



# NATIONAL SOCIETY ASSESSMENT & DEVELOPMENT PROCESSES

Guidance for National Societies

2021



## Introduction

This paper aims at supporting Red Cross and Red Crescent National Societies to familiarise themselves with the different existing assessment and development processes<sup>1</sup> and tools available for them, and to make informed decisions on which process to embark on and when, in order to maximise the contribution of results of such assessment and development processes to the National Society's development journey. It is made of two parts:

- A first part describes the different types of assessment and development processes and tools and their best use;
- A second part that contains a short, more in-depth one page infographic on each of the existing processes and tools, with links to additional resources and focal points for each of them. This will be amended or complemented in the future, should new assessment or development process and tools be made available for NSs.

## National Society Development, a continuous process

Continuous development is vital for any National Society to ensure that it strengthens and ensures sustainability of its service delivery, and adapts to an ever-changing environment.

NSD refers to all activities to “achieve or maintain a National Society that consistently delivers, through volunteers and staff, relevant countrywide services to vulnerable people sustained for as long as needed”. Its objective is to ultimately improve the relevance, quality, reach and sustainability of National Society services, and ranges from improving existing programme, services and capacities by making them more effective, more widespread or better embedded in the organisation<sup>2</sup> (referred to as Capacity Strengthening/Enhancement) to much deeper and comprehensive changes that will look into the organization as a whole and the interconnectedness of different function and levels<sup>3</sup> and/or the identification of new areas of work (referred to as Organisational Development).

A number of key principles, as highlighted by the [NSD Framework](#) and [NSD Compact](#), apply to all NS and those supporting their development:



- Each National Society is responsible for its own development.
- Each National Society has to define its own formula and drive its own development.
- The primary responsibility for the development of the organization sits with the Senior Leadership.
- Services to affected communities and people must be the key driver.
- Support to NS by any other actor (other Movement partners, non-Movement external partners) should be based on the priorities defined by the NS themselves.

NSD is therefore not an aim in itself, but a mean for the NS to ultimately increase its service to affected people & communities; the National Society's development priorities should therefore reflect their needs, the national and local context, specific programmes and services, structure and history and will vary greatly from one NS to another.

<sup>1</sup> Throughout this document, reference is made to “assessment and development processes”; this includes all processes that are constituted of an assessment phase only, and those processes that have an assessment component but also include the planning, implementation, monitoring etc. methodology following up on the assessment.

<sup>2</sup> For example, strengthening a specific programme, service or capacity (volunteer management, financial management, Logistics, disaster response, WASH, Shelter, Cash etc.).

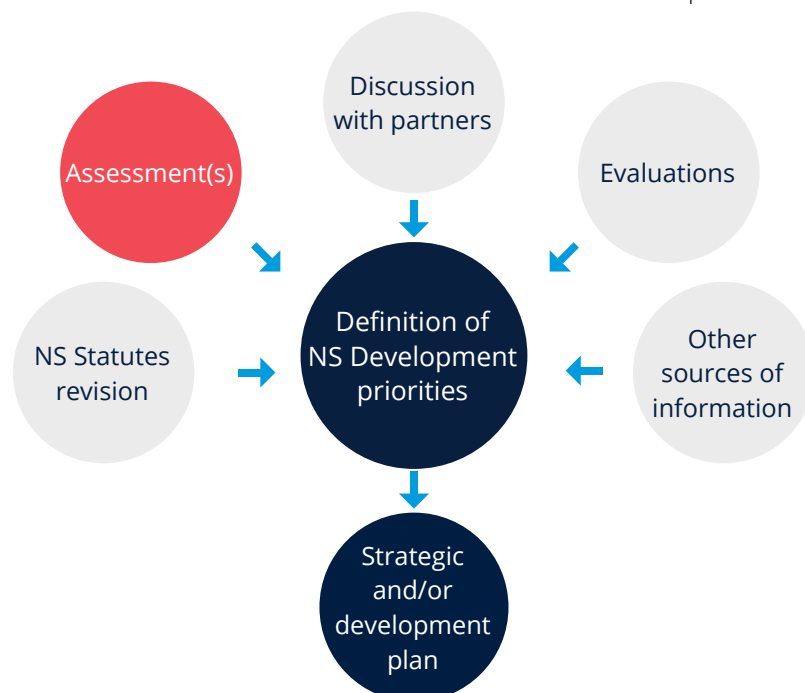
<sup>3</sup> Organisational Development aims at changing what already exists, and impact a NS's identity, its long-term strategy, its basic organisational model, the relationships between different parts of the organisation and between the NS and its environment.



## How can assessments support the NS's development?

All development priorities should be based on a good understanding of the context in which the NS evolves, and of its own strengths and weaknesses. By allowing Societies to critically review their performance and capacities, assessment processes often constitute one of the possible avenues to identify and agree on current challenges and needed areas of improvement. If conducted more than once, assessments also allow for monitoring of the implementation of development efforts by evidence of progress made and outstanding challenges; this will allow to inform changes to be made to the NS development plan and related measures, **and support continuous learning and improvement within the NS.**

Assessment should complement other sources of information when the NS is prioritising and planning for development actions. Often, Strategic Planning processes include internal or external analysis of the changing context in which the NS operates; external audits are a very valuable objective feedback to the National Society's weaknesses on checks and balances; the revision of its Statutes often triggers deep analysis and discussions about the NS's structure, its internal and external relations, the relevance of its Governance; programmes or operations evaluations or reviews can surface needs for structural and sectorial/technical improvements, among many others.



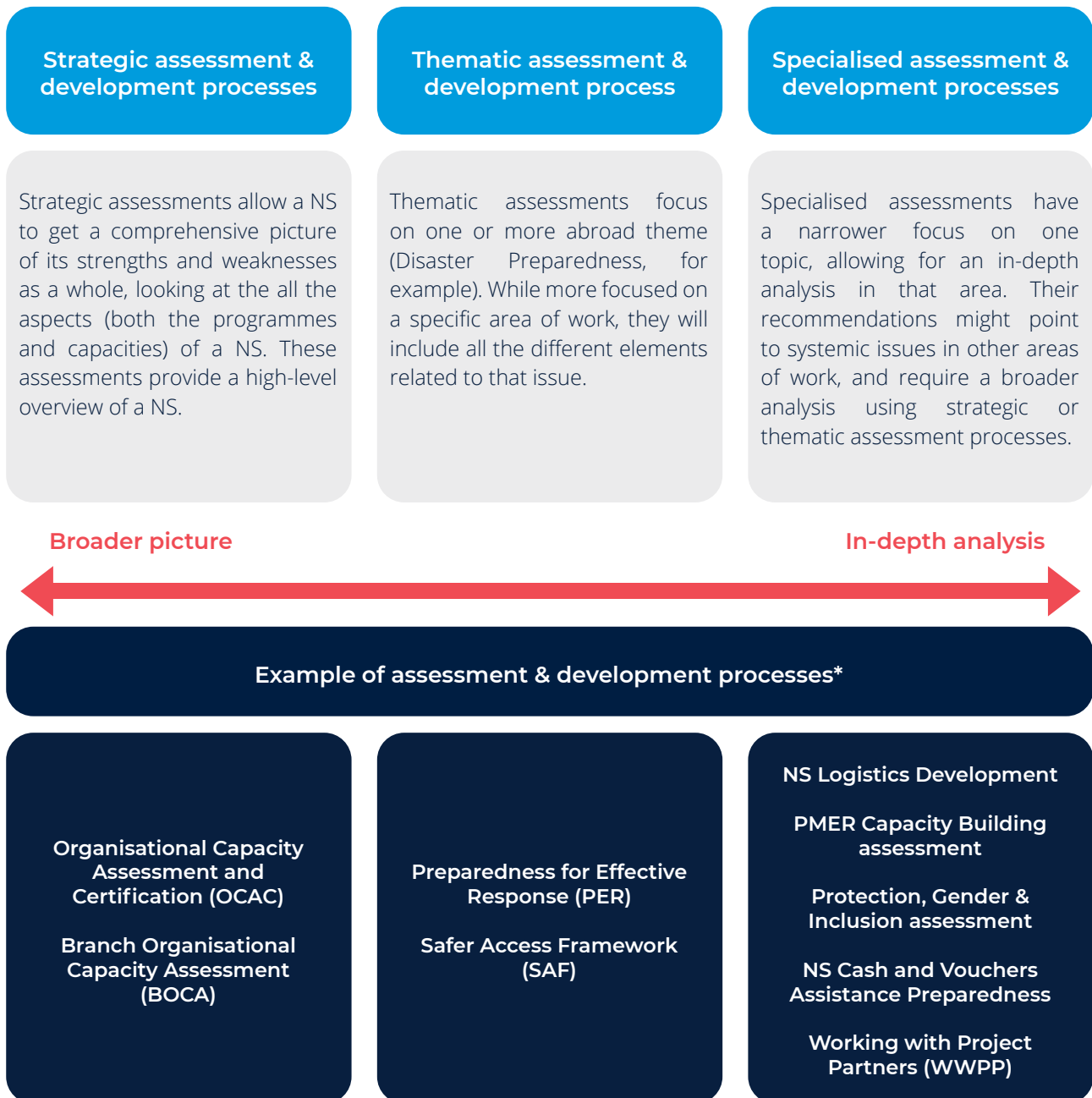
Assessments are only valuable if they are effectively followed-up by concrete development actions that address the weaknesses identified. The typical outputs from assessments include recommendations for improvement that, along with other sources of information, will allow the NS to internally discuss and agree on its development priorities. The identified priorities are usually reflected in the NS's strategic, development and/or operational plans.

A NS might want to undertake an assessment to inform its development priorities – for example, by having an overall overview of a NS strengths and weaknesses; or a more in-depth analysis in one or more specific area. Some National Societies may want to undertake more than one assessment process, or conduct an assessment process more than once, although the choice of the timing of such processes rests exclusively with the National Society itself. In such cases, relevant recommendations from previous assessments should inform following assessments, and all the assessment outcomes need to be consolidated and prioritised in a operational planning process that contribute to the NS **one overall development plan**. Experience shows that having multiple, specific action plans will often lead to conflicting priorities, limited ownership within the NS and **limited/challenging** monitoring and oversight by the NS senior leadership.

Conducting an assessment should therefore be part of the broader development efforts of a NS; the recommendations from these assessments are valuable contributions, together with others, to inform and support the harmonious development actions undertaken by the NS. The commitment of a NS to take concrete measures to address the assessment(s) recommendations and learnings is absolutely key to ensure that they translate into improvements. The agreed priorities should be mainstreamed into the existing plan of the Society, if available, and done shortly after the assessment itself, to ensure that the picture presented by the assessment is still accurate.

## What assessment processes are available to NS?

The IFRC, in its leading role to support the development of its members offers a variety of assessment tools processes, methodologies and approaches; Movement, as well as non-Movement partners, have also develop resources to support NS development efforts. This number has been growing in the recent past and expected to grow further to meet new trends and needs of NS; a full list and brief overview of all available Movement assessment process can be found in attachment to this paper. Different assessments can be categorised into the three categories highlighted below.



\* Please note that this list is not exhaustive; see the annex for a more detailed list of available processes.

These assessments are complementary, can be used on their own or jointly combining a general overview using strategic/ assessment with a more in-depth review of specific areas with thematic/specialised assessments.

## Is a National Society required to undertake assessments?

There is no requirement for NSs to undertake assessments unless the need for this has been clearly identified and agreed by the NS – all assessment processes are resources for a National Society to better tailor its development priorities, but if and when to undertake any assessment is entirely up to the NS. There is of course no requirement for NSs to undertake all assessments.

Also, in case a National Society decides to conduct more than one assessment, there is no standard order in which it should undergo these assessments; a NS can start with any assessment that is most relevant to its needs and decide to go for another one later on, based on its priorities. Like a puzzle, there is no established order in which it should be assembled; each piece is important and connected with other pieces and the overall picture only shows once all the pieces are put together. It is important that relevant findings and recommendations from previous assessments are considered when conducting a new assessment, and that all recommendations are discussed and when relevant inform the NS development priorities.

A NS should however avoid conducting too many assessments in a row as these require resources, can delay or limit follow-up actions and the mainstreaming of recommendations into its Strategic or Development plans. Finally, the results of a specialised assessment process should be considered as resources to be brought into more strategic ones, or to check consistency across findings from different sources (e.g. financial sustainability indicators vs reports from audits); while low scoring in assessment results in strategic ones might indicate a need to go for further analysis in that specific area (e.g. low results in financial sustainability indicators in an OCAC may suggest that an external audit is needed; learnings from DREF supported operation can lead a NS to undergo a PER to address identified gaps).

## Which assessment process should a NS choose and when ?

As an assessment is part of a wider development process of the NS, the decision to undergo an assessment and which one(s) to choose should always relate to that broader picture. The NS should consider the following point prior to deciding which assessment process to follow:



### **What do we expect from the assessment?**

A NS should clearly define what it is expecting to achieve prior to choosing one or more assessment process, and based on these expectations, proceed to an analysis of available Movement assessment process. The choice of undergoing an assessment should never be made based on partner pressure.



### **Is the leadership of the NS in agreement of the assessment?**

The NS leadership is responsible to lead and overview the NS development efforts. Their buy-in and commitment to change is crucial to ensure the translation of the assessment's recommendation into actions.



### **Have we considered the necessary resources (time, financial) for the assessment and the follow-up?**

Preparing, conducting and following-up an assessment does require time and resources, which should be planned.

Based on the above, a NS might not need to undergo any assessment if it has already identified the key areas of improvement it wants to address.<sup>4</sup> In case the National Society has identified the need to better analyse its weaknesses, competencies and opportunities as a contribution to its own development, the following can be of use to better identify which assessment process to undertake:

- If the NS needs a general overview of all of its capacities and performance, and see how different areas are interlinked, a **strategic assessment/development process** is the preferred option. This is particularly relevant when a NS plans to draft or review its development or strategic plan. Among this type of assessment processes we find:
  - The **Organisational Capacity Assessment & Certification (OCAC)** process will provide an overview of all elements that constitute a strong NS as a whole,
  - The **Branch Organisational Capacity Assessment (BOCA)** is allowing for the same at the branch level.
- When the NS needs to get a better understanding of necessary areas of improvement in a more specific area of work that requires in-depth analysis of different departments, a **thematic assessment/development process** is recommended. Among this type of assessment processes we find:
  - The **Preparedness for Effective Response (PER)** is an approach that support NSs to identify and plan for critical capacity strengthening preparedness actions for response, to ensure timely and effective humanitarian assistance in line with the NS auxiliary role and mandate.
  - The **Safer Access Framework (SAF)** supports NSs to reduce and mitigate the risks that they may face in sensitive and insecure contexts; to earn the trust and acceptance of people and communities , as well as of those who control or influence access to them
- When the NS would like to strengthen a specific technical area, a **specialized assessment/development process** focused on that area should be chosen. The **NS Logistics Development** and **NS Cash and Vouchers Assistance Preparedness (CVAP)** processes are examples of a specialized approach that supports NS in identifying and implementing changes to a NS logistics and Cash Preparedness capabilities and capacities.

## Where can I find more information?

More detailed information about NS assessment processes can be found in attachment to this document; it includes a brief overview and contact details of the focal point for each of them. The relevant IFRC Country/Country Cluster delegation<sup>5</sup> will support and guide the NS with both the choice and implementation of the assessment process, and their relevance to the wider development process.

<sup>4</sup> For example, if a NS in a financial crisis has already developed a recovery plan, conducting assessments to inform longer term development might be premature as all efforts will focus on the recovery.

<sup>5</sup> In coordination with IFRC members/ICRC when/as relevant.

# ANNEX

## ASSESSMENT & DEVELOPMENT PROCESSES

You will find below a brief presentation of the different assessment & development processes that are available to NS and support their self-development. The purpose is to provide a quick overview and answer the following information:

1. Objective and focus of the process,
2. Structure of the process, providing more clarity on how the process is conducted in a NS,
3. Use of the process, guiding NS about when it is best to use (and when it's not) it as part of its development,
4. Resources and support, to get more information about the process and where to find help.

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## Organisational Capacity Assessment and Certification (OCAC)



### 1. What is the objective and focus of this assessment process?

OCAC is a comprehensive assessment process that allows National Societies to review all the elements that make up for a strong organisation by looking at its capacity and its performance in the country. Its objective is to enable Societies to get better understanding of its strengths and weaknesses, providing prevision and focus in its efforts to become strong and sustainable service providers. It also allows NSs to evaluate themselves against expectations of a modern organisation in the development and humanitarian sector as it includes minimal standards to which all NS should commit.

### 2. How is the process structured?

OCAC has two assessment phases: the first phase focuses on NS capacities, e.g. its structure, systems, procedures, and the resources it needs to function in an effective manner. This is done by way of a self-assessment, conducted by a group of about 15 people representative of the NS as a whole supported by external facilitators. The second phase examines the impact the NS has in the country, looking into the relevance, quality and scale of a NS services, and conducted by a group of selected peer NS reviewers. NS meeting the minimum standards set for each phase can get certified by the IFRC Governing Board.

### 3. When is it more advisable for a NS to consider this process?

As a comprehensive assessment, OCAC not only provide an understanding of a NS capacity and performance in all the areas of work, but also of the relationships between those different elements. An OCAC is therefore best used as a starting point or supporting the definition of the NS overall development plan or strategic plan; it can also be used to monitor the progress of the implementation and adjustments of such plans. OCAC can complement other assessment and development processes, either by providing a more holistic picture to a more specific assessment conducted previously, or by highlighting areas that need a more in-depth review to clearly establish the need for development. It is not advised to conduct an OCAC if a NS has recently defined its development priorities with clear deliverables.

### 4. Where can I find more information?

You contact your IFRC NSD Regional Advisors or the IFRC Assessment & Certification Senior Officer (Roger Fischli, [roger.fischli@ifrc.org](mailto:roger.fischli@ifrc.org) / +41 22 730 4 83) if you would like to know more about the OCAC process.

Key information and documents can be found on [Fednet](https://www.fednet.org/).



## Branch Organisational Capacity Assessment (BOCA)



### 1. What is the objective and focus of this assessment process?

BOCA is a self-assessment tool developed for NS branches to identify and assess their strengths, limitations and challenges in relation to a wide range of organizational capacities. It can be used as the first step in a branch development process.

### 2. How is the process structured?

BOCA is a comprehensive assessment tool that provides an in-depth view of a branch's strengths and weaknesses and allows them to assess their current capacity to deliver services to initiate or strengthen their overall development. The process is in parts similar to the OCAC process, and includes a capacity assessment session, but also has additional sessions that allows the branch stakeholders to reflect on their activities, financial resources etc. and includes a planning session. Moreover, the process is flexible and can be adapted by each NS to better reflect the needs and realities of its branches.

### 3. When is it more advisable for a NS to consider this process?

BOCA can be compared to a branches general health check and should be used whenever a NS wishes to develop or strengthen the capacity of its branches. It is strongly recommended that branch assessments are conducted in all of the NS branches, rather than in just one or a few of them.

### 4. Where can I find more information?

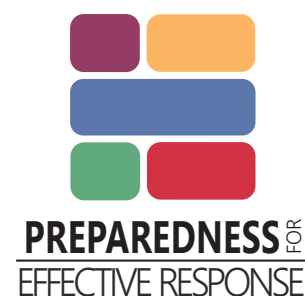
You contact your IFRC NSD Regional Advisors or the IFRC Assessment & Certification Senior Officer (Roger Fischli, [roger.fischli@ifrc.org](mailto:roger.fischli@ifrc.org) / +41 22 730 4 83) if you would like to know more about the OCAC process.

Key information and documents can be found on [Fednet](#); and the latest BOCA activities (mostly in Asia and the Pacific) can be found on this [Facebook Group](#).

### NS Preparedness for Effective Response (PER) approach

#### 1. What is the objective and focus of this assessment process?

The Preparedness for Effective Response is an approach that enables NSs to strengthen their local preparedness capacities to ensure timely and effective humanitarian assistance in line with the NS auxiliary role and mandate. It considers all hazards (natural, biological, technological, among others) and flexible to be used in different contexts. The process guides NSs to systematically measure, analyse, prioritise and plan preparedness for response actions.



National Societies can use the PER Approach to (1) identify and plan for critical capacity strengthening preparedness actions for response (2) ensure that their work meets a set of global preparedness and response standards, and (3) coordinate their work with Movement partners, Governmental and Non-Governmental Organizations, among others. The approach enables National Societies to strengthen their capacities to prioritise and identify strategic actions to improve its ability to deliver quality humanitarian services.

#### 2. How is the process structured?

The PER approach outlines a continuous and flexible process to enable NS to assess, measure and analyse the strengths and gaps of its [preparedness and response mechanism](#), and ultimately take necessary action to improve it. The PER approach is not a stand-alone technical expertise, but rather a mechanism that needs to be integrated into all NSs' systems and work. In addition to the multi-hazard benchmarks, [specific considerations for Epidemic Preparedness](#) were developed, to guide the assessment of NS's capacities to respond to outbreaks. Using the PER Mechanism across the DRM continuum and across sectors can contribute to a standard understanding of the interrelated technical support needed to deliver services within an emergency operation and recovery programming. Assessing the Mechanism to identify the priority fields that need enhancement does not necessarily mean going through a long and heavy process. Different methods exist to find evidence of the needs and analyse their root-cause to address them. What varies is the level of detail, scope and output desired by the NS. If the NSs decide to assess its response capacity, four different methods can be used: Self-assessment, simulation, operational and post operational. This is informed by the current contextual environment (i.e., ongoing crisis, imminent disaster, etc.), resources and time available.

#### 3. When is it more advisable for a NS to consider this process?

The NS Preparedness for Effective Response is a flexible and adaptable process that can be initiated prior, during or after emergency operations, as well as in peace time in line with the NS strategic vision of improving their disaster management and response preparedness capacities. This process is intended to measure evidence-based changes and strengthen NS response capacities over time, focusing on prioritized components. Information about NSs that are conducting the PER approach can be found in the following dashboards [global summary](#) and [global performance](#). Also there is dashboard to collect the [Learnings from DREF supported operations](#) and a [catalogue of resources](#) that NSs can use while enhancing their preparedness for Response capacity.

#### 4. Where can I find more information?

You can find more information on [Fednet](#), [IFRC.org](#), [GO Platform - Preparedness](#) or contact the IFRC Regional Disaster and Climate Crisis Department – NS Preparedness focal points or Marjorie Soto Franco (+41 (0)22 730 4280) / [Marjorie.sotofranco@ifrc.org](mailto:Marjorie.sotofranco@ifrc.org)

## Safer Access Framework: benchmarking and planning (SAF)

### 1. What is the objective and focus of this assessment process?

The assessment part of the SAF is done through the benchmarking and monitoring tool. The objective is to help the NSs to define their current position regarding safer access and to determine what it wants to have achieved over the next 2 years in a prioritized manner. The process allows NS to further their understanding of what it takes to increase and or maintain their acceptance, security and access to people in need by understanding their operational context, taking stock of the lessons the NS learned and assessing their strengths and challenges in relation to the application of the SAF elements and the Fundamental Principles. The focus is on the different areas contributing to strengthen each element and on which priority they are given for action.



### 2. How is the process structured?

The process begins with a 3-day workshop that brings together 15-20 representatives from all layers of a NS. The workshop employs 3 distinct methodologies (context analysis, lessons learned and benchmark exercises). The outcome of these 3 exercises leads to the development of a plan of action that a NS will work on within the next 2 years. There are different areas of focus that cover the 8 SAF elements and each area has 5 indicators representing the progressive level of proficiency with regard to the given area of focus. All conditions stated in each indicator must be met before a NS can move to the next indicator. The process happens in groups and builds on the outcomes of individual benchmarks.

### 3. When is it more advisable for a NS to consider this process?

A SAF assessment is the preferred option if a NS has concerns on/challenges/incidents in access, acceptance and security, or when a country is experiencing sensitive and insecure contexts including armed conflict, internal disturbances and tensions which will likely require humanitarian activities to be carried out by the NS. It should ideally form part of NS emergency preparedness measures, knowing that some systems and procedures to strengthen acceptance, security and access may require more than a year to be put in place. Different steps of the process can be combined in a tailored manner (e.g. lessons-learned and focus on specific SAF elements). The assessment can be used in synergy with other processes (e.g. OCAC, BOCA, PER) to avoid duplicating information and monitoring progress; and long-term outcomes should be integrated in other NS development processes.

### 4. Where can I find more information?

To know more you can contact the Cooperation teams in the ICRC Delegations in your countries or consult the [Safer Access Website](#), where you can find guidance documents and examples from NSs working in SAF.

You may also contact Caterina Becorpi ([cbecorpi@icrc.org](mailto:cbecorpi@icrc.org)).

## NS Logistics Development process (NSLD)



### 1. What is the objective and focus of this assessment process?

The NSLD methodology helps a NS to reflect on logistics and supply chain capacity required by the organisation to be efficient and effective both for emergency response and for on-going day-to-day activities/services.

### 2. How is the process structured?

There are four main phases a National Society could benefit from external support in their Logistics Development: 1) Internal promotion: receive awareness about the importance of having a right-sized capacity in logistics and how it can influence the efficiency and effectiveness of programmes/services delivered to those in need, 2) Orientation: understand the needs and if the NSLD change process is the right tool for what the organisation is looking for; 3) Analysis & design: based on the National Society's needs analysis, and considering different possible solutions, help the organisation design its Logistics Development Plan; 4) Implementation: technical support during the implementation of that Plan.

### 3. When is it more advisable for a NS to consider this process?

Ideally, it is to be used alongside other NS capacity strengthening processes, as an integrated part of long-term institutional development, for example following the OCAC or the PER if their outcomes recommend engaging in a more detailed analysis of technical needs in the logistics domain. However, some National Societies self-acknowledged and prioritised the need for logistics capacity enhancement as part of the lessons learned after a disaster response. The NSLD assessment process can also be applied for different logistics sub-domains, such as fleet management.

### 4. Where can I find more information?

Key documents are available on [GO Platform](#), [Fednet](#) or contact Juan Galvez ([juan.galvez@ifrc.org](mailto:juan.galvez@ifrc.org) / +41 22 730 49 24)



## PMER Capacity Building Assessment



### 1. What is the objective and focus of this assessment process?

This is a tool to assist National Societies (NS) to assess their capacities in planning, monitoring, evaluation and reporting (PMER). Ultimately it is meant to inform action planning to improve these processes for better NS service delivery to people in need.

### 2. How is the process structured?

The tool consists of 115 assessment criteria which have been organized into seven PMER capacity areas (Strategic Planning, Annual Planning, Project/Programme Planning (Design), Monitoring, Reporting, Stakeholder Monitoring and Communication, Data Management, Evaluation and Enabling Environment).

Each PMER capacity area begins with a definition of the capacity, reference to the supporting guidance documents for the respective capacity area, followed by the specific assessment criteria presented in a scoring matrix. As this tool is NS driven, it is important that the NS be integrally involved in the assessment process from beginning to end to reinforce its understanding, ownership and ultimate use of the assessment results.

### 3. When is it more advisable for a NS to consider this process?

This tool is a comprehensive inventory of PMER criteria and can be used to complement and support an OCAC exercise. As it is not an official OCAC exercise, it will note rate or certify National Societies in PMER capacities. It is a tool designed for National Societies to score individual PMER capacities (criteria) irrespective of other criteria. It can be used before an OCAC exercise to inform assessment of PMER attributes, or after an OCAC to further explore identified PMER priorities.

### 4. Where can I find more information?

For further guidance go to the [PMER Capacity Assessment Tool](#) and for other relevant tools of interest, go to [Fednet](#).

## Auxiliary Role in domestic laws and policies



### 1. What is the objective and focus of this assessment process?

This assessment process aims to support National Societies to evaluate how their auxiliary role is provided in existing domestic sectoral laws, regulations, policies and/or plans, and identify and prioritize areas for improvement. The assessment questions provided in the Guide to strengthening the auxiliary role in law and policy complement the existing elements of the RC/RC Model Law and are a preliminary step to advocating to government for a stronger legal base.

Further to this, National Societies can assess their readiness to enter into an advocacy process to their authorities by using the Legislative Advocacy Toolkit developed by IFRC Disaster Law.

### 2. How is the process structured?

National Societies can use a series of assessment questions provided in the Guide to strengthening the auxiliary role in law and policy to complement existing criteria provided in the RC/RC Model Law. It is recommended National Societies use the assessment questions to engage in an analysis of their auxiliary role to identify strengths and also areas of possible improvements. The assessment questions are based on resolutions of the International Conference of the Red Cross and Red Crescent and on best practice and examples of existing provisions in other countries. National Societies can then design an action plan (using the Legislative Advocacy Toolkit) identifying actions to be undertaken in the short, medium and long run and define their engagement process with domestic authorities to enhance their auxiliary role.

### 3. When is it more advisable for a NS to consider this process?

National Societies could decide to undertake a review of how their auxiliary role is provided in domestic laws if they consider the existing legal instruments do not adequately provide for (a) the main elements of the RC/RC Model Law ; (b) for a clear allocation of their roles and responsibilities; (c) for a guaranteed participation in coordination and decision-making bodies ; (d) for legal facilities that may assist them to performing their auxiliary role more efficiently and effectively (such as protection for NS's staff and volunteers, tax exemption, and access and freedom of movement); (e) for the speedy import and entry in country of disaster-related goods, equipment and personnel.

### 4. Where can I find more information?

You can refer to the [Guide to strengthening the auxiliary role in law and policy](#), visit the [Disaster Law website](#), and contact the Disaster Law team for support in your respective region at [disaster.law@ifrc.org](mailto:disaster.law@ifrc.org)

## Restoring Family Links NS Assessment Process

- **Assessment Tool on the implementation of the restoring family links (RFL) strategy 2020-2025**
- **RFL Capacity Assessment Tool for tracing services of National Societies**

### 1. What is the objective and focus of this assessment process?

National Societies (NS) willing to assess their RFL capacity can use the following two tools:

- a. The M&E framework, a self-assessment tool that allows NS to measure their RFL capacity and service delivery performance; the results thereof will inform their planning and decision-making;
- b. The capacity assessment tool allows NS to analyse and plan for the strengthening of their RFL capacity. This tool is complementary to the M&E framework.

### 2. How is the process structured?

#### *The M&E framework*

It is part of an annual survey whereby all NS are asked to provide, through a self-assessment, their capacity in six dimensions: ownership, structure, competencies, relationships, resources, and tools, through two checklists to assess their level of emergency preparedness and their compliance with key data protection requirements, and checklists on other dimensions of the RFL Strategy. This process is led by the RFL focal point, who consults with relevant departments (Data Protection, Disaster Management, Communication, NSD/OD staff, senior management), and shares the data with ICRC's Central Tracing Agency (CTA). The NS has access to its data and can use it for planning, monitoring, evaluation and learning in terms of capacity strengthening and development.

#### *The capacity assessment tool*

The RFL capacity assessment can be undertaken at any point in time by the NS alone or together with its partners. It is advisable to undertake this in conjunction with a needs assessment in its context focusing on the same dimensions: ownership, structure and organization, competencies, working tools and resources and relationships.

*The main difference between these two tools is that with the capacity assessment tool, the NS owns the data and doesn't automatically share it with the CTA as is the case with the M&E framework.*

### 3. When is it more advisable for a NS to consider this process?

#### *The M&E framework*

The survey is launched at the beginning of each year and collects data from the previous year. The baseline data sets targets which are compared from year to year to see what changes have occurred. The global findings and results can be used to develop the NS RFL action plan and can be used to monitor progress in the implementation of the NS RFL plan, make adjustments and formulate requests for support in RFL capacity strengthening to other Movement components.

#### *The capacity assessment tool*

The capacity assessment tool is particularly useful as a first step (baseline and needs assessment) in the RFL capacity-strengthening cycle.

### 4. Where can I find more information?

Key information and documents can be found on Family Links Extranet (available to all components of the Movement upon request for a login/password). The M&E framework can be found [here](#). The Capacity assessment tool is in this document (pages 88-96). Please contact [familylink@icrc.org](mailto:familylink@icrc.org) for more information.



## NS Cash and Vouchers Assistance Preparedness (CVAP)



### 1. What is the objective and focus of this assessment process?

CVAP is an ongoing NS development initiative that aims to increase the state of preparedness by integrating CVA into the organisation's tools, systems, procedures and staff capacity, as well as strengthening active leadership support for CVA, coordination and communication.

A NS is CVA prepared when it is able and likely to deliver appropriate assistance, in the form of scalable, timely and accountable CVA.

### 2. How is the process structured?

The CVAP follows the standard programme life cycle and is structured in five parallel areas. The five areas are:

1. Leadership Commitment,
2. Processes, systems and tools,
3. Financial and human resources and capacities,
4. Community engagement and accountability, coordination and partnership,
5. Test, learn and improve.

### 3. When is it more advisable for a NS to consider this process?

Cash preparedness like other preparedness initiatives is, preferably, a peace time activity. This initiative requires NS management commitment, proper time, financial and technical resources investment to achieve long term goals. However, some of the cash preparedness activities can be carried out during emergency response operations. Such activities, most likely, will serve the start of long term CVAP journey in the NS.

The CVAP is a comprehensive approach with detailed guidelines and tools available for NSs. This NS capacity building initiative should ideally be part of the NS Preparedness for Effective Response (PER) or integrated Preparedness process; though it can also be used as standalone preparedness initiative.

### 4. Where can I find more information?

The key documents and tools can be accessed through the [Cash in Emergencies](#) toolkit available on Cash-Hub or by contacting Bilal Hussain Shah (bilal.shah@ifrc.org / +41 75 419 85 70).



# Digital Transformation Assessment

## 1. What is the objective and focus of this assessment process?

The digital transformation assessment maps NS' data and digital capabilities from level 1 (beginner) to level 5 (future proof) of digital maturity. The digital transformation assessment helps National Societies formulate their own digital transformation journey across three domains: people, process and technology.

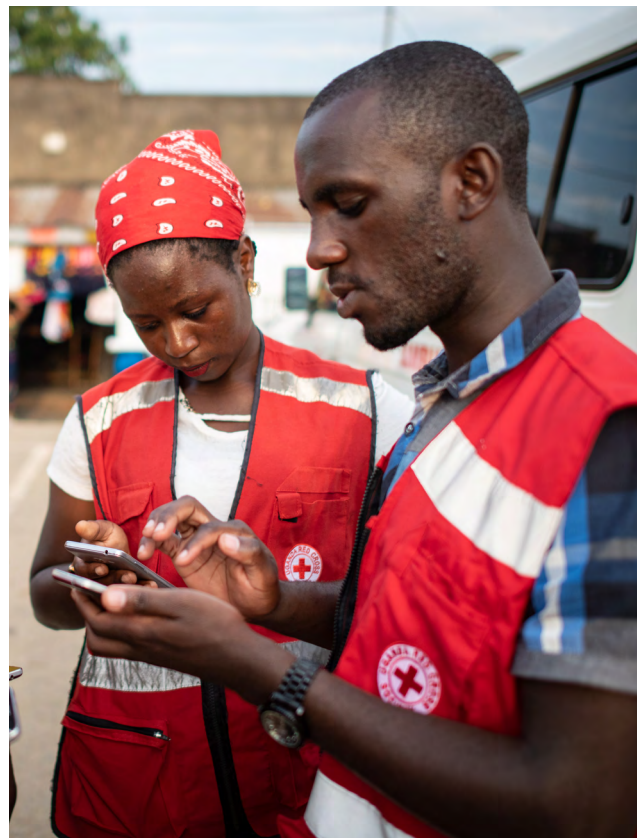
## 2. How is the process structured?

The digital transformation assessment consists of two tracks:

- A Digital Maturity QuickScan, consisting of a ~10 minute survey and a ~1,5 hr facilitated workshop. 3-4 NS stakeholders on data and digital are involved. The deliverable is a report that indicates where the NS currently sits (as-is) across the data & digital spectrum and addresses gaps and opportunities for digital transformation in the NS.
- A more extensive Digital Transformation Assessment, which consults a broader group of NS stakeholders (around 15 individuals) on data and digital through a series of interviews and workshops, counting up to approximately 30 hours in total, spread over 6-12 weeks. The assessment does not only map current capabilities (as-is) but also defines ambitions for the future (to-be). The deliverable is a grounded digital transformation strategy or roadmap that addresses a governance structure and is integrated in the NS operational strategy.

## 3. When is it more advisable for a NS to consider this process?

The QuickScan is best suited for NS who aim to obtain a quick insight in their data and digital capabilities. The QuickScan can be used as a map to initiate and guide conversations around this topic within the NS and vis-à-vis external partners and donors. The QuickScan does not require internal facilitation, only participation. The Digital Transformation assessment engages a broader group of stakeholders and is therefore best suited for NS who aim to develop a digital transformation strategy and want to create buy-in and ownership of this process across the organisation. The Digital Transformation assessment is facilitated by the NS itself, preferably with the support an external facilitator. This requires previous training and resources. The digital transformation assessment is inherently linked to already existing assessments, such as the OCAC, BOCA, PER and [Data Readiness Framework](#) (developed by the American Red Cross). It also builds on and will over time replace the ICT Health Check. The assessment is best approach as a tool to (start) formulating a digital transformation strategy. If the assessment indicates that data is a topic to invest in, then the NS can use the data readiness framework to dive deeper into and gain a more detailed understanding of applying data in humanitarian programming.



## 4. Where can I find more information?

The digital transformation assessment is based on a digital maturity model, which can be found at [bit.ly/digitalmaturitymodel](https://bit.ly/digitalmaturitymodel). For more information, please contact the Accelerator Team via [data.digital@ifrc.org](mailto:data.digital@ifrc.org) or Liselot Kattermölle via [ljkattemolle@redcross.nl](mailto:ljkattemolle@redcross.nl). Learn more about the IFRC Digital Transformation strategy in general at [digital.ifrc.org](https://digital.ifrc.org).

## Working With Project Partners (WWPP)

### 1. What is the objective and focus of this assessment process?

WWPP is a process to establish a risk-based modality in working financially with Project Partners (mainly National Societies). The modality introduces a fund transfer system, which replaces the working advance and cash transfer systems. The fund transfer system will be accompanied by risk mitigation measures which are specific to National Societies. The modality will:

- increase visibility in the way the IFRC reports expenditure incurred by National Society;
- address present gaps in capacity and control of National Society in project implementation;
- strengthen the IFRC's and National Society's collective accountability to donors/stakeholders.

### 2. How is the process structured?

There are four steps to the process. The first is Capacity Review where the National Society provides factual information about current capacities and controls in key functions. The second is Risk Assessment which is an inference based on capacity review and other related information to obtain assurance level on the functions. The risk assessment is accompanied by compensatory risk mitigation measures to ensure accountability on project implementation.

The penultimate step is the signing of Framework Funding agreement and Project Funding agreement, which captures the terms and conditions for the risk-based modality. The projects following WWPP are duly supported by enhanced budgeting, monitoring, reporting templates. The final step is the project implementation, monitoring and evaluation, audit, and reporting, which complete the WWPP cycle and inform the next review process.



### 3. When is it more advisable for a NS to consider this process?

The WWPP is a process that all National Societies working with the IFRC will go through, as part of transition from working advance and cash transfer modalities to the risk-informed fund transfer modality. The regions coordinate the transition and accompany National Societies in this process.

### 4. Where can I find more information?

For more information, please contact the IFRC's Regional Head of Finance and Administration. In Geneva, please contact David Silvaraja at [david.silvaraja@ifrc.org](mailto:david.silvaraja@ifrc.org).

Key information and documents can be found on [WWPP on FedNet](#).