tearfund
DM Capacity Assessment Tool Summary

SHIFTING THE POWER

(Adapted from SHAPE: Strategic Humanitarian Assessment & Participatory Empowerment Framework)

1. Governance and Leadership

Capable humanitarian organisations have a shared sense of values and a strong consensus about what it is striving for. This flows from effective leadership, a coherent strategy, appropriate systems, competent staff and the humility to learn from experience with the aim of continually improving.

Competency Area	Organisational Foundations Core features that underpin a successful humanitarian response.	Humanitarian Capacities Range of abilities needed to respond to humanitarian crises	Power Capacity to control and influence	Humanitarian Principles & Standards
Vision and Strategy	Has a structure that supports the organisation's humanitarian vision, mission and values	Staff commit to the organisation's humanitarian vision and strategy, and understand how these relate to humanitarian principles and standards	Has a humanitarian vision and strategy that allows it to retain its autonomy and make choices consistent with its identity, purpose and values	**Core Humanitarian Standards (CHS)**
Staff Engagement and Collaborative Management	Has a diverse governing body that meets regularly, provides strategic oversight, monitors overall effectiveness, holds the executive to account and regularly reviews its own performance	Staff respect organisational values, acceptable and unacceptable behaviour in line with ICRC/NGO Code of Conduct	A culture of open communication is promoted and decision-making processes are transparent and participatory	
Human Resources and Staff Well Being	HR policies are followed by staff, budgeted, and include consideration of health and safety issues, leave, child protection, gender, disability, an organisational Code of Conduct, compensation and benefits, staff development, diversity and how grievances are handled	Staff (and volunteers) have clear, realistic work plans, are aware of performance standards, understand what they are accountable for, and receive on-going feedback and support	Has the management capacity and personnel to deliver a humanitarian response	**CHS 8**
Management of Resources	Follows robust, transparent financial policies, systems and procedures that comply with donor requirements to govern the effective and efficient use of money and other resources	Relevant staff are involved in the design of clear realistic budgets which balance quality, cost and timeliness at each phase of the response	Ensures that the acceptance of resources does not compromise its independence	**CHS 9**
Learning and Change	Simple and participatory M&E system includes financial analysis, learning, feedback and complaints informs future programmes and promotes value for money	Reviews progress and challenges in conforming with Core Humanitarian Standards, and applies learning	Shares evaluation findings, lessons learned and critical reflections with the wider humanitarian sector	**CHS 7**

2. Influence

Effective humanitarian organisations do not work in isolation. They strive to establish and grow positive and constructive relationships to support their work. This calls for staff with relevant skills to negotiate and communicate effectively.

Competency Area	Organisational Foundations Core features that underpin a successful humanitarian response.	Humanitarian Capacities Range of abilities needed to respond to humanitarian crises	Power Capacity to control and influence	Humanitarian Principles & Standards
Working with Others	Demonstrates a sustained commitment to coordination and collaboration with others, including national and local authorities, without compromising its humanitarian principles	Participates effectively in multi-sector, joint or interagency initiatives such as collaborative assessments, learning, preparedness or response efforts	Advice and contributions to decision-making and debate are called for by the humanitarian community	CHS 6
Advocacy	Has the strategy, personnel, skills and knowledge, as well as the resources necessary to promote good influencing work on critical humanitarian issues	Ability to recognise key humanitarian issues affecting local community, and recommend feasible approaches to address them	Championing of key issues that affect local communities has led to changes in thinking on relevant issues, has changed policies, or has resulted in new resource streams becoming available	
Resource Mobilisation	Has in place the relationships, strategies, personnel and procedures to generate successful programme concepts and funding proposals	Capability to mobilise resources for a timely and appropriate humanitarian response	Sufficient, flexible and diversified resources exist to ensure organisational sustainability and effectiveness	

3. Preparedness and Response

Effective organisations anticipate, prepare for, and respond to humanitarian situations in a relevant, effective, efficient and impactful manner. Their action is based on communication, participation and feedback from affected communities.

Competency Area	Organisational Foundations Core features that underpin a successful humanitarian response.	Humanitarian Capacities Range of abilities needed to respond to humanitarian crises	Power Capacity to control and influence	Humanitarian Principles & Standards
Preparedness	Invests in training staff and developing procedures in preparation for emergencies	All relevant parts of the organisation are involved in developing, testing and reviewing emergency preparedness plans	The key contextual information it provides is influential in setting the humanitarian agenda	
Appropriate and Relevant Response	Programmes are adaptable to changing needs, capacities and context	Responses are designed, budgeted and implemented quickly based on an impartial assessment of the needs, risks,		CHS 1

		vulnerabilities and capacities of different groups		
Effective and Timely Response	Delivers activities, outputs, outcomes to achieve a timely impact	Timely assessments result in timely decisions which are acted upon without unnecessary delay according to Core Humanitarian Standards, cluster guidelines and internationally accepted indicators	Communities with whom it works (including marginalised and disadvantaged groups) play a leading role in setting the humanitarian strategy at every stage of the response	CHS 2
Response avoids negative effects	Policies, strategies and guidance are designed to prevent programmes having any potential or actual negative effects. When negative effects are identified, the programme adjusts to mitigate them	Sustainability, impact on long-term development and the exit strategy are defined at the outset of the response		CHS 3
Communication, Participation and Feedback	Inclusive representation, participation and engagement of people and communities are ensured at all stages of the work	Communities and people affected by crisis are consulted to provide feedback on their level of satisfaction with the quality and effectiveness of assistance using languages, formats and media that are easily understood and culturally appropriate for that community	Organisational culture exists where complaints are welcomed, taken seriously and acted upon according to defined policies and processes	CHS 4, 5