



Title	CAPACITY ASSESSMENT FOR PROJECT IMPLEMENTATION
Responsible Unit	Bureau for Development Policy - Capacity Development Group
Contributor(s)	BDP/CDG, BOM/CBS Team, Management Practice Team
Date approved	January 2008
Contact	dien.le@undp.org patrick.gremillet@undp.org
Document Location	Management Practice Document Repository Project Management - Defining - Templates and Forms
Applicability	This checklist applies to Institutions considered to serve as Implementing Partner of UNDP-funded projects. For NGO implementation, please use the CSO Capacity Assessment Tool (see below).
Is Part of	UNDP Programme & Operations Policies and Procedures - Project Management
Related documents	UNDP Programme & Operations Policies and Procedures - Project Management - Defining a Project UNDP Programme & Operations Policies and Procedures - Programme & Project Management - Selecting an Implementing Partner Capacity Assessment Practice Note CSO Capacity Assessment Tool Harmonized Approach to Cash Transfers to Implementing Partners (HACT)

Introduction

Potential Implementing Partners must have been identified during the CPAP preparation or during the process "[Justifying a Project](#)".

Through the process "[Defining a Project](#)", these potential Implementing Partners must be assessed using the checklist below in order to validate the initial identification. The review shall also assist in identifying capacities of an Implementing Partner with the objective of identifying those areas in need of strengthening. Where deficiencies are noted, the assessment should include recommendations to address them. These recommendations should be reflected in the project document through the identification of required level of assurance and support services. In assessing the Implementing Partner, the following capacities must be reviewed:

- Managerial and technical
- Administrative and financial


It must be noted that a more detailed assessment of financial management capacity must take place as part of the [Harmonized Approach to Cash Transfer](#). Conducted by the UNCT during programme preparation, the purpose of this review is to assist in the identification of the most suitable modalities, procedures and assurance activities by the Agencies for the transfer of cash to the Implementing Partner.

In addition, a UNDP framework and tool to assess the enabling environment/national level capacity can be found under the [Capacity Assessment Practice Note](#).

Responsibilities

It is the responsibility of the Project Developer to conduct the capacity assessment and to submit it to the PAC along with the draft project document.

The PAC should review the capacity assessment to validate the selection of the Implementing Partner for the project.

Project Title		"Zohra Antiviolence Spots"		
		Implementation and strengthening of the three antiviolence spots for women and children in difficulty or victims of violence in Hebron Governorate		
Name of the Institution		Italian NGO "Differenza Donna"		
Date of assessment		06 June 2010	Assessed by: Score: 1 no evidence of relevant capacity, 5=fully-developed capacity	Ivan Carmi 
INDICATOR	AREAS FOR ASSESSMENT	APPLICABLE DOCUMENTS/TOOLS	COMMENTS	Notes/Scores
PART I – REFERENCES AND PRELIMINARY CHECKS				Notes/Scores
1.1 History and Compliance with International Resolutions/Standards				Notes/Scores
1.1.1 History	Date of creation and length in existence Has the institution gone through a recent re-organization/re-structuring?	Annual Reports Media Kit Website	"Differenza Donna" Italian NGO has been founded in Rome, Italy in 1989 to operate in the field of contrasting the phenomenon of gender based violence. Address: Via Flaminia 43 ZIP 00196 Rome ITALY Telephone +39-066780537 Fax +39-066780563 E-mail: d.donna@differenzadonna.it d.donnapalestina@libero.it Website: http://www.differenzadonna.it/	Bylaws and Meeting Minutes of Association enclosed, dated 03 June 2001. DD was founded in 1989. General Assembly Reports and Financial reports enclosed 4
1.1.2 United Nations Security Council 1267	Is the institution listed in any reference list?	United Nations Security Council 1267 Committee's list of terrorists and terrorist financiers	DD is NOT listed in any reference list of United Nations Security Council 1267 Committee.	DD will be signing the Project Cooperation Agreement which makes reference 4
1.1.3 Certification	Is the institution already certified through international standards?	ISO, Project Management standard, other standards	DD NGO owns an ISO 9001 Certification	ISO 9001 certificate No. 8509/03/S, letter of commendation from Italian Cooperation. List of Donors include EC. 5

PART II. ASSESSING NATIONAL INSTITUTION CAPACITY FOR PROJECT MANAGEMENT				
2.1 Managerial Capacity				
Ability to plan, monitor and coordinate activities				
Planning, Monitoring & Evaluation	<p>Does the institution produce clear, internally consistent proposals and intervention frameworks, including detailed Work-plans?</p> <p>Does the institution hold regular programme or project review meetings?</p> <p>Are there measurable outputs/deliverables in the defined project plans?</p> <p>Was the institution previously exposed to UNDP RBM approach/methodology or equivalent in other donor agencies?</p>	<p>Well-designed project and programme documents</p> <p>Action Plans/Work plans</p> <p>Log frame or equivalent</p> <p>Project reports</p> <p>Evaluation reports</p> <p>Indicators available in project plans</p> <p>Lessons-Learned reports</p>	<p>In its 20 years of activity, the NGO has acquired a specialized competence in developing policies, training, managing antiviolence centres and projects in accordance with international standards and guidelines. DD therefore:</p> <ul style="list-style-type: none"> • produces well-designed projects and programme documents including detailed Work and Action plans • holds regular projects review meetings • includes measurable outputs in the project plans <p>DD has never been previously exposed to UNDP RBM methodology.</p>	<p>DD has been a recipient of EC grants, where these capacities are viewed carefully and assessed.</p> <p>4</p>
2.1.2 Reporting and performance track record	<p>Does the institution monitor progress against well defined indicator and targets, and evaluate its programme/project achievements?</p> <p>Does the institution report to its stakeholders on a regular basis?</p>	<p>Reports to donors and other stakeholders</p> <p>Reporting system</p>	<p>In its 20 years of activity, the NGO has managed many initiatives and projects, and has acquired a significant experience in reporting to donors or other stakeholders on regular basis (monthly, quarterly, and semi-annual, annual).</p> <p>DD usually evaluates its projects/initiatives achievements through progress reports.</p> <p>DD activities are monitored by internal and external evaluators (both Municipality and Province of Rome, Italian Ministry of Social Affairs, Ministry of Equal opportunities, Ministry of Foreign Affairs, Italian Cooperation for development, European Commission)</p>	<p>DD has been a recipient of EC grants, where these capacities are viewed carefully and assessed.</p> <p>4</p>
2.2 Technical Capacity				
2.2.1 Specialization	<p>Does the institution have the technical skills required?</p> <p>Does the institution have the knowledge needed?</p> <p>Does the institution keep informed about the latest techniques/competencies/policies/trends in its area of expertise?</p> <p>Does the institution have the</p>	<p>Publications on activities, specific issues, analytical articles, policies</p> <p>Reports from participation in international, regional, national or local meetings and conferences</p>	<p>In its 20 years of activity DD acquired deep competencies in tackling all forms of gender based violence, acting in Italy and internationally; it has been working in Palestine since 2001. Its competencies have been developed through working in the field and always taking into consideration the individual resources and the environmental factors. Moreover DD</p>	<p>DD has been a recipient of EC grants, where these capacities are viewed carefully and assessed.</p> <p>4</p>

	<p>skills and competencies that complement those of UNDP?</p>	<p>Tools and methodologies Evaluations and assessments</p>	<p>professionals keep constantly informed on the latest techniques and trends related to gender issues through participating to national and international conferences and meetings. DD has published articles and reports on the outcomes of the surveys and the studies it conducted. Moreover DD:</p> <ul style="list-style-type: none"> • has been managing customized projects and interventions built to fit individual needs • has acquired recognized capability to operate in difficult environments • has been developing trained and constantly updated human resources, by transferring its know-how • Has been recognized as the best organization providing excellence services for GBV victims and managing antiviolence centers by the Province of Rome and awarded as the best organization performing gender-oriented activities at the national level by the President of the Italian Republic in 2008. <p>Regarding the objectives and the contents of the present project DD's skills and competencies do complement those of UNDP.</p>	
<p>2.2.2 Ability to monitor the technical aspects of the project.</p>	<p>Does the institution have access to relevant information/resources and experience? Does the institution have useful contacts and networks? Does the institution know how to get baseline data, develop indicators? Does it apply effective approaches to reach its targets (i.e. participatory methods)?</p>	<p>Evaluations and Assessments Methodologies/training materials Use of toolkits, indicators and benchmarks/capacity-development tools Databases</p>	<p>In 20 years of activity DD has always worked in the field of GBV through establishing useful networks and cooperative relationships with authorities, institutions, courts, police forces, local and women organizations, and the civil society, both at the national and international level; DD is a member of D.I.RE., the Italian network of antiviolence centres and organizations and of the European Women Lobby. In running 5 antiviolence centres in Rome DD has been getting baseline data and developing indicators; moreover it keeps databases certified by ISO 9001</p>	<p>DD has worked with UNIFEM on drafting the project document and has exhibited the needed competencies for this item. 4</p>

			system, which are the basis for researches and studies, also by applying the S.A.R.A. and I.S.A. international methods for assessing the risk of recidivism in intimate relationships.	
2.2.3 Human Resources	<p>Does the institution staff possess adequate expertise and experience?</p> <p>Does the institution use local capacities (financial/human/other resources)?</p> <p>What is the institution capacity to coordinate between its main office and decentralized entities/branches (if relevant)?</p> <p>Have staffs been trained on project management methodology?</p>	<p>Profile of staff, including expertise and professional experience</p> <p>Staff turnover</p> <p>Chart of assignments of roles and functions</p> <p>Reports on technical experience from national or international agencies for operations and capacity-building</p> <p>Individual certification on project management such as PRINCE2</p>	<p>All DD professionals and members are provided with a 9-month training course, both at the theoretical and practical level, which transfers to them the necessary knowledge, skills and tools to work in shelters for women and children victims of violence. They are being offered a permanent training through periodical meetings by DD and usually attend refreshing courses and conferences on gender issues in Italy and abroad. DD staff works in the centres on rotation basis, to avoid burn out risk and is composed by highly qualified professionals with many years of experience, several of whom have been trained on project management methodology, such as:</p> <p>Gender Experts, Psychologists, Lawyers, Teachers, Doctors, Social Workers, Health Workers, Journalists, Communication Experts.</p>	4
PART III. ASSESSING NATIONAL INSTITUTION CAPACITY FOR ADMINISTRATIVE AND FINANCIAL MANAGEMENT				
3.1 Administrative capacity <i>Ability to provide adequate logistical support and infrastructure</i>				
3.1.1 Ability to manage and maintain infrastructure and equipment	<p>Does the institution possess logistical infrastructure and equipment?</p> <p>Can the institution manage and maintain equipment?</p>	<p>Adequate logistical infrastructure: office facilities and space, basic equipment, utilities</p> <p>Computer capability and library materials</p>	<p>The places where the headquarters in Rome and the office in Bethlehem (OPT) are located are being rented and provided by DD with adequate office facilities, equipment, utilities, computer capability and library materials, inventory to</p>	4

		Proper equipment for area of specialization inventory to track property and cost	track property and costs. The places where the antiviolenace centres and spots are located in Rome are owned by local institutions (Municipality and Province of Rome), provided with proper equipment and managed by DD.	
3.1.2 Ability to procure goods services and works on a transparent and competitive basis.	Does the institution have the ability to procure goods, services and works on a transparent and competitive basis? Does the institution have standard contracts or access to legal counsel to ensure that contracts meet performance standards, protect UNDP and the institution's interests and are enforceable? Does the institution have the authority to enter into contracts?	Standard contracts Examples of how procurement is done Written procedures for identifying the appropriate vendor, obtaining the best price, and issuing commitments	DD NGO has the authority to enter into contracts, has standard contracts and access to legal counsel to ensure that contracts meet performance standards, protect UNDP and the institution's interests. DD has the ability to procure goods, services and works on a transparent and competitive basis, adopting written procedures for identifying the appropriate vendor, obtaining the best price, and issuing commitments.	3
3.1.3 Ability to recruit and manage the best-qualified personnel on a transparent and competitive basis.	Is the institution able to staff the project and enter into contract with personnel? Does the institution use written job descriptions for consultants or experts?	Standard contracts Job descriptions	DD is capable to recruit and manage the best-qualified personnel on a transparent and competitive basis. DD uses standard contracts (project contracts) and written job descriptions for hiring consultants and experts in Italy and abroad.	4
3.2 Financial Capacity <i>Ability to ensure appropriate management of funds</i> In addition to the following questions, see also the questionnaire provided in the Guidelines on Micro-assessment of the Framework on Harmonized Approach for Cash Transfer (HACT): http://www.undg.org/archive_docs/7110-Framework for Cash Transfers to Implementing Partners.doc (ANNEX 3) The assessment report is reviewed by the UN agencies to select the most suitable cash transfer modality, and establish appropriate cash transfer procedures and assurance activities to be used with the Implementing Partner.				
3.2.1 Financial management and funding resources	Is there a regular budget cycle? Does the institution produce programme and project budgets? What is the maximum amount of money the institution has managed?	Operating budgets and financial reports List of core and non-core donors and years of funding Written procedures ensuring clear records for payable, receivables, stock and	DD produces detailed budgets for all the initiatives and the projects it has managed. The maximum amount of money the institution has managed is 1,375,996 USD allowed by the World Bank for the implementation of Mehwar Center.	4

	<p>Does the institution ensure physical security of advances, cash and records?</p> <p>Does the institution disburse funds in a timely and effective manner?</p> <p>Does the institution have procedures on authority, responsibility, monitoring and accountability of handling funds?</p> <p>Does the institution have a record of financial stability and reliability?</p>	<p>inventory</p> <p>Reporting system that tracks all commitments and expenditures against budgets by line</p>	<p>The institution ensures physical security of advances, cash and records. For cash money DD possesses a safe-deposit box in the Jordan Ahli Bank-Bethlehem Branch and a safe in its headquarters in Rome.</p> <p>DD disburses funds in a timely and effective manner, according to its duties and responsibilities.</p> <p>DD uses written procedures ensuring clear records for payable, receivables, stock and inventory.</p> <p>DD does manage a reporting system that tracks all commitments and expenditures against budgets by line.</p>	
3.2.2. Accounting System	<p>Does the institution keep good, accurate and informative accounts?</p> <p>Does the institution have the ability to ensure proper financial recording and reporting?</p>	<p>A bank account or bank statements</p> <p>Audited financial statements</p> <p>Good, accurate and informative accounting system</p> <p>Written procedures for processing payments to control the risks through segregation of duties, and transaction recording and reporting</p>	<p>DD is compliant with the Italian fiscal and accounting legislation regarding the NGOs and therefore keeps regular, analytical and documented accounting registrations, and prepares accurate financial statements on annual basis.</p> <p>According with the Italian legislation, NGOs are not required to have audited financial statements.</p> <p>DD has distinct bank accounts dedicated to different projects both with Banco di Napoli in Rome and with Jordan Ahli Bank in Bethlehem (OPT)</p>	4
3.2.3. Knowledge of UNDP financial system	<p>Does the institution have staff familiar with Atlas through External Access?</p>	<p>External access provided</p>	<p>No, DD does not have staff familiar with Atlas.</p>	<p>DD does not need to function on ATLAS</p> <p>3</p>

Final Score: 55/70

Percentage: 78.6%

Cleared by: (Name):



Signature:



Date:

7/6/2010