical and operations cases, functions and capacity.

Broad participation and feedback are core elements of the OCAT process. The process itself is important, not just the product. The two need to stay in balance, of course, as noted above.

### CaLP process support role

How much should CaLP be involved in the OCAT process? This subsection briefly highlights and reviews the role that CaLP played in the RI and PCI cases. A later section, *Type of CaLP services needed*, covers what specific CaLP services are deemed helpful for future cases.

Two CaLP facilitators recalled how the pre-process with both PCI and RI went well. They discussed how they had the opportunity to go through the OCAT process with the main facilitators of the two organizations first, and then had some interaction with the respective senior management team. This pre-process was slightly more interactive with RI, with their main facilitator asking many questions and organizing multiple larger-group discussions. As one participant suggested, 'He was ensuring backup support for this process among organizational leadership.' A CaLP facilitator added, 'During pre-processing, PCI was an easy organization to work with. It seemed like their main facilitator was taking care of things.' This corresponds with a comment from that facilitator, who said, 'Regarding the OCAT process, communication with CaLP beforehand was pretty clear.' The survey shows a high satisfaction (4.0 average) among facilitators with the information provided by CaLP prior to the start of the process. Upon reflection after the process, these comments are worth noting:

- I feel that we weren't clear enough from the beginning about how much time and energy would be needed across the organization for this process. It makes sense now that I get it, but I felt a bit taken unawares. Better and more orientation and awareness raising should have been done prior to even deciding to go ahead, and certainly before starting the process.
- We didn't adequately identify the amount of time required for both the assessment and the action planning, so I would recommend that you help organizations get very clear on the time investment required before undertaking the assessment.
- Looking back now, it makes sense that it required much work, but at the time it was not communicated to us and we didn't realize it before we started.

A CaLP facilitator notes, 'Both organizations came in without really understanding what this OCAT process takes in time and resources. They may have thought that this was a quick assessment. Maybe CaLP should have explained it better to them.'

There is a clear lesson learned here: to over-communicate in the beginning about the level of investment needed in the OCAT process. As with most initiatives, what you get out of it is directly related to what you put into it. The OCAT process is no exception. Setting clear expectations upfront about the required level of effort is important.

Having clear expectations of the roles each party plays in the process is also important. With PCI, CaLP was available to assist and offered help several times; this was appreciated by PCI, but its facilitators handled most of the work. At the same time, PCI had hoped that CaLP would play a more active role in guiding and leading the process and the meetings. The following comments bear this out:

- The CaLP team was always available for support throughout the process.
- CaLP was great checking in with us after the meetings and they were very responsive.
- CaLP offered to assist several times and provided templates and action plan cluster suggestions, but this was not always needed.
- Some CaLP tools/templates, like the timeline tracker, were very useful and applicable, more or less out of the box. Other tools, like the action plan template, did not fit well, and in the end we developed our own templates and tools in some of those instances.
- There could have been more clarity upfront on where CaLP would be involved in leading and shepherding the process or providing guidance, and where the organization would take the lead.
- PCI could have used more help from CaLP in guiding the discussions and making sure that we were making progress and not getting stuck in discussions for long periods of time.



- I had assumed that CaLP was going to take the lead more in facilitation.
- Someone in PCI asked me why I was facilitating the meeting. The role definitions were not explicit, and that needs to be better explained.

By contrast, RI accepted extensive support from CaLP, maybe at times at a normally unsustainable level, but given the number of facilitators CaLP had to offer, this level of support was possible. Some comments from CaLP include:

- I received many questions from all kinds of RI contacts about what CaLP had available as resources.
- I felt more involved in drafting the recommendations with RI. They asked for things/resources, and people were going back to the evidence.
- I supported the RI main facilitator extensively after the meetings, in finalizing the recommendations and in forming action plan clusters.
- With RI, we were very involved in the process. RI required and accepted a lot more help than PCI.

The survey results on satisfaction with and dependence on CaLP services matches these comments. RI facilitators were very satisfied (4.5) and PCI facilitators were somewhat satisfied (3.7) with the CaLP services. The difference is more pronounced in their responses to the question, 'How dependent was the process on active CaLP support services?' The RI facilitators indicated high dependence (4.0), whereas the PCI facilitators marked a low dependence (1.5). The participants across the board scored an average satisfaction with CaLP services of 3.1.

The lesson learned is that role definitions need to be stated explicitly in the pre-process. Each situation is different, and role definitions will vary based on an organization's internal capacity for the facilitation of this organizational change process, and on the need for external facilitation.

It is interesting to note that both RI and PCI experienced post-process schedule slippage, which points to the need to plan carefully for the disengagement of an external facilitator like CaLP.

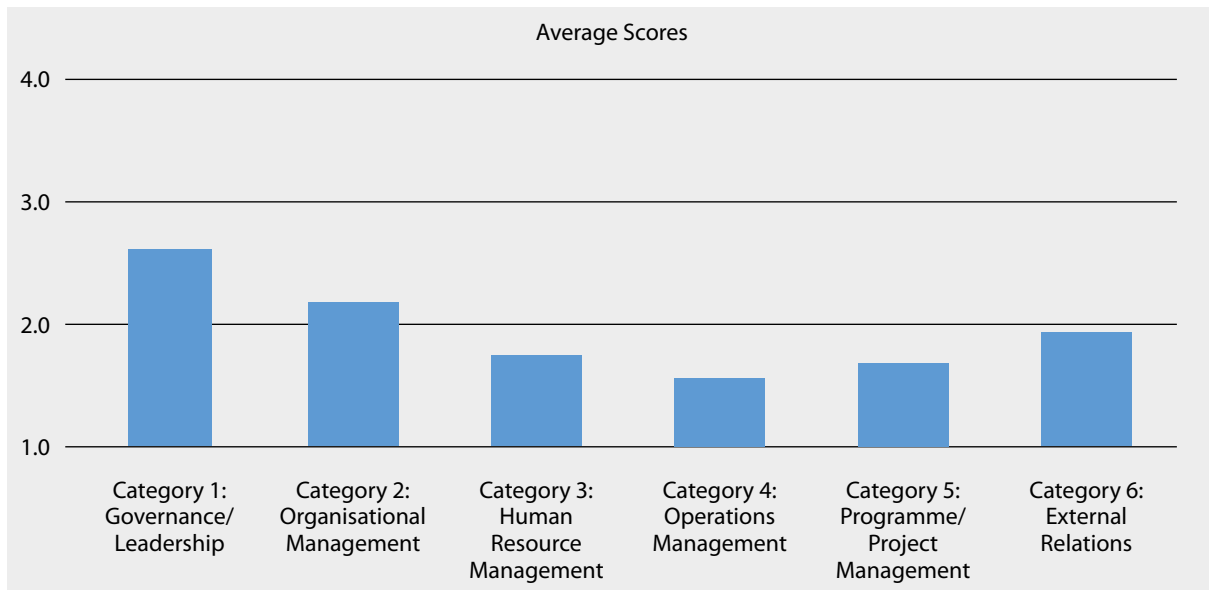
- What we produced as outputs in February was very good, but I am worried that we will lose steam. Everything went very well, and progress was on track, but now there are delays and it is the challenge of re-motivating and keeping everyone focused.
- The only disappointment is the schedule slippage we have experienced since the Action Planning Meeting. There is a lot going on within our organization, and everyone realizes that this is a big investment, so it is a matter of sequencing.
- We [CaLP] should examine again at what point CaLP stops providing services. I think we stopped too early. Once we had the draft action plan, we left, leaving them to finalize the plan and get it approved. Organizations need to plan a realistic disengagement from external help and build that in, so the process doesn't come to a halt. It is important to define the phase-out. Someone within the organization needs to pick it up. This could be a dedicated person for a certain amount of time.

Notwithstanding the various unavoidable challenges, there were many positive comments about the overall OCAT process, especially among the facilitators:

- Overall, I think this was a very productive experience for our organization. It went really well, and there were no major hiccups.
- Overall, the process was long, but thorough, and the experience was good.
- I have not seen a process that is this comprehensive and facilitative. That was great, and indeed a great service of CaLP.
- I think it went well, given all the dynamics that existed, and given that this was the first time for CaLP [North America] to use this tool and the full process.

## THE OUTCOME

One of the main concrete outputs of the OCAT process is the action plan, which flows from the overall OCAT scores, the gathered evidence and the list of recommendations. RI's plans were approved by its SMT on 21 April 2017, and PCI's SMT approved its plans on 25 April 2017. PCI and RI both had a similar profile to their final overall OCAT scores, as depicted below. In general, the scores were low across all six categories, and particularly low for Category 3: HR, Category 4: Operations and Finance Management, and Category 5: Programme/Project Management. It should be noted that both organizations expressed an expectation that they would have low- to mid-range scores, given that the assessment was undertaken with the recognition that there was room for improvement.



Both RI and PCI used CaLP's action plan data template to capture pertinent data on each action step (RI) or activity (PCI), such as start date, end date, assignee, assignee department, status, percent complete, and the estimated level of effort. The template shows a Gantt-Chart-like flow of the actions, and indicates when an action is overdue. The timeline of both action plans covers about 12–18 months.

Certain actions/activities focus exclusively on improving the organization's readiness for cash and voucher programming, but some build capacity that benefits the organization in multiple ways beyond cash or voucher programming. Both organizations found it helpful to make these distinctions in their level of effort (LOE) estimation. LOE-C (Cash) refers to the effort to improve readiness for cash and voucher programming, and LOE-O (Organization) indicates the effort that benefits the efficiency of the whole organization in general.

The benefit of the OCAT process to the wider organization was an appreciated outcome:

- It helped us to identify areas in our processes that could be improved for other reasons.
- Our general programme and support systems have improved (or are planned to be improved) because of the OCAT process.
- The process expanded the notion of how capacity should be built, i.e. not merely from a technical perspective but also in terms of operational systems, business development, communications, HR/staffing, etc. We saw this process as applicable to so much in our organization.
- Dividing the LOE estimates between Cash and Organization was a good idea. It showed how the action plan supports the organization as a whole.



	RI Person-Days	PCI Person-Days
LOE-Cash	787	176
LOE-Org	760	93
LOE-Total	1547	269

It is interesting to note that the LOE estimates (in days) of RI are about five times higher than those of PCI. A potentially related additional observation is that the activity definitions of PCI are not as detailed as RI's action steps. This means that PCI still has some more detailed planning ahead, and their LOE numbers may increase in the process. In general, RI seems to have bigger plans for change than PCI.

In PCI's case, in addition to the action plan with 49 activities, it developed a strategy document as a response to a request from the SMT 'to put all pertinent information in one place'. In addition, the PCI facilitator prepared very helpful detailed resource packets for each activity assignee:

*These packets provide background information and are two to four pages long. They also link back to scoring discussions and OCAT indicators. We had to do some backtracking to find those links, and re-editing to make the notes understandable to someone who may have not been in the discussions.*

RI developed a one-page executive summary of the action plan, and supported the assignees by including the links to the OCAT indicators, scores and evidence in their action plans.

We learn from these observations that developing the action plan does not constitute the last step of the OCAT process for the facilitators. They still need to communicate the outcome to senior leadership as well as to each of the action assignees. This requires a significant amount of work, and both pieces of communication are vitally important to effect real change. Senior leadership needs to be brought fully on board with the final version of the action plan and give its approval. In addition, assignees need clear instructions and guidance for their action, in the form of resource packets or personal interactions, to make sure they clearly understand what they are responsible for.

Both organizations are still discussing how they will manage the implementation of the action plan. Matters such as progress indicators, quality control, plan change management and progress reporting are still under discussion.

Other recognized beneficial outcomes of the OCAT process are the increased broad awareness of cash and voucher programming and greater openness to considering cash and vouchers in response:

- It made us more aware of the complexity and importance of cash and voucher programming.
- We learned more about what is needed, and sensitizing staff to cash and voucher programming was very good.
- This process raised up the role that cash may well play in the future, and helped us improve a section on our cash system in a recent proposal.
- There is an increased awareness, understanding and consensus across all departments that cash and voucher programming is an important part of humanitarian programming, and that it's important we are good at it.
- The process was educational and informative, and it was needed.
- People are considering cash now as a modality.
- Staff that have programme and project management responsibility now have an openness to cash and voucher programming.

A few people remained sceptical or cautious about the outcome. Some thought that the action list was too long or too unrealistic. Others were unsure: 'We'll see when we get our action steps completed.'

On average, participants scored their satisfaction with the outcome at 2.9. The facilitators were happier with the process outcome and gave it a score of 4.0. They would recommend it to other NGOs (4.2).

- Overall, we are happy with the outcome. We have invested so much, but the OCAT process was worthwhile [PCI].
- We are happy with the outcome. It was tiring, but worth it [RI].
- Both [organizations] benefited from the process [CaLP].

Each new initiative, change or major activity, such as the OCAT process, needs a cost-benefit analysis prior to its start. One of the main takeaways from these two cases is knowing that the OCAT process is intensive and takes time, but that the overall process and outcome make the investment worthwhile.

## TYPE OF CALP SERVICES NEEDED

PCI and RI were the first organizations to go through a full OCAT assessment process with the October 2016 OCAT and with both technical and organizational change facilitation support from CaLP. There are many lessons to be learned from these first cases to be applied to future ones, but one of the core elements may change, namely CaLP's services to organizations that go through the OCAT assessment process. CaLP is planning to take a more hands-off approach, offering access to the OCAT (now OCRT) tool, instructions and a process guide and responding to questions about them. This section looks at comments from participants and facilitators about what type of CaLP services they consider to be necessary.

One participant mentioned the need for a CaLP service that assesses organizations on their readiness to go through the OCAT process: 'It is a big bite to chew, and some organizations may not be ready.' Others mentioned that having active CaLP support during the OCAT process helps in finding donors to support the effort, if external funding is needed. In addition, direct CaLP involvement in the process gives higher credibility to an organization's demonstration of cash and voucher programming readiness in project proposals.

PCI facilitators expressed a need for CaLP to provide more ready-made process templates. They acknowledged that CaLP provided some templates, such as for the meeting agendas, action plans and example evidence documents, but the organizations developed their own templates for communications for participants and for survey questions to gather evidence. PCI found CaLP's action plan template too overwhelming and developed its own.

Both RI and PCI identified CaLP's important role as the tool specialist:

- The support from CaLP was invaluable in terms of understanding the tool, the criteria, etc. [RI].
- CaLP support was important in the initial steps, explaining the OCAT and the categories, before we could edit and adapt the language. There were many questions about the tool, and it isn't clear how we could have pulled this off without help [PCI].
- The tool has many details, and the facilitator needs to be very keen on those details to be able to adjust the tool for a given organization. The facilitator needs to be tool-smart [CaLP].

A few noted that a more active role for CaLP during discussions related to the tool would be good. One said, 'It would have been good for CaLP to guide the tool discussions more and indicate when to move on and when to make the decision on the wording for certain indicators.'

Another expressed need was for CaLP to give guidance on technical standards and cash and voucher programming best practices, even though CaLP facilitators felt that they were not asked for this type of guidance as much as expected during the process:

- CaLP should provide help in identifying specific technical capacity-building opportunities.
- We need guidance on cash and voucher programming best practices and resources.
- Cash and voucher programming technical knowledge was most important during the self-assessment and recommendation phase. Having a CaLP person in the room who can speak to best practices is needed.





- One of the two most useful CaLP support services was in the area of cash and voucher programming technical knowledge and best practices.
- One of the main complaints from people was that they didn't know what the cash and voucher programming best practices are for many of the topics in the OCAT. All we could point people to was a CaLP website with many references and 100-page manuals. It would be good to have one-pagers or some type of simple guidance on best practices.
- It was very helpful during the meetings to hear from CaLP what other organizations are doing regarding certain cash and voucher programming functions. That gave us good examples and a sense of some of the best practices.
- Cash and voucher programming technical advice from CaLP is needed, guiding us where to go in areas where we lack technical expertise.

The overwhelming majority of comments about services needed from CaLP were about overall process facilitation and guiding an organization through this change process:

- We need help from CaLP guiding us through the organizational change process.
- Guidance on organizational change and the importance of organizational investments is crucial.
- If we had tried following the same process without CaLP assistance, either quality, cost (opportunity) or timelines would have been squeezed.
- Organizational change process management is the overarching skill set needed for this process. It needs someone with a strong ability to lead meetings and facilitate discussions, and someone who can provide guidance on communication and on soliciting feedback from across the organization.
- The support from CaLP was invaluable in the change management processes.
- One of the two most useful CaLP support services was in the area of the organizational change management process and approaches. This was invaluable. Had CaLP not supported with the latter, our leadership buy-in may have been much less.
- I think simply providing materials, tools, training webinars and documents could have an impact, and for some organizations that is enough. But for other organizations it would not be enough. These tools and materials would just sit on the shelf.
- You need someone with analytical project management skills to lead the process, to pull together the meetings, the information, the graphs, etc., for presentation to senior management. It needs to be done well.
- Organizations could hire their own organizational change managers but the OCAT is a CaLP product, and they are familiar with the process, so they are in a better position to provide knowledgeable organizational change managers.
- All organizations need to build readiness for cash and voucher programming, and the big NGOs may have the resources to hire external change management consultants, but that leaves out most operators, namely the small and medium-sized NGOs and local partners. There is a need to work collaboratively, and CaLP is in a better position to secure funding for organizational change management needs than individual NGOs.
- Taking out the CaLP process and organizational change facilitation services makes me nervous.
- Providing organizational change process facilitation services also is a good way for CaLP to stay engaged with the inner workings of NGOs, since CaLP staff would need to work very closely with NGO staff that know the organization and internal operations. You need people that know the organization, and you need people that know the tool and OCAT process.
- The process certainly benefits from having someone come in from the outside.
- The OCAT itself mixes technical and organizational components, so having a mix of technical and organizational change specialists on the facilitation team made a big difference. If we had to facilitate the process without such a person, we could handle the technical OCAT categories but not the leadership and organizational ones.



- CaLP needs to be able to give organizations assistance with the whole OCAT process, which is more about organizational development than about organizational technical capacity building. Organizational development uses a holistic approach, like the OCAT, versus just building capacity for certain technical skills.
- Organizations need external support with the tool and with the organizational development process, for three reasons:
  1. To avoid the initiative being seen by others as the internal facilitator's work, without taking any organizational ownership;
  2. The amount of work;
  3. It is not easy to find the mix of skills in one person, or even two people, to be an effective process facilitator, cash expert and organizational change specialist.

These comments express the need for process and organizational change facilitation, and the expectation that this come from CaLP, in part based on CaLP's 2016 offer. Even though CaLP provided that type of service to some degree in these two cases with RI and PCI, several mentioned that they see a need for a more active and leading role for CaLP in this facilitation, for the reasons expressed above, and to keep the process on schedule:

- Going through the process with CaLP support made it go faster than would otherwise be possible. The CaLP contract had an end date. That was very helpful and valuable, and it kept us on schedule.
- When organizations struggle internally about the need for an OCAT process, it is very helpful to have an external consultant to set the pace and hard deadlines.
- CaLP involvement provides the needed accountability to the organization, giving guidance but also demanding progress.

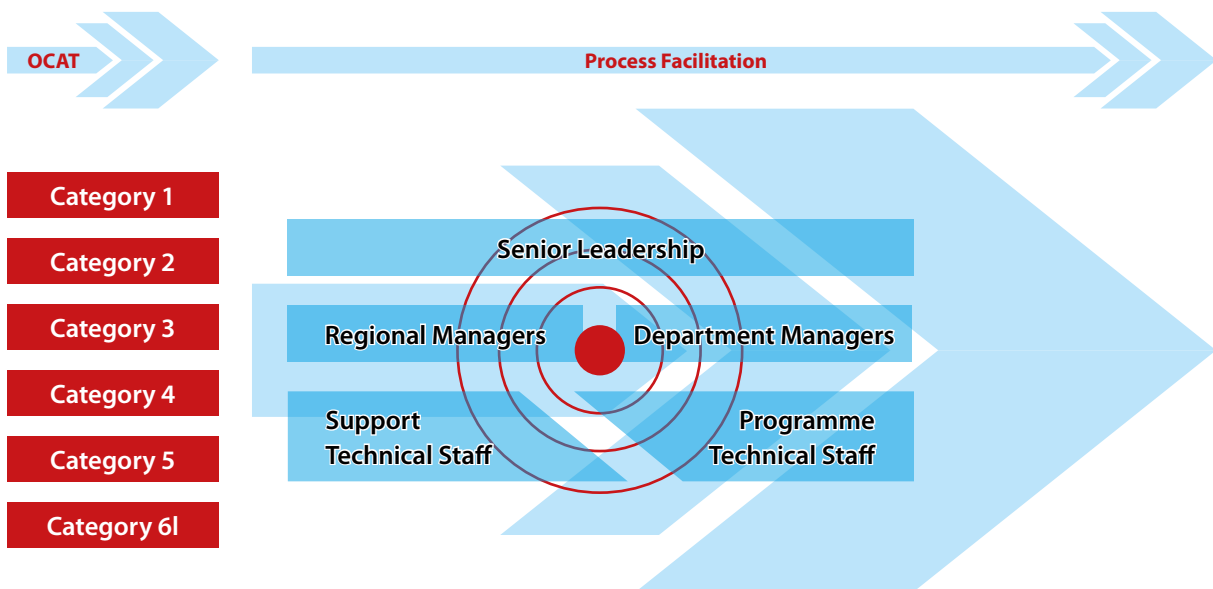
In general, this feedback on what type of services are needed from CaLP correspond well with the fact that the OCAT process is an organizational development process. An organization is embarking on the OCAT process because it wants to develop itself into an organization that is better at implementing cash and voucher programmes. It wants to be able to demonstrate to donors that there is organizational readiness for cash and voucher programming. This requires an organizational change process. The OCAT assessment and action planning process is the first part of that organizational change. It is no surprise that both RI and PCI recognize that CaLP facilitation of this development and change process is the primary need. Other services are also needed to scope specific parts of the action plans, such as pointing to cash and voucher programming standards and best practices, but those are all technical resources on how to conduct certain analysis or implement specific aspects of cash or voucher distribution. However, CaLP has no readily available standards for how to incorporate cash and voucher programming in strategic planning, HR information systems, finance policies, etc., and how to go through a comprehensive process to develop an organization to do all these things well. That is what the OCAT process is all about, and facilitation services to guide an organization through this change process using the CaLP OCAT tool seem to be the primary need.

## REFLECTION ON THE PROCESS

Towards the end of this case study, it seems appropriate to reflect on the fact that CaLP’s Strengthening Institutional Capacity programme and the associated OCAT assessment and action planning process is all about organizational development for cash and voucher programming readiness. It is not just about building more technical capacity for cash and vouchers in a few programme departments, but about developing a whole organization to effectively and efficiently operate cash and voucher programmes. It requires a holistic approach with involvement from all parts of the organization, from senior leadership to support staff.

The blue expanding arrows in the figures represent a developing organization. The OCAT itself is an organizational development tool. Its six categories cover all parts of an organization. The tool applies to leadership, cash and voucher programming technical experts, HR specialists, accountants, risk managers, business development personnel, logistics staff, project managers, etc.

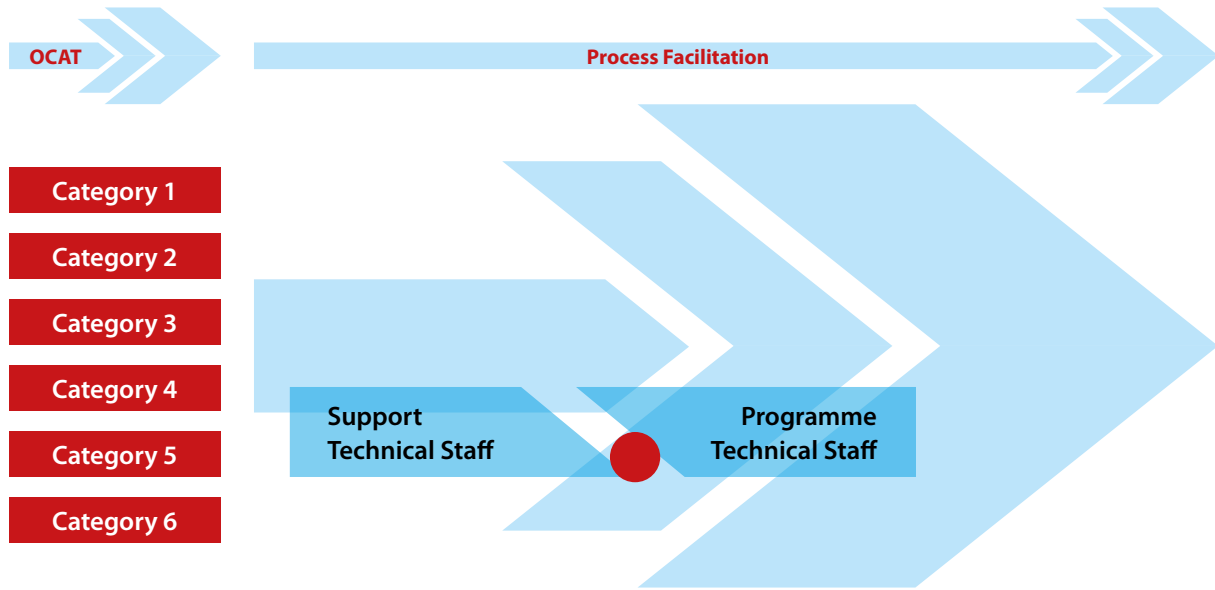
### Ideal OCAT Process Illustration



In an ideal OCAT process, the main facilitator (or team) is fully supported and empowered by senior leadership. This person (the red dot in the figure) has a level of respect and influence, based on this leadership support, to draw responses and participation from across the organization. This ideal process also has an overall OCAT process facilitation that uses basic organizational development and change management principles. Such facilitation can be provided by an external consultant or by someone from the organization with those abilities. Leadership that is engaged in the OCAT process will appreciate and expect that type of professional facilitation. The OCAT and all its six categories are used to their full potential in this ideal process. The action plan will be robust and comprehensive, resulting in broad and balanced organizational development.

Alternatively, in an extreme case that is not ideal, senior leadership does not engage in or promote the process or encourage others across the organization to do so. It may have approved a cash and voucher programming technical facilitator to proceed, but, in general, the leadership takes a wait-and-see posture. Leadership does not recognize or support the organizational development aspects of the process, which becomes lopsided, focusing more on the technical side of the OCAT but leaving out intended organization-wide systemic improvements. In such a process, the action plan will not be robust, and the resulting ‘organizational development’ will also be narrow and lopsided, mostly focusing on increasing cash and voucher programming technical capacity among staff.

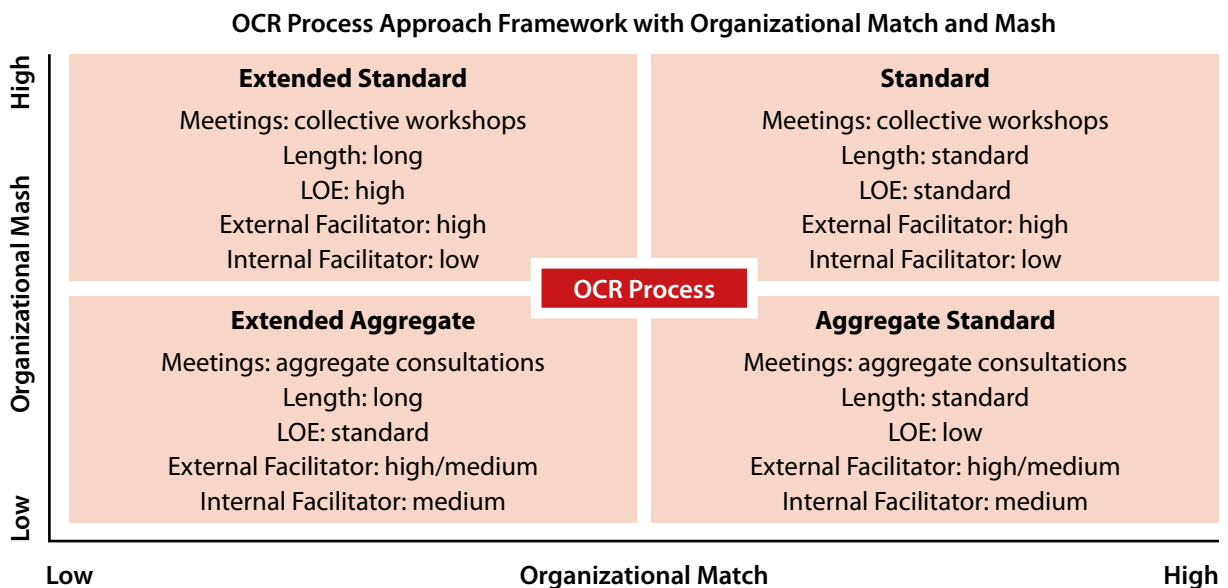
Not Ideal OCAT Process Illustration



It is good for organizations to recognize the organizational development nature of the OCAT and the institutionalization process. Some organizations may not be ready for this, or may not be interested in using the tool and process in that way, and a limited-scope, lopsided effort will still have some positive outcomes. However, a full and balanced effort, as intended, promises to produce maximum outcomes.

## ORGANIZATIONAL FRAMEWORK AND THE PROCESS

This case study brought out the lesson that the 'standard' OCAT process needs to be adjusted to the type of organization and the context of the process. The *OCR Process Approach Framework with Organizational Match and Mash* (see below) can help organizations make the appropriate adjustments to the process, thereby avoiding frustrations and inefficiencies.



The horizontal axis represents *organizational match*. This refers to the match between cash and voucher programming and most of the organization's programmes. A high *match* means that the length of the process is standard, i.e. it does not have to be increased, since most organizational units should be able to see the applicability of cash and voucher programming to their operation and function. By contrast, when there is a low *match*, the organizers may want to consider making the overall OCR process longer. It takes time for people to recognize the need for change. Currently in the US, humanitarian assistance programmes tend to have a closer match to cash and voucher programming than development assistance programmes. This may change over time, given that development programmes for poverty reduction, social change, youth employment, etc. could benefit from cash and voucher programming as well.

The vertical axis measures *organizational mash*. Some organizations are very uniform while others are more a network of very different nodes, each with their own ethos and organizational culture. In general, organizational *mash* refers to the level of uniformity and cohesion within an organization. Applying this to the OCR process, the level of *mash* should only be considered for that part of the organization that will participate directly in the process. High *mash* accommodates teamwork and high direct collaborative involvement of leadership. The OCR meetings can be collective workshops. In a low *mash* context, it is better to facilitate multiple separate working sessions to arrive at pre-scores and plans for a specific part of the tool and organization. Leadership typically has a consultative role. The OCR meetings become 'aggregate consultations', at which all scores or plans are brought together to be reviewed and processed in consultation with a select group, such as senior management. This approach typically comes with a lower total level of effort than the standard process.

Regarding process facilitation, a high *mash* makes external facilitation very suitable, since internal facilitation is less needed. External facilitation can also be used effectively in low *mash* contexts, but in those cases it will need to be accompanied by at least a medium-level internal facilitation, given the disparate internal organizational cultures and bilateral consultation the process will encounter.

The *OCR Process Approach Framework with Organizational Match and Mash* is simply a tool to help facilitators consider the various dynamics and establish the most suitable approach for their organization. CaLP's OCR Process Guide describes the standard approach (high *match* and high *mash*), but facilitators should make adjustments when the *match* and/or *mash* are low.

## RECOMMENDATIONS

This case study provides insight into how RI and PCI experienced going through the OCAT process with support from CaLP. Organizations that are considering going through this process will benefit from reading this case study and taking note of the various views expressed and lessons learned. RI and PCI are different organizations that took different approaches to the process. Each organization can determine which approach fits best with its own organizational context and mission. CaLP has also learned from this study, as it is a review of its support services to RI and PCI. Based on the feedback and observations, CaLP has already improved the tool and supporting materials (see below) and could also consider revising and updating the set of services it offers to the community of practice in supporting cash and voucher programming readiness.

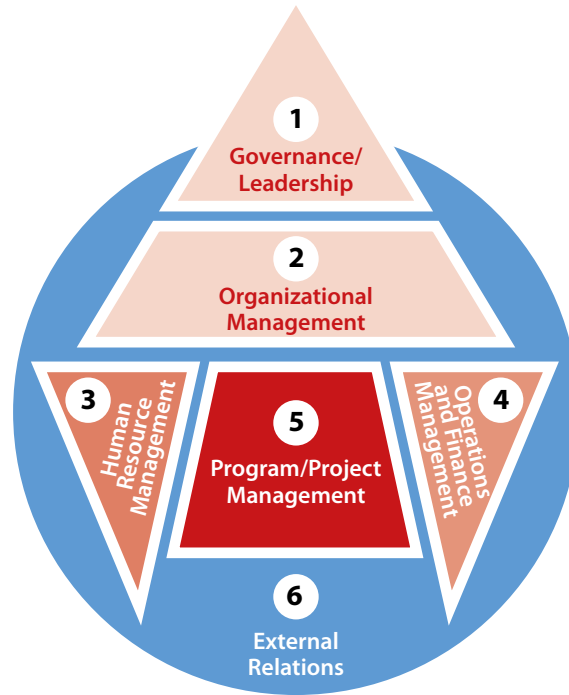
The following set of recommendations represents a summary of the main lessons learned from this case study.

### Recommendations for CaLP

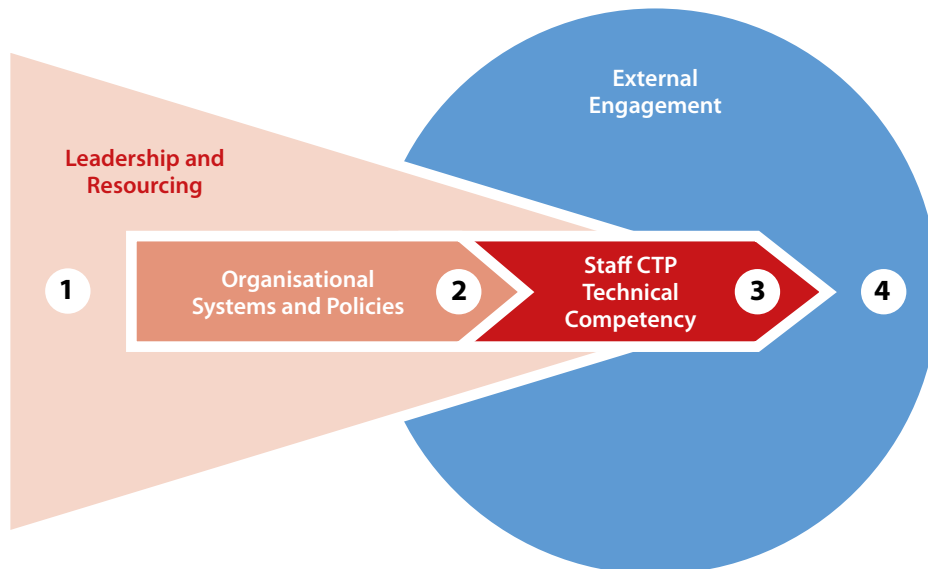
CaLP assisted PCI and RI in contextualizing the tool at the beginning of the process. This resulted in some minor improvements, but CaLP recognized the need for a further overhaul of the OCAT to reduce complexity, streamline the structure and avoid repetition. This has resulted in a new version of the tool, now called the [Organizational Cash Readiness Tool \(OCRT\)](#). It has four categories, 14 criteria, and 55 indicators. The four categories and the labelling of the criteria and indicators now align with other CaLP services and tools, such as the CTP (Cash Transfer Programming) Competence Framework.

The figure below compares the OCAT structure used by PCI and RI with that of the new OCRT.

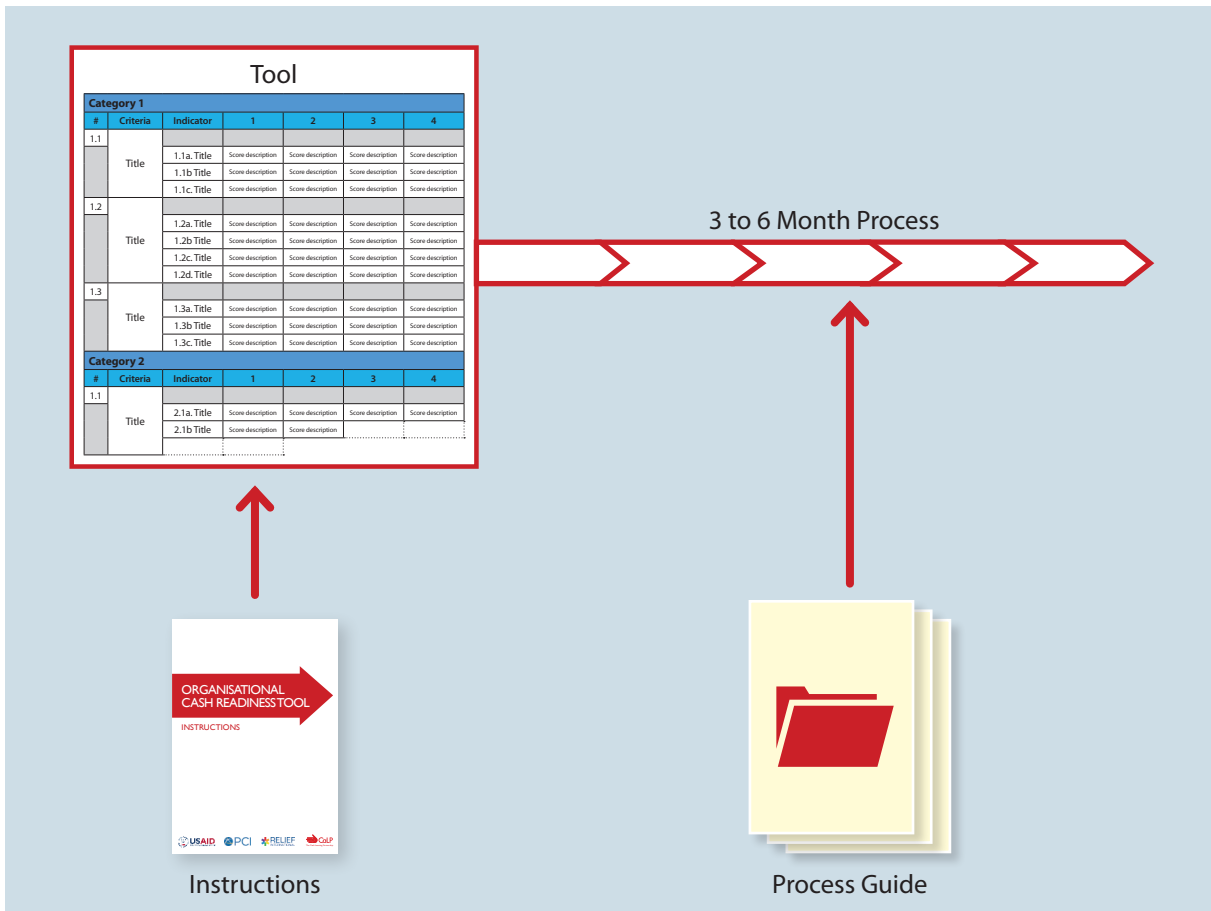
#### 6 OCAT Categories



#### 4 OCRT Categories



The next step for CaLP is to roll out the new OCRT, [OCRT Instructions](#), and the Organizational Cash Readiness (OCR) Process Guide. These three products are an improvement on the previous OCAT and OCAT User Guide, and address many of the comments presented in this case study. The basic process steps and the length of the standard assessment and action planning effort has not been changed. The OCAT process is renamed the OCR process in these new products.



Given that CaLP's OCRT is designed to bring about organizational change, a full set of CaLP services would include:

- Active facilitation services to guide an organization through this organizational development and change process;
- Active facilitation of the OCR process steps and provision of process templates;
- Expert advice on OCRT terminology and overall tool use;
- Signposting to cash and voucher programming technical best practices and resources in support of developing the technical parts of the action plans;
- Advice on developing organizational readiness for cash and voucher programming in traditional, non-technical organizational functions such as leadership, finance and operations, HR, business development and external engagement.

As such, the next and main recommendation for CaLP is to revisit its decision to no longer offer active OCR process facilitation services to clients/members. Currently, CaLP finds full, direct facilitation support for the OCR process as delivered for PCI and RI to be an investment that is too individual, too costly and insufficiently cash-specific. CaLP could consider responding to the expressed demand for organizational change and facilitation support, if not through CaLP staff then perhaps by supporting and facilitating partnership arrangements. Alternatively, CaLP could offer some of the above-mentioned services through existing staff and resources. This could include providing expert advice on OCRT terminology and use, and signposting.

If CaLP decides to offer active, direct facilitation support for the OCR process, other more detailed recommendations follow, such as clearly establishing roles between CaLP and the 'client'. CaLP facilitators did not take the lead role in facilitating the entire process or the three meetings in the cases of RI and PCI, but this should be discussed as an option in future cases. External facilitation has many benefits and avoids the perception that the OCR process is somehow owned by one person or department. The meetings need to be well planned, and the Orientation

Meeting is of special importance, since it sets the stage for the rest of the process. At that point, presenting the rationale for the process to all participants, as an organizational development initiative, with the full endorsement and involvement of senior leadership, is very important.

Lastly, CaLP could offer consultation services to organizations to assess their readiness for the OCR process.

### Recommendations for organizations

Some of the following basic recommendations depend on what CaLP offers in support of the OCR process, but in general, organizations should consider the following:

- Pre-process: Make use of CaLP's consultation services to assess organizational readiness for this process. Do not underestimate the level of effort required.
- Purpose: Define the OCR process as an organizational development initiative, not as a cash and voucher programming technical training needs assessment.
- Tool: Study the OCRT and consider adapting it to your organization, as needed, before the start of the OCR process.
- Process approach: Use the OCR Process Approach Framework with Organizational Match and Mash to establish the most suitable approach to the process for your organization.

#### Leadership:

- Secure full senior leadership support for the process, and the active promotion of and participation in process activities by leaders.

#### Length and level of effort:

- Set realistic expectations among the leadership and the process participants about the required level of effort.
- Explain the rationale for the process length to all participants.
- Establish a process timeline that allows ample time for coordination and feedback activities between the three meetings.
- Take all other main organizational activities and initiatives into account when scheduling the OCR process.
- Plan significant time for the evidence-gathering phase of the process.

#### Facilitation:

- Explicitly define in some detail the roles of internal process facilitators and external CaLP process facilitators, and consider giving CaLP the lead facilitation role throughout the process and in the meetings.
- Appoint and empower an internal OCR process core team that will facilitate internal coordination processes and represent leadership throughout the process.

#### Meetings:

- Be well prepared for the Orientation Meeting. Ensure the participation of senior leadership, present the process in a clear way, and be ready to answer questions.
- Organize the Scoring Meeting and the Action Planning Meeting as collective workshops or aggregate consultations, and ensure that all scoring and planning is evidence-based.
- Post-process: Plan for significant work after the action plans are finalized to communicate summaries to management and extensive details to those responsible for the implementation.

This case study serves to assist CaLP and organizations that are interested in institutionalizing cash and voucher programming capacity and readiness, by sharing the experiences of RI, PCI and CaLP as they went through the OCAT assessment and action planning process from October 2016 to March 2017. Future studies may review cases with other organizations or focus on other approaches to the institutionalization of cash and voucher programming.



# ATTACHMENT A: SURVEYS

## SURVEY FOR FACILITATORS

### 1 Process satisfaction (1: LOW, 5: HIGH)

	1	2	3	4	5
How satisfied were you with the information provided to you prior to the start of the process?					
How satisfied were you with the CaLP support services during the process?					
How satisfied are you with the outcome of the process?					
How dependent was this process on active CaLP support services?					
How confident are you that you could have done this process without active CaLP support services?					
To what degree do you recommend this process to other NGOs?					

Comments:

### 2 Tool/template satisfaction (1: LOW, 5: HIGH)

	1	2	3	4	5
How would you rate the overall OCAT structure (categories, criteria, indicators, and four score description)?					
How satisfied were you with the OCAT's breadth (range) of topics?					
How satisfied were you with the OCAT's depth (detail) on topics?					
How would you rate CaLP's meeting agenda template?					
How would you rate CaLP's OCAT outcomes template?					
How would you rate CaLP's action plan template?					
How would you rate CaLP's overall action plan management template?					

Comments:





- 3 How would you describe your overall experience with the process?
- 4 How much time did you invest in the process, and what is your estimate for the total investment by the organization in this process?
- 5 Describe what type of CaLP support services are needed during the process, if any, such as cash and voucher programming technical knowledge, organizational change process guidance, etc.
- 6 How has your organization benefited from going through the process?
- 7 What changes would you make to the OCAT?
- 8 What changes would you make to the process?
- 9 Is there anything else you would like to share?
- 10 In which functional area do you currently work?
  - Programmes
  - Technical Assistance
  - Programme Development
  - Human Resources
  - Finance
  - ICT
  - Contracts
  - Marketing & Communications
  - Quality/Organizational Development
  - Other (please specify)



## SURVEY PARTICIPANTS

1 The OCAT Phase 1 has the following steps. Please indicate in which steps you participated.

	YES	NO
Establishing the contract		
OCAT Orientation Meeting		
Evidence gathering		
OCAT Scoring (facilitation) Meeting		
Developing recommendations		
Preparing for action planning		
OCAT Action Planning Meeting		

Comments:

2 Process satisfaction (1: LOW; 5: HIGH)

	1	2	3	4	5
How satisfied are you with the length of the process?					
How satisfied were you with the CaLP support services during the process?					
How satisfied are you with the outcome of the process?					
To what degree do you recommend this process to other NGOs?					

Comments:

3 Tool satisfaction (1: LOW; 5: HIGH)

	1	2	3	4	5
How would you rate the overall OCAT structure (categories, criteria, indicators, and the four score descriptions)?					
How satisfied were you with the OCAT's breadth (range) of topics?					
How satisfied are you with the OCAT's depth (details) on topics?					

Comments:



- 4 How would you describe your overall experience with the process?
- 5 How much time did you invest in the process, and what is your estimate for the total investment by the organization in this process?
- 6 Describe what type of CaLP support services are needed during the process, if any, such as CTP-technical knowledge, organizational change process guidance, etc.
- 7 How has your organization benefited from going through the process?
- 8 What changes would you make to the OCAT and/or the process?
- 9 What is the name of your organization, and is there anything else you would like to share?
- 10 In which functional area do you currently work?
  - Programmes
  - Technical Assistance
  - Programme Development
  - Human Resources
  - Finance
  - ICT
  - Contracts
  - Marketing & Communications
  - Quality/Organizational Development
  - Other (please specify)



## ATTACHMENT B: QUANTITATIVE SURVEY RESULTS

Process facilitators	PCI	PCI	PCI	RI	RI	
<b>Process satisfaction (1: LOW, 5: HIGH)</b>	1	2	3	4	5	Average
How satisfied were you with the information provided to you prior to the start of the process?	4	4	4	3	5	4.0
How satisfied were you with the CaLP support services during the process?	3	3	5	4	5	4.0
How satisfied are you with the outcome of the process?	4	5	4	4	3	4.0
How dependent was this process on active CaLP support services?	2	1	5	4	4	3.2
How confident are you that you could have done this process without active CaLP support services?	2	4	1	2	2	2.2
To what degree do you recommend this process to other NGOs?	4	4	5	4	4	4.2

Tool/template satisfaction	1	2	3	4	5	Average
How would you rate the overall OCAT structure (categories, criteria, indicators, and four score description)?	4	4	4	3	3	3.6
How satisfied were you with the OCAT's breadth (range) of topics?	4	4	4	4	4	4.0
How satisfied were you with the OCAT's depth (detail) on topics?	4	4	4	4	4	4.0
How would you rate CaLP's meeting agenda template?	3	3	4	4	5	3.8
How would you rate CaLP's OCAT outcomes template?	3	3	4	4	4	3.6
How would you rate CaLP's action plan template?	4	2	3	4	4	3.4
How would you rate CaLP's overall action plan management template?	4	4	4	4	5	4.2



Process participants	PCI	PCI	RI	RI	RI	RI	N/A	N/A	N/A	N/A
	1	2	3	4	5	6	7	8	9	10
<b>Please indicate in which steps you participated.</b>										
Establishing the Letter of Agreement	NO	YES	YES	NO	NO	NO	YES	NO	NO	NO
OCAT Orientation Meeting	NO	YES	YES	YES	YES	NO	YES	YES	YES	YES
Evidence gathering	YES	YES	NO	YES	YES	YES	YES	YES	YES	NO
OCAT Scoring (facilitation) Meeting	YES	YES	NO	YES	YES	YES	YES	YES	YES	YES
Developing recommendations	YES	YES	NO	YES	YES	YES	YES	YES	YES	NO
Preparing for action planning	YES	YES	NO	YES	YES	YES	YES	YES	YES	NO
OCAT Action Planning meeting	YES	YES	NO	YES	YES	YES	YES	YES	YES	NO
Finalizing action plans	NO	YES	NO	NO	YES	YES	YES	NO	NO	NO

Process satisfaction (1: LOW, 5: HIGH)	1	2	3	4	5	6	7	8	9	10	Average
How satisfied are you with the length of the process?	1	4	4	2	1	2	2	3	2	3	2.4
How satisfied were you with the CaLP support services during the process?	2	4	4	4	2	2	3	4	3	3	3.1
How satisfied are you with the outcome of the process?	3	4	4	3	1	3	1	4	3	3	2.9
To what degree do you recommend this process to other NGOs?	3	3	4	2	2	3	2	4	3	3	2.9

Tool satisfaction	1	2	3	4	5	6	7	8	9	10	Average
How would you rate the overall OCAT structure (categories, criteria, indicators, and the four score descriptions)?	1	4		2	1	3	2	4	2	3	2.4
How satisfied were you with the OCAT's breadth (range) of topics?	3	4		2	1	3	2	4	3	3	2.8
How satisfied are you with the OCAT's depth (details) on topics?	1	4		2	2	3	1	3	3	3	2.4



The Cash Learning Partnership

As more and more organisations respond to the growing call and expanding funding for cash transfer programming (CTP), there is an acknowledgement that individual technical capacity must be supported by organisational structures, systems, policies and procedures that improve readiness to design and implement effective CTP.

To contribute to the institutionalisation of cash CaLP has developed an Organisational Cash Readiness Process to help help a range of committed organisations achieve the practical objectives of the Global Framework. CaLP provides three products for this process: the Organisational Cash Readiness Tool (OCRT), a set of Instructions for using the OCRT, and the Organisational Cash Readiness (OCR) Process Guide.

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