F-12/2015a

UNHCR
The UN Refugee Agency

UNHCR WASH ORGANISATIONAL CAPACITY ASSESSMENT

- Capacity building of national public, private, or refugee-based WASH service providers is an essential element in ensuring there is a long-term durable strategy for WASH service provision in refugee settings. It should be carried out in parallel with activities to switch to appropriate and affordable low-cost WASH technologies for the setting, making WASH service provision as cost-effective as possible to facilitate handover.

- Capacity building activities should focus on reinforcing technical skills, ensuring the organisation has the financial and material resources (e.g. office furniture, computers, printers, waste collection trucks, containers, water pumps etc.) to carry out effective WASH programming, in addition to reinforcing administrative systems (finance, admin, logistics). Any interventions to hand over WASH service provision should be carried out slowly and carefully with continued support and capacity building. Once WASH services are handed over, UNHCR and WASH actors should continue to work with national regulatory authorities to ensure that the quality of services is being carried out to defined standards.

- This tool has been designed to help obtain a snapshot capacity of national public, private, or refugee-based WASH service providers and understand the type of interventions that can be carried out to build capacity. Please note that the list of questions is not exhaustive and is merely intended to focus attention on areas of potential organisational capacity support. Common sense should be used at all times and if there is a clear capacity building need that is not included on the sheet it should be noted in the additional comments section for support.

- The tool should be used to guide a conversation (approximately an hour long) with the most senior representatives of the organisation. It should be made clear that the aim of the tool is not to identify weaknesses within the organisation but to understand where the organisation can most benefit from additional support and strengthening.

- At the end of the tool, the results may be plotted on a radar plot (or simple bar chart) as follows..

G.	TECHNICAL SERVICE DELIVERY	
1.	**WASH sectoral expertise**	
a.	Relevant WASH sectoral expertise and experience (water supply, excreta management, hygiene promotion, solid waste management, disease vector control) exists within the organization.	⓪①②③④⑤⑥
b.	The organization is able to carry out WASH related technical design, build, operate, train, transfer, and regulate related activities to national WASH quality standards.	⓪①②③④⑤⑥

c.	WASH expertise is distributed throughout the organisation and does not rest with one or two individuals.	⓪①②③④⑤⑥
2.	**Geographical coverage**	
a.	The WASH organisation has a programmatic presence in areas affected by displaced population or has the ability to expand WASH programming into these areas.	⓪①②③④⑤⑥
3.	**WASH assets and resources**	
a.	The WASH organisation currently has the required staffing, assets, and resources (e.g. pumps, tankers, reservoirs, surveying equipment, water quality testing equipment, tankers, drilling equipment, waste collection equipment, vector control equipment etc.) to carry out WASH program delivery to relevant standards, or has a demonstrated ability to procure these assets?	⓪①②③④⑤⑥
4.	**Stakeholder consultation**	
a.	WASH programs currently undertaken by the organization are based on real prioritized needs and are designed and implemented in association with stakeholders. Accountability mechanisms are in place and functional.	⓪①②③④⑤⑥
5.	**Value for money**	
a.	WASH programs currently undertaken by the organization are efficient, adequate, cost effective, timely, and responsive.	⓪①②③④⑤⑥
6.	**Programmatic sustainability**	
a.	The WASH programs carried out by the organization have clear exit strategies and systems of sustainable operation, maintenance and cost-recovery in the medium and long-term.	⓪①②③④⑤⑥
H.	**GOVERNANCE**	
1.	**Board / advisors**	
a.	The WASH organisation has a board or list of advisors composed of elected and capable members who carry out key roles such as policy formulation, fund raising, public relations, or financial oversight.	⓪①②③④⑤⑥
2.	**Clearly defined mission and goals**	
a.	The WASH organisation has clearly articulated mission/goals and clearly defined objective statements aligned with a mission statement.	⓪①②③④⑤⑥
3.	**Legal status**	
a.	The WASH organisation is registered according to relevant legislation.	⓪①②③④⑤⑥
4.	**Leadership**	
a.	Board / advisors, and senior management have a clear understanding of their respective roles and responsibilities.	⓪①②③④⑤⑥
b.	Leadership style of senior management is participatory.	⓪①②③④⑤⑥
I.	**MANAGEMENT PRACTICES**	
1.	**Organizational structure and culture**	
a.	The WASH organisation has an organizational structure with clearly defined lines of authority and responsibility.	⓪①②③④⑤⑥

b. Systems are in place to ensure appropriate involvement of all levels of staff in decision making.	⓪①②③④⑤⑥
2. Planning	
a. The WASH organisation has short, medium and long-term plans that are used and are updated regularly.	⓪①②③④⑤⑥
3. Administrative procedures	
a. Administrative procedures and manual exist.	⓪①②③④⑤⑥
4. Monitoring, evaluation and reporting	
a. The WASH program carried out by the organisation incorporates monitoring, evaluation and reporting activities	⓪①②③④⑤⑥
b. Systems exist to collect, analyse and report data and information.	⓪①②③④⑤⑥
c. The organisation has the ability to produce a range of appropriate reports.	⓪①②③④⑤⑥
J. HUMAN RESOURCES	
1. Human resources management	
a. Recruitment processes are transparent and competitive.	⓪①②③④⑤⑥
b. Job descriptions are documented and updated.	⓪①②③④⑤⑥
c. Salaries are clearly structured and competitive.	⓪①②③④⑤⑥
2. Human resources development	
a. Job appraisals are performance based and equitable.	⓪①②③④⑤⑥
b. Staff training is based on capacity, needs and strategic objectives.	⓪①②③④⑤⑥
3. Human resources management	
a. The WASH organisation has short, medium and long-term plans that are used and are updated regularly.	⓪①②③④⑤⑥
4. Work organisation	
a. Staff meetings are held regularly and team work is encouraged.	⓪①②③④⑤⑥
K. FINANCIAL AND PROCUREMENT	
1. Accounting	
a. Appropriate financial procedures and reporting systems are in place. Account categories exist for separating project funds.	⓪①②③④⑤⑥
2. Budgeting	
a. Budgeting process is integrated into annual implementation plans.	⓪①②③④⑤⑥
b. A financial unit responsible for the preparation, management and implementation of the annual budget exists and budgetary control is carried out on an ongoing basis.	⓪①②③④⑤⑥
3. Procurement	
a. Appropriate stock control systems exist.	⓪①②③④⑤⑥
b. Appropriate procurement systems are in place.	⓪①②③④⑤⑥
c. Internal and external audits are conducted on a regular basis.	⓪①②③④⑤⑥
d. The organization has the ability to prepare, launch, analyse and award competitive tenders	⓪①②③④⑤⑥
4. Financial reporting	

a.	Annual financial report is prepared by a registered firm of auditors.	⓪①②③④⑤⑥
5.	**Diversification of income base**	
a.	The organization has multiple funding sources.	⓪①②③④⑤⑥
b.	The organization has the ability to tender for contracts.	⓪①②③④⑤⑥
L.	**EXTERNAL RELATIONS**	
1.	**Stakeholder relations**	
a.	The organization is seen as credible by stakeholders and funders.	⓪①②③④⑤⑥
2.	**Inter-organisation collaboration**	
a.	The organisation networks and shares resources with other national WASH organisations.	⓪①②③④⑤⑥
3.	**Government collaboration**	
a.	The organisation has contacts with government policy and decision makers.	⓪①②③④⑤⑥
4.	**Funder collaboration**	
a.	The organisation has diversified contacts within the funding community.	⓪①②③④⑤⑥
5.	**Public relations**	
a.	The organisation engages in public relations. Activity information disseminated.	⓪①②③④⑤⑥
6.	**Local resources**	
a.	The organisation has relations with the private sector for technical expertise, material and/or human resources.	⓪①②③④⑤⑥
7.	**Media**	
a.	The organisation has media strategy and has attracted positive media attention.	⓪①②③④⑤⑥
M.	**SUSTAINABILITY**	
1.	**Program/benefit sustainability**	
a.	Programs are supported by those being served.	⓪①②③④⑤⑥
b.	The organisation has developed systems for continuation of its program in the medium and long-term.	⓪①②③④⑤⑥
c.	The organisation has developed programmatic phasing-out strategies.	⓪①②③④⑤⑥
2.	**Organizational sustainability**	
a.	The organisation has linkages with international NGOs, education institutions, government entities, research institutes, and the private sector.	⓪①②③④⑤⑥
3.	**Financial sustainability**	
a.	The organisation has the ability to access diversified resources.	⓪①②③④⑤⑥
b.	The organisation has a fee for services and/or other cost recovery mechanisms built into service delivery where appropriate.	⓪①②③④⑤⑥
c.	The organisation has a fund raising strategy.	⓪①②③④⑤⑥
d.	The organisation has capacity to develop proposals and respond to tenders and calls for proposals.	⓪①②③④⑤⑥