Capacity Assessment to prepare for a programme

The present document contains a generic format for ToR for contracting an external Capacity Assessment of Programme applicants (CapPro). The CapPro will provide CISU’s assessment consultants with necessary information and insights used to assess the applicant organisation’s capacity to implement a programme grant. The ToR shall be adjusted to and focused on the context and situation of the applicant organisation.

# Background and tasks regarding the Capacity Assessment to prepare for a programme (CapPro) of [XX] (hereafter the applicant organisation)

For CISU to consider and eventually approve an application for a programme grant, the applicant organisation and its partners must have demonstrated, through their project work, that donor funds are managed in compliance with the signed agreements and guidelines in force. Accordingly, CISU requires a capacity assessment to be undertaken focusing on the applicant organisation’s capacities, popular engagement, practices, systems, learning and innovation as well as results achieved in previous interventions. The assessment includes moreover an examination of the proposed programme presented in the draft Concept Note, including Theory of Change, as well as the proposed monitoring activities, rights-based approach, innovation, cost-efficiency, sustainability, and programme-related information work.

Throughout the assignment, CISU’s Programme Guidelines provide the point of reference.

## Background for the programme

The background for the programme is described in the draft Concept Note developed by the applicant organisation. Previous experience and interventions of the applicant organisation are furthermore described in the Track Record Document (TRD) attached as Annex 1.

## Funding level

The funding base calculated as an average annual budget is [*insert amount*]. The total for the period covered by the proposed programme is [*insert amount*].

## Issues to consider in the preparation of a programme (identified jointly by applicant organisation and CISU)

Based on the TRD, the following main issues are to be included in the scope of work for this assessment.

[*Maximum of three main issues which may be in addition to the 12 criteria or selected criteria requiring particular attention*]

# Objective

The capacity assessment shall:

* Assess the extent to which the applicant organisation has the professional, organisational, and administrative capacity to carry out the proposed programme considering its past track record and the full existing and planned portfolio of the organisation.
* Address the 2-3 specifically selected issues for the review (section 1.3)
* Assess the relevance of the proposed programme in relation to its strategy and programmatic approach considering the programme assessment criteria.

The report shall present a substantive analysis and clear recommendations for the applicant organisation to address when preparing the management response, Concept Note and Programme Document, and for the use of CISUs assessment committee as a basis for its decision regarding the application for a programme grant.

# Outputs

## Review plan

By mid-February, the consultant will in consultation with the applicant organisation develop a brief plan for the operationalisation of the CapPro. This plan must be approved by CISU.

## Draft Report

A draft report will be presented for the applicant organisation, CISU, and other relevant stakeholders on the preliminary findings and conclusions of the CapPro. The draft report shall be shared with CISU and the applicant organisation three working days prior to the debriefing workshop.

## Debriefing workshop

A debriefing workshop will be held to present the main findings and recommendations to the applicant organisation and CISU.

## Report

The final review report shall reflect on the inputs given at the debriefing workshop (3.3), and shall moreover follow these formalities:

* Maximum 15-20 pages excluding annexes.
* Follow the format presented in section 10.
* Include an executive summary of maximum three pages summarising main findings and recommendations including whether the applicant organisation is assessed as having demonstrated capacity to manage the present programme.
* Include clear recommendations on key issues to address when the applicant organisation will formulate a Management Response, Concept Note and Programme Document. CISU recommends including a maximum of 6 recommendations.
* Include the following annexes: ToR, list of main stakeholders, documents consulted, and other relevant annexes identified by the consultant.

# Scope of the work

The ToR for the review should include, but not necessarily be limited to, the assessment criteria reflected in the Programme Guidelines and the main issues deriving from the TRD (see 1.3 above)*.*

The assessment shall provide a status of the present situation: what are the systems, practices and capacities in place and how have they evolved over time in response to experience gained and new tasks, which the applicant organisation and partners have taken up. See the assessment criteria 3-6. The capacity assessment shall be concluded by a statement substantiated by the consultant’s findings on whether the applicant organisation and its partners have the required professional, administrative and organisational capacity to carry out the proposed programme. If applicable, the consultant shall recommend required adjustments for the applicant to satisfactorily manage the proposed programme grant.

The consultant shall, moreover, assess the draft Concept Note submitted by the applicant organisation with a forward-looking perspective, and the potential for programme synergy, including the potential for coherence between programme components. The consultant shall structure the assessment around the assessment criteria 1-2 and 7-12. A systematic presentation of each criteria with regards to findings, analysis, conclusion and recommendations is required.

Based on the above, the consultant shall present the capacity assessment of the proposed new programme in the form of an overview summarizing conclusions in relation to each assessment criteria. Recommendations shall be presented to assist the applicant in enhancing the quality of the Concept Note and the Programme Document, as well as to assist the CISU assessment committee in subsequently assessing how the applicant has addressed the recommendations.

# Method

The capacity assessment will include, but not necessarily be limited to, four main methods: i) desk review of relevant documents, ii) group and individual interviews with relevant stakeholders, iii) field visit, and iv) debriefing workshop with the applicant organisation and CISU. The capacity assessment will combine work in Denmark and a field visit to a selected programme country/region, preferably teaming up with a local consultant with local knowledge and relevant competencies to conduct field visits and interviews. Expenditures to local consultants must be included in this budget. Involvement of additional partners can be done via online meetings. The consultant will be responsible for identifying and contracting a local consultant for the task.

## Desk review

* Review of relevant documents.

## Group and individual interviews with relevant stakeholders

Should at least include:

* Applicant organisation board, staffs, and volunteers
* Relevant networking partners
* Relevant Danida staff
* Relevant CISU staff
* Assigned CISU assessment consultant
* *[Include others as found relevant]*

## Field visit

* Interviews with partners at both operational (secretariat) and political level (board), and selected target group representatives
* Pre-departure workshop providing initial findings to partners

## Debriefing workshop presenting draft report attended by

* Applicant organisation board, staffs, and volunteers
* Relevant CISU staff

# Required experience and competencies

The assignment requires a consultant with extensive experience from working with development cooperation and CSOs, preferably in the context of partnerships between southern and northern CSOs. Further, strong analytical skills are required to compile and process large amounts of data from documents and interviews. Excellent communication skills are necessary to engage with a variety of different stakeholders. Prior experience from conducting capacity assessments and reviews is considered a prerequisite. Likewise, specific geographical and thematic experience corresponding to the proposed focus areas of the programme will be prioritised in the shortlisting of an external consultant. When possible, local consultants with required competencies and knowledge about local context can be recruited to conduct field visits and interviews.

# Management of the capacity assessment

CISU is commissioning the present assignment and the CISU management is responsible for contracting issues, for signing ToR and for the final approval of the capacity assessment report. Payments and contractual matters related to the local consultant(s) are handled by the consultant.

The appointed CISU advisor is responsible for briefing the consultant about the task and supporting day to day management issues.

There is an absolute maximum ceiling of DKK 150.000 all-inclusive for this assignment. The assignment will have to be planned and invoiced within this absolute amount.

# Timetable

* Introductory meeting regarding the assignment in January 2023 (exact date to be decided).
* Meeting with a CISU assessment committee member on exchange of expectations in January 2023 (exact date to be decided).
* The assignment will be carried out in the period February 1, 2023 – April 5, 2023.
* The draft report will be shared by the consultant with the applicant organisation and CISU at least three days prior to the debriefing workshop and no later than by March 17, 2023.
* The debriefing workshop will be held between March 20-31, 2023.
* Deadline for the final report is April 5, 2023.
* Evaluation of the process with CISU: April/May 2023 either in writing or meeting.

# Budget

The budget is regulated and approved by CISU after proposal from the consultant. Within the absolute ceiling of DKK 150.000 the budget covers the following:

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| Consultant's Fee |  |
| Travel cost |  |
| Accommodation |  |
| Per diem |  |
| Please add if other reimbursables to local consultants |  |
| Other cost (specified) |  |
| **Total amount** |  |

The consultant's fee is an all-inclusive flat rate (VAT included) for the assignment based on the estimated days to be used. CISU is responsible for contracting the consultant.

Travel, accommodation and per diem according to the Danish state [rules and rates](https://modst.dk/media/30207/016-18.pdf). There cannot be paid any expenses or extra fees in addition to the budget without justification and prior approval from CISU and only within the overall ceiling of DKK150.000.

A detailed account of reimbursables shall be submitted to CISU (see format on last page of these ToR).

# Report format

The following outlines the proposed report format. The numbers in parentheses refer to the assessment criteria.

Executive summary

Main conclusions and recommendations structured according to the programme assessment criteria. Thematic issues (see 1.3) must be reflected.

Overall conclusion on programme relevance. It should be stated clearly whether the applicant organisation and partners are found having the capacity to manage a programme.

List of abbreviations.

1. Introduction
2. Capacity assessment – findings and analysis
   1. Organisation’s capacity and popular involvement (3)
   2. Financial management and administrative capacity (4)
   3. Analytical capacity and learning (5)
   4. Delivering and documenting results (6)
3. Assessment of Concept Note – findings and analysis
   1. Strategic relevance
      1. Strategy strengthening civil society in the Global South and relevance to the SDGs (1)
      2. Relevance of partner organisations and their local, national and/or global networking partners, and their capacity strengthening local leadership (2)
   2. Programmatic approaches
      1. Theory of Change and programme synergy (7)
      2. Monitoring, Evaluation, and Learning (MEL) system (8)
      3. A human rights-based approach (HRBA) (9)
      4. Sustainability (10)
      5. Financial resources and Cost Level (11)
4. Assessment of specific issues (see 1.3)
5. Conclusion and recommendations
   1. Capacity assessment of applicant and partners (separate conclusions on criteria 1-4)
   2. Results, overall progression, and learnings existing phase (separate conclusions on criteria 5-12)
6. Recommendations
   1. Programme management capacity
   2. Recommendations on specific issues for review

# Annexes

Obligatory annexes:

* Annex 1: Track Record Document (TRD) (compiled by CISU)
* Annex 2: Calculating current project portfolio
* Annex 3: Concept Note
* Annex 4: Previous reviews, capacity assessments, evaluations etc.

Additional annexes:

**Annex: Detailed account reimbursables**

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| **Reimbursables** | Units | Per unit | Sum DKK |
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