



RESOURCE CATALOGUE

**A Brief Review of 20 Tools to
Assess Capacity**

**Capacity Development Group
Bureau for Development Policy
August 2005**

This Resource Catalogue on *Capacity Assessment Tools* is a brief review of twenty tools is meant to serve as a preliminary resource for development practitioners in the area of organizational capacity assessment. It is exhaustive in neither breadth nor depth of tools studied. Twenty tools were surveyed, drawing from publicly available resources of non-profit organizations, management consultancies, United Nations agencies and other donor organizations. The purpose or application of these tools varies from thematic, institutional or enabling environment levels. Inclusion of a tool in this review does not imply endorsement by the UNDP.

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Institutional Capacity Assessment Tools

CARE

Institution: CARE International Somalia

Tool Type: Survey

Theme: NGO Partner Capacity Assessment

Primary Purpose: To assess a partner NGO's management, finance, service delivery, and sustainability

Approach: Points and rating process.

Pros and Cons: Brief, clear, easy checklist format. Equal weight assigned to categories.

Estimated Time and Budget: NA

Other:

http://www.careinternational.org.uk/resource_centre/civilsociety/inventory_of_resources/section_2/section_a/a10_somalia_capacity_assessment_tool.pdf

CIDA

Institution: CIDA

Tool Type: Capacity Development Tool Kit.

Theme: Capacity Development

Primary Purpose: To respond to demand from CIDA staff for tools and strategies to operationalize capacity development and to facilitate the work of researchers, students and practitioners.

Approach: Collection of papers on capacity development at micro (i.e. the capacity of individuals), meso (organizations and networks), and macro (overarching institutional issues conditioning the environment for capacity development) levels.

Pros and Cons: For comprehensive background knowledge and understanding of capacity concerns and issues.

Estimated Time and Budget: NA

Other: Available at [http://www.acdi-](http://www.acdi-cida.gc.ca/cida_ind.nsf/8949395286e4d3a58525641300568be1/ff70854ad03e74df85256cef0059b3f7?OpenDocument)

[cida.gc.ca/cida_ind.nsf/8949395286e4d3a58525641300568be1/ff70854ad03e74df85256cef0059b3f7?OpenDocument](http://www.acdi-cida.gc.ca/cida_ind.nsf/8949395286e4d3a58525641300568be1/ff70854ad03e74df85256cef0059b3f7?OpenDocument)

DFID

Institution: DFID

Tool Name/Type: Open Systems Model

Theme: Organization in its Institutional Context

Primary Purpose: diagnosis of the strategic/institutional environment, and organizational problems.

Approach: Extensive questionnaire on external environment, financial resources, role and strategy, culture, people and human resource management, organization structure, outputs/performance

Pros and Cons: Extensive and comprehensive

Estimated Time and Budget: NA

Institution: DFID

Tool Type: 7S

Theme: Organization in its Institutional Context

Primary Purpose: To analyze internal issues within an organization

Approach: Use 7S framework to have discussions with staff and prepare a report.

Pros and Cons: Interaction with people.

Estimated Time and Budget: NA

Institution: DFID

Tool Type: Organisational Element Model

Theme: Organisation in its Institutional Context

Primary Purpose: Designed to demonstrate the relationship between inputs and performance.

Approach: Table analysis

Pros and Cons: No hard data.

Estimated Time and Budget: NA

<http://www.dfid.gov.uk/pubs/files/prominstdevsourcebook.pdf>

ECDPM

Institution: ECDPM [MDF]

Tool Name/Type: Institutional Development and Organization Strengthening (IDOS) Framework

Theme: Institutional Analysis

Primary Purpose: To enhance the institution's ability to perform development activities

Approach: IDOS is a flexible set of tools for an analysis of the enabling environment and the client's internal organization. The analysis is three fold-a mapping exercise, a functional analysis and a plan for implementing proposed reforms.

Pros and Cons: Taught course at MDF. Dutch embassy in Mozambique has identified three weaknesses arising from an application by 22 ministries. Politically sensitive questions have been avoided till date; approach is top down, different on-going processes make coherence of reform a challenge.

Estimated Time and Budget: NA

Other: <http://digbig.com/4cdak> and mdf@mdf.nl

Institution: ECDPM [GTZ]

Tool Name/Type: Objective Oriented Project Planning [OOPP]

Theme: Project Planning

Primary Purpose: To improve the planning process

Approach: In depth analysis of relevant actors, as well as problems, their cause and effects.

Pros and Cons: OOPP has been used as a donor-planning instrument but can also be used as a participatory planning exercise.

Estimated Time and Budget: NA

Other: www.gtz.de/ and www.demonchy.nl/

Institution: World Neighbours. Gubbels, P. and C. Koss

Tool Type: Field guide

Theme: Organisational capacity, self assessment

Primary Purpose: To provide organizations with tools for strengthening their capacity

Approach: Regularly reflecting on performance, diagnosing internal strengths and weaknesses, identifying priority capacity areas, and designing action plans for improving their effectiveness and long-term viability.

Pros and Cons: Very detailed and time intensive methodology.

Estimated Time and Budget: NA

Other: www.wn.org

[http://www.capacity.org/Web_Capacity/Web/UK_Content/Download.nsf/0/9CA60DAADFE2D4BCC1256E3E003CC2E5/\\$FILE/final%20draft%20booklet_rev.pdf](http://www.capacity.org/Web_Capacity/Web/UK_Content/Download.nsf/0/9CA60DAADFE2D4BCC1256E3E003CC2E5/$FILE/final%20draft%20booklet_rev.pdf)

IDRC

Institution: IDRC
Tool Type: Book
Theme: Institutional Assessment
Primary Purpose: To assist both external and internal efforts to strengthen organizations and to provide a framework for documenting the effects of such efforts
Approach: Descriptive, provides guidance.
Pros and Cons: No specific tool.
Estimated Time and Budget: NA
Other: http://www.idrc.ca/en/ev-27697-201-1-DO_TOPIC.html

McKinsey

Institution: McKinsey
Tool Type: Capacity Assessment Grid
Theme: Organizational capacity
Primary Purpose: Designed to help non-profits assess their organizational capacity.
Approach: Qualitative survey assessment. To be used in conjunction with a Capacity Framework that explains the elements of the grid.
Pros and Cons: Very clear, concise, and user friendly.
Estimated Time and Budget: NA
Other: http://www.emcf.org/pdf/mckinsey_capacitytool.pdf

ODA

Institution: Overseas Development Administration
Tool Type: Guidance note
Theme: Stakeholder Analysis of Aid Projects and Programmes
Primary Purpose: To assess how stakeholder interests affect the risk level and viability of the programme.
Approach: Fill out matrices and tables.
Pros and Cons: Highly participatory exercise. To use within larger assessment framework.
Estimated Time and Budget: 3 hours, markers and flip charts.
Other: <http://www.euforic.org/gb/stake1.htm>

SNV

See SNV report <http://www.snvworld.org/cds/rglqp/report.doc> for a description and guidance on use of analysis instruments for local governance:

4. Instruments for analysing functioning of local government bodies

- 4.1 Criteria of excellence in Local Government
- 4.2 Power distribution matrix
- 4.3 The Institutiogramme
- 4.4 The Participation Matrix
- 4.5 Interactive Policy making Process

5. Instruments for Sector Analysis

- 5.1 Sector analysis
- 5.2 Checklist to diagnose local economic development
- 5.3 Steps to develop the local economy
- 5.4 The Coverage matrix
- 5.5 The Collaboration matrix
- 5.6 Environmental scan
- 5.7 Envisioning

6. Instruments for Organisation Analysis

- 6.1 The Integrated Organisation Model
- 6.2 Quality definition chart
- 6.3 Social Audit
- 6.4 Mintzberg model
- 6.5 The Process Flow Chart
- 6.6 Hofstede: Onion
- 6.7 Checklist organisational culture
- 6.8 Strategic orientation

7. Analysis systems

- 7.1 OOPP
- 7.2 RAAKS
- 7.3 ID/OS

WORLD BANK

Institution: World Bank

Tool Type: Excel worksheet (186k)

Theme: Service Delivery

Primary Purpose: To assess constraints on front-line service delivery

Approach: It identifies the sources of constraints (district, provincial, or federal) and evaluates their relative severity. Local constraints on providers, users, district officials and other stakeholders are 'endogenous' to the district. These are disaggregated from 'exogenous' constraints in core public management systems of provincial administration as well as the broader federal system of intergovernmental relations. By mapping the sources and severity of constraints, the tool provides the basis for prioritizing and sequencing next steps pursuant to specific public sector operations.

Pros and Cons: Excel automatically calculates results if toolkit is filled out on screen.

Estimated Time and Budget: Pilots in Ethiopia, Benin, and Argentina

Other: Lead Nick Manning and Navin Girishankar. Toolkit under progress.

Institution: World Bank

Tool Type: PDF Questionnaire (88k)

Theme: Administration and Civil Service

Primary Purpose: To assess both formal and informal institutional arrangements for public sector employment

Approach: Questions asked on size and architecture of public sector, personnel rules, agency and sector issues, and common problems.

Pros and Cons: Guidance provided to user as well as links to relevant World Bank website pages.

Estimated Time and Budget: Piloted in EU accession countries, Bolivia, Indonesia, Jordan, Mozambique, Romania and Albania.

Other: Lead Nick Manning and Jeff Rinne. Following comments from external partners and Bank staff, toolkit has been revised. It is currently being developed into a PREmpak, which will allow multiple users to question others' assessments, facilitating dialogue and consensus between Bank staff, consultants, and country counterparts.

Institution: World Bank

Tool Type: Excel worksheet (171k)

Theme: Commitment to Reform Diagnostic

Primary Purpose: To assess the political desirability of proposed reforms, the political feasibility (including opposition to this project or to broader reforms inside or outside of the government), and the sustainability of reform, including potential changes in key stakeholders

Approach: Three well-defined sections with questions on commitment, feasibility and sustainability.

Pros and Cons: Presents a few stylized results based on your answers, and offers suggestive insights from Bank experience as to how task managers and country teams have addressed particular concerns in the design and implementation of Bank-funded projects.

Estimated Time and Budget: This toolkit is not meant to substitute for a well-informed judgment of a seasoned observer with proper training in political analysis, rather it should be viewed as a minimal effort to detect the most obvious instances of lack of political viability of reform. Therefore, the questionnaires should be accompanied by a sound understanding and analysis, if feasible, of the historical evolution and contemporary context of the local political economy.

Other: Lead Jeff Rinne and Yasuhiko Matsuda.

Institution: World Bank

Tool Type: PDF Questionnaire (429k)

Theme: Revenue Administration

Primary Purpose: To provide a comprehensive framework for diagnosis of the institutional and organizational deficiencies of Revenue Administration (RA).

Approach:

Chapter 1 provides three sets of indicators to conduct a Preliminary Examination. Chapter 2 presents the Congruence Model used for the Detailed Diagnosis of the RA. Chapter 3 applies the Congruence Model to Revenue Administration. Chapter 4 provides a methodology for converting the insights derived from the diagnosis of different elements of the RA's system into a reform strategy.

Pros and Cons: Comprehensive toolkit, well written with plenty of visual aids.

Estimated Time and Budget: The framework can be used in a group setting involving different stakeholders; to guide brainstorming sessions and craft reform strategies.

Other: Lead Jit Bahadur S. Gill, Anna Hansson, Michael Engelschalk

Institution: World Bank
Tool Type: PDF Questionnaire
Theme: Intergovernmental Relations
Primary Purpose: To assess arrangements for fiscal decentralization, institutional arrangements for administrative decentralization and key dimensions of political decentralization.
Approach: This toolkit tries to characterize the decentralization taking place in a given country at a point in time so that the roles and responsibilities of different levels of government can be compared across countries, and most importantly, so that those decentralization policies that have significant impacts can be monitored over time within a country
Pros and Cons: Short clear questions
Estimated Time and Budget: Under development
Other: Lead Jennie Litvack

Institution: World Bank
Tool Type: PDF Questionnaire
Theme: Legal and Judicial
Primary Purpose: To assess system performance in the deterrence of wrongful conduct, the facilitation of voluntary transactions, the resolution of private disputes, and the redress of governmental abuses of power. It will also assess how well the key institutions of the judicial system – the courts, the private bar, and the public prosecutors – are working.
Approach: NA
Pros and Cons: NA
Estimated Time and Budget: Under development.
Other: Lead Rick Messick

Institution: World Bank
Tool Type: Excel worksheet (367k)
Theme: Public Expenditure
Primary Purpose: To assess formal public expenditure institutional arrangements and to assess the capability of cabinet arrangements for social and sectoral policy-making.
Approach: Assesses performance at three levels
Pros and Cons: Provides guidance on interpretation of the survey results after each level
Estimated Time and Budget: Piloted in Thailand, Indonesia, Uganda, Malawi, Ghana, Australia, New Zealand, Colombia, and Benin.
Other: Lead Malcom Holmes

<http://www1.worldbank.org/publicsector/toolkits.htm>

UNICEF

Institution: UNICEF
Tool Type: Workshops, semi-structured interviews
Theme: Vulnerability and Capacity Assessment/Disaster Preparedness
Primary Purpose: Palestinian Red Crescent Society seeks to identify local community points of view in relation to real needs for disaster preparedness and ways of mitigating the impacts of disaster.
Approach: Community focus groups, workshops, semi-structured interviews with Ministry officials and NGOs.
Pros and Cons: Highly participatory and comprehensive approach.
Estimated Time and Budget: NA
Other: http://www.unicef.org/evaldatabase/files/OCT_00-801.pdf

Author's Comment: From the M&E database, there are innumerable internal assessments of UNICEF programmes and projects. There is little study of institutional or national capacity.

UNFPA

Institution: UNFPA Madagascar Country Office
Tool Type: Questionnaire
Theme: National Executing Agency Capacity Assessment
Primary Purpose: To assess the general management, technical and financial capabilities of government and non-governmental bodies
Approach: Questionnaire and interviews with national executing agencies
Pros and Cons: Short and neat. Well designed and targeted assessment process and tool.
Estimated time and budget: Six weeks and two national consultants.
Other: <http://www.unfpa.org/monitoring/pdf/n-issue29.pdf>

Author's Comment: UNFPA is very active with capacity-building projects. The website offers many assessments of these projects from their M&E archives.

UNDP

Institution: UNDP

Tool Name/Type: Participatory Organizational Evaluation Tool (POET)

Theme: Organizational capacity assessment

Primary Purpose: As an organizational capacity assessment tool, CSOs (Civil Society Organizations) and their partners use POET to measure and profile organizational capacities and consensus levels in seven critical areas, and assess, over time, the impact of these activities on organizational capacity (benchmarking). As an organizational development process, CSOs and their partners use POET to build capacity by bringing staff together in cross-functional, cross-hierarchical groups for open exchange; to identify divergent viewpoints to foster growth; to create consensus around future organizational capacity development activities; and, to select, implement and track organizational change and development strategies

Approach: Critical organizational capacities are identified in relation to a potential user population. Items are created to measure the critical capacities. Facilitators are trained to apply the tool which uses a self assessment questionnaire and group discussion approach.

Pros and Cons: Scores capacity and consensus among assessment team. Very time consuming, participatory exercise.

Estimated time and budget:

Other: <http://www.undp.org/cso/resource/toolkits/poet/ch1.html>

Institution: UNDP

Tool Type: List of optional approaches to capacity assessments (where we are now)

Other: <http://magnet.undp.org/Docs/cap/Anx2.pdf>

Institution: UNDP

Tool Type: Handbook on capacity assessment methodologies: An analytical review

Other: <http://magnet.undp.org/cdrb/CAPMET~1.htm>