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GUIDELINES FOR THE CAPACITY ASSESSMENT POINT PERSON – IMPLEMENTING AGENCY

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GUIDELINES FOR IMPLEMENTING AGENCY

As the capacity assessment point person, you are responsible for administering the tool to your colleagues. Make sure to familiarize yourself with the tool and its components before disseminating it. Meet with the whole team involved in the survey jointly with the DHS Capacity Assessment Facilitator (DCAF) to explain the assessment process. Explain the purpose of the Capacity Assessment Tool (CAT) as it is listed below. Describe the different components of the tool and its scoring system. Explain that the tool will be filled out by teams and that each team will fill out the module(s) on which they have the most information. Make sure it is clear to all what needs to be done and how the scoring system works. Give them a deadline by which all responses will be collected. Explain that you will be forwarding the results to the DHS Capacity Assessment Facilitator who will in turn forward them to DHS Senior Capacity Strengthening Advisor. S/he will analyze the results and will develop a capacity strengthening plan based on the outcomes of the assessment.

Objective of the Capacity Assessment Tool (CAT)

The objective of the Capacity Assessment Tool (CAT) is to assess implementing organization's capacity to conduct a DHS/AIS/MIS or a SPA. It has been designed to enable them to gauge their readiness to design and implement the survey following international standards of quality and methodological soundness. Results from the CAT will help implementing agencies define and quantify performance gaps both at the individual and institutional levels.

Description of the CAT

The Capacity Assessment Tool (CAT) is made up of 12 modules covering core competencies along the DHS survey continuum; specifically, in survey management and planning, sampling, questionnaire design and testing, field staffing and training, field operations, data processing, report writing, laboratory testing, GIS, data analysis, and data dissemination, and institutional capacity.

The Scoring System

1	The implementing organization has very little capacity: Counterpart has only minimal or no capacity to conduct the activity and needs technical assistance for all elements of the activity, including getting organized to conduct the activity, implementing it and managing it. This is typically the case when capacity for particular functions is very low or non-existent.
2	The implementing organization has capacity only to conduct some basic tasks for the activity: Counterpart can undertake the straightforward elements of key functions but needs a high level of supervision and guidance through technical assistance. The activity will still need to be carried out and managed mainly by The DHS Surveys Program staff.
3	The implementing organization is capable of carrying out this activity with technical assistance: Counterpart has the capacity to take prime responsibility for the activity, can handle most of the complex aspects of the activity and knows when they need to ask for assistance. The role of technical assistance is mostly to provide support and oversight, and fill-in where there are any remaining gaps in capacity, and provide extra guidance and support mostly for the development of new materials, and handling of new, infrequent or unforeseen situations.
4	The implementing organization is capable of carrying out this activity at appropriate level of quality on its own: Counterpart is now fully competent to satisfactorily undertake and complete the whole function. They may still use an international expert for highly technical work or for validation, advice or oversight, but do not need assistance on carrying out any aspect of the activity.

Implementation Process

The CAT is implemented through a **two-part process**:

- The first part is a self-assessment where the implementing agency selects a point person among the staff to administer the tool. This person is in charge of disseminating the different modules to the appropriate teams to complete- based on the amount of information they have on activities listed in each module. The point person is also responsible for collecting the results from the teams and forwarding them to the DHS Capacity Assessment Facilitator (CAF).
- The second part is an assessment of the implementing agency by its partners. The DHS Capacity Assessment Facilitator (CAF) will lead this process. S/he will disseminate the tool to the partners recommended by the implementing agency. S/he will also collect and submit the results to the DHS Senior Capacity Strengthening Advisor who will conduct a gap analysis. The Senior Capacity Strengthening Advisor will then develop a capacity strengthening plan based on the outcomes of the capacity assessment. The final report will be shared with the implementing agency.

Mode of Dissemination

The tool is most easily disseminated electronically via email but, if access to email is limited, it can also be printed out on paper and administered onsite. The ideal timeframe for implementing the CAT for the first time is during the initial phase of the survey process – preferably by the second country visit of survey design. If there is no survey design, however, then it should be implemented by the third country visit. A second assessment should take place at the end of the survey- preferably during the dissemination workshop.